

# Agenda



## Corporate Services Committee

**Date:** Wednesday, 19 February 2020

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**Time:** 10:00

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**Venue:** Civic Space,  
Council Offices, 16 Church Street, Dumbarton

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**Contact:** Craig Stewart, Committee Officer  
Tel: 01389 737251 – [craig.stewart@west-dunbarton.gov.uk](mailto:craig.stewart@west-dunbarton.gov.uk)

Dear Member

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

Yours faithfully

**JOYCE WHITE**

Chief Executive

### Distribution:-

Councillor 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: 6 February 2020

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## **CORPORATE SERVICES COMMITTEE**

**WEDNESDAY, 19 FEBRUARY 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 7 - 14**

Submit for approval as a correct record, the Minutes of Meetings of the Corporate Services Committee held on 13 November 2019.

#### **5 MINUTES OF JOINT CONSULTATIVE FORUM – 15 - 20 5 DECEMBER 2019**

Submit for information and where necessary ratification, the Minutes of Meeting of the Joint Consultative Forum held on 5 December 2019.

#### **6 OPEN FORUM**

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

#### **7 COUNCIL MOTIONS ON WREATHS FOR COMMUNITY To follow COUNCILS**

Submit report 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.

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|-----------|--|------------------|
| <b>8</b>  | <b>PEOPLE &amp; TECHNOLOGY SPEND 2020-21</b>   | <b>21 - 30</b>   |
|           | Submit report 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. |                  |
| <b>9</b>  | <b>STRATEGIC RISKS 2017-22: BI-ANNUAL UPDATE</b>   | <b>31 - 68</b>   |
|           | Submit report by the Strategic Lead – People & Technology providing an update on the strategic risks for 2017-22.  |                  |
| <b>10</b> | <b>CAREER BREAK POLICY</b>   | <b>69 - 84</b>   |
|           | Submit report by the Strategic Lead – People & Technology outlining provisions of the new career break policy for Local Government employees and seeking approval of same.   |                  |
| <b>11</b> | <b>SECONDMENT POLICY</b>   | <b>85 - 102</b>  |
|           | Submit report by the Strategic Lead – People & Technology outlining provisions of the new secondment policy for Local Government employees and seeking approval of same.   |                  |
| <b>12</b> | <b>WEST DUNBARTONSHIRE LEISURE TRUST BUSINESS PLAN 2020/21</b>   | <b>103 - 118</b> |
|           | Submit report by the Strategic Lead – Communications, Culture, Communities & Facilities providing an update on the West Dunbartonshire Leisure Trust Business Plan for 2020/21.  |                  |
| <b>13</b> | <b>GLENHEAD COMMUNITY CENTRE</b>   | <b>119 - 124</b> |
|           | Submit report 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.                                       |                  |
| <b>14</b> | <b>WRITE-OFF OF NATIONAL NON-DOMESTIC RATES</b>  | <b>125 - 130</b> |
|           | Submit report 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.  |                  |



**15      CORPORATE SERVICES BUDGETARY CONTROL REPORT -      131 - 149**  
**31 DECEMBER 2019 (PERIOD 9)**

Submit report by the Strategic Lead – Resources advising on the performance of the Corporate Services budget for the period to 31 December 2019.

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## **CORPORATE SERVICES COMMITTEE**

At a Meeting of the Corporate Services Committee held in the Council Chamber, Clydebank Town Hall, Dumbarton Road, Clydebank on Wednesday, 13 November 2019 at 10.05 a.m.

**Present:** Councillors Jim Brown, Ian Dickson, 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; Stephen West, Strategic Lead – Resources; Malcolm Bennie, Strategic Lead – Communications, Culture & Communities; Victoria Rogers, Strategic Lead – People & Technology; Gillian McNeilly, Finance Manager; Alison McBride, OD & Change Manager; Lynda Dinnie, Leisure & Facilities Manager; John Anderson, Manager, West Dunbartonshire Leisure Trust; Stephen Daly, Citizen & Digital Service Manager; Louise Hastings, HR Business Partner; Ryan Chalmers, Section Head (Revenues & Benefits); Sally Michael, Principal Solicitor and Craig Stewart, Committee Officer.

**Apologies:** Apologies for absence was intimated on behalf of Councillors Diane Docherty and Jim Finn.

**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**

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 Meetings of the Corporate Services Committee held on 21 August 2019 were submitted and approved as a correct record.

## **MINUTES OF JOINT CONSULTATIVE FORUM – 3 SEPTEMBER 2019**

The Minutes of Meeting of the Joint Consultative Forum held on 3 September 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.

### **REGULATORY DELIVERY PLAN 2019/20: MID-YEAR PROGRESS**

A report was submitted by the Strategic Lead – Regulatory setting out the mid-year progress of the Regulatory Delivery Plan.

It was noted that the Strategic Lead – Regulatory was engaged with election duties and had emailed Members of the Committee, in advance of today's meeting, to ask whether they had any specific questions in respect of the report.

After discussion and having heard the Chief Executive in answer to Members' questions, the Committee agreed to note the contents of the report and the progress achieved at mid-year.

### **COMMUNICATIONS, CULTURE, COMMUNITIES & FACILITIES DELIVERY PLAN 2019/20: MID-YEAR PROGRESS**

A report was submitted by the Strategic Lead – Communications, Culture, Communities & Facilities setting out the progress to date in delivery of the actions detailed within the Communications, Culture, Communities & Facilities Delivery Plan 2019/20 for those services which are delegated to the Corporate Services Committee, these being 'Performance and Strategy', 'Libraries', 'Citizen Services' and 'Facilities'.

After discussion and having heard the Strategic Lead and the Citizen & Digital Service Manager in further explanation of the report and in answer to Members' questions, the Committee agreed:-

- (1) to note the contents of the report and the progress achieved at mid-year; and
- (2) to note that the Delivery Plan would also be submitted to the next meeting of the Cultural Committee to enable scrutiny of the 'Town Hall', 'Arts and Heritage' and 'Communications' service areas.

## **PEOPLE & TECHNOLOGY DELIVERY PLAN 2019/20: MID-YEAR PROGRESS**

A report was submitted by the Strategic Lead – People & Technology setting out the progress to date in delivery of the actions detailed within the People & Technology Delivery Plan 2019/20.

After discussion and having heard the Strategic Lead and the Chief Executive in further explanation of the report and in answer to Members' questions, the Committee agreed to note the contents of the report and the progress achieved at mid-year.

## **RESOURCES DELIVERY PLAN 2019/20: MID-YEAR PROGRESS**

A report was submitted by the Strategic Lead – Resources setting out the mid-year progress of the Resources Delivery Plan for 2019/20.

After discussion and having heard the Strategic Lead, Strategic Director and the Section Head (Revenues & Benefits) in further explanation of the report and in answer to Members' questions, the Committee agreed to note the contents of the report and the progress achieved at mid-year.

## **CORPORATE SERVICES BUDGETARY CONTROL REPORT TO 30 SEPTEMBER 2019**

A report was submitted by the Strategic Lead – Resources advising on the performance of the Corporate Services budget for the period to 30 September 2019.

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

- (1) to note that the revenue account currently showed a projected annual favourable variance of £0.045m (0.22% of the total budget); and
- (2) to note that the capital account showed a projected in-year overspend of £0.228m due to expenditure in 2019/20 being accelerated by £0.247m and current year project underspends of £0.019m due to two projects being completed under budget. The project life projection was therefore showing a favourable variance of £0.019m.

## **DUMBARTON COMMON GOOD FUND – GRANT APPLICATIONS**

A report was submitted by the Strategic Lead – Resources providing an update and recommendation in relation to a grant application from Bellsmyre Digital Trust (currently withheld).

During consideration of a proposed motion, it was agreed to adjourn for a short period.

## **ADJOURNMENT**

Having heard Councillor Dickson, Chair, the meeting was adjourned at 11.35 a.m. and was reconvened at 11.50 a.m. with the same Members present, as listed in the sederunt.

After discussion and having heard the Finance Manager and the Strategic Lead in further explanation of the report and in answer to Members' questions, the Committee agreed to approve the award of grant in the sum of £33,101 to Bellsmyre Digital Trust, releasing the previously withheld grant.

## **WRITE-OFF OF MISCELLANEOUS INCOME DEBTOR ACCOUNTS – QUARTER 2, 2019/20**

A report was submitted by the Strategic Lead – Resources seeking approval for the write-off of debts in respect of miscellaneous income debtor accounts, which have been deemed as irrecoverable during Quarter 2 2019/20, arising from various years and reasons as detailed in the Appendix to the report.

The Committee agreed to approve the write-off of miscellaneous income debt valued at £108,457.05.

## **PROVISION OF BANKING SERVICES**

A report was submitted by the Strategic Lead – Resources seeking approval to commence the tendering process for the Provision of Banking Services for the period 1 April 2021 to 31 March 2024, with an option to extend for a further two years to 31 March 2026.

The Committee agreed to approve the process to begin invitations to tender for the provision of banking services for a three year period from 1 April 2021 until 31 March 2024, with an option to extend for a further two years until 31 March 2026, noting that the outcome of the process would be reported to a future meeting of the Tendering Committee.

## **EMPLOYEE WELLBEING: ATTENDANCE MANAGEMENT CORPORATE SERVICES BI-ANNUAL UPDATE (APRIL – SEPTEMBER 2019)**

A report was submitted by the Strategic Lead – People & Technology providing detailed analysis on employee wellbeing and attendance from 1 April to 30 September 2019 for the Strategic Lead areas covered by Corporate Service Committee and a biannual update on Council-wide attendance for the same period.

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

- (1) to note the increase of 493.62 full time equivalent (FTE) days lost (approximately 20.5%) in service areas covered by this report compared to the same period last year as outlined in Appendices 3-5 to the report;
- (2) to note the increase in Council-wide sickness absence of 3,471.84 FTE days lost (approximately 13.6%) compared to the same period last year as outlined in Appendices 1 and 2 to the report; and
- (3) to note that a number of services were restructured in Quarter 1 2019 and so any historical comparisons should be considered as indicative and not an absolute figure. Further information regarding the services impacted was available in section 4.1 of the report.

### **SUPPORTING EMPLOYEE WELLBEING POLICY**

A report was submitted by the Strategic Lead – People & Technology providing an update on the review of the former Attendance Management policy and the subsequently agreed Supporting Employee Wellbeing Policy.

After discussion and having heard the HR Business Partner in further explanation of the report and in answer to Members' questions, the Committee agreed to approve the Supporting Employee Wellbeing Policy which formed Appendix 2 to the report.

### **WORKFORCE MONITORING REPORT (1 APRIL – 30 SEPTEMBER 2019)**

A report was submitted by the Strategic Lead – People & Technology providing workforce monitoring information relating to the period 1 April – 30 September 2019.

The Committee agreed to note the contents of the report.

### **REVIEW OF CODE OF CONDUCT AND GUIDANCE ON GIFTS, HOSPITALITY AND REGISTER OF INTERESTS**

A report was submitted by the Strategic Lead – People & Technology providing a summary of the changes made to the Code of Conduct and the associated guidance on gifts, hospitality and register of interests.

After discussion and having heard the Strategic Lead in further explanation and in answer to Members' questions, the Committee agreed to note the changes made as a result of the review and approved same.

## **REVISED EMPLOYER DISCRETIONS – LOCAL GOVERNMENT PENSION SCHEME (SCOTLAND)**

A report was submitted by the Strategic Lead – People & Technology providing an update on the review of the Council's Statement of Policy, and the proposed revisions to the Statement.

The Committee agreed:-

- (1) to approve the recommended revisions to the Statement of Policy on Discretions; and
- (2) otherwise to note the contents of the report.

## **ANNUAL PERFORMANCE OF WEST DUNBARTONSHIRE LEISURE TRUST FOR YEAR TO 31 MARCH 2019**

A report was submitted by the Strategic Lead – Communications, Culture, Communities & Facilities presenting the annual performance of West Dunbartonshire Leisure Trust during the period 01 April 2018 to 31 March 2019.

After discussion and having heard the Strategic Lead in further explanation of the report and in answer to Members' questions, the Committee agreed to note the contents of the report.

## **TRANSFORMATION OF ONE STOP SHOPS AND LIBRARY SERVICES**

A report was submitted by the Strategic Lead – Communications, Culture, Communities & Facilities outlining proposals to transform face-to-face services across One Stop Shops and the Library branch network to improve delivery and efficiency.

The Strategic Lead and the Citizen & Digital Service Manager were heard in further explanation of the report and in answer to Members' questions.

After discussion, Councillor Dickson, seconded by Councillor McColl, moved the recommendations in the report, namely:-

That the Committee agrees:-

- (1) to note the positive relocation of the One Stop Shop to Alexandria Library in 2018/19;
- (2) to merge the Citizen Services and Library Services face-to-face delivery enabling residents to access the One Stop Shop support from nine venues across West Dunbartonshire instead of the current three;



- (3) to relocate the One Stop Shop function from the Clydebank Town Centre Office into the busy Clydebank Library 300m away; and
- (4) to the generation of £150k of efficiencies from these changes by 2021/22 to assist with the Council's budget position.

As an amendment, Councillor Mooney, seconded by Councillor Lennie, moved:-

That the Committee agrees to continue consideration of the report to the November 2019 meeting of West Dunbartonshire Council, in order that all Members can be involved in the decision.

Following debate and at the request of Councillor O'Neill, the Committee agreed to proceed by way of a roll call vote.

On a vote being taken 5 Members, namely Councillors Lennie, McBride, Mooney, O'Neill and Rooney voted for the amendment and 5 Members voted for the motion, namely Councillors Brown, Dickson, McAllister, McColl and McLaren. There being an equality of votes, Councillor Dickson, Chair, used his casting vote in favour of the motion which was accordingly declared carried.

## **REVIEW OF COMMUNITY FACILITIES**

A report was submitted by the Strategic Lead – Communications, Culture, Communities & Facilities providing Members with a proposal on how to deliver the savings allocated in the 2018/19 Council budget to a review of Community Facilities in West Dunbartonshire.

The Strategic Lead was heard in further explanation of the report and in answer to Members' questions.

After discussion, Councillor McColl, seconded by Councillor Dickson, moved:-

That the Committee:-

- (1) agrees the recommendations in the report with the exception of the fourth bullet point;
- (2) believes that the residents of Duntocher should not be disadvantaged and that the Glenhead Centre should not be restricted to Library hours; community groups must be able to book this facility in the evening if they wish to do so and the report recognises this; and
- (3) agrees that officers will bring a report to the next Corporate Services Committee detailing the usage of the Glenhead Centre and any extra costs associated with keeping it available to hire outside of Duntocher Library hours under the new management model being implemented.

As an amendment, Councillor Lennie, seconded by Councillor O'Neill, moved:-

This council is disappointed that the SNP Council continues to pursue its austerity agenda and is hell-bent on cutting local jobs and community facilities.

These facilities are vital to our communities. The Council's own consultation showed that the community opposed closure of facilities and instead highlighted their importance and the need for investment.

Labour opposed the SNP councils austerity cuts in 2018 and we will continue to oppose austerity cuts to vital local services.

Therefore, this council supports option D. which means we continue to invest around £5m over 4 years in our community facilities and we retain the current level of services and jobs.

Following debate and at the request of Councillor O'Neill, the Committee agreed to proceed by way of a roll call vote.

On a vote being taken 5 Members, namely Councillors Lennie, McBride, Mooney, O'Neill and Rooney voted for the amendment and 5 Members voted for the motion, namely Councillors Brown, Dickson, McAllister, McColl and McLaren. There being an equality of votes, Councillor Dickson, Chair, used his casting vote in favour of the motion which was accordingly declared carried.

The meeting closed at 1.40 p.m.

## **JOINT CONSULTATIVE FORUM**

At a Meeting of the Joint Consultative Forum held in the Civic Space, 16 Church Street, Dumbarton on Thursday, 5 December 2019 at 2.05 p.m.

**Present:** Councillors Karen Conaghan, David McBride, Jonathan McColl and Iain McLaren; James Halfpenny (EIS); David Scott (GMB); Claire Mackenzie (SSTA); Sean Davenport, Val Jennings, Andy McCallion and David Smith (UNISON); and Chris Rossi and Margaret Wood (Unite).

**Attending:** Angela Wilson, Strategic Director – Transformation & Public Service Reform; Victoria Rogers, Strategic Lead – People & Technology; Malcolm Bennie, Strategic Lead – Communications, Culture, Communities & Facilities; Stephen West, Strategic Lead – Resources; Amanda Coulthard, Performance & Strategy Manager; Claire Cusick, Senior Education Officer – Pupil Support; Alison McBride, Strategic People and Change Manager; Louise Hastings, HR Business Partner; Cher Colquhoun, HR Adviser; Raymond Lynch, Senior Solicitor; and Scott Kelly, Committee Officer.

**Apologies:** Apologies for absence were intimated on behalf of Councillors Jim Finn and Daniel Lennie; Jim McAloon, Strategic Lead – Regeneration; Julie Lusk, Head of Mental Health, Addictions and Learning Disability; Stephen McCrossan (EIS); and John Wagner (GMB).

**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 3 September 2019 were submitted and approved as a correct record.

## **EMPLOYEE ENGAGEMENT RESULTS 2019**

A report was submitted by the Strategic Leads for Communications, Culture, Communities & Facilities, and People & Technology outlining the results and key findings from 2019 Employee Engagement activity.

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

- (1) to note the comparison to 2017 employee survey results;
- (2) to note that each Strategic Area would establish specific service improvement activities that would be incorporated into the 2020/21 delivery plans; and
- (3) that once service improvement activities had been agreed the Performance & Strategy Manager would produce a document summarising these and share it with the Forum.

## **EMPLOYMENT RELATIONS MONITORING: 1 APRIL TO 30 SEPTEMBER 2019 BI-ANNUAL UPDATE**

A report was submitted by the Strategic Lead – People & Technology advising of progress on Council-wide employment relations matters for the period 1 April to 30 September 2019.

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

- (1) to note that the Strategic Lead – People & Technology would give consideration to providing Members of the Appeals Committee with details of the outcomes of future employment tribunals where the decision was contrary to that taken by the Council;
- (2) to note that the Strategic Lead – People & Technology had invited Mr McCallion to speak with her, outwith the meeting, should he require further information relating to the time taken for investigations to be concluded; and
- (3) otherwise to note the contents of the report.

## **EMPLOYEE WELLBEING: ATTENDANCE MANAGEMENT BI-ANNUAL 1 APRIL TO 30 SEPTEMBER 2019 (COUNCIL-WIDE)**

A report was submitted by the Strategic Lead – People & Technology providing a detailed analysis on Council-wide employee wellbeing and attendance for the period April to September 2019.

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

- (1) to note the increase in Council-wide sickness absence of 3,471.84 full time equivalent (FTE) days lost compared to the same period in the previous year;
- (2) to note that work-related stress had decreased by 5% compared to the same period in the previous year;
- (3) to note that a number of services had been restructured in Quarter 1 2019 and so any historical comparisons should be considered as indicative and not an absolute figure and that further information regarding the services impacted had been outlined in section 4.1 of the report; and
- (4) to note with concern the increase in the number of working days lost due to work-related accidents/injuries in comparison to the same period in the previous year, from 280.93 days to 633.56 days, and that further information in relation to this matter should be submitted to the next meeting of the Forum.

## **TRADES UNIONS ISSUES**

### **Restructures (item requested by GMB, UNISON and Unite)**

The Forum heard from Mrs Wood who expressed disappointment that a report proposing a restructuring of One Stop Shop and Library Services had been submitted to a recent meeting of the Corporate Services Committee and approved without consultation first having taken place with trades unions or employees and queried whether the Members of the Committee had been made aware of this. She also questioned whether there was sufficient evidence that the recent transfer of face-to-face Citizen Services to Alexandria Library had been a success as stated in the report.

In response the Strategic Lead – Communications, Culture, Communities & Facilities stated that he was sorry and disappointed to hear that upset had been caused in relation to this matter. He advised that the matter had been raised with trades unions in August 2019 and that attempts had been made to arrange a further meeting with trades unions conveners which had not been possible in view of timescales.

He further stated: (i) that an overview of the proposals had been prepared for employees prior to the issuing of the report to the Corporate Services Committee; (ii) that it had been confirmed to employees that formal consultation would begin next week; (iii) that he believed there was still time for a successful outcome to be reached with the trades unions; (iv) that because the proposals required a change in policy it had been appropriate to have first sought and received direction from Elected Members prior to the commencement of formal consultation; and (v) that in terms of the proposals, all employees would keep their jobs, working hours, terms and conditions and place of work with the exception of four employees whose new place of work would be 500 metres further away.

In terms of the benefits of the proposals, he emphasised: (i) that the delivery of Citizens Services was shown to have worked in Alexandria Library and also in libraries nationally given that libraries are traditional community hubs; and (ii) that such a model of service delivery would help to make libraries more sustainable and attract more visitors.

After further discussion, the Forum agreed:-

- (1) to note the trades unions' concerns in relation to: (i) not having been notified of the proposal at the earliest opportunity; and (ii) the possible impact on workloads if posts were to be deleted;
- (2) to note that it was the view of Management that the proposal represented a positive development of the service rather than a restructure; and
- (3) to note that the progress of the project would be discussed at the relevant joint consultative committee.

#### VE Day/May Day (item requested by UNISON)

The Forum heard from Ms Jennings who made reference to the decision to move the May 2020 public holiday from Monday, 4 May to Friday, 8 May to coincide with the 75<sup>th</sup> anniversary of VE Day and stated that UNISON had a red line on entering into discussions on any changes to terms and conditions. She also confirmed that a way forward had been found to ensure that such a situation was avoided in future.

she hoped that a way forward could be found for the original public holiday to be retained and for an additional holiday to be granted for VE Day.

Following discussion, Councillor McColl, on behalf of the Administration, made reference to a decision in relation to this matter having been taken at the Union Convener meeting on 18 June 2019 and that the trades unions had therefore had an opportunity to discuss the proposed change and to object to it.

In this regard there was submitted (tabled) a document which contained an extract of the aforementioned minutes and additionally extracts of: (i) the minutes of the subsequent Union Convener meeting held on 20 August 2019 at which the minutes of the 18 June 2019 meeting had been approved by all signatory unions; and (ii) the minutes of meeting of the Local Negotiating Committee for Teachers held on 18 June 2019 at which the change in the date of the public holiday had also been agreed by all members of the Committee.

He also stated that the Administration would write to Ms Jennings and the other trades unions to confirm that no changes to terms and conditions were anticipated.

Following further discussion, the Forum agreed:-

- (1) to note the terms of the discussion in relation to this matter; and
- (2) that in the future decisions in relation to such matters should be carefully articulated and any concerns or disagreements raised at the appropriate time.

#### Bullying and Harassment Policy (item requested by UNISON)

The Forum heard from Mr McCallion who expressed concern that the Council did not have a stand-alone policy to address bullying and harassment and dignity at work issues which he considered was important in view of these being significant in terms of absence. He made reference to the Best Value report published in 2006 which had highlighted bullying and harassment as particular problems. He acknowledged that the Grievance Policy contained two pages which related to bullying and harassment but argued that a separate policy was needed.

In response, the Strategic Lead – People & Technology made reference to the 2018 Best Value report which had found no evidence of bullying or harassment at the Council and highlighted significant improvements in terms of openness and transparency and a focus on employee wellbeing with all of the recommendations from the 2006 report having been implemented.

She clarified that the Dignity at Work Policy had received negative feedback from the trades unions who had reportedly found it confusing and, at their request, it had been incorporated in to the Grievance Policy in 2015. The Grievance Policy was revised at the same time to include a section on mediation which is used to address difficulties in employee relations as well as the separate appendix on bullying. The Strategic Lead further added that consideration would be given to extending the content of the appendix on receipt of relevant details from UNISON colleagues.

Following discussion, the Forum agreed that this matter should be discussed at a future Union Convener meeting at which UNISON would advise what was felt to be missing from the Grievance Policy in terms of bullying and harassment and that they should notify the Strategic Lead – People & Technology whether they wished for this to be discussed at the December 2019 or January 2020 meeting.

### Appeals Procedure (item requested by UNISON)

The Forum heard from Mr McCallion who expressed concern that while employees are able to appeal the outcomes of grievances through the Grievance Policy, no process existed to appeal a decision that a matter could not be considered in terms of the policy, for example when a matter was determined to be covered by a national or local agreement or to be outwith the delegated authority of the Strategic Lead area.

In response, the Strategic Lead – People & Technology stated that it was inaccurate to say that no right of appeal existed in such circumstances because the relevant Strategic Lead was obliged to consult with colleagues in the Legal section when a determination was made that a matter fell outwith delegated authority. The Senior Solicitor confirmed that section 4.1 of the Grievance Policy clarified when managers were required to seek advice from the Council's Monitoring Officer. The Strategic Lead – People & Technology then clarified that disagreements in respect of matters covered by national or local agreements were remitted to her to consider afresh.

Following discussion, the Forum agreed that the Strategic Lead – People & Technology should issue a briefing note to the members of the Forum setting out the circumstances of the different types of complaints and their respective escalation routes.

The meeting closed at 4.15 p.m.



## WEST DUNBARTONSHIRE COUNCIL

### Report by Strategic Lead – People & Technology

**Corporate Services Committee: 19 February 2020**

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**Subject: People & Technology Spend 2020-21**

#### **1. Purpose**

- 1.1** The purpose of this report is to provide the Committee with 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 seek approval to procure and contract for the required goods and services.

#### **2. Recommendations**

- 2.1** The Committee is asked to:

- 2.1.1** note the revenue and capital spend detail included in this report, including the anticipated procurement method. The projects to deliver this spend will be included in the 2020-21 People and Technology Delivery Plan currently in development and scheduled for May's meeting of this committee;
- 2.1.2** delegate authority to the Corporate Procurement Manager in consultation with the Strategic Lead – People and Technology to instruct the award of contracts for the planned revenue and capital spend detailed in this report to suppliers providing the most economically advantageous offer to the Council for all spend purchased from National Framework agreements; and
- 2.1.3** note that spend where the value of the contract is in excess of £50,000, will be submitted to the Tendering Committee for approval.

#### **3. Background**

##### Revenue

- 3.1** The Council has annual P&T revenue spend of approximately £1,800,000 covering a range of goods and services for example corporate and service applications, telephony lines and licenses, network connectivity (wide area network, local area network, wireless network), security and application licenses. The detail included in Appendix 1 of this report lists estimated spend over £10,000 per system service.
- 3.2** The ICT team is currently working with Procurement Services to develop a commodity strategy. The breakdown includes:

- 3.2.1** Corporate line of business applications for the management of processes such as Finance, Housing, Performance and Purchasing. Although the annual maintenance budget for these systems sits with the ICT team, the responsibility for the systems and associated contracting lies with the system owners within the service areas. The system owners are responsible for granting system access and permissions, data management, coordinating upgrades, verifying license requirements and ensuring the systems continue to meet service needs;
- 3.2.2** Infrastructure hardware commodity includes servers, switches, wireless access points, cabling, cisco phone infrastructure, storage and multi function printers and scanners;
- 3.2.3** Education curriculum software commodity is the responsibility of Education, Learning & Attainment with support from the ICT team. The software may be subject, sector or establishment based;
- 3.2.4** End user hardware commodity includes all PCs, thin clients, laptops, mobile phones (MOB) and chromebooks across the Council;
- 3.2.5** The Corporate licenses commodity includes products such as Adobe and Microsoft, security technologies for scanning, protection and encryption, device, application and policy management technologies. The technology is managed by the ICT team on behalf of the Council however licenses can be purchased by service areas; and
- 3.2.6** Network commodity includes telephony, CCTV and network lines. Responsibility for this commodity is dispersed across Council services.
- 3.3** As outlined above, the budget and contracting responsibility for commodities such as curriculum software, telephony, CCTV and end user device purchasing is service led.
- 3.4** While many of the annual maintenance and license payments and arrangements have been in place for several years, the category management approach to procurement continues to provide the opportunity to examine spend to deliver improved and/or collaborative approaches. The aim is to secure better contracts, and deliver cashable and non-cashable benefits as well as improved supplier management practices and monitoring.

### Capital

- 3.5** In line with the ICT Asset Management Plan 2017-22 agreed at Corporate Services Committee in August 2017, the Council continues to make a substantial commitment to improving the ICT infrastructure and processes to support and innovate service delivery through capital investment.
- 3.6** Table 1 below is an excerpt from the Capital plan as agreed by Council on 27 March 2019 and includes the following recurring capital budget for ICT:

**Table 1 – Existing Agreed ICT 2-Year Capital Plan**

<b>Capital allocation</b>	<b>2020/21</b>	<b>2021/22</b>
ICT Core Infrastructure (including Security & Resilience)	<b>£390,000</b>	<b>£402,000</b>
ICT Modernisation / Infrastructure	<b>£751,000</b>	<b>£753,000</b>
<ul style="list-style-type: none"> <li>ICT Modernisation / Infrastructure ICT (includes £372,760 device replacement and approx. £100,000 innovation / improvement projects)</li> </ul>	£472,760	£474,760
<ul style="list-style-type: none"> <li>ICT Modernisation / Infrastructure HSCP</li> </ul>	£155,000	£155,000
<ul style="list-style-type: none"> <li>ICT Project Resourcing</li> </ul>	£123,240	£123,240
AV Replacement Education	<b>£150,000</b>	<b>£60,000</b>
<b>Total</b>	<b>£1,291,000</b>	<b>£1,215,000</b>

**3.7** Table 2 below shows the additional capital that is being requested for specific projects and which is included in the Council's 2020 Capital plan report which will be considered by Council on 4 March 2020. The proposal is to:

- increase the ICT Modernisation / Infrastructure budget by £100,000 per annum to include the replacement of selected additional devices such as chromebook for schools and mobile phones which have been added to the Council's device estate since the recurring budget was approved in 2013; and
- in line with the Council's digital strategy include an additional £685,000 for service innovations and improvements subject to business case approval. Some of these projects will be funded from the Change Fund and some may attract match funding;
  - asset tracking and other Internet of Things (IoT) pilots and developments;
  - implementation services for Office 365;
  - upgrade learning and teaching software applications; and
  - implementation of process automation technologies.

**3.8** The scope for each project will include some spend flexibility in each area, allowing for spend on smaller value works and the appropriate procurement route will be selected.

**3.9** The investment projects for P&T capital spend as detailed in Table 2 below includes the procurement route options and the potential year 2 revenue implications for each project. The revenue impact (estimated as £180,000) relates only to the technology spend and not the overall project business case which may generate savings elsewhere. Any revenue impact will form part of future revenue planning and based on the actual spend.

**3.10** Where possible and where opportunities arise officers aim to secure match funding from external sources.

**Table 2 – Proposed Recurring ICT Capital Spend 2020-21**

Description	Estimated Capital	Estimated Revenue Impact (Year 2)	Planned Procurement Route
<b>ICT Core Infrastructure (Security &amp; Resilience)</b>			
<ul style="list-style-type: none"> <li>Servers &amp; Infrastructure</li> <li>Security compliance works and solutions</li> <li>Resourcing</li> </ul>	£390,000	£40,000	Existing Contract / Tender / Framework
<b>ICT Mod / Infrastructure</b>			
Device replacement (additional £100,000)	£472,760	£10,000	Existing Contract / Tender / Framework
ICT Service Modernisation and Innovation (additional £685,000) <ul style="list-style-type: none"> <li>IoT pilots</li> <li>Automation Software</li> <li>Office 365 (over 2 years)</li> <li>Software Applications (pa)</li> </ul>	£685,000 approx <ul style="list-style-type: none"> <li>£220,000</li> <li>£235,000</li> <li>£200,000</li> <li>£30,000</li> </ul>	£100,000	Tender / Framework
ICT Modernisation / Infrastructure HSCP	£155,000	£15,000	Existing Contract / Tender / Framework
Resources to Support a range of Corporate projects	£123,240		
<b>Audio Visual(AV) Modernisation for Schools</b>	<b>£150,000</b>	£15,000	Framework / Tender
<b>Total</b>	<b>£1,976,000</b>	<b>£180,000</b>	

#### **4. Main Issues**

##### Procurement

- 4.1** Consideration will be given to multi-year contracts where recurring capital/ revenue has been approved and where this would deliver efficiencies and the authority sought in Paragraph 2.1 includes the option to enter into such multi-year arrangements including beyond the second year for those items listed in Section 3 and the appendix to this report.
- 4.2** The procurement strategies for each of the revenue and capital projects will continue to be developed on a project by project basis and will include consideration of market testing of existing collaborative framework agreements, running mini competitions as well as full tender processes.

- 4.3** In the event that the proposed re-profiled ICT Capital plan outlined in table 2 is not approved in full by Council in March 2020, the People and Technology spend plan will be adjusted to align with the approval given.
- 4.4** The tendering and contracting process will continue to identify potential future revenue implications for new capital contracts and where required these will be included as burdens in future ICT revenue budget estimates. An indicative value has been included in Table 2 above however as many of the purchases are for replacement technology, it is anticipated that the current revenue spend on maintenance will off-set some of this.

#### Increased Demand for Technology to Improve Service Delivery

- 4.5** The budget growth requests reflect the overall increase in the use of technology across the Council to deliver services. There is a significant increase in the number of devices and systems requiring support. To date there has been no increase in the ICT employee resourcing levels to deliver the support demands. While a small number of short-term temporary appointments have been made for specific project-related tasks, the ratio of devices per Support Analyst will continue to be closely monitored to ensure sustainability of current and expected service levels.
- 4.6** In addition to the above, there is a related increase in the financial resources needed and as included in section 3 of this report for;
- licenses;
  - mobility;
  - security where emerging threats and changes in the security landscape may require additional investment;
  - system resilience where ongoing discussions with services to review their business continuity and resilience requirements may result in increased demand in this area; and
  - device replacement.
- 4.7** The Council has an ambitious Digital Strategy and has established close links with the National Digital Office. The new technologies highlighted in section 3.7 above help deliver the strategy and more digitally enabled services to our citizens and workforce.
- 4.8** A key strand with the Council's Digital transformation is to automate appropriate processes and support employees in day-to-day tasks. Automation technology is already being used in a range of processes in other authorities. The approach builds on the existing infrastructure with minimal disruption to underlying systems, that can be difficult and costly to replace. Usually automation is used to support high-volume, business-rules-driven, repeatable processes. A few examples include:
- log into systems;
  - populate, copy and paste data, move files and folders;
  - automatically integrate multiple systems to perform agreed tasks;

- extract and process structured and semi structured content from documents, PDFs, emails and forms, read and write databases;
- open emails and attachments; and
- perform calculations.

**4.9** An example of automation technology that was tested as part of the council's employee new start process saw the software log into MyJobScotland and Chris21 (Workforce Management System), Outlook; extract selected information from MyJobScotland and input into Chris 21 to avoid manual keying, exporting and importing information from Excel to simplify reporting and data analysis.

**4.10** The Scottish Government's Civtech process has delivered a forum to support procurement and technology innovation and provide an opportunity for match funding. West Dunbartonshire Council is currently engaged in two Civtech projects; asset tracking and employee engagement. These projects are included in the scope of this report but are subject to business case approval.

## **5. People Implications**

**5.1** Existing framework agreements will be used where best value can be demonstrated as this will reduce both project timescales and staffing resource requirements.

**5.2** The ICT team has an established review and service/improvement process to ensure resources are allocated to the highest priority work.

**5.3** Some of the identified projects are expected to include design, implementation, skills transfer and project consultancy services, as specialist knowledge is required when introducing new technologies for example the introduction of 365 and sharing locations with NHS. It is expected that ICT employees will gain knowledge and skills during these projects to ensure they can deliver the on-going operational services.

## **6. Financial and Procurement Implications**

**6.1** Revenue budget currently exists for all licenses and maintenance spend identified in the Appendix and this is included within the draft revenue budget for 2020-21 (subject to Council approval in March 2020). However many suppliers apply inflationary increases and these will be captured as future revenue burdens.

**6.2** The ICT team works with services when introducing new IT systems so that technology, procurement and security issues can be identified during the procurement and evaluation stages and prior to contract signing and also so that related savings and spend can be identified and planned for appropriately in future budget processes.

- 6.3** The cost estimates for capital spend are based on high level research and may vary but will remain within the capital plan due for approval by Council in March 2020 as outlined in Table 2. The projects specified can be scaled up or down.
- 6.4** All procurement activity carried out by the Council in excess of £50,000 is subject to contract strategy. The contract strategy shall include but not be limited to; options appraisals, contract scope, service forward plan, market condition, procurement model and routes – including existing delivery vehicles, roles and responsibilities, risks, issues and opportunities and on-going contract management. Some of the options considered include for example;
- 6.4.1** Do nothing – for many IT components this option is not viable because of the security implications. For example, non-replacement of end of life devices would result in unsupported equipment which would then put Council at risk of virus and malware attacks.
- 6.4.2** Where a purchase is required, options as to type of equipment or license, e.g. most suitable device for primary school versus high school versus corporate use will be reviewed. In the case of licenses, options such as perpetual versus subscription licensing will be considered and is often dependant on the product and supplier.
- 6.4.3** Full year or part year license and support is considered and whether there is an option to decommission part of a system.
- 6.4.4** Increasingly ICT Suppliers are offering hosted/cloud services rather than on premise solutions. ICT continue to work with Finance colleagues to assess the longer term financial implication of purchasing ICT as a service for example hosting/cloud services which changes the sustainability of the current revenue budget.

## **7. Risk Analysis**

- 7.1** There is a risk that the capital project actual costs may exceed the capital project estimates as detailed in Table 2. This risk can be mitigated by a range of procurement strategy options being explored as well as building scalability into the tender for example reducing the number of devices being replaced or specification of the device. Ongoing regular Budgetary Control reporting will provide information on any significant adverse variance in cost and mitigating actions available.

## **8. Equalities Impact Assessment (EIA)**

- 8.1** A screening has been carried out and there is no impact on any particular group for majority of the technology spend plans.

- 8.2** The annual device replacement project will include delivery of specialist IT equipment/adaptations for employees and pupils with additional needs as required. This will also apply where public access devices are being replaced. The procurement process will be carried out in line with the Council's procurement and equality guidance, and implementation planning will consider equality issues.

## **9. Environmental Sustainability**

- 9.1** Contract strategies for individual projects will consider a range of sustainability issues including the environmental implications of ICT equipment and services. Decisions on equipment specifications will take account of the need to minimise energy consumption, reduce CO2 emissions and minimise waste at the end of the life cycle.

## **10. Consultation**

- 10.1** Legal, Procurement, Education and the Section 95 Officer have been consulted on the content of this paper. It was not necessary to consult with our Trades Union colleagues on this report. However, the Council's digital strategy and activity is regularly discussed with the Convenors group.

## **11. Strategic Assessment**

- 11.1** High quality IT equipment and services contribute to the Council's strategic priority of delivering fit for purpose estate and facilities and delivers a positive response to employee feedback in the annual ICT Customer Satisfaction Survey.
- 11.2** The planned capital spend on improved security, resilience and mobility ensure that a fit for purpose ICT environment supports all of the Council service areas to deliver on their strategic objectives.
- 11.3** The ICT contracts will contribute to delivery of the Council's strategic priorities through the development of a robust contract strategy which will explore the inclusion of possible community benefits which improve economic growth and employability. Further opportunities to maximise the positive social, economic and environmental impact for West Dunbartonshire Council through the contracts will also be explored.

**Name:** Victoria Rogers  
**Designation:** Strategic Lead - People and Technology  
**Date:** 28<sup>th</sup> January 2020

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**Appendix:** ICT Estimated Revenue Spend over £10,000 per System

**Background papers:** ICT Asset Management Plan

**Wards Affected:** All

## Appendix 1 – Estimated Revenue Spend over £10,000

Product	Commodity Category	Cost
Wide Area Network	Network	£320,000
Microsoft Corporate Enterprise Agreement	Corporate Licensing	£189,400
Citrix	Corporate Licensing	£170,300
Housing Management (transition)	Line of Business System	£160,000
Microsoft Education Enterprise Agreement	Corporate Licensing	£92,000
Social Work Case Management	Line of Business System	£89,300
Education MIS	Line of Business System	£88,500
Automation Software	Line of Business System	£70,000
Revenue & Benefits	Line of Business System	£63,600
Local Area Network Support	Hardware Infrastructure	£63,300
Server Maintenance	Hardware Infrastructure	£52,500
Water Management	Line of Business System	£46,500
Leisure Management	Line of Business System	£45,500
Rent Arrears Management	Line of Business System	£45,000
Job Costing	Line of Business System	£43,500
Library Management Software	Line of Business System	£40,600
Energy Management	Line of Business System	£36,000
Finance Management	Line of Business System	£32,800
Planning & Building Standards	Line of Business System	£32,000
Roads – Lighting Management	Line of Business System	£27,500
2-factor Authentication Service	Corporate Licensing	£24,800
Corporate Arrears System	Line of Business System	£23,400
Asset Management	Line of Business System	£22,000
Wireless	Network	£21,300
Care Monitoring Scheduling	Line of Business System	£19,000
Backup Management	Hardware Infrastructure	£18,800
Construction Standards Management	Line of Business System	£18,700
Workforce Management	Line of Business System	£18,500
Environmental Services	Line of Business System	£17,800
Security Filtering Management	Hardware Infrastructure	£15,000
Local Government Digital Transformation	Corporate Licensing	£15,000
Education Teaching Materials	Line of Business System	£14,700
VMware Support Services	Hardware Infrastructure	£14,500
Election Management	Line of Business System	£14,500
Housing Benefits and Allocations	Line of Business System	£14,500
Performance Management System	Line of Business System	£14,300
Device Security Management	Hardware Infrastructure	£14,000
Employability Case Management	Line of Business System	£13,900
Vehicle Management System	Line of Business System	£13,500
Firewall Support	Hardware Infrastructure	£13,400

## WEST DUNBARTONSHIRE COUNCIL

### Report by Strategic Lead – People & Technology

**Corporate Services Committee: 19 February 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.
- Supplementary EU Assurance Plan at Appendix 2.

#### **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**

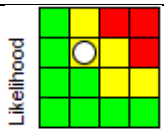
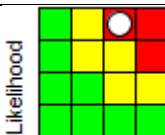

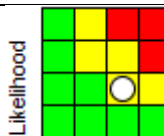
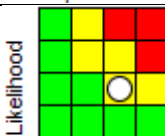
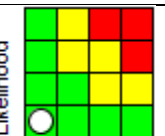

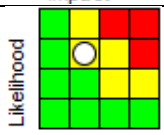
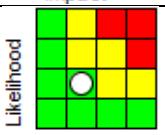
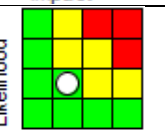

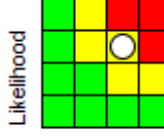
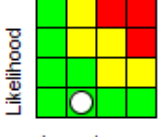
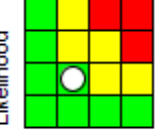

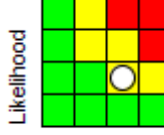
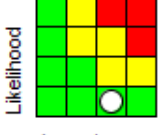
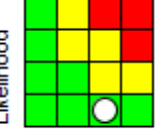

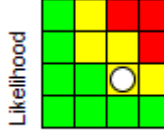
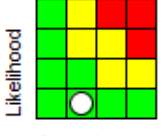
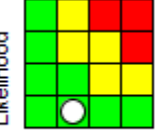


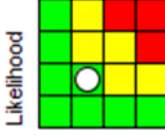
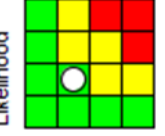

##### Strategic Risk

**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.

- 4.3** Due to the uncertainty surrounding EU Exit, SR011 has been assessed as high risk. This risk should stabilise over time once local impacts become clearer. There are 10 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 EU Exit plan (Appendix 2) will be utilised for reporting to this committee. SR011 is monitored by the Strategic EU Exit Group, a sub group of the Resilience Group.

**Table 1** Key Strategic Risk Information

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

<b>SR 008</b> Cyber Attack.				
<b>SR 009</b> Early Years Agenda.				
<b>SR 010</b> Resourced Workforce.				
<b>SR 011</b> EU Exit – no deal				

### Risk Methodology and Reporting

#### 4.4 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.

#### 4.5 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

Score	Descriptor
1	Unlikely
2	Likely
3	Very likely
4	Certain

## Impact

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

- 4.6** 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

- 4.7** 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.

## EU Exit

- 4.8** 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.
- 4.9** Following the general election on 12 December 2019, the UK is expected to leave the European Union (EU) on 31 January 2020. There remains considerable uncertainty about the longer-term implications of withdrawal from the EU. The Council’s Resilience Group continues work with the Civil Contingencies Service (CCS) in exploring the 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.
- 4.10** The Council has additionally developed an EU Exit Assurance Action Plan. The action plan is based on the National Planning Assumptions of reasonable worst-case scenarios. Within the Assurance Action Plan, a number of risks and mitigations have been identified. This continues to be a live document with updates made as required. This plan is appended and is available on the Council website.

## Business Continuity

- 4.11** A recent review of all Strategic Lead area Business Continuity Plans has ensured a robust standard of organisational resilience across the Council. This exercise has allowed service areas to identify critical functions and ensure the appropriate mitigation is in place. The Business Continuity Plans and EU Exit Assurance Action plan should complement the preparatory work for the EU Exit.

## **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 in 4.1 have been identified to complement the main strategic priorities.

**Name:** Victoria Rogers  
**Designation:** Strategic Lead People & Technology  
**Date:** 20<sup>th</sup> January 2020

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


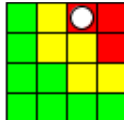
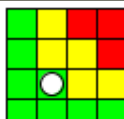
**Appendices:** Appendix 1: Detailed Strategic Risk List  
Appendix 2: EU Exit Assurance Plan


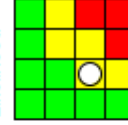



**Background Papers:** Report to Council on 25 October 2017 - West  
Dunbartonshire Council Strategic Plan 2017-22  
Risk Management Framework


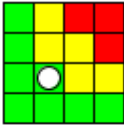
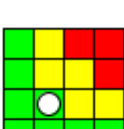





# Strategic Risk Report 2020 January Appendix1


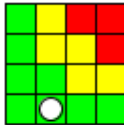
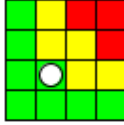
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SR 001					
	SR 001 Significant financial funding reductions from Scottish Government		Current Risk Matrix	Current Rating	Last Review Date
Description	The Council is faced with significant ongoing funding reductions from the Scottish Government. Austerity 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.	Likelihood  Impact	12	23-Dec-2019	
		Target Risk Matrix		Target Rating	Target Date
Potential Effect	Shortfall in finances and therefore the Council is unable to provide all services as intended.	Likelihood  Impact	4	31-Mar-2022	
Measures of Impact	<ul style="list-style-type: none"><li>- Reduction in government grant</li><li>- Demographic change (population decline/growth, aging population)</li><li>- Savings required including cutting level and/or quality of service provision</li><li>- Increased Debt (collection of Council Tax, HRA rents, etc)</li></ul>	Latest Note  Risk assessed and view remains as before - that there remains a high likelihood of significant funding reductions from the Scottish Government. This assessment is based on the recently reported Long Term Finance Strategy and the lack of future funding announcements from both UK and Scottish Governments. The Impact has been assessed and remains at Significant, as it is expected that whilst the potential value is high that the Council will require to manage any such funding reductions.			
Risk Factors	<ul style="list-style-type: none"><li>- Level of government grant</li><li>- Lack of time to plan for changes in the level of grant funding</li><li>- Welfare reform</li><li>- General inflationary factors</li><li>- Significant additional burdens - Capital receipts</li></ul>				
Internal Controls	<ul style="list-style-type: none"><li>- 10 year Financial Strategy subject to regular review</li><li>- Monitor and maintain General Services and Housing Revenue Account prudential targets</li><li>- Reporting and monitoring of Treasury Management Strategy</li><li>- Budgetary control process</li><li>- Regular budgetary control and savings monitoring reports provided to CMT and Council / committees</li><li>- Rigorous debt collection processes</li><li>- Annual Internal Audit Plan</li><li>- Work of External Auditors (external control)</li><li>- Annual Governance Statement - Procurement Improvement Plan</li></ul>	Managed By	Stephen West		
		Assigned To	Gillian McNeilly		
Progress of Linked Actions					
Risk Opportunity	<ul style="list-style-type: none"><li>- Annual exercise to identify efficiencies</li><li>- Projects to implement new ways of working (e.g. commercialisation, asset management)</li><li>- Enhance the reputation of the Council as an organisation which manages its finances soundly</li></ul>				


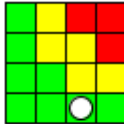
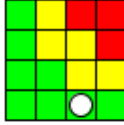



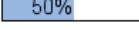




	<b>SR 002 Failure to implement broad-ranging school improvement to raise attainment and achievement</b>	<b>Current Risk Matrix</b>	<b>Current Rating</b>	<b>Last Review Date</b>
<b>Description</b>	This risk concerns the delivery of excellence and equity for our young people to support them to attain and 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 work streams to deliver a self-improving school system programme.	 Likelihood Impact	<b>6</b>	14-Jan-2020
<b>Potential Effect</b>	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	<b>1</b>	31-Mar-2022
<b>Measures of Impact</b>	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	<b>Latest Note</b>  We continue to maintain progress over time with ACEL. In P1, S3 and S4 attainment levels are maintained. In P4 and P7 improvements in numeracy and literacy have been very strong in comparison to 2016. Analysis of 2018/2019 data against national performance will be conducted in January 2020 following publication of ACEL data in December 2019.		
<b>Risk Factors</b>	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			
<b>Internal Controls</b>	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)	<b>Managed By</b>	Laura Mason	
		<b>Assigned To</b>	Julie McGrogan	
<b>Progress of Linked Actions</b>	E/1920DP/02DEI Develop and Deliver Educational Improvement Across West Dunbartonshire			Andrew Brown; Julie McGrogan
<b>Risk Opportunity</b>	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			


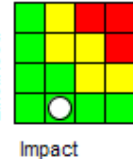
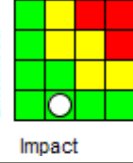

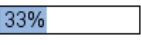
	SR 003 Councils Assets	Current Risk Matrix	Current Rating	Last Review Date
<b>Description</b>	Risk: That the Council's assets and facilities are not fully fit for purpose with consequent adverse impact on our ability to deliver efficient and effective services. Assets included in this assessment are; the Council's property portfolio, housing stock, roads and lighting, fleet and open space		<b>4</b>	15-Jan-2020
<b>Potential Effect</b>	<ul style="list-style-type: none"> <li>- Assets are not utilised in the most effective and efficient manner</li> <li>- Service cannot be properly delivered to the satisfaction of service users</li> <li>- Service users seek alternative service provision</li> <li>- Increase in reactive maintenance costs</li> <li>- Roads assets in poor conditions - Assets fail to meet relevant standards</li> </ul>		<b>4</b>	31-Mar-2022
<b>Measures of Impact</b>	<ul style="list-style-type: none"> <li>- Condition surveys</li> <li>- Suitability surveys</li> <li>- Road Condition SPI</li> <li>- Customer perceptions of service delivery</li> <li>- Investment levels in upkeep and improvement of asset base and facilities</li> <li>- Staff satisfaction - Operating costs and savings</li> </ul>	<b>Latest Note</b>	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.	
<b>Risk Factors</b>	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			
<b>Internal Controls</b>	<ul style="list-style-type: none"> <li>- Corporate Asset Management Strategy</li> <li>- Schools Estate Strategy</li> <li>- Capital Investment Team</li> <li>- Existence of Asset Management Group with meetings held on a regular basis</li> <li>- Property Asset Management Plan</li> <li>- HRA Capital Investment Programme</li> <li>- Capital plan</li> <li>- Roads and Lighting Asset Implementation Plan</li> <li>- Fleet Asset Implementation</li> <li>- Open Space Asset Implementation Plan</li> <li>- Detailed asset database that shows relevant information on a property by property basis</li> <li>- Sustainability Policy</li> <li>- Housing Improvement Board - Housing Improvement Plan - Housing Asset Management Strategy</li> </ul>	<b>Managed By</b>	Richard Cairns	
		<b>Assigned To</b>	Craig Jardine; Michelle Lynn; Gail Macfarlane; Jim McAloon; Alan Young	
<b>Progress of Linked Actions</b>	Regen/1920/AM/01 Review the Strategic Plan for the regeneration of the remaining schools estate including the production of a new Schools Estate Management Plan.		<div>75%</div>	Jim McAloon
	Regen/1920/AM/03 Deliver the allocated General Services investment programme projects for 2019/20		<div>80%</div>	Jim McAloon
	Regen/1920/HAI/02 Deliver the HRA Capital Investment programme for 2019/20.		<div>60%</div>	Jim McAloon
<b>Risk Opportunity</b>	- 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,			

	<p>roads upgrade programme, vehicle replacement programme, greenspace upgrade projects)</p> <ul style="list-style-type: none"><li>- Enhance employee "feel good" factor by providing modern office accommodation equipped with up to date IT facilities</li><li>- Secure external funding for development of assets (e.g. EC, lottery, Historic and Environment Scotland)</li><li>- Prioritised Building Upgrade Plan</li><li>- 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.</li><li>- The effect of these energy efficiencies has demonstrated that significant savings and environmental benefit can be achieved through the utilisation of developing technology.</li></ul>
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	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	 Likelihood Impact	2	24-Dec-2019
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.	 Likelihood Impact	4	31-Mar-2022
Measures of Impact	<ul style="list-style-type: none"> <li>- Degree of compliance with security controls to prevent data loss through poor o/s patching, cyber-attack, firewall configurations etc.</li> <li>- Extent of wireless connections in the Council network – all schools and refurbished Office accommodation complete</li> <li>- Number of ICT Help Desk calls resolved within half day - exceeding target of 35%. Target was increased.</li> <li>- 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 mgmt. self-service, increased volume of web and intranet traffic, streamlined financial and purchasing processes, document management.</li> <li>- Fit for purpose Council website, delivering information and services to a significant percentage of the Council's customers.</li> <li>- 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.</li> <li>- 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.</li> <li>- Broadband speed in the Council area - WDC has 2nd highest broadband speeds in Scotland. Investigating funding options for fibre network.</li> </ul>	Latest Note	Dec 19. There is continued Investment in technology refresh as well as a strong focus on digital transformation, thereby reducing the likelihood of this risk.	
Risk Factors	Insufficient resourcing of ICT developments so that benefits and opportunities identified are not realised <ul style="list-style-type: none"> <li>- 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.</li> <li>- Poor project and programme change management arrangements.</li> <li>- Poor quality of mobile communication provision.</li> <li>- Poor uptake on channel shift</li> </ul>			
Internal Controls	<ul style="list-style-type: none"> <li>- Capital programme established for technology refresh projects</li> <li>- Information &amp; Communication Technology (ICT) Policy</li> <li>- 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</li> <li>- Use of both internal IT resources from across the Council and skilled specialist advisers in key areas</li> </ul>			
		Managed By	Victoria Rogers	
		Assigned To	James Gallagher; Patricia Kerr; Brian Miller	


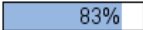

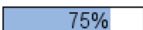

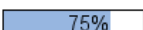
	- Fit for purpose data centre (with remote back up site). New shared data centre went live in Dec 2014 and new WDC data centre live January 2018. WDC and EDC are taking a lead role on data centre sharing across Scotland			
<b>Progress of Linked Actions</b>	P&T/1920/ICT/01 Transformation & Channel Shift		<div><div>75%</div></div>	Patricia Kerr
	P&T/1920/ICT/02 Explore Sharing Opportunities		<div><div>66%</div></div>	Patricia Kerr; Victoria Rogers
	P&T/1920/ICT/03 Deliver a secure and resilient IT Infrastructure		<div><div>37%</div></div>	Patricia Kerr; Victoria Rogers
	P&T/1920/ICT/04 Implement ICT Service Improvements		<div><div>57%</div></div>	Patricia Kerr
<b>Risk Opportunity</b>	<ul style="list-style-type: none"> <li>- annual network penetration tests</li> <li>- Annual PSN compliance audit</li> <li>- Annual External Audit on ICT Controls</li> <li>- Continued investment and Modernisation of ICT infrastructure and its focus on network security and resilience.</li> <li>- Provide 21st century state of the art technology for employees and service users</li> <li>- Rationalise IT systems</li> <li>- Use of innovative IT linked service delivery models to effect change</li> <li>- Provide Council employees with secure access to email and supporting systems at times and locations of choice</li> </ul> <p>Increased use of mobile devices e.g. tablet devices and mobile phones.</p> <ul style="list-style-type: none"> <li>- Provide self-service style systems to employees and the local community</li> </ul>			


	SR 005 Partnerships	Current Risk Matrix	Current Rating	Last Review Date
<b>Description</b>	The Council fails to engage adequately with partnership bodies		<b>3</b>	15-Jan-2020
<b>Potential Effect</b>	failure of partnership impacts on Councils obligations under Community Empowerment Act		<b>3</b>	31-Mar-2022
<b>Measures of Impact</b>	Successful delivery of LOIP and supporting plans positive partnership inspections	<b>Latest Note</b>	As per previous assessment, this risk is unlikely as a result of the significant range of partnership arrangements in place	
<b>Risk Factors</b>	<ul style="list-style-type: none"> <li>- inability to deliver improved outcomes which require strong partnership activity</li> <li>- Council's reputation is adversely affected through a failed partnership arrangement</li> </ul>			
<b>Internal Controls</b>	<ul style="list-style-type: none"> <li>- Robust partnership arrangements through community planning partnership</li> <li>- Align the Council's strategic plan with the Local Outcome Improvement Plan (LOIP)</li> <li>- Ensure that partners have signed up to deliver on the outcomes and targets set in the LOIP</li> <li>- Develop data sharing protocols with partner agencies</li> <li>- Participate in reform agenda as it impacts on Council area</li> </ul>	<b>Managed By</b>	Amanda Coulthard	
		<b>Assigned To</b>	Amanda Coulthard	
<b>Progress of Linked Actions</b>	CCCF/1920/P&S/01 Support Community Planning West Dunbartonshire to further develop locality planning and involvement in line with the Community Empowerment Act			Amanda Coulthard
	CCCF/1920/P&S/04 Ensure robust data and analysis is available to support decision making across all services			Amanda Coulthard
	CCCF/1920/P&S/06 Review and embed frameworks which support continuous improvement and best value across the organisation			Amanda Coulthard
	GOV-18-008 8. Partnership risk			Malcolm Bennie
<b>Risk Opportunity</b>	- Position West Dunbartonshire as a modernising Council			









	SR 006 citizens and communities	Current Risk Matrix	Current Rating	Last Review Date
<b>Description</b>	The risk is that the Council does not establish or maintain positive communications with local residents and the communities it represents		<b>2</b>	14-Jan-2020
<b>Potential Effect</b>	- Tensions develop with citizens and local community groups		<b>2</b>	31-Mar-2022
<b>Measures of Impact</b>	- informed and engaged citizens participating in consultation activity	<b>Latest Note</b>	Risk assessed, no change.	
<b>Risk Factors</b>	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			
<b>Internal Controls</b>	<ul style="list-style-type: none"> <li>- Ensure robust mechanisms for public feedback (Embedding the Strategic Engagement Framework)</li> <li>- Annual budget consultation events</li> <li>- Citizens Panel</li> <li>- Open Forum questions at Council meetings</li> <li>- continue to deliver 4 issues of housing news each year</li> <li>- delivery of effective communications and public information through social media</li> <li>- use of telephone survey</li> </ul>	<b>Managed By</b>	Malcolm Bennie	
		<b>Assigned To</b>	Amanda Coulthard; Amanda Graham	
<b>Progress of Linked Actions</b>	CCCF/1920/COT/03 Increase social media audience (to 40%) and engagement (to 1.5m) across each platform through continually evaluating our approaches to social media and responding to social media trends and evolution			Amanda Graham
<b>Risk Opportunity</b>	Community Empowerment Act participation requests asset transfer			


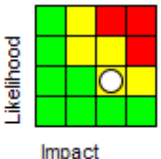


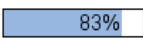



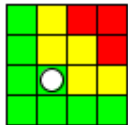
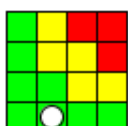




✓	SR 007 Health and Safety of Employees and Others	Current Risk Matrix	Current Rating	Last Review Date
<b>Description</b>	Failure to meet the Council's duty to protect the health, safety and welfare of its employees and other people who might be affected by its business, either in the provision of an effective health and safety management system or in ensuring adherence to that system as part of an embedded health and safety culture.		<b>4</b>	30-Dec-2019
<b>Potential Effect</b>	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.		<b>4</b>	31-Mar-2022
<b>Measures of Impact</b>	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.	<b>Latest Note</b>	Actions to mitigate this risk are progressing as planned.	
<b>Risk Factors</b>	Resources, robust policies and practices, adequate H&S strategy.			
<b>Internal Controls</b>	<ul style="list-style-type: none"> <li>• Council has in place a robust H&amp;S policy and strategy (and separate Fire Risk Management Strategy) that includes service specific health and safety plans, duties and responsibilities for Strategic Directors, Strategic Leads, managers and employees.</li> <li>• Adequate H&amp;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.</li> <li>• Embedded H&amp;S culture that discusses H&amp;S issues at a top level and cascades throughout the organisation through the health and safety committee system.</li> <li>• Monthly reports to PaMG on organisational safety performance.</li> <li>• Each link H&amp;S Officer attends Service Strategic Lead meeting to report on service safety performance</li> <li>• Services have H&amp;S committees at Service and Directorate level.</li> <li>• Workplace inspection and audit programme.</li> <li>• Service risk profiling.</li> <li>• H&amp;S training needs analysis for every employee group.</li> <li>• Toolbox talks take place at directorate level.</li> <li>• The Council has in place a Trade Union Health and Safety Partnership Agreement.</li> </ul>	<b>Managed By</b>	Victoria Rogers	
		<b>Assigned To</b>	John Duffy; Alison McBride	


	<ul style="list-style-type: none"> <li>Council promotes health and safety training for TUs to diploma level.</li> </ul>			
<b>Progress of Linked Actions</b>	P&T/1920/H&S/01 Embed an organisational health and safety culture through extending organisational use of Figtree and understanding of health & safety			Alison McBride
	P&T/1920/H&S/02 Increase understanding of Council Fire Risk Management Strategy.			Alison McBride
	P&T/1920/H&S/03 Undertake a review of the effectiveness of Council approach to risk management and implement improvement action as appropriate.			Alison McBride
<b>Risk Opportunity</b>	Demonstrate to committees, elected members, Trade Unions, employees, the community and other external partners of robust H&S culture.			






	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.	<div><div>Likelihood</div><div><div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div></div><div>Impact</div></div></div>	6	15-Jan-2020
Potential Effect	<ul style="list-style-type: none"><li>• Disruption of Services impacting service delivery to citizens</li><li>• Loss of Data</li><li>• Staff and Citizen data loss with the potential for misuse such as identity fraud</li><li>• Mis-information being delivered to the public via WDC communication channels</li><li>• Potential for significant fines currently under the Data Protection Act and from May 2018 under the provisions of the General Data Protection Regulations</li><li>• Reputational damage</li><li>• Redirection of resources to deal with the effects of an attack and away from BAU work</li></ul>	<div><div>Likelihood</div><div><div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div></div><div>Impact</div></div></div>	4	31-Mar-2022
Measures of Impact	<ul style="list-style-type: none"><li>• Recorded attempts from external sources to breach council cyber defences</li><li>• Recorded cyber related incidents in the Cyber incident log</li><li>• Quantity of breaches/incidents reported to the Information Commissioners Office</li><li>• Fines levied for breaches</li></ul>	Latest Note	Outputs from the Annual IT Penetration & Health check have been received, evaluated and any rectification works are in progress. The WDC PSN assessment submission is due 18th February 2020 with pre-submission 23rd Jan 2020. The Chief security officer for Digital Office has been in contact with WDC and has advised WDC to revisit adoption of the digital IA Maturity assessment. ICT are developing an action plan based on this and will submit to next ICT Steering board.	
Risk Factors	<ul style="list-style-type: none"><li>• Inappropriate Cyber defences at the perimeter of the council networks</li><li>• Inappropriate delivery of security patches to desktop and server estates</li><li>• Compliance with security standards such as PSN, PCI, Public Sector Action Plan on Cyber resilience for Scotland</li><li>• Continually changing threat landscape</li><li>• Maintaining relevant skill sets among staff group/cost of securing expert resources</li></ul>			
Internal Controls		Managed By	James Gallagher;	

	<ul style="list-style-type: none"><li>• Implementation of internal Policies on Patching and hardware/software hardening</li><li>• Annual PSN compliance audit including a comprehensive IT Health Check</li><li>• Governance structure in place, ICT Board consisting of senior management and relevant stakeholders meeting once per month or as required in response to incidents/events</li><li>• Programme of Internal and External ICT audits</li><li>• PCI working group</li><li>• Information Security/Data Protection forum</li><li>• Multiple layers of Cyber defences Network Segration</li><li>• Rolling programme of security awareness sessions</li><li>• Interagency and cross Council working groups and sharing.</li><li>• National Digital Office / Scottish Government Public Sector Security programme and guidance</li></ul>		Patricia Kerr; Brian Miller	
		Assigned To	Iain Kerr	
Progress of Linked Actions	CS/IAAP/519 1. Underlying Technical Controls required to facilitate automatic failover to DR site still to be configured/tested		<div><div>100%</div></div>	Patricia Kerr
	CS/IAAP/520 2. DR Plans for the main telephony delivery systems have yet to be implemented/tested		<div><div>100%</div></div>	Patricia Kerr
	CS/IAAP/521 3. Systems without parallel DR arrangements are not fully tested		<div><div>100%</div></div>	Patricia Kerr
	CS/IAAP/525 7. Lack of formal DR testing schedule at primary DR site		<div><div>100%</div></div>	Patricia Kerr
	P&T/1920/ICT/01 Transformation & Channel Shift		<div><div>75%</div></div>	Patricia Kerr
	P&T/1920/ICT/02 Explore Sharing Opportunities		<div><div>66%</div></div>	Patricia Kerr; Victoria Rogers
	P&T/1920/ICT/03 Deliver a secure and resilient IT Infrastructure		<div><div>37%</div></div>	Patricia Kerr; Victoria Rogers
	P&T/1920/ICT/04 Implement ICT Service Improvements		<div><div>57%</div></div>	Patricia Kerr
Risk Opportunity	<ul style="list-style-type: none"><li>• Increase Cyber resilience and awareness for staff, members and citizens</li><li>• Contribute to Scottish Government Public Sector Action Plan on Cyber resilience for Scotland</li><li>• Upskill staff to address current and emerging threats</li><li>• Increased staff awareness across Council</li></ul>			

SR 009 Failure to deliver the Early Years Agenda				
		Current Risk Matrix	Current Rating	Last Review Date
				
<b>Description</b>	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.		<b>6</b>	05-Nov-2019
<b>Potential Effect</b>	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		<b>3</b>	31-Mar-2022
<b>Measures of Impact</b>	Care Inspectorate standards Key project milestones Scottish Government requirements Parental expectations Key personnel positions	<b>Latest Note</b> Seven childminders are now delivering the blended model.		
<b>Risk Factors</b>	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			
<b>Internal Controls</b>	Reports to Education Services Committee Early Learning and Childcare Strategy 2016 - 20 Care Inspectorate Children and Young Peoples Act (S) 2014 Education Governance Board Early Years Implementation Board Financial reports - budget monitoring and review Inter departmental working Partnership SLA's Workforce Development Change Board updates	<b>Managed By</b> Laura Mason <b>Assigned To</b> Kathy Morrison		
<b>Progress of Linked Actions</b>	E/1920DP/11EYS Deliver the Early Years Strategy			Andrew Brown
<b>Risk Opportunity</b>	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			

	<b>SR 010 Ensure an appropriately resourced workforce.</b>	<b>Current Risk Matrix</b>	<b>Current Rating</b>	<b>Last Review Date</b>
<b>Description</b>	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.	 Likelihood Impact	<b>4</b>	06-Nov-2019
<b>Potential Effect</b>	<ul style="list-style-type: none"> <li>- Low staff morale</li> <li>- Inability to deliver services effectively</li> <li>- Reduced level of service</li> <li>- Lack of improvement or increase in staff absences</li> <li>- Council underachieves as an organisation</li> <li>- Employee conflict</li> </ul>	 Likelihood Impact	<b>2</b>	31-Mar-2022
<b>Measures of Impact</b>	<ul style="list-style-type: none"> <li>- Access to and participation of employees in learning and development activities</li> <li>- Absence rate and trends</li> <li>- Employee turnover</li> <li>- Grievance, discipline and other monitoring information</li> <li>- Employee survey results and associated actions</li> <li>- Reports from external scrutiny bodies and award bodies</li> <li>- Benchmarking with appropriate comparators</li> </ul>	<b>Latest Note</b>	Employee survey results showing indication that workforce development programmes are having an impact	
<b>Risk Factors</b>	<ul style="list-style-type: none"> <li>- Lack of appropriate development / shortage of skills may pose a risk to new models of service delivery</li> <li>- Lack of capability to deliver</li> <li>- Workforce unable to adapt to change</li> </ul>			
<b>Internal Controls</b>	<ul style="list-style-type: none"> <li>- HR processes designed to meet service delivery needs</li> <li>- Develop new structures to reflect strategic priorities and aligned to Future Operation Model (FOM)</li> <li>- 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)</li> <li>- Periodic review of pay arrangements in accordance with EHRC guidance (currently every 3 years)</li> <li>- Incorporation of succession planning into workforce planning framework</li> <li>- Identify training programmes to reskill staff as identified by training needs analysis</li> <li>- Effective use of SWITCH to support alternative careers</li> <li>- Flexible HR policies, in particular recruitment &amp; selection, learning &amp; development (including eLearning), continuous improvement / development flexible working, attendance management, employee wellbeing related policies</li> <li>- Effective use of Occupational Health Service</li> <li>- Robust Be the Best Conversations process</li> <li>- Effective leadership and management behaviours and practice</li> </ul>	<b>Managed By</b>	Victoria Rogers	
		<b>Assigned To</b>	Alison McBride	
<b>Progress of Linked Actions</b>	P&T/1920/OD/01 Continue to progress and deliver a variety of development opportunities such as Lean/Six Sigma, New Managers Induction, build digital literacy workforce knowledge & skills and relaunch the Coaching & mentoring Programme		<div><div>33%</div></div>	Alison McBride
	P&T/1920/OD/03 Monitor the impact of Be The Best Conversations council wide.		<div><div>75%</div></div>	Alison McBride
	P&T/1920/SHR/01 Address workforce equalities objectives		<div><div>60%</div></div>	Alison McBride
	P&T/1920/SHR/02 Review and relaunch the Council's Employee Wellbeing Strategy.		<div><div>60%</div></div>	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		<div>20%</div>	Alison McBride
<b>Risk Opportunity</b>	<ul style="list-style-type: none"> <li>- Identity previously unknown skills and talents in the workforce</li> <li>- Realise the potential of staff</li> </ul>			

Risk Status	
	Alert
	High Risk
	Warning
	OK
	Unknown





**West Dunbartonshire Council**  
**EU- Exit Assurance Action Plan – January 2020 Appendix 2**

**Background:** The themes of Issues/Risks identified below are based on the Scottish Planning assumptions. This document will remain live, and regularly updated throughout the response to any “No Deal” EU Exit, or delay of Article 50.

Broad Risk	Action	Comments – Martin Keeley – Updated - Environmental Health Manager 23 <sup>rd</sup> October 2019
<p>Congestion at sea ports &amp; airports through delayed processes with potential impacts to:</p> <ul style="list-style-type: none"> <li>- Ports / Airports</li> <li>- Warehouse distribution centres</li> <li>- Motorway / Trunk Road network</li> <li>- Rail Network</li> </ul>	<p>Potential requirement / funding case to Scottish Government has been submitted for a minimum of 2 and a maximum of 4FTE officers in Environmental Health, this will depend on the need to engage in food import controls and / or enhanced export certification work to support the Scottish food sector.</p> <p>Requirement to directly deliver controls or the requirement to assist other food authorities in these matters (Regional / National Hubs for food export certification or port health controls for food import)</p> <p>Signposting of Scottish Government EU Exit website providing information on passports / personal travel  <a href="https://www.gov.scot/brexit/">https://www.gov.scot/brexit/</a></p>	<p>WDC EH Manager is linked in through the Scottish Food Enforcement Liaison Committee to work with groups looking at EU Exit implications. While the position is being led nationally, by DEFRA, they are supportive of the work of the Scottish Food Enforcement Liaison Committee who has developed a deliverable risk based system (resource dependent). WDC EH Manager is linked to the various groups involved (including APHA, Scottish Government, Food Standards Scotland and Food Authorities (Local Authorities)</p> <p>Scottish Government is aware of potential bottlenecks in the delivery of the system, with Local Authorities potentially having to resource hubs for delivery of the system. £8M of funding has been identified for Scottish LAs to fund Export Health Certification (EHC) activities in a no deal scenario. LAs have been invited to bid for funds to resource Export Health Certification. WDC have bid for funds for Environmental Health resource (submitted on the 24<sup>th</sup> October)</p> <p>Through the funding request from CoSLA. WDC have proposed to re-establish EHO trainee positions. The funding, potentially ring-fenced would support this request</p> <p>The Scottish position of certification based on risk for Products of Animal Origin (POAO) has been accepted and adopted as the UK position. As of 23/10/2019, DEFRA issued the technical guidance for the risk based approach for EU exports (exports from the UK to the EU) in the event of a no deal scenario</p>

Broad Risk	Action	Comments – Martin Keeley – Updated - Environmental Health Manager 23 <sup>rd</sup> October 2019
		<p>Groups are working on the basis of a Reasonable Worst Case Scenario (RWCS). In such a scenario, the national demand for food export Health Certification is predicted to exceed capacity. Food shortages are likely to impact on all businesses. Within the Council work has been undertaken to minimise any potential disruption</p> <p>Capacity for import does not exist in Scotland and is limited UK wide. Discussions at a UK level and Scottish level are ongoing to determine the level of need and the development of capacity to meet such need.</p> <p>The likelihood of WDC becoming a port authority for food is unknown. The demand for an establishment of an export hub(s) in WDC also unknown.</p> <p>Information on DPEs and BIPs related to the EU are given here along with a Brexit reference.  <a href="https://ec.europa.eu/food/safety/official_controls/legislation/imports/animal_en">https://ec.europa.eu/food/safety/official_controls/legislation/imports/animal_en</a>  <a href="https://ec.europa.eu/food/safety/official_controls/legislation/imports/non-animal_en">https://ec.europa.eu/food/safety/official_controls/legislation/imports/non-animal_en</a>  <a href="https://ec.europa.eu/food/animals/vet-border-control/bip_en">https://ec.europa.eu/food/animals/vet-border-control/bip_en</a></p> <p>Network Rail have produced a Risk Management Document, along with other EU Exit materials; providing reassurance that measures will be taken to ensure network operation.</p>

Disruption to Service			
Broad Risk	WD Impact	Action	Comments Jen Watt Civil Contingencies Officer - Updated 24 <sup>th</sup> October 2019
Reduction, delay or stoppage in supply of medicines and medical supplies.			Please see bespoke HSCP Action Plan.
Reduction, delay or stoppage in movement, holding of animals and supply of veterinary medicines / supplies	-Concerns with regards to livestock welfare and disposal	Continued engagement with APHA and DEFRA	This has been deemed a risk. APHA and DEFRA look after the animal movements and it's under vet control for medicines etc. for farm animals
Reduction, delay or stoppage in supplies of other consumables	<ul style="list-style-type: none"> <li>- Impacts on capital or infrastructure projects, e.g. new school at Renton</li> <li>- Impacts on other services provided through other nations, e.g. software</li> <li>- Impact to Chemicals (Leisure Trust)</li> </ul>	<p>Services to consider supply and projects in line with significant assurance work carried out by Procurement. Supply, etc. which is continually monitored.</p> <p>Continued engagement with Facilities Manager re school and care home provisions. <b>Refer to Broad Risk:</b> Certain types of fresh food may decrease /prices of certain foods may increase</p> <p>Check on existing and future contracts in terms of where the risk lies. (service led)</p>	<p>Considerable work carried out by Scotland Excel to provide assurances.</p> <p>The Corporate Procurement Unit (CPU) sent out a supplier / provider questionnaire however of the suppliers / providers that did respond, those responses were generic. The CPU also sent out questionnaires to the Council's service areas to ascertain contingency plans should a supplier / provider not meet the specification / delivery due to Brexit</p> <p>REG and Legal to check on existing and future contracts in terms of where the risk lies.</p> <p>Scottish Water / UK Water Suppliers have provided written assurance that their supply will be maintained</p>

Disruption to Service			
Broad Risk	WD Impact	Action	Comments Jen Watt Civil Contingencies Officer - Updated 24 <sup>th</sup> October 2019
	<p>- Polyaluminium Chloride (PAC) – supplier: Brenntag UK</p> <p>-Calcium Hypochlorite (HTH) – supplier: Brenntag UK</p> <p>-Carbon Dioxide – supplier: Air Products UK</p>	<p>WD Leisure continuing to monitor</p> <p>WD Leisure continuing to monitor</p> <p>WD Leisure continuing to monitor</p>	<p>There is currently a maintenance outage at the Runcorn plant causing a shortage of hydrochloric acid. This is one of the main components of PAC. It has been advised that Scottish Water will be prioritised if shortages become critical. However, PAC and other components that make up the product are all produced in the UK; therefore EU-Exit will not be an issue</p> <p>HTH is imported from the USA and this could be affected by EU-Exit. WD Leisure has stocked up a 3 month supply. HTH will be transported in shipping containers with electronic paperwork send in advance to minimise delays</p> <p>This is being reported as ‘business as usual’. WD Leisure has supplies of sodium bisulphate as an alternative to CO2 for pH control</p>
Impact upon low impact groups as a result of lack of supply of foods or price increase of fuel, food, etc.	<p>- Potential welfare requirements (including Welfare Fund) enhanced</p> <p>- Potential impacts upon foodbanks etc.</p>	<p>Engagement with Working 4U/Communities Teams to gauge how foodbanks may be affected / can be linked in with</p> <p>Consideration on messaging with regards to the type of supplies foodbanks need</p>	<p>Risk of additional costs due to welfare needs of the public. WDC has also agreed to provide funding to support two local foodbank charities, though not necessarily as a result of the potential impact of EU- Exit. The food banks have built strong a relationship with the Council. As such, this will enable regular monitoring of potential impacts caused by a No Deal Exit and allow concerns to be raised using appropriate and recognised channels</p> <p>Campaign to encourage donations to West Dunbartonshire Community Foodbanks is ongoing. Activity on the Intranet to encourage officers to donate &amp; highlighting thanks for those who have donated to keep the project relevant</p>

Disruption to Service			
Broad Risk	WD Impact	Action	Comments Jen Watt Civil Contingencies Officer - Updated 24 <sup>th</sup> October 2019
		<p>Consider the level of social welfare funding available against potential need (W4U - include consideration of fuel poverty)</p> <p>Continued engagement with local food banks</p>	<p>Foodbanks currently have <b>sufficient</b> stock supplies and money to purchase stock if it was to run low. They have highlighted that their social media campaigns have typically led to upsurge in donations, which continues to be the case. The group has contact with the Communities Team with regards community budgeting grants</p> <p>Working 4U liaise with local organisations (foodbanks and third sector organisations) providing access to low cost cafes and support for 'food on a budget' for people with limited resources. The aim is to work with key organisations to develop an action plan that will include action to:</p> <ul style="list-style-type: none"> <li>• Raise awareness of the need for services;</li> <li>• promote availability of food and services;</li> <li>• maintain/increase supplies of food and donations to the organisations (from individuals, local business, public and third sector organisations);</li> <li>• Support access to additional funds for the provision of food</li> </ul>
Fuel Supply Disruption	<ul style="list-style-type: none"> <li>- Potential requests for Council Resources</li> <li>- Potential impact on Council reserves</li> </ul>	Roads / Transportation to consider ensuring Council reserves are at optimal levels and processes in the event of requests from partner agencies	<p>Scottish Government planning assumptions suggests there will not be an impact on fuel levels, etc. Recent discussions with Energy Sector have provided reassurance in this area and confirmed that Scottish stocks are sufficient</p> <p>There will be <b>no provision</b> to stock pile fuel. WDC do not have the capacity to store any more fuel. Fuel delivery tankers bring in 8-10,000 litres per delivery as required</p> <p>WDC do not envisage any issue with fuel deliveries as supplies are sourced from creditable fuel suppliers</p>

Disruption to Service			
Broad Risk	WD Impact	Action	Comments Jen Watt Civil Contingencies Officer - Updated 24 <sup>th</sup> October 2019
			As highlighted in the UK planning assumptions to date the only foreseen potential for disruption to fuel supplies is for London and South East England. This is being associated to traffic congestion & linked customer behaviours rather than supply shortages
Increased unemployment as a result of economic disruption	<ul style="list-style-type: none"> <li>- Greater number of people in receipt of benefits with additional knock-on demand for support services. Including welfare/debt advice, employability support and discretionary welfare payments</li> </ul>	<p>Working 4U will work with strategic partners to ensure information about access to services is widely available</p> <p>Continued review of services to ensure increasing areas of demand are addressed</p>	<p>Working 4U will coordinate efforts of service providers through joint working with strategic partners in:</p> <ul style="list-style-type: none"> <li>• The West Dunbartonshire Information and Advice Partnership</li> <li>• The local strategic employability group</li> </ul>
Certain types of fresh food may decrease /prices of certain foods may increase	<ul style="list-style-type: none"> <li>- Potential additional costs for services/that purchase/supply foods to increase by up to 20%</li> <li>- Impacts on food provision at schools, care homes, etc.</li> </ul>	<p><b>Short term:</b> Consider earmarking additional resource, or consider use of prudential reserve if required</p> <p><b>Long term:</b> Consider building in additional costs into the long term finance strategy based on evidence post- EU Exit</p>	<p>WDC 19-20 budget for supply of food to Education and HSCP is set. Risk of additional costs</p> <p>The risk of cost increases arising from EU-Exit has been advised to Council in the budget preparation reports since October 2018. The budget report advises that any price variations will be reported and that it is expected that the Council would manage such price variations should they arise through ongoing budgetary control and, if necessary, use of free reserves</p>

Disruption to Service			
Broad Risk	WD Impact	Action	Comments Jen Watt Civil Contingencies Officer - Updated 24 <sup>th</sup> October 2019
			<p>Facilities Services maintain a very limited stock of tinned and dried food that is maintained year round, in case of single premise emergencies – while this is not EU Exit specific, it could be utilised in the event of a localised issue being experienced</p> <p>At this stage, and in line with Scottish Government and CoSLA advice, there is <b>no intention</b> to stock pile beyond this contingency as storage capacity as freezer space prohibits this. In addition, nursery and school meals are produced in line with national legislation which details nutrient requirements. Most meals are therefore produced using fresh fruit, vegetables and other produce which has an extremely limited shelf-life and is not suitable for stock-piling</p> <p>Additionally, there is a requirement by Scottish Government that in the event of a no deal EU-Exit authorities are required to continue to ensure compliance with national nutritional standards. This could require significant resource input and also sourcing of alternative products</p> <p>Without detailed knowledge on the nature of the final EU-Exit arrangements it is impossible to accurately identify the physical or financial impact other than to anticipate significant cost increases for food provisions and therefore increased expenditure in this area by the Council for the provision of nursery and school meals. This potential additional expenditure has been highlighted to CoSLA on our submission of their Brexit Cost template</p>

Information & Data Sharing			
Broad Risk	WDC Impact(s)	Action	Comments Victoria Rogers, Strategic Lead People and Technology /Stella Kinloch, Section Head Transactional Services - Reviewed– 25 <sup>th</sup> October 2019
Disrupt in flow of personal data due to legal requirements affecting law enforcement / intelligence sharing between UK & EU	<ul style="list-style-type: none"> <li>- Delay in PVGs, significant impact on teaching &amp; care staff</li> <li>- SSSC registration requirements</li> </ul>	Seek information / assurance / guidance from Scottish Government	<p>Scottish Government Update in relation to PVGs is as follows:            “Disclosure Scotland currently uses arrangements under the Directive and Council Decision to request information from 12 Member States for nationals of those Member States to work in childcare positions in Scotland. If the UK should leave the EU without a deal then the arrangements will end</p> <p>In the short-term, recruiting organisations will have to make use of certificates of good conduct provided by the individual. Disclosure Scotland isn’t involved in that process. PVG disclosure requests will rely on information held in UK records only, and will be handled in line with the 14-day service level target”</p> <p>The above remains current</p>



Demonstrations & Disorder			
Broad Risk	WDC Impact(s)	Action	Comments
Increase in protests in relation to: - EU Exit - Scottish Independence - Irish / Northern Irish tension	- Increased license requests - Lack of Police / Partner resourcing to events	Ensure awareness with relevant Leads / Officers for this	Police intelligence is currently that there is no activity planned


Workforce			
Broad Risk	WDC Impact(s)	Action	Comments
			<b>Victoria Rogers, Head of People and Technology/Stella Kinloch Section Head, Transactional Services – Updated- 9<sup>th</sup> January 2020</b>
Loss of staff – both highly skilled and lower skilled / entry level	- Impact on Care for People. Agency Staff  - Significant concern in Education regarding supply teachers, learning assistants, probationer allocations and officers with language skills  - Potential impact on school transportation	Signposting of key information / support in relation to EU Workers within the Council <a href="https://www.gov.scot/brexit/">https://www.gov.scot/brexit/</a>  Education is revising processes with regards recruitment to reflect guidance and in relation to engagement with universities on earlier allocation of probationers  Education to liaise with SPT & taxi contractors	EU Nationals have already been identified within the organisation, letters have been issued. Managers have access to a Right to Work report within HR21. A key element will be to offer continued engagement with all affected parties  REG to consult with existing contractors to seek assurance of continued project plans or the contingencies they have in place  Planning for Settled Status assistance clinics are available within HR Connect to access online government systems where staff groups require further assistance, particularly those with limited PC literacy  WDC HR has identified 31 employees with contractual obligation whose origin is EU or EEA

Workforce			
Broad Risk	WDC Impact(s)	Action	Comments Victoria Rogers, Head of People and Technology/Stella Kinloch Section Head, Transactional Services – Updated- 9 <sup>th</sup> January 2020
	-Potential risk if contracts are subcontracted companies employing EU-nationals		<p>The current position for employees is to apply for settled or pre-settled status by 30 June 2021. However, if the UK leaves without a deal this date is brought forward to 31 Dec 2020. All employees and line managers have been advised of the requirement and process to apply</p> <p>A full review of all employee roles and impact on each service area has been undertaken and there is a <b>low risk</b> to service delivery as there are no unique or difficult to fill positions identified, nor one single service impacted significantly</p> <p>The ability to identify individuals and line managers is readily available to HR and full individual support can be offered in the event of deadlines changing. HR Connect Section Head continues to monitor for any change notifications.</p> <p>Plans to review and advise employees is set for early 2020 providing employees with a year to conclude the application process for the earlier of the 2 dates, with continuous monitoring by HR through this period</p> <p><b>Education</b> – School taxis and SPT will be addressed by procurement as all contracts are arranged via the Procurement route.</p>

Other Considerations			
Broad Risk	WDC Impact(s)	Action	Comments Stephen West – Updated Revenue Spend, December 2019
<p>EU Funds / Grants</p> <p>Impact on the European Structural Fund</p>	<p>- Ongoing projects, planned projects or staffing that are reliant on EU funding, either directly or indirectly through the Scottish Government</p> <p>- Impact on outstanding allocations of structural funding committed by Managing Authorities under the 2014-2020 programmes</p>	<p>Scottish Government has provided written reassurance that ESF will be continued in current form until 2023</p> <p>The UK Govt has stated that under a 'NO-deal Brexit', HM Treasury will honour the outstanding allocation</p>	<p>Assurance has been provided by the Scottish Government and circulated to Resilience Group. ESF, ERDF &amp; ETC projects signed by end of 2020 are covered by a UK Guarantee - <a href="https://www.gov.uk/government/news/funding-from-eu-programmes-guaranteed-until-the-end-of-2020">https://www.gov.uk/government/news/funding-from-eu-programmes-guaranteed-until-the-end-of-2020</a></p> <p>2023 commitments remains in place and will be funded by the UK Govt. There is uncertainty whether this will cover all European spend</p> <p>Hilary Pearce Head of European Structural Funds and State Aid Division is fully engaging with other Managing Authority heads across the UK and in relevant UKG departments to ensure her and her team are kept up to date with developments</p> <p>Additionally – In the expectation of the UK's exit from the EU. The European Commission (EC) has issued two regulations that would allow the UK to remain part of the European Development Fund and European Social Fund Programmes. The first regulation allows the UK to stay within the existing programmes until Dec 2019; the second regulation – which is currently in draft-, would extend this offer to the end of Dec 2020. Both are dependent on the UK paying its share of the EU budget during 2019 and 2020 respectively</p>
Other Financial Considerations	<p>-Impact of any fluctuations in the currency rate to expenditure.</p> <p>-Impact on future economic growth</p>	Ensure council services purchasing though currency exchange remain within budget	<p><u>Revenue spend</u></p> <p>Our transactions are in UK Sterling Pounds (£) but there may be an increase in the cost due to market fluctuations. WDC are subjected annually to an approx. 3% increase for many systems. An expected increase is built into the budget each year, however due to exchange rate fluctuations there is a lack of certainty and this can lead to an overspend. This risk of exchange rate</p>

Other Considerations			
Broad Risk	WDC Impact(s)	Action	Comments Stephen West – Updated Revenue Spend, December 2019
	Impact on any regeneration projects and plans		<p>fluctuation is higher due to Brexit and would likely to be more volatile with a “no deal” Brexit. See comments above re reports to Council on the budget-setting process and approach to managing this financial risk.</p> <p><u>Capital spend (ICT)</u> Again WDC transactions are in £ and there may be an increase in the cost if the market does fluctuate. For capital projects, WDC approach is to adjust the volumes to remain within budget as device prices change every 6 months on the frameworks anyway. WDC have in the past asked for capital funding approval to be accelerated from future years where we have an urgent requirement and have no budget left. Costs will be monitored and any variations reported through normal budgetary control processes, which highlight reasons for cost increases</p>
Expenditure	<p>- Impact of increasing inflation – costs to the council (excluding food): e.g. Energy costs; care agency costs</p>	<p>Monitor increases in costs of those identified as high risk/ high volume</p> <p>Monitor overall position through budgetary control process</p> <p><b>SHORT TERM:</b> consider earmarking additional resources at the year-end for the risk; or consider use of prudential reserve if required short term.</p>	<p>Energy bought in advance – short term risk minimal; however could have a longer term impact</p> <p>The risk of cost increases arising from Brexit has been advised to Council in budget preparation reports since October 2018. The final budget report advises that any price variations will be reported and that it was expected that Council would manage such price variations should they arise through ongoing budgetary control and, if necessary, use of free reserves</p>

Other Considerations			
Broad Risk	WDC Impact(s)	Action	Comments Stephen West – Updated Revenue Spend, December 2019
		<b>LONGER TERM:</b> consider building-in additional costs into the long term finance strategy based on evidence post-Brexit	
Funding Support	- Impact to Council of chancellor revisiting the budget and affecting local government funding settlements	Monitor ongoing Brexit discussions and potential impact on the councils finances & the wider implications of the Scottish economy	
Capital Receipts	- Capital Receipts do not materialise or are lower than anticipated	<p>Longer term vision on capital programme for both income and expenditure levels</p> <p>Regular Strategic Asset Management Group updates feeding through to the capital budgetary control report (to both Council and CMT)</p> <p>Capital Disposal Strategy with longer term vision to allow movement in the assets due sold and timing of those assets</p> <p>Capital programme being monitored by CMT,</p>	

Other Considerations			
Broad Risk	WDC Impact(s)	Action	Comments Stephen West – Updated Revenue Spend, December 2019
		<p>Council and Committees on a regular basis</p> <p>Early identification of possible issues to allow action to reduce spend or identify further surplus assets for possible disposal to minimise shortfall.</p>	
Broad Risk	WD Impact(s)	Action	Comments – Michael McGuinness, Economic Development Manager - Updated – 5 <sup>th</sup> September 2019
Provision of information to Local businesses	- A review of the potential impacts suggests they have either been covered off already, or that services will not be affected. For example, more or less use of the libraries will not have any significant risk to the service.	Communications and the web team need to be ready to respond proactively to any messages that the wider Council needs to issue following Brexit	<p>The web team have already uploaded information on the Council internet site sign posting local businesses to the guidance supplied by the Scottish Government</p> <p> PDF</p> <p>Prepare for Brexit core messages - update</p> <p>A recent document produced with a number of key public stakeholders provides useful information in regards to Business engagements from Public bodies</p>

Business Continuity			
Broad risk	WD Impact(s)	Action	Comments – Jen Watt, Civil Contingencies Officer - Updated 19 <sup>th</sup> September 2019
Assess impact of no deal EU- Exit on Business Continuity Plans	Potential disruption to services <ul style="list-style-type: none"> <li>- Food</li> <li>- Medicines</li> <li>- Staff</li> </ul>	<p>WDC have recently undertaken a full review of all Business Continuity Arrangements</p> <p>Reporting into the Multi Agency Coordination Centre (MACC) (when active)</p> <p>Reporting to CoSLA and Scottish Government</p> <p>Dialling into teleconferences</p>	<p>Business Continuity planning remains an operational focus. Any changes pre/post EU-Exit will be reflected into the respective Business Continuity Plan</p> <p>The Multi-Agency Coordination Centre (MACC) will now only activated if there is any indication of unrest</p> <p>CoSLA and Scottish Government continues to request information from WD with regards to funding concerns and preparedness. This information helps adequately inform CoSLA and Scottish Government of Council preparations ahead of a potential no deal EU-Exit</p> <p>In addition to the above, the Civil Contingencies Officer/EU Exit Tactical Leads are dialling in every two weeks to CoSLA teleconferences to discuss any arising issues and requests from Scottish Government and CoSLA</p>





## WEST DUNBARTONSHIRE COUNCIL

### Report by Strategic Lead – People and Technology

**Corporate Services Committee: 19<sup>th</sup> February 2019**

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**Subject: Career Break Policy**

#### **1. Purpose**

- 1.1** The purpose of this report is to outline provisions of the new career break policy for Local Government employees and seek approval of same.

#### **2. Recommendations**

- 2.1** The Committee is asked to approve the Career Break policy attached as appendix 1.

#### **3. Background**

- 3.1** Historically there has been no formal career break policy available to local government employees. However, career breaks have been progressed informally through the relevant line management structure. The attached career break policy has been developed to provide a clear, robust and consistent approach to career breaks within West Dunbartonshire Council and ensure managers are aware of the process to follow when dealing with same.
- 3.2** Following a period of research and consideration of good practice, the policy was developed in accordance with the Council's Policy Framework and subsequently agreed by the relevant trade unions.
- 3.3** This policy does not apply to teachers and other associated professionals covered by SNCT terms and conditions, as a separate LNCT agreement for career breaks in those professional areas exists– reference LNCT agreement No 8.

#### **4. Main Issues**

- 4.1** West Dunbartonshire Council is committed to providing the opportunity for employees to achieve a positive work life balance through effective and productive ways of working that meet both business and employee needs. The attached career break policy has been developed as a beneficial addition to the Council's suite of flexible working supports. This policy provides an opportunity to retain skills and knowledge, when an employee's personal circumstances require consideration of a break from work.

- 4.2** A career break is a period of approved unpaid leave, which provides an extended break from work, for example to:
- Undertake educational activities, a relevant course of study or other skills development activity;
  - Extended periods of travel;
  - Undertake voluntary work;
  - Undertake personal development activity;
  - Care for or support family members; and/or
  - Manage their own wellbeing and health.
- 4.3** Through discussions with relevant managers and trade union colleagues, it was acknowledged that there was a need for an agreed career break policy to support a consistent approach to the management of career breaks across the Council. Additionally, those taking a career break should be clear of the impact on pay, pension and service.
- 4.4** The attached policy outlines the key principles of career breaks within West Dunbartonshire Council and the arrangements in place to support them. It sets out the process to be followed when considering an application for a career break and details the terms and conditions associated with a career break agreement to ensure that all parties are clear as to the terms of the agreement. In general terms this extended period of leave without pay does not count as service while ensuring continuity of service, i.e. the period before and after the leave are considered joined. Pay and benefits are suspended during the career break and resume on return to work.
- 4.5** Managers also have additional considerations relating to the resulting vacancy and how this might be filled. While an employee is on career break they remain an employee of the council and it is essential that the employee is kept informed of changes and developments within the work place. This agreed communication also helps to maintain an employee's confidence, skills and knowledge and eases the return to work process.

## **5. People Implications**

- 5.1** The Career Break policy provides employees and managers with a comprehensive procedure to follow when making or considering a request for a career break. A transparent process will promote openness and employee engagement to support a culture where employees understand that the Council is fully committed to promoting good employment practice and improving the working lives of employees.
- 5.2** The aim of the policy is to retain existing employees whose personal circumstances deem it necessary for them to take a break from work. This retains valuable skills and experience while also avoiding unnecessary recruitment. It may also facilitate temporary development opportunities for existing employees.

## **6. Financial and Procurement Implications**

- 6.1** There are no financial implications associated with this report.
- 6.2** Adherence to the attached policy is intended to mitigate against any unintended costs associated with the approval of a career break, by clarifying all contractual entitlements during and on return from the break. The policy clearly details the management considerations and all aspects of the career break that must be considered.

## **7. Risk Analysis**

- 7.1** A clear and transparent process for managing and making applications for career breaks will assist in the retention of employees, skills and knowledge within the Council.

## **8. Equalities Impact Assessment (EIA)**

- 8.1** An Equality Impact Assessment has been undertaken and identified no negative impact. The policy promotes equality of opportunity across all equality strands and protected characteristics and encourages employees to report any potential unlawful practice which would include any breach of the Equality Act 2010.

## **9. Consultation**

- 9.1** In line with the policy development framework, a range of key stakeholders were consulted during the development exercise, including: HR, Legal, line managers and Trades Unions.
- 9.2** The need to ensure an effective framework for career breaks was recognised by all parties. The final draft of 'The Career Break Policy' was discussed and agreed at the Convenors meeting on 28<sup>th</sup> October 2019.

## **10. Strategic Assessment**

- 10.1** The Career Break Policy contributes to Council's strategic priorities ensuring better asset management by retaining the skills and knowledge of employees.

**Geraldine Lyden**

HR Business Partner

Date: 9<sup>th</sup> January 2020

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**Person to Contact:** Geraldine Lyden, HR Business Partner, People and Technology. 16 Church Street, Dumbarton.

Tel: 01389 737312 Email: geraldine.lyden@west-dunbarton.gov.uk.

**Appendices:** Appendix 1 – Career Break Policy

**Background Papers:** N/A

**Wards Affected:** All

HR Employment Policy & Procedures

Implementation Date: 2<sup>nd</sup> March 2020

# Career Break Policy

The behaviours outlined in the ACHIEVE Framework should be reflected in the application of this Policy.



### Document Management - Version Control

<b>Policy Title &amp; Reference</b>	Career Break Policy	
<b>Version Number &amp; Date</b>	Version 1 – 2 <sup>nd</sup> March 2020	
<b>Title, Version Number &amp; Date of Superseded Version (if applicable)</b>	N/A	
<b>Rationale for introduction/Driver for change</b>	To support career breaks across the council, providing clear guidelines as to when this is appropriate and the terms of this agreement.	
<b>Summary of Substantive Changes (if applicable)</b>	N/A	
<b>Summary of Technical Changes (if applicable)</b>	N/A	
<b>Lead Officer</b>	Geraldine Lyden, HR Business Partner	
<b>Final Trades Union Position</b>	Policy agreed in partnership with the Trade Unions	
<b>Consultation &amp; Approval Process</b>	Working group meeting	21 <sup>st</sup> June 2019
	Working group meeting	4 <sup>th</sup> October 2019
	Convenors meeting	Agreed at meeting on 28 <sup>th</sup> October 2019
<b>Accompanying Documentation (incl. EIA)</b>	EIA	
<b>Linked Policy, Policys and Procedures</b>	N/A	

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## 1. Introduction

- 1.1. West Dunbartonshire Council is committed to providing the opportunity for employees to achieve a positive work life balance through effective and productive ways of working that meet both business and employee needs.
- 1.2. This career break policy has been developed as a beneficial addition to the councils suite of flexible working supports. This policy provides an opportunity to retain an employee's skills and knowledge, when their personal circumstances require consideration of a break from work.

## 2. Scope

- 2.1. The Policy applies to all Local Government, Craft and Chief Officers with at least 2 years continuous service with West Dunbartonshire Council at the time of application. Teachers and associate professionals covered by SNCT terms and conditions have a separate career break policy detailed in LNCT Agreement No 8.
- 2.2. The Council will ensure that good equal opportunities practice underpins the operation of this policy irrespective of age, disability, sex, gender re-assignment, race, religion and belief, pregnancy and maternity, marriage and civil partnership or sexual orientation.

## 3. Aims of the Policy

- 3.1 This policy defines what a career break is and outlines the principles and process to be followed when considering an application for a career break, including the appeals process. It concludes by detailing the terms and conditions associated with a career break agreement to ensure that all parties are clear as to the terms of the agreement.

## 4. Career Breaks

### Definition of career break

- 4.1. A career break is a period of approved unpaid leave, which provides an opportunity for employees to obtain an extended break to allow them to:
  - Undertake educational activities, a relevant course of study or other skills development activity;
  - Extended periods of travel;
  - Undertake voluntary work;
  - Undertake personal development activity;
  - Care for or support family members; and/or
  - Manage their own wellbeing and health.
- 4.2. While the list above is not exhaustive, a career break should **not** be used for seeking alternative work with another employer. Should an applicant wish to undertake work while on a career break this must be fully discussed with their



line manager and have approval from a Service Manager, prior to commencement. HR will provide support and guidance in this matter and it may be considered that the council's Secondment Policy is more appropriate.

#### Management Considerations

- 4.3. All applications for career breaks will be considered on their own merits taking into consideration the exigencies of the service. Managers will be required to consider what impact the career break will have on service provision and the need for any resulting replacement arrangements. How the resultant vacancy is filled/covered will depend on each individual case, e.g. such as the length of the break, type of vacancy and could be filled by one of the following:-
- Employees Temporarily Acting Up.
  - Responsibility Payments.
  - Advertised internally as a temporary post with the successful applicant, if currently employed on a permanent basis, having the right to return to their original post.
  - Advertised externally as a temporary contract.
  - Advertised internally/externally and filled on a permanent basis, in certain circumstances where staffing levels and future workforce planning allows.
- 4.4. In some circumstances e.g. business critical roles or specialisms, it may be appropriate to test the recruitment market to inform whether a career break can indeed be supported.
- 4.5. In most circumstances the employee will return to the post they held prior to the career break. However, to support a career break it may be appropriate to discuss returning to an alternative post. In this circumstance the terms of role on return must be agreed and confirmed in writing prior to the commencement of the career break.
- 4.6. All career breaks must be agreed by both parties and approved prior to the career break commencing.

#### Duration

- 4.7. In line with the needs of the service a career break will normally last for a minimum of six months, and a maximum of 2 years. The length of the intended career break should be identified at the point of application.

### **5. Roles and Responsibilities**

#### **5.1. Employee's responsibilities**

- To discuss the terms of the career break requirement with their line manager at the earliest opportunity.
- To complete the relevant application forms and obtain the relevant approval prior to commencement of career break
- To sign and return the career break agreement prior to commencement of the career break
- To remain in contact with their manager through the course of the career break, and notify of any changes to contact details
- To consider, and seek advice as appropriate, on the contractual implications of the career break

## **5.2 Manager's Responsibilities**

- To consider all career break requests, only refusing a request where there is clear, demonstrable business reasons why this cannot be supported.
- Consider all the implications of the career break, including the financial considerations, eg the potential for APC's (see section 9.7). this may effect back fill budgeting.
- If a career break cannot be approved for the duration requested, consider alternative durations.
- Follow the application process and provide reasons for an application being supported or rejected in writing.
- Ensure that the career break agreement is signed prior to commencement of the career break
- To keep in touch with the employee while they are on career break as appropriate and agreed.

## **5.3 Human Resources**

- To support the application of the career break process,
- Support managers and employees to make informed decisions regarding the process and the potential considerations.
- Support the application and appeals process.

## **6. Application and Appeals procedure**

### **Application Procedure**

- 6.1. Employees who wish to apply for a career break should discuss the matter initially with their line manager in accordance with the principles of the career break policy.
- 6.2. Applications for a career break should be submitted in writing on the Career Break request form (Appendix 1) at least three months prior to the proposed date of commencement (unless there are exceptional circumstances why this period cannot be met). The application should be submitted to the employee's manager stating the anticipated length of the career break as well as providing full details of the reason for requesting the career break.

- 6.3. When considering a career break application, managers must balance the request with the operational needs of the Service and how the resultant vacancy could be filled/covered. Both managers and employees will have to ensure that it will be possible to meet the operational needs of the Service.
- 6.4. All career breaks must be approved by the relevant service manager. Line managers must complete the line managers section of Appendix 1 and forward it to their Service Manager for final consideration and approval/rejection as appropriate. Employees will normally be given a written response within four weeks from receipt of the application.
- 6.5. When considering an application for career break Service Managers will discuss the details of the career break with Human Resources and HR Business Partners must be aware of all career break agreements before approval.
- 6.6. The manager's decision will be confirmed to the employee in writing (Template letter 1 provides a template for approval. Template letter 2 provides a letter declining the request and the rationale for this must be provided).
- 6.7. Should the application be approved, the Line Manager should notify HR Connect of this outcome through the Notification of Change to Current Role form, to ensure payroll are notified and records updated.
- 6.8. If the application has been refused, the employee will be advised as to the grounds for refusal and there will be the opportunity to appeal against this decision.

### **The Appeals Procedure**

- 6.9. Should the employee wish to appeal, they must exercise the right of appeal in writing to the Strategic Lead (or Director, if Strategic Lead made original decision) no later than 10 working days from the decision being confirmed to them in writing.
- 6.10. The Strategic Lead / Director, or designated officer, will chair the appeal hearing the outcome of which will be final.
- 6.11. The appeal should take place within 28 days of the employee's appeal submission.
- 6.12. Should the appeal be upheld HR Connect should be informed of the outcome, to ensure payroll are notified and records updated.
- 6.13. If the career break is refused after appeal an employee can make another request for a career break 12 months after the original application. Further applications will be subject to the same application and appeal procedures.

## **7. Contact during Career Break**

- 7.1. Prior to the commencement of a career break the employee is obliged to provide their manager with appropriate contact details eg telephone number and email. The arrangement for keeping in touch should be discussed and agreed so that both parties have a clear understanding of nature and frequency of contact. This is essential to ensure that employees are kept up to date with changes and business developments within the workplace and also helps to maintain an employees confidence, skills and knowledge and eases the return to work process.
- 7.2. The information an employee needs while on a career break will vary according to the size of the service, the type and level of job and the length of the career break. It is therefore essential to strike a balance between too much and too little information. This should be discussed and agreed with the employee.
- 7.3. Should there be any service redesign while an employee is on a career break, the Council's Organisational Change Policy will apply. The employee will be kept informed and treated no less favourably than their colleagues, and any discussions/procedures relating to redeployment/ redundancy will take place in the same way as if the employee were not on a career break. HR must be fully involved in all redesign discussions.
- 7.4. It may be appropriate for an employee to attend training courses aimed at updating their skills in response to changes and developments in work and to maintain knowledge and skills in their work area during the career break. If this is not possible, managers should be vigilant that employees may require training immediately before returning to work from the career break.
- 7.5. If requested by the employee, the manager can advise an employee on a career break of vacancies and, in the later stages of a career break, any acting up arrangements or development opportunities. This contact is considered as informal contact and does not constitute a work commitment.
- 7.6. For the purposes of preparation for a return to work it shall be open for the manager and employee to agree a more formal engagement such as training / induction. In this circumstance this engagement would be paid or subject to time off in lieu on return to work.

## **8. Returning to work**

- 8.1. Within the terms of the career break the employee will be required to contact their manager to confirm their return date 3 months prior to the agreed return date.
- 8.2. It is acknowledged that individual's circumstances can change during a career break and there may be a requirement for some flexibility to support extensions or early return.

- 8.3. Should an employee wish to extend their career break or return early, this request should be made in writing and a minimum of 3 months notice should be given. The council is not obliged to grant the extension or contraction but should consider the merits of the application in line with the exigencies of the service. In these circumstances the impact on the cover arrangements must also be considered, which may also include contractual or employment rights.
- 8.4. Employees on a career break who wish to resign from their post must give as much notice as possible, and contractual notice as a minimum.
- 8.5. As previously highlighted, employees may require training immediately before returning to work from the career break. Employees should arrange to attend a meeting with their line manager in advance of their return to work to discuss the post they are returning to and to agree any appropriate programme of training.

## **9. Conditions of service while on Career Break**

- 9.1. A career break is a period of leave without pay and will not count towards continuous service. Pay and benefits will be suspended during the period of the career break and resume on the employee's return to work. Employees will not be entitled to any incremental progression for the duration of the break.
- 9.2. On return from a career break the separate periods of employment (i.e. before the career break and after the career break) will be treated as reckonable for statutory and contractual purposes. While career breaks do not count towards service, neither do they break it.

### Leave/Statutory Entitlement

- 9.3. During the career break employees will not accrue any annual leave or be entitled to statutory payments such as occupational sick pay, maternity, paternity or adoption pay from West Dunbartonshire Council.
- 9.4. The entitlement to annual leave during the leave years in which the career break commences and ends will be calculated pro rata to the part year period of service. In normal circumstances any outstanding annual leave should be taken prior to the start of the career break.

### National insurance implications

- 9.5. Employees considering a career break must be aware of the implications regarding National Insurance Benefits if they take a career break. It is therefore the responsibility of employees to consult with the local Department of Work and Pensions office about potential implications based on their individual circumstances at the time of applying and during the career break.

### Pension policy

- 9.6. Employee are also required to consider the implications regarding pension. Employees who are members of the Local Government Pension Policy (LGPS) will continue to pay their pension contributions for the first 30 days of unpaid leave, but otherwise Contributions to the occupational pension policy will cease while an employee is on a career break and the period will not count as pensionable service unless the employee decides (and is eligible) to buy back lost pensionable service. During the career break, no employer contributions will be payable by the council.
- 9.7. On return to work an employee may arrange to buy back the lost pensionable service using the Additional Pension Contributions provisions. A request to do so must be submitted in writing to the payroll section within 30 days of return from career break, after which an S4 form will be completed for submission to Strathclyde Pension Fund. If permitted, the council is also required to pay the employers contribution of 2/3rds for the career break period.
- 9.8. While contributions cease during the career break period, an employee will remain an active member of the LGPS, and as such will still be eligible for death in service benefits. In the event of death during a career break the lump sum payment will be paid to the employee's estate.

### Salary Sacrifice Employee Benefits Policies

- 9.9. Where an employee participates in a salary sacrifice policy then they must repay any outstanding balance before commencing their career break.

### Membership or Registrations

- 9.10. Employees who are members of accredited organisations related to their job are responsible for maintaining their membership or registration, as appropriate, during the period of their career break and must ensure that it is in place for their return to work. Failure to maintain registration could impact on return date.

### Allowances

- 9.11. Allowances such as first aid etc. will not be payable during the period of a career break.

## **10. Monitoring and Measuring success**

- 10.1** The Council will, in partnership with the trade unions, monitor applications for, and use of career breaks with a view to ensuring the fair and consistent application of this

## **11. Review of Policy**

- 11.1. This policy will be updated to incorporate any relevant change to legislation or best practice as required.

DRAFT





**WEST DUNBARTONSHIRE COUNCIL****Report by Strategic Lead – People and Technology****Corporate Services Committee: 19<sup>th</sup> February 2019**

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**Subject: Secondment Policy****1. Purpose**

- 1.1** The purpose of this report is to outline provisions of the new secondment policy for Local Government employees and seek approval of same.

**2. Recommendations**

- 2.1** The Committee is asked to approve the secondment policy attached as appendix 1.

**3. Background**

- 3.1** Historically there has been no formal secondment policy available to local government employees. However, secondments have been progressed informally through the relevant line management structures. The attached secondment policy has been developed to provide a clear, robust and consistent approach to secondments within West Dunbartonshire Council, to enable employees to request secondments and ensure managers are aware of the process to follow when dealing with same.
- 3.2** Following a period of research and consideration of good practice the policy was developed in accordance with the Council's Policy Framework and subsequently agreed by the relevant trade unions.
- 3.3** This policy does not apply to teachers and other associated professionals covered by SNCT terms and conditions, as a separate LNCT agreement for Secondments in those professional areas exists – reference LNCT agreement No 12.

**4. Main Issues**

- 4.1** The term secondment relates to the temporary placement of an employee in a different part of the council or to an external organisation for a specific purpose and period of time, to the mutual benefit of all parties. In line with the needs of the service a secondment will normally last for a minimum period of six months and a maximum period of 2 years.
- 4.2** It is recognised that secondments are a valuable way of providing employees with development opportunities, enhancing skills and knowledge and also

bring benefits to the substantive organisation, including skills retention and development.

**4.3** All secondments should be supported by a secondment agreement which is a document that stipulates the legal considerations associated with same, namely:

- Purpose and location of the secondment;
- Hours and work pattern;
- Leave;
- Pay and allowances;
- Appraisal/performance arrangements;
- Travel and subsistence;
- Hours and leave;
- Health and safety, injury and indemnity arrangements;
- Equipment and property arrangements including intellectual property rights;
- Disciplinary and grievance; and
- Termination arrangements. If there are any non-pensionable allowances associated with the secondment, this must also be made clear within the agreement.

**4.4** Through discussions with relevant stakeholders, it was acknowledged that there was a need for an agreed secondment policy to support a consistent approach across the Council. An agreed approach ensures that secondment agreements comply with all the relevant legal requirements and that those undertaking secondments are clear about the associated considerations.

**4.5** An agreed policy also ensures that managers are aware of all the factors to be considered before approving a secondment and their obligations during the terms of the secondment. This would include keeping in touch and ensuring that seconded employees are informed of changes and developments in the workplace.

**4.6** The attached policy outlines the key principles of secondments within West Dunbartonshire Council and the arrangements in place to support them. It defines what a secondment is and outlines the principles and process to be followed when considering applications for employees and managers, including the appropriate appeals process.

## **5. People Implications**

**5.1** It is recognised that employees are the Council's greatest asset and the right recruitment and selection processes are vital to ensure the Council has the right workforce with the right skills in post.

- 5.2 Secondments assist in retaining and developing valuable skills and experience and may also facilitate temporary development opportunities for other existing employee.
- 5.3 The Council will ensure that an evaluation of learning is undertaken following the completion of secondments to ensure that newly developed knowledge or skills can be identified and used to the benefit of the organisation.

## **6. Financial and Procurement Implications**

- 6.1 There are no financial implications associated with this report.
- 6.2 Adherence to the attached policy is intended to mitigate against any unintended costs associated with the approval of a secondment e.g. VAT. The policy clarifies all contractual entitlements, during and on return from secondment and clearly details the management considerations that must be considered.

## **7. Risk Analysis**

- 7.1 Recruitment is a critical activity to ensure the Council has the right workforce in place to enable the Council to fulfil its obligations to service users and respond effectively to local and national initiatives.
- 7.2 A clear and transparent process for managing and making applications for secondment will assist in the retention of employees and the increase of skills and knowledge within the Council.

## **8. Equalities Impact Assessment (EIA)**

- 8.1 An Equality Impact Assessment has been undertaken and identified no negative impact. The policy promotes equality of opportunity across all equality strands and protected characteristics and encourages employees to report any potential unlawful practice which would include any breach of the Equality Act 2010.

## **9. Consultation**

- 9.1 In line with the policy development framework, a range of key stakeholders were consulted during the development exercise, including: HR, Legal, line managers and Trades Unions.
- 9.2 The need to ensure an effective framework for secondments was recognised by all parties. The final draft of 'The Secondment Policy' was discussed and agreed at the Convenors meeting on 28<sup>th</sup> October 2019.

## **10. Strategic Assessment**

- 10.1** The policy contributes to Council's strategic priorities by placing employees in different work situations. Secondment offers the opportunity for individuals to develop new skills or enhance existing skills, enabling the Council to develop and retain experienced, skilled and valued employees.

**Geraldine Lyden**

HR Business Partner

Date: 9<sup>th</sup> January 2020

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**Person to Contact:** Geraldine Lyden, HR Business Partner, People and Technology. 16 Church Street, Dumbarton.  
Tel: 01389 737312 Email: geraldine.lyden@west-dunbarton.gov.uk.

**Appendices:** Appendix 1 – Secondment Policy

**Background Papers:** N/A

**Wards Affected:** All

HR Employment Policy & Procedures

# Secondment Policy

Implementation Date: *2<sup>nd</sup> March 2020*

The behaviours outlined in the ACHIEVE Framework should be reflected in the application of this Policy.



## Document Management - Version Control

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Title, Version Number & Date of Superseded Version (if applicable)	n/a	n/a	n/a
Rationale for introduction/Driver for change	To provide a clear, robust and consistent approach to Secondments within West Dunbartonshire Council		
Summary of Substantive Changes (if applicable)			
Summary of Technical Changes (if applicable)			
Lead Officer	Geraldine Lyden, HR Business Partner		
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Accompanying Documentation			



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## **1. INTRODUCTION:**

- 1.1** The council recognises secondments as a valuable way of providing employees with development opportunities. Secondments can provide a constructive way of enhancing the skills and knowledge base of the individual and can also bring benefits to the council, including skills retention and development.
- 1.2** This policy outlines the key principles of Secondments within West Dunbartonshire Council and the arrangements in place to support them.

## **2. SCOPE**

- 2.1** This policy applies to all Local Government Employees, Chief Officials and Craft employees within the Council who apply for or subsequently undertake a secondment for a defined period to another role either within West Dunbartonshire Council or within another organisation.
- 2.2** This policy does not apply to teachers and other associated professionals covered by SNCT terms and conditions, who have a separate LNCT agreement for Secondments – LNCT agreement No 12.
- 2.3** While there is no automatic right to a secondment, the Council will ensure that good equal opportunities practice underpins the operation of this policy irrespective of age, disability, sex, gender re-assignment, race, religion and belief, pregnancy and maternity, marriage and civil partnership or sexual orientation.

## **3. AIMS OF THE POLICY**

- 3.1** This policy defines what a secondment is and outlines the principles and process to be followed when considering applications, including the appeals process. It details the terms and conditions associated with secondment agreements and the need for a signed secondment agreement to be in place prior to the commencement of the secondment to ensure that all parties are clear as to the terms of the agreement.
- 3.2** The Council will ensure that clear arrangements are in place for accessing secondment opportunities.
- 3.3** Internal secondment opportunities may arise through a variety of circumstances and should be advertised in line with the normal recruitment process.
- 3.4** The Council will ensure that an evaluation of learning is undertaken following the completion of secondments to ensure that newly developed knowledge or skills can be identified and used to the benefit of the organisation.

## **4. SECONDMENTS**

### Definition of a Secondment

- 4.1** This policy defines a secondment as: “The temporary placement of an employee to a different part of the council or to another organisation, for a specific purpose and period of time, to the mutual benefit of all parties”
- 4.2** The following section provided definitions for common terms used when managing secondments.



- **Types of Secondment:**
  - Internal secondment (within the Council)
  - External secondment (to another organisation)
- **Suitable secondment opportunities** - Secondment appointments that may be made on a part-time or full-time basis and can be used in a variety of circumstances.

Managers should always give consideration as to whether vacancies which arise may be offered on a secondment basis, particularly where such vacancies are fixed-term in nature and therefore such an approach would widen the scope of potential applicants.

- **Seconded** – the employee of the Council who is seconded to a different role either within the Council, or with another organisation
- **Accountable Manager** – The Manager within the Council who has responsibility for the secondment and for ensuring that the policy guidance is followed appropriately.
- **Host Manager** - The Host Manager is the manager who will be responsible for management of the secondment role itself.
- **Host Organisation** - This is the term used to identify the organisation to which a Seconded has been seconded, where this secondment is to an organisation other than the Council.

## 5. ROLES AND RESPONSIBILITIES:

### 5.1 Employee / Seconded

- To discuss the terms of the secondment opportunity and obtain authorisation from the Accountable Manager prior to applying for a secondment.
- To complete the relevant application form and obtain the relevant approvals prior to commencement of the secondment.
- To sign and return the secondment agreement prior to commencement of the secondment.
- To adhere to their obligations as set out in the Secondment Agreement, including keeping in touch with their Manager to allow for exchange of information and discussing the progress of the secondment; and
- To participate in an evaluation of learning following completion of the secondment to ensure that newly developed knowledge or skills can be identified and used to the benefit of the service.

### 5.2 Accountable Manager

- To consider all secondment requests and only refuse a request if there are clear, demonstrable business reasons why it is not

practicable. Reasons for refusal should be communicated to the employee in writing.

- To ensure that, prior to commencement of a secondment, the secondment agreement has been completed, detailing the terms of the release
- Ensure the secondment check list has been completed.
- To fulfill their agreed obligations under the secondment agreement, including:
  - Keeping in touch with the Seconded during the secondment; and
  - Informing the Host Organisation (or the relevant Line Manager where the secondment remains within the Council) where there is a need to terminate the secondment earlier than agreed.
- To ensure that a return to work interview takes place with the Seconded to discuss any support of requirements they may need when returning to work.
- To ensure that an evaluation of learning is undertaken following completion of the secondment in order that newly developed knowledge or skills can be identified and used to the benefit of the service.

### **5.3 Host Manager**

- To fulfill their agreed obligations under the secondment agreement, including:
  - Liaising with the Seconded's Accountable Manager in order to have input to any appraisal outcomes / performance issues; and
  - Liaising with the Seconded's Accountable Manager on any proposal to change, terminate or extend the secondment.

### **5.4 Human Resources**

- To support the application of the Secondment process,
- Support managers and employees to make informed decisions regarding the process and the potential considerations.
- Support the application and appeals process

## **6. SECONDMENTS**

- 6.1** This policy defines a secondment as: "The temporary placement of an employee to a different part of the council or to another organisation, for a specific purpose and period of time, to the mutual benefit of all parties"

### Management Considerations

- 6.2** All applications for secondment will be considered on their own merits considering the exigencies of the service. Managers will be required to consider the impact on service provision and the need for any resulting replacement arrangements. How the resultant vacancy is filled/covered

will depend on each individual case, e.g. such as the length of the secondment, type of vacancy and could be filled by one of the following:-

- Employees Temporarily Acting Up\*
- Responsibility Payments\*
- Advertised internally as a temporary post with the successful applicant, if currently employed on a permanent basis, having the right to return to their original post\*.
- Advertised externally as a temporary contract.
- Advertised internally/externally and filled on a permanent basis, in certain circumstances where staffing levels and future workforce planning allows.

\*In the event that there are successive and interrelated temporary appointments or acting up arrangements managers must ensure that these are monitored and reviewed on a regular basis.

- 6.3** In some circumstances e.g. business critical roles or specialisms, it may be appropriate to test the recruitment market to inform whether a secondment can indeed be supported. However it is acknowledged that secondments are often time critical and this should not unreasonably delay the process.

#### VAT

- 6.4** Another important consideration for managers is the potential VAT implications. External secondments are subject to VAT and this matter must be discussed prior to any release being agreed. Depending on the VAT groups and circumstances of the organisations involved this may preclude the secondment from being agreed. Further information is available from HMRC - VAT Notice 700/34 - Supply of staff and staff bureaux. Due to the implications of this, the terms of the agreement and the VAT implications must be discussed with the Finance Business Partner prior to agreement.

#### Duration

- 6.5** In line with the needs of the service a secondment will normally last for a minimum period of six months and a maximum period of 2 years. The length of the intended secondment should be identified at the point of application.

## **7 APPLICATIONS AND APPEALS PROCEDURE**

- 7.1** Employees who wish to apply for a secondment, must discuss this matter with their line manager prior to applying for a seconded post. Having discussed this in principle, the application process can then be undertaken should the post be secured.

- 7.2** Applications should be submitted in writing using the secondment request form (Appendix 1) normally at least three months prior to the proposed date of commencement unless there are particular reasons why this period cannot be met. The application should be submitted to the employee's manager stating the details and duration of the secondment and the contact details of the host manager within the host organisation.
- 7.3** When considering a secondment application, managers must balance the request with the operational needs of the Service and how the resultant vacancy could be filled/covered. Both managers and employees will have to ensure that it will be possible to meet the operational needs of the Service.
- 7.4** All secondments must be approved by the appropriate service manager. The line manager must complete the line managers section of Appendix 1 and forward it to their Service Manager (or Strategic Lead if the request relates to service manager or in their absence) for final consideration and approval/rejection as appropriate. Employees will normally be given a written response within four weeks from receipt of the application.
- 7.5** When considering an application for secondment managers must discuss the details of the secondment with HR and HR Business Partners must be aware of the detail of secondment agreements before they are approved.
- 7.6** The manager's decision will be confirmed to the employee in writing. Appendix 1 provides the template for approval. Appendix 2 provides a template for declining the request and the rationale for this must be provided.
- 7.7** Should the application be approved, the Line Manager should notify HR Connect of this outcome, through the Notification of Change to Current Role form, to ensure payroll are notified and records updated.
- 7.8** If the application has been refused, the employee will be advised as to the grounds for refusal and there will be an opportunity to appeal against this decision.

### **The Appeals Procedure**

- 7.9** Should the employee wish to appeal, they must exercise the right of appeal in writing to the Strategic Lead (or Director, if Strategic Lead made the decision) no later than 10 working days from the decision

being confirmed to them in writing.

- 7.10** The Strategic Lead / Director, or nominated senior officer, will chair the appeal hearing or identify a nominee to chair this hearing, the outcome of which will be final.
- 7.11** The appeal must take place within 28 days of the employee's appeal submission.
- 7.12** Should the appeal be upheld HR connect should be informed of the outcome, to ensure payroll are notified and records updated.
- 7.13** If the secondment is refused after appeal an employee can make another request 12 months after the original application. Further applications will be subject to the same application and appeal procedures.

## **8 CONTACT DURING SECONDMENT**

- 8.1** Keeping in touch with Secondtees throughout the period of secondment is essential to ensure that employees are kept up to date with changes and business developments within the workplace and also helps to maintain an employees confidence, skills and knowledge and ease the return to work process. Arrangements for keeping in touch should be clearly documented within the secondment agreement and the responsibility for maintaining this contact is mutual. The secondee must provide contact details.
- 8.2** The information an employee needs while on secondment will vary according to the size of the service, the type and level of job and the length of the secondment. Information transfer should be discussed and agreed with the employee and must take account of the individual requirements, including:
- Relevant Performance Appraisal
  - Maintaining professional registration;
  - Retraining requirements on return to the substantive post.
- 8.3** For longer-term secondments, account must be taken of the potential for skills lost, skills gained, changing work practice, changing cultures and new technology. Successfully keeping in touch will minimise the impact of these matters.
- 8.4** Should there be any service redesign while an employee is on Secondment, the Council's Organisational Change Policy will apply. The employee will be kept informed and treated no less favourably than their colleagues, and any discussions/procedures relating to

redeployment/redundancy will take place in the same way as if the employee were not on secondment. HR must be fully involved in all redesign discussions.

- 8.5** In the later stages of secondment it may be appropriate for a manager to advise an employee of vacancies, acting up or development opportunities. Employees may wish to remain on mailing lists or similar team communications.

## **9 EXTENSION / EARLY RETURN**

- 9.1** Secondment opportunities should generally be allowed to run their course, in line with the terms of the individual's Secondment Agreement. However, there may be occasions that the secondment is required to terminate early and notice periods should be detailed in the signed agreement.
- 9.2** The Accountable Manager reserves the right to recall Secondtees prematurely if required in exceptional circumstances. Termination of the secondment, prior to expiry at its agreed end date, will normally be subject to an agreed period of notice, as stipulated in the Secondment Agreement.
- 9.3** Should an employee wish to extend their secondment a request must be made in writing and a minimum of 3 months notice should be given. There is no obligation to grant the extension and the request will be considered in line with the needs of the service. The impact on the cover arrangements must also be considered.
- 9.4** For individuals who wish to return from secondment at an earlier date than previously agreed, 3 months notice should be given.
- 9.5** Employees on a secondment who wish to resign from their post must give as much notice as possible, and contractual notice as a minimum.

## **10 RETURN TO WORK**

- 10.1** At the end of the secondment period employees returning to the council will normally return to their substantive post, unless an alternative arrangement was agreed at the time, or the role changed through service redesign and the post allocated as part of this process (see section 8.4 above).
- 10.2** Regular contact should be maintained throughout the secondment and the return to work arrangements should be made in good time in advance of return. It is encouraged that these discussions commence 3 months prior to the agreed return date.
- 10.3** As previously highlighted, employees may require training immediately before returning to work. Employees should arrange to attend a

meeting with their line manager in advance of their return to work to discuss the post they are returning to and to agree any appropriate programme of training. This meeting should also focus on the evaluation of the learning from the secondment and ensure that newly developed knowledge or skills can be identified and used to the benefit of the organisation.

## **11 TERMS AND CONDITIONS OF EMPLOYMENT**

**11.1** A secondment opportunity allows an employee to temporarily transfer to another part of the council or to another organisation to obtain new skills and experiences while protecting their contractual rights and continuity of service with the council.

**11.2** The secondment will often involve variations to pay or certain terms and conditions and these variations must be clearly detailed in the associated secondment agreement (appendix 1 for external secondments and appendix 2 for internal secondments).

**11.3** Where a request for secondment has been agreed, a formal Secondment Agreement will require to be completed and signed. The standard template should be used. Where the host organisation provides a secondment agreement format this must be reviewed to ensure it includes all the relevant clauses as detailed in appendix 1. Any changes must be discussed with HR Business Partner who will liaise with Legal as appropriate.

### Internal secondments

**11.4** For internal secondments there are fewer legal considerations, however, there may be changes to the employee's terms and conditions of employment for the duration of the secondment (e.g. changes in their usual place of work, changes to working pattern, rate of pay and duties). For this reason a letter of agreement will be provided to the employee signed by both the Accountable Manager and the Host Manager detailing all of the contractual changes that are applicable for the duration of the secondment.

**11.5** At the end of the secondment the secondee will go back to their substantive post on the terms and conditions that would have applied had they not been on secondment (including where the secondment is to a post of a higher grade).

**11.6** Secondment agreements must be completed and authorised by the necessary parties in advance of the secondment commencing.

### External Secondments

**11.7** In some circumstances, when an employee is seconded to an external organisation, they will do so on their current terms and conditions. However in other circumstances the terms of the secondment will

require these to be varied and the employee should be made aware of any changes and any impact on their pay or terms and conditions. These need to be fully discussed and agreed, and detailed in the secondment agreement.

**11.8** Where the terms and conditions for the secondment opportunity are more generous than those of the secondee's substantive post the terms and conditions of the secondment post will apply for the secondment period after which the Secondee will return to their substantive post on the terms and conditions that would have applied had they not been on secondment.

**11.9** The Secondment Agreement stipulates all the legal considerations associated with the secondment (see appendix 1):

- Purpose and location of the secondment
- Hours and work pattern
- Leave
- Pay and allowances
- Appraisal arrangements
- Travel and subsistence
- Hours and leave
- Health and safety, injury and indemnity arrangements
- Equipment and Property arrangements including intellectual property rights
- Disciplinary and Grievance
- Termination arrangements. If there are any non pensionable allowances associated with the secondment this must also be made clear within the agreement.

#### Employee relations matters

**11.10** Employee relations matters should be clearly defined within the secondment agreement. While the host organisation will not be responsible for management of the Secondee's contract of employment it will need to have a mechanism for advising the Accountable Manager within the Council of any need to instigate formal procedures, if necessary. Similarly the host organisation may wish to specify 'trigger events' which would allow early termination of the Secondment Agreement.

#### Membership or Registration

**11.11** Employees who are members of accredited organisations related to their job are responsible for maintaining their membership or registration, as appropriate, during the period of their secondment and must ensure that it is in place for their return to work. Failure to maintain membership/registration may delay return to work.

## **12. DOCUMENTATION**



- 12.1** In the case of an external secondment to a Host Organisation the following documents are required:
- A secondment agreement between the Council and the Host Organisation must be completed and signed by both parties (the Agreement); and
  - A secondment agreement between the Council and the Seconded must also be completed and signed by both parties (the Schedule).
- 12.2** In the case of internal secondments, a letter of agreement will be provided to the employee signed by both the Accountable Manager and the Host Manager detailing all of the contractual changes that are applicable for the duration of the secondment .
- 13 MONITORING AND MEASURING SUCCESS.**
- 13.1** The Council will, in partnership with the trade unions, monitor applications for and use of secondments, with a view to ensuring the fair and consistent application of this policy.
- 14. REVIEW OF POLICY.**
- 14.1** This policy will be updated in line with employment legislation and best practice as required.



## **WEST DUNBARTONSHIRE COUNCIL**

### **Report by Strategic Lead for Communications, Culture, Communities and Facilities**

**Corporate Services Committee: 13 February 2020**

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**Subject: West Dunbartonshire Leisure Trust Business Plan 2020/21**

#### **1. Purpose**

- 1.1** The purpose of this report is to update members on the West Dunbartonshire Leisure Trust Business Plan for 2020/21.

#### **2. Recommendations**

- 2.1** It is recommended that Committee approves the report and West Dunbartonshire Leisure Trust Business Plan for 2020/21.

#### **3. Background**

- 3.1** West Dunbartonshire Leisure Trust (the Trust) is a company limited by guarantee with charitable status. In addition to being regulated by the Companies Act (2006), the company is also subject to the charities regulator in Scotland, OSCR (Office of the Scottish Charity Regulator).
- 3.2** West Dunbartonshire Leisure Trust was incorporated as a company in December 2011 and started trading on 5th April 2012.
- 3.3** There are nine members of the company who serve as trustees comprising of three (3) West Dunbartonshire Councillors (Partner Trustees), an Employee Representative Trustee and five (5) Independent Trustees. The board of Trustees (who are also directors of West Dunbartonshire Leisure Trust for the purposes of company law) has control of the company subject to providing and operating the services in accordance with the Legal Agreement reached with West Dunbartonshire Council and provides strategic direction to the General Manager and his Management Team.
- 3.4** West Dunbartonshire Leisure Trust is responsible for the strategic and operational management of West Dunbartonshire Council's Sport and Leisure Facilities, Community Facilities, Sports Development, Active Schools, for operation of Outdoor Recreation facilities and for event delivery on behalf of the Council.
- 3.5** In order to ensure that the Council meets its obligations to provide adequate provision of facilities for the residents of the area for recreational, sporting, cultural and social activities in terms of Section 14 of the Local Government and Planning (Scotland) Act 1982, there is a Services Agreement in place

between the Council and the Leisure Trust. The Trust is paid a management fee for delivery of the services through an annual funding commitment.

- 3.6** The Services Agreement states that the Leisure Trust should bring a draft Business Plan forward for the coming financial year that illustrates the resources which WDLT intends to use to deliver its services. It should also include information on the expected expenditure required to provide those services, and the amount of funding required from the Council in the form of the management fee. This report and the accompanying Business Plan (Appendix 1) fulfils this requirement.
- 3.7** This report is presented to Committee on behalf of WDLT by the Strategic Lead for Communications, Culture, Communities and Facilities (CCCCF). The Strategic Lead for CCCC was appointed in August 2019 as the senior officer responsible for monitoring WDLT activity on behalf of the Council.

#### **4. Main Issues**

- 4.1** The Leisure Trust proposes to deliver the following the coming year:

##### **Sport & Leisure**

- 4.2** The strategic and operational management of the council's three wet and dry leisure centres, Vale of Leven Swimming Pool; the Meadow Centre; and Clydebank Leisure Centre. This will include building on the success of the Trust's first three year Aquatics Strategy by growing their programme of aquatic activities and casual use. In addition the Trust will continue to grow its current membership/subscription provision (approximately 20,000 at present) offering opportunities for all to access leisure facilities at affordable rates.

##### **Community Services**

- 4.3** The strategic and operational management of the council's twelve Community Facilities; Theatre; outdoor grass (23) and synthetic pitches (3); and two outdoor Bowling Greens. The Trust will work with the Council to ensure the successful commissioning and operation of new facilities at Dalmonach (Community Centre); Mountblow, Dalmuir (Synthetic Football Pitch); Postie's Park, Dumbarton (Athletics Track); and Argyll Park, Vale of Leven (Tennis Courts).

##### **Sports Development**

- 4.4** The Sports Development team will focus on widening opportunities for all residents to participate in sport. This is achieved via the provision of community and school sports programmes, club and coach development initiatives and the delivery of various mass participation sports events across the area. This will also include the development of a Football Strategy to enhance the football provision across the authority and assist increase the use of grass and synthetic pitches.

## **Active Schools**

- 4.5** The Active Schools team will provide more and higher quality opportunities for children and young people to take part in sport and physical activity before, during lunchtime and after school. This will include working closely with the Council's Educational Services team to increase pupil physical activity participation in Active Schools programmes which currently sits at 48% of the total school roll and in particular secondary school pupils.

## **Major Outdoor Events**

- 4.6** The Trust will deliver an annual programme of outdoor events for West Dunbartonshire Council. The Events Calendar includes a Golf ProAm; Scottish Pipe Band Championships; Highland Games; Firework Displays; and Christmas Light Switch On events. In addition the Trust will also manage and deliver the Loch Lomond 10k Road Race. Due to its success from last year the entry level will be increased to 1,200, and for the first time a 5k Road Race will also be introduced.

## **Efficiencies**

- 4.7** As per the services agreement the Leisure Trust is committed to assisting the Council to ensure best value and continuous improvement. This includes making sure that the funding commitment through the management fee does not exceed what is necessary to cover all or part of the costs incurred in the delivery of its services.
- 4.8** Following discussions with the Council's nominated monitoring officer, the Strategic Lead for CCCF, a number of projects will be progressed in 2020/21 that will deliver a 1.9% reduction in the management fee from the Council to the Trust. These include the delivery of efficiencies within Community Services as highlighted in the Review of Community Centres approved by Corporate Services Committee in November 2019; a review of the Trust's Management and operating structure; and an income target increase funded from a growth in income streams, and the annual review of service charges.

## **Key Performance Indicators**

- 4.9** To help the Council monitor Trust service delivery during the year a number of Key Performance Indicators are set and reported on. The monitoring officer and the Trust have reviewed the existing indicators and agreed a new suite for the 2020/21 Business Plan which is included in Appendix 1.

## **5. People Implications**

- 5.1** There are no people implications for the Council from this report. Some of the efficiencies listed in the Business Plan will have an implication on Leisure Trust employees through structural reviews. The scale of this is not reportable

at this point until consultations with employees and trade unions have concluded and managers have a better understanding of those individuals looking to leave the Trust through VER. In a positive development an agreement has been reached between the Leisure Trust and the Council to support offers of alternative employment for anyone displaced. In the main, this is likely to be supporting displaced WDLT employees to secure potential alternative employment opportunities within the Council, however there is also the potential for WDC employees to be supported into WDLT roles.

## **6. Financial and Procurement Implications**

- 6.1** As outlined in the Business Plan, the Trust's proposed service delivery would allow for a reduction in the management fee from the Council to the Leisure Trust of £73,578 (approximately 1.9%) to £3,800,212 in 2020/21.

## **8. Risk Analysis**

- 8.1** No risks have been identified in relation to this report.

## **9. Equalities Impact Assessment (EIA)**

- 9.1** An equality impact screening has been carried out on the Business Plan, and following this individual activity areas will be screened and assessed as appropriate.

## **10. Consultation**

- 10.1** Consultation on this report has taken place with WDLT management, Finance, Procurement and Legal.

## **11. Strategic Assessment**

- 11.1** This report supports the following Strategic Plan objectives:

- Efficient and effective frontline services that improve the everyday lives of residents

### **Malcolm Bennie**

Strategic Lead – Communications, Culture, Communities and Facilities

Date: 20 January 2020

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### **Person to Contact:**

Malcolm Bennie, Strategic Lead – Communications,  
Culture, Communities and Facilities, Council Offices,  
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**Appendices:** WDLT Business Plan 2020/21

**Background Papers:** None

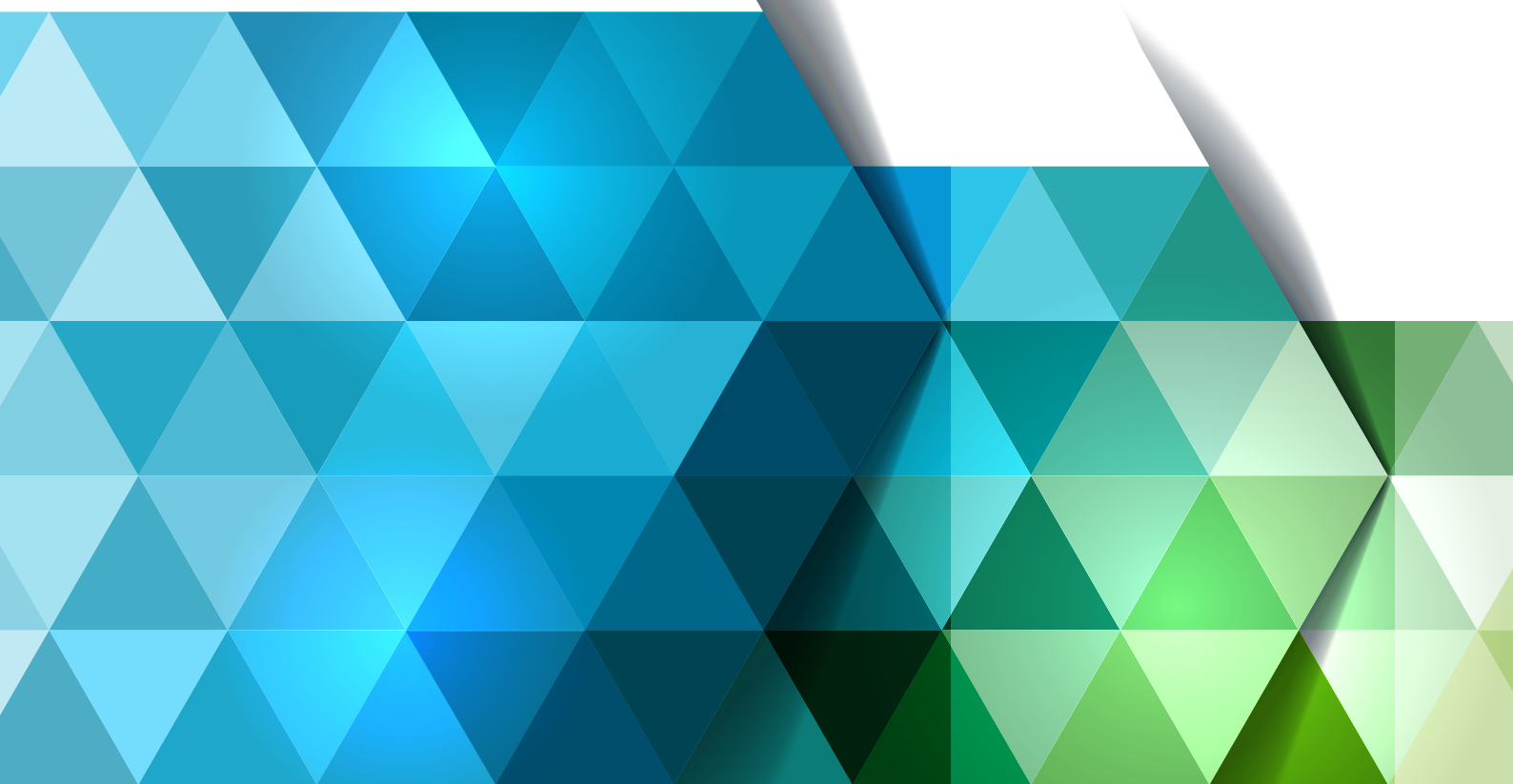
**Wards Affected:** All





# BUSINESS PLAN

## 2020 - 2021



“Inspiring Active  
&  
Healthier  
Communities”



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# MESSAGE FROM THE GENERAL MANAGER

2020/21 will be an exciting year with many opportunities for West Dunbartonshire Leisure Trust (WDLT) to deliver on it's Mission Statement of "Inspiring Active & Healthier Communities".

It was heartening to see that in a competitive market with challenging local demographics, WDLT has continued to deliver service improvements and exceed targets, agreed in partnership with West Dunbartonshire Council (WDC), to increase participation in physical activity and sport throughout the authority. We will look to continue to build on this throughout 2020/21.

Active engagement with our employees, customers and external partners will be essential to ensure service delivery meets needs and expectations, and that we strive to achieve. Consultation is vital to delivering focused programmes and initiatives that promote inclusiveness and positivity encouraging the adoption of a physically active lifestyle, and particularly targeting hard to reach groups and provide opportunities for everyone to engage in a healthy active lifestyle. I am pleased that as a Company we will continue to be represented within the Community Planning Partnership enabling collaborative working with other agencies.

2020/21 will see the first year of our new three year Business Strategy implemented which sets out our Strategic Objectives & What We Want to Achieve. It has been developed to provide a focus and strategic approach to ensure WDLT continues to maintain and develop services aiming to meet our Company Objects and compliment National Strategies and West Dunbartonshire's Local Outcome Improvement Plan.

**John Anderson**  
**General Manager**

## INTRODUCTION

WDLT is a company limited by guarantee with charitable status and was incorporated in December 2011 and started trading in April 2012. WDLT is responsible for the strategic and operational management of the council's Sport and Leisure Facilities; Community Facilities; Outdoor Pitches & Bowling Greens (transferred to WDLT 3 April 2017); Sports Development; Active Schools; and the delivery of the Council's major Outdoor Events.

This Business Plan outlines the activity planned in the coming year and the financial budget required to deliver these services in 2020/21. This includes the level of Management Fee from WDC.



# TRUST ACTIVITY

WDLT proposes to deliver the following on behalf of the Council in 2020/21:

## Sport & Leisure

The strategic and operational management of the council's three wet and dry leisure centres, Vale of Leven Swimming Pool; the Meadow Centre; and Clydebank Leisure Centre.

We will build on the success of the Trust's first three year Aquatics Strategy by growing our programme of aquatic activities and casual use by achieving an overall 10% increase in attendances over the lifespan of our new strategy.

In addition we will continue to grow our current membership/subscription provision (approximately 21,500 at present) offering opportunities for all to access our leisure facilities at affordable rates.

## Community Services

The strategic and operational management of the council's twelve Community Facilities; Theatre; outdoor grass and pitches (23); and synthetic pitches (3); and two outdoor Bowling Greens.

We will work with the Council to ensure the successful commissioning and operation of new facilities at Dalmonach (Community Centre); Mountblow, Dalmuir (Synthetic Football Pitch); Postie's Park, Dumbarton (Athletics Track); and Argyle Park, Vale of Leven (Tennis Courts).

## Sports Development

Our Sports Development team is focused on widening opportunities for all residents to participate in sport. This is achieved via the provision of community and school sports programmes, club and coach development initiatives and the delivery of various mass participation sports events across the area.

We will look to expand our learn to swim programme as part of our three year Aquatics Strategy by increasing the two thousand four hundred individuals who attend on a weekly basis by 15% over the lifespan of our new strategy.

We will develop a Football Strategy to enhance our football provision across the authority and assist increase the use of the grass and synthetic pitches.

## Active Schools

Our Active Schools team aim to provide more and higher quality opportunities for children and young people to take part in sport and physical activity before, during lunchtime and after school.

We will continue to work closely with the Council's Education department to investigate how best we can increase pupil physical activity participation in Active Schools programmes which currently sits at 48% of the total school roll and in particular secondary school pupils.



## Major Outdoor Events

We deliver an annual programme of outdoor events for West Dunbartonshire Council. The Events Calendar includes, a Golf ProAm; The Scottish Pipe Band Championships; The Highland Games; Firework Displays; and Christmas Light Switch On events.

In addition to delivering outdoor events for the Council we also manage and deliver the Loch Lomond 10k Road Race and due to it's success from last year the entry level will be increased to 1,200 and for the first time a 5k Road Race will also be introduced.

## STAFFING

To deliver the vast array of services / programmes **218 (167.59 FTE)** employees (excluding casual workers/coaches/instructors) are required to be utilised by WDLT. The tables below provide a breakdown of the FTE for each service area.

<b>Leisure Services (86.09 FTE)</b>	
<b>Designation</b>	<b>FTE</b>
Senior Leisure Trust Officer	1
Leisure Facility Officer	1
Fitness Officer	2
Technical Officer	2
Duty Officer	8.4
Leisure Attendant	35.84
Fitness Attendant	8.9
Activity Assistants	2.7
Cashier	12.1
Membership Advisor	1.2
General Operative	9.95

<b>Sports Development (24.91 FTE)</b>	
<b>Designation</b>	<b>FTE</b>
Sports Development Manager	1
Aquatics Development Coordinator	1
Football Development Coordinator	1
Sports Development Coordinator	4
Assist Aquatics Development Officer	4.2
Assist Football Development Officer	1
Assistant Sports Development Officer	1
Lead Coach	7.8
Assistant Coach	3.91

<b>Business Development (16.88 FTE)</b>	
<b>Designation</b>	<b>FTE</b>
General Manager	1
Business Development Coordinator	1
Development Officers	1.85
Customer Services Officer	1
Info Officer	0.9
Training Officer	2
Live Active Officer	3
Admin Support Officer	6.12

<b>Community Services (32.71 FTE)</b>	
<b>Designation</b>	<b>FTE</b>
Community Facilities Officer	1
Duty Officer	3
Facility Assistant	25.47
General Operative	3.24

<b>Active Schools (8 FTE)</b>	
<b>Designation</b>	<b>FTE</b>
Active Schools Manager	1
Active School Coordinator	7

# FINANCIAL BUDGET 2020/21

To deliver the programme outlined above, with the resources as listed, WDLT forecasts the following financial requirements:

## Management Fee

The following key adjustments were applied to the calculation of the 2020/2021 Management Fee:

	£
Base Subsidy (Management Fee 2019/20)	3,873,790
Employee Costs Uplift	168,410
Utilities Uplift	55,937
Skypoint Lost Revenue (choices relocation)	29,300
Efficiencies	(327,225)
<b>Draft Management Fee 2020/21</b>	<b>3,800,212</b>

This would represent a reduction in the management fee from the Council of £73,578 (approximately 1.9%) from 2019/20.

To achieve the Trust's financial budget for 2020/21, and following discussions with the Council's nominated WDLT Partnership Officer, a range of activities are being progressed to increase income and reduce operating costs. These include the delivery of efficiencies within Community Services as highlighted in the Corporate Services Committee's approval (13 November 2019) with regards to the Review of Community Facilities; a review of the Management and operating structure; and an income target increase funded from a growth in income streams (via continued growth in Membership sales and Sports Development activities; and the introduction of a new synthetic pitch in Dalmuir); and the annual review of service charges.

INCOME	2019/20 Budget (£)	Proposed 20/21 Budget (£)	Change in Budget (£)
Management Fee	3,873,790	3,800,212	-73,578
Customer Receipts	3,453,800	3,563,800	110,000
Grant Funding (Still TBC)	390,340	390,340	0
<b>Income Total</b>	<b>7,717,930</b>	<b>7,754,352</b>	<b>36,422</b>

EXPENDITURE	2019/20 Budget (£)	Proposed 20/21 Budget (£)	Change in Budget (£)
<b>Expenditure Totals</b>	<b>7,717,930</b>	<b>7,754,352</b>	<b>36,422</b>



# THREE YEAR BUSINESS STRATEGY & ANNUAL DELIVERY PLAN

This Business Strategy sets out our Strategic Objectives & what we want to achieve for the next three years (2020 – 2023). It has been developed to provide a focus and strategic approach to ensure WDLT continues to maintain and develop services aiming to meet our Company Objects and compliment National Strategies and West Dunbartonshire's Local Outcome Improvement Plan.

The following table highlights our Strategic Objectives and what we want to achieve:

Objectives:	Grow the Business	Improve Customer Experience	Financial Sustainability	Sound Governance
<b>What We Want to Achieve:</b>	Financial Re-investment  Increased Participation  Growth in Clydebank Leisure Centre  Growth in Community Facilities & Outdoor Recreation  Improved Marketing  Healthy Lifestyles  Effective Partnership Working	Excellent Customer Care Standards  Effective Customer Consultation  Equality of Access  Provision of Equipment & Technology  To be an Employer of Choice	Maximise Income Opportunities  Maximise External Funding Opportunities  Successful Control of Expenditure	Effective Policies and Procedures  Measured Risk Management  Proper Accountability & Scrutiny

Our full Business Strategy can be accessed [here](#)

WDLT have also developed a Delivery Plan for 2020/21 identifying the key actions we will undertake to assist achieve the Strategic Objectives within our Business Strategy.

Our Annual Delivery Plan for 2020/21 can be accessed [here](#)



# KEY PERFORMANCE INDICATORS

Following a review of the previous Key Performance Indicators with the Council's WDLT Partnership Officer the following KPIs for 2020/21 have been agreed:

## Strategic Objective – Grow the Business

Performance Measure	2018/19 Actual	2019/20 Target	2020/21 Target
CC1 Wet Activities (per 10,000)	4,368	4,594	<b>4,543</b>
The projected outcome for 2019/20 for the CC1 Indicator is 4,478 which is below the target set, however still represents a 3% increase from the 2018/19 actual. This has resulted in a reduced target for 2020/21 against the 2019/20 target being set.			
CC2 Dry Activities (per 10,000)	7,014	7,154	<b>7,302</b>
Overall Usage	1,565,890	1,577,200	<b>1,673,350</b>
Individual Participants All Memberships	21,437	25,000	<b>25,000</b>
The projected outcome for 2019/20 for the Individual Participants Indicator is 22,500 which is below the target set, however still represents a 5% increase from the 2018/19 actual. This has resulted in the same target for 2020/21 as 2019/20 being identified.			
Individual Participants Active Schools	6,032	6,500	<b>6,800</b>

## Strategic Objective – Improve Customer Experience

Performance Measure	2018/19 Actual	2019/20 Target	2020/21 Target
Facebook Post Engagement	330,478	315,000	<b>360,000</b>
MobilePro Users	6,480	9,000	<b>12,000</b>

## Strategic Objective – Financial Sustainability

Performance Measure	2018/19 Actual	2019/20 Target	2020/21 Target
Income	£3,761,055	£3,844,140	<b>£3,954,140</b>
Average Income Generated Per Hour (Community Centres) – new target	N/A	N/A	<b>£14.04</b>
Expenditure	£7,485,415	£7,717,930	<b>£7,754,352</b>
% Income (Mgt Fee)	50%	50.4%	<b>49%</b>
% Income (Receipts)	50%	49.6%	<b>51%</b>
Cost per Visit (Mgt Fee)	£2.42	£2.46	<b>£2.27</b>



## New Key Performance Indicators for 2020/21

The following are new KPIs for 2020/21 which have been agreed in consultation with the Council's Partnership Officer. To date no baseline data exists for these KPIs and WDLT Officers are currently identifying challenging but realistic targets. Once these targets have been identified they will be reviewed by the Council's Partnership Officer before agreement is reached.

Strategic Objective	Performance Indicator
Grow the Business	Gym Memberships – Gold
Grow the Business	Gym Memberships – Silver
Grow the Business	Gym Memberships – Bronze
Grow the Business	Gym Memberships – Total
Grow the Business	% of DD Gym Memberships sustained over a 12 Month period or more
Grow the Business	Occupancy Levels (Sports Halls)
Grow the Business	Occupancy Levels (Community Centres)
Grow the Business	Occupancy Levels (Fitness Classes)
Financial Sustainability	Income Generated from Gym Memberships
Financial Sustainability	Cost of Community Centres per Resident (89,590 population)







## **West Dunbartonshire Leisure Trust**

Alexandria Community Centre,  
Main Street, Alexandria, G83 0NU

Tel: **01389 757806** Fax: **01389 751557**

Email: **[wslt-training@west-dunbarton.gov.uk](mailto:wslt-training@west-dunbarton.gov.uk)**  
**[www.wdleisure.net](http://www.wdleisure.net)**

West Dunbartonshire Leisure Trust is a recognised Scottish Charity: SC 042999;  
VAT Registered: GB 129 7502; and Company Registered: SC413707  
Delivering services on behalf of West Dunbartonshire Council

## **WEST DUNBARTONSHIRE COUNCIL**

### **Report by Strategic Lead for Communications, Culture, Communities and Facilities**

**Corporate Services Committee: 13 February 2020**

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**Subject: Glenhead Community Centre**

#### **1. Purpose**

- 1.1** The purpose of this report is to update members on the usage of the Glenhead Community Centre and the costs of operating it on existing hours rather than harmonise with Duntocher Library.

#### **2. Recommendations**

- 2.1** It is recommended that members note the report.

#### **3. Background**

- 3.1** On 13 November 2019 Council officers presented a report to Corporate Services Committee outlining their recommendations following a review of the Council's Community Centres.
- 3.2** One recommendation was to save £57,000 p/a by altering the operating model at Glenhead Community Centre. This would be achieved by harmonising the opening hours of Glenhead Community Centre around those of Duntocher Library which is based within the Centre. The resulting reduction in staffing would deliver the saving.
- 3.3** This option was not progressed by Committee. A motion was agreed which stated: "Committee believes that the residents of Duntocher should not be disadvantaged and that the Glenhead Centre should not be restricted to Library hours; community groups must be able to book this facility in the evening if they wish to do so and the report recognises this; and Committee agrees that officers will bring a report to the next Corporate Services Committee detailing the usage of the Glenhead Centre and any extra costs associated with keeping it available to hire outside of Duntocher Library hours under the new management model being implemented." This report responds to that request for further information.
- 3.4** For the purposes of this report some background information is provided on Glenhead Community Centre. The Council currently owns Glenhead along with eleven other Community Centres:

Venue	Facilities	Distance to nearest alternative facility (not including Church Halls)
Glenhead Community Centre	A small venue with sports hall and rooms suitable for small functions.	Duntocher Village Hall (0.2mi) St Mary's PS (0.2mi) Antonine Sports Centre (0.3mi) Carleith PS (0.6mi) Skypoint Centre (1mi)

This is one of two Community Centres in the Kilpatrick ward with the other being the large Skypoint Centre in Faifley.

- 3.5 All community centres are managed on the Council's behalf by WDLT. The Glenhead Community Centre generates the following income level per year:

Venue	Income in 2018/19	Bookable hours per week	Average Income per hour
Glenhead Community Centre	£14,064	62	£4.34

- 3.6 It is not possible to provide a breakdown of the cost of operating each Community Centre because the staffing team services the entire network rather than each venue. For example, if there are no bookings in a venue then WDLT Facilities Assistants can be deployed elsewhere to fill gaps. The following table provide an illustration of the overall cost of delivering these venues in their current model:

Type of Community Facility expenditure	2018/19
Employee costs (1 FTE Community Facilities Officer, 3 Duty Officers, 22 FTE Facilities Assistants & 4.3 FTE General Operatives)	£908,125
Property costs	£252,979
Central Repairs Allocation	£12,615
<b>Total costs</b>	<b>£1,173,719</b>
<b>Total income</b>	<b>£407,503</b>
<b>Net cost</b>	<b>£766,216</b>

- 3.7 The Council has an ongoing building upgrades plan which will help to improve the Community Centres in the coming years. Glenhead will benefit from this in the following way:

Venue	Spend planned 2019/20 to 2022/23
Glenhead Community Centre	£193,460

#### 4. Main Issues

- 4.1 Glenhead Community Centre is currently open at the following times:

	Glenhead Opening Times
Monday	9am – 9pm
Tuesday	9am – 8pm
Wednesday	9am – 9pm
Thursday	9am – 9pm
Friday	9am – 6pm

- 4.2 As previously stated the centre generates only £14,064 per year in income and suffers from low levels of occupancy. It is currently brings in the second lowest amount of money per opening hour after Bonhill Community Centre.

- 4.3 The current weekly lets are illustrated below:

	Group	Day	Time	Hours	Average Attendance	Area(s)
1	FAST out of school	Monday to Friday	7.45 to 8.45am ( <i>centre not open for any other bookings at these times</i> )	1 hour	10	Main Hall/Kitchen /Stage
	FAST out of school	Monday to Friday	3.00pm to 6.00pm	3 hours	15-20	Main Hall/Kitchen /Stage
2	GGC anti-coagulation clinic	Thursday (Two bookings per month)	1.00pm 2.45pm	1.75 hours	6	Computer room
3	Mothers and toddlers	Tuesday & Friday (off for summer months)	9.30-11.30	2 hours	15-20	Main Hall/Kitchen

4	Equi group	Monday (excluding December & January)	7.00pm to 9.00pm	2 hours	20	Main Hall/Stage
5	Early Years	Monday	9.30am – 11.30am	2 hours	8	Main Hall
6	Men's bowling	Thursday & Tuesday (October to April only)	1.00pm to 3.00pm	2 hours	20	Main Hall/Kitchen /Stage
7	Ladies bowling	Monday & Wednesday (October to March only)	1.00pm to 3.00pm	2 hours	20	Main Hall/Kitchen /Stage

- 4.4** Bringing WDLT under the monitoring of the Strategic Lead for CCCF had facilitated a new discussion about how best to operate the Glenhead Community Centre. The most significant service at Glenhead is Duntocher Library which attracts 14,000 visitors per year. Advanced discussions took place with WDLT and Library management around an opportunity for Glenhead to transition its opening hours around those of the library (illustrated below) from April 2020 onwards.

	<b>Duntocher Library Opening Times</b>
Monday	2-5pm
Tuesday	2-7pm
Wednesday	9.30am – 1pm
Thursday	9.30am – 1pm
Friday	2-5pm

- 4.5** If the opening times were more broadly harmonised then Library staff could assist with opening and closing Glenhead on behalf of the WDLT, and dependant on the exact bookings allow community groups access to the hall during some of the hours. Library branch staff are already used to opening and closing branches elsewhere so there should not have been an issue taking on this task at Glenhead.
- 4.6** In advance of the November Committee WDLT undertook discussions with all Glenhead user groups to explore alternative arrangements for access to the building outside of the library hours. These ranged from sending out WDLT staff to cover bookings before returning to other duties, modifying existing bookings slightly to fit the new hours, and in some cases keyholding responsibilities being passed to regular groups. These solutions were all designed around limiting the staffing requirements from WDLT. Initial

discussions seemed to indicate that all existing bookings could have been retained at Glenhead Community Centre after the recommended change.

**4.7** In the event that solutions could not be found for any bookings then support would have been provided to community groups to find alternative venues in the nearby area. Beneficiaries could have been the nearby community-run Duntocher Village Hall and the charitable Antonine Sports Centre. Should these venues have not had capacity then there was also the potential of lets at St Mary's Primary School and Carleith Primary School. New bookings outside of the library opening hours would have been considered on an individual basis. In some instances alternative venues may also have been required in some instances for new bookings at times out with the library opening hours.

**4.8** Corporate Services Committee agreed in November not to progress with the proposal to adapt opening hours at Glenhead. The motion asked officers to detail the extra costs of keeping it available outside of the library hours. The extra costs amount to £57,000 or 2.5 FTE Facilities Assistants. This is what WDLT need to open and close the building, and operate a pool of Facilities Assistants able to cover all existing opening hours.

## **5. People Implications**

**6.1** This report is for noting so there are no people implications for Council.

## **7. Financial and Procurement Implications**

**7.1** This report is for noting and there are no financial and procurement implications for Council.

## **8. Risk Analysis**

**8.1** No risks have been identified in relation to this report.

## **9. Equalities Impact Assessment (EIA)**

**9.1** An equality impact screening has been carried out and there was no requirement to undertake a full impact assessment.

## **10. Consultation**

**10.1** Consultation on this report has taken place with WDLT management, Finance, Procurement and Legal.

## **11. Strategic Assessment**

**11.1** This report supports the following Strategic Plan objectives:

- Efficient and effective frontline services that improve the everyday lives of residents

**Malcolm Bennie**

Strategic Lead – Communications, Culture, Communities and Facilities

Date: 20 December 2019

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**Person to Contact:** Malcolm Bennie, Strategic Lead – Communications, Culture, Communities and Facilities, Council Offices, Church Street, Dumbarton  
Email: malcolm.bennie@west-dunbarton.gov.uk

**Appendices:** None

**Background Papers:** None

**Wards Affected:** All



## WEST DUNBARTONSHIRE COUNCIL

### Report by Strategic Lead - Resources

**Corporate Services Committee: 19 February 2020**

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**Subject: Write-off of National Non Domestic Rates**

#### **1. Purpose**

- 1.1** The purpose of this report is to recommend 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.

#### **2. Recommendations**

- 2.1** It is recommended that the Committee approve the write-off of NNDR accounts totalling £567,786.04.

#### **3. Background**

- 3.1** The NNDR is a national rate of non-domestic properties and is determined each year by the Scottish Parliament. All local authorities collect the rates and the monies collected are pooled into a national central fund. The Scottish Government allocates a grant to each authority from this fund through the Local Government Finance settlement. The Council's annual billing amount for NNDR in 2019/20 is £87.7m (including utility charges). In 2018/19 the Council collected 98.63%.
- 3.2** The grant distribution formula used by the Scottish Government has regard to the amount of NNDR collectable by each local authority. The Council makes an annual return to the Scottish Government detailing the amounts collected for each year. Included in this return is a note of any amounts written off as uncollectable. As such, NNDR collected by a local authority represents a receipt of grant income. Specific debts deemed uncollectable are written off and the reduction in NNDR collected locally is compensated for in future grant settlements.
- 3.3** Financial Regulation D4 gives the Strategic Lead Resources authority to write-off individual debts up to £5,000. The Strategic Lead Resources is required to seek the approval of Members prior to writing off any debt in excess of £5,000.
- 3.4** A report is submitted annually to Committee seeking approval for write-off of irrecoverable debts. The write-offs are not specific to any one year but instead are the debts which have been deemed irrecoverable during 2019/20. The table below shows the distribution of the recommended write off over the years from which the debts were originally raised. Write off can be due to a

number of reasons, for example, a company has ceased trading or a review of outstanding cases has now deemed that the debt is irrecoverable.

<b>Financial Year Debt Created</b>	<b>Value of write-off</b>
2013/2014	£19,158.33
2014/2015	£65,257.59
2015/2016	£89,277.77
2016/2017	£100,933.24
2017/2018	£166,499.62
2018/2019	£126,659.49
<b>Total</b>	<b>£567,786.04</b>

- 3.5** Where a company has ceased trading through liquidation or administration the Council formally submits a claim to the trustee up to and including the date of liquidation/administration. At this stage the Council would propose this amount for write off. In such cases the Council is classed as an unsecured creditor (i.e. secured creditors are organisations such as HMRC and Banks) and in these cases it is extremely unlikely that any recovery of the outstanding monies will be received in full: generally low or nil recovery is the outcome. If such a recovery was received this would be credited to the rates account and the write off to this value reversed or reduced.

#### **4. Main Issues**

- 4.1** Debts totalling £567,786.04 are submitted for write off. Non-collection of debts and request for write off is predominately due to the businesses being liquidated, dissolved or sequestration. The following table identifies the reasons for NNDR write off in more detail:

<b>Reason</b>	<b>Alexandria</b>	<b>Clydebank</b>	<b>Dumbarton</b>	<b>Grand Total</b>
Dissolved	£26,077.33	£237,235.79	£8,321.32	£271,634.44
Liquidation	0.00	£54,766.70	£12,113.82	£66,880.52
Administration	0.00	£95,284.90	0.00	£95,284.90
Sheriff Officers <sup>1</sup>	£16,369.49	£104,235.89	£13,380.80	£133,986.18
<b>Totals</b>	<b>£42,446.82</b>	<b>£491,523.28</b>	<b>£33,815.94</b>	<b>£567,786.04</b>

The attached appendix provides a list of debts for limited companies and corresponding addresses. Individuals' personal data has been anonymised to protect the identify of individual ratepayers in accordance with the General Data Protection Regulation.

- 4.2** Although the debts are treated as written off, should any circumstances change whereby debts can be collected, the Council will pursue them

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<sup>1</sup> Sheriff Officer advising all avenues have been exhausted and irrecoverable in collecting the rates and recommending write-off along with a brief background

## **5. People Implications**

**5.1** There are no people implications.

## **6. Financial and Procurement Implications**

**6.1** The NNDR debts written off totalling £567,786.04 be notified to the Scottish Government NNDR pool for reimbursement. There are no Procurement implications.

## **7. Risk Analysis**

**7.1** The grant distribution formula adopted by the Scottish Government assumes the Council will collect NNDR liabilities. If sums deemed uncollectable are not notified to the Scottish Government, this will have an adverse effect on the Council's cash flow. Prudent financial accounting practice also requires that uncollectable debt should be written-off in a timely manner.

## **8. Equalities Impact Assessment**

**8.1** No issues were identified in a equality impact screening of this measure.

## **9. Consultation**

**9.1** Consultation has taken place with Legal Services and there are neither any issues nor concerns with the proposal.

## **10. Strategic Assessment**

**10.1** The write off of uncollectable NNDR debts forms part of the financial governance of the Council. Sound financial practice and budgetary control are imperative to assist with the governance of the Council and support officers of the Council in achieving the five strategic priorities.

**Stephen West**  
**Strategic Lead - Resources**  
**Date: 09/01/2020**

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**Person to Contact:** Arun Menon, Business Support Manager,  
Church St, Dumbarton.  
Tel: 01389 737832  
Email: [arun.menon@west-dunbarton.gov.uk](mailto:arun.menon@west-dunbarton.gov.uk)

**Appendix:** Details of debts for write-off

**Background Papers:** None

**Wards Affected:** All Council Wards.

## Appendix

West Dunbartonshire Council
NDR Write-Offs 2019/2020 - Over £5K

**2013/2014 Specific Write-Off List as at 31/03/2020**

Reference Number	Name	Address	Balance for Write-Off	Reason
37029452051435	Mountblow Inns Limited	Mountblow Bar, 832 Dumbarton Road, Clydebank	£11,027.13	Dissolved
37033166041435	Cash 4 Clothes (Scotland) Ltd	Unit 4 Alpha Centre, 10 South Douglas Street, Clydebank	£8,131.20	Liquidation
		<b>Total</b>	<b>£19,158.33</b>	

**2014/2015 Specific Write-Off List as at 31/03/2020**

Reference Number	Name	Address	Balance for Write-Off	Reason
37032259081536	Roma & Co Limited	53 Sylvania Way South, Clydebank	£28,482.48	Dissolved
37033166041532	Cash 4 Clothes (Scotland) Ltd	Unit 4 Alpha Centre, 10 South Douglas Street, Clydebank	£6,867.56	Liquidation
37033484041530	Cash 4 Clothes (Scotland) Ltd	Unit 6 Alpha Centre, 10 South Douglas Street, Clydebank	£9,917.05	Liquidation
37039210131535	Details Removed due to Data Protection Act	Details Removed due to Data Protection Act	£14,860.59	Administration
37039431071534	Details Removed due to Data Protection Act	Details Removed due to Data Protection Act	£5,129.91	Administration
		<b>Total</b>	<b>£65,257.59</b>	

**2015/2016 Specific Write-Off List as at 31/03/2020**

Reference Number	Name	Address	Balance for Write-Off	Reason
37033166041638	Cash 4 Clothes (Scotland) Ltd	Unit 4 Alpha Centre, 10 South Douglas Street, Clydebank	£8,448.00	Liquidation
37033484041636	Cash 4 Clothes (Scotland) Ltd	Unit 6 Alpha Centre, 10 South Douglas Street, Clydebank	£12,804.00	Liquidation
37035851081632	Highfleet Import Export Ltd	52 Sylvania Way, Clydebank	£25,114.72	Sheriff Officers - Dissolved
37035886111638	DMS Ventures Limited	48 Sylvania Way, Clydebank	£7,187.70	Dissolved
37037102151636	One Leap to Success Limited	Clydebank Hotel, 409 Kilbowie Road, Clydebank	£14,844.80	Sheriff Officers - Dissolved
37039210131632	Details Removed due to Data Protection Act	Details Removed due to Data Protection Act	£20,878.55	Administration
		<b>Total</b>	<b>£89,277.77</b>	

**2016/2017 Specific Write-Off List as at 31/03/2020**

Reference Number	Name	Address	Balance for Write-Off	Reason
37026208131731	Roslin Management Ltd	Block 11, 11 Vale of Leven Ind. Estate, Dumbarton	£7,653.80	Sheriff Officers - Dissolved

37029452071734	Mountblow Taverns Limited	Mountblow Bar, 832 Dumbarton Road, Clydebank	£8,817.05	Dissolved
37030310121734	Coop Leisure Ltd	The Chandlers, 2 Kilbowie Road, Clydebank	£6,005.82	Dissolved
37035894071735	Bali Electrical Superstore Ltd	46 Sylvania Way, Clydebank	£10,605.21	Dissolved
37036475051735	Blue Inc. (UK) Ltd	90 Sylvania Way, Clydebank	£21,094.50	Administration
37037102151733	One Leap to Success Limited	Clydebank Hotel, 409 Kilbowie Road, Clydebank	£25,158.36	Sheriff Officers - Dissolved
37039210131738	Details Removed due to Data Protection Act	Details Removed due to Data Protection Act	£21,598.50	Administration
<b>Total</b>			<b>£100,933.24</b>	

#### 2017/2018 Specific Write-Off List as at 31/03/2020

Reference Number	Name	Address	Balance for Write-Off	Reason
37018671101836	Old Bar Ltd	Old Vale Bar, 305 Main Street, Alexandria	£5,685.23	Dissolved
37023845111830	Leven Lodgings Limited	40 Balloch Road, Alexandria	£16,369.49	Sheriff Officers - Dissolved
37026208131837	Roslin Management Ltd	Block 11, 11 Vale of Leven Ind. Estate, Dumbarton	£8,321.32	Dissolved
37030310121831	Coop Leisure Ltd	The Chandlers, 2 Kilbowie Road, Clydebank	£23,323.30	Dissolved
37030868081837	Alinna Cut Ltd	1 Sylvania Way South, Clydebank	£5,035.86	Dissolved
37035193171833	Simple Cards Ltd	3 Sylvania Way, Clydebank	£5,640.36	Dissolved
37035347121834	Doudi Ltd	55 Sylvania Way, Clydebank	£10,543.41	Sheriff Officers – Ceased Trading
37035371111830	Inspired Clyde Ltd	61 Sylvania Way, Clydebank	£6,449.28	Dissolved
37035452181831	Yillip Ltd	89 Sylvania Way, Clydebank	£6,159.98	Dissolved
37035487101830	Fone Solutions (Scot) Ltd	97 Sylvania Way, Clydebank	£9,011.93	Dissolved
37036505041830	50 States Diner Limited	23B Britannia Way, Clydebank	£11,814.50	Dissolved
37037102151830	One Leap to Success Limited	Clydebank Hotel, 409 Kilbowie Road, Clydebank	£15,009.35	Sheriff Officers - Dissolved
37087347121831	Xeno Services Ltd	Banky's Adventure Zone, 33 John Knox Street, Clydebank	£9,128.85	Dissolved
37102052031832	Your Radio Ltd	Telecommunication Site, 24 West Dunbartonshire, Local Authority	£5,265.80	Liquidation
37107569061836	On the Bridge Ltd	The Laughing Fox, 119 Bridge Street, Alexandria	£6,822.50	Dissolved
37116967011838	Your Radio Ltd	3rd Floor, 15 Meadowbank Street, Dumbarton	£6,848.02	Liquidation
37116975021830	Phoenix Fitness Centre Ltd	Unit 0016, 15 South Elgin Street, Clydebank	£7,381.44	Dissolved
37119621011837	Zumo Clyde Ltd	(Adj No 57), 57A Sylvania Way, Clydebank	£7,689.00	Dissolved
<b>Total</b>			<b>£166,499.62</b>	

#### 2018/2019 Specific Write-Off List as at 31/03/2020

Reference Number	Name	Address	Balance for Write-Off	Reason
37002643041937	Brimlay Trading Ltd	50 High Street, Dumbarton	£5,727.00	Sheriff Officers - Dissolved
37018671101933	Old Bar Ltd	Old Vale Bar, 305 Main Street, Alexandria	£6,177.60	Dissolved
37030310121937	Coop Leisure Ltd	The Chandlers, 2 Kilbowie Road, Clydebank	£14,480.22	Dissolved
37035193171930	Simple Cards Ltd	3 Sylvania Way, Clydebank	£13,860.00	Dissolved

37035347121931	Doudi Ltd	55 Sylvania Way, Clydebank	£5,211.28	Sheriff Officers – Ceased Trading
37035347131935	Flipcardz Ltd	55 Sylvania Way, Clydebank	£8,353.97	Sheriff Officers - Dissolved
37035371111936	Inspired Clyde Ltd	61 Sylvania Way, Clydebank	£15,190.13	Dissolved
37035452181937	Yillip Ltd	89 Sylvania Way, Clydebank	£10,852.20	Dissolved
37035487101936	Fone Solutions (Scot) Ltd	97 Sylvania Way, Clydebank	£7,802.83	Dissolved
37036475051938	Blue Inc. (UK) Ltd	90 Sylvania Way, Clydebank	£11,722.85	Administration
37036505041936	50 States Diner Limited	23B Britannia Way, Clydebank	£5,605.48	Dissolved
37039431101933	Canalside Pubs Ltd	Glen Lusset Bar, 67 Dumbarton Road, Old Kilpatrick	£8,598.89	Liquidation
37107569061933	On the Bridge Ltd	The Laughing Fox, 119 Bridge Street, Alexandria	£7,392.00	Dissolved
37119621011934	Zumo Clyde Ltd	(Adj No 57), 57A Sylvania Way, Clydebank	£5,685.04	Dissolved
<b>Total</b>			<b>£126,659.49</b>	

## Notes

### Administration

Going into Administration under insolvency legislation effectively means a company is being taken under the management of a court appointed administrator – who must be a licensed insolvency practitioner - appointed by the courts, creditors, or company directors, where they are required to act in the best interest of the insolvent company.

### Dissolved

Where a limited company has been dissolved or struck off it legally closes and is removed from the Register at Companies House where there are reasonable grounds to believe that no business is being carried on. Dissolution officially ends a business owner's continued responsibility for taxes, debts and other commitments.

### Liquidation

The process of Liquidation is when a company is either at or near to the end of its life and the remaining assets need to be liquidated for distribution to creditors and shareholders. The role of the liquidator is to maximise the realisation of assets of the company. Once the assets have been realised and if sufficient cash has accumulated then the job of the Liquidator is agree all creditors' claims and to pay dividends accordingly.

### Sheriff Officers

When the Council has exhausted our in-house arrears procedures the debt is passed to our Sheriff Officers for collection. The Sheriff Officers will attempt to collect the debt using a variety of approaches and solutions which are appropriate to each individual case. In certain cases the Sheriff Officer will submit to WDC a write-off proforma, advising all avenues have been exhausted and irrecoverable in collecting the rates and recommending write-off along with a brief background.

**WEST DUNBARTONSHIRE COUNCIL**  
**Report by the Strategic Lead Resources**  
**Corporate Services Committee – 19 February 2020**

**Subject: Corporate Services Budgetary Control Report 31 December 2019  
(Period 9)**

**1. Purpose**

- 1.1** The purpose of this report is to advise the Committee on the performance of the Corporate Services budget for the period to 31 December 2019.

**2. Recommendations**

- 2.1** Members are asked to:

- i) note that the revenue account currently shows a projected annual favourable variance of £0.274m (1.32% of the total budget); and
- ii) note that the capital account is 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).

**3. Background**

Revenue

- 3.1** At the meeting of West Dunbartonshire Council on 27 March 2019, Members agreed the revenue estimates for 2019/2020, including a total net Corporate Services budget of £21.054m. Budget transfers have taken place decreasing the budget to £20.837m as detailed below.

	<b>£m</b>
Budget agreed March 2019	21.054
Transfer Period Poverty Grant to Housing & Employability	-0.060
Adjustment for transfer of information workers budget	0.116
Centralisation of Circuit Licence	0.002
Library book fund from Education	0.010
Environmental Services Restructure – re-allocation	0.056
Recurring Variances exercise	-0.298
Transfer Multi Year Computer Licences to Capital	-0.029
Increase in Window Cleaning Budget	0.010
ICT & Revs & Bens Procurement savings	-0.015
AVC & Cycle to Work NI saving	-0.009
	<b><u>20.837</u></b>

### Capital

- 3.2** At the meeting of Council on 27 March 2019, Members also agreed the updated 10 year General Services Capital Plan. The three years from 2019/20 to 2021/22 have been approved in detail with the remaining seven years from 2022/23 to 2028/29 being indicative at this stage.

## **4. Main Issues**

### Revenue

- 4.1** The summary report at Appendix 1 identifies a projected annual favourable variance (underspend) of £0.274m (1.32% of the total budget). Detailed service reports are attached as Appendix 2.
- 4.2** There are three projected annual variances in excess of £0.050m. Notes on these variances are highlighted and noted within Appendix 3, with additional information on action being taken to minimise or mitigate overspends where possible.
- 4.3** Although the report indicates that expenditure is favourable in comparison to that anticipated during the budget exercise, the present variance should be viewed in the knowledge that there are a number of variable factors which could arise between now and 31 March and which could affect the year end results.
- 4.4** Agreed management adjustments for 2019/20 are monitored with current indications showing that of the total target being monitored (£0.498m), all actions are currently on target to be achieved (see Appendix 4).

### Capital

- 4.5** Appendices 5, 6, 7 and 8 highlights a project as showing an in-year overspend and two projects showing an in-year underspend. The overall Corporate Services programme summary report at Appendix 5 shows that there is a projected £0.469m underspend (17.1% of the total budget).
- 4.6** From the analysis within the appendices it can be seen that there is one project with forecast material slippage, this is the Heritage Capital Fund which is showing slippage of £0.451m (16.4% of the total budget).

## **5. Option Appraisal**

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

## **6. People Implications**

- 6.1** There are no people implications.



## **7. Financial and Procurement Implications**

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

## **8. Risk Analysis**

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

## **9. Equalities Impact Assessment (EIA)**

- 9.1** No equalities impact assessment was required in relation to this report.

## **10. Consultation**

- 10.1** All services involved in delivering the revenue and capital budgets have been consulted in the compilation of this report.

## **11. Strategic Assessment**

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

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**Stephen West**  
**Strategic Lead Resources**

**Date: 12 February 2020**

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**Person to Contact:** Adrian Gray, Finance Business Partner  
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E-mail: [adrian.gray@west-dunbarton.gov.uk](mailto:adrian.gray@west-dunbarton.gov.uk)

**Appendices:**

Appendix 1 -	Revenue Budgetary Control 2019/20 – Summary Report
Appendix 2 -	Revenue Budgetary Control 2019/20 – Service Reports
Appendix 3 -	Analysis of Revenue Variances over £50,000
Appendix 4 -	2019/20 Efficiencies and Management Adjustments Monitoring
Appendix 5 -	Overall Capital Programme Summary Financials

Appendix 6 - Capital Programme – Red Status  
Appendix 7 - Capital Programme – Amber Status  
Appendix 8 - Capital Programme – Green Status

**Background Papers:** Ledger output – Period 9  
General Services Revenue Estimates 2019/20  
General Services Capital Plan 2019/20 to 2028/29 - Council  
5 March 2019

**Wards Affected** All Wards

WEST DUNBARTONSHIRE COUNCIL  
REVENUE BUDGETARY CONTROL 2019/20  
CORPORATE SERVICES SUMMARY

APPENDIX 1

MONTH END DATE 31 December 2019

Service / Subjective Summary	Total Budget 2019/20	Spend to Date 2019/20	Forecast Spend	Variance 2019/20	Annual RAG Status	
	£000	£000	£000	£000	%	
Audit	150	267	135	(15)	-10%	↑
Finance	1,397	1,202	1,407	10	1%	↓
Rent Rebates & Allowances	(46)	5,435	(46)	0	0%	→
Revenues & Benefits	2,059	1,784	2,069	10	0%	↓
Finance Service Centre	284	203	285	1	0%	↓
Cost of Collection of Rates	24	0	24	0	0%	→
Cost of Collection of Council Tax	(782)	(213)	(787)	(5)	-1%	↑
Procurement	615	763	585	(30)	-5%	↑
Democratic and Registration Service	733	509	718	(15)	-2%	↑
Central Admin Support	2,389	1,658	2,329	(60)	-3%	↑
Environmental Health	668	519	700	32	5%	↓
Licensing	(120)	(91)	(94)	26	22%	↓
Legal Services/Trading Standards	879	717	879	0	0%	→
Planning	425	138	310	(115)	-27%	↑
Transactional Services	645	467	649	4	1%	↓
Human Resources (including risk)	1,214	818	1,196	(18)	-1%	↑
Information Services	3,859	3,301	3,843	(16)	0%	↑
Change Support	365	271	302	(63)	-17%	↑
Communications & Marketing	307	223	313	6	2%	↓
Citizen Services	1,363	937	1,327	(36)	-3%	↑
Performance & Strategy	347	236	348	1	0%	↓
Clydebank Town Hall	375	218	372	(3)	-1%	↑
Office Accomodation	1,491	1,109	1,539	48	3%	↓
Libraries	1,743	1,188	1,734	(9)	0%	↑
Arts and Heritage	453	304	425	(28)	-6%	→
Total Net Expenditure	20,837	21,963	20,563	(274)	-1.32%	↑

PERIOD 31 December 2019

Service Summary	Total Budget 2019/20	YTD Spend 2019/20	Forecast Spend 2019/20	Variance 2019/20	RAG Status	
All Services	£000	£000	£000	£000	%	
Employee	19,659	13,982	19,409	(250)	-1%	↑
Property	1,703	1,338	1,773	70	4%	↓
Transport and Plant	70	35	61	(9)	-13%	↑
Supplies, Services and Admin	3,049	2,437	3,143	94	3%	↓
Payments to Other Bodies	51,374	33,309	51,376	2	0%	↓
Other	0	0	0	0	0%	→
Gross Expenditure	75,855	51,101	75,762	(93)	0%	↑
Income	(55,018)	(29,138)	(55,199)	(181)	0%	↑
Net Expenditure	20,837	21,963	20,563	(274)	-1%	↑
Audit	£000	£000	£000	£000	%	
Employee	382	270	369	(13)	-3%	↑
Property				0	0%	→
Transport and Plant	1	1	1	0	0%	→
Supplies, Services and Admin	2	2	2	0	0%	→
Payments to Other Bodies	-	-	0	0	0%	→
Other				0	0%	→
Gross Expenditure	385	273	372	(13)	-3%	↑
Income	(235)	(6)	(237)	(2)	-1%	↑
Net Expenditure	150	267	135	(15)	-10%	↑
Finance	£000	£000	£000	£000	%	
Employee	1,581	1,192	1,619	38	2%	↓
Property	0	0	0	0	0%	→
Transport and Plant	1	0	1	0	0%	→
Supplies, Services and Admin	8	8	11	3	38%	↓
Payments to Other Bodies	2	2	2	0	0%	→
Other				0	0%	→
Gross Expenditure	1,592	1,202	1,633	41	3%	↓
Income	(195)	0	(226)	(31)	-16%	↑
Net Expenditure	1,397	1,202	1,407	10	1%	↓
Rent Rebates & Allowances	£000	£000	£000	£000	%	
Employee				0	0%	→
Property				0	0%	→
Transport and Plant				0	0%	→
Supplies, Services and Admin				0	0%	→
Payments to Other Bodies	49,728	32,175	49,728	0	0%	→
Other				0	0%	→
Gross Expenditure	49,728	32,175	49,728	0	0%	→
Income	(49,774)	(26,740)	(49,774)	0	0%	→
Net Expenditure	- 46	5,435	(46)	0	0%	→
Revenues & Benefits	£000	£000	£000	£000	%	
Employee	1,848	1,376	1,849	1	0%	↓
Property				0	0%	→
Transport and Plant	7	3	4	(3)	-43%	↑
Supplies, Services and Admin	30	25	35	5	17%	↓
Payments to Other Bodies	834	709	840	6	1%	↓
Other				0	0%	→
Gross Expenditure	2,719	2,113	2,728	9	0%	↓
Income	(660)	(329)	(659)	1	0%	↓
Net Expenditure	2,059	1,784	2,069	10	0%	↓

PERIOD 31 December 2019

Service Summary	Total Budget 2019/20	YTD Spend 2019/20	Forecast Spend 2019/20	Variance 2019/20		RAG Status
<b>Finance Service Centre</b>	<b>£000</b>	<b>£000</b>	<b>£000</b>	<b>£000</b>	<b>%</b>	
Employee	234	180	235	1	0%	↓
Property	0	0	0	0	0%	→
Transport and Plant	0	0	0	0	0%	→
Supplies, Services and Admin	50	23	50	0	0%	→
Payments to Other Bodies				0	0%	→
Other				0	0%	→
<b>Gross Expenditure</b>	<b>284</b>	<b>203</b>	<b>285</b>	<b>1</b>	<b>0%</b>	<b>↓</b>
<b>Income</b>				<b>0</b>	<b>0%</b>	<b>→</b>
<b>Net Expenditure</b>	<b>284</b>	<b>203</b>	<b>285</b>	<b>1</b>	<b>0%</b>	<b>↓</b>
<b>Cost of Collection of Rates</b>	<b>£000</b>	<b>£000</b>	<b>£000</b>	<b>£000</b>	<b>%</b>	
Employee				0	0%	→
Property				0	0%	→
Transport and Plant				0	0%	→
Supplies, Services and Admin	9	0	9	0	0%	→
Payments to Other Bodies	100	0	100	0	0%	→
Other				0	0%	→
<b>Gross Expenditure</b>	<b>109</b>	<b>-</b>	<b>109</b>	<b>0</b>	<b>0%</b>	<b>→</b>
<b>Income</b>	<b>(85)</b>	<b>0</b>	<b>(85)</b>	<b>0</b>	<b>0%</b>	<b>→</b>
<b>Net Expenditure</b>	<b>24</b>	<b>-</b>	<b>24</b>	<b>0</b>	<b>0%</b>	<b>→</b>
<b>Cost of Collection of Council Tax</b>	<b>£000</b>	<b>£000</b>	<b>£000</b>	<b>£000</b>	<b>%</b>	
Employee				0	0%	→
Property	0	0	0	(0)	0%	↑
Transport and Plant				0	0%	→
Supplies, Services and Admin	64	34	59	0	0%	→
Payments to Other Bodies	38	29	38	0	0%	→
Other				0	0%	→
<b>Gross Expenditure</b>	<b>102</b>	<b>63</b>	<b>97</b>	<b>(5)</b>	<b>-5%</b>	<b>↑</b>
<b>Income</b>	<b>(884)</b>	<b>(276)</b>	<b>(884)</b>	<b>0</b>	<b>0%</b>	<b>→</b>
<b>Net Expenditure</b>	<b>(782)</b>	<b>(213)</b>	<b>(787)</b>	<b>(5)</b>	<b>1%</b>	<b>↑</b>
<b>Procurement</b>	<b>£000</b>	<b>£000</b>	<b>£000</b>	<b>£000</b>	<b>%</b>	
Employee	982	692	955	(27)	-3%	↑
Property				0	0%	→
Transport and Plant	1	0	0	(1)	-100%	↑
Supplies, Services and Admin	14	2	4	(10)	-71%	↑
Payments to Other Bodies	69	69	69	0	0%	→
Other				0	0%	→
<b>Gross Expenditure</b>	<b>1,066</b>	<b>763</b>	<b>1,028</b>	<b>(38)</b>	<b>-4%</b>	<b>↑</b>
<b>Income</b>	<b>(451)</b>	<b>0</b>	<b>(443)</b>	<b>8</b>	<b>2%</b>	<b>↓</b>
<b>Net Expenditure</b>	<b>615</b>	<b>763</b>	<b>585</b>	<b>(30)</b>	<b>-5%</b>	<b>↑</b>
<b>Democratic and Registration Service</b>	<b>£000</b>	<b>£000</b>	<b>£000</b>	<b>£000</b>	<b>%</b>	
Employee	840	580	816	(24)	-3%	↑
Property	0	0	0	0	0%	→
Transport and Plant	2	1	2	0	0%	→
Supplies, Services and Admin	10	11	15	5	50%	↓
Payments to Other Bodies				0	0%	→
Other				0	0%	→
<b>Gross Expenditure</b>	<b>852</b>	<b>592</b>	<b>833</b>	<b>(19)</b>	<b>-2%</b>	<b>↑</b>
<b>Income</b>	<b>(119)</b>	<b>(83)</b>	<b>(115)</b>	<b>4</b>	<b>3%</b>	<b>↓</b>
<b>Net Expenditure</b>	<b>733</b>	<b>509</b>	<b>718</b>	<b>(15)</b>	<b>-2%</b>	<b>↑</b>

PERIOD 31 December 2019

Service Summary	Total Budget 2019/20	YTD Spend 2019/20	Forecast Spend 2019/20	Variance 2019/20		RAG Status
<b>Central Admin Support</b>	<b>£000</b>	<b>£000</b>	<b>£000</b>	<b>£000</b>	<b>%</b>	
Employee	2,364	1,649	2,315	(49)	-2%	↑
Property	0	0	0	0	0%	→
Transport and Plant	2	1	1	(1)	-50%	↑
Supplies, Services and Admin	23	14	23	0	0%	→
Payments to Other Bodies	0	0	0	0	0%	→
Other				0	0%	→
<b>Gross Expenditure</b>	<b>2,389</b>	<b>1,664</b>	<b>2,339</b>	<b>(50)</b>	<b>-2%</b>	<b>↑</b>
<b>Income</b>	<b>0</b>	<b>(6)</b>	<b>(10)</b>	<b>(10)</b>	<b>0%</b>	<b>↑</b>
<b>Net Expenditure</b>	<b>2,389</b>	<b>1,658</b>	<b>2,329</b>	<b>(60)</b>	<b>-3%</b>	<b>↑</b>
<b>Environmental Health</b>	<b>£000</b>	<b>£000</b>	<b>£000</b>	<b>£000</b>	<b>%</b>	
Employee	880	657	914	34	4%	↓
Property	8	3	8	0	0%	→
Transport and Plant	12	7	12	0	0%	→
Supplies, Services and Admin	24	24	38	14	58%	↓
Payments to Other Bodies	78	46	78	0	0%	→
Other				0	0%	→
<b>Gross Expenditure</b>	<b>1,002</b>	<b>737</b>	<b>1,050</b>	<b>48</b>	<b>5%</b>	<b>↓</b>
<b>Income</b>	<b>(334)</b>	<b>(218)</b>	<b>(350)</b>	<b>(16)</b>	<b>-5%</b>	<b>↑</b>
<b>Net Expenditure</b>	<b>668</b>	<b>519</b>	<b>700</b>	<b>32</b>	<b>5%</b>	<b>↓</b>
<b>Licensing</b>	<b>£000</b>	<b>£000</b>	<b>£000</b>	<b>£000</b>	<b>%</b>	
Employee	263	197	273	10	4%	↓
Property				0	0%	→
Transport and Plant	1	0	1	0	0%	→
Supplies, Services and Admin	5	12	18	13	260%	↓
Payments to Other Bodies	8	8	8	0	0%	→
Other				0	0%	→
<b>Gross Expenditure</b>	<b>277</b>	<b>217</b>	<b>300</b>	<b>23</b>	<b>8%</b>	<b>↓</b>
<b>Income</b>	<b>(397)</b>	<b>(308)</b>	<b>(394)</b>	<b>3</b>	<b>1%</b>	<b>↓</b>
<b>Net Expenditure</b>	<b>(120)</b>	<b>(91)</b>	<b>(94)</b>	<b>26</b>	<b>-22%</b>	<b>↓</b>
<b>Legal Services/Trading Standards</b>	<b>£000</b>	<b>£000</b>	<b>£000</b>	<b>£000</b>	<b>%</b>	
Employee	1,038	738	1,038	0	0%	→
Property	0	0	0	0	0%	→
Transport and Plant	5	2	4	(1)	-20%	↑
Supplies, Services and Admin	18	13	19	1	6%	↓
Payments to Other Bodies	2	0	2	0	0%	→
Other				0	0%	→
<b>Gross Expenditure</b>	<b>1,063</b>	<b>753</b>	<b>1,063</b>	<b>0</b>	<b>0%</b>	<b>→</b>
<b>Income</b>	<b>(184)</b>	<b>(36)</b>	<b>(184)</b>	<b>0</b>	<b>0%</b>	<b>→</b>
<b>Net Expenditure</b>	<b>879</b>	<b>717</b>	<b>879</b>	<b>0</b>	<b>0%</b>	<b>→</b>
<b>Planning</b>	<b>£000</b>	<b>£000</b>	<b>£000</b>	<b>£000</b>	<b>%</b>	
Employee	1,093	718	1,047	(46)	-4%	↑
Property	0	0	0	0	0%	→
Transport and Plant	5	3	4	(1)	-20%	↑
Supplies, Services and Admin	31	8	32	1	3%	↓
Payments to Other Bodies	143	87	143	0	0%	→
Other				0	0%	→
<b>Gross Expenditure</b>	<b>1,272</b>	<b>816</b>	<b>1,226</b>	<b>(46)</b>	<b>-4%</b>	<b>↑</b>
<b>Income</b>	<b>(847)</b>	<b>(678)</b>	<b>(916)</b>	<b>(69)</b>	<b>-8%</b>	<b>↑</b>
<b>Net Expenditure</b>	<b>425</b>	<b>138</b>	<b>310</b>	<b>(115)</b>	<b>-27%</b>	<b>↑</b>

PERIOD 31 December 2019

Service Summary	Total Budget 2019/20	YTD Spend 2019/20	Forecast Spend 2019/20	Variance 2019/20	RAG Status
<b>Transactional Services</b>	<b>£000</b>	<b>£000</b>	<b>£000</b>	<b>£000</b>	<b>%</b>
Employee	662	484	679	17	3%
Property				0	0%
Transport and Plant	0	0	0	0	0%
Supplies, Services and Admin	5	2	4	(1)	-20%
Payments to Other Bodies				0	0%
Other				0	0%
<b>Gross Expenditure</b>	<b>667</b>	<b>486</b>	<b>683</b>	<b>16</b>	<b>2%</b>
<b>Income</b>	<b>(22)</b>	<b>(19)</b>	<b>(34)</b>	<b>(12)</b>	<b>-55%</b>
<b>Net Expenditure</b>	<b>645</b>	<b>467</b>	<b>649</b>	<b>4</b>	<b>1%</b>
<b>Human Resources (including risk)</b>	<b>£000</b>	<b>£000</b>	<b>£000</b>	<b>£000</b>	<b>%</b>
Employee	951	658	931	(20)	-2%
Property	0	0	0	0	0%
Transport and Plant	3	3	4	1	33%
Supplies, Services and Admin	4	3	4	0	0%
Payments to Other Bodies	256	154	257	1	0%
Other				0	0%
<b>Gross Expenditure</b>	<b>1,214</b>	<b>818</b>	<b>1,196</b>	<b>(18)</b>	<b>-1%</b>
<b>Income</b>				<b>0</b>	<b>0%</b>
<b>Net Expenditure</b>	<b>1,214</b>	<b>818</b>	<b>1,196</b>	<b>(18)</b>	<b>-1%</b>
<b>Information Services</b>	<b>£000</b>	<b>£000</b>	<b>£000</b>	<b>£000</b>	<b>%</b>
Employee	1,982	1,433	1,982	0	0%
Property	0	0	0	0	0%
Transport and Plant	3	2	4	1	33%
Supplies, Services and Admin	2,298	1,969	2,299	1	0%
Payments to Other Bodies	19	11	19	0	0%
Other				0	0%
<b>Gross Expenditure</b>	<b>4,302</b>	<b>3,415</b>	<b>4,304</b>	<b>2</b>	<b>0%</b>
<b>Income</b>	<b>(443)</b>	<b>(114)</b>	<b>(461)</b>	<b>(18)</b>	<b>-4%</b>
<b>Net Expenditure</b>	<b>3,859</b>	<b>3,301</b>	<b>3,843</b>	<b>(16)</b>	<b>0%</b>
<b>Change Support</b>	<b>£000</b>	<b>£000</b>	<b>£000</b>	<b>£000</b>	<b>%</b>
Employee	412	300	356	(56)	-14%
Property				0	0%
Transport and Plant	1	0	0	(1)	-100%
Supplies, Services and Admin	0	0	0	0	0%
Payments to Other Bodies				0	0%
Other				0	0%
<b>Gross Expenditure</b>	<b>413</b>	<b>300</b>	<b>356</b>	<b>(57)</b>	<b>-14%</b>
<b>Income</b>	<b>(48)</b>	<b>(29)</b>	<b>(54)</b>	<b>(6)</b>	<b>-13%</b>
<b>Net Expenditure</b>	<b>365</b>	<b>271</b>	<b>302</b>	<b>(63)</b>	<b>-17%</b>

PERIOD 31 December 2019

Service Summary	Total Budget 2019/20	YTD Spend 2019/20	Forecast Spend 2019/20	Variance 2019/20	RAG Status
<b>Communications &amp; Marketing</b>	<b>£000</b>	<b>£000</b>	<b>£000</b>	<b>£000</b>	<b>%</b>
Employee	314	224	312	(2)	-1%
Property				0	0%
Transport and Plant	1	0	1	0	0%
Supplies, Services and Admin	23	13	25	2	9%
Payments to Other Bodies	0	0	0	0	0%
Other				0	0%
<b>Gross Expenditure</b>	<b>338</b>	<b>237</b>	<b>338</b>	<b>0</b>	<b>0%</b>
<b>Income</b>	<b>(31)</b>	<b>(14)</b>	<b>(25)</b>	<b>6</b>	<b>19%</b>
<b>Net Expenditure</b>	<b>307</b>	<b>223</b>	<b>313</b>	<b>6</b>	<b>2%</b>
<b>Citizen Services</b>	<b>£000</b>	<b>£000</b>	<b>£000</b>	<b>£000</b>	<b>%</b>
Employee	1,348	918	1,302	(46)	-3%
Property	0	0	0	0	0%
Transport and Plant	3	2	3	0	0%
Supplies, Services and Admin	12	17	22	10	83%
Payments to Other Bodies	0	0	0	0	0%
Other				0	0%
<b>Gross Expenditure</b>	<b>1,363</b>	<b>937</b>	<b>1,327</b>	<b>(36)</b>	<b>-3%</b>
<b>Income</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0%</b>
<b>Net Expenditure</b>	<b>1,363</b>	<b>937</b>	<b>1,327</b>	<b>(36)</b>	<b>-3%</b>
<b>Performance &amp; Strategy</b>	<b>£000</b>	<b>£000</b>	<b>£000</b>	<b>£000</b>	<b>%</b>
Employee	317	225	320	3	1%
Property				0	0%
Transport and Plant	1	1	1	0	0%
Supplies, Services and Admin	8	1	8	0	0%
Payments to Other Bodies	21	11	21	0	0%
Other				0	0%
<b>Gross Expenditure</b>	<b>347</b>	<b>238</b>	<b>350</b>	<b>3</b>	<b>1%</b>
<b>Income</b>	<b>0</b>	<b>(2)</b>	<b>(2)</b>	<b>(2)</b>	<b>0%</b>
<b>Net Expenditure</b>	<b>347</b>	<b>236</b>	<b>348</b>	<b>1</b>	<b>0%</b>
<b>Clydebank Town Hall</b>	<b>£000</b>	<b>£000</b>	<b>£000</b>	<b>£000</b>	<b>%</b>
Employee	354	229	336	(18)	-5%
Property	184	157	195	11	6%
Transport and Plant	0	1	1	1	0%
Supplies, Services and Admin	49	75	102	53	108%
Payments to Other Bodies				0	0%
Other				0	0%
<b>Gross Expenditure</b>	<b>587</b>	<b>462</b>	<b>634</b>	<b>47</b>	<b>8%</b>
<b>Income</b>	<b>(212)</b>	<b>(244)</b>	<b>(262)</b>	<b>(50)</b>	<b>-24%</b>
<b>Net Expenditure</b>	<b>375</b>	<b>218</b>	<b>372</b>	<b>(3)</b>	<b>-1%</b>
<b>Office Accomodation</b>	<b>£000</b>	<b>£000</b>	<b>£000</b>	<b>£000</b>	<b>%</b>
Employee	132	89	129	(3)	-2%
Property	1,255	988	1,306	51	4%
Transport and Plant	1	0	0	(1)	-100%
Supplies, Services and Admin	83	33	80	(3)	-4%
Payments to Other Bodies	20	0	25	5	25%
Other				0	0%
<b>Gross Expenditure</b>	<b>1,491</b>	<b>1,110</b>	<b>1,540</b>	<b>49</b>	<b>3%</b>
<b>Income</b>	<b>0</b>	<b>(1)</b>	<b>(1)</b>	<b>(1)</b>	<b>0%</b>
<b>Net Expenditure</b>	<b>1,491</b>	<b>1,109</b>	<b>1,539</b>	<b>48</b>	<b>3%</b>



PERIOD 31 December 2019

Service Summary	Total Budget 2019/20	YTD Spend 2019/20	Forecast Spend 2019/20	Variance 2019/20	RAG Status
<b>Libraries</b>	<b>£000</b>	<b>£000</b>	<b>£000</b>	<b>£000</b>	<b>%</b>
Employee	1,253	892	1,236	(17)	-1%
Property	254	188	261	7	3%
Transport and Plant	19	7	16	(3)	-16%
Supplies, Services and Admin	246	132	250	4	2%
Payments to Other Bodies	13	0	3	(10)	-77%
Other				0	0%
<b>Gross Expenditure</b>	<b>1,785</b>	<b>1,219</b>	<b>1,766</b>	<b>(19)</b>	<b>-1%</b>
<b>Income</b>	<b>(42)</b>	<b>(31)</b>	<b>(32)</b>	<b>10</b>	<b>25%</b>
<b>Net Expenditure</b>	<b>1,743</b>	<b>1,188</b>	<b>1,734</b>	<b>(9)</b>	<b>0%</b>
<b>Arts and Heritage</b>	<b>£000</b>	<b>£000</b>	<b>£000</b>	<b>£000</b>	<b>%</b>
Employee	429	281	396	(33)	-8%
Property	2	2	3	1	50%
Transport and Plant	1	1	1	0	0%
Supplies, Services and Admin	33	16	34	1	3%
Payments to Other Bodies	43	8	43	0	0%
Other				0	0%
<b>Gross Expenditure</b>	<b>508</b>	<b>308</b>	<b>477</b>	<b>(31)</b>	<b>-6%</b>
<b>Income</b>	<b>(55)</b>	<b>(4)</b>	<b>(52)</b>	<b>3</b>	<b>5%</b>
<b>Net Expenditure</b>	<b>453</b>	<b>304</b>	<b>425</b>	<b>(28)</b>	<b>-6%</b>

WEST DUNBARTONSHIRE COUNCIL  
REVENUE BUDGETARY CONTROL 2019/2020  
ANALYSIS FOR VARIANCES OVER £50,000

APPENDIX 3

YEAR END DATE

31 December 2019

Budget Details	Variance Analysis				RAG Status
	Total Budget	Annual Spend	Variance		
	£000	£000	£000	%	
Central Admin Support	2,389	2,329	(60)	-3%	↑
Service Description	This services deals with administration functions within the Authority				
Main Issues / Reason for Variance	The main reason for the favourable variance is vacancies				
Mitigating Action	None required although the service will continually monitored throughout the year.				
Anticipated Outcome	It is anticipated that the underspend will continue throughout the year				
Planning	425	310	(115)	-27%	↑
Service Description	This Service provides Building & Planning services				
Main Issues / Reason for Variance	There are two main reasons for the favourable variance, income is higher than budgeted and there are a number of vacant posts. This is a demand led budget for income and can fluctuate throughout the year.				
Mitigating Action	No action required				
Anticipated Outcome	Underspend is anticipated				
Change Support	365	302	(63)	-17%	↑
Service Description	This Service enables transformational change and development, it also has the Central Training Budget for the Council.				
Main Issues / Reason for Variance	The main reason for the favourable variance is vacancies.				
Mitigating Action	None required				
Anticipated Outcome	Underspend is anticipated				

**WEST DUNBARTONSHIRE COUNCIL**  
**MONITORING OF EFFICIENCIES AND MANAGEMENT ADJUSTMENTS 2019/20**

**Appendix 4**

Efficiency reference	Efficiency Detail	budgeted Amount £	Projection of Total Saved £	Projection of Total Not Saved £	Comment
MA2	Resources Service Restructure	317,879	317,879	-	
MA4	Expansion of Pest Control Service	1,500	1,500	-	
MA5	Reduce travel budget by use of pool cars (EH)	2,000	2,000	-	
MA7	Regulatory Services - service restructure and appropriate capitalisation	105,723	105,723	-	
MA8	Reduce Training Budget	5,000	5,000	-	
MA9	Rationalise software systems within ICT estate to reduce areas of duplication - reducing ongoing licencing costs	30,000	30,000	-	
MA10	Restructure of People & Technology Service	35,041	35,041	-	
MA14	Provision of food hygiene training to Working from U and other parts of the Council (Facilities Management) EH	1,000	1,000	-	
		498,143	498,143	-	

WEST DUNBARTONSHIRE COUNCIL  
GENERAL SERVICES CAPITAL PROGRAMME - CORPORATE SERVICES COMMITTEE  
OVERALL PROGRAMME SUMMARY

APPENDIX 5

MONTH END DATE 31 December 2019

PERIOD 9

Project Status Analysis	Project Life Status Analysis				Current Year Project Status Analysis			
	Number of Projects at RAG Status	% Projects at RAG Status	Spend to Date £000	% Project Spend at RAG Status	Number of Projects at RAG Status	% Projects at RAG Status	Spend to Date £000	% Project Spend at RAG Status
<b>Red</b> Projects are forecast to be overspent and/or experience material delay to completion	1	7.7%	16	0.3%	1	7.7%	16	1.7%
<b>Amber</b> Projects are either at risk of being overspent and/or delay in completion (although this is unquantifiable at present) or the project has any issues that require to be reported at this time	1	7.7%	0	0.0%	1	7.7%	0	0.0%
<b>Green</b> Projects are on target both in relation to overall budget and the forecast stages in the project life cycle and no issues are anticipated at this time	11	84.6%	4,860	99.7%	11	84.6%	917	98.3%
<b>TOTAL EXPENDITURE</b>	<b>13</b>	<b>100%</b>	<b>4,876</b>	<b>100%</b>	<b>13</b>	<b>100%</b>	<b>933</b>	<b>100%</b>

Project Status Analysis	Project Life Financials				Current Year Financials					
	Budget £000	Spend to Date £000	Forecast Spend £000	Forecast Variance £000	Budget £000	Spend to Date £000	Forecast Spend £000	Forecast Variance £000	Slippage £000	Over/ (Under) £000
<b>Red</b> Projects are forecast to be overspent and/or significant delay to completion	4,000	16	4,000	0	597	16	146	(451)	(451)	(0)
<b>Amber</b> Projects are either at risk of being overspent and/or delay in completion (although this is unquantifiable at present) or the project has any issues that require to be reported at this time	40	0	40	0	40	0	0	(40)	0	(40)
<b>Green</b> Projects are on target both in relation to overall budget and the forecast stages in the project life cycle and no issues are anticipated at this time	6,063	4,860	6,045	(18)	2,120	917	2,142	22	0	22
<b>TOTAL EXPENDITURE</b>	<b>10,103</b>	<b>4,876</b>	<b>10,085</b>	<b>(18)</b>	<b>2,757</b>	<b>933</b>	<b>2,288</b>	<b>(469)</b>	<b>(451)</b>	<b>(18)</b>

<b>TOTAL RESOURCES</b>	<b>(10,103)</b>	<b>(4,876)</b>	<b>(10,085)</b>	<b>18</b>	<b>(2,757)</b>	<b>(933)</b>	<b>(2,288)</b>	<b>469</b>		
<b>NET EXPENDITURE</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>		

WEST DUNBARTONSHIRE COUNCIL  
GENERAL SERVICES CAPITAL PROGRAMME - CORPORATE SERVICES COMMITTEE  
ANALYSIS OF PROJECTS AT RED ALERT STATUS

APPENDIX 6

MONTH END DATE

31 December 2019

PERIOD

9

Budget Details	Project Life Financials					
	Budget	Spend to Date		Forecast Spend	Variance	
	£000	£000	%	£000	£000	%

1

Heritage Capital Fund						
Project Life Financials	4,000	16	0%	4,000	0	0%
Current Year Financials	597	16	3%	146	(451)	-76%
Project Description	Heritage Capital Fund.					
Project Lifecycle	Planned End Date	31-Mar-22	Forecast End Date	31-Mar-22		
Main Issues / Reason for Variance						
Council approved a £4m investment in Cultural assets in March 2018. In February 2019 the Cultural Committee approved a £0.330m investment in Alexandria Library, a £0.015m investment in consultancy work to scope out a museum at Clydebanks Library, and in April 2019 approved £0.252m to upgrade Clydebanks Town Hall roof and stonework. In November 2019 Committee approved £1.408m investment at Clydebanks Town Hall, £0.575 investment in a new museum in the basement of Clydebanks Library, and £0.015 in consultancy work to scope out improvements to the Back Door Gallery. It is now expected that only 60% of the works for Clydebanks Town Hall will be carried out as further analysis was required in terms of assessment of stone work and associated works. A Building Warrant is awaited for Alexandria Library as additional structural information in relation to the lift and load bearing walls was required. These budgets previously were accelerated ahead of the original planned spend but there will be no overspend on the project life budget.						
Mitigating Action						
None required.						
Anticipated Outcome						
Project to be delivered on budget and within revised timescale.						

WEST DUNBARTONSHIRE COUNCIL  
GENERAL SERVICES CAPITAL PROGRAMME  
ANALYSIS OF PROJECTS AT AMBER ALERT STATUS

APPENDIX 7

MONTH END DATE

31 December 2019

PERIOD

9

Budget Details	Project Life Financials					
	Budget	Spend to Date		Forecast Spend	Variance	
	£000	£000	%	£000	£000	%

1	<b>Making Tax Digital</b>						
	Project Life Financials	40	0	0%	40	0	0%
	Current Year Financials	40	0	0%	0	(40)	-100%
	Project Description	Making Tax Digital.					
	Project Lifecycle	Planned End Date	31-Mar-20	Forecast End Date	31-Mar-21		
<b>Main Issues / Reason for Variance</b>							
No spend is now expected this financial year. Making Tax Digital deliverables/ guidance have changed since this capital bid was submitted. Officers need to reassess WDC plans for Making Tax Digital to ensure that the Council remain compliant, therefore £0.040m is therefore required to be rehaped to 2020/21.							
<b>Mitigating Action</b>							
None required.							
<b>Anticipated Outcome</b>							
Making Tax Digital.							

MONTH END DATE

31 December 2019

PERIOD

9

Budget Details	Project Life Financials					
	Budget	Spend to Date		Forecast Spend	Variance	
	£000	£000	%	£000	£000	%

1

Electronic Insurance System - claim/incident management system						
Project Life Financials	50	43	86%	50	0	0%
Current Year Financials	7	0	0%	7	0	0%
Project Description	Acquisition of a claims/incident management system supported by an electronic document management system.					
Project Lifecycle	Planned End Date	31-Mar-20	Forecast End Date	31-Mar-20		
Main Issues / Reason for Variance						
Works are ongoing and anticipated to be complete this financial year with full budget spend.						
Mitigating Action						
None available at this time.						
Anticipated Outcome						
Upgraded Electronic Insurance System delivered on budget.						

2

Valuation Joint Board - Requisition of ICT Equipment						
Project Life Financials	3	0	0%	3	0	0%
Current Year Financials	3	0	0%	3	0	0%
Project Description	Requisition re ICT Equipment.					
Project Lifecycle	Planned End Date	31-Mar-20	Forecast End Date	31-Mar-20		
Main Issues / Reason for Variance						
The purchase of laptops and PCs have been delayed into 2019/20 due to issues with the approved supplier. Full spend anticipated in 2019/20.						
Mitigating Action						
None available at this time.						
Anticipated Outcome						
Requisition re ICT Equipment.						

3

Replacement GIS system and upgrade to eDevelopment Planning system.						
Project Life Financials	51	25	50%	51	0	0%
Current Year Financials	51	25	50%	51	0	0%
Project Description	Replacement GIS system and upgrade to eDevelopment Planning system.					
Project Lifecycle	Planned End Date	31-Mar-20	Forecast End Date	31-Mar-20		
Main Issues / Reason for Variance						
Project is progressing with the software company on site carrying out installation, data migration and testing of the application. Project expected to be fully delivered in 2019/20.						
Mitigating Action						
None Required.						
Anticipated Outcome						
GP/GIS in Planning.						

MONTH END DATE

31 December 2019

PERIOD

9

Budget Details	Project Life Financials					
	Budget	Spend to Date		Forecast Spend	Variance	
	£000	£000	%	£000	£000	%

4

Legal Case Management System

Project Life Financials	33	0	0%	33	0	0%
Current Year Financials	33	0	0%	33	0	0%
Project Description	Legal Case Management System.					
Project Lifecycle	Planned End Date	31-Mar-20	Forecast End Date	31-Mar-20		
Main Issues / Reason for Variance						
Tenders have been returned and are currently being evaluated and full spend in 2019/20 is anticipated at this time.						
Mitigating Action						
None required at this time.						
Anticipated Outcome						
New legal case management system.						

5

Air Quality Monitoring

Project Life Financials	30	29	98%	29	(1)	-2%
Current Year Financials	2	1	63%	1	(1)	-37%
Project Description	Air Quality Monitoring.					
Project Lifecycle	Planned End Date	31-Mar-20	Forecast End Date	31-Mar-19		
Main Issues / Reason for Variance						
Project complete.						
Mitigating Action						
None required at this time.						
Anticipated Outcome						
Upgrade to air quality monitoring.						

6

ICT Modernisation

Project Life Financials	1,101	671	61%	1,101	0	0%
Current Year Financials	1,101	671	61%	1,101	0	0%
Project Description	This budget is to facilitate ICT infrastructure and modernise working practices.					
Project Lifecycle	Planned End Date	31-Mar-20	Forecast End Date	31-Mar-20		
Main Issues / Reason for Variance						
This project will deliver a fit for purpose device estate across WDC as well as technology improvements for device and ICT Service management. This will include automating device management, license management and enhancing current processes through automation as well as the resources to deliver these projects. This budget is expected to be fully spent in 2019/20.						
Mitigating Action						
The ability to mitigate is limited as retentions held until resilience test is successfully completed.						
Anticipated Outcome						
To update ICT systems within budget albeit later than first anticipated.						

7

ICT Security & DR

Project Life Financials	450	212	47%	450	0	0%
Current Year Financials	450	212	47%	450	0	0%
Project Description	The project is for the enhancement of security systems, server replacement and the update of corporate applications to ensure compliance with 15/16 PSN requirements, to enhance the Disaster recovery capabilities of WDC.					
Project Lifecycle	Planned End Date	31-Mar-20	Forecast End Date	31-Mar-20		
Main Issues / Reason for Variance						
This project is for the enhancement of security systems, processes and associated resourcing to deliver the improvements. Replacing and improving technologies such as servers, switches and telephony are included within this work programme as well as additional technologies to enhance current resilience capabilities. The target is to ensure compliance with Public Services Network (PSN).						
Mitigating Action						
None Required.						
Anticipated Outcome						
To deliver enhanced security systems.						



MONTH END DATE

31 December 2019

PERIOD

9

Budget Details		Project Life Financials					
		Budget	Spend to Date		Forecast Spend	Variance	
		£000	£000	%	£000	£000	%
8	<b>AV Equipment - Education</b>						
	Project Life Financials	150	0	0%	150	0	0%
	Current Year Financials	150	0	0%	150	0	0%
	Project Description	AV Equipment - Education					
	Project Lifecycle	Planned End Date		31-Mar-20	Forecast End Date		31-Mar-20
	<b>Main Issues / Reason for Variance</b>						
	Plans for budget are progressing and is currently at procurement stage. Full spend is anticipated in 2019/20.						
	<b>Mitigating Action</b>						
	None required.						
	<b>Anticipated Outcome</b>						
	Purchase of AV Equipment for Education.						
9	<b>Multi-Channel Queries -Webchat Technology</b>						
	Project Life Financials	33	16	48%	16	(17)	-52%
	Current Year Financials	0	(17)	0%	(17)	(17)	0%
	Project Description	Introduction of Automated Switchboard Technology.					
	Project Lifecycle	Planned End Date		31-Mar-19	Forecast End Date		31-Mar-20
	<b>Main Issues / Reason for Variance</b>						
	The Interactive Voice Response (IVR) element of the project had significant technical problems matching postcodes for addresses to our systems to allow identification of the property. As a result it has been agreed with Firmstep and WDC for a full refund on the IVR element of the project. No alternatives are available at this time so the project will report a project life underspend of £0.017m.						
	<b>Mitigating Action</b>						
	No further action required.						
	<b>Anticipated Outcome</b>						
	Upgraded System provided within budget albeit later than originally anticipated.						
10	<b>Civic Heart Works - Refurbishment of Clydebank Town Hall</b>						
	Project Life Financials	3,341	3,317	99%	3,341	0	0%
	Current Year Financials	24	0	0%	24	0	0%
	Project Description	Refurbishment of Clydebank Town Hall.					
	Project Lifecycle	Planned End Date		31-Mar-20	Forecast End Date		31-Mar-20
	<b>Main Issues / Reason for Variance</b>						
	The remaining Civic Heart Works will be used to fund a kitchen upgrade to allow full utilisation of the asset for more efficient service provision especially around larger events and the provision of in-house bars. Asset Management are working with the service to deliver this financial year 2019/20 with physical works expected to begin at the end of January 2020 and last 8-10 weeks.						
	<b>Mitigating Action</b>						
	None required at this time.						
	<b>Anticipated Outcome</b>						
	Project to be delivered on budget and within revised timescale.						
11	<b>Upgrade of Clydebank Library</b>						
	Project Life Financials	500	499	100%	500	0	0%
	Current Year Financials	13	12	93%	13	0	0%
	Project Description	Refurbishment of the existing Clydebank Library to deliver a fit for purpose modern library designed around the needs of the customer. This will protect a historic landmark and the original Carnegie library whilst offering the potential to build upon the development of a 'cultural quarter' focused around Clydebank Town Hall.					
	Project Lifecycle	Planned End Date		31-Mar-20	Forecast End Date		31-Mar-20
	<b>Main Issues / Reason for Variance</b>						
	Retentions of £0.013m rephased to 2019/20.						
	<b>Mitigating Action</b>						
	None required at this time.						
	<b>Anticipated Outcome</b>						
	Full refurbishment of library delivered within budget and within amended timescales.						