

Agenda



Corporate Services Committee

Date: Wednesday, 9 September 2020

Time: 14:00

Venue: Zoom Video Conference

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

Dear Member

The Convener has directed that the powers contained in Section 43 of the Local Government in Scotland Act 2003 will be used and so Members will attend this meeting of the **Corporate Services Committee** remotely. The business is shown on the attached agenda.

Yours faithfully

JOYCE WHITE

Chief Executive

Distribution:-

Councillor Ian Dickson (Chair)
Councillor Jim Brown
Councillor Jim Finn
Councillor Diane Docherty
Councillor Daniel Lennie
Councillor Caroline McAllister
Councillor David McBride
Councillor Jonathan McColl
Councillor Iain McLaren (Vice Chair)
Councillor John Mooney
Councillor Lawrence O'Neill
Councillor Martin Rooney

Chief Executive

Strategic Director - Transformation & Public Service Reform

Strategic Director - Regeneration, Environment & Growth

Chief Officer - West Dunbartonshire Health & Social Care Partnership

Date of issue: 27 August 2020

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CORPORATE SERVICES COMMITTEE

WEDNESDAY, 9 SEPTEMBER 2020

AGENDA

1 STATEMENT BY CHAIR – AUDIO STREAMING

The Chair will be heard in connection with the above.

2 APOLOGIES

3 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.

4 MINUTES OF PREVIOUS MEETING 5 - 10

Submit for approval as a correct record, the Minutes of Meeting of the Corporate Services Committee held on 19 February 2020.

**5 MINUTES OF JOINT CONSULTATIVE FORUM – 11 - 16
12 MARCH 2020**

Submit for information and where necessary ratification, the Minutes of Meeting of the Joint Consultative Forum held on 12 March 2020.

6 OPEN FORUM

The Committee is asked to note that no open forum questions have been submitted by members of the public.

7 CORPORATE SERVICES BCR PERIOD 4 To follow

Submit report by the Strategic Lead – Resources on the above.

- 8 GRANT APPLICATION 17 - 24**
- Submit report by the Strategic Lead – Resources providing information on a grant application and to not recommend a grant from the Dumbarton Common Good Fund.
- 9 STRATEGIC RISKS 2017-22: BI-ANNUAL UPDATE 25 - 42**
- Submit report by the Strategic Lead – People & Technology providing an update on the strategic risks for 2017-22.
- 10 AGREEMENT BETWEEN WEST DUNBARTONSHIRE LEISURE TRUST (WDLT) AND WEST DUNBARTONSHIRE COUNCIL (WDC) TO SUPPORT SUITABLE EMPLOYMENT WITH AN ASSOCIATED EMPLOYER 43 - 49**
- Submit report by the Strategic Lead – People & Technology recommending approval of an agreement which outlines a reciprocal agreement between West Dunbartonshire Leisure Trust (WDLT) and West Dunbartonshire Council (WDC) to support suitable employment with an associated employer.
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CORPORATE SERVICES COMMITTEE

At a Meeting of the Corporate Services Committee held in the Civic Space, Council Offices, 16 Church Street, Dumbarton on Wednesday, 19 February 2020 at 10.00 a.m.

Present: Councillors Jim Brown, Ian Dickson, Diane Docherty, Jim Finn, Daniel Lennie, Caroline McAllister, David McBride, Jonathan McColl, Iain McLaren, John Mooney, Lawrence O'Neill and Martin Rooney.

Attending: Joyce White, Chief Executive; Angela Wilson, Strategic Director – Transformation & Public Service Reform; Malcolm Bennie, Strategic Lead – Communications, Culture, Communities & Facilities; Victoria Rogers, Strategic Lead – People & Technology; Laura Mason, Chief Education Officer; Gillian McNeilly, Finance Manager; Arun Menon, Business Support Manager; Patricia Kerr, Manager of ICT; Brian Miller, Section Head – ICT Infrastructure; Geraldine Lyden, HR Business Partner, People and Technology; Peter Hissett, Strategic Lead - Regulatory and Craig Stewart, Committee Officer.

Councillor Ian Dickson in the Chair

STATEMENT BY CHAIR – AUDIO STREAMING

Councillor Dickson, Chair, advised that the meeting was being audio streamed and broadcast live to the internet and would be available for playback.

DECLARATIONS OF INTEREST

Councillors Finn and McBride declared a non-financial interest in relation to the item under the heading 'West Dunbartonshire Leisure Trust Business Plan 2020/21', being Directors of West Dunbartonshire Leisure Trust, and both advised that they would remain in the meeting and take part in the decision in relation to this item.

MINUTES OF PREVIOUS MEETING

The Minutes of Meetings of the Corporate Services Committee held on 13 November 2019 were submitted and approved as a correct record.

Having heard the Finance Manager In relation to the item under the heading 'Dumbarton Common Good Fund – Grant Applications', it was noted that with regard to the grant to Bellsmyre Digital Trust, the sum awarded of £33,101 had subsequently been reduced to £25,636, following award.

MINUTES OF JOINT CONSULTATIVE FORUM – 5 DECEMBER 2019

Following discussion, the Minutes of Meeting of the Joint Consultative Forum held on 5 December 2019 were submitted and all decisions contained therein were approved.

OPEN FORUM

The Committee noted that no open forum questions had been submitted by members of the public.

COUNCIL MOTION ON WREATHS FOR COMMUNITY COUNCILS

A report was submitted by the Strategic Lead – Housing & Employability providing an update following the motion to Council in November 2019 regarding the purchase of wreaths by Community Councils using their community council grant.

After discussion and having heard the Finance Manager in answer to a Member's question, the Committee agreed to note the contents of the report and the amendment that had been made in the context of a wider review of support to Community Councils.

PEOPLE & TECHNOLOGY SPEND 2020-21

A report was submitted by the Strategic Lead – People & Technology providing a detailed breakdown of the planned People & Technology (P&T) capital and revenue spend on new and existing contracts in excess of £50,000 and seeking approval to procure and contract for the required goods and services.

After discussion and having heard the Manager of ICT in further explanation and in answer to Members' questions, the Committee agreed:-

- (1) to note the revenue and capital spend detail included in the report, including the anticipated procurement method. The projects to deliver this spend would be included in the 2020-21 People and Technology Delivery Plan currently in development and scheduled for the May meeting of the Corporate Services Committee;

- (2) that authority be delegated to the Corporate Procurement Manager, in consultation with the Strategic Lead – People & Technology, to instruct the award of contracts for the planned revenue and capital spend detailed in the report to suppliers providing the most economically advantageous offer to the Council for all spend purchased from National Framework agreements; and
- (3) to note that spend where the value of the contract was in excess of £50,000, would be submitted to the Tendering Committee for approval.

STRATEGIC RISKS 2017-22: BI-ANNUAL UPDATE

A report was submitted by the Strategic Lead – People & Technology providing an update on the strategic risks for 2017-22.

After discussion and having heard the Strategic Lead – People & Technology, the Section Head – ICT Infrastructure and relevant officers in further explanation and in answer to Members' questions, the Committee agreed:-

- (1) to note the strategic risks as detailed at Appendix 1 to the report; and
- (2) to note the supplementary EU Assurance Plan as outlined in Appendix 2 to the report.

CAREER BREAK POLICY

A report was submitted by the Strategic Lead – People & Technology outlining provisions of the new career break policy for Local Government employees and seeking approval of same.

After discussion and having heard the HR Business Partner in further explanation and in answer to Members' questions, the Committee agreed to approve the Career Break policy as detailed in the Appendix to the report.

SECONDMENT POLICY

A report was submitted by the Strategic Lead – People & Technology outlining provisions of the new secondment policy for Local Government employees and seeking approval of same.

After discussion and having heard the HR Business Partner and the Chief Executive in further explanation and in answer to Members' questions, the Committee agreed to approve the secondment policy as detailed in the Appendix to the report.

WEST DUNBARTONSHIRE LEISURE TRUST BUSINESS PLAN 2020/21

A report was submitted by the Strategic Lead – Communications, Culture, Communities & Facilities providing an update on the West Dunbartonshire Leisure Trust Business Plan for 2020/21.

After discussion and having heard the Strategic Lead – Communications, Culture, Communities & Facilities, the Committee agreed to approve the report and West Dunbartonshire Leisure Trust Business Plan for 2020/21.

GLENHEAD COMMUNITY CENTRE

A report was submitted by the Strategic Lead – Communications, Culture, Communities & Facilities providing an update on the usage of the Glenhead Community Centre and the costs of operating it on existing hours rather than to harmonise with Duntocher Library.

The Committee agreed to note the contents of the report.

WRITE-OFF OF NATIONAL NON-DOMESTIC RATES

A report was submitted by the Strategic Lead – Resources recommending, for approval, the write-off of debts in respect of National Non-Domestic Rates (NNDR), which have been deemed as irrecoverable during the financial year 2019/20.

After discussion and having heard the Business Support Manager in further explanation and in answer to Members' questions, the Committee agreed:-

- (1) to approve the write-off of NNDR accounts totalling £567,786.04; and
- (2) that the report be remitted to the next meeting of the Member/Officer Working Group on National Non-Domestic Rates, in order to enable further consideration to take place.

CORPORATE SERVICES BUDGETARY CONTROL REPORT TO 31 DECEMBER 2019 (PERIOD 9)

A report was submitted by the Strategic Lead - Resources on the performance of the Corporate Services budget for the period to 31 December 2019.

The Committee agreed:-

- (1) to note that the revenue account currently showed a projected annual favourable variance of £0.274m (1.32% of the total budget); and

- (2) to note that the capital account was showing a projected in-year underspend of £0.469m due to slippage of £0.451m (16.4% of the total budget), and current year project underspends of £0.018m (0.7% of the total budget).

YEAR OF THE YOUNG PERSON LEGACY FUND

A report was submitted by the Chief Education Officer:-

- (a) informing on the implementation of the Year of the Young Person Legacy Fund across West Dunbartonshire Council; and
- (b) informing of the governance, allocations and range of projects supported by the fund.

It was noted that a copy of Appendix 2 (Unsuccessful Awards) in relation to the Fund, had already been circulated to Members.

After discussion having heard the Chief Education Officer in further explanation of the report and in answer to Members' questions, the Committee agreed:-

- (1) to note the range of partners who received funding across the community; and
- (2) to note how funds would be used, administered and governed.

The meeting closed at 11.22 a.m.

JOINT CONSULTATIVE FORUM

At a Meeting of the Joint Consultative Forum held in the Council Chamber, Clydebank Town Hall, Dumbarton Road, Clydebank on Tuesday, 12 March 2020 at 2.00 p.m.

Present: Councillors Karen Conaghan, Jim Finn, Daniel Lennie, Jonathan McColl and Iain McLaren; James Halfpenny (EIS); Derek Hutchison and John Wagner (GMB); Claire Mackenzie (SSTA); Sean Davenport, Val Jennings, Susan Shannon and David Smith (UNISON); and Chris Rossi and Margaret Wood (Unite).

Attending: Joyce White, Chief Executive; Victoria Rogers, Strategic Lead – People & Technology; Gail MacFarlane, Strategic Lead – Roads & Transportation; Jo Gibson, Head of Health & Community Care; Stephen Daly, Citizen & Digital Manager; Patricia Kerr, Manager of ICT; Claire Cusick, Senior Education Officer – Pupil Support; Jen Watt, Civil Contingencies Officer; Louise Hastings, HR Business Partner; Raymond Lynch, Senior Solicitor; and Scott Kelly, Committee Officer.

Apologies: Apologies for absence were intimated on behalf of Councillors David McBride and John Millar; Malcolm Bennie, Strategic Lead – Communications, Culture, Communities & Facilities; Jim McAloon, Strategic Lead – Regeneration; Stephen West, Strategic Lead – Resources; and Alison McBride, Strategic People & Change Manager.

Mr David Smith 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 Joint Consultative Forum held on 5 December 2019 were submitted and approved as a correct record, subject to the undernoted paragraph being inserted in the item under the heading ‘Trades Unions Issues – VE Day/May Day’:-

- “(3) to note the view expressed by Mr Halfpenny that at the meeting of the Local Negotiating Committee for Teachers held on 18 June 2019 the teachers’ unions had only agreed to note the academic calendar for 2019/20 which reflected that the bank holiday would be moved to Friday, 8 May 2020 to coincide with VE Day but that they did not support this change.”

VARIATION IN ORDER OF BUSINESS

Having heard Mr Smith, Chair, the Forum agreed to vary the order of business as hereinafter minuted.

TRADES UNIONS ISSUES

Lack of Consultation on Shared Services for Fleet and Waste (item requested by GMB)

The Forum heard from Mr Wagner who expressed concern at the lack of updates or consultation in relation to Shared Services for Fleet and Waste.

In response, the Strategic Lead – Roads & Transportation stated:-

- (a) that a trades unions briefing had taken place in August 2019 in advance of a report being submitted to Council in relation to this matter and that a further meeting had taken place in December 2019 to discuss a shared management model for Fleet and Waste;
- (b) that it had been intended that a joint trades unions event would have taken place in January 2020, in advance of a report being submitted to the Council meeting on 4 March 2020, but that the trades unions had been unable to attend; and
- (c) that at the aforementioned Council meeting it had been agreed that a Shared Fleet and Waste Manager post would be created.

Following discussion and having heard the Strategic Lead in answer to Members’ questions, the Forum agreed:-

- (1) to note the update which had been provided;
- (2) to note the trades unions’ concerns in relation to the sharing of services and their now stated opposition to the sharing of any managers with other Councils;
- (3) to note that it was intended that more consultation events would take place with the trades unions, in addition to discussions at the appropriate joint consultative committee; and

- (4) to note that the post-holder of the new Shared Fleet and Waste Manager post would be employed by West Dunbartonshire Council.

ICT IMPROVEMENT

A report was submitted by the Strategic Lead – People & Technology providing an update on ICT changes and improvements over the last 24 months.

After discussion and having heard the Manager of ICT in further explanation of the report and in answer to Members' questions, the Forum agreed to note the contents of the report.

WORKING DAYS LOST DUE TO WORK-RELATED ACCIDENTS/ INJURIES

With reference to the Minutes of Meeting of the Joint Consultative Forum held on 5 December 2019, when concern had been noted at the increase in the number of working days lost due to work-related accidents/injuries in the period April to September 2019 in comparison to the same period in the previous year, from 280.93 days to 633.56 days, the HR Business Partner provided further information in a verbal update.

In so doing, she advised the Forum:-

- (a) that expressed as a percentage of total sickness absence there had been an increase of approximately 1% in the absence attributed to work-related accidents/injuries between the two periods, rising to 1.9% of the total;
- (b) that the absences reported in this category for the period April to September 2019 were attributed to 24 employees, four of whom were on long-term absences which accounted for approximately 534 of the 633 working days lost (84%);
- (c) that four of the long-term absence cases were in Community Health & Care, with Child Healthcare & Criminal Justice, Housing & Employability, and Environment & Neighbourhood each having one long-term case, and that the reasons for the absences included musculoskeletal (MSK) injuries, falls and injured wrists and fingers;
- (d) that the causes of the accidents were predominately slips, trips and falls (10 of the 24 cases) and were spread out across the services and so no clear trend could be determined for any particular service, with there being a variety of categories for the other cases including cuts, MSK injuries and soft tissue damage; and
- (e) that Community Health & Care had the largest number of cases (seven of 24) but that it should be borne in mind that this was one of the largest employee groups, with the remainder of the cases spread across a number of services.

The Forum agreed to note the update which had been provided.

TRANSFORMATION OF ONE STOP SHOPS AND LIBRARY SERVICES

The Citizen & Digital Manager provided a verbal update in respect of the consultation relating to the transformation of One Stop Shops and Library Services.

In so doing, he advised the Forum:-

- (a) that initial consultation meetings with employees had now been completed and very positive feedback had been received on the process;
- (b) that a list of Frequently Asked Questions had been provided to all employees in libraries and One Stop Shops;
- (c) that a new job profile had been drafted and would be shared with employees for feedback over the next two weeks, it being anticipated that the outcome of an evaluation would be shared with the staff group by the end of April 2020;
- (d) that training plans were being finalised and would be rolled out throughout April 2020;
- (e) that CCTV provision for libraries was being progressed through Asset Management and that it had been requested that systems be installed in time for the project going live;
- (f) that there were concerns at the condition of Clydebank Library due to water ingress which would be require to be rectified by 1 May 2020; and
- (g) that a Clydebank Town Centre Office (CTCO) Operations Group had been established to address the future uses of the office.

Following discussion and having heard the Citizen & Digital Manager and relevant officers in answer to Members' questions, the Forum agreed:-

- (1) to note the concerns expressed in relation to work having to be done to rectify water ingress at Clydebank Library so soon after its refurbishment;
- (2) that it may be helpful for the Forum to be given an explanation of how the Council determines what period of guarantee should apply to contracts involving building works; and
- (3) otherwise to note the update which had been provided.

URGENT ITEM OF BUSINESS – COVID-19

Mr Smith, Chair, invited the Strategic Lead – People & Technology to provide an update in relation to the Council's planning for the COVID-19 outbreak.

Having heard the Strategic Lead, the Forum noted:-

- (a) that the outbreak had now been classed as a pandemic by the World Health Organisation and that it was anticipated that nationally decisions would soon be taken to move from measures to contain the virus to measures to delay its spread;
- (b) that the Council was following Scottish Government, Health Protection Scotland and NHS Inform guidance in terms of emphasizing the importance of regular hand-washing for 20 seconds and good respiratory hygiene, particularly in educational establishments, and workforce briefings would continue to be issued and information shared with trades unions conveners;
- (c) that the Council's Strategic and Operational Resilience Teams had been stood up, had met on two occasions and would now be meeting on a weekly basis (or as required), and that the Health & Social Care Partnership's Local Resilience Management Team had similarly been stood up;
- (d) that ICT was readying itself to facilitate remote/home-working and that it was anticipated that advice to employees in this regard would be issued shortly; and
- (e) that the allocation of additional resources to critical/key roles and essential services in the Council was being assessed.

Following discussion and having heard the Strategic Lead and relevant officers in answer to Members' questions, the Forum agreed:-

- (1) to note that the current advice from Environmental Health on cleaning remained the same (the weekly cleaning of office buildings with schools requiring to be cleaned on alternate days and nurseries daily) but would be kept under review;
- (2) to note the present difficulties in procuring hand sanitizer but that the advice was that proper handwashing was the best way of removing bacteria from hands;
- (3) to note that consideration was being given to the continued use of biometric readers at the entrances to and within the Church Street office in Dumbarton but that robust security remained a key objective;
- (4) to note the concerns expressed by Mr Halfpenny in relation to a possible increase in non-contact time resulting from setting up Google Classroom lessons and that advice was expected to be issued by the Scottish Negotiating Committee for Teachers (SNCT) in this regard shortly; and
- (5) otherwise to note the position in respect of the Council's readiness.

The meeting closed at 3.00 p.m.

WEST DUNBARTONSHIRE COUNCIL
Report by Strategic Lead, Resources
Corporate Services Committee
09 September 2020

Subject: Grant Application

1. Purpose

- 1.1 The purpose of this report is to provide information on a grant application and to not recommend a grant from the Dumbarton Common Good Fund.

2. Recommendations

- 2.1 The Committee is asked not to agree the grant recommendation for funding as part of a larger 3 year project from Alternatives as per Appendix A.

3. Background

- 3.1 Dumbarton Common Good Fund (DCG) grants are administered by the West Dunbartonshire Council and are reported to the Committee as and when applications are received.
- 3.2 The value of fund as at 31 March 2020 was £0.438m. The budgeted net expenditure for 2020/21 is £0.118m. The projected value of the fund at the end of 20/21 is £0.320m. The Prudential Reserve target value for the fund is £0.025m.
- 3.3 The small grants budget available for 2020/21 currently sits at £0.007m,

4. Main Issues

4.1 Grant Applications

One application has been received requesting funding of £50,425, details are shown in Appendix A. Members should note that no award has been recommended due to the high level of financial reserves held by Alternatives. The effect on the project of no award from Dumbarton Common Good, as advised by Alternatives, is either a reduced programme of activities or a curtailed project length, possibly both.

- 4.2** Members should note that as the small grants budget for 2020/21 is £7,000, to date no award has been made in 20/21 from this budget. An award of the full grant value would require £43,425 to be funded from DCG reserves and reduce the projected value of the fund at the end of 20/21 from £0.320m to £0.277m
- 4.3** The organisation has reported reserves of £0.686m in their 2018/19 accounts and their latest bank balance shows reserves of £0.647m were held as of 10th March 2020. Information has been received detailing plans for the use of £0.200m of these reserves over 3 years for a wider project, including £0.058m noted above for this project. The remaining reserves £0.447m includes £0.315m operating reserve which may need to be used to offset an operation deficit due to Covid 19 and some plans are being developed for the remaining £0.132m to extend their safe house scheme. Additional information on the use of reserves and the other fund raising efforts of the organisation is detailed in appendix B. Due to the high value of reserves held it is recommended that no award is approved.

5. Option Appraisal

- 5.1** No option appraisal consideration was required for this report.

6. People Implications

- 6.1** There are no people implications.

7. Financial and Procurement Implications

- 7.1** The amount recommended to be paid from the Dumbarton Common Good Fund totals £0.

8. Risk Analysis

- 8.1** The Committee must consider financial and reputational risks when considering grant applications. The financial risk is not only that the Dumbarton Common Good Fund remains financially viable, but also that the organisations funded by the Fund comply with the Conditions of Grant which cover issues such as discrimination, health and safety, insurance, etc.

9. Equalities Impact Assessment (EIA)

9.1 No issues were identified in a screening of applications.

10. Environmental Sustainability

10.1 No environmental sustainability issues require to be raised in connection with this report.

11. Consultation

11.1 All organisations are consulted regarding recommendations of grant prior to the report being submitted to Committee.

Stephen West
Strategic Lead, Resources
Date: 25 August 2020

Person to Contact: Adrian Gray, Business Unit Finance Partner,
Corporate Functions
Telephone: (01389) 737838
E-mail: Adrian.gray@west-dunbarton.gov.uk

Appendices: Appendix A: Detail of application for assessment
Appendix B: Additional information regarding
Reserves position and other funding activity of
Alternatives.

Background Paper: Grant Application Form
Dumbarton Common Good Budget 2020/21 – Council
Report 15 June 2020

Wards Affected: Ward 1, 2 and 3

**Dumbarton Common Good Fund
for consideration on 9 September 2020
(2020/21)**

Organisation	Purpose of organisation	Purpose of grant	Grant Requested and Officer Recommendation
Alternatives	Helping those with a substance dependency to return to wholeness from chaos. We assist with all aspects of their recovery, including their employability. We source and refer them internally through our Community Workers, then support them through a full recovery process	Alternatives has 2 social enterprises, one a café, which they hope to expand. The other is a 15.5 acre site they plan develop into a mixture of a safe and therapeutic work placement opportunities, in horticulture and in wildlife habitat work and a nice place to be to improve clients' health and wellbeing. The grant would fund employing a member of staff to oversee and develop all of the above, supplemented by volunteers, as well as purchase some fencing, a poly tunnel, some shipping containers for secure storage, some plants and trees and some bulk materials for the horticulture operation. They also wish to buy in a programme of activities based on discovering wildlife and engaging with nature for our clients, delivered by an external specialist.	Project cost: £108,300 Group contribution: £57,875 Grant request: £50,425 Recommended: £0
Number of members	How often does it meet		Bank Balance and Accounts Balance
Up to 100	Weekly		Balance held in latest accounts received: £686,647 as at 31/03/19 Bank balance at 10/03/20 £647,539

**Dumbarton Common Good Fund
for consideration at Corporate Services Committee on 9 September 2020
(20/21)**

Additional information on Alternatives Reserves position

As reported in Appendix A the level of reserves held by Alternatives is £647,539 as at 10th March 2020. The OSCR recommended level of reserves for Alternatives is £315,000.

Alternatives Board of Directors has identified in its adopted Strategy 2020-25 three areas of sub-division:

- £200k allocation as c. 40% match funding towards the development of the wider social enterprise project, of which the Knowetop proposals form part – a £530k project across 3 years for work across West Dunbartonshire;
- £315k allocation as the OSCR recommended true reserve to safeguard the charity, representing 3 months' gross operating expenditure.
- An intention to employ the remaining £132.5k to develop/extend the very successful safe house scheme into the northern part of the patch, with a substantial portion of match funding from the reserve.

Alternatives have advised that their £315k reserve is under pressure this year due to Covid-19, as it is subsidising a trading loss on the safe house/scatter flat scheme. To date the value of the trading loss being subsidised is £95k.

Other funding activity being pursued by Alternatives in relation to this project

Other Funding requested:

Source Organisation	Amount Requested	Outcome
Garfield Weston Foundation	50,000	No award
Henry Smith Foundation	60,000	No award
Wolfson Foundation	50,000	No award
BBC Children in Need	10,000	No award
Glasgow Airport Flightpath Fund	5,000	No award
Volant Charitable Trust	10,000	Active application
Universal Credit Transition Fund	67,000	Active-Fund reclassified was £100k
Dumbarton Common Good	50,425	Active application
Bannister Trust	45,000	Active application
Central Scotland Green Network	12,500	awarded – Communities Growing Food Together Fund

In total Alternatives have applied for £393k in funding of which only £12.5k has been awarded so far, £208k has been refused and four active applications remain worth £172.5k (including DCG £50.5k).

Alternatives have reported that nearly all funding sources are diverting their attention to Covid recovery projects which is making it increasingly difficult to secure any funding.

WEST DUNBARTONSHIRE COUNCIL**Report by Strategic Lead – People & Technology****Corporate Services Committee: 17 September 2020**

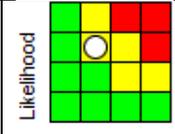
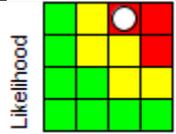
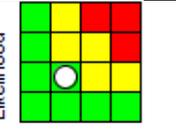
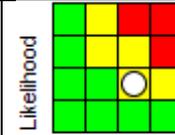
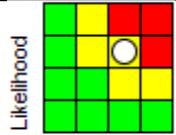
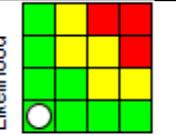
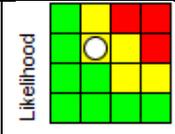
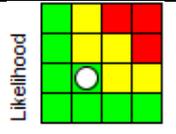
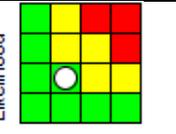
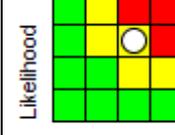
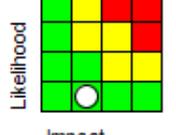
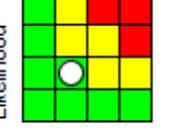
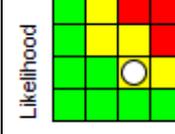
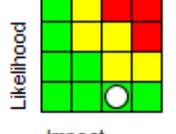
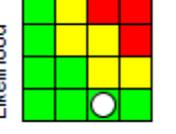
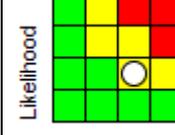
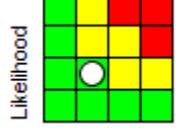
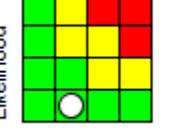
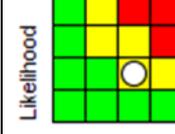
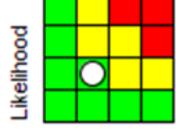
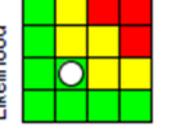
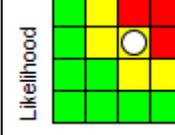
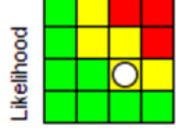
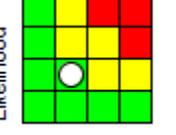
Subject: Strategic Risks 2017-22: bi-annual update**1. Purpose****1.1** To provide an update on the strategic risks for 2017-22.**2. Recommendations****2.1** It is recommended that the Committee note:

- The strategic risks as detailed at Appendix 1;
- The addition of a COVID-19 risk with associated operational risks and mitigation; and
- Supplementary EU Assurance Plan detailing operational risks as previously reported.

3. Background**3.1** The Council's strategic risk arrangements are now well-embedded. The appended risks were fully reviewed and added to in 2017 with re-assessment undertaken bi-annually before being reported to this committee.**4. Main Issues**Strategic Risk**4.1** In line with the Council's Risk Management Framework, a re-assessment of the strategic risks has taken place as detailed within Appendix 1. Each risk is managed through internal controls, linked actions and associated milestones with the objective being to reduce or stabilise the level of risk through completion of linked actions over a period of time and / or ensure mitigation factors are adequate should the risks actually materialise.**4.2** Table 1 represents a risk dashboard that includes information on the original, current and target ratings for each strategic risk, as well as an assessment of the current risk status. Each strategic risk is identified and supported by more detailed information available on a "drill-down" basis in Appendix 1. Nine Strategic Risks, associated actions and milestones are progressing as expected and likely to reach their assigned targets. SR001 is significantly off

target and is not likely to reach its intended risk outcome of low. The risk owner and this committee are aware of the current financial situation.

Table 1 Key Strategic Risk Information

Strategic Risk	Original Risk 2017	Current Risk 2019	Target Risk 2022	Risk Status Rationale
SR 001 Financial Funding.				
SR 002 School improvements.				
SR 003 Council Assets.				
SR 004 Information Technology.				
SR 005 Partnerships.				
SR 006 Citizens and Communities.				
SR 007 Health and Safety of Employees and Others				
SR 008 Cyber Attack.				

SR 009 Early Years Agenda.				
SR 010 Resourced Workforce.				
SR 011 EU Exit – no deal				
SR 012 COVID – 19				

Risk Methodology and Reporting

4.3 Each strategic risk is populated in Pentana in terms of the following template:

- Risk title and code;
- Description;
- Ownership;
- Potential effect;
- Measures of impact;
- Risk factors;
- Internal controls;
- Risk opportunity; and
- Linked actions.

4.4 Each risk has been scored using a “4 x 4” matrix for likelihood and impact in relation to:

- Current risk (with review dates set at pre-determined intervals); and
- Target risk (i.e. 31 March 2022 - the duration of the Strategic Plan).

The risk descriptors used in the “4 x 4” matrix are as follows:

Likelihood

<u>Score</u>	<u>Descriptor</u>
1	Unlikely
2	Likely
3	Very likely
4	Certain

Impact

<u>Score</u>	<u>Descriptor</u>
1	Minor
2	Moderate
3	Significant
4	Critical

- 4.5** For ownership, each strategic risk is “Managed By” a Strategic Lead and “Assigned To” a Service Manager. Strategic risks are reported on a bi-annual basis to the Performance & Monitoring Review Group and Corporate Services Committee.

Service Risk

- 4.6** Following the methodology in 4.3 to 4.4 above, each service has service owned operational risk registers in Pentana; these will be updated through the 2020/2021 service planning process.

4.7 COVID-19

The impact of COVID has resulted in the development of a significant number of procedures, assessments and mitigation to support the various Government initiatives and reduce the risk of spreading the virus among the workforce and local community as advised by Scottish Government, Health Protection Scotland and the Health and Safety Executive.

- 4.8** As a result, the Council has experienced significant COVID related budget spend across all service areas, in the region of £17m (note that this is detailed in the August Council report on COVID).

- 4.9** In respect of the strategic risk and consequent operational risks, four key areas have been identified and are listed below. Given the fluid nature of the response and recovery landscape, the operational risks remain in draft.

- Business Continuity - 3 risks (1 Amber and 2 Green);
- Communication - 2 risks (1 Amber and 1 Green);
- Finance – 2 risks - Workforce and linked to COVID absence, additional cover requirements and PPE – Supply chain/shortages (both Red);
- Protection & Perception - 5 risks (5 Green); and
- Other impacts - 14 risks (7 Amber and 7 Green).

4.10 EU Exit

SR011 EU no deal Exit has been assessed as high risk. This risk should stabilise over time once local impacts become clearer. There are 11 actions associated with SR011, with multiple owners, the complexity of which does not sit well within the Council’s monitoring system (Pentana). To avoid duplication, the established reporting to government agencies in the form of the previously reported EU Exit plan will be utilised for reporting changes to

this committee as required. SR011 is monitored by the Strategic EU Exit Group, a sub group of the Resilience Group.

- 4.11** The Scottish Government planning assumptions are derived from the UK planning assumption but have been further developed to identify the Scotland level of impacts of a no deal UK Exit. The key risks to the Council have been identified as disruption of services, workforce, and congestion at sea and air ports, concerns around the supply of medicines, all potentially impacting locally. Finally there is concern around the supply of and consequently, a rise in the cost of food. While there are other risks identified in the EU Exit Assurance action plans. The aforementioned risks are deemed high.
- 4.12** The Council's Resilience Group continues to work with the Civil Contingencies Service (CCS) in examining risks and potential impact on services associated with Britain's exit from the EU and seeking appropriate mitigation where available. To compliment this, there is frequent liaison with multi-agency partners to ensure a shared understanding of the risks arising locally, regionally and nationally. The Council's EU Exit Assurance Action Plan is based on the National Planning Assumptions of reasonable worst-case scenarios and is a live document with updates made as required. This plan is available on the Council website.

5. People Implications

- 5.1** There are no people implications associated with this report.

6. Financial and Procurement Implications

- 6.1** There are no financial and/or procurement implications.

7. Risk Analysis

- 7.1** Failure to progress on risk management is likely to result in the Council being criticised by External Audit for not having an integrated approach to embedding risk management within the authority with the result that a "no scrutiny required" status will not be achieved.
- 7.2** Progressing with risk management will demonstrate that the Council is taking ownership of risk management so that effective measures will be put in place for the management of risk. The ability to demonstrate risk ownership should benefit the Council in terms of:
- Understanding risk and its potential impact on the Council's priorities and objectives;
 - Reducing insurance premiums going forward by recognising that a mature approach to risk management will contribute to a reduction in the number

- and value of claims across a range of insurance classifications;
- Contributing towards incident prevention based upon post-incident investigation;
- Meeting statutory/regulatory requirements; and
- Ensuring better partnership working with external and internal partners.

8. Equalities Impact Assessment (EIA)

8.1 An equalities screening was undertaken that identified no impact on a particular protected group.

9. Consultation

9.1 The strategic risks have been discussed with the Strategic Leads and Directors.

10. Strategic Assessment

10.1 At its meeting on 25 October 2017, the Council agreed that its five main strategic priorities for 2017 - 2022 are as follows:

- A Strong local economy and improved employment opportunities;
- Supported individuals, families and carers living independently and with dignity;
- Meaningful community engagement with active empowered and informed citizens who feel safe and engaged;
- Open, accountable and accessible local government; and
- Efficient and effective frontline services that improve the everyday lives of resident

10.2 The strategic risks have been identified to complement the main strategic priorities.

Name: Victoria Rogers
Designation: Strategic Lead People & Technology
Date: 24 August 2020

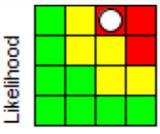
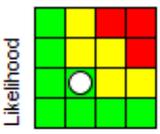
Person to Contact: John Duffy (Section Head) Risk and Health & Safety.
 Telephone 01389 737897
john.duffy2@wdc.gcsx.gov.uk

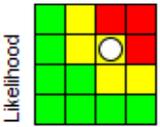
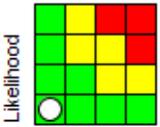
Appendices: Appendix 1: Detailed Strategic Risk List

Background Papers: Report to Council on 25 October 2017 - West
 Dunbartonshire Council Strategic Plan 2017-22
 Risk Management Framework

Strategic Risk Report

Generated on: 24 August 2020

SR 001				
	SR 001 Significant financial funding reductions from Scottish Government	Current Risk Matrix	Current Rating	Last Review Date
Description	The Council is faced with significant ongoing funding reductions from the Scottish Government. Austerity is expected to continue for a number of years into the future and likely to result in funding reductions. This coincides with a period where costs are expected to rise in relation to Social Care due to aging population and capped powers to raise funds through Council Tax.		12	15-Jul-2020
Potential Effect	Shortfall in finances and therefore the Council is unable to provide all services as intended.		4	31-Mar-2022
Measures of Impact	<ul style="list-style-type: none"> - Reduction in government grant - Demographic change (population decline/growth, aging population) - Savings required including cutting level and/or quality of service provision - Increased Debt (collection of Council Tax, HRA rents, etc) 	Latest Note	Given the impact of covid-19 on the UK economy, together with continuing reducing share of Scottish population living in West Dunbartonshire, it is now expected that it is certain that there will be reduced funding availability from the Scottish Government in 2021/22	
Risk Factors	<ul style="list-style-type: none"> - Level of government grant - Lack of time to plan for changes in the level of grant funding - Welfare reform - General inflationary factors - Significant additional burdens - Capital receipts 			
Internal Controls	<ul style="list-style-type: none"> - 10 year Financial Strategy subject to regular review - Monitor and maintain General Services and Housing Revenue Account prudential targets - Reporting and monitoring of Treasury Management Strategy - Budgetary control process - Regular budgetary control and savings monitoring reports provided to CMT and Council / committees - Rigorous debt collection processes - Annual Internal Audit Plan - Work of External Auditors (external control) - Annual Governance Statement - Procurement Improvement Plan 	Managed By	Stephen West	
		Assigned To	Gillian McNeilly	
Progress of Linked Actions				
Risk Opportunity	<ul style="list-style-type: none"> - Annual exercise to identify efficiencies - Projects to implement new ways of working (e.g. commercialisation, asset management) - Enhance the reputation of the Council as an organisation which manages its finances soundly 			
SR 002				
	SR 002 Failure to implement broad-ranging school improvement to raise attainment and achievement	Current Risk Matrix	Current Rating	Last Review Date

Description	This risk concerns the delivery of excellence and equity for our young people to support them to attain and achieve at the highest level. In particular, it is aimed at bridging the attainment gap and breaking the cycle of disadvantage. This also includes the focus on intervention at early years to improve life chances at all points on the learning journey. A key driver is the Council's participation in the Scottish Attainment Challenge which will be delivered over 4-years from 2015. Year 3 commenced in April 2017 and will bring together the workstreams to deliver a self improving school system programme.	 Likelihood Impact	9	31-Jul-2020
		Target Risk Matrix	Target Rating	Target Date
Potential Effect	The national expectation for education would not be delivered. Improved outcomes for young people would not be attained and achieved. The Council would fail to meet the needs of individual learners. The Service would fail to bridge the attainment gap and break the cycle of disadvantage. The Council would fail in its legal duty for the education of young people within West Dunbartonshire. There would be reputational damage to the service and the wider Council. There would be a lack of income generation from external funding sources.	 Likelihood Impact	1	31-Mar-2022
Measures of Impact	Examination results - HMIE inspection reports - validation reports - stakeholder feedback - local learning community attainment data - control group model - small test of change model - risk matrix model - bespoke model of intervention for young people and families at early stages to improve on attendance/lateness; social and emotional health; supports for mental health issues; parenting/behaviour management skills and early linguistic & cognitive development - pre/post intervention assessment - increased expectation of raising attainment being the responsibility of all - school to school collaboration with locally initiated bottom-up enquiry - higher level of STEM subject uptake in secondary schools - increased numbers of learners entering STEM related career pathways - standardised literacy and numeracy tests	Latest Note	National data collection cancelled for session 2019/20 due to COVID. Project implementation delayed due to COVID. A revised equity plan under development as part of the Education Recovery Plan.	
Risk Factors	Staff resources - adequate funding for projects - workforce development - effective leadership - accurate and timely data collection - accurate and timely reporting - effective communication with partners and external agencies - disrupted learning - staff absence - pupil absence - adapted model of delivery to ensure safety - limiting curriculum flexibility - learning style flexibility - impact of COVID on social and emotional wellbeing - risk to funding streams			
Internal Controls	Raising Attainment Strategy Project management by Service Manager Raising Attainment Project Board (led by Chief Education Officer) Termly progress reports submitted as part of Educational Service committee reports Relevant CPD programme to support education staff Meetings between WDC and Education Scotland/HMIE BGE Attainment and Performance Data School Improvement Literacy, Numeracy and HWB Steering Group National Improvement Framework (NIF) Education Recovery Plan	Managed By	Laura Mason	
		Assigned To	Julie McGrogan	
Progress of Linked Actions	E/1920DP/02DEI Develop and Deliver Educational Improvement Across West Dunbartonshire			Andrew Brown; Julie McGrogan
Risk Opportunity	Improved attainment - improved attendance - reduced exclusions - reduced violent incidents - reduction requirement for targeted support over time - reduction requirement for specialist placements over time - improved learning & community engagement - children/pupils at risk identified earlier and more effectively - more empowered community providing			

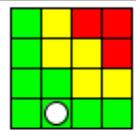
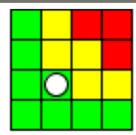
self-sustaining peer support - increase in the percentage and range of positive destinations over time - increased access to digital learning resources

SR 003

	SR 003 Councils Assets	Current Risk Matrix	Current Rating	Last Review Date
Description	Risk: That the Council's assets and facilities are not fully fit for purpose with consequent adverse impact on our ability to deliver efficient and effective services. Assets included in this assessment are; the Council's property portfolio, housing stock, roads and lighting, fleet and open space		4	24-Jul-2020
Potential Effect	<ul style="list-style-type: none"> - Assets are not utilised in the most effective and efficient manner - Service cannot be properly delivered to the satisfaction of service users - Service users seek alternative service provision - Increase in reactive maintenance costs - Roads assets in poor conditions - Assets fail to meet relevant standards 		4	31-Mar-2022
Measures of Impact	<ul style="list-style-type: none"> - Condition surveys - Suitability surveys - Road Condition SPI - Customer perceptions of service delivery - Investment levels in upkeep and improvement of asset base and facilities - Staff satisfaction - Operating costs and savings 	Latest Note	The managers responsible for Council Assets have reviewed this risk in relation to current asset condition and the score at present should remain unchanged. Ongoing investment and control measures remain in place with appropriate asset management plans. Cautionary note that this risk may increase should there be a lack of maintenance and investment funds as this will have an impact on asset conditions and their suitability to meet the standards expected. July Update, although budgets and asset management plans remain in place for management of Council Assets, it should be noted that COVID has impacted early year progress on programmes but not to the extent that would adversely affect the risk.	
Risk Factors	<ul style="list-style-type: none"> - Adequacy of funding available to improve asset base - Adequacy of staff resources allocated to the area of asset management - Council buildings deemed to be unfit for existing purpose - Economic conditions may reduce level of potential capital receipts from surplus property sales - Over one third of the road network is in need of repair and the current long term capital funding only sustains a steady state condition of the road network - Increased public liability claims due to poor condition of roads network 			
Internal Controls	<ul style="list-style-type: none"> - Corporate Asset Management Strategy - Schools Estate Strategy - Capital Investment Team - Existence of Asset Management Group with meetings held on a regular basis - Property Asset Management Plan - HRA Capital Investment Programme - Capital plan - Roads and Lighting Asset Implementation Plan - Fleet Asset Implementation - Open Space Asset Implementation Plan - Detailed asset database that shows relevant information on a property by property basis - Sustainability Policy - Housing Improvement Board - Housing Improvement Plan - 	Managed By	Richard Cairns	
		Assigned To	Craig Jardine; Michelle Lynn; Gail Macfarlane; Jim McAloon; Alan Young	

	Housing Asset Management Strategy			
Progress of Linked Actions				
Risk Opportunity	<ul style="list-style-type: none"> - Enhance reputation of Council by being able to improve Council - Estate, assets and service delivery (e.g. new school buildings, operational building upgrades, office and depot rationalisation projects, housing investment programme to meet SHQS/ESSH, roads upgrade programme, vehicle replacement programme, greenspace upgrade projects) - Enhance employee "feel good" factor by providing modern office accommodation equipped with up to date IT facilities - Secure external funding for development of assets (e.g. EC, lottery, Historic and Environment Scotland) - Prioritised Building Upgrade Plan - The continued implementation of the energy efficient street lighting project will both improve the asset and reduce costs significantly through reduced maintenance, energy consumption and carbon output. - The effect of these energy efficiencies has demonstrated that significant savings and environmental benefit can be achieved through the utilisation of developing technology. 			

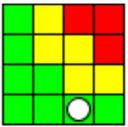
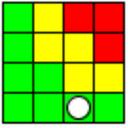
SR 004

	SR 004 Information Technology	Current Risk Matrix	Current Rating	Last Review Date
Description	Failure to keep pace with changing technology environment during periods of austerity and supplier rather than business led change	 <p style="font-size: small;">Likelihood</p> <p style="font-size: small;">Impact</p>	2	08-Jul-2020
		Target Risk Matrix	Target Rating	Target Date
Potential Effect	A lack of consistent, sufficiently robust planning in respect of ICT arrangements is likely to result in the Council being ill prepared to meet future demands in key service areas and lacking the capacity to respond effectively to changing need.	 <p style="font-size: small;">Likelihood</p> <p style="font-size: small;">Impact</p>	4	31-Mar-2022
Measures of Impact	<ul style="list-style-type: none"> - Degree of compliance with security controls to prevent data loss through poor o/s patching, cyber attack, firewall configurations etc - Extent of wireless connections in the Council network – all schools and refurbished Office accommodation complete - Number of ICT Help Desk calls resolved within half day - exceeding target of 35%. Target was increased. - Extent of functionality development in key Council systems (i.e. lack of development beyond base system leading to ineffective management information) – several channel shift projects delivered and more are in progress Workforce mgnt self service, increased volume of web and intranet traffic, streamlined financial and purchasing processes, document management. - Fit for purpose Council website, delivering information and services to a significant percentage of the Council's customers. - Provide efficient desktop services to meet changing workforce flexibility and property rationalisation requirements. Thin client deployment complete in corporate estate and started in Education. 5-year Device replacement programme in place. - Implementation of mobile and flexible working, enabling a downsizing of required office accommodation through enabling people to work more efficiently and to adopt a more flexible policy towards office accommodation and desk provision. Bridge St, Aurora, CTCO, Municipal, Church St complete. - Broadband speed in the Council area - WDC has 2nd highest 	Latest Note	WDC is continuing to invest in and embrace new technologies.	

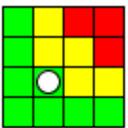
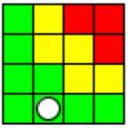
	broadband speeds in Scotland. Investigating funding options for fibre network.			
Risk Factors	<p>Insufficient resourcing of ICT developments so that benefits and opportunities identified are not realised</p> <ul style="list-style-type: none"> - poor network security controls implemented. lack of intrusion detections alerts, failure to respond to audit / PSN test findings and recommendations, insufficient resources allocated to security tasks. Service redesigned and resources aligned to security tasks and improved monitoring processes and tools implemented. - Poor project and programme change management arrangements. - Poor quality of mobile communication provision. - Poor uptake on channel shift 			
Internal Controls	<ul style="list-style-type: none"> - Capital programme established for technology refresh projects - Information & Communication Technology (ICT) Policy - Governance structures such as ICT Steering Board, Education ICT Steering Board, Digital Transformation Board in place to support integrated planning and decision making in relation to ICT - Use of both internal IT resources from across the Council and skilled specialist advisers in key areas - Fit for purpose data centre (with remote back up site). New shared data centre went live in Dec 2014 and new WDC data centre live January 2018. WDC and EDC are taking a lead role on data centre sharing across Scotland 	Managed By	Victoria Rogers	
		Assigned To	James Gallacher; Patricia Kerr; Brian Miller	
Progress of Linked Actions	P&T/2021/ICT/01 Deliver a secure and resilient IT Infrastructure		<input type="text" value="16%"/>	Patricia Kerr; Victoria Rogers
	P&T/2021/ICT/01 surplus action keep for milestones at present Transformation & Channel Shift		<input type="text" value="0%"/>	Patricia Kerr
	P&T/2021/ICT/02- surplus action keepfor milestones at present Implement ICT Service Improvements		<input type="text" value="0%"/>	Patricia Kerr
	P&T/2021/ICT/02 Technologies to Support ICT Service Delivery Improvements		<input type="text" value="0%"/>	Patricia Kerr; Victoria Rogers
	P&T/2021/ICT/03 Process Changes to Support ICT Service Delivery Improvements		<input type="text" value="25%"/>	Patricia Kerr; Victoria Rogers
Risk Opportunity	<ul style="list-style-type: none"> -COVID-19 has increased the number of users and services working remotely. several manual processes amended and driving process reviews across the Council. - rapid deployment of conferencing technologies has helped drive demand and give visibility to importance and suitability of digital technologies and processes - annual network penetration tests - Annual PSN compliance audit - Annual External Audit on ICT Controls - Continued investment and Modernisation of ICT infrastructure and its focus on network security and resilience. - Provide 21st century state of the art technology for employees and service users - Rationalise IT systems - Use of innovative IT linked service delivery models to effect change - Provide Council employees with secure access to email and supporting systems at times and locations of choice Increased use of mobile devices eg tablet devices and mobile phones. - Provide self service style systems to employees and the local community 			

SR 005

	SR 005 Partnerships	Current Risk Matrix	Current Rating	Last Review Date
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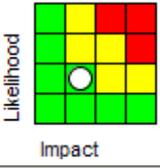
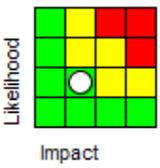
Description	The Council fails to engage adequately with partnership bodies		3	01-Jul-2020
		Impact		
Potential Effect	failure of partnership impacts on Councils obligations under Community Empowerment Act		3	31-Mar-2022
		Impact		
Measures of Impact	partnership response to COVID19 Successful delivery of LOIP and supporting plans positive partnership inspections	Latest Note	As per previous assessment, this risk is unlikely as a result of the significant range of partnership arrangements in place	
Risk Factors	-COVID19 response is agency specific and leads to gaps and missed opportunities - inability to deliver improved outcomes which require strong partnership activity - Council's reputation is adversely affected through a failed partnership arrangement			
Internal Controls	- Robust partnership arrangements through community planning partnership - Align the Council's strategic plan with the Local Outcome Improvement Plan (LOIP) - Ensure that partners have signed up to deliver on the outcomes and targets set in the LOIP - Develop data sharing protocols with partner agencies - Participate in reform agenda as it impacts on Council area	Managed By	Amanda Coulthard	
		Assigned To	Amanda Coulthard	
Progress of Linked Actions				
Risk Opportunity	- Position West Dunbartonshire as a modernising Council			

SR 006

	SR 006 citizens and communities	Current Risk Matrix	Current Rating	Last Review Date
Description	The risk is that the Council does not establish or maintain positive communications with local residents and the communities it represents		4	21-Jul-2020
		Impact		
Potential Effect	- Tensions develop with citizens and local community groups -reputational damage to council services -lack of trust in service provision		2	31-Mar-2022
		Impact		
Measures of Impact	- informed and engaged citizens participating in consultation activity - telephone survey monthly, quarterly and annual measures -increased social media engagement and reach	Latest Note	risk assessed with an increase in likelihood to reflect the current changing landscape for service delivery. the scale and pace of change makes it more	
Risk Factors	pace of change in response to COVID19 means services may not			

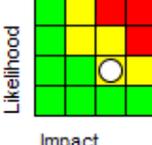
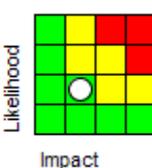
	<p>be communicating fully and effectively citizens may be suffering from information overwhelm and not engage in the high volume of updates being shared by services Services are having to change and update plans in response to new information - meaning it can be difficult to keep up with current position and ensure the message is shared</p> <p>Lack of appropriate staff development / skills may be lacking to support new model of service delivery inequity of engagement across the partnership on key local issues council seen as unresponsive to community if feedback from engagement not acted upon apathy within communities leads to little or no engagement some community groups feel their voices are not being heard</p>		<p>likely that not all change will be fully communicated in a timely manner.</p> <p>this risk will be reassessed in 6 months and will likely reduce in score at that point.</p>
Internal Controls	<ul style="list-style-type: none"> - Ensure robust mechanisms for public feedback (Embedding the Strategic Engagement Framework) - Annual budget consultation events - Citizens Panel - Open Forum questions at Council meetings - continue to deliver 4 issues of housing news each year - delivery of effective communications and public information through social media - use of telephone survey 	Managed By	Malcolm Bennie
		Assigned To	Amanda Coulthard; Amanda Graham
Progress of Linked Actions			
Risk Opportunity	<p>citizens are more comfortable with the digital platform as a result of the enforced cessation of face to face services - this presents an opportunity to modernise communication</p> <p>Community Empowerment Act participation requests asset transfer</p>		

SR 007

	SR 007 Health and Safety of Employees and Others	Current Risk Matrix	Current Rating	Last Review Date
Description	Failure to meet the Council's duty to protect the health, safety and welfare of its employees and other people who might be affected by its business, either in the provision of an effective health and safety management system or in ensuring adherence to that system as part of an embedded health and safety culture.		4	06-Aug-2020
Potential Effect	Risk of an employee, service user, pupil (young person) or member of the public being seriously / fatally injured by fault of the Council. There are various risks associated with the outcome: reputational risk regarding negative publicity; financial risk in terms of claims management compensation to the injured party; risk of prosecution by the HSE resulting in a fine or , , Strategic Leads/Directors / Chief Executive being subject to criminal charges.		4	31-Mar-2022
Measures of Impact	Time and cost associated with in-house/HSE investigation. Service delivery impact in terms of injury-related absence and potentially enforced cessation of work activities. Impact of legal proceedings, in terms of costs, potential reputational damage and, worst case, risk of criminal charges.	Latest Note	No change to this risk, preparations ongoing to support workforce in returning to work through a planned process due to Covid. A number of supports developed for this such as generic risk assessments, checklists and a supporting webpage	
Risk Factors	Resources, robust policies and practices, adequate H&S strategy.			
Internal Controls	<ul style="list-style-type: none"> • Council has in place a robust H&S policy and strategy (and 	Managed By	Victoria Rogers	

	<p>separate Fire Risk Management Strategy) that includes service specific health and safety plans, duties and responsibilities for Strategic Directors, Strategic Leads, managers and employees.</p> <ul style="list-style-type: none"> • Adequate H&S resources in place to fulfil statutory obligations in terms of the Health and Safety at Work etc. Act and the Management of Health and Safety at Work Regulations. • Embedded H&S culture that discusses H&S issues at a top level and cascades throughout the organisation through the health and safety committee system. • Monthly reports to PaMG on organisational safety performance. • Each link H&S Officer attends Service Strategic Lead meeting to report on service safety performance • Services have H&S committees at Service and Directorate level. • Workplace inspection and audit programme. • Service risk profiling. • H&S training needs analysis for every employee group. • Toolbox talks take place at directorate level. • The Council has in place a Trade Union Health and Safety Partnership Agreement. • Council promotes health and safety training for TUs to diploma level. 	Assigned To	John Duffy; Alison McBride	
Progress of Linked Actions	P&T/2021/H&S/01 Embed an organisational health and safety culture though extending organisational use of Figtree and understanding of health & safety		<input type="text" value="0%"/>	Alison McBride
Risk Opportunity	Demonstrate to committees, elected members, Trade Unions, employees, the community and other external partners of robust H&S culture.			

SR 008

	SR 008 Threat of Cyber-attack	Current Risk Matrix	Current Rating	Last Review Date
Description	Data, systems and/or infrastructure are impacted as result of security attacks which are increasing in number at a time when this threat is already placing demands on resources to deliver increased levels of security controls.		6	08-Jul-2020
Potential Effect	<ul style="list-style-type: none"> • Disruption of Services impacting service delivery to citizens • Loss of Data • Staff and Citizen data loss with the potential for misuse such as identity fraud 		4	31-Mar-2022

	<ul style="list-style-type: none"> • Mis-information being delivered to the public via WDC communication channels • Potential for significant fines currently under the Data Protection Act and from May 2018 under the provisions of the General Data Protection Regulations • Reputational damage • Redirection of resources to deal with the effects of an attack and away from BAU work 			
Measures of Impact	<ul style="list-style-type: none"> • Recorded attempts from external sources to breach council cyber defences • Recorded cyber related incidents in the Cyber incident log • Quantity of breaches/incidents reported to the Information Commissioners Office • Fines levied for breaches 	Latest Note	<p>Achieved annual PSN compliance certification in Feb 20. Review of Cyber Action plan in progress and updates and action plan reported to ICT Steering board. Audit of Cyber controls in progress q1 2020-21.</p> <p>Cyber threats continue and responding promptly continues to be a critical focus for ICT team.</p>	
Risk Factors	<ul style="list-style-type: none"> • Inappropriate Cyber defences at the perimeter of the council networks • Inappropriate delivery of security patches to desktop and server estates • Compliance with security standards such as PSN, PCI, Public Sector Action Plan on Cyber resilience for Scotland • Continually changing threat landscape • Maintaining relevant skill sets among staff group/cost of securing expert resources 			
Internal Controls	<ul style="list-style-type: none"> • Implementation of internal Policies on Patching and hardware/software hardening and expanded during COVID to patch thin build devices remotely. • Annual PSN compliance audit including a comprehensive IT Health Check • Governance structure in place, ICT Steering Board consisting of senior management and relevant stakeholders meeting bi-monthly or as required in response to incidents/events • Programme of Internal and External ICT audits • PCI working group • Information Security/Data Protection forum • Multiple layers of Cyber defences Network Segration • Rolling programme of security awareness sessions 	Managed By	James Gallacher; Patricia Kerr; Brian Miller	
		Assigned To	Iain Kerr	

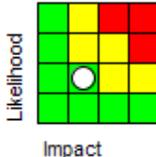
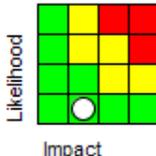
	<ul style="list-style-type: none"> • Interagency and cross Council working groups and sharing. • National Digital Office / Scottish Government Public Sector Security programme and guidance 			
Progress of Linked Actions	CS/IAAP/519 1. Underlying Technical Controls required to facilitate automatic failover to DR site still to be configured/tested			Patricia Kerr
	CS/IAAP/520 2. DR Plans for the main telephony delivery systems have yet to be implemented/tested			Patricia Kerr
	CS/IAAP/521 3. Systems without parallel DR arrangements are not fully tested			Patricia Kerr
	CS/IAAP/525 7. Lack of formal DR testing schedule at primary DR site			Patricia Kerr
	P&T/2021/ICT/01 Deliver a secure and resilient IT Infrastructure			Patricia Kerr; Victoria Rogers
	P&T/2021/ICT/01 surplus action keep for milestones at present Transformation & Channel Shift			Patricia Kerr
	P&T/2021/ICT/02- surplus action keepfor milestones at present Implement ICT Service Improvements			Patricia Kerr
	P&T/2021/ICT/02 Technologies to Support ICT Service Delivery Improvements			Patricia Kerr; Victoria Rogers
	P&T/2021/ICT/03 Process Changes to Support ICT Service Delivery Improvements			Patricia Kerr; Victoria Rogers
Risk Opportunity	<ul style="list-style-type: none"> • Increase Cyber resilience and awareness for staff, members and citizens • Contribute to Scottish Government Public Sector Action Plan on Cyber resilience for Scotland • Upskill staff to address current and emerging threats • Increased staff awareness across Council 			

SR 009

	SR 009 Failure to deliver the Early Years Agenda	Current Risk Matrix	Current Rating	Last Review Date
Description	This risk concerns an increase in entitled hours which the Scottish Government is planning to provide for early years children, from 600 to 1140 hours by 2020. In project management terms this is a complex piece of work of products, demanding timescales and dependencies across its duration. The timescales for delivery will be revised by the Scottish Government due to the closure of ELC's and impact of COVID-19.		6	05-Aug-2020
Potential Effect	Reputational damage Failure to meet the Scottish Governments delivery plan to increase free ELC hours Children would not receive the best start in life Failure to meet our statutory duties Partner providers may be adversely affected		3	31-Mar-2022
Measures of Impact	Care Inspectorate standards Key project milestones Scottish Government requirements Parental expectations Key personnel positions	Latest Note	The decision on the delivery of the statutory entitlement of 1140 hours will be revised by the SG by December 2020. Council will be given a	

Risk Factors	Maintaining level of Scottish Government investment Availability of contractors within project timescales Recruitment of suitable staffing for centres Creation of flexible delivery model Staff engagement with the Early Years Strategy Quality of communication with parents and staff Successful transition to new delivery model Impact of closure due to COVID-19 will delay some projects Funding flexibility will delay some project until April 2021		six month lead in time for statutory delivery of the increased hours.
Internal Controls	Reports to Education Services Committee Early Learning and Childcare Strategy 2016 - 20 Care Inspectorate Children and Young Peoples Act (S) 2014 Education Governance Board Revised implementation plan for recovery Revised DLO building programme of works for outstanding projects Early Years Implementation Board Financial reports - budget monitoring and review Inter departmental working Partnership SLA's Workforce Development Change Board updates	Managed By	Laura Mason
		Assigned To	Kathy Morrison
Progress of Linked Actions	E/1920DP/11EYS Deliver the Early Years Strategy		 100% Kathy Morrison
Risk Opportunity	Parents and children will receive a more flexible childcare service Greater opportunities to tackle the impacts of inequalities on the very young and vulnerable children Improvement in quality assessment and moderation and interactive play-based methodologies across the Early Level Accessible provision will play a vital role in reducing the poverty related attainment gap through high quality early learning and childcare Opportunities for professional learning to meet the standard required		

SR 010

	SR 010 Ensure an appropriately resourced workforce.	Current Risk Matrix	Current Rating	Last Review Date
Description	Failure to ensure that there is an appropriately resourced workforce in place to meet future organisational needs, either in effectively executing the Council's 2017-22 Workforce Plan, or in ensuring that the Plan is adapted over time if and when earlier assumed circumstances change.		4	06-Aug-2020
Potential Effect	<ul style="list-style-type: none"> - Low staff morale - Inability to deliver services effectively - Reduced level of service - Lack of improvement or increase in staff absences - Council underachieves as an organisation - Employee conflict 		2	31-Mar-2022
Measures of Impact	<ul style="list-style-type: none"> - Access to and participation of employees in learning and development activities - Absence rate and trends - Employee turnover - Grievance, discipline and other monitoring information - Employee survey results and associated actions - Reports from external scrutiny bodies and award bodies - Benchmarking with appropriate comparators 	Latest Note	Workforce planning has developed well alongside service delivery planning. This has been supported by better use of data in this area to inform decision making via the use of the console and the wellbeing dashboards.	

Risk Factors	<ul style="list-style-type: none"> - Lack of appropriate development / shortage of skills may pose a risk to new models of service delivery - Lack of capability to deliver - Workforce unable to adapt to change 		<p>The workforce were surveyed around home working to ensure we are supporting and ensuring the resources required are in place to support service delivery. This has ensured wellbeing resources have maintained a holistic approach in supporting the workforce.</p> <p>In addition a number of workforce planning activities around work style and isolation monitoring during Covid has allowed us to operate a volunteer supply list to priority areas requiring additional support.</p>	
Internal Controls	<ul style="list-style-type: none"> - HR processes designed to meet service delivery needs - Develop new structures to reflect strategic priorities and aligned to Future Operation Model (FOM) - Align workforce plan to the Council's strategic planning processes (i.e. have the right people available at the right time with the right skills to fulfil properly all of the Council's strategic priorities) - Periodic review of pay arrangements in accordance with EHRC guidance (currently every 3 years) - Incorporation of succession planning into workforce planning framework - Identify training programmes to reskill staff as identified by training needs analysis - Effective use of SWITCH to support alternative careers - Flexible HR policies, in particular recruitment & selection, learning & development (including elearning), continuous improvement / development flexible working, attendance management, employee wellbeing related policies - Effective use of Occupational Health Service - Robust Be the Best Conversations process - Effective leadership and management behaviours and practice 	Managed By	Victoria Rogers	
		Assigned To	Alison McBride	
Progress of Linked Actions	P&T/1920/SHR/02 Review and relaunch the Council's Employee Wellbeing Strategy.		 100%	Alison McBride
	P&T/1920/SHR/04 Continue to embed the Council's Strategic Workforce Planning Framework with a particular focus on the impact of digital skills		 100%	Alison McBride
Risk Opportunity	<ul style="list-style-type: none"> - Identify previously unknown skills and talents in the workforce - Realise the potential of staff 			

Risk Status	
	Alert
	High Risk
	Warning
	OK
	Unknown

WEST DUNBARTONSHIRE COUNCIL**Report by Strategic Lead – People and Technology****Corporate Service Committee: 9th September 2020**

Subject: Agreement between West Dunbartonshire Leisure Trust (WDLT) and West Dunbartonshire Council (WDC) to support suitable employment with an associated employer.

1. Purpose

- 1.1** The committee are being asked to approve the attached agreement (Appendix 1) which outlines a reciprocal agreement between West Dunbartonshire Leisure Trust (WDLT) and West Dunbartonshire Council (WDC) to support suitable employment with an associated employer.

2. Recommendations

- 2.1** It is recommended that the committee approve the attached agreement noting the main considerations associated with it.

3. Background

- 3.1** WDC and WDLT are separate employers and accordingly, there is no legal obligation to redeploy across employers. However, it is recognised that some decisions made by WDC can have an impact on the service provision of WDLT and in some instances result in organisational change.
- 3.2** The attached agreement was developed in partnership with the relevant trade unions with the sole purpose of supporting security of employment across WDLT and WDC when there is an opportunity to do so.

4. Main Issues

- 4.1** Through discussions at the convenors meetings, managers, trade unions and HR were in agreement that it would be a welcome practice to support employees in WDLT or WDC to secure employment with the other associated employer where possible, reducing the potential risk of redundancy.
- 4.2** The attached process (appendix 1) was developed in partnership to ensure a fair and consistent approach to exploring employment as associated employers.
- 4.3** It is understood that, in the main, this process is likely to be supporting displaced WDLT employees to secure potential employment opportunities

within WDC, however there is also the potential for WDC employees to be supported into WDLT roles and therefore this is a reciprocal agreement.

- 4.4 WDC and WDLT have separate but similar Organisational Change and SWITCH procedures which are supported by HR connect and strategic HR. This framework allows for a joined up approach when extending this support to identify suitable employment with an associated employer.
- 4.5 In general terms the attached procedure sits alongside the current SWITCH process for both employers and supports employees to access vacant roles prior to them going out to open recruitment.
- 4.6 All displaced employees will initially be managed in line with their own Organisational Change and SWITCH processes. However when considering redeployment, employees will also be given access to the redeployment opportunities available within the partner organisation to enable other employment possibilities to be considered.
- 4.7 It is an explicit requirement of the proposed agreement that both WDC and WDLT will determine (and exhaust) any suitable redeployment opportunities within their own organisations before exploring suitable roles with the associated employer. Furthermore, employees will be given priority access to vacant roles within their substantive organisation i.e. employment to the council will only be offered to a WDLT employee in the event that no displaced WDC employee is available or eligible for the role.
- 4.7 If an offer of employment is supported, employment with one organisation will end and a new employment with the partner organisation will commence. In line with the Redundancy Payment (Local Government) (Modification) Order 1999 (as amended) in this instance there will be no entitlement to a redundancy payment. This is also the case where the new employment starts within four weeks of the end date of the previous employment.

Appendices

- 4.8 The proposed agreement between WDLT and WDC to support suitable employment with an associated employer is attached as Appendix 1.

5. People Implications

- 5.1 This agreement has no direct people implications.

6. Financial and Procurement Implications

- 6.1 By extending an employees access to potential job opportunities this agreement expands the potential for securing alternative roles and in doing so reduces the risk of redundancy and the associated costs.

7. Risk Analysis

7.1 Since WDLT was created in 2012, it has operated as a separate employer to WDC with its own management and government arrangements. As detailed throughout this report, this agreement is above and beyond any statutory obligations and could be seen as creating a far more direct link in terms of the status as employers. This agreement could be seen as essentially solidifying the associated employer status of WDC & WDLT.

8. Equalities Impact Assessment (EIA)

8.1 There is no equalities impact associated with the proposed agreement.

9. Consultation

9.1 The proposed agreement has been discussed and agreed through the Convenors meetings and will be presented to Corporate Services Committee and the WDLT Board for agreement and approval from both parties.

10. Strategic Assessment

10.1 At its meeting on 25 October 2017, the Council agreed that its five main strategic priorities for 2017 - 2022 are as follows:

- A Strong local economy and improved employment opportunities.
- Supported individuals, families and carers living independently and with dignity.
- Meaningful community engagement with active empowered and informed citizens who feel safe and engaged.
- Open, accountable and accessible local government.
- Efficient and effective frontline services that improve the everyday lives of residents.

10.2 The proposed agreement satisfies 2 of the strategic priorities identified above by providing improved employment opportunities and ensuring that the process for doing this is open, accountable and accessible.

Victoria Rogers,
Strategic Lead, People and Technology

Date: 13th July 2020

Person to Contact: Geraldine Lyden, People and Change Partner,

Appendices: Appendix 1 – Agreement between WDLT and WDC to support suitable employment with an associated employer.

Background Papers: WDLT and WDC – Organisational Change and SWITCH processes.

Wards Affected: N/A



Agreement between West Dunbartonshire Leisure Trust (WDLT) and West Dunbartonshire Council (WDC) to support suitable employment with an associated employer..

1.0 INTRODUCTION

1.1 West Dunbartonshire Council (WDC) and West Dunbartonshire Leisure Trust (WDLT) are separate employers and accordingly, there is no legal obligation to redeploy across employers. However, it is also recognised that these organisational are associated in that some decisions made by WDC can have a direct impact on the service provision of WDLT, in so much as WDC determine the management fee provided to WDLT, services within WDC both supply and consider the funding available for particular WDLT projects, managed through management adjustments or budget reviews and WDLT delivers leisure services on behalf of the Council. This has an impact on the service WDLT can provide and has the potential to impact posts within the structure.

1.2 In cognisance of the above, it is considered a reasonable practice to agree a local process to ensure a fair and consistent approach to exploring suitable employment as associated employers . It is understood that, in the main, this is likely to be supporting displaced WDLT employees to secure potential employment opportunities within WDC. However there is also the potential for WDC employees to be supported into WDLT roles and therefore this is a reciprocal agreement.

2.0 APPLICATION OF THE PROCESS

2.1 The respective SWITCH policies within WDC and WDLT operate under the same framework and both redeployment processes are administered by the WDC HR connect function, with displaced employees supported by Strategic HR. This facilitates an additional joined up approach to circulating suitable roles.

2.2 Displaced employees will initially be managed in line with their own Organisational Change and SWITCH processes. However when considering redeployment, employees will also be given access to the redeployment opportunities available within the partner organisation to enable other employment possibilities to be considered.

2.3 It is a requirement of this Agreement that both WDC and WDLT will determine (and exhaust) if there are any suitable redeployment opportunities within their own organisations before exploring suitable roles in the partner organisation. Furthermore, employees will be given priority access to vacant roles within

their substantive organisation i.e. employment to the council will only be offered to a WDLT employee in the event that no displaced WDC employee is available or eligible for the role.

3.0 ACCESS TO POSTS

3.1 To ensure the redeployment process is not unnecessarily elongated, redeployment opportunities will be circulated to displaced individuals from both WDC and WDLT at the same time. However, employees must be aware of the prioritisation outlined in paragraph 2.3 above.

3.2 In the event that no displaced employee(s) come forward from either organisation, the post will progress to open market recruitment in the normal way.

4.0 OFFER OF SUITABLE EMPLOYMENT

4.1 This agreement has a sole purpose of support security of employment if there is an opportunity to do so. As detailed in the introduction, WDC and WDLT are separate employers and as such, there is no statutory obligation to seek alternative employment.

4.2 If an offer of employment is supported, employment with one organisation will end and a new employment with the partner organisation will commence.

4.3 Due to the above employees offered alternative employment offers will not be eligible for pay protection. There will be a termination of one contract with one employer and an offer of a new contract with a new employer.

5.0 TRIAL PERIODS

5.1 To support the transition to the new employer, trial periods will be supported if time scales and budgets allow. During the trial period the employee will remain an employee of the substantive employer and will only be issued with a contract for the new role if the trial period is successful.

5.2 If the trial period is not successful the employee will return to their substantive role and continue to be managed in line with the appropriate SWITCH and Organisational Change policies

5.3 Regular meetings will be held between the employee, the relevant managers and strategic HR to monitor progress over the trial period. Employees will be entitled to be accompanied by their trade union representative if desired.

6.0 CONTINUOUS SERVICE

6.1 Employees from WDC and WDLT are both covered by the Redundancy Payments (Continuity of Employment in Local Government, etc) (Modification) Order 1999 and service will be recognised as appropriate, and normal rules regarding any breaks in service will apply.

7.0 REDUNDANCY PAYMENTS

7.1 In line with the Redundancy Payment (Local Government) (Modification) Order 1999 (as amended) where an employee is under notice of redundancy and they receive and accept an offer of suitable employment , there will be no entitlement to a redundancy payment. This is also the case where the new employment starts within four weeks of the end date of the previous employment .

8.0 USE OF THIS AGREEMENT

8.1 This agreement is intended to work alongside the SWITCH and Organisational Change policies and is intended to facilitate identification of suitable employment when individuals are displaced and are at risk of losing employment. As detailed in the introduction, this is likely to relate to service redesign, however it may also be used to assist in other instances such as ill health capability.

8.2 It is not a voluntary mechanism to facilitate training and development for individuals. Discussions about professional development opportunities should be facilitated through the 'Be the Best' conversation, and any internal transfer opportunities, must follow fair and transparent internal or external recruitment processes.

8.3 This agreement, will only be used while an individual is in employment with WDLT or WDC. Once employment has been terminated the appropriate route for applications will be through normal recruitment processes.

Signed:

Victoria Rogers, Strategic Lead of people and Change

John Anderson, General Manager of Leisure Trust

Trade Union Convenors