

Agenda



Corporate Services Committee

Date: Wednesday, 9 November 2016

Time: 14:00

Venue: Committee Room 3, Council Offices
Garshake Road, Dumbarton

Contact: Craig Stewart, Committee Officer
Tel: 01389 737251 craig.stewart@west-dunbarton.gov.uk

Dear Member

Please attend a meeting of the Corporate Services Committee as detailed above.
The business is shown on the attached agenda.

Yours faithfully

JOYCE WHITE

Chief Executive

Distribution:-

Councillor Kath Ryall (Chair)
Councillor George Black
Councillor Gail Casey
Councillor Jim Finn
Councillor David McBride
Councillor Jonathan McColl
Councillor Patrick McGlinchey
Councillor John Mooney
Councillor Lawrence O'Neill
Councillor Tommy Rainey (Vice Chair)
Councillor Gail Robertson
Councillor Martin Rooney

All other Councillors for information

Chief Executive
Strategic Director – Transformation and Public Service Reform
Strategic Director – Regeneration, Environment & Growth
Chief Officer of West Dunbartonshire Health & Social Care Partnership

Date of issue: **27 October 2016**

CORPORATE SERVICES COMMITTEE

WEDNESDAY, 9 NOVEMBER 2016

AGENDA

1 APOLOGIES

2 DECLARATIONS OF INTEREST

Members are invited to declare if they have an interest in any of the items of business on this agenda and the reasons for such declarations.

3 MINUTES OF PREVIOUS MEETING 5 - 12

Submit for approval as a correct record, the Minutes of Meeting of the Corporate Services Committee held on 10 August 2016.

4 MINUTES OF JOINT CONSULTATIVE FORUM – 1 SEPTEMBER 2016 13 - 16

Submit for information and where necessary ratification, the Minutes of Meeting of the JCF held on 1 September 2016.

5 WRITE-OFF OF MISCELLANEOUS INCOME DEBTOR ACCOUNTS AND COUNCIL TAX – QUARTER 2, 2016/17 17 - 22

Submit report by the Strategic Lead – Resources seeking approval of the write-off of debts in respect of miscellaneous income debtor accounts and council tax accounts, which have been deemed as irrecoverable during Quarter 2 2016/17, arising from various years and reasons as detailed in the Appendices to the report.

6 STRATEGIC DELIVERY PLANS 2016/17 – MID-YEAR PROGRESS REPORTS 23 - 70

Submit reports by the relevant Strategic Leads in relation to:-

- (a) Communications, Culture & Communities
- (b) People & Technology
- (c) Regulatory
- (d) Resources

7 CORPORATE SERVICES BUDGETARY CONTROL REPORT TO 30 SEPTEMBER 2016 (PERIOD 6) 71 - 84

Submit report by the Strategic Lead – Resources advising on the performance of the Corporate Services budget for the period to 30 September 2016.

- 8 PROCUREMENT STRATEGY (2015 TO 2017) – ANNUAL PROGRESS REPORT 85 - 94**
- Submit report by the Strategic Lead – Resources providing an update on the outcomes achieved relative to the Council's Procurement Strategy, 2015 to 2017 and the areas of focus for the next 12 months.
- 9 DIGITAL STRATEGY 2016-2021 95 - 114**
- Submit report by the Strategic Lead – Communications, Culture & Communities setting out how the Council will make use of modern technology to provide customer service channels that increase choice, improve satisfaction and reduce costs.
- 10 JOB EVALUATION POLICY AND PROCEDURE REVIEW 115 - 142**
- Submit report by the Strategic Lead – People & Technology providing an update on the review of the Job Evaluation Policy and Procedure.
- 11 EARLY RETIREMENT, VOLUNTARY SEVERANCE AND REDEPLOYMENT – 1 APRIL TO 30 SEPTEMBER 2016 143 - 148**
- Submit report by the Strategic Lead – People & Technology advising on early retirements, voluntary severance, and re-deployment during the 6 month period from 1 April to 30 September 2016.
- 12 TRADE UNION RECOGNITION AND FACILITIES AGREEMENT 149 - 164**
- Submit report by the Strategic Lead – People & Technology providing an update on the review of the internal structures that support the efficient and effective partnership working arrangements with the Trade Unions.
- 13 WORKING WELL TOGETHER – ATTENDANCE MANAGEMENT QUARTER 2 165 - 172**
- Submit report by the Strategic Lead – People & Technology advising on attendance levels across the Council for Quarter 2 (July to September 2016) and providing a breakdown of absence performance by Strategic Lead area.
- 14 BI-ANNUAL WORKFORCE MONITORING REPORT 173- 181**
- Submit report by the Strategic Lead – People & Technology providing employee information relating to the period 1 April to 30 September 2016, including analysis against the same period in 2015.
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CORPORATE SERVICES COMMITTEE

At a Meeting of the Corporate Services Committee held on Wednesday, 10 August 2016 in Clydebank Town Hall, Dumbarton Road, Clydebank at 2.00 p.m.

Present: Councillors Gail Casey, Jim Finn, David McBride, Jonathan McColl, Patrick McGlinchey, John Mooney, Lawrence O'Neill, Tommy Rainey, Gail Robertson, Martin Rooney and Kath Ryall.

Attending: Angela Wilson, Strategic Director – Transformation & Public Service Reform; Stephen West, Strategic Lead - Resources; Vicki Rogers, Strategic Lead – People & Technology; Alan Douglas, Manager of Legal; Arun Menon, Business Support Manager; Karen Shannon, Section Head, Financial Admin & Control; Ryan Chalmers, Section Head, Revenues & Benefits; Jackie Allison, Finance Business Partner and Craig Stewart, Committee Officer.

Apology: An apology for absence was intimated on behalf of Councillor George Black.

Councillor Kath Ryall in the Chair

DECLARATIONS OF INTEREST

It was noted that there were no declarations of interest in any of the items of business on the agenda.

MINUTES OF PREVIOUS MEETING

The Minutes of Meeting of the Corporate Services Committee held on 11 May 2016 were submitted and approved as a correct record.

MINUTES OF JOINT CONSULTATIVE FORUM – 9 JUNE 2016

The Minutes of Meeting of the JCF held on 9 June 2016 were submitted and all decisions contained therein were approved.

WRITE-OFF OF MISCELLANEOUS INCOME DEBTOR ACCOUNTS AND COUNCIL TAX – QUARTER 1, 2016/17

A report was submitted by the Strategic Lead – Resources seeking approval of the write-off of debts in respect of miscellaneous income debtor accounts and council tax accounts, which have been deemed as irrecoverable during Quarter 1 2016/17, arising from various years and reasons as detailed in the Appendices to the report.

After discussion, the Committee agreed:-

- (1) to approve the write-off of miscellaneous income debt valued at £116,514.88; and council tax debt of £30,971.18; and
- (2) to note that officers would explore the possibility of increasing the write-off limit, under delegated powers as was the case with neighbouring Councils, and would report back further on this.

CORPORATE SERVICES BUDGETARY CONTROL REPORT TO 30 JUNE 2016 (PERIOD 3)

A report was submitted by the Strategic Lead – Resources advising on the performance of the Corporate Services budget for the period to 30 June 2016.

After discussion and having heard the Strategic Lead – Resources in answer to a Member's question, the Committee agreed:-

- (1) to note that the revenue account currently showed a projected annual adverse variance of £0.069m (0.4% of the total budget); and
- (2) to note that the capital account shows a projected annual favourable variance of £0.010m (0% of annual budget) and project life favourable variance of £0.010m (0% of project life budget).

RENEWAL/RETENDERING OF THE COUNCIL'S AND LEISURE TRUST'S INSURANCE CONTRACTS

A report was submitted by the Strategic Lead – Resources seeking authority to renew or, where appropriate, re-tender the Council's and the Leisure Trust's Insurance Contracts.

After discussion, Councillor Ryall, seconded by Councillor Rainey, moved the recommendations in the report, as follows:-

That the Committee agrees:-

- (1) to note the position with regard to the renewal of the main insurance contracts and the Engineering Insurance Programme on 1 August 2016;

- (2) to delegate authority to the Strategic Lead – Resources to re-tender and award the main insurance contracts with a new contract to come into effect from 1 August 2017 for an initial contract period of 3 years with an option to extend for up to a further two 12 month periods;
- (3) to delegate authority to the Strategic Lead – Resources to re-tender and award the Engineering Insurance Programme with a new contract to come into effect from 1 August 2017.

As an amendment, Councillor McColl, seconded by Councillor Finn, moved:-

That the Committee agrees:-

- (1) to note the position with regard to the renewal of the main insurance contracts and the Engineering Insurance Programme on 1 August 2016;
- (2) to delegate authority to the Strategic Lead – Resources to re-tender the main insurance contracts with a new contract to come into effect from 1 August 2017 for an initial contract period of 3 years with an option to extend for up to a further two 12 month periods;
- (3) to delegate authority to the Strategic Lead – Resources to re-tender the Engineering Insurance Programme with a new contract to come into effect from 1 August 2017; and
- (4) to delegate authority to the Tendering Committee to award the contracts at (2) and (3) above.

On a vote being taken, 3 Members voted for the amendment and 8 for the motion which was declared carried.

BLOCK BUILDINGS INSURANCE FOR PRIVATELY OWNED EX-COUNCIL PROPERTIES

A report was submitted by the Strategic Lead – Resources providing an update on the position regarding the provision of buildings insurance by the Council to owners of former council houses for the “Right to Buy” Buildings Block Insurance Policy and seeking approval for the recommended revised approach to this service provision.

After discussion and having heard the Strategic Lead – Resources in further explanation and in answer to Members’ questions, Councillor Ryall, seconded by Councillor Rainey, moved the recommendations in the report, as follows:-

That the Committee agrees:-

- (1) to note the position with regard to the renewal of the “Right to Buy” Buildings Block Insurance Policy on 1 April 2016;

- (2) that the Council continues to administer and provide the block buildings insurance scheme for privately owned ex-Council properties;
- (3) that authority be delegated to the Strategic Lead – Resources, to re-tender and award the “Right to Buy” Buildings Block Insurance Policy with a new contract to come into effect from 1 April 2017 for an initial contract period of 3 years with an option to extend by a further two one year periods;
- (4) that in the tender process the Strategic Lead – Resources has the power to vary the scheme’s terms as may be required in terms of excess levels and/or insurance coverage, as noted in the report; and
- (5) to note that scheme members will be provided with information on progress.

As an amendment, Councillor McColl, seconded by Councillor Finn, moved:-

That the Committee agrees:-

- (1) to note the position with regard to the renewal of the “Right to Buy” Buildings Block Insurance Policy on 1 April 2016;
- (2) that the Council continues to administer and provide the block buildings insurance scheme for privately owned ex-Council properties;
- (3) that authority be delegated to the Strategic Lead – Resources, to re-tender the “Right to Buy” Buildings Block Insurance Policy with a new contract to come into effect from 1 April 2017 for an initial contract period of 3 years with an option to extend by a further two one year periods;
- (4) to delegate authority to the Tendering Committee to award the contract at (3) above;
- (5) that in the tender process the Strategic Lead – Resources has the power to vary the scheme’s terms as may be required in terms of excess levels and/or insurance coverage, as noted in the report; and
- (6) to note that scheme members will be provided with information on progress.

On a vote being taken, 3 Members voted for the amendment and 8 for the motion which was accordingly declared carried.

HOME CONTENT INSURANCE FOR COUNCIL TENANTS AND PRIVATE OWNED EX-COUNCIL PROPERTIES

A report was submitted by the Strategic Lead – Resources providing an update on the provision of content insurance by the Council to council tenants and owners of former Council houses and seeking approval for its provision going forward.

After discussion and having heard the Strategic Lead – Resources in further explanation and the Business Support Manager in answer to Members' questions, Councillor Ryall, seconded by Councillor Rainey, moved the recommendations in the report, as follows:-

That the Committee agrees:-

- (1) to note the position with regard to the current service provision;
- (2) that the Council continues to provide the service when the current contract comes to an end on 4 January 2017 with options identified for the scheme's administration to be considered through the tendering process;
- (3) to note that as part of the procurement process, a strategy will be developed and market research undertaken to determine the market's capability and willingness to provide this service and that the route to market will consider all available options for service delivery;
- (4) that authority be delegated to the Strategic Lead Resources, to re-tender and award the "Home Content" Insurance Policy to the most economically advantageous tenderer with a new contract to come into effect from 5 January 2017; and
- (5) to note that scheme members will be provided with information on progress.

As an amendment, Councillor McColl, seconded by Councillor Finn, moved:-

That the Committee agrees:-

- (1) to note the position with regard to the current service provision;
- (2) that the Council continues to provide the service when the current contract comes to an end on 4 January 2017 with options identified for the scheme's administration to be considered through the tendering process;
- (3) to note that as part of the procurement process, a strategy will be developed and market research undertaken to determine the market's capability and willingness to provide this service and that the route to market will consider all available options for service delivery;

- (4) that authority be delegated to the Strategic Lead Resources, to re-tender the “Home Content” Insurance Policy with a new contract to come into effect from 5 January 2017; and
- (5) to delegate authority to the Tendering Committee to award the contract at (4) above;
- (6) to note that scheme members will be provided with information on progress.

On a vote being taken, 3 Members voted for the amendment and 8 for the motion which was declared carried.

ELECTED MEMBER DEVELOPMENT

A report was submitted by the Strategic Lead – People & Technology providing an update on Elected Member development undertaken through the annual seminar programme and Personal Development Planning (PDP).

After discussion and having heard the Strategic Lead – People & Technology in further explanation and in answer to Members’ questions, the Committee agreed to note the content of the report, including the summary at Appendix A of member participation across the 2015/16 programme, and the proposed programme for 2016/17 outlined at Appendix B to the report.

REVISIONS TO CODE OF CONDUCT FOR EMPLOYEES

A report was submitted by the Strategic Lead – People & Technology providing an update on revisions to the Code of Conduct for Employees, and seeking approval of the revised Code.

After discussion and having heard the Strategic Lead – People & Technology in further explanation and in answer to Members’ questions, the Committee agreed to approve the revised Code of Conduct for Employees.

COUNCIL WORKFORCE PLAN

A report was submitted by the Strategic Lead – People & Technology providing an update in respect of the Council’s workforce planning activity for 2016/17.

After discussion and having heard the Strategic Lead – People & Technology and Strategic HR Manager in further explanation and in answer to Members’ questions, the Committee agreed:-

- (1) to approve the Council Workforce Plan for 2016/17; and
- (2) to approve the planned review of the Council Workforce Planning Strategy & Framework.

WORKING WELL TOGETHER – ATTENDANCE MANAGEMENT: QUARTER 1

A report was submitted by the Strategic Lead – People & Technology advising on attendance levels across the Council for Quarter 1 (April – June 2016).

After discussion and having heard the Strategic Lead – People & Technology and Strategic Director in further explanation and in answer to Members' questions, the Committee agreed:-

- (1) to note, with satisfaction, the content of the report and the attendance results for Q1 2016/17, namely a significant decrease of 1799 days lost (21.3%) compared to the same period last year; and
- (2) to note that a revised methodology for calculating absence had been adopted consistent with national guidance and to more accurately reflect the workforce demographics.

The meeting closed at 3.17 p.m.

JOINT CONSULTATIVE FORUM

At a Meeting of the Joint Consultative Forum held in Committee Room 3, Council Offices, Garshake Road, Dumbarton on Thursday, 1 September 2016 at 2.05 p.m.

Present: Councillors David McBride and Kath Ryall; James Halfpenny (EIS); Claire Mackenzie (SSTA); Val Jennings, Simon Macfarlane and Peter O'Neill (UNISON); and Charlie McDonald, Jackaleen McMonagle and Margaret Wood (Unite).

Attending: Angela Wilson, Strategic Director - Transformation and Public Service Reform; Vicki Rogers, Strategic Lead - People and Technology; Malcolm Bennie, Strategic Lead - Communications, Culture and Communities; Ronnie Dinnie, Strategic Lead - Environment and Neighbourhood; Soumen Sengupta, Head of Strategy, Planning and Health Improvement; Alison McBride, Organisational Development and Change Manager; Darren Paterson, Strategic HR Manager; Matthew Boyle, Education Service Manager - Workforce/CPD; Linda Butler, Events and Employee Engagement Lead; Lorraine Mair, Organisational Development and Change Lead; Tracy Keenan, HR Business Partner; Michelle McAloon, Lead HR Adviser; Nigel Ettles, Principal Solicitor; and Scott Kelly, Committee Officer.

Apologies: Apologies for absence were intimated on behalf of Councillors George Black, Jim Finn, Patrick McGlinchey, Tommy Rainey and Gail Robertson, and Susan Shannon (UNISON).

APPOINTMENT OF VICE CHAIR AND JOINT SECRETARIES

In the absence of the Chair of the Forum, Councillor McGlinchey, the Principal Solicitor requested that the Forum give consideration, in terms of its constitution, to the appointment of the Vice Chair of the Forum who would serve until June 2017.

It was agreed that Jackaleen McMonagle (Unite) be nominated as Vice Chair and that she would chair the present meeting. Accordingly, Ms McMonagle assumed the Chair.

Jackaleen McMonagle in the Chair

Ms McMonagle then sought nominations for Joint Secretaries to the Forum who would serve until June 2017. It was agreed that Vicki Rogers, Strategic Lead - People and Technology, be nominated as Joint Secretary for the Council Side and that Val Jennings (UNISON) be nominated as Joint Secretary for the Trade Union Side.

DECLARATIONS OF INTEREST

It was noted that there were no declarations of interest in any of the items of business on the agenda.

MINUTES OF PREVIOUS MEETING

The Minutes of Meeting of the Joint Consultative Forum held on 9 June 2016 were submitted and approved as a correct record.

PENSION CHANGES

A report was submitted by the Strategic Lead - People and Technology providing an update on pension changes and in particular Auto Enrolment, changes to state pension and the membership profile.

Following discussion and having heard the Strategic Lead - People and Technology in further explanation of the report and in answer to Members' questions, the Forum noted the positive increase in pension membership and thereafter agreed to note the content of the report.

EMPLOYEE SURVEY 2015 – IMPROVEMENT PLAN PROGRESS

A report was submitted by the Strategic Lead - Communications, Culture and Communities and the Strategic Lead - People and Technology providing an update on the improvement plan implemented to address the 2015 employee survey results.

Having heard the Strategic Lead - People and Technology and the Events and Employee Engagement Lead in further explanation of the report and in answer to a Member's question, the Forum agreed to note the content of the report and the progress outlined in its appendix.

UPDATE ON PERFORMANCE AND DEVELOPMENT PLANNING (PDP) PROGRESS

A report was submitted by the Strategic Lead - People and Technology:-

- (1) providing an update on the number of employees who had received an assessment for the 2015/16 PDP and summarising the assessment ratings by Strategic Lead areas; and
- (2) providing an update on the outcome of the quality monitoring exercise of the PDP process and the resulting actions.

There was also submitted (tabled) a revised version of Table 1 contained within the report which showed, by Strategic Lead areas, the up to date position in relation to the percentage of staff for whom end of year PDP assessments had been completed.

After discussion and having heard officers in further explanation of the report and in answer to Members' questions, the Forum agreed:-

- (1) to note that the Strategic Lead - People and Technology had invited Mr McDonald to discuss with her, out-with the meeting, any particular concerns he had in relation to the completion of PDPs in sections with large numbers of employees; and
- (2) otherwise to note the content of the report.

WORKING WELL TOGETHER: QUARTER 1 2016/2017

A report was submitted by the Strategic Lead - People and Technology providing an update on the levels of attendance within West Dunbartonshire Council and the actions progressed through the Attendance Working Group, as part of the Working Well Together campaign.

After discussion and having heard the Strategic Lead - People and Technology and the HR Business Partner in further explanation of the report and in answer to Members' questions, the Forum agreed:-

- (1) to note that the Strategic Lead - People and Technology had invited Ms Wood to discuss with her and the Head of Strategy, Planning and Health Improvement, outwith the meeting, any particular concerns she had in relation to the non-filling of vacancies in the Health & Social Care Partnership;
- (2) to note the content of the report and the absence results for quarter 1 2016/17, namely a significant decrease of 1799 days lost (21.3%) compared to the same period last year; and
- (3) to note that a revised methodology for calculating absence has been adopted in recognition of the developments in the national guidance and to more accurately reflect the workforce demographics.

DISCIPLINE, GRIEVANCE AND DIGNITY AT WORK – QUARTER 1 UPDATE (1 APRIL 2016 – 30 JUNE 2016)

A report was submitted by the Strategic Lead - People and Technology advising of progress on discipline, grievance and dignity at work cases for the period 1 April 2016 to 30 June 2016.

Having heard the Strategic Lead - People and Technology and the Lead HR Adviser in further explanation of the report and in answer to a Member's questions, the Forum agreed to note the content of the report.

MINUTES OF DEPARTMENTAL JOINT CONSULTATIVE COMMITTEES, HEALTH & SAFETY MEETINGS AND EMPLOYEE LIAISON GROUP

A report was submitted by the Strategic Lead - People and Technology providing the minutes from departmental Joint Consultative Committees (JCCs), Health & Safety meetings and Employee Liaison Group (ELG) meetings for the period 1 April 2016 to 30 June 2016.

Having heard the Lead HR Adviser in explanation of the report, the Forum agreed to note the content of the report.

Note: Mr McDonald left the meeting at this point.

TRADES UNIONS ISSUES

Policy Sign Off (item requested by Joint Trades Unions)

The Forum heard from Mr O'Neill who informed the Forum that at a recent Employee Liaison Group meeting agreement had been reached in respect of the Trades Unions 'signing off' on policy documents.

Having heard the Strategic Lead - People and Technology it was noted that in the future the version control sheet at the beginning of policy documents would detail when agreement on the policy had been agreed with the Trades Unions.

The meeting closed at 3.15 p.m.

WEST DUNBARTONSHIRE COUNCIL

Report by Strategic Lead - Resources

Corporate Services Committee: 9th November 2016

Subject: Write-Off of Miscellaneous Income Debtor Accounts and Council Tax - Quarter 2, 2016/17

1. Purpose

- 1.1** The purpose of this report is to seek Committee approval for the write off of debts in respect of miscellaneous income debtor accounts and council tax accounts, which have been deemed as irrecoverable during Quarter 2 2016/17, arising from various years and reasons as detailed in the Appendices.

2. Recommendations

- 2.1** It is recommended that the Committee approve the write-off of miscellaneous income debt valued at £1,080.00; and council tax debt of £36,994.86.
- 2.2** It is recommended that the Committee note the comments at 4.3 in relation to the proposed increase to the Financial Regulation D4 which gives the Strategic Lead – Resources authority to write-off individual debts up to £1,000.

3. Background

- 3.1** Miscellaneous income debtor accounts are issued to individuals and organisations for the use of Council services. The Council's annual billing amount for miscellaneous income debtors is £18.5m of which approximately 80% is collected in the year it is billed. In certain circumstances these debts may become uncollectable.
- 3.2** Council Tax accounts are generated for residential properties in our area. In 2015/16, the Council's gross charge for council tax was £46.6m of which 94.45% was collected in the year it was billed. In certain circumstances these debts may become uncollectable.
- 3.3** Financial Regulation D4 gives the Strategic Lead - Resources authority to write-off individual debts up to £1,000. The Strategic Lead - Resources is required to seek the approval of Members prior to writing off any debt in excess of £1,000.
- 3.4** At Corporate Services Committee on 10 August 2016, Committee asked officers to review the level of write-off that is referred to members for consideration.

4. Main Issues

- 4.1** Miscellaneous debts totalling £1,080.00 are submitted for write off. Appendix 1 outlines the dates and reasons for write off.
- 4.2** Council tax debts totalling £36,994.86 are submitted for write off. Appendix 2 outlines the dates and reasons for the write off.
- 4.3** Officers have benchmarked with other Scottish Councils and have identified that generally the level of write-off which requires Committee approval is £5,000. It is therefore recommended that a report is produced for the Council meeting in December to propose that the Strategic Lead – Resources revise the Council's Financial Regulations to this new level.

5. People Implications

- 5.1** There are no people implications.

6. Financial & Procurement Implications

- 6.1** The value of miscellaneous income debtor accounts and council tax debt, being written off, can be accommodated within the Council's bad debt provision. There are no procurement implications.

7. Risk Analysis

- 7.1** If write offs are not approved this will affect the monitoring of performance against targets for performance indicators and budget monitoring.

8. Equalities Impact Assessment (EIA)

- 8.1** No significant issues were identified in a screening for potential equality impact of this report.

9. Strategic Environmental Assessment (SEA)

- 9.1** There is no requirement to carry out a SEA.

9. Consultation

- 9.1** The views Legal Services have been requested on this report and have advised there are neither any issues nor concerns with the proposal.

10. Strategic Assessment

- 10.1** The write-off of uncollectible miscellaneous income debtors accounts forms part of the financial governance of the Council. Sound financial practice and

budgetary control are imperative to assist with the governance of the Council and supports officers of the Council in achieving the five strategic priorities

.....
Stephen West
Strategic Lead - Resources
Date: 25th October 2016

Person to Contact: Ryan Chalmers, Section Head (Revenues & Benefits),
Garshake Road. Telephone (01389) 737557.
Email: ryan.chalmers@west-dunbarton.gov.uk

Appendices: Appendix 1: Summary of Miscellaneous Income Write Off
by Year and Reasons

Appendix 2: Summary of Council Tax Write Off by Year
and Reasons

Background Papers: Detailed list of proposed write offs

Wards Affected: All Council wards.

Appendix 1-Summary of Miscellaneous Income Write Off by Category and Year

Year	Miscellaneous Income Debtors	
	Prescribed	Total
2012/2013	£1,080.00	£1,080.00
Totals	£1,080.00	£1,080.00

Note

Prescribed:

Prescribed is the legal terminology under the Prescription & Limitations (Scotland) Act 1973. This means a debt cannot be enforced after 5 years from the date it became due. The period applies in the absence of a relevant claim e.g. a court decree, summary warrant, or acknowledgement of the debt via letter or payment. Where a relevant claim has been made, statute advises that all debts cannot be legally collected after 20 years of the last payment or acknowledgment of the debt and a debt becomes prescribed at that point.

Appendix 2-Summary of Council Tax Write Off by Category and Year

	Council Tax Account
Year	Deceased
1996/1997	£460.35
1997/1998	£22.74
1998/1999	£96.77
1999/2000	£121.33
2000/2001	£143.22
2001/2002	£213.33
2002/2003	£187.86
2003/2004	£506.66
2004/2005	£1,624.61
2005/2006	£2,195.85
2006/2007	£3,154.84
2007/2008	£3,637.01
2008/2009	£3,794.88
2009/2010	£3,507.49
2010/2011	£3,660.11
2011/2012	£3,310.27
2012/2013	£3,707.67
2013/2014	£2,911.95
2014/2015	£2,006.51
2015/2016	£1,575.16
2016/2017	£104.01
Totals	£36,994.86

Note

Deceased:

When someone dies that owes debt we contact the executor of the estate and check records to determine whether any estate exists against which a claim could be made.

WEST DUNBARTONSHIRE COUNCIL

Report by Strategic Lead – Communications, Culture & Communities

Corporate Services Committee: 9 November 2016

Subject: Communications, Culture & Communities Delivery Plan 2016/17: Mid-Year Progress

1 Purpose

- 1.1** The purpose of this report is to set out the mid-year progress of the Communications, Culture & Communities Delivery Plan 2016/17 actions.

2 Recommendations

- 2.1** It is recommended that the Committee notes the contents of this report and the progress achieved at mid-year.

3 Background

- 3.1** West Dunbartonshire Council implemented a new organisational structure on 1 April 2016. This structure aligns services to 8 Strategic Leads and 4 Heads of Service (H&SCP) who act as advisors to the Chief Executive in their respective areas. In addition, the Chief Executive is supported by three Strategic Directors, one of whom operates as the Chief Officer of the Health and Social Care Partnership.
- 3.2** Each Strategic Lead has developed a delivery plan for 2016/17. This sets out actions to address the key issues identified in the planning process as well as actions to deliver the Council's strategic objectives. It also provides an overview of its services and resources, including employees and budgets, and considers the relevant risks.
- 3.3** The strategic delivery plans were approved by the relevant committee/s and a commitment was made to submit a mid-year progress report.

4 Main Issues

Delivery Plan

- 4.1** Appendix 1 sets out the progress of all delivery plan actions at mid-year. 22 of the 24 actions detailed in the delivery plan are progressing as planned and all actions are on track for delivery by March 2017.

- 4.2** An annual progress report on the delivery plan, including performance indicators and risks, will be submitted to committee at year end.

Self-Evaluation Programme

- 4.3** The Council has agreed a three year self-evaluation programme using the recently revised West Dunbartonshire Self-Evaluation Framework. This utilises a checklist approach, implemented through an online survey. Over the three year programme, all Council services that are not subject to an external evaluation will undertake self-evaluation, with 11 scheduled in the first year.
- 4.4** Within the Communications, Culture & Communities service area, a self-evaluation is currently in progress for the Policy, Planning & Performance team. This is progressing as planned, with a target completion date of 30 November 2016.

Customer Feedback – Complaints

- 4.5** A key focus in the development of the strategic delivery plans was ensuring that we capture learning from the range of mechanisms that provide customer feedback. Central to this approach is ensuring we capture learning and make improvements to service delivery based on complaints.
- 4.6** Between 1 April and 30 June this year, the Communications, Culture and Communities service area received a total of 5 complaints, all of which were Stage 1 complaints. During the same period, 4 complaints were closed, all at Stage 1.
- 4.7** 50% of complaints closed at Stage 1 met the 5 working days target for resolving complaints and 50% took longer than this. Of the 4 complaints closed at Stage 1, 3 were upheld.
- 4.8** Between 1 July and 30 September, Communications, Culture and Communities service area received a total of 9 complaints, all of which were Stage 1 complaints. During the same period 11 complaints were closed, all at Stage 1. 54% of complaints closed at Stage 1 met the 5 working days target and 46% took longer than this. Of the 11 complaints closed at Stage 1, 4 were upheld.

Customer Feedback – Residents' Telephone Survey

- 4.9** A telephone survey of 300 residents is carried out every quarter to gauge satisfaction levels with a range of Council services. Residents express satisfaction with libraries overall, with the quality of customer service, and with the Council website. These services sit within the Communication, Culture and Communities Strategic area.

Workforce Planning

- 4.10** Each strategic delivery plan has a supporting workforce plan, attached as appendix 2, which is developed to highlight and plan for the management of key workforce issues which are necessary to fully support the delivery of the plan. These workforce issues have significant implications in terms of organisational change, resource planning, resource profiling, skill mix, training and development and restructuring.

5 People Implications

- 5.1** There are no direct people implications arising from this report.

6 Financial & Procurement Implications

- 6.1** There are no direct financial or procurement implications arising from this report.

7 Risk Analysis

- 7.1** Failure to deliver on the actions assigned to the strategic area may have a direct impact on the delivery of the Council's Strategic Plan. It is essential that remedial action is taken to ensure strategic delivery plans achieve the commitments detailed and approved.

8 Equalities Impact Assessment

- 8.1** As this report details progress on an action plan already agreed, there is no requirement for equalities screening or impact assessment.

9 Consultation

- 9.1** This report provides an update on the progress achieved across the strategic area, drawing from information provided by officers.

10 Strategic Assessment

- 10.1** The strategic delivery plan sets out actions to support the successful delivery of all 5 strategic priorities of the Council.

Malcolm Bennie

Strategic Lead – Communications, Culture & Communities

Date: 11 October 2016







Person to Contact: Amanda Coulthard
Manager of Corporate and Community Planning
Council Offices, Garshake Road, Dumbarton G82 3PU
Tel: 01389 737271
E-mail: Amanda.Coulthard@west-dunbarton.gov.uk

Appendix: Appendix 1: Communications, Culture & Communities
Delivery Plan 2016/17 - Mid-Year Progress (Actions)

Background Papers:





Wards Affected: All wards

Appendix 1: Communications, Culture & Communities Delivery Plan 2016/17 - Mid-Year Progress

Social Mission						
Improve life chances for children and young people						
	Action	Status	Progress	Due Date	Comment	Assigned To
	Develop strategies for children and young people through engagement activities in schools		<div><div>57%</div></div>	31-Mar-2017	This action is progressing well and on target. Youth Music funding has been successfully secured for another 12 months, and positive relationships and working between Education and Dance Development established. Statistical information has been gathered from across the Instrumental music Service and will be analysed and monitored over the coming weeks/months.	Gill Graham; Joe Traynor
	Promote and deliver a range of national initiatives and programmes that support reading, literacy and learning for all		<div><div>38%</div></div>	31-Mar-2017	On target and progressing as planned. Every P1 and S1 pupil in West Dunbartonshire has received a library membership card as part of their enrolment as part of the 'I Love My Library' Campaign. 2016's Booked Festival was very successful exceeding targets at 78% capacity for its 17 public events, 5 of which were sold out.	Gill Graham; John Rushton
Social Mission						
Improve local housing and environmentally sustainable infrastructure						
	Action	Status	Progress	Due Date	Comment	Assigned To
	Deliver recycling campaigns focused on supporting service improvement		<div><div>66%</div></div>	31-Mar-2017	Progressing as planned with 5 of 8 milestones delivered at midyear.	Amanda Graham
	Deliver rent arrears campaigns focused on supporting service improvement		<div><div>16%</div></div>	31-Mar-2017	Progressing slower than planned. This partnership project with Housing is important and complex. We are taking the time needed to ensure the campaign has the best possible chance of success, and still be launched within 2016/17.	Amanda Graham
Social Mission						
Improve the well being of communities and protect the welfare of vulnerable people						
Code	Action	Status	Progress	Due Date	Comment	Assigned To
	Continue the Do the Right Thing campaign to support Greenspace to achieve their litter targets		<div><div>42%</div></div>	31-Mar-2017	Progress has been made to finalise artwork for phase three of this campaign, and we are now close to approval from Greenspace and subsequent roll-out.	Amanda Graham
	Continue successful roll-out and embedding of the Macmillan Project in public libraries		<div><div>66%</div></div>	30-Sep-2018	The Macmillan project is progressing well and exceeding expectations. 3 Macmillan 'drop-ins' have been established in Dumbarton, Clydebank and Alexandria Libraries; with 5 Macmillan information points available in the remaining 5 public libraries. In Q1 there have been 76 service users, 13 volunteers signed up resulting in 335 volunteer hours. The refurbishment of Balloch Library has meant a slight delay to the roll out of Macmillan drop-ins at Balloch and Dalmuir Libraries however this is now on track for November.	Gill Graham; John Rushton


Organisational Capabilities







Committed and dynamic workforce

Action	Status	Progress	Due Date	Comment	Assigned To
Deliver successful employee engagement and recognition activity		<div><div>66%</div></div>	31-Mar-2017	All activity progressing as planned. Activity is now focused on the 2017 employee recognition event	Linda Butler
Ensure customer service quality standards are embedded across the organisation		<div><div>50%</div></div>	31-Mar-2017	This activity is progressing as planned with 2 of 4 milestones delivered.	Stephen Daly
Develop and enhance customer service training for staff		<div><div>33%</div></div>	31-Mar-2017	1 of 3 milestones delivered and activity progressing as planned on review and further development of training	Stephen Daly
Embed the strategic improvement framework across the organisation		<div><div>75%</div></div>	31-Mar-2017	This action is progressing well with the new approach to strategic planning at organisation and service level agreed and in the process of implementation.	Amanda Coulthard

Organisational Capabilities



Fit for purpose estate and facilities

Action	Status	Progress	Due Date	Comment	Assigned To
Ensure Libraries & Cultural Services venues are well established and fit for purpose in local areas		<div><div>33%</div></div>	31-Mar-2018	2 of 6 milestones in this action are now completed on track. A procurement process has taken place establishing an external 12 month Catering Contract for events generating additional income. CTH management team is now complete and a review of staffing roles is ongoing. A new business plan is being progressed. Plan and costing for capital improvements to the reception and café areas are complete with work planned for Q4 2016/17 and Q1 2017/18.	Gill Graham; John Rushton

Organisational Capabilities						
Innovative use of information technology						
	Action	Status	Progress	Due Date	Comment	Assigned To
	Lead the Council channel shift agenda		<div><div>57%</div></div>	31-Mar-2017	4 of 7 milestones delivered on this action. The delivery of My Account and the Customer Portal, which has been sourced, will establish the technological requirements to complete the final 3 milestones. This action is on track and will be delivered as scheduled.	Stephen Daly
	Implement an accessible and customer focused model of customer service		<div><div>20%</div></div>	31-Mar-2017	1 of 5 milestones delivered. Activity for delivery of this action is weighted towards year end	Stephen Daly
	Increase the capacity of the Council to provide transactional services through digital channels to residents on a 24/7 basis		<div><div>50%</div></div>	31-Mar-2017	2 of 4 milestones delivered for this action	Stephen Daly
	Develop a community hub model through libraries		<div><div>25%</div></div>	31-Mar-2017	A review of Libraries & Cultural Services will in October. Areas this will explore include the potential to bring together a range of WDC services, community and external organisations into libraries including customers services, and HSCP. The review will also explore partnerships between contact centres, customer services and libraries with the aim of promoting public libraries as 'community hubs'.	Gill Graham
	Work in partnership with the private and third sectors to promote schemes that provide low cost PCs and tablets for local residents on benefits		<div><div>60%</div></div>	31-Mar-2017	As part of the capital improvement works at Balloch Library a partnership has been agreed with the Wheatley Group to enhance the existing public access IT provision through its Click & Connect programme. Through this pilot, and a further partnership developed with West College, this project will offer an opportunity to facilitate access to low cost IT equipment (laptops/tablets) for customers in receipt of benefits on signing up to courses or on-line learning modules provided by Click & Connect partners. Over the coming months we will continue to liaise with our IS colleagues and Scottish Government Departments to identify an appropriate recommended source.	Gill Graham
Organisational Capabilities						
Strong financial governance and sustainable budget management						
	Action	Status	Progress	Due Date	Comment	Assigned To
	Successfully support delivery of transformational projects (Council wide)		<div><div>75%</div></div>	31-Mar-2017	This project is progressing as planned. The new mail process is in place and working well.	Malcolm Bennie






Legitimacy and Support




Constructive partnership working and joined up service delivery

	Action	Status	Progress	Due Date	Comment	Assigned To
	Work with partners on the strategic connection of culture, civic and health quarter at Town Hall and Queens Quay		<div><div>50%</div></div>	31-Mar-2017	Action is on track and progressing in line with projected milestones. 2 of 4 milestones have been delivered	Gill Graham
	Ensure Community Planning West Dunbartonshire delivers on requirements of new legislation		<div><div>33%</div></div>	31-Mar-2017	Development of Local Outcome Improvement Plan in line with new legislation is progressing as planned. All activity on track for delivery by March 2017 as planned.	Amanda Coulthard

Legitimacy and Support

Positive dialogue with local citizens and communities

Code	Action	Status	Progress	Due Date	Comment	Assigned To
	Ensure effective dialogue with local residents through print and online communication		<div><div>50%</div></div>	31-Mar-2017	Activity progressing as planned. With 10 of 20 milestones complete.	Amanda Graham
	Improve complaints processes and responsiveness across the council to deliver an outcome focused service		<div><div>66%</div></div>	31-Mar-2017	2 of 3 milestones complete for this action. Final milestone will be delivered by year end as planned	Stephen Daly
	Refocus arts programme to maximise impact on communities through events and "festivals" increasing participation and profile		<div><div>50%</div></div>	31-Mar-2017	Action progressing on track with Winter festival programme now established. The 'mini' summer arts festival at Town Hall in July 2016 included 10 events achieving 76% capacity. Events included Scottish Opera Northern Lights, Sing along Grease, Songs from the Shipyards and Location Photography workshops.	Gill Graham; Joe Traynor
	Provide data profiling and analysis support to key projects across the organisation		<div><div>40%</div></div>	31-Mar-2017	2 of 5 milestones complete. Further activity will be progressed following publication of LGBF	Amanda Coulthard
	Support new models of engagement to inform development of Strategic Objectives for 2017 onwards		<div><div>25%</div></div>	31-Mar-2017	Engagement Framework for the organisation under review and new models being scoped.	Amanda Coulthard

Action Status	
	Check Progress
	Not Started or In Progress
	Completed

Appendix 2 – Communication, Culture and Communities Workforce Plan 2016/17

2016/17 Communication, Culture and Communities Workforce Plan

Introduction

The purpose of this Workforce Plan is to highlight and plan for the management of key workforce issues which are necessary to fully support the delivery of the Service Plan. These workforce issues cover the full period of the Service Plan and have significant implications in terms of organisational change, resource planning, resource profiling, skill mix, training and development and restructuring.

The plan is broken down as follows:

1. Summary of the Key Service Priorities/Issues and Resource Implications
2. Longer term Key Service Priorities/ Issues and Resource implications

1. Summary of the Key Service Priorities/Issues and Resource Implications

Part A: Details priorities or issues, which will happen and conclude during the current financial year and their implications.

Priority/ Issues	Resource or Skill implication	Action required	Cost / Saving	Lead Officer	Mid Year Update
Review delivery models to ensure they are robust and deliver best value.	Time resource to conduct comprehensive review	Conduct review of delivery models	n/a	M Bennie	In progress
Seek opportunities to work in collaboration with other services and partners to deliver innovative services	Possible upskill required in existing team to deliver innovation	Review skill level in own team and partner services	Efficient and enhanced delivery of services through sharing of resources	M Bennie	In progress
Seek opportunities for expanding the services available in our current facilities	Possible increase in headcount as a result of expansion / contract review as a result of service delivery	After consideration of options, develop project / consultation plan	To be identified	M Bennie	In progress
Develop a community hub model through libraries	Possible contractual revisions required	Conduct review	To be identified	G Graham	In progress

Implement an accessible and customer focussed model of customer services	Possible contractual revisions required	Review and implementation of new model	To be identified	S Daly	In progress
Increase the capacity of the Council to provide transactional services through digital channels to residents on a 24/7 basis	Review of existing contracts. Upskilling of staff to deliver channel shift	Review resources / conduct skills gap analysis.	To be identified.	S Daly	In progress
Improve complaints processes and responsiveness across the Council	Rationalisation of processes may lead to resource efficiency / resource upskill.	Comprehensive review – development of project plan including employee consultation	To be identified	S Daly	In progress

2. Longer term Key Service Priorities / Issues and Resource implications

This section details priorities or issues, which will start in the next financial year but will conclude beyond this period or have been agreed in this financial year but will commence at a later date.

Period that priority will impact over	Priority/ Issues	Potential resource or skill implication	Potential actions required	Cost / Saving	Lead	Mid Year update
2017/18	Develop savings options to deliver up to 4% budget saving	Review available resources / opportunities for income generation	Service Review / Service Expansion / Exploration of Shared Services	To achieve 4% saving	M Bennie	In progress

WEST DUNBARTONSHIRE COUNCIL

Report by Strategic Lead – People and Technology

Corporate Services Committee: 9 November 2016

Subject: People and Technology Delivery Plan 2016/17: Mid-Year Progress Report

1 Purpose

- 1.1** The purpose of this report is to set out the mid-year progress of the People and Technology Delivery Plan 2016/17 and workforce actions.

2 Recommendations

- 2.1** It is recommended that the Committee notes the contents of this report and the progress achieved at mid-year.

3 Background

- 3.1** West Dunbartonshire Council implemented a new organisational structure on 1 April 2016. This structure aligns services to 8 Strategic Leads and 4 Heads of Service (H&SCP) who act as advisors to the Chief Executive in their respective areas. In addition, the Chief Executive is supported by three Strategic Directors, one of whom operates as the Chief Officer of the Health and Social Care Partnership.
- 3.2** Each Strategic Lead has developed a delivery plan for 2016/17 and a supporting workforce plan. This sets out actions to address the key issues identified as part of the service planning process as well as actions to deliver the Council's strategic objectives. It also provides an overview of its' services and resources, including employees and budgets, and considers the relevant risks.
- 3.3** The strategic delivery plans were approved by the relevant committee/s earlier this year and a commitment was made to submit a mid-year progress report with the addition of the workforce plan (Appendix 2).

4 Main Issues

Delivery Plan

- 4.1** Appendix 1 sets out the progress of all delivery plan actions at mid-year. 20 of the 21 actions detailed in the delivery plan are progressing as planned and on track for delivery by March 2017, with one action already complete.

- 4.2** An annual progress report on the delivery plan, including performance indicators and risks, will be submitted to committee at year end.

Self-Evaluation Programme

- 4.3** The Council has agreed a three year self-evaluation programme using the recently revised West Dunbartonshire Self-Evaluation Framework. This utilises a checklist approach, implemented through an online survey. Over the three year programme, all Council services that are not subject to an external evaluation will undertake self-evaluation, with 11 scheduled in the first year.
- 4.4** Within the People and Technology service area, a self-evaluation is currently in progress for the Health & Safety team. This is progressing as planned, with a target completion date of 31 October 2016.

Customer Feedback

- 4.5** A key focus in the development of the strategic delivery plans was ensuring that we capture learning from the range of mechanisms that provide customer feedback and improve service delivery based on complaints.
- 4.6** Between 1 April and 30 June this year, 2 complaints were recorded against the People and Technology service area. During the same period, 2 complaints were closed, both at Stage 1. 100% of complaints closed at Stage 1 met the 5 working days target for resolving complaints. On investigation, while these complaints related to employee conduct, they were not employees of People and Technology, having simply been assigned there to be dealt with. In future these types of complaints will be assigned to (where appropriate) and recorded against the service area within which the person works. Between 1 July and 30 September, People and Technology did not receive any complaints.
- 4.7** A telephone survey of 300 residents is carried out every quarter to gauge satisfaction levels with a range of Council services. While none of the questions covered by the survey relate specifically to the People and Technology service area, the survey does report a good overall satisfaction with the accessibility of the Council.
- 4.8** Within the People and Technology Service, individual teams undertake a range of surveys and processes to secure robust feedback:
- 4.8.1** ICT conducts an annual customer satisfaction survey to help inform service improvement actions. The most recent annual survey has resulted in changes to service cover, additional self-service tools and implementation of a new email system with increased capacity.

- 4.8.2** The Organisational Development and Change team use a range of tools for gathering feedback. In supporting transformation projects, staff feedback is secured through the use of a barometer and specific surveys, covering areas such as support received, improvements achieved and staff morale. The team also utilise an external evaluation tool for assessing project delivery through the change board and have collaborated with the Scottish Future Trust on the use of surveys and analysis of workforce data in relation to Workplace of the Future.
- 4.8.3** Gathering feedback and views from the workforce is essential for a service that delivers across the entire organisation; feedback comes from the employee survey, training needs analysis, sessions with senior managers and direct feedback from employees.

Workforce Plan

- 4.9** Each strategic delivery plan has a supporting workforce plan, attached as appendix 2, which is developed to highlight and plan for the management of key workforce issues which are necessary to fully support the delivery of the plan. These workforce issues have significant implications in terms of organisational change, resource planning, resource profiling, skill mix, training and development and restructuring.
- 4.10** In respect of the service and organisational issues identified, a number of development are worthy of mention: the skills transfer of workforce management has begun with HR Connect rotating into this role; large scale change projects are investing in change support with resources hosted within the corporate team; Document Support Officer has been in post for a few months and is successfully driving changes in storage, retention and destruction of documents; and the re-alignment and reduction in resources across the service area will be implemented in advance of 2017/18.

5 People Implications

- 5.1** There are no direct people implications arising from this report.

6 Financial & Procurement Implications

- 6.1** There are no direct financial or procurement implications arising from this report.

7 Risk Analysis

- 7.1** Failure to deliver on the actions assigned to the strategic area may have a direct impact on the delivery of the Council's Strategic Plan. It is essential that remedial action is taken to ensure strategic delivery plans achieve the commitments detailed and approved.

8 Equalities Impact Assessment

- 8.1** As this report details progress on an action plan already agreed, there is no requirement for equalities screening or impact assessment.

9 Consultation

- 9.1** This report provides an update on the progress achieved across the strategic area, drawing from information provided by officers.

10 Strategic Assessment

- 10.1** The strategic delivery plan sets out actions to support the successful delivery of all 5 strategic priorities of the Council.

Vicki Rogers
Strategic Lead - People and Technology
Date: 20 October 2016







Person to Contact: Jan McKinley, PPP Business Partner
Tel: (5) 6983
E-mail: Jan.McKinley@west-dunbarton.gov.uk


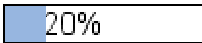




Appendix: Appendix 1: People and Technology Delivery Plan 2016/17 -
Mid-Year Progress
Appendix 2: People and Technology Workforce Plan
2016/17


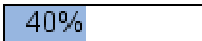






Background Papers: N/A


Wards Affected: All wards

Appendix 1: People & Technology Delivery Plan 2016/17 - Mid-Year Progress (Actions)





Objective Committed and dynamic workforce						
Action Code	Action Title	Status Icon	Status Progress Bar	Dates Due Date	Comment	Ownership Assigned To
PT/16-17/HR/001	Develop innovative strategies and best practice to support employee attendance and reduce absence			31-Mar-2017	3 out of 7 milestones complete (40%). All outstanding actions on track for completion by due date. Current focus - review of scope of Attendance Working Group, Absence Audit Action Plan, review of Bereavement Scheme pilot and campaign to improve recording of disability in HR21.	Tracy Keenan
PT/16-17/HR/002	Develop and maintain a robust employment framework (policies, systems and processes) in accordance with emerging case, legislation and good practice			31-Mar-2017	There are 3 milestones in relation to this action (one of which is complete). Of the remaining 2, neither is overdue and it is expected that the outcome will be achieved on time. A draft framework for the development, implementation and review of employment policies has been produced, with the next step being to engage with the Trade Unions to agree a final draft for submission to JCF. Policy development and review has not ceased whilst this framework is being developed, with work currently underway in relation to Special Leave, Excess Travel, Job Evaluation, Alcohol and Substance Misuse, Bereavement Leave, Recruitment and Selection, Secondment, Fixed-Term Employees and Supporting Employee Performance.	Darren Paterson
PT/16-17/HR/003	Implement 3rd Edition of SJC JE Scheme ensuring related processes are reflective of best practice and meeting organisational needs			31-Mar-2017	There are 3 milestones in relation to this action (one of which is complete in line with the due date). The other two are not complete, but not overdue and it is expected that the outcome will be achieved on time. 3rd Edition implemented in April 16 (with corresponding actions to ensure compliance with transitional protocol to allow implementation completed). Some ongoing actions required to ensure compliance with transitional protocol (e.g. monitoring of outcomes), which will be picked up as part of the wider review and monitoring	Darren Paterson

Action Code	Action Title	Status Icon	Status Progress Bar	Dates Due Date	Comment	Ownership Assigned To
					milestone. An action plan in relation to the remaining milestones has been developed, which includes commitment to present revised draft Policy to Committee for approval in November 16.	
PT/16-17/HR/004	Develop a Council Workforce plan, reflective of revised organisational structure that sustains a committed workforce that supports the organisation's current and future needs			31-Mar-2017	There are 5 milestones in relation to this action (one of which is complete in line with the due date). The other 4 are not complete, but not overdue and it is expected that the outcome will be achieved on time. Council-wide Workforce Plan approved by CS Committee August 16. Plans developed for individual Strategic Lead areas, which will be approved via Strategic Lead area Delivery Plan monitoring process. Review of Council's Workforce Planning Strategy & Framework in progress.	Darren Paterson
PT/16-17/HR/005	Deliver corporate and service transformation projects/structural changes in accordance with project plans and service requirements			31-Mar-2017	There are 2 milestones in relation to this action (one of which is complete in line with the due date). The other one is not complete, but not overdue and it is expected that the outcome will be achieved on time. Team aligned to new Strategic Lead service structure, although further work required to ensure efficiency/effectiveness of team structure and alignment to the wider organisational structure. Initial team development session took place in August 16, resulting in agreed team purpose and operating principles. Draft team structure options currently being scoped out. Plan to undertake customer feedback exercise during October 2016 to further inform team structure options and wider team development needs.	Darren Paterson
PT/16-17/HR/006	Work collaboratively with Occupational Health provider to maximise employee wellbeing and support			31-Mar-2017	There are 6 milestones in relation to this action, 2 of which are complete. Of the remaining 4, the timescales for one - 'ensuring that the Online Manager Referral System is fully operational' - have had to be extended. The original completion date was delayed to allow data verification in relation to Education to be completed following the summer holiday	Darren Paterson



Action Code	Action Title	Status Icon	Status Progress Bar	Dates Due Date	Comment	Ownership Assigned To
					period. System will be fully operational by 17th October. Initial discussion taken place with OH provider to explore opportunities to undertake more proactive role. Monitoring reports are produced and discussed with OH provider on a monthly basis. It is expected that the outcome will be achieved on time.	
PT/16-17/ICT/004	Deliver robust ICT input to 2016-17 transformational change projects			31-Mar-2017	Oct 16. Six milestones completed including Supporting Agresso upgrade, development of Risk and Members case management systems and a pilot of thin client technologies at a Primary school.	James Gallacher; Patricia Kerr
PT/16-17/OD/001	Promote a model of change and continuous improvement across the organisation			31-Mar-2017	3 out of 4 milestones complete. Change Workshop will be attended by all SMN. WDC Approach to change used in all transformation projects. WDC have received external national award for the approach.	Alison McBride
PT/16-17/OD/002	Enhance leadership and management development			31-Mar-2017	3 out of 4 milestones achieved. Training catalogue reviewed and booking process reviewed. Face to face Induction commenced. New leadership programme launched. Achieve values being embedded in recruitment process, induction, new leadership programme and will be key role in the forthcoming PDP review.	Alison McBride
PT/16-17/OD/003	Support and progress the Workplace of the Future programme			31-Mar-2017	3 out of 4 milestones complete. Masterclasses for managers commenced with positive feedback from managers. Supporting the review of the AWG. WotF is progressing with support currently being delivered in relation to Municipal, Clydebank Town Centre, Bridge St and New Dumbarton Office. Collaborating with Scottish Future Trust and 5 other councils in progressing this area. Change workshops/toolkit and website available to all staff and teams.	Alison McBride

Action Code	Action Title	Status Icon	Status Progress Bar	Dates Due Date	Comment	Ownership Assigned To
PT/16-17/OD/004	Ensure a corporate approach to project management		<div><div>75%</div></div>	31-Mar-2017	3 out of 4 milestones achieved. PM training running each month. Change Board governance monitored closely. Project clinics offered to support PMs. All paperwork is consistent and the compliance regime adhered to. Self evaluation of the PMO approach will shortly be undertaken.	Alison McBride





Objective Fit for purpose estates and facilities






Action Code	Action Title	Status Icon	Status Progress Bar	Dates Due Date	Comment	Ownership Assigned To
PT/16-17/BS/001	Implement statutory payroll changes		<div><div>100%</div></div>	31-Mar-2017	Year end processed completed, HMRC and pension returns submitted on time	Graham Hawthorn
PT/16-17/BS/002	Continue to implement HR payroll transformation including manual processes, development of WMS, better integration with WMS, greater self-service		<div><div>11%</div></div>	31-Mar-2017	Current focus on V8 and MC21 installation to test. Most recent version requires server upgrade - being scheduled with ICT. Most up to date version released however impact on current test schedule requires review of Go Live date (Likely move to January 2017 for full testing schedule to be completed) Reviewing specification for LD21 (Learning and Development module- initial review complete - improvements scheduled with WMS team. Some enhancements to be reconsidered by OD. Manager HR21 trigger report enhance with date range added - complete.	Stella Kinloch
PT/16-17/HS/001	Audit implementation of the Council's Health and Safety policies and arrangements		<div><div>0%</div></div>	31-Mar-2017	There are 3 milestones in relation to this action. Whilst none are complete, equally none are overdue (deadline for completion of Audits in relation to each Directorate area phased over Quarter 4) and it is expected that the outcome will be achieved on time.	John Duffy
PT/16-17/ICT/001	Deliver ICT support to the Property and Resource optimisation projects		<div><div>30%</div></div>	31-Mar-2017	Oct 16. Four milestones complete including Bellsmyre school campus IT fit out and relocation; Bridge St decant; Municipal Buildings relocations and compliance with PSN security requirements.	Patricia Kerr; Brian Miller

Objective Innovative use of information technology

Action Code	Action Title	Status Icon	Status Progress Bar	Dates Due Date	Notes & History Latest Note	Ownership Assigned To
PT/16-17/ICT/002	Review the ICT structure and roles in line with changing departmental technology and service requirements		<div><div>50%</div></div>	31-Mar-2017	Oct 16. Three service changes implemented (one as a pilot) following staff and TU consultation. ICT service cover available for all ICT teams, out of hours work for security patching agreed and staff rotation around various locations continues.	Patricia Kerr
PT/16-17/ICT/003	Extend the services enabled by shared environments and services		<div><div>28%</div></div>	31-Mar-2017	October 16. Two of the milestones complete and new opportunities being investigated with Inverclyde Council.	Patricia Kerr

Objective Strong corporate governance

Action Code	Action Title	Status Icon	Status Progress Bar	Dates Due Date	Notes & History Latest Note	Ownership Assigned To
PT/16-17/HS/002	Ensure a robust approach to corporate health, safety and risk through process of audit, inspection and compliance checks		<div><div>0%</div></div>	31-Mar-2017	There are 8 milestones in relation to this action. Whilst none are complete, equally none are overdue. Whilst the inspection programme has not yet started (it commences end October 2016), it is expected that the outcome will be achieved on time.	John Duffy
PT/16-17/HS/003	Ensure the Council has robust fire risk assessments in place per detailed plan		<div><div>50%</div></div>	31-Mar-2017	There are 6 milestones in relation to this action (3 of which are complete). Of the remaining 3, none are overdue. It is expected that the outcome will be achieved on time.	John Duffy
PT/16-17/HS/004	Implement the full functionality of the Council's Figtree system in conjunction with insurance team		<div><div>33%</div></div>	31-Mar-2017	There are 3 milestones in relation to this action (one of which is complete). Neither of the remaining 2 milestones are overdue and it is expected that the outcome will be achieved on time.	John Duffy
PT/16-17/HS/005	Ensure a robust approach to Council's resilience arrangements		<div><div>50%</div></div>	31-Mar-2017	1 milestone of 2 complete. Revised resilience service provision secured and now live.	Vicki Rogers

Action Status	
	Cancelled
	Overdue; Neglected
	Unassigned; Check Progress
	Not Started; In Progress; Assigned
	Completed

Appendix 2 – People and Technology Workforce Plan

2016/17 People and Technology Workforce Plan

Introduction

The purpose of this Workforce Plan is to highlight and plan for the management of key workforce issues which are necessary to fully support the delivery of the Service Plan. These workforce issues cover the full period of the Service Plan and have significant implications in terms of organisational change, resource planning, resource profiling, skill mix, training and development and restructuring.

The plan is broken down as follows:

1. Summary of the Key Service Priorities/Issues and Resource Implications
2. Longer term Key Service Priorities/ Issues and Resource implications

1. Summary of the Key Service Priorities/Issues and Resource Implications

Details priorities or issues, which will happen and conclude during the current financial year and their implications.

Priority/ Issues	Resource or Skill implication	Action required	Cost / Saving	Lead	Mid Year Progress
Continue to implement HR Payroll transformation including manual processes, development of WMS, better integration with WMS and greater self service	Resilience plan to support WMS team. Coaching for WMS users including skills development, guidance etc. Initial resource impact upon HR Connect	Identify contingency for WMS team Manager / Employee upskill / buy in factored into implementation plans	n/a	A Menon	In progress
Significant Change projects requiring OD&Change support	Insufficient short term resource to deliver change support	Large change projects to factor in funding to resource OD&Change support.	n/a	A McBride	In progress
Support and Progress Workplace of the Future programme	Support for document management element of the project required	Recruit Document Management Officer Recruit 2 MA to support project	Approx £40,000 (Funded)	A McBride	In progress

Deliver Corporate and Service transformation projects / structural changes in accordance with project plans and service requirements	Potential realignment of HR resource to support projects	Review Strategic HR team capability to maximise skill and resources available		D Patterson	In progress
Identify savings options within P&T	Possible reduction in FTE across P&T	Service Managers to identify savings options		V Rogers	In progress
Review the ICT structure and roles in line with changing departmental technology and service requirements	Possible realignment of resources required (staff and overtime budget). Contractual changes to deliver planned maintenance and extended Mon-Fri service.	Service Review Employee Consultation exercise TU consultation	Cost approx £4000 per annum in addition to existing overtime budget	P Kerr	In progress

2. Longer term Key Service Priorities/ Issues and Resource implications

This section details priorities or issues, which will start in the next financial year but will conclude beyond this period or have been agreed in this financial year but will commence at a later date.

Period that priority will impact over	Priority/ Issues	Potential resource or skill implication	Potential actions required	Cost	Mid Year Update
2017/18	Develop savings options to deliver up to 4% budget saving	Review available resources / opportunities for income generation	Service Review / Service Expansion / Exploration of Shared Services (internal / external)	To achieve up to 4% saving	To commence

WEST DUNBARTONSHIRE COUNCIL

Report by Strategic Lead - Regulatory

Corporate Services Committee 9 November 2016

Subject: Regulatory Delivery Plan 2016/17: Mid-Year Progress

1 Purpose

- 1.1** The purpose of this report is to set out the mid-year progress of the actions in the Regulatory Delivery Plan and associated Workforce Plan.

2 Recommendations

- 2.1** It is recommended that the Committee notes the contents of this report and the progress achieved at mid-year.

3 Background

- 3.1** West Dunbartonshire Council implemented a new organisational structure on 1 April 2016. This structure aligns services to 8 Strategic Leads and 4 Heads of Service (H&SCP) who act as advisors to the Chief Executive in their respective areas. In addition, the Chief Executive is supported by three Strategic Directors, one of whom operates as the Chief Officer of the Health and Social Care Partnership.
- 3.2** Each Strategic Lead has developed a delivery plan and supporting workforce plan for 2016/17. The delivery plan sets out actions to address the key issues identified as part of the service planning process as well as actions to deliver the Council's strategic objectives. It also provides an overview of its services and resources, including employees and budgets, and considers the relevant risks.
- 3.3** The strategic delivery plans were approved by the relevant committee/s earlier this year and a commitment was made to submit a mid-year progress report together with the associated workforce plan (Appendix 2).

4 Main Issues

Delivery Plan

- 4.1** Appendix 1 sets out the progress of all delivery plan actions at mid-year. All are progressing as planned.
- 4.2** An annual progress report on the delivery plan, including performance indicators and risks, will be submitted to committee at year end.

Self-Evaluation Programme

- 4.3** The Council has agreed a three year self-evaluation programme using the recently revised West Dunbartonshire Self-Evaluation Framework. This utilises a checklist approach, implemented through an online survey. Over the three year programme, all Council services that are not subject to an external evaluation approach will undertake self-evaluation, with 11 scheduled in the first year.
- 4.4** Within the Regulatory service area, the first self-evaluation for Planning & Building Standards is scheduled to begin in December, with a target completion date of 28 February 2017.

Customer Feedback

- 4.5** A key focus in the development of the strategic delivery plans was ensuring that we capture learning from the range of mechanisms that provide customer feedback and improve service delivery, including complaints.
- 4.6** Between 1 April and 30 September this year, the Regulatory service area received a total of 8 complaints, comprising 3 Stage 1 complaints and 5 Stage 2 complaints. During the same period, 6 complaints were closed, 2 at Stage 1 and 4 at Stage 2.
- 4.7** Both complaints closed at Stage 1 met the 5 working days target set for resolving Stage 1 complaints, with an average of 5 working days. Of the 4 complaints closed at Stage 2, 3 (75%) met the 20 working days target, and 1 exceeded this, with an average of 14 days for all complaints closed at Stage 2.
- 4.8** Both complaints closed at Stage 1 were upheld while none of the complaints closed at Stage 2 were upheld.
- 4.9** A telephone survey of 300 residents is carried out every quarter to gauge satisfaction levels with a range of Council services. Within the Regulatory strategic area, Trading Standards, Environmental Health, Registrars Service, and Licensing Service are all covered by the telephone survey.
- 4.10** The satisfaction rate for Trading Standards was 74% in quarter one, consistent with the rate recorded in the previous quarter. However, this is below the level recorded for 2015 (89%) but above that for 2014 (67%).
- 4.11** Satisfaction with Environmental Health fell slightly to 77% compared to 83% the previous quarter. This is below the level recorded for 2015 (86%) and 2014 (82%).
- 4.12** There was a notable improvement in satisfaction with the Registrars Service, up from 83% the previous quarter to 94%. This compares very favourably with the level recorded for 2015 (86%) and 2014 (88%).

- 4.13** There was an increase in satisfaction with the Licensing Service, up from 85% the previous quarter to 92%. This is slightly below the level recorded for 2015 of 93%.

Workforce Planning

- 4.14** Each strategic delivery plan has a supporting workforce plan, attached as Appendix 2, which is developed to highlight and plan for the management of key workforce issues which are necessary to fully support the delivery of the plan. These workforce issues have significant implications in terms of organisational change, resource planning, resource profiling, skill mix, training and development and restructuring.

5 People Implications

- 5.1** There are no direct people implications arising from this report.

6 Financial & Procurement Implications

- 6.1** There are no direct financial or procurement implications arising from this report.

7 Risk Analysis

- 7.1** Failure to deliver on the actions assigned to the strategic area may have a direct impact on the delivery of the Council's Strategic Plan. It is essential that remedial action is taken to ensure strategic delivery plans achieve the commitments detailed and approved.

8 Equalities Impact Assessment

- 8.1** As this report details progress on an action plan already agreed, there is no requirement for equalities screening or impact assessment.

9 Consultation

- 9.1** This report provides an update on the progress achieved across the strategic area, drawing from information provided by officers.

10 Strategic Assessment

- 10.1** The strategic delivery plan sets out actions to support the successful delivery of all 5 strategic priorities of the Council.

Peter Hessett
Strategic Lead - Regulatory
Date: 11 October 2016

Person to Contact: Lynn Henderson, PPP Business Partner
E-mail: lynn.henderson@west-dunbarton.gov.uk

Appendix: Appendix 1: Regulatory Delivery Plan 2016/17 - Mid-Year Progress
Appendix 2: Regulatory Workforce Plan

Background Papers: None

Wards Affected: All wards

Appendix 1: Regulatory Delivery Plan 2016/17 - Mid-Year Progress (Actions)




1 Social Mission





Ob	Improve local housing and environmentally sustainable infrastructure					
Code	Action	Status	Progress	Due Date	Comment	Assigned To
REG/16-17/LE/001	Successfully support delivery of transformational projects (Council wide)		<div><div>50%</div></div>	31-Mar-2017	Progress on track. New OLSP, Exxon Access Agreement, New Dumbarton Office and Balloch Primary Campus all signed. Work progressing on other capital and regeneration projects.	Alan Douglas
REG/16-17/PB/001	Commence preparation of new Local Development Plan		<div><div>50%</div></div>	31-Mar-2017	Development Plan Scheme and Participation Statement published. Call for sites issues.	Pamela Clifford; Alan Williamson
REG/16-17/RG/001	Progress and support development on key Council regeneration sites (QQ, Dumbarton Waterfront, Exxon, Mitchell Way)		<div><div>40%</div></div>	31-Mar-2017	Officers from the Environmental Pollution Team are continuing to assess information, attend meetings and support developers and consultants in respect of contaminated land, air quality and other environmental matters.	Pamela Clifford; Alan Douglas; Graham Pollock

Ob	Improve the wellbeing of communities and protect the welfare of vulnerable people					
Code	Action	Status	Progress	Due Date	Comment	Assigned To
REG/16-17/LE/002	Develop a local response to implications on Land Reform and Asset Transfer resulting from Community Empowerment Act		<div><div>50%</div></div>	31-Mar-2017	A framework document for disposals to community bodies has been developed by Estates and approved by committee. Documentation has been used in a "dry run" pending full implementation of the legislation and requests from community groups.	Alan Douglas
REG/16-17/RG/002	Deliver a successful Scottish Parliamentary Election		<div><div>100%</div></div>	31-Mar-2017	Election completed successfully	Peter Hissett
REG/16-17/RG/003	Deliver a successful European Referendum for the West Dunbartonshire area		<div><div>100%</div></div>	31-Mar-2017	Poll successfully completed with all interested parties having confidence in the accuracy of the result and process	Peter Hissett
REG/16-17/RS/001	Develop a local response to recommendations from national strategic review of trading standards		<div><div>75%</div></div>	31-Mar-2017	A further briefing was prepared and provided for the COSLA leaders meeting on 30 September 2016. The outcome of the meeting was for the Improvement Service to come back with more detail and better business case before any change is supported and a local response can be prepared in relation to this at the appropriate time.	Tony Cairns
REG/16-17/RS/002	Ensure environmental health and trading standards provide community focused services in line with current legislative and statutory guidance		<div><div>42%</div></div>	31-Mar-2017	Progressing as planned.	Graham Pollock

2 Organisational Capabilities

Ob	Committed and dynamic workforce					
Code	Action	Status	Progress	Due Date	Comment	Assigned To
REG/16-17/RG/005	Ensure service structures are fit for purpose		<div><div>90%</div></div>	31-Mar-2017	Structures are in place for the Admin Support Unit.	Peter Hessett
REG/16-17/RG/006	Implement improvements arising from Staff Survey 2015		<div><div>80%</div></div>	31-Mar-2017	Back to the floor - attendance at team meetings.	Peter Hessett
Ob	Fit for purpose estates and facilities					
Code	Action	Status	Progress	Due Date	Comment	Assigned To
REG/16-17/RG/004	Support transition planning for move to new Dumbarton office		<div><div>50%</div></div>	31-Mar-2017	Progressing as planned.	Alan Douglas
Ob	Strong corporate governance					
Code	Action	Status	Progress	Due Date	Comment	Assigned To
REG/16-17/BS/003	Deliver the new Corporate Administration Support function		<div><div>33%</div></div>	31-Mar-2017	<ul style="list-style-type: none"> Service plan being finalised with service managers and to be signed off by Strategic Leads Seven G6 Team Leaders appointed Letters issued to all staff affected with 3 months' notice where staff are in detriment. The date when staff move to their new post is 14 November 2016. VERS figures obtained for all staff who had expressed interest. This is being considered by HR. Discussions held with ICT to plan minor ICT developments e.g. common mailboxes, databases, online forms, etc. Locations finalised for various teams 	Richard Butler
REG/16-17/DS/001	Plan for the effective implementation of a new Council and administration post Local Government Elections in May 2017		<div><div>25%</div></div>	31-Mar-2017	First meeting to discuss project plan was held on 30 August. First draft of project plan completed.	George Hawthorn
REG/16-17/LE/004	Ensure an appropriate corporate legal response to implementation of new legislation and policy directives		<div><div>50%</div></div>	31-Mar-2017	Half yearly review confirms sufficient level of support maintained.	Alan Douglas

	Strong financial governance and sustainable budget management					
Code	Action	Status	Progress	Due Date	Comment	Assigned To
REG/16-17/LE/003	Finalise Common Good Register for West Dunbartonshire			31-Mar-2017	The work in updating the Common Good Register was completed in previous years. There is an ongoing element which is to update the register as and when properties are identified as having Common Good characteristics and subsequently verified as Common Good.	Alan Douglas

Action Status	
	Overdue
	Check Progress
	Not Started or In Progress
	Completed

2016/17 Regulatory Services Workforce Plan

Introduction

The purpose of this Workforce Plan is to highlight and plan for the management of key workforce issues which are necessary to fully support the delivery of the Service Plan. These workforce issues cover the full period of the Service Plan and have implications in terms of organisational change, resource planning, resource profiling, skill mix, training and development and restructuring.

Regulatory Services is a new Strategic Lead area created through the recent restructure across the council in April 2016. The plan is broken down as follows:

1. Summary of the Key Priorities/Issues and Resource Implications
2. Longer term Key Priorities/ Issues and Resource implications

1. Summary of the Key Priorities/Issues and Resource Implications

The workforce implications of the Service plan have been considered as part of Service planning process and a Workforce Plan has been developed providing full details of the training and resource implications of the Service priorities focusing on:

- Regeneration
- Service development and Redesign - New office Accommodation, Corporate Administration Support Service (CAS) review
- Financial Management to meet the 4% target of savings
- Attendance Management
- Staff Development

The table below details the priorities or issues, which will happen and conclude during the current financial year and their implications.

Priority/ Issues	Resource or Skill implication	Action required	Cost / Saving	Lead Officer	Mid Year review
Restructures					
CAS review	This is a new function which aims to consolidate all clerical and admin functions across the council	There are phases of implementation across the council. Staff will be managed in line with the SWITCH process Areas lacking resilience to be identified and targeted .	£109,000 for 2016/17	Arun Menon	On target
Implement any additional staffing changes to achieve the 4% savings target	Review / reshape the staffing complements to meet current and future needs of the service.		Savings will be identified through the budget process	Peter Hessett	Contained within Budget savings

Priority/ Issues	Resource or Skill implication	Action required	Cost / Saving	Lead Officer	Mid Year Review
Recruitment and Retention					
Progression of specific Improvement actions arising from Employee Survey	Retention and development of staff	Take actions to address issues arising from employee survey	nil	Peter Hessett	Following the corporate programme of work
Resourcing					
Reduce Sickness absence rates in WDC.	<p>Reduce staff absence across the Service</p> <p>Target for 2016/17 is 7 average days lost</p>	<p>Management training</p> <p>Change of Culture – working well together workshops to assist this</p> <p>Targeting specific problems in specific areas.</p> <p>Continue to focus on the themes and trends effecting the service</p>	Internal – staff costs and any developmental training material	Peter Hessett and all senior managers	0.93 FTE days lost in quarter 2

Priority/ Issues	Resource or Skill implication	Action required	Cost / Saving	Lead Officer	Mid Year Review
Training and Development					
PDP's	All employees with a PDP / PRD	Target of 100% by 2017	None	All Managers	100% for 2016/2017
Staff development	Ensure all employees have appropriate access to learning and training	Identify training skills gap	Identify budget need to support this.	All Managers	Ongoing, primarily identified through PDP process
Regulatory Section	Staff development and succession planning as appropriate	Analysis of the Regulatory section to assess how well the new structure is functioning and ensure cross team resilience	None	Graham Pollock	Ongoing
Local Government Election	Ensuring training for count staff in particular taking account of the unique challenges of an electronic count		To be confirmed taken from Election Budget	George Hawthorn	Commence Early 2017

2. Longer term Key Priorities/ Issues and Resource implications

This section details priorities or issues, which will start in the next financial year but will conclude beyond this period or have been agreed in this financial year but will commence at a later date.

Priority/ Issues	Resource or Skill implication	Action required	Cost / Saving	Lead Officer
CAS review	This will continue into future years in line with a phased approach	There are phases of implementation across the council. Staff will be managed in line with the SWITCH process	To be identified.	Arun Menon
Student placements within Planning	The Planning department are interested in developing a student placement framework	A process / programme scoped out with universities for future years	To be identified	Pamela Clifford

WEST DUNBARTONSHIRE COUNCIL

Report by Strategic Lead - Resources

Corporate Services Committee: 9 November 2016

Subject: Resources Delivery Plan 2016/17: Mid-Year Progress

1 Purpose

- 1.1** The purpose of this report is to set out the mid-year progress of the actions in the Resources Delivery Plan and associated Workforce Plan.

2 Recommendations

- 2.1** It is recommended that the Committee notes the contents of this report and the progress achieved at mid-year.

3 Background

- 3.1** West Dunbartonshire Council implemented a new organisational structure on 1 April 2016. This structure aligns services to 8 Strategic Leads and 4 Heads of Service (H&SCP) who act as advisors to the Chief Executive in their respective areas. In addition, the Chief Executive is supported by three Strategic Directors, one of whom operates as the Chief Officer of the Health and Social Care Partnership.
- 3.2** Each Strategic Lead has developed a delivery plan and supporting workforce plan for 2016/17. The delivery plan sets out actions to address the key issues identified as part of the service planning process as well as actions to deliver the Council's strategic objectives. It also provides an overview of its services and resources, including employees and budgets, and considers the relevant risks.
- 3.3** The strategic delivery plans were approved by the relevant committee/s earlier this year and a commitment was made to submit a mid-year progress report together with the associated workforce plan (Appendix 2).

4 Main Issues

Delivery Plan

- 4.1** Appendix 1 sets out the progress of all delivery plan actions at mid-year. All are progressing as planned.
- 4.2** An annual progress report on the delivery plan, including performance indicators and risks, will be submitted to committee at year end.

Self-Evaluation Programme

- 4.3 The Council has agreed a three year self-evaluation programme using the recently revised West Dunbartonshire Self-Evaluation Framework. This utilises a checklist approach, implemented through an online survey. Over the three year programme, all Council services that are not subject to an external evaluation will undertake self-evaluation, with 11 scheduled in the first year.
- 4.4 Within the Resources service area, a self-evaluation is currently in progress for the Internal Audit, Fraud and ICT Security team. This is progressing as planned, with a target completion date of 30 November 2016.

Customer Feedback

- 4.5 A key focus in the development of the strategic delivery plans was ensuring that we capture learning from the range of mechanisms that provide customer feedback and improve service delivery, including complaints.
- 4.6 Between 1 April and 30 September this year, the Resources service area received a total of 36 complaints, comprising 32 Stage 1 complaints and 4 Stage 2 complaints. During the same period, 34 complaints were closed, 31 at Stage 1 and 3 at Stage 2.
- 4.7 71% of complaints closed at Stage 1 met the 5 working days target for resolving complaints, while the remaining 29% took longer. The average time taken to resolve all complaints closed at Stage 1 was 11 days. Of the 3 complaints closed at Stage 2, 1 met the 20 working days target, and 2 took longer, with an average of 22 days for all complaints closed at Stage 2.
- 4.8 Of the 31 complaints closed at Stage 1, 17 were upheld. None of the complaints closed at Stage 2 were upheld.
- 4.9 A telephone survey of 300 residents is carried out every quarter to gauge satisfaction levels with a range of Council services. While none of the questions covered by the survey relate specifically to the Resources service area, the survey does report good overall satisfaction with the accessibility of the Council.

Workforce Planning

- 4.10 Each strategic delivery plan has a supporting workforce plan, attached as Appendix 2, which is developed to highlight and plan for the management of key workforce issues which are necessary to fully support the delivery of the plan. These workforce issues have significant implications in terms of organisational change, resource planning, resource profiling, skill mix, training and development and restructuring.

5 People Implications

- 5.1 There are no direct people implications arising from this report.

6 Financial & Procurement Implications

- 6.1** There are no direct financial or procurement implications arising from this report.

7 Risk Analysis

- 7.1** Failure to deliver on the actions assigned to the strategic area may have a direct impact on the delivery of the Council's Strategic Plan. It is essential that remedial action is taken to ensure strategic delivery plans achieve the commitments detailed and approved.

8 Equalities Impact Assessment

- 8.1** As this report details progress on an action plan already agreed, there is no requirement for equalities screening or impact assessment.

9 Consultation

- 9.1** This report provides an update on the progress achieved across the strategic area, drawing from information provided by officers.

10 Strategic Assessment

- 10.1** The strategic delivery plan sets out actions to support the successful delivery of all 5 strategic priorities of the Council.

Stephen West
Strategic Lead - Resources
Date: 11 October 2016

Person to Contact: Lynn Henderson, PPP Business Partner
E-mail: lynn.henderson@west-dunbarton.gov.uk

Appendix: Appendix 1: Resources Delivery Plan 2016/17 - Mid-Year Progress
Appendix 2: Resources Workforce Plan

Background Papers: None

Wards Affected: All wards

Appendix 1: Resources Delivery Plan 2016/17 - Mid-Year Progress (Actions)

1 Social Mission

Ob	Improve the wellbeing of communities and protect the welfare of vulnerable people					
Code	Action	Status	Progress	Due Date	Comment	Assigned To
RES/16-17/BS/004	Deliver legislative changes required by UK government Welfare reform		<div><div>16%</div></div>	31-Mar-2017	Milestones are progressing to plan and work has begun with DWP Universal Credit team in preparation of the digital rollout.	Ryan Chalmers
RES/16-17/PR/001	Develop and implement procurement plan to deliver community benefits through procurement activity		<div><div>50%</div></div>	31-Mar-2017	Milestones are progressing as planned. Community benefits strategy is being developed collaboratively and included within the procurement strategy. This will flow down to the Category, commodity and contract strategies	Andrew Gordon

2 Organisational Capabilities




Ob	Committed and dynamic workforce					
Code	Action	Status	Progress	Due Date	Comment	Assigned To
RES/16-17/RE/002	Implement improvements arising from Staff Survey 2015		<div><div>33%</div></div>	31-May-2017	Finalising arrangements via Management Team meetings to ensure consistent implementations.	Stephen West





Ob	Innovative use of Information Technology					
Code	Action	Status	Progress	Due Date	Comment	Assigned To
RES/16-17/AR/003	Ensure Public Service Network compliance process		<div><div>80%</div></div>	31-Mar-2017	A new PSN accreditation certificate has been received and is valid until 3rd August 2017. Work is ongoing to prepare for the next accreditation process.	Colin McDougall
RES/16-17/BS/007	Continued development of the Agresso Debtors functionality and associated processes		<div><div>16%</div></div>	31-Mar-2017	Initial review of integrations with Care First and creation of Creditors and Debtors feeders to improve timeous billing and reduce keying complete. Review of work for system build currently underway.	Stella Kinloch
RES/16-17/FI/004	Develop Agresso to support wider process improvement		<div><div>50%</div></div>	31-Mar-2017	The upgrade of Agresso has now been completed. Ongoing developments continue.	Gillian McNeilly
RES/16-17/PR/003	Develop and implement new ways of working in procurement activity		<div><div>20%</div></div>	31-Mar-2017	Introduction of a category and commodity strategy to drive pipeline forward planning and compliance to new procurement regulations. Developments team to develop and implement governance, assurance and support to council procurement.	Andrew Gordon

Ob	Strong corporate governance					
Code	Action	Status	Progress	Due Date	Comment	Assigned To
RES/16-17/AR/004	Develop role of the Corporate Fraud team		<div><div>50%</div></div>	31-Mar-2017	The Corporate Fraud Team has a savings target for 2016/17 of £100,000 of which £70,533 has been achieved by 31 August 2016.	Colin McDougall
RES/16-17/AR/005	Develop approach to Council compliance with Code of Good Governance following national review		<div><div>10%</div></div>	31-Mar-2017	Progress of this action is dependent on the provision of a document by CIPFA for which the estimated publication date was September 2016. However, this publication has been delayed, but still anticipate achieving target due date.	Colin McDougall

Ob	Strong financial governance and sustainable budget management					
Code	Action	Status	Progress	Due Date	Comment	Assigned To
RES/16-17/AR/001	Deliver Internal Audit and Corporate Fraud Plans for 2016-17		<div><div>35%</div></div>	31-Mar-2017	The Annual Audit Plan for 2016/17, covering both Internal Audit and Corporate Fraud activity, was approved by the Audit & Performance Review Committee on 9th March 2016. Work to deliver the plan is in progress.	Colin McDougall
RES/16-17/AR/002	Continue to improve and deliver the Assurance Statement to support the Statement of Internal Financial Controls		<div><div>100%</div></div>	31-Mar-2017	The Assurance Statement for 2015/16 has been completed and the Internal Audit Annual Report was submitted to the Audit & Performance Review Committee on 8th June 2016.	Colin McDougall
RES/16-17/BS/005	Consider new approaches to manage and decreasing corporate debt		<div><div>33%</div></div>	31-Mar-2017	Options reviewed for extension of Direct Debit payment functionality to Sundry Debt for residents and others who owe money to the Council. Expect implementation by due date.	Ryan Chalmers
RES/16-17/BS/006	Improve rent collection performance		<div><div>33%</div></div>	31-Mar-2017	Review of the Rent Arrears process in conjunction with Housing management staff has been completed – report to November 2016 Housing and Communities Committee; Debt Management system upgrade underway and SMS upgrade planned in October 2016.	Ryan Chalmers
RES/16-17/FI/001	Provide timely and accurate accounting, budgeting and budgetary control processes; and timely delivery of financial accounts statements		<div><div>31%</div></div>	31-Mar-2017	Budgetary Control Reports have been delivered to Council, Committees, CMT and Management on schedule.	Gillian McNeilly
RES/16-17/FI/002	Ensure effective implementation of actions agreed through the Local Scrutiny Plan		<div><div>100%</div></div>	31-Mar-2017	No actions were allocated to Resources for 2016/17.	Gillian McNeilly
RES/16-17/FI/003	Review and update the Council's long-term finance strategy and report to Elected Members		<div><div>60%</div></div>	31-Mar-2017	The budget update and long term finance strategy update will be reported to Council in October 2016.	Gillian McNeilly
RES/16-17/PR/002	Develop Procurement Leadership, Governance & Controls across the Council		<div><div>66%</div></div>	31-Mar-2017	2 out of 3 milestones complete and third progressing as planned.	Andrew Gordon
RES/16-17/RE/001	Support transformation projects across the organisation		<div><div>60%</div></div>	31-Mar-2017	Continuing to support P2P project, CAS, HR payroll and debtors and Creditors improvements.	All

3 Legitimacy & Support

	Constructive partnership working and joined up service delivery					
Code	Action	Status	Progress	Due Date	Comment	Assigned To
RES/16-17/PR/004	Develop Supplier Relationship Management across the Council			31-Mar-2017	Category Strategies have been approved, and on target now to align SRM to the Category Management approach.	Andrew Gordon

Action Status	
	Overdue
	Check Progress
	Not Started or In Progress
	Completed

2016/17 Resources Section Workforce Plan

Introduction

The purpose of this Workforce Plan is to highlight and plan for the management of key workforce issues which are necessary to fully support the delivery of the plan. These workforce issues cover the full period of the Service Plan and have significant implications in terms of organisational change, resource planning, resource profiling, skill mix, training and development and restructuring.

It also details the current profile of the service allowing for observations and assumptions to be made about the demographic make up and the impact this has on resources and service delivery. Sick absence information has also been included as a reduction in this area is a key priority for the Council

A summary of the Key Service Priorities/Issues detailed in the Resources Section Delivery Plan has been reviewed to identify any resource or skills Implications 2016/17. These are detailed in the table below.

- Implementation of phase 2 of Purchase 2 Pay (P2P) Project.
- Service redesign of procurement to maximise the delivery of strategic outcomes.
- Embedding the new finance structure and implementing a range of system developments to improve accountancy systems.
- Implementation of changes relating to Welfare Reform.
- Implementing improvements to the Debtors system to improve functionality including Payment Plans and Direct Debit.
- Implementing agreed management adjustments for 2016/17.
- Developing a range of savings options to achieve budget savings targets for 2017/18
- Improving Attendance.
- Ensuring all employees have access to learning and development.

Part A: Details priorities or issues which will happen and conclude during the current financial year and their implications.

Priority/ Issues	Resource or Skill implication	Action required	Cost/ Saving	Lead Officer	Mid Year Update
Legislative Changes relating to Procurement Reform Act and Public Contracts Scotland Regulations.	Staff training on changes to legislation to ensure equipped to implement changes to support best practice.	Rollout of changes within Council service areas.	None	A Gordon	Procurement team members have attended a number of legal sessions, providing guidance for the changes associated with Procurement Reform. Awareness sessions have been held with service areas, and will continue into 2017. A new

					Procurement Guidance document will be drafted and provided to all service areas which will cover both <£50k and >£50k procurement processes (incorporating the legislative changes)
Implementation of Community Empowerment Act and changes to statutory accountancy requirements.	Staff training on changes to legislation to ensure equipped to implement changes to support best practice.	Rollout of changes within finance.	None	G McNeilly	Relevant staff within Finance service have been trained in this area in order to facilitate the changes as they progress within the Council
Develop Agresso to improve functionality of the accountancy systems.	Staff training on changes to ensure equipped to implement changes to support best practice.	System changes may lead to reduction in staffing.	Efficiencies will be calculated as part of the project and factored into the budgeting proces	Gillian McNeilly	Appropriate training of relevant staff to implement the changes has been delivered, as new processes roll-out then relevant training will be provided to system users affected
Implement legislative changes relating to Welfare Reform	There will be a significant impact on staffing within Benefit Section when Universal Credit is introduced.	Review current and future staffing requirements. Consultation with employees and trade unions on changes to working practices.	None	Arun Menon	These changes, imposed by DWP are being implemented as and when the effects are implemented in this area
Scope and progress solutions to manage corporate debt.	Staff training on system and process changes being implemented.	Review current and future staffing requirements as systems and processes are streamlined.	No specific target	Arun Menon	Processes and procedures have been refreshed and implemented during 2016/17
Corporate Review of Admin Support	Review of current model and modernise. As a result, potential reduction in staffing numbers.	Review current and future staffing requirements. Consultation with employees and trade unions on changes to working practices.	Efficiencies will be calculated as part of the project and factored into the budgeting proces	Arun Menon	Phase 1 (Infrastructure Regeneration and Economic Development and Education non-schools) currently live and Phase 2 (Education Schools) underway; regular employee update and ongoing discussion with Trades Unions

Implementation of Management Savings and ongoing restructuring across services.	Potential reduction in staffing numbers. Retraining/redeployment of staff.	Staff and trade union briefings. Consultation with employees.	£203k	All Managers	All management adjustments implemented as expected
Improvement in attendance.	Reduce staff absence across directorate and associated costs. Council target 2016/17 7 days lost per employee	Target specific problem areas. Develop specific actions to address areas of concern.	Savings dependant on reduction in number of days lost.	All Managers	Reduction in absence generally not being achieved, due to a small but significant number of employees with long-term absences
PDPs	All employees to have a PDP in place.	Target of 100% by 2017	None	All Managers	All staff have a PDP in place for 2016/17

2. Longer term Key Service Priorities/ Issues and Resource implications

This section details priorities or issues, which will start in the next financial year but will conclude beyond this period or have been agreed in this financial year but will commence at a later date.

Period that priority will impact over	Priority/ Issues	Potential resource or skill implication	Potential actions required	Cost	Lead Officer	Mid Year Update
2017-19	Implementation of phase 2 P2P Project	This project will automate the procurement process and have an impact on staffing employed throughout the Council involved in procurement.	Review of staffing as changes implemented.	Cost to be finalised as part of project, it is expected this project will generate savings.	A Gordon	Project ongoing in phase 1 – around processes, currently scoping options for phase 2
2017-18	Develop a range of savings options to achieve budget savings targets.	Review current and future staffing requirements. Potential redeployment voluntary redundancy /early retirement.		4% savings to be generated.	All Managers	Options delivered as required

WEST DUNBARTONSHIRE COUNCIL

Report by the Strategic Director of Transformation and Public Sector Reform

Corporate Services Committee – 9 November 2016

**Subject: Corporate Services Budgetary Control Report to 30 September 2016
(Period 6)**

1. Purpose

- 1.1** The purpose of this report is to advise the Committee on the performance of the Corporate Services budget for the period to 30 September 2016.

2. Recommendations

2.1 Members are asked to:

- i) note that the revenue account currently shows a projected annual favourable variance of £0.015m (0.09% of the total budget); and
- ii) note that the capital account is projecting a nil variance for both the current year and project life.

3. Background

Revenue

- 3.1** At the meeting of West Dunbartonshire Council on 24 February 2016, Members agreed the revenue estimates for 2016/2017, including a total net Corporate Services budget of £18.217m. Budget adjustments have taken place revising the budget to £17.81m as detailed below.

	£m
Budget Agreed February 2016	18.217
Transfer of Customer Services target to sundry services*	0.100
Transfer of Corporate Savings Target to Sundry Services	-0.158
Recurring Variances	-0.195
Transfer of Woman's Aid Budget to Sundry Services	-0.150
Revised Budget	17.814

*This has been transferred to sundry services as this is a corporate savings target rather than for corporate services and will be allocated to appropriate services.

Capital

- 3.2** At the meeting of Council on 24 February 2016, Members also agreed the updated 10 year General Services Capital Plan. The three years from 2016/17 to 2018/19 have been approved in detail with the remaining seven years from 2019/20 to 2025/26 being indicative at this stage.

4. Main Issues

Revenue

- 4.1** The summary report at Appendix 1 identifies a projected annual favourable variance (underspend) of £0.015m (0.09% of the total budget). Detailed service reports are attached as Appendix 2.
- 4.2** Notes on the projected annual variances in excess of £0.050m are highlighted and noted within Appendix 3, with additional information on action being taken to minimise or mitigate overspends where possible.
- 4.3** Although the report indicates that expenditure is favourable in comparison to that anticipated during the budget exercise, the present variance should be viewed in the knowledge that there are a number of variable factors which could arise between now and 31 March and which could affect the year end results.
- 4.4** Agreed savings and management adjustments for 2016/17 are monitored with current indications showing that of the total target being monitored (£2.112m), the majority of actions are currently on target to be achieved. (see Appendix 4). It should be noted that any variances are included within the service information and variances identified within this report.

Capital

- 4.5** The overall Corporate Services programme summary report at Appendix 5 shows that planned expenditure and resource is projected to show a nil variance for both the current year and the project life. There are no projects which are currently at red or amber status.

5. People Implications

- 5.1** There are no people implications.

6. Financial and Procurement Implications

- 6.1** Other than the financial position noted above, there are no financial or procurement implications from this budgetary control report.

7. Risk Analysis

- 7.1** The main financial risks to the ongoing financial position relate to unforeseen costs being identified between now and the end of the financial year. This can affect all service areas

8. Equalities Impact Assessment (EIA)

8.1 No equalities impact assessment was required in relation to this report.

9. Consultation

9.1 All departments involved in delivering the revenue and capital budgets have been consulted in the compilation of this report.

10. Strategic Assessment

10.1 Proper budgetary control and sound financial practice are cornerstones of good governance and support Council and officers to pursue the 5 strategic priorities of the Council's Strategic Plan. This report forms part of the financial governance of the Council.

Angela Wilson

Strategic Director of Transformation and Public Sector Reform

Date: 14 October 2016

Person to Contact: Jackie Allison, Finance Business Partner
Council Offices, Garshake Road, Dumbarton
Telephone: (01389) 737322
E-mail: jackie.allison@west-dunbarton.gov.uk

Appendices:

- Appendix 1 - Revenue Budgetary Control 2016/17
– Summary Report
- Appendix 2 - Revenue Budgetary Control 2016/17
– Service Reports
- Appendix 3 - Analysis of Revenue Variances over
£50,000
- Appendix 4 - 2016/17 Savings and Management
Adjustments Monitoring
- Appendix 5 - Overall Capital Programme Summary
Financials

Background Papers: Ledger output – Period 6
General Services Revenue Estimates 2016/17
General Services Capital Plan 2016/17 to 2018/19 - Council
24 February 2016
Corporate Services Budgetary Control Report to 30
September (Period 6)

Wards Affected All Wards

WEST DUNBARTONSHIRE COUNCIL
REVENUE BUDGETARY CONTROL 2016/2017
CORPORATE SERVICES SUMMARY

APPENDIX 1

MONTH END DATE

30 September 2016

Actual Outturn 2015/16	Service / Subjective Summary	Total Budget 2016/17	Spend to Date 2016/17	% Spend of the Total Budget	Forecast Spend	Forecast Variance 2016/17	Annual RAG Status
£000		£000	£000	%	£000	£000	%
306	0 Audit	353	218	62%	357	4	1%
1,629	Finance	1,428	744	52%	1,468	40	3%
153	Rent Rebates & Allowances	(15)	(11)	75%	(22)	(7)	50%
2,383	Revenues & Benefits	2,329	1,224	53%	2,270	(59)	-3%
328	Debtors & Creditors	330	180	54%	345	15	5%
38	Cost of Collection of Rates	41	3	7%	41	0	0%
(672)	Cost of Collection of Council Tax	(773)	(108)	14%	(773)	0	0%
539	Procurement	628	402	64%	620	(8)	-1%
1,421	Administrative & Democratic Services	1,472	734	50%	1,479	7	0%
1,163	Environmental Health/ Trading Standards	1,185	547	46%	1,194	9	1%
(248)	Licensing	(155)	(72)	47%	(150)	5	-3%
625	Legal Services	664	342	51%	628	(36)	-5%
607	Transactional Services	698	344	49%	700	2	0%
1,428	Human Resources (including risk)	1,305	589	45%	1,301	(4)	0%
3,159	Information Services	3,189	2,233	70%	3,233	44	1%
425	Change Support	474	229	48%	453	(21)	-4%
343	Communications & Marketing	276	155	56%	269	(7)	-2%
852	Customer Service	1,190	555	47%	1,138	(52)	-4%
0	Policy, Planning and Performance	525	210	40%	483	(42)	-8%
2,195	Working4U	2,038	1,276	63%	2,109	71	3%
0	Communities	632	266	42%	656	24	4%
16,674	Total Net Expenditure	17,814	10,059	56%	17,799	(15)	0%

YEAR END DATE

30 September 2016

Service Summary	Total Budget 2016/17	YTD Spend 2016/17	Forecast Spend 2016/17	Forecast Annual Variance 2016/17	RAG Status
All Services	£000	£000	£000	£000	%
Employee	17,780	8,685	17,785	5	0%
Property	90	29	90	(1)	-1%
Transport and Plant	116	41	111	(5)	-4%
Supplies, Services and Admin	1,882	1,486	1,882	1	0%
Payments to Other Bodies	50,478	23,932	48,347	(2,131)	-4%
Other	0	0	0	0	0%
Gross Expenditure	70,346	34,173	68,216	(2,131)	-3%
Income	(52,532)	(24,113)	(50,417)	2,115	-4%
Net Expenditure	17,814	10,060	17,799	(16)	0%
Strategic Lead - Resources	4,321	2,652	4,306	(15)	0%
Audit	£000	£000	£000	£000	%
Employee	439	228	465	26	6%
Property	0	0	0	0	0%
Transport and Plant	1	1	1	0	0%
Supplies, Services and Admin	3	2	6	3	100%
Payments to Other Bodies	10	0	10	0	0%
Other	0	0	0	0	0%
Gross Expenditure	453	231	482	29	6%
Income	(100)	(12)	(125)	(25)	25%
Net Expenditure	353	219	357	4	1%
Finance	£000	£000	£000	£000	%
Employee	1,542	750	1,577	35	2%
Property	0	0	0	0	0%
Transport and Plant	1	1	2	1	100%
Supplies, Services and Admin	12	3	17	5	42%
Payments to Other Bodies	2	2	2	0	0%
Other	0	0	0	0	0%
Gross Expenditure	1,557	755	1,598	41	3%
Income	(129)	(12)	(130)	(1)	1%
Net Expenditure	1,428	744	1,468	40	3%
Rent Rebates & Allowances	£000	£000	£000	£000	%
Employee	0	0	0	0	0%
Property	0	0	0	0	0%
Transport and Plant	0	0	0	0	0%
Supplies, Services and Admin	0	0	0	0	0%
Payments to Other Bodies	48,003	22,969	45,866	(2,137)	-4%
Other	0	0	0	0	0%
Gross Expenditure	48,003	22,969	45,866	(2,137)	-4%
Income	(48,018)	(22,980)	(45,888)	2,130	-4%
Net Expenditure	(15)	(11)	(22)	(7)	49%

YEAR END DATE

30 September 2016

Service Summary	Total Budget 2016/17	YTD Spend 2016/17	Forecast Spend 2016/17	Forecast Annual Variance 2016/17		RAG Status
Revenues & Benefits	£000	£000	£000	£000	%	
Employee	2,226	1,067	2,178	(48)	-2%	↑
Property	0	0	0	0	0%	↓
Transport and Plant	6	3	6	0	0%	→
Supplies, Services and Admin	56	12	58	2	4%	↓
Payments to Other Bodies	870	459	870	0	0%	→
Other	0			0	0%	→
Gross Expenditure	3,158	1,541	3,112	(46)	-1%	↑
Income	(829)	(317)	(842)	(13)	2%	↑
Net Expenditure	2,329	1,224	2,270	(59)	-3%	↑
Debtors & Creditors	£000	£000	£000	£000	%	
Employee	277	152	289	12	4%	↓
Property	0	0	0	0	0%	↓
Transport and Plant	0	0	0	0	0%	↓
Supplies, Services and Admin	53	28	56	3	5%	↓
Payments to Other Bodies	0	0	0	0	0%	→
Other	0	0	0	0	0%	→
Gross Expenditure	330	180	345	15	5%	↓
Income	0	0	0	0	0%	→
Net Expenditure	330	180	345	15	5%	↓
Cost of Collection of Rates	£000	£000	£000	£000	%	
Employee	0	0	0	0	0%	→
Property	0	0	0	0	0%	→
Transport and Plant	0	0	0	0	0%	→
Supplies, Services and Admin	10	3	10	0	0%	→
Payments to Other Bodies	96	0	96	0	0%	→
Other	0	0	0	0	0%	→
Gross Expenditure	106	3	106	0	0%	→
Income	(65)	0	(65)	0	0%	→
Net Expenditure	41	3	41	0	0%	→
Cost of Collection of Council Tax	£000	£000	£000	£000	%	
Employee	0	0	0	0	0%	→
Property	0	0	0	0	0%	→
Transport and Plant	0	0	0	0	0%	→
Supplies, Services and Admin	58	37	58	0	0%	→
Payments to Other Bodies	46	24	46	0	0%	→
Other	0	0	0	0	0%	→
Gross Expenditure	104	61	104	0	0%	→
Income	(877)	(169)	(877)	0	0%	→
Net Expenditure	(773)	(108)	(773)	0	0%	→
Procurement	£000	£000	£000	£000	%	
Employee	874	401	833	(41)	-5%	↑
Property	0	0	0	0	0%	→
Transport and Plant	1	0	1	0	0%	→
Supplies, Services and Admin	1	0	1	0	0%	→
Payments to Other Bodies	69	0	69	0	0%	→
Other	0	0	0	0	0%	→
Gross Expenditure	945	402	904	(41)	-4%	↑
Income	(317)	(0)	(284)	33	-10%	↓
Net Expenditure	628	402	620	(8)	-1%	↑

YEAR END DATE

30 September 2016

Service Summary	Total Budget 2016/17	YTD Spend 2016/17	Forecast Spend 2016/17	Forecast Annual Variance 2016/17	RAG Status	
Strategic Lead - Regulatory	3,166	1,551	3,151	(15)	0%	→
Administrative & Democratic Services	£000	£000	£000	£000	%	
Employee	1,561	784	1,567	6	0%	↓
Property	0	0	0	0	0%	→
Transport and Plant	5	1	5	0	2%	↓
Supplies, Services and Admin	26	14	29	3	12%	↓
Payments to Other Bodies	0	0	0	0	0%	→
Other	0	0	0	0	0%	→
Gross Expenditure	1,592	799	1,601	9	1%	↓
Income	(120)	(66)	(122)	(2)	2%	↑
Net Expenditure	1,472	734	1,479	7	0%	↓
Environmental Health/ Trading Standards	£000	£000	£000	£000	%	
Employee	1,191	565	1,198	7	1%	↓
Property	9	7	9	0	0%	→
Transport and Plant	23	11	25	2	11%	↓
Supplies, Services and Admin	46	22	45	(1)	-2%	↑
Payments to Other Bodies	87	34	87	(1)	-1%	↑
Other	0	0	0	0	0%	→
Gross Expenditure	1,356	639	1,364	8	1%	↓
Income	(171)	(92)	(170)	1	0%	↓
Net Expenditure	1,185	547	1,194	9	1%	↓
Licensing	£000	£000	£000	£000	%	
Employee	188	94	190	2	1%	↓
Property	0	0	0	0	0%	→
Transport and Plant	1	1	1	0	0%	→
Supplies, Services and Admin	5	4	5	(0)	-2%	↑
Payments to Other Bodies	0	0	0	0	0%	→
Other	0	0	0	0	0%	→
Gross Expenditure	194	99	196	2	1%	↓
Income	(349)	(171)	(346)	3	-1%	↓
Net Expenditure	(155)	(72)	(150)	5	-3%	↓
Legal Services	£000	£000	£000	£000	%	
Employee	778	354	744	(34)	-4%	↑
Property	0	0	0	0	0%	→
Transport and Plant	1	1	1	0	19%	↓
Supplies, Services and Admin	16	5	17	1	6%	↓
Payments to Other Bodies	0	0	0	0	0%	→
Other	0	0	0	0	0%	→
Gross Expenditure	795	360	762	(33)	-4%	↑
Income	(131)	(18)	(134)	(3)	3%	↑
Net Expenditure	664	342	628	(36)	-5%	↑

YEAR END DATE

30 September 2016

Service Summary	Total Budget 2016/17	YTD Spend 2016/17	Forecast Spend 2016/17	Forecast Annual Variance 2016/17	RAG Status
Strategic Lead - People and Technology	5,666	3,395	5,687	21	0% ↓
Transactional Services	£000	£000	£000	£000	%
Employee	689	340	691	2	0% ↓
Property	0	0	0	0	0% →
Transport and Plant	0	0	0	0	0% →
Supplies, Services and Admin	8	4	9	1	6% ↓
Payments to Other Bodies	0	0	0	0	0% →
Other	0	0	0	0	0% →
Gross Expenditure	698	344	700	2	0% ↓
Income	0	0	0	0	0% →
Net Expenditure	698	344	700	2	0% ↓
Human Resources (including risk)	£000	£000	£000	£000	%
Employee	1,038	484	1,034	(4)	0% ↑
Property	16	1	15	(1)	-6% ↑
Transport and Plant	5	2	5	0	0% →
Supplies, Services and Admin	12	2	12	0	0% →
Payments to Other Bodies	234	100	235	1	0% ↓
Other	0	0	0	0	0% →
Gross Expenditure	1,305	589	1,301	(4)	0% ↑
Income	0	0	0	0	0% →
Net Expenditure	1,305	589	1,301	(4)	0% ↑
Information Services	£000	£000	£000	£000	%
Employee	1,784	912	1,830	46	3% ↓
Property	0	0	0	0	0% →
Transport and Plant	7	3	6	(1)	-14% ↑
Supplies, Services and Admin	1,387	1,319	1,389	2	0% ↓
Payments to Other Bodies	11	2	11	0	0% →
Other	0	0	0	0	0% →
Gross Expenditure	3,189	2,237	3,236	47	1% ↓
Income	0	(3)	(3)	(3)	0% ↑
Net Expenditure	3,189	2,233	3,233	44	1% ↓
Change Support	£000	£000	£000	£000	%
Employee	473	229	452	(21)	-4% ↑
Property	0	0	0	0	0% →
Transport and Plant	0	0	0	0	0% →
Supplies, Services and Admin	1	0	1	0	0% →
Payments to Other Bodies	0	0	0	0	0% →
Other	0	0	0	0	0% →
Gross Expenditure	474	229	453	(21)	-4% ↑
Income	0	0	0	0	0% →
Net Expenditure	474	229	453	(21)	-4% ↑

YEAR END DATE

30 September 2016

Service Summary	Total Budget 2016/17	YTD Spend 2016/17	Forecast Spend 2016/17	Forecast Annual Variance 2016/17	RAG Status
Strategic Lead - Communications, Culture and Communities	1,991	920	1,890	(101)	-5% →
Communications & Marketing	£000	£000	£000	£000	%
Employee	246	146	246	0	0% →
Property	0	0	0	0	0% →
Transport and Plant	1	0	0	(1)	-100% ↑
Supplies, Services and Admin	26	8	24	(2)	-8% ↑
Payments to Other Bodies	3	2	3	0	0% →
Other	0	0	0	0	0% →
Gross Expenditure	276	156	273	(3)	-1% ↑
Income	0	(1)	(4)	(4)	0% ↑
Net Expenditure	276	155	269	(7)	-3% ↑
Customer Service	£000	£000	£000	£000	%
Employee	1,103	529	1,050	(53)	-5% ↑
Property	65	21	66	0	0% →
Transport and Plant	2	1	2	0	0% →
Supplies, Services and Admin	17	4	17	0	0% →
Payments to Other Bodies	3	0	3	0	0% →
Other	0	0	0	0	0% →
Gross Expenditure	1,190	555	1,138	(52)	-4% ↑
Income	0	0	0	0	0% →
Net Expenditure	1,190	555	1,138	(52)	-4% ↑
Policy, Planning and Performance	£000	£000	£000	£000	%
Employee	472	200	428	(44)	-9% ↑
Property	0	0	0	0	0% →
Transport and Plant	1	0	1	0	0% →
Supplies, Services and Admin	7	2	4	(3)	-50% ↑
Payments to Other Bodies	45	9	50	5	11% ↓
Other	0	0	0	0	0% →
Gross Expenditure	525	210	483	(42)	-8% ↑
Income	0	0	0	0	0% →
Net Expenditure	525	210	483	(42)	-8% ↑
Strategic Lead - Housing and Employability	2,670	1,542	2,765	95	4% →
Working4U	£000	£000	£000	£000	%
Employee	2,460	1,198	2,546	86	3% ↓
Property	0	0	0	0	0% →
Transport and Plant	57	16	50	(7)	-12% ↑
Supplies, Services and Admin	54	16	46	(8)	-15% ↑
Payments to Other Bodies	746	294	746	0	0% →
Other	0	0	0	0	0% →
Gross Expenditure	3,317	1,524	3,388	71	2% ↓
Income	(1,279)	(248)	(1,279)	0	0% →
Net Expenditure	2,038	1,276	2,109	71	3% ↓

YEAR END DATE

30 September 2016

Service Summary	Total Budget 2016/17	YTD Spend 2016/17	Forecast Spend 2016/17	Forecast Annual Variance 2016/17		RAG Status
	£000	£000	£000	£000	%	
Communities						
Employee	439	251	466	27	6%	↓
Property	0	0	0	0	0%	→
Transport and Plant	4	0	4	0	0%	→
Supplies, Services and Admin	83	2	79	(4)	-5%	↑
Payments to Other Bodies	253	37	254	1	0%	↓
Other	0	0	0	0	0%	→
Gross Expenditure	779	290	803	24	3%	↓
Income	(147)	(24)	(147)	0	0%	→
Net Expenditure	632	266	656	24	4%	↓

YEAR END DATE

30 September 2016

Budget Details	Variance Analysis			
	Total Budget	Forecast Spend	Variance	RAG Status
	£000	£000	£000	%

Resources

Revenues & Benefits	2,329	2,270	(59)	-3%	↑
Service Description	This service arranges for claims and payment of Housing Benefits to the appropriate recipient				
Main Issues / Reason for Variance	This favourable variance is due to vacant posts				
Mitigating Action	No mitigating action required as variance is favourable.				
Anticipated Outcome	Underspend will be achieved				

Communications, Culture & Community

Customer Service	1,190	1,138	(52)	-4%	↑
Service Description	This service includes one stop shops and the contact centre				
Main Issues / Reason for Variance	This favourable variance is due to vacant posts				
Mitigating Action	No mitigating action required as variance is favourable.				
Anticipated Outcome	Underspend will be achieved				

Housing and Employability

Working4U	2,038	2,109	71	3%	↓
Service Description	This service incorporates a number of individual services the Council provides to its residents such as Advice services on benefits and debt, as well as community learning and development				
Main Issues / Reason for Variance	This adverse variance is due to the an underachievement of the savings target by £70K in order to maintain adequate welfare rights service				
Mitigating Action	Management will continue to monitor and maximise actions taken to achieve a level of savings, where appropriate				
Anticipated Outcome	At this time, an overspend is anticipated				

Efficiency reference		Efficiency Detail	budgeted Amount £	Projection of Total Saved £	Projection of Total Not Saved £	Comment
2015/16	MA2	Service Rationalisation: Corporate & Community Planning; Advice Services; CLD; Performance and Policy; Anti-Social Behaviour; and potentially others	1,338,000	1,268,000	70,000	This adverse variance is due to the an underachievement of the savings target by £70K in order to maintain adequate welfare rights service
2015/16	MA4	Clerical & Admin Review - Organisation Wide	200,000	200,000	-	on track
2015/16	MA11	New workforce models within Corporate Services through removal of vacant posts, more efficient working practices	124,065	124,065	-	on track
2016/17	MA1	Further service delivery rationalisation in CL&D, Working4U, Community Engagement	50,000	50,000	-	on track
2016/17	MA2	Reduction in Advertising	2,214	2,214	-	on track
2016/17	MA3	Review of staffing structures within Corporate Services	263,357	263,357	-	on track
2016/17	MA4	Introduce Marriage Officers	2,500	2,500	-	on track
2016/17	MA5	Stop provision of bottled water at committee meetings	3,000	3,000	-	on track
2016/17	MA7	Reduction of stationery budgets	5,000	5,000	-	on track
2016/17	MA8	Advertising changes for Elected Member Surgeries	3,000	3,000	-	on track
2016/17	MA10	Employability Service vacates Poplar Road	21,000	21,000	-	on track
TOTAL			2,012,136	1,942,136	70,000	

WEST DUNBARTONSHIRE COUNCIL
GENERAL SERVICES CAPITAL PROGRAMME
OVERALL PROGRAMME SUMMARY

APPENDIX 5

MONTH END DATE 30 September 2016

PERIOD 6

Project Status Analysis	Project Life Status Analysis				Current Year Project Status Analysis			
	Number of Projects at RAG Status	% Projects at RAG Status	Spend to Date £000	% Project Spend at RAG Status	Number of Projects at RAG Status	% Projects at RAG Status	Spend to Date £000	% Project Spend at RAG Status
Red								
Projects are forecast to be overspent and/or experience material delay to completion	0	0%	0	0%	0	0%	0	0%
Amber								
Projects are either at risk of being overspent and/or delay in completion (although this is unquantifiable at present) or the project has any issues that require to be reported at this time	0	0%	0	0%	0	0%	0	0%
Green								
Projects are on target both in relation to overall budget and the forecast stages in the project life cycle and no issues are anticipated at this time	12	100%	7,124	100%	12	100%	252	100%
TOTAL EXPENDITURE	12	100%	7,124	100%	12	100%	252	100%

	Project Life Financials				Current Year Financials					
	Budget £000	Spend to Date £000	Forecast Spend £000	Forecast Variance £000	Budget £000	Spend to Date £000	Forecast Spend £000	Forecast Variance £000	Re-Phasing £000	Over/ (Under) £000
Red										
Projects are forecast to be overspent and/or significant delay to completion	0	0	0	0	0	0	0	0	0	0
Amber										
Projects are either at risk of being overspent and/or delay in completion (although this is unquantifiable at present) or the project has any issues that require to be reported at this time	0	0	0	0	0	0	0	0	0	0
Green										
Projects are on target both in relation to overall budget and the forecast stages in the project life cycle and no issues are anticipated at this time	10,194	7,124	10,194	0	2,643	252	2,643	0	0	0
TOTAL EXPENDITURE	10,194	7,124	10,194	0	2,643	252	2,643	0	0	

WEST DUNBARTONSHIRE COUNCIL

Report by the Strategic Lead - Resources

Report to Corporate Services Committee: 9th November 2016

Subject: Procurement Strategy (2015 to 2017) – Annual Progress Report

1. Purpose

- 1.1** The purpose of this report is to update Members on the outcomes achieved relative to the Council's Procurement Strategy, 2015 to 2017 and the areas of focus for the next 12 months.

2. Recommendations

- 2.1** It is recommended that Members note the contents of this report.

3. Background

- 3.1** The Council's Procurement Strategy (2015 to 2017), approved by the Corporate Services Committee on 12th November 2014 sets out the framework through which the Council will continue to develop its procurement transformation programme and improve its procurement capability, processes and performance.

4. Main Issues

- 4.1** As outlined in the paragraphs below, good progress has been made on the Council's Procurement Strategy (2015 to 2017), with work ongoing to continue to develop and embed best practice procurement policies, procedures and practices that optimise benefit delivery including financial savings, sustainable procurement activity and wider community benefit opportunities for West Dunbartonshire.

4.2 Performance Measurement:

- 4.2.1** The Council's capability in terms of procurement and commercial practice and processes are assessed by Scotland Excel via the Procurement and Commercial Improvement Programme (PCIP) which has replaced the previous Procurement Capability Assessment (PCA).

- 4.2.2** The PCIP has introduced a new, higher level of capability, processes and performance for procurement and commercial activity that is not comparable to the previous PCA. As such, the Council's target of achieving Superior Performance by 2017 is no longer relevant, and it was reported to Committee that the Council will be targeting 25% or Basic Performance for our first PCIP assessment. This was reflective of our achievements to date, the work still to

be done in delivering against our Procurement Strategy, and the higher level of procurement capability sought by the PCIP.

4.2.3 The PCIP assessment was due to be carried out in March 2016, but due to resource and administration issues at Scotland Excel, this was postponed until 11th October 2016. This delay allowed a number of pieces of work to be delivered, including the Category Strategies, Commodity Strategy templates, KPI Measurement process, progress with key purchasing systems and creation of a new Contracts Database.

4.2.4 Following the PCIP assessment on 11th October the Council attained a score of 64%. The score is reflective of the additional work carried out between March 2016 and October 2016, and very much takes into consideration the new structure of the Corporate Procurement Unit, and the Category Management approach that has been adopted by the Council. This assessment confirmed the need for the Council to increase contract coverage and for robust, council wide contract and supplier management.

4.3 Category Management:

4.3.1 The Corporate Procurement Unit has restructured the category teams, aligning procurement resources to themes – People, Place & Corporate Indirects, rather than directorates, from 1st October 2015.

4.3.2 Following a period of development in partnership with managers across the Council, the Procurement Category Strategies for Place, People and Corporate Indirects were approved by the Performance & Management Group on 28 June 2016.

4.3.3 The strategies are the building blocks to achieving a more strategic approach for procurement within the Council in order to maximise procurement benefits and to enable services to deliver the Council's Strategic Objectives. The Category Management approach and the Strategies are designed to deliver:

- Moving away from reacting to organisational needs to requirements being proactive managed, forecast and planned;
- Increasing proportion of Council spend on contract;
- Increased procurement awareness and compliance with legislation and Council regulations across the council; and
- Consistent and effective approaches to Supplier/Contract management.

The Procurement Team will now begin work on key deliverables including:

- Commodity Strategies;
- Revised Procurement Policy & Guidance;
- Revised Supplier Relationship Management (SRM) Policy;
- Revised Employee Framework; and
- Contract Variation Authorisation Process.

4.4 Process and System Improvements:

Purchase to Pay (P2P)

- 4.4.1** Implementation of the P2P Business Transformation Project will standardise processes, improve efficiency and maximise use of core systems. Phase 2 of the project is expected to deliver time releasing benefits and generate significant savings between now and 2019.

The P2P Project Team has focussed on maximising the use of Purchase Cards with suppliers, and to reduce the number of invoices received from suppliers and to period 5 in 2016/17, £46,951 has been identified to be turned into cashable savings.

Contract and Spend Data

- 4.4.2** A new contract database has been created in order to capture and monitor all procurement spend within the Council, identify contract expiry at the earliest opportunity and track benefits to maximise delivery

This process entailed detailed analysis, mapping and cleansing of all procurement spend within the current systems (Spikes Cavell Observatory and Agresso) which now gives us a clear corporate overview of contracted activity to allow us to proactively engage with departments to ensure future procurement activities are properly planned and scheduled.

4.5 Local Procurement:

- 4.5.1** In 2014/15, of the Council's £128m overall external spend, £15.7m (12.2% of spend) was with West Dunbartonshire registered businesses. In 2015/16, external spend increased to £151m, and through the increased focus and promotion of "buy-local", along with efforts to support and develop local suppliers to bid for our work, spend with local businesses has increased to £20.9m (13.8% of spend).

- 4.5.2** Through the promotion of contractual arrangements which have a positive social, economic or environmental impact for West Dunbartonshire, a number of community benefit proposals have also been secured through our contracting activity in:

- Development of Local Business and employment opportunities for 6 new starts;
- Assisted the Council in the upgrade of a local community garden play area;
- Appointment of 3 Modern Apprentices;
- Donation of labour for a litter pick;
- Employment of local workforce to deliver sports pitch project along with donations for opening ceremony;
- Community benefit income of £3k for investment in Household Waste Disposal;
- Commitment to advertising and recruiting new jobs locally;
- Commitment to use of local supply chains wherever feasible; and

- Commitment to use of recycled materials where these can be reasonably identified.

4.6 Supplier & Contract Management:

- 4.6.1** The Council's Supplier Relationship Management Policy will be updated to align to the new Category Management approach by the end of 2016/17. Part of this will involve the prioritisation of our supply base with key performance indicators and scorecards to be rolled out to all strategic suppliers.

4.7 2015/16 Deliverables

- 4.7.1** In relation to the target deliverables identified in the previous annual report – as targets for 2015/16 the following has been achieved:

- Approval of Category Strategies for the 3 Category Areas;
- Attained 64% in PCIP against the target of 25%;
- Secured Year 1 (financial year 2015/16) total revenue savings of in excess of £377k (£271k revenue savings plus £106k rebates received) against a 3 year savings target of £900k;
- Spend on Contract has remained at 65.5% in 2015/16. This is anticipated to increase to 70% by the end of 2016/17 through Category Management.

4.8 Audit Scotland Report on Procurement in Councils

- 4.8.1** In April 2014, The Accounts Commission published a Scotland-wide audit report entitled 'Procurement in Councils'. Subsequently, in February 2016, a Procurement Scotland Impact Report was published.

The aim of the report was to assess whether councils are efficiently and effectively managing how they procure goods and services.

- 4.8.2** The report made a number of recommendations attached at Appendix 1 and provides an update as to how this Council has responded to these recommendations.

5. People Implications

- 5.1** There are a significant number of employees across the Council involved in procuring at all levels and their input will continue to be critical over the period of this Procurement Strategy.
- 5.2** The restructure of the category teams and the creation of the P2P project team will ensure that we continue to grow our capacity and develop the modern procurement competencies needed to support delivery of the Council's strategic outcomes.

6. Financial and Procurement Implications

- 6.1** The spend in 15/16 on supplies, works and services with third parties was £150m. One of the aims of the Procurement Strategy is to facilitate the delivery of financial savings through more informed spending with greater control and improved procurement practices. Performance in relation to savings achieved against revenue spend is identified above.

7. Risk Analysis

- 7.1** The Council's Project Management Approach (PMA) has been adopted for the delivery of the Procurement Strategy including its approach to the identification and management of risk.
- 7.2** In progressing the Procurement Strategy the Council is proactively managing the risk that procurement benefits are not optimised and the risk of non-compliance with procurement legislation, Council regulations and best practice principles. Delivery of the full Procurement Strategy is dependent upon stakeholder buy-in to working with the Corporate Procurement Unit to identify and take forward opportunities.

8. Equalities Impact Assessment (EIA)

- 8.1** An equalities impact assessment carried out in the development of the Procurement Strategy identified that procurement activities must take account of any impact on the wellbeing of specific groups. This must be considered at the earliest possible stage in the contract strategy formation and, where there is likely to be an impact, provision should be made within the contract for this. In addition, it is necessary to ensure that companies contracting with the Council comply with the same equality standards adopted by the Council.

9. Strategic Environmental Assessment

The delivery of the Procurement Strategy takes cognisance of the Sustainable Procurement Duty when assessing best value. This aligns well with the Environmental Assessment (Scotland) Act 2005 requirement to assess the need for an SEA prior to carrying out any plans, programmes and strategies.

10. Consultation

- 10.1** The Performance & Management Group and Legal Services have been consulted on the contents of this report.

11. Strategic Assessment

- 11.1** Delivery of the Procurement Strategy will support the delivery of the Council's high level priorities and objectives as detailed in the Single Outcome Agreement and the Council's Strategic Plan.

Stephen West
Strategic Lead - Resources
Date: 27 October 2016

Person to Contact: Andrew Gordon, Corporate Procurement Manager
(Interim)
Garshake Road, Dumbarton, G82 3PU
email: andrew.gordon@west-dunbarton.gov.uk;

Appendix: Analysis of implementation of Audit Scotland
recommendations in WDC

Background Papers: West Dunbartonshire Council Procurement Strategy
(2015 to 2017) – Approved 12 November 2014

Wards Affected: All wards affected.

Audit Scotland Recommendation	WDC Progress and Comment	Due Date for Completion
Review and formalise arrangements to fund procurement reform activity beyond 2016	The business case for investment within the Corporate Procurement Unit was approved by CMT on 7 April 2015, which has enabled the repositioning and reinforcement of the new approach to corporate procurement in the Council. After year 5, It would be expected that the structure of the service would be revised to reflect the new maturity of the organisation – towards a next stage of the CPU being a Strategic Commissioning Service.	Complete
Submit accurate and complete information to the Procurement Hub (the Hub, formerly known as Spikes Cavell Observatory) on a regular and timely basis (ideally quarterly, and as a minimum within three months of the end of the financial year)	At present, the CPU are uploading information within 3 months of the year end to the Procurement Hub, but are working with Spikes Cavell to explore feasibility and costs associated with quarterly uploads to the Procurement Hub.	01-Apr-17
Examine the costs and benefits of differentiating ALEO and council expenditure in their Hub submissions	At present, ALEO spend is not included in the Procurement Hub submission. We will consider our approach regarding ALEOs.	01-Apr-17
Make greater use of the tools and facilities provided by the Hub, including the use of Best Practice Indicators (BPIs) in their performance reporting and to benchmark their progress	Ad hoc reports are run as required to assist with category and commodity strategy development. The CPU will investigate the use of BPIs for future reporting and monitoring.	01-Apr-17
Engage earlier with suppliers and the people who use public services to help develop contract specifications that more accurately reflect service user requirements and allow for greater innovation within contracts	As part of the Category Management approach, category teams will be engaging with suppliers, service areas and service users at an early stage to help shape the Commodity Strategies within their category team.	Ongoing
Use the Public Contracts Scotland tender module for all applicable contracts	This is in place for all >£50k procurement requirements, and working with service areas to ensure all requirements between £10k and £50k are through the Quick Quote facility.	Ongoing

Make full use of national collaborative contracts and provide a clear explanation for non-participation in these contracts to the relevant council committee	At the moment, the Council makes full use of all available collaborative frameworks. Through the category management approach, collaborative frameworks will be one of a range of options considered as part of an options appraisal to identify the best route to market.	Complete
Develop a systematic approach to collecting information on non-financial benefits including economic, community and environmental benefits and report the benefits to the relevant council committee on a regular basis	At present, delivered community benefits are reported annually to the Corporate Services Committee. In addition, the CPU will be drafting a procedure for the quarterly tracking of all non cashable benefits which will be included in the annual report to the Corporate Services Committee, and the quarterly update to the Performance & Monitoring	Complete
Calculate procurement savings using a consistent and transparent methodology that demonstrates clearly how the savings are calculated and their relationship to improved procurement	Procurement savings for both revenue and capital are calculated consistently and transparently across the category teams with reference to the Scottish Government methodology. A benefits tracking meeting between the CPU Manager and Finance is held quarterly to ensure identified savings are realised.	Complete
Make better use of market research, cost avoidance and improved contract management to identify savings and potential service improvements	As part of the Category Management approach, category teams use of Keynote which is a Market research tool to supplement the other forms of market and supplier research that is carried out as part of commodity strategy development. Through the course of the next 2 years, the team will work with Service Areas to improve the focus on service delivery options appraisals and contract & supplier management.	01-Apr-18
Aim to achieve the 'superior performance' level in the Procurement Capability Assessment (PCA)	PCA has been superseded by the Procurement and Commercial Improvement Programme (PCIP). The Council has attained 64% which places it in F3. To achieve a banding of F1, the Council would need to increase to >70%. The CPU will be actively working towards meeting and exceeding this target over the next 2 years	01-Apr-18

Benchmark their procurement staffing against similar-sized councils with higher PCA scores and, where appropriate, produce a business case for employing additional qualified procurement staff where they have lower staffing levels	Benchmarking was undertaken in 2015, and the team was subsequently restructured to increase staffing numbers. The score attained in the 2016 PCIP assessment is a reflection of the investment within the CPU. Benchmarking will continue on a regular basis as a best practice approach to ensure performance continues to improve	Complete
Examine the benefits of joint working or joint procurement teams as a way of securing economies of scale and creating collaborative contracts	The Council works collaboratively with other public sector organisations to identify potential opportunities for joint working on tender requirements. The most recent examples being collaborative tenders for Legionella Water Monitoring with East Dunbartonshire, and The Provision of Taxi Services with the NHS - both of which WDC were the lead authority.	Ongoing
Phase out paper purchasing systems and consider the business case for moving all purchasing systems to an electronic 'purchase to pay' basis	Ongoing P2P transformation project to optimise P2P process and transition to greater e-ordering. This is a project over 5 years.	01-Apr-20
Raise staff awareness of accountability and controls by:		
- implementing a written code of ethics;	The Council has a Public Interest Disclosure Policy and Code of Conduct. As part of raising awareness of procurement in general, will highlight these linking to procurement responsibilities	01/04/2017
- requiring staff involved in procurement to complete a register of interest statement;	At the start of every >£50k tender process, stakeholders are required to complete a conflict of interest statement.	Complete
- require internal audit to conduct a regular assessment of procurement risk, including the risk of fraud;	Procurement Risks are recorded and monitored on the Organisation's Covalent system. Meetings between the CPU Manager and the Audit and Fraud Manager take place on a quarterly basis where these risks are assessed and any new issues or areas for concern are discussed.	Complete

<p>- Require a report on procurement savings and non-financial procurement benefits to be submitted to the appropriate committee on a regular basis; and</p>	<p>A Procurement Update report is submitted to the Corporate Services Committee on an annual basis which includes cashable and non cashable benefits along with local procurement, procurement performance and contract coverage.</p>	<p>Complete</p>
<p>- Encourage elected members sitting on the main committee(s) dealing with procurement to complete specific training to help them undertake their governance role more effectively.</p>	<p>The Elected Members' induction programme describes the Council's Standing Orders and Financial Regulations. The Procurement e-learning modules are available to elected members along with specific notebooks on corporate governance, and ethics amongst other topics. An overview of procurement within the Council was presented to Members on 12 October 2016, with future seminars in development that will focus on specific areas of procurement.</p>	<p>Complete</p>

WEST DUNBARTONSHIRE COUNCIL

Report by Strategic Lead – CCC

Corporate Services Committee: 9 November 2016

Subject: DIGITAL STRATEGY 2016-2021

1. Purpose

- 1.1** The Digital Strategy sets out how the Council will make use of modern technology to provide customer service channels that increase choice, improve satisfaction and reduce costs.

2. Recommendations

- 2.1** It is recommended that Corporate Services Committee:
- i. Agrees the proposed direction of digital transformation at West Dunbartonshire Council by approving the Digital Strategy

3. Background

- 3.1** The Performance and Monitoring Review Group approved the creation of a Digital Strategy on 28 June, and agreed a timeline for its progression to elected member approval.
- 3.2** Consultation on the Digital Strategy has been undertaken with all Strategic Leads and a number of management teams over a period of three months. The final version in the Appendix incorporates feedback and comment.

4. Main Issues

- 4.1** The aim of this Strategy is to set out the approach the Council will take in ensuring that it delivers its services digitally-by-default, and that the local digital infrastructure supports and provides easy access to those digital services.
- 4.2** This will assist with the delivery of effective and efficient joined-up customer services through Channel Shift. Such improvements will enable our citizens to have 24\7 access to transactional services, such as view Council Tax balances, pay outstanding balances, and report street issues.
- 4.3** It also complements the ICT modernisation activity and advances in technology that will enable staff and citizens to have greater access to information regardless if they are using mobile devices or based in an office. This will be delivered by a single set of commonly used services that work

together to form the core information to additional systems e.g. Corporate Gazetteer, Housing System.

- 4.4** Example benefits to residents that we should see over the next five years include online school payments, and a self-service portal. The latter will give citizens 24/7 access to view their balances, highlight issues, make payments, and report repairs, while also receiving automated replies and updates from our integrated systems.
- 4.5** Responsibility for delivering the actions included in the Digital Strategy sits with the individual Strategic Leads as this is activity they will already be planning to deliver. A timeline of delivery is included within the Digital Strategy to enable progress to be tracked.

5. People Implications

- 5.1** There are no people implications based on this Strategy. There will be implications linked to the individual actions it describes and these will be taken forward and considered by each Strategic Lead as part of their continuous improvements. These include enabling mobile working, improving processes, reducing manual intervention, and increasing automated tasks.

6. Financial and Procurement Implications

- 6.1** There are no financial and procurement implications linked to this Strategy. These should be included by each Strategic Lead when planning for future activity in their service areas.

7. Risk Analysis

- 7.1** There is a risk of a negative impact on customers if we do not provide all of our services online in a clear and easy to use manner. Customers are using online more and more (for example online banking, online shopping, online trading and social media), and they expect to be able to do the same with West Dunbartonshire Council.
- 7.2** There is also the potential for reputational damage if we do not meet the expectations of our customers. The Council risks losing touch with our community and their expectations if they are not able to get the service they want, when they want.
- 7.3** Failure to make these improvements would leave the Council in a reactive position always playing catch-up with our community.

8. Equalities Impact Assessment (EIA)

- 8.1** The proposal has been screened, and found relevant in terms of the Equality Duties. An impact assessment has been carried out and it notes the potential positive impacts and supporting actions, relevant to customers and staff.

8.2 It is also noted that all individual actions contained in this Strategy will be screened for relevance and assessed if required.

8.3 In addition the EIA notes that alternatives to digital communication will be retained where required to ensure accessibility and legal compliance.

9. Consultation

9.1 Each Strategic Area has updated and contributed to this Strategy, resulting in a balanced and realistic digital ambition for the Council.

10. Strategic Assessment

10.1 The proposals outlined within the report support the Council's stated ambition to make 'Innovative use of Information Technology' and have a 'Positive dialogue with local citizens and communities'.

Malcolm Bennie

Strategic Lead CCC

Date: 25 October 2016

Person to Contact:	Jonathan Muir, Channel Shift and Web Manager; 01389 737403; jonathan.muir@west-dunbarton.gov.uk
Appendices:	Digital Strategy 2016-2021
Background Papers:	N/A.
Wards Affected:	N/A.



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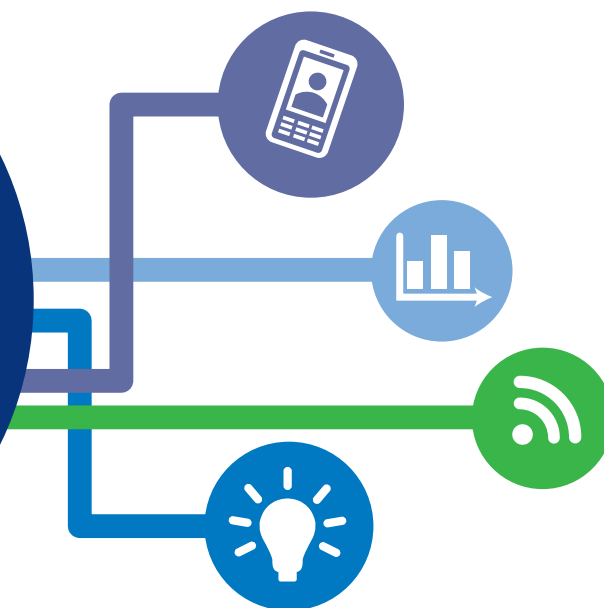
Digital Strategy 2016 - 2021

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Outlining our Strategy



Residents increasingly expect to be able to access Council services quickly and conveniently at times and in ways that suit them. Our ambition is for the vast majority of our stakeholders to access public information and services in the same seamless and effortless way that they access services from the best online commercial providers. Our key stakeholders include citizens, visitors, elected members, employees, businesses, voluntary and community organisations and the Scottish Government and community planning partners.

This strategy complements the Council's Customer Charter¹, Strategic Plan², ICT Strategy³, and the Scottish Government's National Digital Strategy. It focuses on the provision of customer service channels that will increase choice, improve service and reduce costs whilst providing the universally available online services that citizens expect from a modern organisation.

The aim of this strategy is to set out the approach the Council will take to deliver its services digitally by default, and ensure that the local digital infrastructure supports and provides easy access to those digital services.

The strategy covers the following elements:

- **Vision**
- **Method of approach**
- **Digital Infrastructure**
- **Digital skills**
- **Channel shift/Customer Services**
- **Partnership through ICT**
- **ICT innovation**
- **Procurement and sourcing**
- **Core technologies**
- **Business solutions**
- **Data as an asset**

Vision

We will maximise the potential of digital technologies to improve outcomes and services for all our citizens and employees, whilst seeking to reduce our costs.

We will do this by focusing on the following:

- **Digital by default** - we will implement a digital approach to the delivery of services and the way that we work and learn.
- **Mobile first** - (delivery platform) we will give priority to ensuring that services can be delivered through mobile technologies.
- **Channel shift** - we will maximise the proportion of digital transactions and reduce wherever possible the need for face-to-face (F2F) transactions.
- **Citizen centric** - we will put citizens at the centre of what we do by engaging them in the design and delivery of services so that the outcomes delivered are the ones that really matter to them.

Council services will work together to deliver end-to-end digital services - particularly where these tasks cross internal lines of responsibility - because our residents view the Council as a single service provider.

It is recognised that not all services can be delivered through digital channels. Some services are practical or physical. Examples might include meals on wheels, special uplifts for waste and housing repairs. However, the means by which these services are requested, paid for, monitored and evaluated can be digital and this will be considered in the design of any services that are in scope for digital channels.

Method of approach

The method of approach is built on key components that require to be aligned, to create an environment that promotes digital excellence.

Simplicity

The services we design and the ICT architecture adopted will be as simple as possible and easy to use and deploy. This needs to be user-friendly and provide a positive user experience or it will not be the preferred channel.

Governance

The Performance, Monitoring and Review Group (PMRG) will ensure compliance with the strategy, and development and implementation of the digital roadmap. The Strategic Leads will ensure that appropriate resource is provided for the effective delivery of the roadmap and that priorities are clearly articulated. Savings as a direct result of digital transformation will be reported to the Council's Change Board.

Strategic alignment

The digital strategy is a key enabler for service transformation. It will be informed and directed by the Council Plan and Strategic Lead Delivery Plans. The PMRG will ensure that the strategy remains aligned with the Council's priorities.

Reuse before buy before build

We will reuse ICT assets whether they are owned by the Council or its partners. Where the right solution does not exist we will buy from the market, and only build as a last resort.

Multi-channel

We will deliver services through a range of channels, with an emphasis on moving to more efficient digital online services wherever possible, and ensure ease of use and 24/7 access wherever possible.

Agile

The services we deliver for our employees will be agile at their core enabling property savings, service efficiencies and employee wellbeing.

Customer gold record

Our customers will have a single identity matched across all Council systems and linked to the Scottish citizen account (MyGovScot/MyAccount). These links should be stored in the Corporate Portal/CRM system and require authentication only once.

Corporate core

Whenever possible we will deliver IT services once and well to avoid duplication and extra cost. This will ensure that there is maximum flexibility for Council teams to change and adapt their specialist ICT applications easily.

Integration

We will provide and ensure suppliers have the right tools to enable integration between the specialist applications used by Council services. This will enable core components such as the Council's CRM, financial systems and property gazetteer to provide information to each other.

Open standards

We will use open industry standards where possible. Open Standards prevent over reliance on single software vendors and other artificial barriers to interoperability between systems. They also promote choice between vendors and technology solutions and can reduce operating costs.

Data protection

All services and solutions delivered under this strategy will comply with the eight data protection principles.

Digital skills

The growth of consumer technology has created a new era in digital where many consumers expect 24/7 access to services online, and access to social media to engage with organisations. Consumer expectations will continue to radically change the ways in which we work and the work that we do. To be the digital and agile Council we aspire to be we will need different skills and knowledge.

Our schools and early years will be supported to deliver a 21st century educational experience and provide pupils with facilities to access the latest technology in support of their education.

We will develop our workforce, leaders, citizens, school pupils and learners, putting digital skills at the heart of our services, communities and curriculum.

We will do this by:

- **Designing services and support capabilities that deliver digital inclusion for all our citizens**
- **Embracing social media as a tool for engagement and communication both internally and externally**
- **Delivering digital inclusion training courses for our citizens via library computer courses**
- **Providing up-to-date equipment and software in our schools**
- **Making more use of social media to enhance the learning experience in our schools**
- **Developing our employees to be comfortable with the technologies we use to deliver services**
- **Using e-learning to enhance digital skills**

Channel shift/Customer Services

Our customers will have a choice of channels through which they can transact with the Council but we will work to ensure that the digital channels become the most popular by making them easy to use and available 24/7. Customer Services will be designed for the convenience of our customers rather than our internal business processes, and allow a seamless customer journey across all channels. The provision of online, web chat, voice and face-to-face services will enable customers to escalate from channel-to-channel without loss of data or the need to restart a transaction.

In particular we will:

- **Deliver a web responsive service portal**
- **Integrate our backend systems into customer portal or Customer Relationship Management (CRM) with all customer service channels**
- **Link our local services to MyGov.Scot**
- **Have a single identity for our customers regardless of their channel preference linking with MyAccount**
- **Work towards creating a single telephone contact centre that delivers a seamless service to our customers**

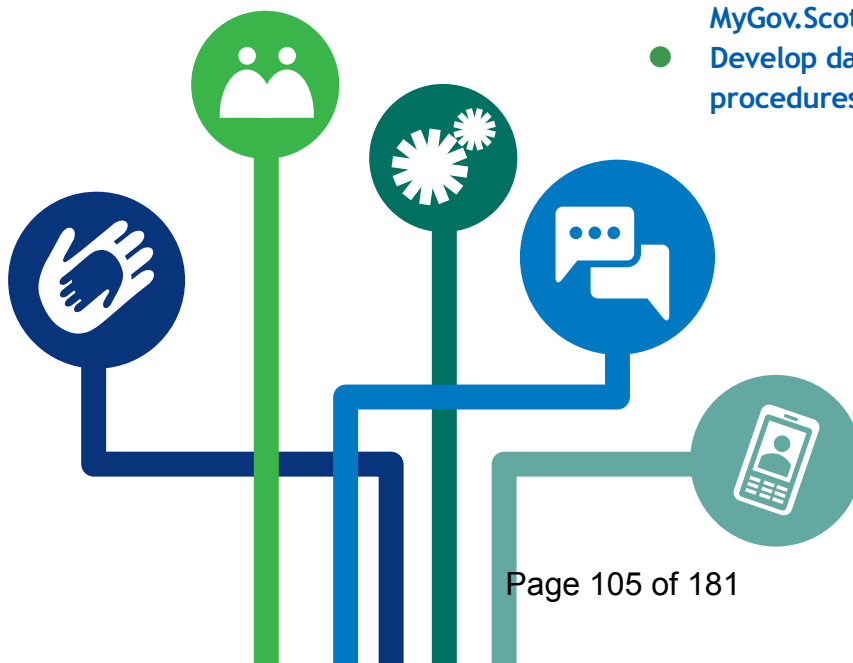
Partnership through ICT

West Dunbartonshire Council delivers its services in conjunction with a range of partners for the benefit of the local community. Partners such as WD Leisure Trust, Valuation Joint Board, Criminal Justice Partnership, Loch Lomond & Trossachs National Park and the Health and Social Care Partnership are a key driver for joined-up working through ICT and we will ensure that the ICT solutions enable services to be delivered independently of organisational boundaries.

In order to plan strategically for the delivery of services in the future we will share our data with community planning partners and develop our Geographical Information System (GIS) and business intelligence systems to predict future demands and align these to organisational resources.

We will:

- **Deploy open data sharing tools that allow secure sharing of data with the 3rd sector**
- **Work with our partners to deliver ICT services that enable integration with our partner organisations**
- **Engage with the national MyAccount, National Entitlement Card (NEC) and MyGov.Scot and other programmes**
- **Develop data sharing protocols and procedures with our partners**



ICT innovation

Innovation will drive what we do to deliver better ICT services for our employees, partners and our citizens. We will develop an entrepreneurial approach to service delivery that allows us to explore new options and take a more commercial approach to the ICT infrastructure. This includes the consideration of shared service delivery and becoming a service provider where there is a demonstrable business case. Previously IT services focused on delivering internally for the Council - for staff, data and systems. Our new service design will focus more on delivering an IT infrastructure for our customers.

Procurement and sourcing

In order to achieve our digital vision, we must ensure that what we buy is consistent with our Digital Strategy's aims and objectives. In collaboration with the Corporate Procurement Unit and other stakeholders, we will develop strategies for each requirement that are consistent with the Council's wider ICT commodity strategy. This will ensure that consideration is given to any relevant internal and external factors in developing the scope of the requirement and determining the route to market which will deliver the best outcome.

In particular we will:

- Collate service demand across the Council
- Carry out options appraisals to determine delivery models where appropriate and routes to market
- Carry out market research to inform our strategy and specifications
- Adopt a total cost of ownership approach when developing commercial models
- Consider contract and supplier performance management requirements at the outset, and manage contracts in accordance with specified requirements
- Consider how contracts can support wider sustainability goals e.g. community benefits, environmental and social impacts etc.

Core technologies

Key components include a corporate core. This ensures that the Council's ICT complies with the requirement for simplicity, by using a single set of commonly used services (corporate core) to deliver key building blocks. These will be used when integrating digital services, and allow Council services to manage their systems and suppliers more effectively. This avoids the added complexity of integrating with multiple suppliers services such as document management, cash receipting or mobile. Procurement and sourcing will enable the Council to minimise the number of business applications it owns, while adhering to the corporate principle of doing things once and doing them well.

In particular we will:

- Provide a single corporate payments engine
- Develop our Geographical Information System (GIS) to support the Council's business decision-making
- Adopt the MyAccount as our authentication system
- Provide a corporate self-service portal with Customer Relationship Management (CRM) platform
- Secure data and systems to ensure customer information is managed and shared effectively.

Business solutions

Our digital services must be built on solid foundations and we will ensure that our specialist ICT applications are as effective and efficient as possible. All ICT applications will be compatible with the core corporate components of the ICT infrastructure. Where they are not we will reuse other systems that the Council already owns that deliver similar functions or adopt shared solutions with other public sector partners, failing this we will buy what we need through our procurement channels and only build as a last resort.

To remain effective our business solutions must be kept up-to-date and develop in line with our business aspirations and the Council's priorities. We will work through our budget process to ensure that adequate resources are in place to make this happen.

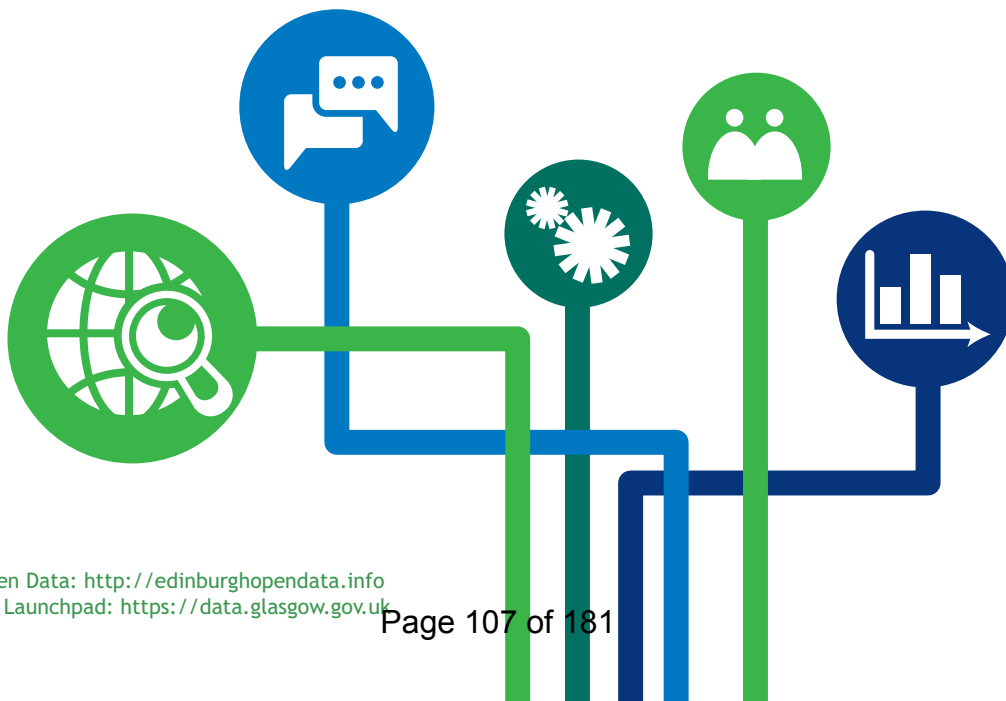
We will redesign services from end-to-end to ensure user pathways are smooth and frictionless and that the workforce can share data securely without having to resort to manual processes. This should be done with the minimal disruption to the service and the workforce.

Data as an asset

Our data will be developed as a business asset so that through better use of systems it is easy to find, is managed consistently across the Council and can be translated into information to enable intelligent decision making.

We will enhance the outcomes of the programme by:

- **Using multi-structured data approaches on our business data.** This means that we will analyse our large data sets to identify patterns, trends and associations that inform our decision-making
- **Develop an open data strategy -** Open data is the practice of making non-personal Council data available freely to customers and commercial organisations to help drive digital innovation. Open data is not commercially sensitive and contains no personal information which could be used to identify individuals - some good examples are Edinburgh Open Data⁴ and Glasgow Open Data⁵.
- **Develop tools that enable a Council-wide approach to business intelligence.**



⁴ Edinburgh Open Data: <http://edinburghopendata.info>

⁵ Glasgow Data Launchpad: <https://data.glasgow.gov.uk>

Strategic objectives	Definition	Strategic areas timeline
Align Customer Services and digital strategies	The digital strategy and Customer Service strategy have common objectives and outcomes. We will ensure that these strategies continue to be linked and seamless	CCC November 2017
Application review	Review all corporate IT applications collecting cost and type of system This will let us look at commonality and allow us to identify opportunities for rationalisation to reduce duplication and improve efficiency	People & Technology Ongoing up to 2021
Citizen authentication delivered by MyGov Scotland ⁶	Single identifier used by citizens that will confirm their identity online easily, quickly and safely Also provides customised services MyAccount from scot.gov will be the main authentication tool for WDC	Council-wide Ongoing up to 2021
CRM (Customer Relationship Management) replacement	Review current in-house developed customer relationship management system and consider options for procurement of lite-CRM integrated into corporate portal Any CRM must be able to show the customer journey from all departments and be updated by all departments, with easy reporting and monitoring to be able to make informed decisions	CCC 2017/18
Corporate Portal (allows access to information and forms after you have signed in)	Develop a Corporate Portal that is integrated into our backend systems. This will be used by residents using self-service and by Customer Services via the portal's integrated lite-CRM system with the ability to run meaningful reports to analyse trends	CCC 2017/18
Assisted digital/digital leaders	To push digital transactions and signpost anyone lacking in confidence to existing and new digital courses in libraries, OSS and through employability service. These courses to be reviewed to ensure they support digital inclusion for all	CCC and Housing & Employability July 2017
Centralised ICT spend approval (Capital and aligned to the SAMG plan)	Ensure that we understand the need for spend before it is committed and that all purchases are strategically aligned and have Committee approval where appropriate	Commissioning Service Ongoing up to 2021

⁶ MyGov Scotland: <https://www.mygov.scot>

Strategic objectives	Definition	Strategic areas timeline
Consider commercial service provision e.g. National Park, and part of the Commercial Excellence workstream	Give consideration to becoming a commercial provider either alone or in partnership. Current example is the provision of high speed broadband in business parks. Rental of data centre space or IAAS/SAAS are also feasible. (Adhering to CESGs cloud security principles ⁷)	People & Technology Ongoing up to 2021
Develop market focussed procurement strategies for digital projects that take full account of relevant internal and external factors	Aggregate demand across the Council and assess any opportunities for external collaboration; carry out options appraisals to determine best delivery models and routes to market; carry out market research and benchmarking to inform strategy and specifications	Resources (Procurement) in consultation with Commissioning Service Ongoing
Adopt a total cost of ownership approach when developing commercial models for digital projects	Understand where costs are created and what we pay over the whole life of the requirement and develop commercial pricing models that enable us to evaluate suppliers' bids on a TCO basis	Resources (Procurement) in consultation with Commissioning Service Ongoing up to 2021
Develop an ICT 'Commodity Strategy' that takes full account of the WDC Digital Strategy	Commodity Strategy developed by Procurement and service stakeholders will incorporate a strategic analysis of the Council's ICT/Digital portfolio including demand, spend, external and internal drivers, market research, risks, options, implementation plan etc.	Resources (Procurement) in consultation with Commissioning Service Target is March 2017
Maximise value from contracts through robust contract and supplier management	Consider key contract and supplier management requirements from the outset and build these into the strategy/invitation to tender; Ensure suppliers are managed in accordance with the agreed levels	Commissioning Service with Resources (Procurement) where supplier is strategic Ongoing up to 2021
Council-wide business intelligence strategy	At the moment all business applications have their own reporting tools and reports are constrained to single data sets. Council wide Business Intelligence would standardise reporting and open up opportunities to interrogate across multiple systems	People & Technology Ongoing up to 2021
Data classification and management strategy	Links to Information governance and gives us clarity on the sensitivity of our data. This creates the potential to move low sensitivity data to cheaper external provision	Regulatory Ongoing up to 2021
Data matching	Links to citizen authentication and allows single identifier (such as Unique Council Tax Reference/Debtors Reference Numbers) in business applications	Council-wide Ongoing up to 2021

⁷ Cloud security principles: <https://www.cesg.gov.uk/cloud-security-collection>

Strategic objectives	Definition	Strategic areas timeline
Data sharing services/tools for third sector partners	Increased working with the third sector will cause some problems when transferring sensitive or personal data. New tools will be provided to enable this	People & Technology and Regulatory Ongoing up to 2021
Deliver EMM ⁸ (Enterprise Mobility Management) and mobile application platforms	EMM is a tool that allows consumer mobile devices (Ipad, iPhone, Android tablets, Windows Phones) to be connected to corporate resources such as email & Intranet. Coupled with an application platform it allows development of a single mobile service that links to multiple business applications	People & Technology and Regulatory Ongoing up to 2021
Deliver unified communications	Productivity tools that support new ways of working and include video, voice, instant messaging and integrated presence	People & Technology Ongoing up to 2021
Deploy new co-located service for hosted NHS employees	Health and Social care integration will be challenging operationally. It is therefore important to ensure that the technology in place acts as an enabler rather than sitting between organisational boundaries. Closely links to Scottish Wide Area Network (SWAN)	People & Technology Ongoing up to 2021
Desktop solution	Roll out new desktop services	People & Technology Ongoing up to 2021
Develop open data strategy	Open data is the practice of making Council data available freely. There are different models of practice and risk. This enables greater partnership working example Dublinked ⁹	CCC Ongoing up to 2021
EDRM (Electronic Document and Records Management) deployment	Phased roll out of corporate electronic document management - core for agile and better data management	People & Technology Ongoing up to 2021
Electronic CPM (Child Protection Messaging)	Child Protection Messaging between multiple organisations including LAs, NHS, Police	Education End of 2017
End to end online transactions via west-dunbarton.gov.uk	Access to services online that are automated and transferred from system to system eliminating as many middle layers or steps as possible to optimise performance or efficiency	Council-wide Ongoing up to 2021
ePlanning/eBuilding control	National project. Changes to online planning applications and the introduction of online building warrant applications	Regulatory Ongoing up to 2021

⁸ EMM: <http://technologyadvice.com/blog/information-technology/why-the-market-moved-from-mdm-to-enterprise-mobility-management>⁹ Dublinked: <http://www.dublinked.ie>

Strategic objectives	Definition	Strategic areas timeline
Extend WiFi	Align with agile programme to ensure our retained properties are wifi enabled to support the workforce. Public WiFi to be available in Council buildings	People & Technology Ongoing up to 2021
Full web/Customer Service integration with Social Media	Provide single customer experience through numerous Social Media channels	CCC Ongoing up to 2021
GIS (Geographic Information System) replacement	Current contract to be reviewed. New provision to include mobile service, responsive web and other enhancements	Regulatory Ongoing up to 2021
Information governance	Develop rules and procedures for the gathering, storage and disposal of data	Regulatory Services Already started, will be completed by 2021
National entitlement card (NEC)	Extend use of NEC (currently Young Scot and bus passes) - libraries, leisure, Staff ID etc	Council-wide Ongoing up to 2021
Online licensing	Adoption of national approach to establish a single solution for liquor and commercial licencing	Regulatory Ongoing up to 2021
Online payment engine for schools	Consider deployment of online payments for schools transactions through national framework	Education April 2017
Online performance dashboards	Development of high level dashboards (graphical presentation) of performance data allowing access to key information at point of decision making	CCC Ongoing up to 2021
Open source strategy agreed and integrated	Open source is user owned software that is developed by communities of practice (Linux, OpenOffice and Apache). It is software used, shared and changed by anyone. It tends to be cheaper to procure but can be more expensive to support. It can offer significant savings if used effectively	People & Technology Ongoing up to 2021
Refresh corporate devices	Ongoing review of the range of devices provided and supported	People & Technology Ongoing up to 2021

Strategic objectives	Definition	Strategic areas timeline
Integrated customer channels	Build on channel shift to create a fully integrated customer experience. People use different channels to contact the Council; currently web, phone, email and face to face. Integrating the channels of contact will provide a consistent and seamless customer experience. It will improve customer satisfaction and improve operational effectiveness	CCC Ongoing up to 2021
Refresh servers	There is a regulatory requirement to have our file servers and desktop machines running fully supported versions of operating systems and applications. In the short term this means replacing Windows XP, Office 2003 and Windows Server 2003	People & Technology Ongoing up to 2021
Consolidate library catalogue system	Consolidate the library catalogue system to streamline the customer experience	CCC Ongoing up to 2021
Replace remaining legacy telephony and extend the new system	Current telephony is out-of-date and does not support some modern protocols. New phone systems would be specified to support agile working and include softphone as well as fixed mobile integration	People & Technology Ongoing up to 2021
HR21 self-service - external access	Enable HR21 secure access from external network to enable employees to view payslips, submit requests etc from home or smartphone	People & Technology Ongoing up to 2021
Responsive web design	Website that displays correctly for any device that connects to it	CCC Complete and ongoing up to 2021
Roll out BYOD (Bring Your Own Device)	Review options for bring your own device covering mobile and desktop services and including segregated BYOD for pupils (with EMM)	People & Technology Ongoing up to 2021
Managing digital practice	Embed digital at the core of our service design and staff competences	Council-wide Ongoing up to 2021
Segregate PSN (Public Services Network)	There is a regulatory requirement to move our government secure network away from education and public networks that we run	People & Technology and Regulatory Ongoing

Strategic objectives	Definition	Strategic areas timeline
Shared demand management tools (GIS) (Geographic Information System)	Use business intelligence and shared data sets to model demand, using GIS to demonstrate these graphically and in table form. Examples could be linking demographic data, health demand and development plans to particular sites to make new service provision more effective	Regulatory Planning and Building Standards to be used Council-wide Ongoing up to 2021
Shared services	Look at opportunities for shared services with partners across the whole public sector including some private sector provision where appropriate. Examples could be community cloud, common ICT platforms or purchasing services from another LA rather than commercial providers	Council-wide Ongoing up to 2021
Workforce Capability	To ensure development programmes are aligned with the development and implementation of the Digital Strategy	Council-wide Ongoing up to 2021

WEST DUNBARTONSHIRE COUNCIL**Report by the Strategic Lead People & Technology****Corporate Services Committee: 9 November 2016**

Subject: Job Evaluation Policy and Procedure Review**1. Purpose**

- 1.1** To update the Corporate Services Committee on the review of the Job Evaluation Policy and Procedure.

2. Recommendations

- 2.1** The Corporate Services Committee is asked to:
- 1) Note the contents of the report
 - 2) Approve the changes to the Job Evaluation Policy and Procedure.

3. Background

- 3.1** The Job Evaluation Policy and Procedure sets out local arrangements for the application of the Scottish Council's Job Evaluation Scheme (JES). The JES and its supporting "Gauge" online system was designed specifically to support the introduction of non-discriminatory, unified pay and grading structures for the "Single Status" job population within Scottish local authorities. The factors and definitions of the Job Evaluation Scheme were endorsed by both the Trade Unions and Management side of the Scottish Joint Council in April 2000, and a Second Edition of the Scheme containing jointly agreed amendments was further endorsed in October 2002.
- 3.2** In 2009 the SJC agreed to review the 2nd Edition of the Scheme following concerns raised by the Equalities & Human Rights Commission in their 'Valuable Assets' Report and the requirements of the 2010 Equality Act and the Public Sector Gender Equality Duty.
- 3.3** A Joint Technical Working Group was established to undertake the review and the 3rd Edition of the Scheme was endorsed by the SJC in November 2015. A Transition Protocol was developed by the Joint Technical Working Group to provide a background to the review, provide guidance on what actions Councils should consider taking and what issues Councils should also consider in relation to the transition to the 3rd Edition of the Scheme. Councils across Scotland began to implement the new Edition from April 2016.

- 3.4** The Policy and Procedure was reviewed, in light of the move to the 3rd Edition, in consultation with key stakeholders including Job Analysts from management, HR and the Trades Union.
- 3.5** The current Job Evaluation Policy and Procedure was produced to outline the process for evaluating jobs following the implementation of Single Status and was updated in 2015 to include Craft Workers and Chief Officers and incorporate some administrative changes to the Procedure.
- 3.6** The aim of the Job Evaluation Policy and Procedure is to ensure that job evaluation is dealt with fairly and consistently in accordance with current legislation, the nationally agreed JE Scheme and best practice to ensure a robust defence to any future equal pay challenges.
- 3.7** The Policy and Procedure provides detailed guidance to line managers and employees on identifying the requirement for the evaluation of posts and the subsequent evaluation process. The procedure includes an Appeal stage and provides standard documentation which supports the evaluation and appeals processes.

4. Main Issues

- 4.1** A full review has been undertaken in relation to all aspects of the current Job Evaluation Policy and Procedure, examining its use, application and effectiveness. The review incorporated the guidance contained within the SJC JES Practice Manual, Model Job Evaluation Appeal Procedure and 3rd Edition Transition Protocol.
- 4.2** Changes have been proposed in a number of key areas. Details of the changes are highlighted below:

Processes

- 4.3** Three revised processes have been developed to reflect the guidance within the SJC JES Practice Manual:
- Evaluation of New Jobs
 - Re-evaluation of Changed Jobs
 - Job Evaluation Appeal Procedure

Evaluation of New Jobs

- 4.3.1** When new jobs are established as part of a structure review or new project the Service, in consultation with their HR Business Partner, will submit a request for the post to be added to the establishment and job evaluated.

Re-evaluation of Changed Jobs

- 4.3.2** Managers and employees can request the re-evaluation of jobs that have changed out with restructures or service reviews. In order to increase the

efficiency of the service provided by the Job Evaluation team and in line with the SJC JE Practice Manual it is necessary to introduce 2 windows for re-evaluation requests. Re-evaluation requests can be submitted at any point during the year however the re-evaluation panels will only sit in May and November each year.

Job Evaluation Appeal Procedure

- 4.3.3** Employees and managers have a right of appeal against the outcome of the evaluation or re-evaluation when there is factual inaccuracy in either the inputs or the outputs of the evaluation process; they feel that the job evaluation process was not carried out in accordance with the Council's Job Evaluation procedure or if it is felt that there has been a misapplication of the factor definitions, levels and guidance of the Scottish Council's Single Status Job Evaluation Scheme.
- 4.3.4** The Appeal procedure consists of 2 stages. Firstly there is consideration of the admissibility of the appeal by the Strategic HR Manager and a trained Job Analyst. If the appeal is admissible it will then be heard by a Job Evaluation Appeal Panel. If the Appeal Panel determines that there are grounds the post will be evaluated during the Appeal Panel.
- 4.3.5** No changes are proposed to the operation or arrangements of Job Evaluation Panels.

5. People Implications

- 5.1** The review of the Policy and Procedure will ensure that employees and managers are fully supported by providing a clear and transparent framework for dealing with concerns or complaints in relation to their job content.

6. Financial Implications

- 6.1** The Council is committed to the management of pay and reward through appropriate pay and benefits strategies. The Job Evaluation process will ensure that placement on pay structures remain compliant with our duties under the Equality Act 2010.

7. Risk Analysis

- 7.1** The Council needs robust systems in place to avoid the risk of challenges in relation to equal pay. This includes ensuring that Job Analysts are properly trained to use the Scottish Councils' Job Evaluation Scheme and the Gauge system and that the application of the scheme is monitored to ensure consistency.

8. Equalities Impact Assessment (EIA)

- 8.1** A high level Equality Impact Assessment has been carried out and found no negative impact to any protected characteristic in carrying out this exercise.

9. Consultation

- 9.1** The review of the Policy and Procedure has been discussed with Trade Unions through the Job Analyst Team and was discussed at the Employee Liaison Group on 26th October.

10. Strategic Assessment

- 10.1** This report directly supports the Council's Strategic priority of supporting and retaining a committed and dynamic workforce.

.Electronic Signature

Vicki Rogers
Strategic Lead – People & Technology
Date: 7 October 2016

Person to Contact: Michelle McAloon, Lead HR Adviser, Council Offices,
Garshake Road, Dumbarton.
Tel: 01389 737577 Email: michelle.mcaloon@west-dunbarton.gov.uk

Appendices: Appendix 1 - Job Evaluation Policy & Procedure

Background Papers: “Bye Now, pay later?”, follow up report, Audit Scotland
June 2003 and “Bye Now, pay later?”, Accounts
Commission December 1997

Wards Affected: None

Job Evaluation Policy & Procedure

Implementation Date: 20th June 2012

Quick Reference - Associated Documents and Version Control

Title	Job Evaluation Policy and Procedure
Version	Version 3
Responsible	Strategic HR Manager
Committee approval date:	4 November 2016
Date reported to JCF:	
Consultation with trades unions:	October 2014
Supersedes Version	Version 2 – approved 20 th June 2015
Driver for change	Review related to the transition to the 3 rd Edition of the SJC JE Scheme.
Legislative Context	<p>Law that relates to this Policy and supporting Procedure:</p> <ul style="list-style-type: none"> • Equality Act 2010 • Equal Pay (Amendment) Regulations 1983
Date for Review	As deemed necessary

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Job Evaluation Policy:

1. INTRODUCTION

- 1.1** The Council implemented the Single Status Agreement in 2009 using the agreed Scottish Councils' Job Evaluation (SCJE) Scheme to evaluate local government employee posts. The Council build on and extend this work by continuing to use the SCJE Scheme where new posts are introduced or where there have been material changes in the duties and responsibilities of posts that impact on one of more of the 13 factors of the SCJE Scheme.
- 1.2** The Council is committed to ensure a fair, open, transparent and legally compliant approach to the evaluation of jobs and ensure equal pay for work of equal value. This policy and supporting procedure sets out the Council's approach to ensuring consistency in the evaluation of new jobs and the re-evaluation of existing jobs beyond the initial application of the SCJE Scheme within the Council.

2. DEFINITION

- 2.1** Job Evaluation is defined by the Equalities Human Rights Commission (EHRC) as *"a method for comparing different jobs to provide a basis for a grading and pay structure. Its aim is to evaluate the job, not the jobholder, and to provide a relatively objective means of assessing the demands of a job"*
- 2.2** The evaluation process will be supported by the Gauge system which is an online system to support and speed up steps in the evaluation process and generate a Job Overview document.

3. SCOPE

- 3.1** This policy applies to all Local Government employees including Craft Workers and Chief Officers. Teachers are excluded.
- 3.2** The Council will ensure that good equal opportunities practice underpins the operation of this policy irrespective of age; disability; sex; gender re-assignment; race; religion or belief; pregnancy and maternity; marriage and civil partnership; or sexual orientation.

4. KEY PRINCIPLES

- 4.1** The key principles of the Job Evaluation Policy and Procedure are to ensure that:
- The Council provides equality in terms of pay and that our job evaluation processes are fair, open, consistent and legally compliant.

- The Scottish Councils' Job Evaluation (SCJE) Scheme is used to evaluate jobs and it is fit for purpose and supports the Council to provide an objective, rational and reliable measure of the size and significance of each job in relation to other jobs within the Council.
- A robust framework is in place to evaluate posts using factual and objective documentation and allow appeals against evaluation outcomes.
- Evaluation is undertaken by a panel of trained and competent job analysts, who will include independent representatives and representatives from trade unions and human resources.
- Jobs, not people, are evaluated and it does not consider the individual's performance.

5. LEGISLATIVE CONTEXT/POLICY FRAMEWORK

- 5.1** The Policy and Procedure complies with the Equality Act 2010.
- 5.2** The Policy and Procedure also complies with ACAS Guidance "Job Evaluation: Consideration and Risks" and the Equality and Human Rights Commission (EHRC) Job Evaluation Checklists.
- 5.3** The Policy and Procedure is based on the principles contained within the Scottish Joint Council for Local Government Employees Job Evaluation Scheme's Practice Manual and Model Job Evaluation Appeal Procedure.

6. APPLICATION OF POLICY AND PROCEDURE

- 6.1** A separate Job Evaluation Procedure, documentation and flowcharts have been developed to support the application of the Policy.

7. ROLES AND RESPONSIBILITIES

In order to support the application of this policy and procedure, the following roles and responsibilities will apply:

7.1 Council

- Responsibility to provide a robust job evaluation policy and process to underpin equal pay legislation.
- Ensure that training is provided for those involved in the job evaluation process and ensure that job evaluation is undertaken in a fair, open and transparent way.

7.2 Managers:

- Responsible for understanding the Job Evaluation Policy and Procedure and their role in the process. Managers are required to liaise with their HR Business Partners when considering submitting

a job evaluation request, work with them to complete submission and provide the appropriate documentation as required.

- Must ensure that job profiles are accurate, complete and comprehensive and meet the needs of the service and that they are completed on the standard template.
- Responsible for attending Job Evaluation Panels and Appeals Panels as requested to provide information on the role being evaluated.

7.3 Human Resources Business Partners:

- Provide advice and guidance on the Job Evaluation Policy and Procedure to managers in relation to developing accurate, complete and comprehensive job profiles.
- Ensure that Job Profiles are suitable for submission to the Job Evaluation process and submit posts for evaluation to the appropriate team in accordance with submission deadlines.
- Contribute to the development and review of the Job Evaluation Policy and Procedure in line with legislative requirements and good practice.
- Attend Job Evaluation Panels as requested to assist in providing information on the role being evaluated.

7.4 Human Resources:

- Ensure compliance with the Job Evaluation Policy and Procedure, and ensuring the administration of the Job Evaluation process on behalf of the Council, including notification of outcomes.
- Develop and maintain effective documentation and systems to evidence compliance with the policy and procedure and support an auditable process.
- Ensure that those involved at all stages of the evaluation process are provided with adequate training to undertake their role.
- Ensure adequate resources are available through maintenance of a pool of trained Job Analysts available to participate in the process.
- Provide advice and guidance to managers in relation to developing accurate, complete and comprehensive job profiles, and provide advice and guidance to managers in relation to the Job Evaluation Policy and Procedure.
- Lead on the development and review of the Job Evaluation Policy and Procedure and supporting documentation in line with legislative requirements and good practice.
- Consult with Trades Unions on the development and review of the Job Evaluation Policy and Procedure.

7.5 Trades Unions:

- Contribute, via the consultation process, to the development and review of the Job Evaluation Policy and Procedure

- Actively support the ongoing training and participation of trade union representatives in the evaluation process. Support their members by providing advice and guidance to employees in relation to the Job Evaluation Policy, Procedure and process.
- Support the Job Evaluation process as a Job Analyst/Panel Member or as an employee representative and not undertaking both roles in relation to a particular job or group of jobs.

7.6 Job Analysts/Job Evaluation Panel Members:

- Maintain confidentiality with regard to all aspects of work undertaken and must declare any conflict of interest with any role being evaluated.
- Responsible for attending training as required and ensuring a full understanding of the Scottish Councils' Job Evaluation Scheme.
- Follow the job evaluation procedure as outlined in the policy, procedure and supporting documentation.
- Undertaken the role on a regular basis and participate and attend evaluation panels to which they have given a commitment.

7.7 Employees:

- Provide all relevant information with their submission to the Job Evaluation Panel or Appeals Panel.
- Ensure that any documentation submitted is accurate, complete and comprehensive and that they are completed on the standard templates.
- Responsible for attending Job Evaluation Panels and Appeals Panels as requested to provide information on the role being evaluated.

8 REVIEW AND MONITORING

- 8.1** The Job Evaluation Policy, Procedure and supporting documentation will be reviewed on an ongoing basis to ensure that it remains fit for purpose and that it is being implemented fairly and consistently.
- 8.2** Reviews will undertaken to ensure compliance with legislation, developments of the national scheme and recommended best practice.

JOB EVALUATION PROCEDURE

1. INTRODUCTION

- 1.1** This procedure applies to Local Government employees including Craft Workers and Chief Officers. Teachers are excluded.
- 1.2** This procedure will assist managers, employees and Trades Unions through the Job Evaluation process.
- 1.3** The job evaluation procedure will:
- Evaluate the job and not the person doing it;
 - Consider the demands of the job. It will not consider the total volume of work, the number of people required to do it or the ability of the job holder;
 - Assume that the job is being/will be performed to an acceptable standard;
 - Evaluate the job as it is now, not how it was done previously or may be done in the future.

2. CONTEXT

- 2.1** This procedure sets out a mechanism to respond to those circumstances which justify a re-evaluation of an existing job or the evaluation of a new job.
- 2.2** Services will be expected to maintain stability in their job grades, and managers must ensure that employees work within the terms of their job description. Any change in duties which extends beyond an employee's current job description should be as a result of an informed decision and agreement of their line manager, and not as an unplanned consequence of circumstances evolving incrementally.
- 2.3** The procedure addresses both individual requests from employees and managers as well as evaluations arising from structure reviews or service specific requirements.

3. EVALUATION OF NEW JOBS

Documentation

- 3.1** When a Service seeks to establish a new job as part of a structure review or new project, the Service (in consultation with their HR Business Partner) must submit the following information via the online 'Management Establishment Change/Additions' form to add the new post to their establishment and allow a job evaluation to be carried out:

- A copy of the Job Profile, including Person Specification; and
- Details as to the background of the post and why it is being created.

Approval

- 3.2** When the request for an additional post in the establishment has been approved by the appropriate HR Business Partner, Finance Business Partner and the Strategic Lead - People & Technology, notification will be sent to HR that the post requires to be evaluated.

Evaluation

- 3.3** Once the completed and approved documentation is received by HR, arrangements will be made to schedule the post on to the next available Job Evaluation Panel.
- 3.4** The Job Evaluation Panel will consist of 3 analysts: an independent analyst, a trade union analyst and an HR analyst. The Panel will meet with the manager (supported by their HR Business Partner) to evaluate the job.
- 3.5** The online Gauge system will be used to undertake the evaluation along with submitted documentation and information obtained through discussion at the Panel.
- 3.6** The Gauge system will score the post in line with the responses given and a Job Overview Document and Factor Levels Listing will be generated.
- 3.7** No indication of an outcome will be given at the Panel, as the outcome is subject to a consistency check.
- 3.8** A consistency check is carried out to ensure that the evaluation is accurate and consistent with existing evaluated posts across the Council in order to avoid anomalies. The consistency check is carried out by reviewing the outcome in line with hierarchies, reporting lines, subordinates, and equivalent and higher graded posts within the relevant structure and across the Council.
- 3.9** The Job Overview Document will then be issued to the manager for checking. When the Job Overview document has been agreed, the scoring matrix will be applied and the manager advised of the grade in writing.
- 3.10** If after 6 months of operation of the new post it is felt that the demands of the post have not been captured accurately, a review will be considered by the Strategic HR Manager.

4. RE-EVALUATION OF CHANGED JOBS

- 4.1** Managers and employees can request the re-evaluation of jobs that have changed outwith restructures or service reviews.

Criteria

- 4.2** The following criteria must be met before an application for re-evaluation of an existing job can progress:
- There is a material change in the duties and responsibilities impacting on one or more of the 13 factors of the Job Evaluation Scheme;
 - The change is a necessary part of the post remit (as determined by the line manager) and is considered to be a permanent feature of the post;
 - The change arises directly from service requirements;
 - Clear documentary evidence of the substantial change can be provided to support the request, including the impact on the Scheme factors (wording lifted directly from the Job Evaluation Scheme is not supporting evidence);
 - Twelve months have passed since the effective date of implementation of the original job evaluation outcome, any previous appeal, or a subsequent re-evaluation.
- 4.3** The procedure is not intended, designed or available for cases where:
- the change which has prompted the request is an increased volume of work that could be addressed by employing more people in the same role;
 - the request relates to a claim of comparability with another post or employee (either within or out with the Council) or seeks to restore previous differentials or establish parity;
 - The basis for the claim is a residual or ongoing dissatisfaction with the outcome of the original job evaluation exercise or structural review;
 - the request is based on an individual's opinion as to what the job remit should be.

Approval

- 4.4** If the Line Manager agrees that the criteria are met in full they both should complete the relevant sections of the 'Re-evaluation Request Form'. Approval should then be sought from the appropriate Strategic Lead.
- 4.5** If the Line Manager does not agree, this should also be recorded on the 'Re-evaluation Request Form' and the post holder may ask for the

matter to be referred to the relevant Strategic Lead for determination. In the event that the Strategic Lead determines that the request for re-evaluation does not meet all of the criteria, the employee will be advised accordingly and their request will not proceed any further.

Documentation

- 4.6** Where supported, the completed 'Re-evaluation Request Form' should be signed by the Strategic Lead and submitted to the appropriate HR Business Partner.
- 4.7** Once completed, the 'Re-evaluation Request Form' will form part of the submission and will be reviewed by the Job Analyst Team as part of the evaluation. It should therefore be completed as fully as possible.

Submission

- 4.8** Re-evaluation requests will be accepted at any time. The re-evaluation process will run in May and November each year. Outcomes will be advised within 10 days of the panel.

Evaluation

- 4.9** Re-evaluation requests will be evaluated in line with the procedure outlined from section 3.3 to section 3.9.
- 4.10** Employees submitting re-evaluation requests will be required to attend the relevant Job Evaluation panel. Their Line Manager will also be required to attend.
- 4.11** Employees will also be invited to attend Job Evaluation Panels for requests submitted by their Line Manager in relation to their job.

Approval

- 4.12** If the re-evaluation results in a change to the grade the line manager must complete the online 'Management Establishment Change/Addition' form to update the grade on their establishment. The form will then need to be approved by the appropriate HR Business Partner, Finance Business Partner and the Strategic Lead - People & Technology. An online Achieve form will also need to be completed to action the change for the employee – this should be completed by the Line Manager.

Effective Date

- 4.13** The effective date of application of the revised grade will be the date of receipt of the submission of the completed request form.
- 4.14** The employee will be placed on the first point of the new grade.

Right of Appeal

- 4.15** The manager and employee have the right to appeal the outcome of the evaluation.

5. JOB EVALUATION APPEAL PROCEDURE

Grounds of Appeal

- 5.1** Employees and managers have a right of appeal against the outcome of the evaluation or re-evaluation on one or more of the following grounds:
- There is factual inaccuracy in either the inputs or the outputs of the evaluation process;
 - The job evaluation process was not carried out in accordance with the Council's Job Evaluation procedure;
 - There has been a misapplication of the factor definitions, levels and guidance of the Scottish Councils' Single Status Job Evaluation Scheme.
- 5.2** Appeals on the grounds of comparability with other jobs (either within the individual Council, other Councils or nationally) or appeals seeking to restore previous grading or pay differentials will be **inadmissible**.

Timescale

- 5.3** Appeals against the outcome of the evaluation or re-evaluation must be submitted to HR within 10 days of the date of written notification of the evaluation outcome.
- 5.4** Receipt of submitted appeals should be acknowledged in writing within 10 working days.
- 5.5** The Council will endeavour to determine the outcome of Job Evaluation appeals within 4 calendar months.

Documentation

- 5.6** Appeals must be submitted on the 'Appeal Against Evaluation/Re-evaluation Outcome' form and submitted along with all supporting documentation on which the appeal relies.
- 5.7** Appeal submissions must identify the factors being appealed and detail the case under each of the relevant factor headings.
- 5.8** An appeal will be deemed inadmissible if:
- Is not in line with the grounds for appeal, detailed at 5.1.

- No evidence relevant to the factor(s) being appealed has been submitted;
- The evidence relates to increased volume of work rather than a change to the Factor Definitions and Scores; or
- The evidence is based on comparison with other employees; or
- The submission is based solely on wording directly lifted from the Job Evaluation Scheme.

Job Evaluation Appeal Panel Constitution

- 5.9** The Job Evaluation Appeal Panel will comprise of 3 Job Analysts: an Independent analyst, a Trades Union analyst and an HR analyst. None of these panel members should have been involved with the evaluation of the post.

Process

- 5.10** Individual appeals against evaluation or re-evaluation should be submitted on the Appeal against Evaluation/Re-evaluation Outcome Form which identifies:
- The grounds of the appeal
 - The factor level assessments being appealed against
 - The appellant's case under each of the relevant factor headings
 - The views of the relevant line manager, and/or the next line manager as appropriate, in relation to the factual content of the job and the accuracy of the appellant's case.
- 5.11** Arrangements will be made for the written appeal submission to be considered by Strategic HR Manager and a trained Job Analyst without the presence of the individual or their manager in order to:
- Determine whether there are admissible grounds for the appeal;
 - Identify any matters requiring further investigation or further information;
 - Identify any non-job evaluation issues out with the remit of the Job Evaluation process, for referral to the relevant HR Business Partner.
- 5.12** The considerations will focus on the Factors appealed but may also include other Factors referred to during the process.
- 5.13** The possible outcomes of this initial consideration are:
- That the appeal has not been upheld and the case will be rejected or
 - The appeal has been upheld in full or in part and will be heard by a Job Evaluation Appeal Panel.
- 5.14** Employees or Managers will be advised of the outcome of the appeal, including reasons within 10 working days of the consideration meeting.

- 5.15** The decision is final and there is no right of appeal.
- 5.16** Where it is determined that the case should be heard by a Job Evaluation Appeal Panel the necessary arrangements will be made and the employee and their Line Manager will be advised.
- 5.17** Appellants may be accompanied to the Panel by their Trade Union representative if they so choose.
- 5.18** Appellants will have 10 minutes to present their case after which they may be questioned by members of the Panel for no more than 10 minutes.
- 5.19** Once the case has been presented the Job Evaluation Appeal Panel will consider the information presented and re-evaluate in line with the procedure detailed from section 3.3 to section 3.9 of this procedure if applicable.
- 5.20** The appeal outcome will be decided on by the Job Evaluation Appeal Panel from the following options:
- Upheld in full or part - the case was well founded in fact and supported by agreed evidence - an evaluation will be undertaken;
 - Rejected - the case was not well founded.
- 5.21** The manager and/or employee will be advised in writing by HR after the Appeal Panel and, where requested, feedback will be given by the Chair of the Panel.
- 5.23** There is no further right of appeal after the Job Evaluation Appeal Panel.

Appendix 1

Glossary of Terms

A number of terms are used within the Policy and Procedure and these terms are explained in detail below:

Job Evaluation	robust, fair, open and transparent process of determining the value of a post using the SCJE Scheme and achieving and maintaining grading structures which satisfy the principle of equal pay for work of equal value
Job Profile	a factual written account of the purpose, major tasks and main activities carried out by a post holder or a number of post holders.
Person Specification	an extension of the Job Profile. It is a profile of the ideal person for the job; listing the criteria necessary to do the job.
Job Overview Document	the computerised job evaluation system (Gauge) produces a Job Overview Document as a summary of the information captured during the evaluation process. This is different in style and content from job profiles and person specifications.
Job Evaluation	process of systematically identifying the critical elements of the job, the necessary knowledge, skills, abilities and other personal characteristics required by the way of Job Profiles, Person Specifications, Job Evaluation Request Form and Interview to determine the evaluation outcome of the job using the SCJE Scheme.
Job Evaluation Panel	group of trained and impartial evaluators, comprising of independent trained council officers, trade unions and human resources who undertake the job evaluation process.
Job Evaluation Appeal Panel	additional scrutiny applied where a manager or post holder(s) feels that the evaluation is incorrect. Panel comprises of independent trained council officers, trade unions and human resources

Appendix 2

Re-evaluation of Changed Jobs Flowchart

Appendix 3

Evaluation of Changed Jobs Flowchart

Appendix 4
Appeals Procedure Flowchart

Appendix 5

JOB EVALUATION SCHEME AND ITS APPLICATION

1. The Council has evaluated local government employees' jobs using the Scottish Councils' Job Evaluation Scheme. The Scheme measures the size of each job relative to others by identifying the main elements of the job and establishing the appropriate rank order of jobs.

Gathering Information

2. The quality of information gathered about jobs is central to the success and credibility of the job evaluation process. Information is collated from a number of sources throughout the evaluation process:
 - Completion of a Job Profile and Person Specification
 - Completion of a Job Evaluation Request Form
 - Discussion with trained Job Analysts at the Job Evaluation Panel
 - Answering a computerised question stream (Gauge system)
 - Verification of the Job Overview Document that is produced by the Gauge system
3. These documents provide evidence in terms of the facts and decisions and will ensure a consistent approach is taken across all the jobs that are evaluated.

Job Overview Document

4. The Job Overview Document produced by the Gauge system shows analytical information about the nature, degree, frequency and duration of job demands set out under the factor headings of the job evaluation scheme. It will not include any scoring information.
5. The Job Overview Document is very different in style and content from Job Profiles. The information provided under the factor headings is more analytical and relates directly to the definitions of demand contained within the Scheme. Some of the examples given may not be directly relevant to the job to which the Job Overview Document relates as they were designed to reflect the whole job population of the Council.
6. Consistency and objectivity are central to effective evaluation and Job Analysts should:
 - Restrict their discussions to the facts of the job as presented in the submission documents and during the discussion with either the manager or employee and their representative, and avoid making assumptions about the job.
 - Ensure all job demands are fully considered.

- Ensure that there is no double counting of job demands under more than one factor heading.

Job Evaluation Scheme Factors

7. The Scottish Councils' Job Evaluation Scheme will be used. This has 13 factors which look at the nature, degree, frequency and duration of job demands. An overview of the 13 factors is detailed below:

- 7.1 **Working Environment** – considers the physical environment in which the job is carried out.

All aspects of the physical environmental working conditions in which the job is undertaken are considered, including dirt, smells and noise resulting from both the physical environment and contact or work with people.

The factor has five levels, from “unpleasant” to “very hazardous”. The emphasis is on the degree of unpleasantness or discomfort encountered, which is affected by the frequency, intensity and duration of exposure to particular conditions. Health and Safety regulations and requirements are assumed to be met by both the employer and employee.

- 7.2 **Physical Co-ordination** – considers the physical co-ordination required to do the job.

This factor considers the predominant demand for physical skills and co-ordination required to do the job in the course of normal working, for example in the operation of hand tools and other equipment. This factor takes into account the skills required and the demands arising from the need to achieve specified standards of speed and precision.

- 7.3 **Physical Effort** – considers the strength and stamina required to do the job.

This factor covers all forms of physical effort required in the course of normal working, for example standing, walking, lifting, carrying, pulling, pushing, working in awkward positions such as bending, crouching, stretching; or for sitting, standing or working in a constrained position.

The factor takes account of the greatest demands on the post holder in terms of the nature and degree of physical effort required, and the other main demands in terms of the frequency and duration of the physical effort required to do the job.

7.4 Mental Skills – considers the thinking requirement in the job.

This factor considers the range of thinking activities and mental skills required for the job, from choosing between options, through planning or scheduling to exercising judgement or creativity. It includes problem solving, options appraisals, creativity and design, innovation, imaginative and development skills, analytical and strategic thinking, research, planning, and the ability to conceptualise.

The factor takes into account the predominant nature and complexity of the mental tasks undertaken.

7.5 Concentration – considers the concentration required to do the job.

This factor covers the need for mental or sensory attention, awareness and alertness, and anything which may make concentration more difficult, such as repetitive work, interruptions or the need to switch between varied tasks or activities; and other forms of work-related pressure, for example, arising from simultaneous/conflicting work demands or deadlines.

The factor takes into account the nature and degree of the highest level of concentration required in the course of normal working and the duration of requirement.

7.6 Communication Skills – considers the predominant requirement for spoken and written communication in the course of normal working.

This factor covers the nature of oral, sign, linguistic and written communication skills such as informing, exchanging information, listening, interviewing, persuading, advising, presenting, training, facilitating, conciliating, counselling, negotiating and advocacy.

The factor takes into account the purpose of the communication, the sensitivity, complexity or contentiousness of the subject matter, and the nature and diversity of the intended audience. This factor considers communication with others, not with the post holder's own colleagues or team.

7.7 Dealing with Relationships – considers the demands on the post holder arising from the circumstances and/or behaviour of those they come into contact with as an integral part of normal working.

This factor covers the interpersonal skills needed to deal with and/or care for other people (excluding the post holder's immediate work colleagues) who are upset, unwell, difficult,

angry, frail, confused, have special needs, are at risk of abuse, are terminally ill or are disadvantaged in some way. It also considers the need to cope with abuse, aggression, the threat of violence, and/or to deal with conflict.

The factor takes account of the extent of dealing with such contacts in the course of normal working, and the frequency and duration of the contact.

7.8 Responsibility for Employees – considers the responsibility of the post holder for the supervision, co-ordination or management of employees, or equivalent others.

This factor covers the responsibilities for work allocation and planning, checking, evaluating and supervising the work of others; providing guidance, training and development of own team/employees, motivation and leadership; and involvement in personnel practices such as recruitment, appraisal and discipline.

The factor takes account of the nature of the responsibility, rather than the precise numbers of employees supervised, co-ordinated or managed; and the extent to which the post holder contributes to the overall responsibility for employees.

7.9 Responsibility for Services to Others – considers the post holder's responsibility to others in terms of the quality and delivery of service provision.

This factor covers responsibility for the provision of physical, mental, social, economic, business and environmental services, including health and safety. This includes services to individuals or groups such as internal or external clients, service users and recipients, customers, contractors and members of the public.

The factor takes account of the nature of the responsibility and the extent of the post holder's impact on individuals or groups' for example providing personal services, advice and guidance, or other forms of assistance; applying, implementing or enforcing regulations; or designing, developing, implementing and/or improving services or processes.

7.10 Responsibility for Financial Resources – considers the post holder's responsibility for financial resources.

This factor covers responsibility for cash, vouchers, cheques, debits and credits, invoices and responsibility for the range of budgetary activities – including project, expenditure and income budgets, income generation and the generation of savings, assessments of risk/grants, loans/investments.

The factor takes account of the nature of the responsibility, for example accuracy, processing, checking, safekeeping, security, authorising, monitoring, accounting, auditing, budgeting, estimating, business and financial planning, control and long term development of financial resources. It also takes into account the need to ensure economy, efficiency and effectiveness in the use of financial resources, and the need to ensure financial probity.

The factor also takes into account the extent to which the post holder contributes to the overall responsibility, rather than just the value, of the financial resources.

7.11 Responsibility for Physical and Information Resources – considers the post holder's primary and secondary responsibilities for the Council's physical and information resources.

This factor covers tools, equipment, instruments, vehicles, plant and machinery, materials, goods, produce, stocks and supplies, manual or computerised information used in the normal course of working. It also covers responsibility for offices, buildings, fixtures and fittings, Council databases, information systems and records, land and construction works.

The factor also takes into account the nature of the post holder's primary responsibility for resources and any secondary responsibility, for example safekeeping, confidentiality and security, deployment and control, maintenance and repair, requisition and purchasing, planning, organising, or design and long term development of physical or information resources.

The factor also takes into account the degree to which the post holder contributes to the overall responsibility, and the value, of the resource.

7.12 Initiative and Independence – considers the post holder's scope to exercise initiative and the extent to which they have freedom to act.

This factor takes account of the nature and degree of supervision and guidance of the post holder provided by instructions, procedures, practices, checks, policy, precedent, regulation, strategy and statute.

The factor takes into account the problems which the post holder must deal with in the course of normal working, the decisions which the post holder is able to take and the extent to which advice and guidance is available.

7.13 Knowledge – considers what the job holder needs to know to do the job.

This factor covers all practical, procedural, technical, specialist, policy and organisational knowledge required for the job, including knowledge of equipment and machinery, numeracy and literacy, culture and techniques, ideas, theories and concepts necessary to do the job.

The factor takes into account the breadth, and complexity of knowledge required, and the depth of understanding needed. It considers the minimum qualifications or experience which will typically be needed to do the job, but does not take into account qualifications specified as a recruitment criteria to fill the post. These minimum qualifications and experience will therefore not necessarily be those held by any individual post holder.

WEST DUNBARTONSHIRE COUNCIL

Report by the Strategic Lead People & Technology

Corporate Services Committee: 9 November 2016

**Subject: Early Retirement, Voluntary Severance and Redeployment –
1 April – 30 September 2016**

1. Purpose

- 1.1** The purpose of this report is to advise Committee on early retirements, voluntary severance, and re-deployments during the 6 month period from 1 April to 30 September 2016.

2. Recommendations

- 2.1** The Committee is asked to note the contents of this report.

3. Background

- 3.1** The Council analyses the number of employees being released through early retirement and voluntary severance, and all of the associated costs. This forms part of the ongoing monitoring process derived from the Audit Scotland Report, “Bye now pay later?”
- 3.2** This report provides information on the Council’s position for the 6 month period 1 April to 30 September 2016.

4. Main Issues

Early Retirements (Efficiency of the Service/Voluntary Redundancy) and Voluntary Severance

- 4.1** During the 6 month period, 27 employees were granted early retirement on the grounds of efficiency of the service, redundancy or voluntary severance as shown in Table 1 overleaf.
- 4.2** Voluntary severance is dealt with by way of a discretionary payment that can be granted in situations where an employee is not eligible to retire under the Local Government Pension Scheme regulations due to their age or length of service; is not a member of the LGPS, or where, an employee has reached retirement age and where a severance payment would be more beneficial than the award of Compensatory Added Years (although this will be used in exceptional circumstances only).

Table 1 – Voluntary Early Retirement/Severance (1 April – 31 September 16)

Directorate	No. of Employees	*One-Off Costs	Recurring Annual Costs	Recurring Net Annual Savings
HSCP &Regeneration, Environment & Growth**	8	£161,323	£5,815	£311,144
Transformation & Public Service Reform	11	£695,553	£18,905	£379,792
Transformation & Public Service Reform (Teachers)	8	£62,530	£7,556	£86,697
TOTALS	27	£919,406	£32,276	£777,633

Net annual savings take account of annual costs. * One-off costs include provisional capitalisation (strain on the fund) costs. **In accordance with data protection regulations directorates with 2 or fewer employees will be merged.

Trend Analysis

- 4.3** During the 6 month period, 16 employees were granted early retirement on efficiency grounds, 7 on redundancy grounds and 4 employees were granted voluntary severance. A comparison has been made against the period in previous years (Table 2). The number of staff being released through voluntary early retirement/severance has increased significantly in comparison with the previous year. This is attributable to the continuation of the more targeted approach to early release in line with service requirements and the exercise to release employees with supervisory responsibility under the Future Operating Model. Posts have been deleted as part of workforce structure changes. The number of teachers being released is identical to the same period last year.

Table 2 – Comparison to Previous Years

Annual Period	01/04/13-30/09/13	01/04/14-30/09/14	01/04/15-30/09/15	01/04/16-30/09/16
No of employees released through early retirement/voluntary severance	2	4	8	19
No. of employees released through early retirement - STSS (Teachers)	9	9	8	8
TOTAL	11	13	16	27

Early Retirements - Ill-health

- 4.4** In cases of early retirement on the grounds of ill-health, there are no capitalisation costs to the Council as this cost is borne by the pension fund. During the 6 month period the following ill-health retirements were approved:-

Table 3 – Ill Health Retirements (1 April – 30 September 16)

Directorate	No. of Employees
HSCP	4
Regeneration, Environment & Growth	3
Transformation & Public Service Reform	5
TOTAL	12

- 4.5** The LGPS regulations allow for 2 tiers of ill-health retirement in situations where the member's ill-health or infirmity of mind or body renders them permanently incapable of discharging efficiently the duties of their current employment. Tier 1 relates to members with no reasonable prospect of obtaining gainful employment before the age of 65. Tier 2 relates to members with a reasonable prospect of obtaining gainful employment before the age of 65.
- 4.6** During the 6 month period, 1 employee was awarded exceptional ill health, 8 employees were awarded Tier 1 and 3 employees were awarded Tier 2. Two appeals were submitted – 1 was rejected (originally received tier 2 and retained on appeal) and 1 was upheld (awarded tier 1 on review).

Trend Analysis - Ill-health Retirement

- 4.7** A comparison has been made against the same period in previous years (Table 4). During the 6 month period the number of ill health retirements granted increased by 1 when compared to the same period in the previous year. The increase in the number of employees leaving the Council over the last 2 years through ill health retiral has increased in line with a decrease in the number of Deaths in Service which is the result of absence cases being managed more effectively while ensuring employees' best interests are considered.

Table 4

6 Month Period	01/04/13 30/09/13	01/04/14 30/09/14	01/04/15 30/09/15	01/04/16 30/09/16
No of employees granted ill-health retirement	7	7	11	12

Redeployment

- 4.8** Redeployment is monitored centrally within HR. An employee may be unable to continue in their substantive post either through ill-health or being displaced through organisational change. Within the 6 month period, a total of 1 employee was permanently redeployed to a suitable alternative post within

the Council and 2 employees were redeployed on a temporary basis. Details of the number of employees on the redeployment register are shown below -

Table 5 – Employees on redeployment register by reason by month (1 April – 30 September 2015)

Month	No. of Employees (Ill health/ Capability)	No. of employees (Displaced)	No. of Employees (Job Evaluation)	Total no of employees on redeployment register
April	0	3	6	9
May	0	4	6	10
June	0	4	6	10
July	0	3	6	9
August	1	3	6	10
September	1	18	5	24

- 4.9** The approval and introduction of the Switch Policy on 13th August 2014 extended the scope of the register and provided clear guidance on the categorisation of employees on the register as the reasons for requiring redeployment can vary and are prioritised in relation to access to opportunities.

Flexible Retirement

- 4.10** The approval of those employees granted flexible retirement is monitored by the Strategic Lead - People & Technology and the Strategic Lead - Resources. During the 6 month period, 10 requests were approved as detailed below, with no cost to the Council.

Table 6 – Flexible Retirements (1 April – 30 September 2016)

Directorate	No. of employees
HSCP	3
Regeneration, Environment & Growth	3
Transformation & Public Service Reform	4
TOTALS	10

Trend Analysis – Flexible Retirement

- 4.11** A comparison has been made against the same period last year (Table 7). The number of employees granted flexible retirement has increased significantly in comparison to the same period in the previous year; however appears to be consistent with the 2 years prior to that. Flexible requests are

monitored centrally within HR and during the period 2 requests were declined. Flexible retirement will be promoted with support from the Trades Unions.

Table 7 – Flexible Retirements – Comparison to previous year

	01/04/13-30/09/13	01/04/14-30/09/14	01/04/15-30/09/15	01/04/16-30/09/16
No of employees granted flexible retirement	9	11	1	10

5. People Implications

- 5.1** Employees refused retirement on ill-health grounds may be considered in accordance with incapability dismissal procedures.
- 5.2** In respect of employees applying for early retirement or voluntary severance where these requests cannot be supported this can lead to poor employee morale therefore will be appropriately targeted to mitigate against this.
- 5.3** The redeployment of employees unable to continue in their substantive post either through ill-health or being displaced through organisational change has a positive impact on people and the organisation due to the retention and redistribution of existing skills sets and also the reduction to recruitment time and costs.
- 5.4** Flexible retirements allow employees to prepare for their retirement but can place additional burden on colleagues who require to pick up the duties of the flexible retiree.

6. Financial and Procurement Implications

- 6.1** All costs associated with early retirement or voluntary severance will be met from existing resources. As illustrated at Table 1 operating a voluntary scheme generates significant savings on an ongoing basis.

7. Risk Analysis

- 7.1** The early release of employees across the Council requires to be properly managed to minimise the risk of adversely impacting service levels, through the loss of vital skills and experience. In line with Council commitment, redeployment of employees continues to be considered as a priority.

8. Equalities Impact Assessment (EIA)

- 8.1** The report does not introduce a new policy, function, or strategy or recommend a change to an existing policy, function or strategy and, therefore, no impact assessment is required.

9. Consultation

- 9.1** All releases were in line with agreed policies and procedures and therefore no further consultation was required.

10. Strategic Assessment

- 10.1** Early retirement and voluntary severance are important tools which help the Council to adjust its' workforce profile to changing circumstances. Management of early retirement should not only be fair to the employee but give value for money to the Council and secure service delivery without putting undue strain on the pension fund. Managed effectively this will support the Council aim to improve economic growth and employability.

.Electronic Signature

Vicki Rogers
Strategic Lead – People & Technology
Date: 7 October 2016

Person to Contact: Michelle McAloon, Lead HR Adviser, Council Offices,
Garshake Road, Dumbarton.
Tel: 01389 737577 Email: michelle.mcaloon@west-dunbarton.gov.uk

Appendices: None

Background Papers: “Bye Now, pay later?”, follow up report, Audit Scotland
June 2003 and “Bye Now, pay later?”, Accounts
Commission December 1997

Wards Affected: None

WEST DUNBARTONSHIRE COUNCIL

Report by Strategic Lead – People and Technology

Corporate Services Committee: 9 November 2016

Subject: Trade Union Recognition and Facilities Agreement

1. Purpose

- 1.1** To update the Corporate Services Committee on the review of the internal structures that support the efficient and effective partnership working arrangements with the Trade Unions.

2. Recommendations

- 2.1** The Corporate Services committee is asked to note the contents of the report and approve the amendments to the Trade Union Recognition and Facilities Agreement.

3. Background

- 3.1** A working group comprising of the Strategic Lead – People and Technology, the Strategic HR Manager and the Trades Union Convenors was established in June 2015 to undertake the Trade Union facility review.
- 3.2** The working group aimed to further develop appropriate structures to better support effective partnership working arrangements and maximise the use of available Trades Unions resources within West Dunbartonshire Council.

4. Main Issues

Project Scope

- 4.1** Prior to commencement of the review a project scoping document was agreed with Trade Unions. This document set out the aims and objectives of the group as detailed below:
- Establish West Dunbartonshire Council's Trade Union profile;
 - Establish West Dunbartonshire Council's Trade Union membership profile;
 - Clarify Trade Union roles within West Dunbartonshire Council (Branch Secretary, Convener, Stewards, defined Branch Officers) and any specific facility time arrangements;
 - Review the definition of Trade Union duties and activities within West Dunbartonshire Council;
 - Review the request and recording procedures for time off for Trade Union Activities to facilitate a more consistent approach and to identify capacity issues within services;

- Review the purpose, frequency and membership/attendance of West Dunbartonshire Council's JCC, ELG, JCF, AWG, etc.;
- Review the frequency of Trade Union meetings held within contractual working time;
- Review and update the current Trade Union Recognition and Facilities Agreement;
- Review LNCT and JCF constitutions;
- Review processes for notification of stewards to ensure consistency and to assist with deployment of Trade Union resource.

4.2 A number of areas were agreed as out of scope and some areas and actions were for the Trade Unions to progress. The group agreed that, where appropriate, the employer will assist and support such actions.

Project Update

4.3 Since June 2015, the group has undertaken a number of activities the outcomes were reported to JCF in December 2015. The activities included:

- Identification of areas of low uptake in stewards;
- Review of the definition of Trade Union duties and activities within West Dunbartonshire Council;
- Confirmation of respective Trade Union membership numbers;
- Review of the Trade Union Recognition and Facilities Agreement;
- Review of attendance at meetings and development of link with Leadership Support Unit to ensure that clashes with key 'corporate' meetings are avoided;
- Review of the frequency of meetings;
- Review link and notification processes (HR and managers) to ensure best use of TU deployment;
- Inclusion of reference to Partnership Agreement and Health and Safety Charter within Facilities Agreement;
- Reinforcement of flexibility by both management and Trade Unions;
- Trades Unions embedding partnership development;
- Raising awareness of roles and responsibilities.

4.4 An ongoing focus for the group was the consideration of the terms of secondment to a Convenor role, in the context of branch election. This was discussed from December 2015 to August 2016 and it was agreed that at the end of the term the Convenor will have the right to return to their substantive post or, where this is unavailable, a suitable alternative at the same grade will be offered or a mutually agreeable way forward found, in line with the relevant policies.

4.5 It was also agreed that in the event that the outgoing Convenor has been away from their substantive role and/or profession for a lengthy period, the individual circumstances, skill and support requirements will be discussed and considered in conjunction with the Strategic Lead – People and Technology.

5. People Implications

- 5.1** The use and utilisation of Trade Union resources supports partnership working and collective bargaining arrangements within the Council.

6. Financial Implications

- 6.1** There are no known financial implications associated with this report.

7. Risk Analysis

- 7.1** No risk assessment is required.

8. Equalities Impact Assessment (EIA)

- 8.1** No EIA is required at this time.

9. Consultation

- 9.1** The development and discussion of proposals detailed in this report have been progressed by the joint working group.

10. Strategic Assessment

- 10.1** Effective Trade Union facilities will support the Council's aim to ensure positive and inclusive partnership working.

Vicki Rogers

Strategic Lead – People and Technology

Date: 9 November 2016

Person to Contact: Melissa Connor, HR Adviser, Garshake Road,
Dumbarton
Tel: 01389 737286
Email: melissa.connor@west-dunbarton.gov.uk

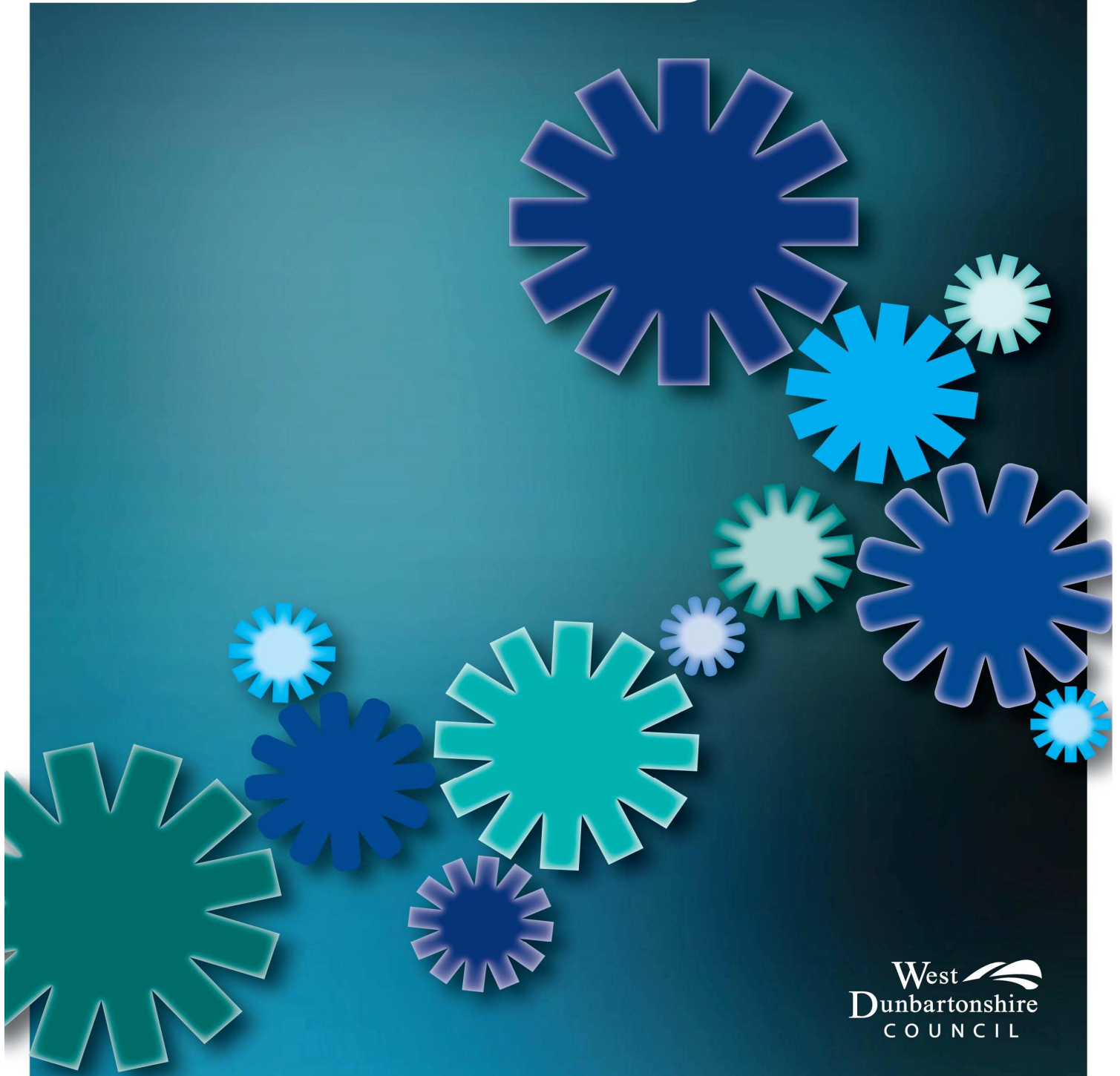
Appendices: Appendix 1 - Trade Union Recognition and Facilities Agreement

Background Papers: None

Wards Affected: None

Trade Union Recognition and Facilities Agreement

Implementation Date: December 2015



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TRADE UNION RECOGNITION AND FACILITIES AGREEMENT

1.0 INTRODUCTION

- 1.1 West Dunbartonshire Council's Partnership Working Agreement and Health and Safety Charter, supports the Council's commitment to working in partnership with the recognised Trade Unions, to promote and develop good employee relations and health and safety practices.
- 1.2 The Council also recognises that Trade Union Officials, Safety Representatives and Learning Representatives are entitled to reasonable time off to fulfill their functions and to undertake approved training relevant to those functions. The purpose of this Facilities Agreement is to establish recognised and mutually agreed practice for:
- Trade Union Recognition
 - Time Off for Trade Union Duties, Activities and Training

2.0 TRADE UNION RECOGNITION

- 2.1 The Council believes in the principle of collective bargaining at local level and formally recognises the following Trades Unions:-
- EIS
 - GMB Scotland (*General Municipal and Boilermakers Union*)
 - NASUWT (*National Association of Schoolteachers/Union of Women Teachers*)
 - SSTA (*Scottish Secondary Teacher's Association*)
 - UCATT (*Union of Construction, Allied Trades and Technicians*)
 - UNISON
 - UNITE
- 2.2 The Recognition Agreement underpins the legislative framework which provides Trades Unions with statutory rights which include the following:-
- Entitlement to receive information for collective bargaining purposes;
 - The right to be consulted on the handling of redundancies and transfer of undertakings;

- The right of officials to request reasonable time off work to carry out trade union duties, and undertake trade union training;
 - The right of ordinary members to have time off for union activities;
 - The right to appoint Safety Representatives;
 - The right to appoint Union Learning Representatives.
- 2.3 Trade unions should ensure that officials are aware of their role, responsibilities and functions and ensure that officials receive any appropriate written credentials promptly.

3.0 DEFINITIONS

- 3.1 A trade union official is defined as an employee who has been elected in accordance with the rules of a trade union, recognised by the Council, to be a representative of all or some of the union's members in a particular work area or workplace.
- 3.2 A safety representative is defined as an employee elected in accordance with the rules of a trade union, recognised by the Council, to represent a group or groups of employees in accordance with the Safety Representatives and Safety Committee Regulations 1977.
- 3.3 A trade union learning representative is defined as an employee elected in accordance with the rules of a trade union, recognised by the Council and their main function is to advise union members about their training, educational and development needs.

4.0 TRADE UNION CONVENORS

- 4.1 The Council recognises the importance of partnership working and will provide facilities for 3 full-time Convenors, who will represent: local government employees, craft workers and teachers. The Convenor, whose duties will be defined by the Trade Union, will receive payment at the rate of their substantive post. The number of Convenors will be kept under review.
- 4.2 At the end of the term the Convenor will have the right to return to their substantive post or, where this is unavailable, a suitable alternative at the same grade will be offered or a mutually agreeable way forward found, in line with the relevant policies. In the event that the outgoing convenor has been away from their substantive role and/or profession for a lengthy period, the individual circumstances, skill and support requirements will be discussed and considered in conjunction with the Strategic Lead – People and Technology.

- 4.3 In the event of the long term absence of the Convenor consideration may be given to the temporary appointment of a Vice-Convenor. This issue should be raised with the Strategic Lead - People and Technology in the first instance, and approval will be sought from the Chief Executive for the temporary appointment.

5.0 NOTIFICATION OF APPOINTMENTS

- 5.1 A list of accredited trade union officials, safety representatives and union learning representatives will be maintained by the Trade Union and notified to the Strategic Lead - People and Technology annually, identifying the individual, role, and the workplace or occupational group they are representing. Any changes to the list during the year should be notified by the Trade Union in the same manner.
- 5.2 When an employee is elected as a Trade Union official, safety representatives or union learning representative, the Trade Union should ensure that the employee's line manager is notified.

6.0 TIME OFF FOR TRADE UNION DUTIES/ ACTIVITIES

Duties

- 6.1 In accordance with the ACAS Code of Practice, *Time Off for Trade Union Duties*, employees who are officials of a recognised trade union are permitted reasonable time off during working hours to carry out trade union duties.
- 6.2 Officials are entitled to time off where the duties are concerned with those duties listed in Section 1 of the Code of Practice, such as:
- negotiations with the Council about matters which fall within section 178(2) of the Trade Union and Labour Relations (Consolidation) Act 1992 (TULR(C)A and for which the union is recognised for the purposes of collective bargaining, or;
 - any other function on behalf of employees of the Council who are members of the union, which are related to matters falling within section 178(2) TULR(C)A and which the Council has agreed the union may perform.
 - Official meetings with management;
 - Representing/accompanying their union members at meetings/hearings as appropriate e.g. disciplinary/grievance, absence review meeting;
 - JCC Forums;
 - Induction courses for recruitment purposes.

Activities

- 6.3 An employee who is a member of a recognised Trade Union is permitted reasonable time off during working hours to take part in any Trade Union activity. Where a member is acting as a representative of a recognised union time off will be granted for trade union activities including:
- Branch, area or regional meetings of the union where the business of the union is under discussion;
 - Meetings of official policy making bodies such as the Executive Committee or Annual Conference;
 - Meetings with full-time officials to discuss issues relevant to the workplace;
- 6.4 There is no right to time off for trade union activities which consist of any form of industrial action.

Training

- 6.5 Trade Union officials are permitted reasonable time off with pay during working hours to undergo training relevant to the carrying out of their trade union duties. These duties must be concerned with:
- Negotiations with the employer about matters which fall within section 178(2) TULR(C)A and for which the union is recognised to any extent for the purposes of collective bargaining by the employer; or
 - Any other function on behalf of employees of the employer which are related to matters falling within section 178(2) TULR(C)A and which the employer has agreed the union may perform.
- 6.6 Training should be in aspects of employment relations relevant to the duties of an official, and the training must be approved by the Trades Union Congress (TUC) or by the independent trade union of which the employee is an official.
- 6.7 The Trade Union must provide the Council with as much notice as possible that the employee will be undergoing training, date of training and details of the training.

7.0 PAYMENT FOR TIME OFF FOR TRADE UNION DUTIES/ ACTIVITIES

- 7.1 Where workplace meetings are requested, Managers and Unions should be flexible and seek to agree a mutually convenient time which minimises the effect on service delivery, for example:

- Towards the end of a shift or the working week;
 - Swapping working days;
 - Avoiding working days where possible;
 - Before or after a meal break;
 - Holding mass/larger meetings outwith normal working hours, if appropriate.
- 7.2 Payment will be made for time off for trade union duties undertaken when the official would have been at work. Payment will be the amount that the individual would have earned had they worked during the time off taken. This will include all contractual elements.
- 7.3 There is no statutory requirement to pay for time off where the duty is carried out at a time when the official would not otherwise have been at work unless the official works flexible hours, such as night shift, but needs to attend. Employees who work part-time will be entitled to be paid if employees who work full-time would be entitled to be paid. In such cases the employee will receive additional hours at plain time, however this will not exceed the daily full-time equivalent hours for the post.
- 7.4 Trade Union officials who are requested by management to attend meetings, or carry out other duties, during a period of authorised annual or flexi leave will do so in their own time, unless they have obtained prior authorisation to attend.
- 7.5 Whilst there is no statutory requirement to do so, the Council provides that, where a member is acting as a representative of a recognised union, time off with pay will be granted for trade union activities.
- 7.6 Trade Union Learning Representatives will be granted reasonable time off to undertake the duties of a Union Learning Representative. To qualify for paid time off the member must be sufficiently trained to carry out duties as a Learning Representative. Duties include:
- Analysing learning or training needs;
 - Providing information and advice about learning or training matters;
 - Arranging learning and training;
 - Promoting the value of learning and training;
 - Consulting the employer about carrying out any such activities;
 - Preparation to carry out any of the above activities;
 - Undergoing relevant training to carry out their duties and responsibilities.

8.0 PROCEDURE FOR REQUESTING TIME OFF

- 8.1 The Council recognises the importance of an effective time-off agreement and the amount, and frequency, of time off should be reasonable in all circumstances.
- 8.2 The Council and Trades Unions agree that established procedures relating to how time off requests are submitted will assist the proper consideration of all such requests.
- 8.3 Requests for time off should be made using the request pro-forma PERS/TU/1 (Appendix 1) and submitted to the Trade Union Representative's line manager -
- Giving as much notice as possible;
 - Stating the purpose of the time off;
 - Stating the intended location of the duties;
 - Indicating the timing and expected duration of the time off required, including travelling time;
 - Confirming that their Union support their attendance details of the programme if available.
- 8.4 Where the application relates to a schedule of meetings, this should be requested and agreed in blocks.
- 8.5 When considering whether requests for time off can be granted consideration will be given as to the reasonableness of the request, for example to ensure adequate cover within a section, safety reasons or service delivery. Reasonable time off for the purpose identified will be granted subject to exigencies of the service, and will not be unreasonably refused. Line managers need to consider each application for time off on its merits; they should also consider the reasonableness of the request in relation to agreed time off already taken or in prospect.
- 8.6 Union representatives should minimise service disruption by being prepared to be as flexible as possible in seeking time off in circumstances where the immediate or unexpected needs of the business make it difficult for colleagues or managers to provide cover for them in their absence. Equally line managers should recognise the mutual obligation to allow union representatives to undertake their duties.
- 8.7 Where permission to take time off is withheld, an explanation for the reason will be provided by the line manager and a copy of the request form must be passed to the Strategic Lead - People and Technology and the Trade Union Convener.

- 8.8 Where the trade union representative is dissatisfied with the reasons provided, through informal discussions with the Strategic Lead - People and Technology, they will have the right to raise a complaint against the decision. Every effort shall be made to resolve the complaint speedily.
- 8.9 The line manager must ensure payroll are notified by of any unpaid leave deductions

9.0 DEALING JOINTLY WITH COMPLAINTS

- 9.1 All parties recognise the importance of working together, building effective working relationships and treating each other with mutual respect. Where the conduct, or behaviour, of an individual in a representative capacity of the Trade Union is viewed as inappropriate, the matter will be reported to the appropriate Convenor, by the appropriate Strategic Director/Lead. Concerns regarding the Convenor will be reported to the Regional or National Officer of the appropriate union.
- 9.2 The Trade Union will acknowledge receipt of the complaint, within 5 working days and notify the Strategic Director/Lead and will follow their recognised internal procedure for dealing with complaints.
- 9.3 Following notification of the complaint, it will be for the Trade Union to take any action it deems appropriate. The Trade Union will contact and advise the Strategic Director/Lead raising the complaint once any investigation has been completed and advise if appropriate has been taken. There is no obligation on the Trade Union to detail the outcome or action taken as a result of the investigatory process.
- 9.4 Where a Trade Union representative considers an employee or manager has acted unreasonably to them in their Trade Union role then this matter should be reported to the appropriate Strategic Director/Lead through the appropriate Convenor.
- 9.5 The Strategic Director/Lead will acknowledge receipt of the complaint, within 5 working days and follow Council procedure in dealing with complaints.
- 9.6 Following receipt of the complaint, it will be for the Strategic Director/Lead to take any action they deem appropriate. The Strategic Director/Lead will contact the appropriate Convenor once any investigation has been completed and advise if appropriate has been taken. There is no obligation on the Strategic Director/Lead to detail the outcome or action taken as a result of the investigatory process.

- 9.7 Trade Unions officials, health and safety representatives and learning representatives have the right to complain to an employment tribunal for an alleged breach of time off provisions. However, all parties agree that every effort should be made to resolve any points of issue internally and as quickly as possible, in conjunction with the Strategic Lead - People and Technology.

10.0 FACILITIES

- 10.1 The Council recognises that providing facilities will enable the Trades Unions to perform their duties more efficiently and communicate more effectively with their members, and full-time officers. Where resources permit Trades Unions will be provided with:
- (a) office accommodation
 - (b) office equipment, including desk(s), filing cabinets, telephone line, computer
 - (c) the use of notice boards, and other forms of electronic communications such as email and intranet/internet
- 10.2 The agreement in relation to trade union officials/representatives and learning or safety representatives within Education will be maintained.

11 AMENDMENT OR REVIEW OF AGREEMENT

- 11.1 Either side may submit proposals in order to amend this agreement. Such proposals will be in writing to the sides concerned, and will be the subject of joint negotiations.
- 11.2 The policy will be updated to incorporate any relevant change to legislation or best practice as required.



PER-TU-1
REQUEST FOR TIME OFF TO UNDERTAKE TRADE
UNION DUTIES/ACTIVITIES



EMPLOYEE DETAILS:			
NAME:			
TRADE UNION ROLE (Tick as appropriate)	Trade Union Representative <input type="checkbox"/>	Safety Representative <input type="checkbox"/>	Learning Representative <input type="checkbox"/>
NAME OF UNION			
EMPLOYEE REF NO:			

I confirm that I am a trade union representative/safety representative/learning representative duly elected to represent members of my trade union and I am requesting time off to undertake duties/activities as outlined below.

REQUEST FOR TIME OFF FOR TRADE UNION DUTIES/ACTIVITIES:			
Reason for Request:			
<input type="checkbox"/> Representing/accompanying member <input type="checkbox"/> Scheduled WDC meetings - JCC/JCF/Other <input type="checkbox"/> Branch/Area/Regional meeting <input type="checkbox"/> Annual Conference <input type="checkbox"/> Meeting Full-time Official <input type="checkbox"/> Management meeting			
Location			
Date(s)			
Estimated time/duration of request		a.m. <input type="text"/> p.m. <input type="text"/> Full day <input type="checkbox"/>	
Signature Trade Union Representative		Date

REQUEST FOR TIME OFF FOR TRAINING EVENT		
Title of Event (Provide full details and attach supporting documentation where appropriate)		
Location:		
Date(s):		
Estimated time/duration of request	a.m. <input type="text"/> p.m. <input type="text"/> Full day <input type="checkbox"/>	
Confirmation by TU	Signature Trade Union Convener/Branch Secretary/Conditions of Service Officer	Date

LEAVE APPROVED							
DAYS	<input type="text"/>	HOURS	<input type="text"/>	PAID	<input type="checkbox"/>	UNPAID	<input type="checkbox"/>
LEAVE NOT APPROVED (If not approved indicate reason):							
Signature Line Manager			Date		

In all circumstances the maximum possible notice should be given .Requests should be submitted to the Line Manager for approval and a copy returned to HR Connect for monitoring purposes. Where approval is not given a copy of this form must be passed to the Strategic Lead - People and Technology and the Trade Union Convener.

Note: Teaching Staff – Where requests for time-off cannot be supported by individual schools requests should be sent to the Strategic Lead - Education, Learning and Attainment for approval.

WEST DUNBARTONSHIRE COUNCIL

Report by Strategic Lead – People and Technology

Corporate Services Committee: 9 November 2016

Subject: Working Well Together - Attendance Management: Quarter 2

1. Purpose

- 1.1** The purpose of this report is to advise Committee on attendance levels across the Council for quarter 2 (July – September 2016). The report provides a breakdown of absence performance by Strategic Lead area.

2. Recommendations

- 2.1** It is recommended that the Committee note the content of the report and the attendance results for Q2 2016/17, namely a significant decrease of 2106 FTE days lost (19.3%) compared to the same period last year.
- 2.2** The Committee is also asked to note the supporting verbal commentary from the Director in respect of pertinent points / actions to note for the service areas within the locus of this Committee.

3. Background

- 3.1** Improving attendance at work is a key strategic priority for the Council requiring commitment from elected members, Strategic Leadership Group, Trades Unions, individual managers and employees.
- 3.2** The Council has made a commitment to improving attendance levels by setting ambitious targets of reducing days lost for Local Government Employees to 7 FTE days lost per employee by 2017, and 5 FTE days lost for Teachers. Local, more specific targets, are being considered for each of the Strategic Lead areas, to reflect historical performance in different occupational groups and continue to promote improvement.

4. Main Issues

Quarter 2 Performance

- 4.1** Appendix 1 shows quarter 2 absence data for Strategic Lead areas. Absence was reported as 2.16 FTE days lost per employee representing a 19.3% improvement on quarter 2 last year. Chart 1 below shows the monthly trend for the last 12 months (October 2015 – September 2016) and compares with the same period last year. The results show that absence is following the usual seasonal trend, however, there has been a consistent improvement in the last 12 months with July 2016 reporting the best result with 0.65 FTE days lost per employee.

Chart 1 – Absence Trend – Rolling Year

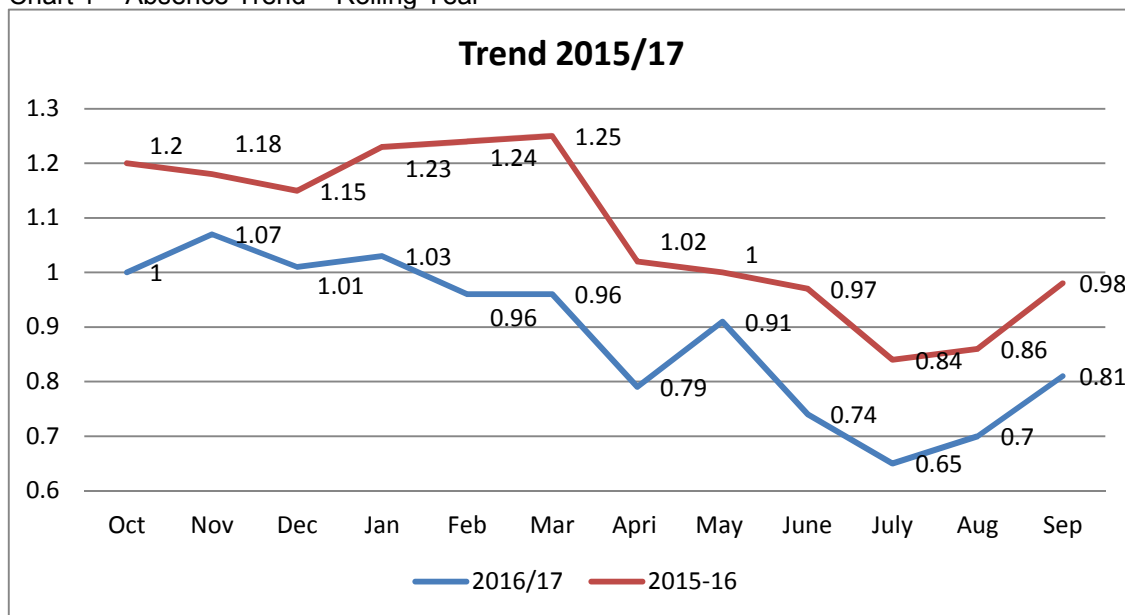


Table 1 shows the service breakdown across the Council. The results highlighted are those strategic lead areas whose absence was above the Council average of 2.16 FTE days lost per employee.

Table 1 – Strategic Breakdown Quarter 1

Strategic Lead Area Quarter 2	No of FTE e/ees	Days Lost FTE* Q1 (2016/17)
Council Wide	4,506.00	2.16
Child Healthcare & Criminal Justice	234.56	2.58
Community Health & Care	745.44	4.11
Mental Health, Addiction & Learning Disabilities	144.91	4.02
Strategy, Planning & Health Improvement	27.66	0.76
Environment & Neighbourhood	683.73	2.21
Housing & Employability	242.97	1.73
Regeneration	427.52	3.17
Communications, Culture & Communities	159.99	1.29
Education – Support	541.80	1.56
People & Technology	112.20	0.42
Regulatory	130.24	0.93
Resources	180.64	2.74
Education - Teachers	862.34	0.56

*Total number of FTE days lost divided by the number of FTE employees

Absence Duration

- 4.2** Table 2 shows the duration breakdown for quarter 2 and compares to the same period last year. Long term absence has reduced overall and we are now seeing a more balanced picture, with long term absence accounting for 54% of days lost. This is consistent with the significant reduction in days lost

due to Acute Medical Conditions, Recurring Medical Conditions and Stress, which tend to be long term in nature.

Table 2 – Absence Duration – Council Wide

Quarter 2	2016/17	2015/16
Short Term (under 20 days)	46%	44%
Long Term (over 20 days)	54%	56%

Absence Reasons

- 4.3** Table 3 shows the reasons for absence recorded in quarter 2 this year and last year. Minor Illness has fallen compared to last year and is no longer the top reason for absence which has been overtaken by Acute Medical Conditions, with 22% of all days lost. Compared to last year, Stress (personal and work-related) fell by 36%. We are now able to report personal and work related stress separately. The results show that work related stress accounted for 2.3% of days lost in the quarter. There are still occasions when absence is incorrectly / inaccurately reported (reason not disclosed) but overall this is reducing.

Table 3 – Reasons analysis

Q2	2016/17			2015/16		
AR Code	Reason	Work Days lost	% of days lost	Reason	Work Days lost	% of days lost
1	Minor Illness	2,428.5	20.55%	Minor Illness	2,984.0	25.69%
2	Back Pain	640.0	5.42%	Back Pain	679.5	4.43%
3	Musculo-skeletal Injuries	1,903.0	16.10%	Musculo-skeletal Injuries	2,514.0	17.75%
4	Stress	1,365.0	11.55%	Stress	2,554.5	18.88%
5	Recur Medical Conditions	969.5	8.20%	Recur Medical Conditions	1,092.0	4.46%
6	Non Work Related Accidents / Injuries	270.5	2.29%	Non Work Related Accidents / Injuries	275.0	1.42%
7	Work Related Accidents / Injuries	314.0	2.66%	Work Related Accidents / Injuries	274.0	0.48%
8	Mental Health	728.0	6.16%	Mental Health	1,148.5	4.83%
9	Acute Medical Conditions	2,628.0	22.24%	Acute Medical Conditions	2,624.5	19.57%
10	Pregnancy Related Absence	167.5	1.42%	Pregnancy Related Absence	118.5	1.61%
11	Drink or Drug Related Condition	4.0	0.03%	Drink or Drug Related Condition	0.0	0.00%
12	Stress - Work Related	272.0	2.30%	N/A		
13	Reason Not Disclosed	128.5	1.09%	Reason Not Disclosed	162.0	1.32

Attendance Working Group

- 4.4** The Attendance Working Group last met on 21 September 2016. Actions previously reported are ongoing including a comprehensive review of the scope of the Attendance Working Group with a view to focusing upon wellbeing.

5. People Implications

- 5.1** Absence impacts not only those who are absent from work due to illness or injury but also those remaining at work. The absence levels experienced within our services leads to significant additional burdens on our attending workforce. Striving to reduce absence through the appropriate support to those with health issues as well as ensuring that we provide the right assistance to those at work is fundamental to the successful achievement of our annual target.

6. Financial Implications

- 6.1** Significant absence levels impact on the Council in terms of cost, service delivery and motivation. In quarter 2, the Council lost a total of 9751 FTE working days of productivity to sickness absence which is a significant decrease of 19.1% compared to quarter 2 last year. Based upon the nominal daily cost of a day's absence (£118.00), it is estimated that the cost of absence for the quarter was £1.15m. This figure does not take into account the indirect costs of absence such as overtime, loss of productivity, reduced team performance.

7. Risk Analysis

- 7.1** Compared with quarter 2 last year, there continues to be a significant improvement in absence performance, however, there is still a risk that if the focus and attention by all stakeholders is not maintained, absence rates could rise making it difficult to achieve the Council's target of 7 FTE days for 2016/17. This would contribute adversely to the Council's overall performance.

8. Equalities Impact Assessment (EIA)

- 8.1** An Equalities Impact Assessment Screening has been undertaken and noted that a high level of employees on long term sickness absence will be covered by the Equality Act 2010. Measures to mitigate impact include reasonable adjustments, introduction of Tailored Adjustment Agreements, Disability Leave, Carers' Leave and the provision of Occupational Health advice.

9. Consultation

- 9.1** Consultation is on-going with Trade unions through the Attendance Working Group, ELG, JCF and JCCs to identify and address attendance issues.
- 9.2** Strategic Leads continued to be consulted through regular meetings with HR Business Partners.
- 10. Strategic Assessment**
- 10.1** Effective attendance management will support the Council's aim to make best use of both financial and human resources resulting in a positive impact upon service provision.

Vicki Rogers
Strategic Lead, People and Technology
Date: 10 October 2016

Person to Contact: Tracy Keenan, HR Business Partner,
People & Technology,

Garshake Road, Dumbarton
Tel: 01389 737687
Email: tracy.keenan@west-dunbarton.gov.uk.

Appendices: Appendix 1 – Quarter 2 - Council Absence

Background Papers: None

Wards Affected: None

Appendix 1 - WDC Absence Statistics

Strategic Area: Council Wide
Period: Quarter 2 2016-17



TABLE 1 - Headline Figure	Quarter 2 2016-17	2.16	Quarter 2 2015-16	2.68	Year on Year +/-	-19.3%
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TABLE 2 - Days Lost per Employee

Strategic Area	FTE Employees	Intermittent (1-3 days)		Short Term (4-5 days)		Medium Term (6 days - 4 weeks)		Long Term (over 4 weeks)		Total Working Days Lost	Total FTE Days Lost	Total FTE Days Lost by FTE Employees
		Working Days Lost	% of Total Days Lost	Working Days Lost	% of Total Days Lost	Working Days Lost	% of Total Days Lost	Working Days Lost	% of Total Days Lost			
Child Healthcare & Criminal Justice	234.56	45	7.17%	27	4.30%	212	33.76%	344	54.78%	628	604.25	2.58
Community Health & Care	745.44	207	5.45%	175	4.60%	1,293.5	34.03%	2,126	55.93%	3,801.5	3,061.55	4.11
Mental Health, Addiction & Learning Disabilities	144.91	30	4.41%	28	4.12%	162	23.82%	460	67.65%	680	582.83	4.02
Strategy, Planning & Health Improvement	27.66	16	72.73%	0	0.00%	6	27.27%	0	0.00%	22	21.00	0.76
Health & Social Care Partnership	1152.57	298	5.81%	230	4.48%	1,673.5	32.61%	2,930	57.10%	5,131.5	4,269.63	3.70
Environment & Neighbourhood	683.73	99	4.73%	81.5	3.90%	743.5	35.56%	1,167	55.81%	2,091	1,510.39	2.21
Housing & Employability	242.97	52	11.56%	29	6.44%	183	40.67%	186	41.33%	450	420.45	1.73
Regeneration	427.52	72.5	5.21%	78	5.61%	356.5	25.63%	884	63.55%	1,391	1,356.75	3.17
Regeneration, Environment & Growth	1354.22	223.5	5.68%	188.5	4.79%	1,283	32.63%	2,237	56.89%	3,932	3,287.59	2.43
Communications, Culture & Communities	159.99	60	22.81%	18	6.84%	62	23.57%	123	46.77%	263	206.94	1.29
Education Learning & Attainment - Support Staff	541.80	150.5	12.52%	78	6.49%	342.5	28.49%	631	52.50%	1,202	845.16	1.56
Education Learning & Attainment - Teachers	862.34	121.5	21.00%	34	5.88%	255	44.08%	168	29.04%	578.5	478.71	0.56
People & Technology	112.20	14	26.42%	22	41.51%	17	32.08%	0	0.00%	53	47.50	0.42
Regulatory	130.24	10	7.94%	5	3.97%	47	37.30%	64	50.79%	126	120.83	0.93
Resources	180.64	47	8.83%	10	1.88%	229.5	43.10%	246	46.20%	532.5	494.40	2.74
Transformation & Public Service Reform	1,987.21	403	14.63%	167	6.06%	953	34.59%	1,232	44.72%	2,755	2,193.54	1.10
Strategic Management	12.00	0	0.00%	0	0.00%	0	0.00%	0	0.00%	0	0.00	0.00
COUNCIL-WIDE TOTAL	4,506.00	924.5	7.82%	585.5	4.95%	3,909.5	33.08%	6,399	54.14%	11,818.5	9,750.76	2.16

TABLE 3 - Breakdown of Days Lost by Duration Category

Duration	Working Days Lost	Percentage of Lost Days
Intermittent (1-3 days)	924.5	7.82%
Short Term (4-5 days)	585.5	4.95%
Medium Term (6 days-4 weeks)	3,909.5	33.08%
Long Term (over 4 weeks)	6,399.0	54.14%
TOTAL	11,818.5	100%

TABLE 4 - Absence Reasons

Strategic Area	FTE Employees	Minor Illness	Back Pain	Musculo-skeletal Injuries	Stress	Recurring Medical Conditions	Non Work Related Accident / Injuries	Work Related Accidents / Injuries	Mental Health	Acute Medical Conditions	Pregnancy Related Absence	Drink or Drug Related Condition	Stress - Work Related	Reason Not Disclosed	Total Working Days Lost	FTE Days Lost	Total FTE Days Lost by FTE Employee
Child Healthcare & Criminal Justice	234.56	182	9	133	24	45	0	0	64	169	2	0	0	0	628	604.25	2.58
Community Health & Care	745.44	466	259	705	616	475	136	143	326	505	28.5	0	102	40	3,801.5	3,061.55	4.11
Mental Health, Addiction & Learning Disabilities	144.91	134	0	75	77	85	3	58	91	114	14	0	29	0	680	582.83	4.02
Strategy, Planning & Health Improvement	27.66	16	0	0	0	6	0	0	0	0	0	0	0	0	22	21.00	0.76
Health & Social Care Partnership	1,152.57	798	268	913	717	611	139	201	481	788	44.5	0	131	40	5,131.5	4,269.63	3.70
Environment & Neighbourhood	683.73	380	71	435	215	67.5	74	31	36	628	66	4	63	20.5	2,091	1,510.39	2.21
Housing & Employability	242.97	140	46	78	47	21	11	10	0	59	0	0	38	0	450	420.45	1.73
Regeneration	427.52	206.5	229	228	154	61	11	48	52	401.5	0	0	0	0	1,391	1,356.75	3.17
Regeneration, Environment & Growth	1,354.22	726.5	346	741	416	149.5	96	89	88	1,088.5	66	4	101	20.5	3,932	3,287.59	2.43
Communications, Culture & Communities	159.99	107	0	1	0	48	0	0	42	65	0	0	0	0	263	206.94	1.29
Education Learning & Attainment - Support Staff	541.80	441.5	7	150	125	43	18	11	27	311.5	0	0	0	68	1,202	845.16	1.56
Education Learning & Attainment - Teachers	862.34	223.5	1	57	36	41	2	13	0	159	27	0	19	0	578.5	478.71	0.56
People & Technology	112.20	42	0	0	1	1	3	0	0	6	0	0	0	0	53	47.50	0.42
Regulatory	130.24	16	0	20	0	0	9	0	0	64	7	0	10	0	126	120.83	0.93
Resources	180.64	74	18	21	70	76	3.5	0	90	146	23	0	11	0	532.5	494.40	2.74
Transformation & Public Service Reform	1,987.21	904	26	249	232	209	35.5	24	159	751.5	57	0	40	68	2,755	2,193.54	1.10
Strategic Management	12.00	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0.00	0.00
COUNCIL-WIDE TOTAL	4,506.00	2,428.5	640	1,903	1,365	969.5	270.5	314	728	2,628	167.5	4	272	128.5	11,818.5	9,750.76	2.16

TABLE 5 - Days Lost by Absence Category

Absence Reason	Working Days Lost	Percentage of Lost Days
Minor Illness	2,428.5	20.55%
Back Pain	640.0	5.42%
Musculo-skeletal Injuries	1,903.0	16.10%
Stress	1,365.0	11.55%
Recurring Medical Conditions	969.5	8.20%
Non Work Related Accidents / Injuries	270.5	2.29%
Work Related Accidents / Injuries	314.0	2.66%
Mental Health	728.0	6.16%
Acute Medical Conditions	2,628.0	22.24%
Pregnancy Related Absence	167.5	1.42%
Drink or Drug Related Condition	4.0	0.03%
Stress - Work Related	272.0	2.30%
Reason Not Disclosed	128.5	1.09%
TOTAL	11,818.5	100%

Reports are compiled as per COSLA Methodology. Fixed-term employees with less than one year's service are excluded from this report. Full Time Equivalent figures are based upon the average FTE for the reported period. Consequently, data might not be identical to locally-held information.

WEST DUNBARTONSHIRE COUNCIL

Report by Strategic Lead – People and Technology

Corporate Services Committee: 9 November 2016

Subject: Bi-Annual Workforce Monitoring Report

1. Purpose

- 1.1** The purpose of this report is to provide employment information relating to the period 1 April to 30 September 2016, including analysis against the same period in 2015.

2. Recommendations

- 2.1** It is recommended that the Committee note the following employment information for 1 April to 30 September 2016:

- Attendance statistics
- Occupational health and counselling
- Accidents/incidents
- Discipline, grievance and dignity at work
- Employee development
- Recruitment monitoring
- Staffing watch as at 11 June 2016

3. Background

- 3.1** This report provides information on a range of employment areas for the period 1 April to 30 September 2016. This report allows the Committee to monitor trends influenced by the workforce and consider the key areas impacting on the workforce.

4. Main Issues

Attendance Statistics

- 4.1** Information on absence statistics for 1 April to 30 September is detailed below:

Table 1- Breakdown for 1 April to 30 September

	2016 Days Lost (FTE)*	2015 Days Lost (FTE)*
Local Government Employees	4.74	6.31
Teachers	1.84	3.09

* Total number of FTE days lost divided by the number of FTE employees

- In 2016/17 the target for Local Government Employees is 7 FTE days lost per FTE employee.
- In 2016/17 the target for Teaching Employees is 5 FTE days lost per FTE employee.
- In the first 6 months of the year, the Local Government Employee figure is 4.74 FTE days lost per FTE employee; this is a reduction of 1.57 days (25% reduction).
- In the first 6 months of the year, the Teaching Employee figure is 1.84 FTE days lost per FTE employee; this is a decrease of 1.25 days (40% reduction).

4.2 Comparison of Council-wide statistics for 1 April to 30 September 2016 to the same period in 2015 shows:

Table 2 –Days lost during 1 April– 30 September

	2016 Days Lost	2015 Days Lost
Local Government Employees	19677	22422
Teachers	1569	2731
TOTAL	21247	25153

- In 2016 a total of 21247 FTE days were lost due to sickness absence, a decrease of 3906 FTE days lost on the previous year (16% reduction).
- Local Government Employees had a reduction of 2744.79 days lost (12% reduction) and Teachers had a decrease of 1161.85 days lost (43% reduction).

Table 3 – Reason analysis 1 April– 30 September

	2016		2015	
	Reason	Days Lost	Reason	Days Lost
1	Minor Illness	5500	Acute Medical Conditions	7573
2	Acute Medical Conditions	5369	Musculoskeletal Conditions	6120.5
3	Musculoskeletal Conditions	4409	Minor Illness	5928
4	Stress	3779	Stress	5684.5
5	Recurring Medical conditions	1864	Back Pain	2012.5

- The main reason for absence in 2016 is Minor Illness, with a decrease of 428 days.
- In 2015 the main reason for absence was Acute Medical Conditions. There was a reduction in 2016 from the days lost in 2015 due to Acute Medical Conditions of 2204 days.
- Total days lost due to Stress has decreased by 1905.5 from the same period in 2015.

- Total days lost due to Musculoskeletal Conditions reduced by 1711.5 days.

Occupational Health and Counselling

- 4.3** Occupational Health management information is produced by our OH provider People Asset Management. As reported to the Committee in May 2016, comparable information from the previous year is not available due to the provision of service being provided under two contracts and different reporting parameters being applied. For the purposes of comparison the previous 6 months figures have been included:

Table 4 – Referrals to Occupational Health and Physiotherapy -

	2016 (1 April to 30 September)	2015 (1 October – 31 March)
Medical Referrals	574	673
Physiotherapy	315	515

- 4.4** Counselling management information is produced by our provider Time for Talking

Table 5 – Counselling Usage - 1 April to 30 September

	2016	2015*
Counselling Appointments	44	42
Telephone Sessions	0	2

*Data only available from June 2015

- The number of sessions is comparable with the same period last year.
- The new provider, Time for Talking, provides a local service therefore fewer employees are opting for telephone sessions.

Accidents/Incidents

- 4.5** Information on the accident/incident statistics for the period is detailed below. A full report on this subject is submitted to the Council Joint Health and Safety Committee.

Table 6 – Accidents and Incidents -1 April to 30 September

	2016	2015
Reported accidents and incidents	201	105
Accidents and incidents reported under RIDDOR	26	13
Accidents and incidents resulting in over 7 days absence	14	13
Major accidents and incidents	0	0

- In 2016 there was an increase of 96 reported accidents and incidents when compared to the same period for the previous year.

- For accidents and incidents reported under RIDDOR and for those accidents and incidents resulting in over 7 days absence there was an increase of 14 when compared to the same period for the previous year.
- During the period, for both years, there were no major accidents/incidents.
- The reason for this substantial increase is due to the successful implementation of online reporting. This has resulted in information being recorded more accurately.

Discipline and Grievance

4.6 Information on Disciplinary and Grievance Hearings for the period 1 April – 30 September 2016 is detailed below:

Table 7 – Details of Disciplinary Action - 1 April – 30 September

	2016	2015
Disciplinary Investigations	67	77
Disciplinary Hearings	18	33
Disciplinary Hearing Outcome – Dismissed with Notice	-	-
Disciplinary Hearing Outcome – Summary Dismissal	3	4
Disciplinary Hearing Outcome – Final Written Warning	1	7
Disciplinary Hearing Outcome – First Written Warning	9	8
Disciplinary Hearing Outcome – Verbal Warning	1	9
Disciplinary Hearing Outcome – Informal Action	3	4
Disciplinary Hearing Outcome – No further action	1	1
No further action at Investigatory Stage	13	17
Investigations on-going	31	25
Awaiting a hearing date	3	3
Employee at investigation stage resigned	2	4

Table 8 – Appeals - 1 April – 30 September

	2016	2015
Appeals submitted to Corporate Services Appeals Panel	2	1
Appeals submitted to Educational Services Grievance and Disciplinary Appeals Sub-Committee	N/A	1

- During the period there were 2 disciplinary dismissal appeals submitted; this is the same number when compared to the same period the previous year. One appeal was upheld and one appeal was not upheld.

- All appeals are now heard by the Corporate Services appeals panel therefore, no further figures will be reported for the Educational Services grievance and disciplinary appeals sub-committee.

Table 9 – Grievances - 1 April – 30 September

	2016	2015
Grievances raised	9	9
Grievance Outcomes – Not Upheld	1	2
Grievance Outcomes – Partially Upheld	-	4
Grievance Outcomes – Upheld	2	-
Informal Resolution	2	1
Investigation On-going	3	1
Awaiting a Hearing Date	1	1

- Overall 9 grievances were raised during the period the same amount when compared with the same period the previous year.

Table 10 – Mediation Referrals – 1 April – 30 September

	2016	2015
Mediation Referrals	7	6
Mediation Outcome – Agreement Reached	2	3
Mediation Outcome – No Agreement Reached	0	0
Mediation On-going	1	1
Case closed due to no contact from Employee	1	0
Employee left the Authority	1	0
Employee Withdrew from Mediation	2	2

- Referrals to the mediation service increased by 1 when compared to the same period the previous year.
- There is a slight reduction in the number of outcomes where an agreement was reached when compared to the same period last year. This has been as a result of 1 employee leaving the Authority and 1 employee moving to a different role
- The use of mediation is actively promoted in cases where this would be of value.
- in one case the employee had changed job and no longer felt the need for mediation)

Employee Development

4.7 Information on Employee Development for the period 1 April – 30 September 2016 is detailed below:

Table 11 – Workshop and Courses – 1 April – 30 September

Workshop/course	Total number of sessions per course/workshop	Total number of attendees per course/workshop
Approach to Change	8	57
Be the Best at Managing People	3	15
CMI Level 3: Successfully Managing/Leading People	3	13
CSPQ Induction session	2	4
Data Protection, ICT Security and Fraud Awareness	2	18
Equality and Diversity	2	18
Interview Skills	1	8
Practical PDP	3	14
Change (part 2): Deliver	1	0
Stress Management Workshop	2	14
Problem Solving Workshop	4	17
Project Management Approach	4	34
Attendance Mgt Masterclass: Supporting Disabled Employees	16	152
Welcome Induction	1	18
Equality Impact Assessment Training	1	0
OD & Change Monthly Drop-in Clinics	1	0
16 available courses	54 sessions	382 attendees

- During the period in 2016, 54 delivered courses and training events were available and 382 candidates attended. For the same period the previous year there is a reduction of 3 sessions in the number of sessions delivered and reduction in attendees by 45. The number of available courses has remained static at 16.
- During the period in 2016, 582 employees accessed e-learning resources. There are 294 eLearn resources available, with an average of each being accessed 14 times and completed an average of 10 times. Attendance Management is the most accessed resource at 122 accesses (59% of users completed this resource).

Recruitment Monitoring

- 4.8** Since April 2016, 179 vacancies have been advertised. In order to provide meaningful comparisons for each selected protected characteristics, the success rates for each under represented group has been measured against the success rate of its comparator. A success rate measures the percentage

of the group that were successful in gaining employment and is a more accurate way to establish potential barriers to employment.

The table below shows Recruitment Equal Opportunities Monitoring for the year to date, compared to last year. It shows the number of applicants identified by their protected characteristic and the number of those applicants who were appointed. The information is based upon equalities monitoring questionnaires voluntarily completed by applicants.

Table 12 – Recruitment Monitoring - 1 April to 30 September

Protected Characteristic	Mid-Year 2016			Mid-Year 2015		
	No of applicants in group	No of applicants successful in gaining employment in group	Success Rate of group	No of applicants in group	No of applicants successful in gaining employment in group	Success Rate of group
Female	3498	233	6.66%	1244	67	5.47%
Male	1681	83	4.94%	524	29	5.53%
BME	305	23	7.54%	52	1	1.92%
White	4881	297	6.08%	1707	95	5.56%
LGBT	136	8	5.88%	40	4	10%
Heterosexual	4867	296	6.08%	1653	87	5.26%
Disability	188	5	2.66%	58	2	3.45%
No-disability	4939	308	6.24%	1678	93	5.54%
Non-Christian	132	2	1.52%	32	2	6.25%
Christian	2488	183	7.36%	857	47	5.48%

- The gender split of applicants remains reflective of the Council's workforce profile with 67% of applications received from females and 32% from males. In 2016, there was an increase of over 1% in success rates for females. This marks a return to the trends shown in previous years.
- The percentage of BME applicants rose from 3% in 2015, to 5.83% in 2016. For comparison, 1.5% of the West Dunbartonshire Population and 4% of the Scottish Population are from BME groups. The most noticeable shift in 2016 is the substantial increase to the success rate for BME applicants. This is due to a higher number of applicants meeting the essential criteria from the previous year. The Local Government Benchmarking Framework (LGBF) group, with responsibility for equalities, have analysed the success rates for BME groups over the last 4 years and continues to work in partnership to address the barriers to employment for BME groups.

- 3% of applicants in 2016 were from individuals from LGBT groups. This is an increase of 1% from 2015. In 2016, the success rate for applicants from LGBT groups group is broadly comparable with heterosexual applicants. This is a shift from the same period last year and this is as a result of the increase in applicants from this group. Despite this increase the number applications from LGBT groups remains low in comparison to heterosexual applicants.
- 3.6% of applications were from individuals who identified as having a disability. This is an increase of 0.6% from the same period in 2015. The success rate for this group is 2.66% compared to 6.24% for those who identified as not having a disability. This continues to illustrate that disabled applicants are less likely than non-disabled applicants to secure employment but it should be noted that 94% of applicants disclosed that they have no disability.
- 2.52% of applications were from individuals from non-Christian groups. This is an increase of 0.52% from the same period in 2015. The success rate for this group is 1.52% compared to 7.36% for Christian groups. This significant shift is due to a very low number of non-Christian applications in 2015.

Staffing Watch

- 4.9** The most recent staffing watch completed in June 2016 showed that there were 5761 employees (headcount) in post. This is the same figure reported in September 2015. Despite no change to headcount the FTE figure dropped from 4647FTE in 2015 to 4631FTE in 2016 (0.3% reduction). In 2016, the number of reported full time employees reduced by 67. This reduction included 19 voluntary releases.

5. People Implications

- 5.1** There are no people implications for employees arising from the information presented in this report.

6. Financial and Procurement Implications

- 6.1** Financial – No direct financial implications.

7. Risk Analysis

- 7.1** There are no risks identified in terms of the information presented in this report.

8. Equalities Impact Assessment (EIA)

- 8.1** This report does not introduce a new policy, function or strategy or recommend a change to an existing policy, function or strategy and therefore no equalities impact assessment is required.

10. Consultation

- 10.1** There was no requirement to undertake any consultation in terms of the information contained in this report.

11. Strategic Assessment

- 11.1** Undertaking HR Monitoring will support the Council's aim to make the best use of both financial and human resources resulting in a positive impact upon service provision.

Vicki Rogers

Strategic Lead – People and Technology

Date: 12 October 2016

Person to Contact: Melissa Connor, HR Adviser, Garshake Road,
Dumbarton
Tel: 01389 737286
Email: melissa.connor@west-dunbarton.gov.uk

Appendices: None

Background Papers: None

Wards Affected: None