

Agenda



Corporate Services Committee

Date: Wednesday, 12 August 2015

Time: 14:00

Venue: Committee Room 3 - Council Offices,
Garshake Road, Dumbarton, G82 3PU

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

Dear Member

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

Yours faithfully

JOYCE WHITE

Chief Executive

Distribution:-

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

All other Councillors for information

Chief Executive
Executive Director of Corporate Services
Executive Director of Infrastructure and Regeneration
Executive Director of Educational Services
Director of West Dunbartonshire Community Health & Care Partnership

Date of Issue: 31 July 2015

Corporate Services Committee

Wednesday, 12 August 2015

AGENDA

1 APOLOGIES

2 DECLARATIONS OF INTEREST

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

3 MINUTES OF PREVIOUS MEETING

7 - 14

Submit for approval as a correct record, the Minutes of Meeting of the Corporate Services Committee held on 13 May 2015.

4 MINUTES OF JOINT CONSULTATIVE FORUM - 11 JUNE 2015

15 - 20

Submit for information and where necessary ratification, the Minutes of Special Meeting of the Joint Consultative Forum held on 11 June 2015.

5 PROVISION OF BANKING SERVICES-RENEWAL OF BANKING CONTRACT

21 - 24

Submit report by the Executive Director of Corporate Services seeking approval to commence the tendering process and to award to the preferred bidder the Provision of Banking Services contract for the period 1 April 2016 to 31 March 2019, with an option to extend until for a further 2 years to 31 March 2021.

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|-----------|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|------------------------------------------|
| 6 | CASH RECEIPTING SYSTEMS CONTRACT | 25 - 28 |
| | Submit report by the Executive Director of Corporate Services seeking approval to award to our existing supplier the provision of the Cash Receipting System Services Contract for the period 1 November 2015 to 31 October 2018. | |
| 7 | GRANT APPLICATIONS 2015/16 | 29 - 32 |
| | Submit report by the Executive Director of Corporate Services providing information on grant applications with recommendations for payment to voluntary organisations from Trust Fund, Community Council and Dumbarton Common Good budgets. | |
| 8 | CORPORATE SERVICES BUDGETARY CONTROL REPORT TO 30 JUNE 2015 (PERIOD 3) | 33 - 50 |
| | Submit report by the Executive Director of Corporate Services advising on the performance of the Corporate Services budget for the period to 30 June 2015. | |
| 9 | COUNCIL TAX ON LONG TERM EMPTY PROPERTIES: POTENTIAL FOR BACKDATING DISCRETIONS AND POTENTIAL FINANCIAL IMPLICATIONS | 51 - 56 |
| | Submit report by the Executive Director of Corporate Services providing information on the potential financial implications of implementing a backdated new discretion on Long Term Empty Properties which was agreed by Council on 24 June 2015. | |
| 10 | CESSATION OF PUBLICATION OF FOOD HYGIENE AND FOOD STANDARDS INSPECTION REPORTS ON THE WEST DUNBARTONSHIRE COUNCIL WEBSITE | 57 - 60 |
| | Submit report by the Executive Director of Corporate Services seeking approval to cease publication on the Council's website of Food Safety and Food Standards Inspection Reports issued by the Environmental Health Section. | |
| 11 | ELECTED MEMBER DEVELOPMENT | 61 - 66
(Appendix B to follow) |
| | Submit report by the Executive Director of Corporate Services on Elected Member development undertaken through the annual | |

seminar programme and Personal Development Planning (PDP).

12 ATTENDANCE MANAGEMENT: QUARTER 1 - 2015/16 67 - 74

Submit report by the Executive Director of Corporate Services advising on attendance within Corporate Services and providing a summary of the quarter 1 absence statistics.

13 ATTENDANCE MANAGEMENT POLICY REVISIONS 75 - 104

Submit report by the Executive Director of Corporate Services providing an update on proposed revisions to the Attendance Management Policy following discussions with Trade Unions.

14 COUNCIL WORKFORCE PLAN 105 - 128

Submit report by the Executive Director of Corporate Services providing an update in relation to the ongoing Workforce Planning Framework.

15 REVISED RESERVIST POLICY AND EMPLOYER RECOGNITION SCHEME AWARD 129 - 148

Submit report by the Executive Director of Corporate Services providing an update on revisions made to the Reservist Policy as a result of legislative changes and to note the Employer Recognition Scheme Bronze Award achieved by the Council.

CORPORATE SERVICES COMMITTEE

At a Meeting of the Corporate Services Committee held on Wednesday, 13 May 2015 in Committee Room 3, Council Offices, Garshake Road, Dumbarton at 2.00 p.m.

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

Attending: Angela Wilson, Executive Director of Corporate Services; Stephen West, Head of Finance and Resources; Vicki Rogers, Head of People and Transformation; Peter Barry, Head of Customer and Community Services; Amanda Coulthard, Corporate & Community Planning Manager; Angela Terry, Manager of Organisational Development & Change; Jennifer Ogilvie, Finance Business Partner; Marion Smith, Section Head – Revenue & Benefits; Peter Hessett, Head of Legal, Democratic and Regulatory Services and Craig Stewart, Committee Officer.

Apology: An apology for absence was intimated on behalf of Councillor Jim Finn.

Councillor Kath Ryall in the Chair

DECLARATIONS OF INTEREST

Councillor Mooney declared a non-financial interest in respect of the Item 'Update of Voluntary Grants 2014/15' as the Chair of Faifley Community Council. Councillor McBride declared a non-financial interest in respect of the same item as a family member was on the committee of Age Concern Dumbarton.

MINUTES OF PREVIOUS MEETING

The Minutes of Meeting of the Corporate Services Committee held on 11 February 2015 were submitted and approved as a correct record.

MINUTES OF JOINT CONSULTATIVE FORUM - 2 APRIL 2015

The Minutes of Special Meeting of the Joint Consultative Forum (JCF) held on 2 April 2015 were submitted for information and noted.

Councillor McColl advised the Committee that Councillor Robertson would be taking over from his as a Member on the JCF, with immediate effect.

CORPORATE SERVICES DEPARTMENTAL PLAN

A report was submitted by the Executive Director of Corporate Services setting out the progress against the Corporate Services Department Plan for 2014/15 alongside the plan for 2015/16.

After discussion and having heard the Executive Director of Corporate Services and relevant officers in elaboration and in answer to Members' questions, the Committee agreed:-

- (1) to note year end progress for 2014/15; and
- (2) to approve the 2015/16 plan.

Councillor Black, having failed to obtain a seconder for a proposed motion, asked that his dissent be recorded in respect of this item.

EQUALITIES MAINSTREAMING

A report was submitted by the Executive Director of Corporate Services providing an update on progress towards meeting the Council's Equality Outcomes.

After discussion and having heard the Executive Director of Corporate Services and the Head of Customer & Community Services in further explanation and in answer to Members' questions, the Committee agreed:-

- (1) that officers would make some minor typographical changes to Appendix 2 to make it more succinct and easier to understand; and
- (2) otherwise to note the contents of the report.

CORPORATE DEBT POLICY

A report was submitted by the Executive Director of Corporate Services seeking approval of the revised corporate debt policy.

After discussion, Councillor Rooney, seconded by Councillor McBride, moved:-

That the Committee approve the revised Corporate Debt Policy, appended to the report, and that authority be granted to the Head of Legal, Democratic and Regulatory Services and the Head of Finance and Resources to make any consequential changes to the scheme of delegation and Financial Regulations.

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

That the Committee:-

- (1) approve the revised Corporate Debt Policy, appended to the report, with the exception that Part 4.4 of the Policy "Employees as Debtors to the Council" and that this aspect be referred back to the Joint Consultative Forum, to enable further consideration to be carried out; and
- (2) agree that authority be granted to the Head of Legal, Democratic and Regulatory Services and the Head of Finance and Resources to make any consequential changes to the scheme of delegation and Financial Regulations.

During consideration of this item, the Section Head (Revenues and Benefits) and relevant officers were heard in further explanation and in answer to Members' questions.

ADJOURNMENT

After hearing Councillor Ryall, Convener, the Committee agreed to adjourn to allow the Special Council meeting, scheduled for 4.00 p.m., to commence.

The meeting reconvened at 4.20 p.m. with all those Members shown in the sederunt in attendance.

After further discussion, on a vote being taken, 2 Members voted for the amendment and 7 for the motion which was declared carried. 1 Member abstained.

FORMER TENANT RENT ARREARS WRITE OFF – 2014/15 QUARTER 4

A report was submitted by the Executive Director of Corporate Services seeking approval of the write-off of rent arrears which have arisen during the fourth quarter of 2014/15 from January 2015 to March 2015 for former tenants.

The Committee approved the write-off of former tenant arrears accounts totalling £43,450.90.

UPDATE OF VOLUNTARY GRANTS 2014/15

A report was submitted by the Executive Director of Corporate Services providing an analysis of voluntary grants approved by WDCVC in respect of Community Chest, Playscheme, Cultural, and Social Transport Support Funding Grants. The Report also provided information on grants awarded from Trust Funds held by the Council, the Dumbarton Common Good Fund and the Provost's Fund.

A revised Appendix C was circulated to Members at the meeting.

After discussion, the Committee agreed the following:-

This Committee notes that during 2014/15 local community groups have received a total of **£555,702** in voluntary grant funding due to our partnership approach to the funding.

The Council has paid out in grants to a variety of local community organisations totalling **£328,249.96**.

- Dumbarton Common Good Fund paid out **£123,391**.
- The Social Transport Scheme paid out **£100,250**.
- Community Chest Grant Scheme paid out **£99,701.20**.
- Provost Fund paid out **£2,116.70**.
- Trust Funds paid out **£1,450**.
- Kinship Carers fund paid out **£1,341.10**.

In addition a further **£227,453** was secured from external funders through our partnership with WDCVS as follows:

- Disabled / Care Organisations: **£38,770**
- Community Facilities: **£15,875**
- Older People: **£45,220**
- Playscheme/Childcare: **£9,488**
- Sport: **£28,700**
- Justice/Equalities: **£17,300**
- Leisure/Recreation: **£72,100**

The Committee would like to record its appreciation of the work that WDCVS does in administering a range of specific Council Grant funds and for their tremendous contribution they make in securing additional funds for our area.

The Committee also notes the success of this partnership which has resulted in unspent funding of £61,675.70 in 2014/15 and unspent funding of £39,249 in 2013/14; giving an overall under-spend of **£100,924.70**.

Therefore this Committee agrees to transfer the **£100,924.70** into a Community Loans Fund to assist voluntary organisations such as the West of Scotland Autism & Asperger's Centre, access to interest free loans for example to support property acquisitions. The terms of the loans would be as agreed by the Executive Director of Corporate Services in consultation with appropriate officers of the Council.

GRANT APPLICATIONS 2015/16

A report was submitted by the Executive Director of Corporate Services providing information on grant application and recommending grants to voluntary organisations from Trust Fund, Community Council and Dumbarton Common Good budgets.

After discussion and having heard the Head of Finance and Resources in answer to a Member's questions, the Committee agreed:-

- (1) to approve the grants recommended to be awarded for Community Councils (totalling £1,500) as shown in Appendix A to the report, which would be contained within the Community Council's annual budget allocation;
- (2) to note the updated Dumbarton Common Good budget for the period 2015/16 to 2017/18 as detailed in Appendix B to the report; and
- (3) to approve the transfer of £2,983.56 from the 2015/16 grants budget to the Provost's Fund to reinstate the level to £3,000.

REVISED EMPLOYER DISCRETIONS – LOCAL GOVERNMENT PENSION SCHEME (SCOTLAND) REGULATIONS 2014

A report was submitted by the Executive Director of Corporate Services providing an update on the review of the Council's Statement of Policy on discretions allowable under the revised Pension Regulations, and the proposed revisions to the Statement.

After discussion and having heard the Head of People and Transformation in further explanation and in answer to a Member's questions, 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.

Councillor Black, having failed to obtain a seconder for a proposed motion, asked that his dissent be recorded in respect of this item.

WORKING WELL TOGETHER – CANCER SUPPORT POLICY

A report was submitted by the Executive Director of Corporate Services seeking approval for the introduction of a Cancer Support Policy - devised to support managers and employees dealing with cancer.

After discussion and having heard the Executive Director of Corporate Services in further explanation of the report, the Committee agreed:-

- (1) to approve the implementation of this policy; and
- (2) otherwise to note the contents of the report.

PERFORMANCE AND DEVELOPMENT PLANNING (PDP) POLICY AND PROCEDURE REVIEW

A report was submitted by the Executive Director of Corporate Services providing an update on revisions to the Performance and Development Planning (PDP) Policy and Procedure.

After discussion, the Committee agreed to note the contents of the report.

EARLY RETIREMENT, VOLUNTARY SEVERANCE AND REDEPLOYMENT – 1 OCTOBER 2014 – 31 MARCH 2015 AND ANNUAL UPDATE

A report was submitted by the Executive Director of Corporate Services advising on early retirements, voluntary severance, and re-deployments during the 6 month period from 1 October to 31 March 2015 and providing a summary of the 12 month period 1 April 2014 to 31 March 2015.

After discussion and having heard the Executive Director of Corporate Services and the Head of People and Transformation in further explanation and in answer to Members' questions, the Committee agreed to note the contents of the report.

CORPORATE SERVICES ATTENDANCE MANAGEMENT: ANNUAL RESULT 2014/15

A report was submitted by the Executive Director of Corporate Services advising on attendance within Corporate Services and providing a summary of the annual absence statistics.

After discussion and having heard the Executive Director of Corporate Services in further explanation and in answer to Members' questions, the Committee agreed to note the contents of the report and the attendance results for the year, namely a small increase of 90 FTE days (2.6%) compared to the same period last year.

WEST DUNBARTONSHIRE COUNCIL WORKFORCE MONITORING REPORT

A report was submitted by the Executive Director of Corporate Services providing employee information relation to the Council for the period 1 April 2014 to 31 March 2014.

After discussion and having heard the Executive Director of Corporate Services in further explanation and in answer to Members' questions, the Committee agreed to note the following employment information for 1 April 2014 to 31 March 2015:-

- Attendance statistics
- Occupational health
- Accidents/incidents

- Discipline, grievance and dignity at work
- Employee development
- Labour turnover and analysis of leavers
- Recruitment monitoring
- Staffing watch as at 1 April 2014

The meeting closed at 5.28 p.m.

DRAFT

JOINT CONSULTATIVE FORUM

At a Meeting of the Joint Consultative Forum held in Committee Room 3, Council Offices, Garshake Road, Dumbarton on Thursday, 11 June 2015 at 2.05 p.m.

Present: Councillors George Black, Patrick McGlinchey, Tommy Rainey and Kath Ryall; Stewart Paterson (EIS); Claire Mackenzie (SSTA); Joanne Harkin, Simon Macfarlane, Gary Miller, Tom Morrison and Colin Smith (UNISON); and James Docherty, Charlie McDonald and Jackaleen McMonagle (Unite).

Attending: Angela Wilson, Executive Director of Corporate Services; Soumen Sengupta, Head of Strategy, Planning and Health Improvement; Ronnie Dinnie, Head of Neighbourhood Services; Vicki Rogers, Head of People and Transformation; Paul McGowan, Human Resources & Workforce Development Manager; Angela Terry, Manager of Organisational Development & Change; Alison McBride, Business Change Lead, Organisational Development & Change; Raymond Lynch, Senior Solicitor; and Scott Kelly, Committee Officer, Legal, Democratic & Regulatory Services.

Apologies: Apologies for absence were intimated on behalf of Councillors Jim Finn and Gail Robertson.

Councillor Patrick McGlinchey in the Chair

CHAIR'S REMARKS

Councillor McGlinchey, Chair, informed the Forum that the Trades Unions Conveners had submitted a request for there to be a review of the workings, business and powers of the Forum.

Following discussion, the Forum agreed that such a review should be undertaken and that the format of the review would be agreed by the Chair and Vice Chair of the Forum, in consultation with officers.

APPOINTMENT OF CHAIR, VICE CHAIR AND JOINT SECRETARIES

Having heard Councillor McGlinchey, Chair, the Forum noted that in terms of its constitution there was a requirement to nominate a Chair, Vice Chair and two Joint Secretaries to the Forum for the next year.

It was agreed that Jackaleen McMonagle (Unite) be nominated as Chair for the next year and it was noted that Councillor McGlinchey would assume the role of Vice Chair, in accordance with a previous decision of Council.

Thereafter, Ms McMonagle assumed the Chair.

Jackaleen McMonagle in the Chair

Ms McMonagle then sought nominations for Joint Secretaries to the Forum for the next year. It was agreed that Vicki Rogers, Head of People and Transformation be nominated as Joint Secretary for the Council Side and that Ms Harkin be nominated as Joint Secretary for the Trade Union Side. Having heard the Senior Solicitor, the role of the Joint Secretaries, as outlined in the Forum's Constitution, was noted.

DECLARATIONS OF INTEREST

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

MINUTES OF PREVIOUS MEETING

The Minutes of Meeting of the Joint Consultative Forum held on 2 April 2015 were submitted for approval as a correct record.

Following discussion and having heard the Senior Solicitor, the Forum agreed:-

- (1) to approve the minutes as a correct record; and
- (2) that, as part of the review of the Forum referred to earlier in these minutes, consideration should be given to the level of detail that should be recorded in the Forum's minutes in the future.

GUIDANCE ON FLEXIBLE AND MOBILE WORKING

A report was submitted by the Head of People and Transformation providing an update on guidance developed to support flexible and mobile working as part of the Council's 'Workplace of the Future' programme.

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

REVISED RESERVISTS POLICY AND EMPLOYER RECOGNITION SCHEME AWARD

A report was submitted by the Head of People and Transformation providing an update on the revisions made to the Reservists Policy and informing of the Employer Recognition Scheme Bronze Award achieved by the Council.

Having heard the Human Resources & Workforce Development Manager in further explanation of the report, the Forum agreed to note the contents of the report.

EQUAL PAY AUDIT ACTION PLAN

A report was submitted by the Head of People and Transformation providing an update on the progress of actions identified as part of the Council's first Equal Pay Audit.

Following discussion and having heard the Head of People and Transformation in further explanation of the report and in answer to Members' questions, the Forum agreed:-

- (1) to note that the Head of People and Transformation had invited Mr McDonald to give consideration to raising at the next meeting of the Employee Liaison Group a matter relating to the 2009 pay model; and
- (2) otherwise to note the contents of the report and the progress made to date.

Note: Mr Macfarlane left the meeting at this point.

ATTENDANCE MANAGEMENT POLICY REVISIONS

A report was submitted by the Head of People and Transformation providing an update on the proposed revisions to the Attendance Management Policy and ongoing discussions with Trade Unions.

Following discussion and having heard the Executive Director of Corporate Services and the Head of People and Transformation in further explanation of the report and in answer to Members' questions, the Forum agreed:-

- (1) to note that further discussion in relation to the policy would take place at the next meeting of the Attendance Working Group;
- (2) to note that the revised policy would be submitted for approval to the meeting of the Corporate Services Committee in August 2015, and that the Corporate Services Committee would be made aware of the discussion which takes place at the Attendance Working Group; and
- (3) otherwise to note the content of the report.

WORKING WELL TOGETHER: ABSENCE ANNUAL 2014/15

A report was submitted by the Head of People and Transformation:-

- (a) providing an update on the increasing levels of sickness absence within West Dunbartonshire Council and the actions progressed through the Attendance Working Group, as part of the Working Well Together campaign; and
- (b) providing a summary of absence statistics, and associated data, for the Council and individual departments.

Having heard officers in further explanation of the report and in answer to Members' questions, the Forum agreed to note the contents of the report.

Note: Mr Miller left the meeting during consideration of this item.

DISCIPLINE, GRIEVANCE AND DIGNITY AT WORK – QUARTER 4 UPDATE (1 JANUARY 2015 – 31 MARCH 2015) AND ANNUAL ANALYSIS (1 APRIL 2014 – 31 MARCH 2015)

A report was submitted by the Head of People and Transformation providing information on the progress of discipline, grievance and dignity at work cases for the period 1 January 2015 to 31 March 2015 and an annual analysis of cases for the period 1 April 2014 to 31 March 2015.

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

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

A report was submitted by the Head of People and Transformation providing the minutes from departmental Joint Consultative Committees (JCCs), Health & Safety meetings and Employee Liaison Group (ELG) meetings for the period 1 January 2015 to 31 March 2015.

The Forum agreed to note the contents of the report.

TRADES UNIONS ISSUES

Employee Debt (item requested by Unite/EIS)

The Forum heard Mr McDonald who asked whether an employee who agrees a debt repayment arrangement with the Council could have the value of his or her repayment installments increased by the Council without the employee's consent.

In response, the Head of People and Transformation stated that repayment plans are agreed following discussion between the employee and, where appropriate, a member of the Welfare Rights team, and that the value would be a matter for discussion taking account of income and expenditure and lifestyle adjustments. She further stated that the amount repaid in each installment by the employee should not be changed unilaterally by the Council without the employee's knowledge and invited Mr McDonald to raise with her, outwith the meeting, any specific cases that he was aware of.

Trade Union Facilities Time / Partnership Working (item requested by Unite/EIS)

The Forum heard from Mr Paterson who informed the Forum that he would soon be retiring from Council service and expressed concern that there would be a reduction in the facility time associated with his Teachers' Convener role while the review of trades union facility time was still taking place.

In response, the Head of People and Transformation confirmed that the reduction in the facility time associated with the Teachers' Convener role was an interim position only and that no formal decision in relation to this matter had been taken.

Thereafter, Mr Paterson, Mr McDonald and Ms Harkin expressed their concerns at there being a reduction in trades union facility time, and at the recent decision of Council which required savings of £50,000 to be made under the terms of the review.

Elected Members were heard in response to the concerns which had been expressed by the Trades Union Side.

Following discussion, the Forum agreed:-

- (1) to note the concerns expressed by the Trades Union Side and in particular: (i) its view that there should not be a reduction in the facility time associated with the Teacher's Convener role while the review was ongoing; and (ii) its request that Elected Members should reconsider the decision taken by Council at its meeting on 4 February 2015 for savings of £50,000 to be made in relation to trades union facility time; and
- (2) that the Executive Director of Educational Services and the Head of People and Transformation should further consider the concerns raised in relation to the Teacher's Convener role.

Payslips

The Forum heard from Mr McDonald who informed the Forum that he was aware of instances of employees who did not have access to computers not receiving paper copies of payslips. It was noted that this matter had not been intimated in advance of the meeting.

In response, the Head of People and Transformation stated that she was unaware of any such instances and invited Mr McDonald to discuss this matter with her, outwith the meeting.

PROGRAMME OF FUTURE MEETINGS

The Forum agreed the undernoted dates and times for future meetings of the Forum:-

Thursday, 24 September 2015 at 2.00 p.m.

Thursday, 10 December 2015 at 2.00 p.m.

Thursday, 10 March 2016 at 2.00 p.m.

Thursday, 9 June 2016 at 2.00 p.m.

The meeting closed at 4.15 p.m.

DRAFT

WEST DUNBARTONSHIRE COUNCIL**Report by the Executive Director of Corporate Services****Corporate Services Committee: 12 August 2015**

Subject: Provision of Banking Services-Renewal of Banking Contract

1. Purpose

- 1.1** The purpose of this report is to seek approval of Committee to commence the tendering process and to award to the preferred bidder the Provision of Banking Services for the period 1 April 2016 to 31 March 2019, with an option to extend until for a further 2 years to 31 March 2021.

2. Recommendations

- 2.1** It is recommended that the Committee agrees:
- i) the process to begin invitations to tender for the provision of banking services for a three year period from 1 April 2016 until 31 March 2019, with an option to extend for a further two years until 31 March 2021; and
 - ii) to delegate authority to the Executive Director of Corporate Services, in consultation with the Chair of the Corporate Services Committee to accept the most economically advantageous tender received providing this is within budgetary provision and at the end of the 3 year contract period, to renew the Council's banking contract and if appropriate agree an extension for a maximum of a further 2 additional 12 month periods until 31 March 2021.

3. Background

- 3.1** Following a tendering exercise in 2010 the Clydesdale Bank was appointed as the Council's Provider of Banking Services for a period of 3 years from 1 April 2011 to 31 March 2014 with an option to extend for a further 2 years until 31 March 2016.
- 3.2** The current contract was extended after a review of the terms offered by the Council's bank for the extension period and it was agreed that an extension to 31 March 2016 be accepted.
- 3.3** When the Leisure Trust (WDLT) was created, the banking contract agreed was linked with West Dunbartonshire Council (WDC). Thus, the current bank

contract is based upon transaction volumes which include WDC & WDLT levels

- 3.4 The banking contract currently costs the Council approximately £23,000 per year.

4. Main Issues

- 4.1 The Provision of Banking Services is critical to the continued financial stability of the Council and is required to collect income from and make payments to various stakeholders.
- 4.2 Prices for this contract are based upon volumes and the current bank contract is based upon transaction volumes which include WDC & WDLT levels and Leisure Trust have confirmed that they wish their banking contract to be secured with the Council's bank contract under this invitation to tender exercise to assist with securing the best price for both WDC and WDLT.

5. People Implications

- 5.1 There are no people implications.

6. Financial Implications

- 6.1 The Council currently incurs costs of around £23,000 per year in respect of banking charges for services provided by our existing supplier.
- 6.2 The selection of the most suitable provider of banking services may result in increased efficiencies in relation to day to day banking.

7. Risk Analysis

- 7.1 If the contract is not tendered the existing supplier will be able to provide the service. However, the prices may be subject to fluctuation and may no longer be competitive. Having a contract in place enables the prices to be set for a fixed period and a formal terms and conditions to be put in place, to ensure that the Council receives best value.
- 7.2 There is the risk that if the provision of banking services contract is not awarded the Council will be unable to fulfil its financial obligations to various stakeholders.

8. Equalities, Health & Human Rights Impact Assessment (EIA)

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

9. Consultation

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

10. Strategic Assessment

10.1 Sound financial practice and budgetary control are imperative to assist with the governance of the Council and supports officers of the Council in achieving the five strategic priorities. The General Services revenue budget contributes to all categories by providing funding in specific areas to help the Council achieve and develop these priorities.

.....
Angela Wilson
Executive Director of Corporate Services
Date: July 2015

Person to Contact: Karen Shannon, Section Head (Financial, Administration & Control), Garshake Road. Telephone (01389) 737842.
Email: karen.shannon@west-dunbarton.gov.uk

Background Papers: Equalities Impact Screening

Wards Affected: All Council wards.

WEST DUNBARTONSHIRE COUNCIL**Report by the Executive Director of Corporate Services****Corporate Services Committee: 12 August 2015**

Subject: Cash Receipting Systems Contract**1. Purpose**

- 1.1** The purpose of this report is to seek approval of Committee to award to our existing supplier the provision of the Cash Receipting System Services Contract for the period 1 November 2015 to 31 October 2018.

2. Recommendations

- 2.1** It is recommended that the Committee agrees to award the cash receipting contract for the period 1 November 2015 to 31 October 2018 to our current supplier.

3. Background

- 3.1** The service provides customers of West Dunbartonshire Council with the facility to make payments either face to face, online or by telephone. In addition to this the service provides a facility to manage all of the Council's income and to accurately record payments received to the Council's back office systems e.g. Council Tax, Rents. This system is a key control system for the Council.
- 3.2** West Dunbartonshire Council (WDC) has access to the Crown Commercial Services (CCS) Local Authority Software Applications (RM1059) Framework that has suppliers which we can directly award our business to by buying from an approved catalogue which has already underwent procurement exercises. The procurement exercises are undertaken by CCS and ensure that only suppliers which meet specified criteria can be on this framework.

4. Main Issues

- 4.1** It is essential that a new contract is in place before 31 October 2015 to ensure a seamless process of continuation of the service.
- 4.2** WDC carried out a procurement process, via the CCS framework, to determine the best solutions provider to host WDC cash receipting system.
- 4.3** After careful consideration of the various options available by officers of the Council, taking into consideration the timeline for implementation, financial and human resources available, the recommendation is to award to our current supplier via the CCS Framework.

5. People Implications

5.1 There are no people implications.

6. Financial Implications

6.1 Awarding via the CCS Framework will ensure continuity of service and will provide savings to the Council each year over the lifetime of the new contract, for which there is existing departmental budgetary provision to meet this level of expenditure.

7. Risk Analysis

7.1 There is the risk that if the provision of cash receipting system services contract is not awarded the Council will be unable to fulfil its obligations to various stakeholders, both in terms of cash collection and record management.

7.2 Having a contract in place enables the prices to be set for a fixed period and a formal terms and conditions to be put in place, to ensure that the Council receives best value.

8. Equalities, Health & Human Rights Impact Assessment (EIA)

8.1 No issues were identified in a screening for potential equality impact of this report

9. Consultation

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

10. Strategic Assessment

10.1 Sound financial practice and budgetary control are imperative to assist with the governance of the Council and supports officers of the Council in achieving the five strategic priorities. The General Services revenue budget contributes to all categories by providing funding in specific areas to help the Council achieve and develop these priorities.

.....
Angela Wilson
Executive Director of Corporate Services
Date: July 2015

Person to Contact: Karen Shannon, Section Head (Financial, Administration & Control), Garshake Road. Telephone (01389) 737842.
Email: karen.shannon@west-dunbarton.gov.uk

Background Papers: Equalities Impact Screening

Wards Affected: All Council wards.

WEST DUNBARTONSHIRE COUNCIL**Report by the Executive Director of Corporate Services****Corporate Services Committee 12 August 2015**

Subject: Grant Applications 2015/16**1. Purpose**

- 1.1 The purpose of this report is to provide Committee with information on grant applications with recommendations for payment to voluntary organisations from Trust Fund, Community Council and Dumbarton Common Good budgets.

2. Recommendations

- 2.1 The grants shown in Appendix A are recommended to be paid, following assessment of financial need and favourable impact to residents within the Council area. The Committee is asked to:
- 2.2 agree the grants recommended to be awarded for Community Councils (totaling £4,250.59) which will be contained within the Community Council's annual budget allocation.

3. Background

- 3.1 Community Chest grants are administered by the West Dunbartonshire Community Volunteer Service (WDCVS) and are reported to Committee at the year end.
- 3.2 The Council continues to administer grants for organisations identified as Strategic Partners, Community Councils, Dumbarton Common Good and Trust Funds and the Older People's Grant payments.

4. Main IssuesCommunity Council Applications

- 4.1 Two applications have been received for funding in respect of running costs of the Community Councils in 2015/16. Details are shown in Appendix A and Members should note £4,250.59 is due to be paid.

5. People Implications

- 5.1 There are no people implications.

6. Financial Implications

6.1 The recommended grants to Community Councils per the Appendix A will be met from within the budget for this purpose.

7. Risk Analysis

7.1 The Council must consider financial and reputational risks when considering grant applications. The financial risk is not only that the Council and Common Good Fund remain within budget, but also that the voluntary organisation is in a long term viable position. Organisations funded by the Council and the Common Good Fund must also comply with conditions of grant which cover issues such as discrimination, health and safety, insurance, etc.

8. Equalities Impact Assessment (EIA)

8.1 No issues were identified in a screening of applications.

9. Consultation

9.1 Consultation has taken place with Legal Services. Those organisations submitting grant application are consulted regarding recommendations of grant prior to the report being submitted to Committee.

10. Strategic Assessment

10.1 The Council has identified five main strategic priorities, namely; improve economic growth and employability, improve life chances for children and young people, improve care for and promote independence with older people, improve local housing and environmentally sustainable infrastructure, improve the wellbeing of communities and protect the welfare of vulnerable people.

10.2 The award of these grants has an indirect impact on social regeneration through work by the groups.

Angela Wilson
Director of Corporate Services
Date: 17 July 2015

Person to Contact: Jennifer Ogilvie, Finance Business Partner
Telephone: (01389) 737453
E-mail: jennifer.ogilvie@west-dunbarton.gov.uk

Appendices: Appendix A: Detail of applications for assessment
Background Papers: Grant application forms
Wards Affected: Wards 4, 5 and 6

**Community Council applications
for consideration on 12 August 2015
(2015/16)**

Organisation	Purpose of organisation	Grant requested	Purpose of grant	Comments
Clydebank East Community Council c/o Mr Alistair Conarty 33 Millburn Avenue Clydebank	To find out the views of the community, co-ordinate and express these views to the local public and public authorities. Act in the interest of their community.	£2,896.69	To fund the running costs of the Community Council in 2015/16	Amount as per agreed formula £2,627.36 Recommendation: £2,627.36
Number of members	How often does it meet	Other grants applied for/ awarded	Bank Balance	Accounts balance
10	Monthly	No other funding applied for/awarded	£2,259.47 as at 02/04/15	£2,546.79 as at 31/03/15

Organisation	Purpose of organisation	Grant requested	Purpose of grant	Comments
Old Kilpatrick Community Council c/o Mrs Mary McAulay 5 Admiralty Gardens Dalnottar Grove Old Kilpatrick G60 5HU	To find out the views of the community, co-ordinate and express these views to the local public and public authorities. Act in the interest of their community.	£1,623.23	To fund the running costs of the Community Council in 2015/16	Amount as per agreed formula £1,623.23 Recommendation: £1,623.23
Number of members	How often does it meet	Other grants applied for/ awarded	Bank Balance	Accounts balance
10	Monthly	No other funding applied for/awarded	£2,749.90 as at 28/05/15	£1,749.01 as at 31/03/14

WEST DUNBARTONSHIRE COUNCIL
Report by the Executive Director of Corporate Services
Corporate Services Committee – 12 August 2015

**Subject: Corporate Services Budgetary Control Report to 30 June 2015
(Period 3)**

1. Purpose

- 1.1** The purpose of this report is to advise the Committee on the performance of the Corporate Services budget for the period to 30 June 2015.

2. Recommendations

- 2.1** Members are asked to:

- i) note that the revenue account currently shows a projected annual favourable variance of £0.390m (2.01% of the total budget); and
- ii) note that the capital account shows a projected nil annual and project life variance.

3. Background

Revenue

- 3.1** At the meeting of West Dunbartonshire Council on 4 February 2015, Members agreed the revenue estimates for 2015/2016, including a total net Corporate Services budget of £19.246m. Budget adjustments have taken place revising the budget to £19.357m as detailed below.

Budget Previously Reported to Members	£19.245m
Allocation of general savings targets	(£0.021m)
Transfer of phone budgets from other departments	£0.133m
Revised Budget	£19.357m

Capital

- 3.2** At the meeting of Council on 4 February 2015, Members also agreed the updated 10 year General Services Capital Plan for 2013/2014 to 2022/23. The next three years from 2015/16 to 2017/18 have been approved in detail with the remaining 4 years 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 £0.390m (2.01% of the total budget). A graphical representation is attached as Appendix 2 while service reports are attached as Appendix 3.
- 4.2 Notes on the projected annual variances in excess of £0.050m are highlighted and noted within Appendix 4, with additional information on action being taken to minimise or mitigate overspends where possible.
- 4.3 Although the report indicates that expenditure is favourable in comparison to that anticipated during the budget exercise, the present variance should be viewed in the knowledge that there are a number of variable factors which could arise between now and 31 March and which could affect the year end results.
- 4.4 Agreed savings and management adjustments for 2015/16 are monitored with current indications showing that of the total target being monitored (£1.045m), the majority of actions are currently on target to be achieved. However it indicates that £0.006m is currently not on target (see Appendix 5). It should be noted that any variances are included within the service information and variances identified within this report.

Capital

- 4.5 The current progress on the capital plan is shown in Appendix 6.
- 4.6 The overall Corporate Services programme summary report at Appendix 6 shows that planned expenditure and resource for 2015/16 and project life are projected to show a nil variance. The nil variance should be viewed in the knowledge that there are a number of variable factors which could arise between now and project end dates which could affect the overall capital programme.

5. People Implications

- 5.1 There are no people implications.

6. Financial Implications

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

7. Risk Analysis

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

8. Equalities Impact Assessment (EIA)

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

9. Consultation

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

10. Strategic Assessment

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

Angela Wilson
Executive Director of Corporate Services

Date: 17 July 2015

Person to Contact: Jennifer Ogilvie, Finance Business Partner
Council Offices, Garshake Road, Dumbarton
Telephone: (01389) 737453
E-mail: jennifer.ogilvie@west-dunbarton.gov.uk

Appendices:

- Appendix 1 - Revenue Budgetary Control 2015/16
– Summary Report
- Appendix 2 - Revenue Budgetary Control 2015/16
– Graphs
- Appendix 3 - Revenue Budgetary Control 2015/16
– Service Reports
- Appendix 4 - Analysis of Revenue Variances over
£50,000
- Appendix 5 - 2015/16 Savings and Management
Adjustments Monitoring
- Appendix 6 - Overall Capital Programme Summary
Financials

Background Papers: Ledger output – Period 3
General Services Revenue Estimates 2015/16
General Services Capital Plan 2015/16 to 2017/18 - Council
4 February 2015

Corporate Services Budgetary Control Report to 30 June
2015 (Period 3)
General Services Capital Plan - Analysis of Projects at
Green Status

Wards Affected All Wards

WEST DUNBARTONSHIRE COUNCIL
 REVENUE BUDGETARY CONTROL 2014/2015
 CORPORATE SERVICES AND CHIEF EXECUTIVE SUMMARY

APPENDIX 1

MONTH END DATE 30 June 2015

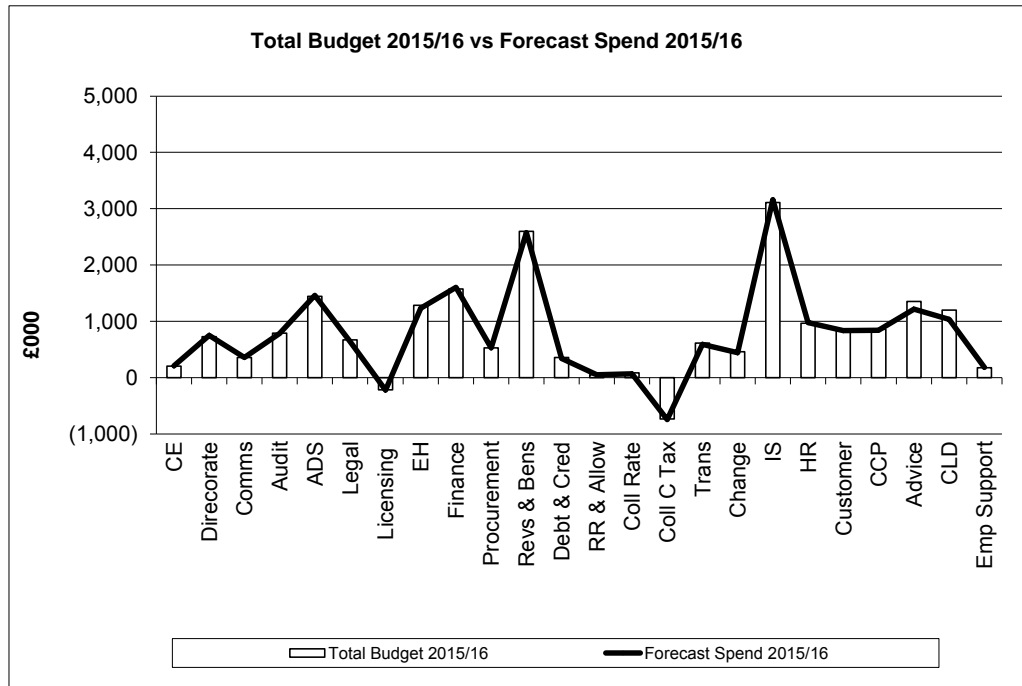
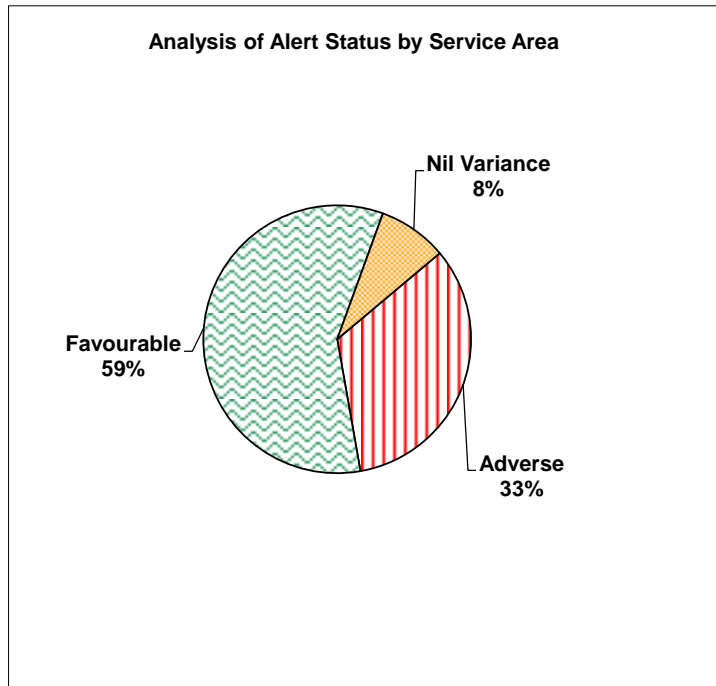
PERIOD 3

Actual Outturn 2014/15	Departmental / Subjective Summary	Total Budget 2015/16	Spend to Date 2015/16	% Spend to Date of Total Budget	Forecast Spend 2015/16	Forecast Variance 2015/16	RAG Status	
£000	Departmental Summary	£000	£000	%	£000	£000	%	
221	Chief Executive	209	40	19%	210	1	0%	↓
791	Directorate & Corporate Resources	732	143	20%	754	22	3%	↓
316	Communications & Marketing	361	48	13%	361	0	0%	→
730	Audit & Risk	794	153	19%	787	(7)	-1%	↑
1,374	Administrative & Democratic Services	1,447	313	22%	1,460	13	1%	↓
634	Legal Services	670	135	20%	642	(28)	-4%	↑
(282)	Licensing	(213)	(35)	16%	(217)	(4)	2%	↑
1,239	Environmental Health	1,286	263	20%	1,238	(48)	-4%	↑
1,584	Finance	1,577	366	23%	1,603	26	2%	↓
555	Procurement	529	104	20%	530	1	0%	↓
2,511	Revenues & Benefits	2,601	520	20%	2,577	(24)	-1%	↑
319	Debtors & Creditors	358	64	18%	343	(15)	-4%	↑
243	Rent Rebates & Allowances	51	119	233%	51	0	0%	→
61	Cost of Collection of Rates	88	2	2%	72	(16)	-18%	↑
(586)	Cost of Collection of Council Tax	(731)	(69)	9%	(741)	(10)	1%	↑
571	Transactional Services	616	123	20%	593	(23)	-4%	↑
448	Change Support	460	71	15%	443	(17)	-4%	↑
2,882	Information Services	3,112	940	30%	3,161	49	2%	↓
945	Human Resources & Organisational Development	970	182	19%	981	11	1%	↓
800	Customer Service	843	163	19%	837	(6)	-1%	↑
520	Corporate & Community Planning	859	128	15%	841	(18)	-2%	↑
1,286	Advice Service	1,357	287	21%	1,218	(139)	-10%	↑
1,248	Community Learning & Development	1,202	257	21%	1,038	(164)	-14%	↑
195	Employment Support	179	210	117%	185	6	3%	↓
18,605	Total Net Expenditure	19,357	4,527	23%	18,967	(390)	-2%	↑

MONTH END DATE 30 June 2015

PERIOD 3

Corporate Services / Chief Executive Graphs



MONTH END DATE

30 June 2015

PERIOD

3

Actual Outturn 2014/15	Service Summary	Total Budget 2015/16	Spend to Date 2015/16	% Spend to Date of Total Budget	Forecast Spend 2015/16	Forecast Variance 2015/16	RAG Status
£000	Chief Executive	£000	£000	%	£000	£000	%
214	Employee	203	39	19%	203	0	0%
0	Property	0	0	0%	0	0	0%
2	Transport and Plant	1	0	0%	2	1	100%
5	Supplies, Services and Admin	5	1	20%	5	0	0%
0	Payments to Other Bodies	0	0	0%	0	0	0%
0	Other	0	0	0%	0	0	0%
221	Gross Expenditure	209	40	19%	210	1	0%
0	Income	0	0	0%	0	0	0%
221	Net Expenditure	209	40	19%	210	1	0%
£000	Directorate & Corporate Resources	£000	£000	%	£000	£000	%
781	Employee	726	143	20%	748	22	3%
0	Property	0	0	0%	0	0	0%
2	Transport and Plant	1	0	0%	1	0	0%
8	Supplies, Services and Admin	5	0	0%	5	0	0%
0	Payments to Other Bodies	0	0	0%	0	0	0%
0	Other	0	0	0%	0	0	0%
791	Gross Expenditure	732	143	20%	754	22	3%
0	Income	0	0	0%	0	0	0%
791	Net Expenditure	732	143	20%	754	22	3%
£000	Communications & Marketing	£000	£000	%	£000	£000	%
263	Employee	287	45	16%	287	0	0%
0	Property	0	0	0%	0	0	0%
0	Transport and Plant	0	0	0%	0	0	0%
50	Supplies, Services and Admin	68	1	1%	68	0	0%
3	Payments to Other Bodies	6	2	33%	6	0	0%
0	Other	0	0	0%	0	0	0%
316	Gross Expenditure	361	48	13%	361	0	0%
0	Income	0	0	0%	0	0	0%
316	Net Expenditure	361	48	13%	361	0	0%
£000	Audit & Risk	£000	£000	%	£000	£000	%
705	Employee	806	151	19%	800	(6)	-1%
0	Property	0	0	0%	0	0	0%
3	Transport and Plant	6	0	0%	5	(1)	-17%
13	Supplies, Services and Admin	14	2	14%	14	0	0%
12	Payments to Other Bodies	18	0	0%	18	0	0%
0	Other	0	0	0%	0	0	0%
733	Gross Expenditure	844	153	18%	837	(7)	-1%
(3)	Income	(50)	0	0%	(50)	0	0%
730	Net Expenditure	794	153	19%	787	(7)	-1%
£000	Administrative & Democratic Services	£000	£000	%	£000	£000	%
1,543	Employee	1,527	335	22%	1,539	12	1%
8	Property	0	0	0%	0	0	0%
6	Transport and Plant	6	1	17%	6	0	0%
27	Supplies, Services and Admin	32	5	16%	33	1	3%
0	Payments to Other Bodies	0	0	0%	0	0	0%
0	Other	0	0	0%	0	0	0%
1,584	Gross Expenditure	1,565	341	22%	1,578	13	1%
(210)	Income	(118)	(28)	24%	(118)	0	0%
1,374	Net Expenditure	1,447	313	22%	1,460	13	1%

MONTH END DATE **30 June 2015**

PERIOD **3**

Actual Outturn 2014/15	Service Summary	Total Budget 2015/16	Spend to Date 2015/16	% Spend to Date of Total Budget	Forecast Spend 2015/16	Forecast Variance 2015/16	RAG Status
£000	Legal Services	£000	£000	%	£000	£000	%
641	Employee	750	139	19%	730	(20)	-3% ↑
0	Property	0	0	0%	0	0	0% →
1	Transport and Plant	1	0	0%	1	0	0% →
17	Supplies, Services and Admin	16	2	13%	16	0	0% →
0	Payments to Other Bodies	10	4	40%	12	2	20% ↓
0	Other	0	0	0%	0	0	0% →
659	Gross Expenditure	777	145	19%	759	(18)	-2% ↑
(25)	Income	(107)	(10)	9%	(117)	(10)	9% ↑
634	Net Expenditure	670	135	20%	642	(28)	-4% ↑
£000	Licensing	£000	£000	%	£000	£000	%
181	Employee	178	35	20%	174	(4)	-2% ↑
0	Property	0	0	0%	0	0	0% →
2	Transport and Plant	1	0	0%	1	0	0% →
31	Supplies, Services and Admin	5	(5)	-100%	5	0	0% →
0	Payments to Other Bodies	0	0	0%	0	0	0% →
0	Other	0	0	0%	0	0	0% →
214	Gross Expenditure	184	30	16%	180	(4)	-2% ↑
(496)	Income	(397)	(65)	16%	(397)	0	0% →
(282)	Net Expenditure	(213)	(35)	16%	(217)	(4)	2% ↑
£000	Environmental Health	£000	£000	%	£000	£000	%
1,154	Employee	1,164	246	21%	1,172	8	1% ↓
10	Property	46	4	9%	21	(25)	-54% ↑
25	Transport and Plant	24	3	13%	24	0	0% →
93	Supplies, Services and Admin	46	11	24%	46	0	0% →
89	Payments to Other Bodies	97	18	19%	87	(10)	-10% ↑
0	Other	0	0	0%	2	2	0% ↓
1,371	Gross Expenditure	1,377	282	20%	1,352	(25)	-2% ↑
(132)	Income	(91)	(19)	21%	(114)	(23)	25% ↑
1,239	Net Expenditure	1,286	263	20%	1,238	(48)	-4% ↑
£000	Finance	£000	£000	%	£000	£000	%
1,623	Employee	1,684	371	22%	1,705	21	1% ↓
0	Property	0	0	0%	0	0	0% →
4	Transport and Plant	2	1	50%	2	0	0% →
22	Supplies, Services and Admin	12	0	0%	17	5	42% ↓
3	Payments to Other Bodies	2	2	100%	2	0	0% →
0	Other	0	0	0%	0	0	0% →
1,652	Gross Expenditure	1,700	374	22%	1,726	26	2% ↓
(68)	Income	(123)	(8)	7%	(123)	0	0% →
1,584	Net Expenditure	1,577	366	23%	1,603	26	2% ↓
£000	Procurement	£000	£000	%	£000	£000	%
559	Employee	538	104	19%	633	95	18% ↓
0	Property	0	0	0%	0	0	0% →
1	Transport and Plant	1	0	0%	0	(1)	-100% ↑
0	Supplies, Services and Admin	1	0	0%	1	0	0% →
66	Payments to Other Bodies	66	0	0%	66	0	0% →
0	Other	0	0	0%	0	0	0% →
626	Gross Expenditure	606	104	17%	700	94	16% ↓
(71)	Income	(77)	0	0%	(170)	(93)	121% ↑
555	Net Expenditure	529	104	20%	530	1	0% ↓
£000	Revenues & Benefits	£000	£000	%	£000	£000	%
2,482	Employee	2,550	503	20%	2,539	(11)	0% ↑
1	Property	0	0	0%	0	0	0% →
17	Transport and Plant	10	1	10%	10	0	0% →
94	Supplies, Services and Admin	76	5	7%	62	(14)	-18% ↑
870	Payments to Other Bodies	895	198	22%	895	0	0% →
0	Other	0	0	0%	0	0	0% →
3,464	Gross Expenditure	3,531	707	20%	3,506	(25)	-1% ↑
(953)	Income	(930)	(187)	20%	(929)	1	0% ↓
2,511	Net Expenditure	2,601	520	20%	2,577	(24)	-1% ↑

MONTH END DATE

30 June 2015

PERIOD

3

Actual Outturn 2014/15	Service Summary	Total Budget 2015/16	Spend to Date 2015/16	% Spend to Date of Total Budget	Forecast Spend 2015/16	Forecast Variance 2015/16	RAG Status
£000	Debtors & Creditors	£000	£000	%	£000	£000	%
242	Employee	280	52	19%	269	(11)	-4% ↑
0	Property	0	0	0%	0	0	0% →
0	Transport and Plant	0	0	0%	0	0	0% →
77	Supplies, Services and Admin	78	12	15%	74	(4)	-5% ↑
0	Payments to Other Bodies	0	0	0%	0	0	0% →
0	Other	0	0	0%	0	0	0% →
319	Gross Expenditure	358	64	18%	343	(15)	-4% ↑
0	Income	0	0	0%	0	0	0% →
319	Net Expenditure	358	64	18%	343	(15)	-4% ↑
£000	Rent Rebates & Allowances	£000	£000	%	£000	£000	%
0	Employee	0	0	0%	0	0	0% →
0	Property	0	0	0%	0	0	0% →
0	Transport and Plant	0	0	0%	0	0	0% →
0	Supplies, Services and Admin	0	0	0%	0	0	0% →
46,840	Payments to Other Bodies	42,556	9,572	22%	42,556	0	0% →
0	Other	0	0	0%	0	0	0% →
46,840	Gross Expenditure	42,556	9,572	22%	42,556	0	0% →
(46,597)	Income	(42,505)	(9,453)	22%	(42,505)	0	0% →
243	Net Expenditure	51	119	233%	51	0	0% →
£000	Cost of Collection of Rates	£000	£000	%	£000	£000	%
0	Employee	0	0	0%	0	0	0% →
0	Property	0	0	0%	0	0	0% →
0	Transport and Plant	0	0	0%	0	0	0% →
22	Supplies, Services and Admin	25	2	8%	24	(1)	-4% ↑
98	Payments to Other Bodies	98	0	0%	98	0	0% →
0	Other	0	0	0%	0	0	0% →
120	Gross Expenditure	123	2	2%	122	(1)	-1% ↑
(59)	Income	(35)	0	0%	(50)	(15)	43% ↑
61	Net Expenditure	88	2	2%	72	(16)	-18% ↑
£000	Cost of Collection of Council Tax	£000	£000	%	£000	£000	%
0	Employee	0	0	0%	0	0	0% →
0	Property	0	0	0%	0	0	0% →
0	Transport and Plant	0	0	0%	0	0	0% →
91	Supplies, Services and Admin	98	8	8%	88	(10)	-10% ↑
47	Payments to Other Bodies	48	0	0%	48	0	0% →
0	Other	0	0	0%	0	0	0% →
138	Gross Expenditure	146	8	5%	136	(10)	-7% ↑
(724)	Income	(877)	(77)	9%	(877)	0	0% →
(586)	Net Expenditure	(731)	(69)	9%	(741)	(10)	1% ↑
£000	Transactional Services	£000	£000	%	£000	£000	%
562	Employee	602	122	20%	585	(17)	-3% ↑
0	Property	0	0	0%	0	0	0% →
0	Transport and Plant	0	0	0%	0	0	0% →
9	Supplies, Services and Admin	14	1	7%	8	(6)	-43% ↑
0	Payments to Other Bodies	0	0	0%	0	0	0% →
0	Other	0	0	0%	0	0	0% →
571	Gross Expenditure	616	123	20%	593	(23)	-4% ↑
0	Income	0	0	0%	0	0	0% →
571	Net Expenditure	616	123	20%	593	(23)	-4% ↑
£000	Change Support	£000	£000	%	£000	£000	%
416	Employee	459	71	15%	442	(17)	-4% ↑
0	Property	0	0	0%	0	0	0% →
0	Transport and Plant	0	0	0%	0	0	0% →
34	Supplies, Services and Admin	1	0	0%	1	0	0% →
0	Payments to Other Bodies	0	0	0%	0	0	0% →
0	Other	0	0	0%	0	0	0% →
450	Gross Expenditure	460	71	15%	443	(17)	-4% ↑
(2)	Income	0	0	0%	0	0	0% →
448	Net Expenditure	460	71	15%	443	(17)	-4% ↑

MONTH END DATE

30 June 2015

PERIOD

3

Actual Outturn 2014/15	Service Summary	Total Budget 2015/16	Spend to Date 2015/16	% Spend to Date of Total Budget	Forecast Spend 2015/16	Forecast Variance 2015/16	RAG Status
£000	Information Services	£000	£000	%	£000	£000	%
1,745	Employee	1,765	381	22%	1,816	51	3% ↓
0	Property	0	0	0%	0	0	0% →
8	Transport and Plant	6	1	17%	7	1	17% ↓
1,109	Supplies, Services and Admin	1,328	557	42%	1,325	(3)	0% ↑
25	Payments to Other Bodies	13	3	23%	13	0	0% →
0	Other	0	0	0%	0	0	0% →
2,887	Gross Expenditure	3,112	942	30%	3,161	49	2% ↓
(5)	Income	0	(2)	0%	0	0	0% →
2,882	Net Expenditure	3,112	940	30%	3,161	49	2% ↓
£000	HR & Organisational Development	£000	£000	%	£000	£000	%
715	Employee	738	157	21%	737	(1)	0% ↑
16	Property	16	(1)	-6%	16	0	0% →
2	Transport and Plant	2	0	0%	2	0	0% →
3	Supplies, Services and Admin	5	1	20%	4	(1)	-20% ↑
209	Payments to Other Bodies	209	25	12%	222	13	6% ↓
0	Other	0	0	0%	0	0	0% →
945	Gross Expenditure	970	182	19%	981	11	1% ↓
0	Income	0	0	0%	0	0	0% →
945	Net Expenditure	970	182	19%	981	11	1% ↓
£000	Customer Service	£000	£000	%	£000	£000	%
688	Employee	767	157	20%	758	(9)	-1% ↑
65	Property	62	3	5%	62	0	0% →
2	Transport and Plant	2	0	0%	2	0	0% →
13	Supplies, Services and Admin	8	3	38%	11	3	38% ↓
32	Payments to Other Bodies	4	0	0%	4	0	0% →
0	Other	0	0	0%	0	0	0% →
800	Gross Expenditure	843	163	19%	837	(6)	-1% ↑
0	Income	0	0	0%	0	0	0% →
800	Net Expenditure	843	163	19%	837	(6)	-1% ↑
£000	Corporate & Community Planning	£000	£000	%	£000	£000	%
471	Employee	643	126	20%	625	(18)	-3% ↑
0	Property	0	0	0%	0	0	0% →
1	Transport and Plant	2	0	0%	2	0	0% →
5	Supplies, Services and Admin	7	0	0%	7	0	0% →
43	Payments to Other Bodies	207	2	1%	207	0	0% →
0	Other	0	0	0%	0	0	0% →
520	Gross Expenditure	859	128	15%	841	(18)	-2% ↑
0	Income	0	0	0%	0	0	0% →
520	Net Expenditure	859	128	15%	841	(18)	-2% ↑
£000	Advice Service	£000	£000	%	£000	£000	%
946	Employee	1,068	187	18%	930	(138)	-13% ↑
2	Property	0	0	0%	0	0	0% →
9	Transport and Plant	9	2	22%	9	0	0% →
15	Supplies, Services and Admin	18	6	33%	17	(1)	-6% ↑
506	Payments to Other Bodies	517	92	18%	517	0	0% →
0	Other	0	0	0%	0	0	0% →
1,478	Gross Expenditure	1,612	287	18%	1,473	(139)	-9% ↑
(192)	Income	(255)	0	0%	(255)	0	0% →
1,286	Net Expenditure	1,357	287	21%	1,218	(139)	-10% ↑
£000	Community Learning & Development	£000	£000	%	£000	£000	%
1,154	Employee	1,225	248	20%	1,060	(165)	-13% ↑
0	Property	0	0	0%	0	0	0% →
15	Transport and Plant	18	3	17%	18	0	0% →
23	Supplies, Services and Admin	17	1	6%	17	0	0% →
101	Payments to Other Bodies	57	4	7%	57	0	0% →
0	Other	0	0	0%	0	0	0% →
1,293	Gross Expenditure	1,317	256	19%	1,152	(165)	-13% ↑
(45)	Income	(115)	1	-1%	(114)	1	-1% ↓
1,248	Net Expenditure	1,202	257	21%	1,038	(164)	-14% ↑

MONTH END DATE 30 June 2015

PERIOD 3

Actual Outturn 2014/15	Service Summary	Total Budget 2015/16	Spend to Date 2015/16	% Spend to Date of Total Budget	Forecast Spend 2015/16	Forecast Variance 2015/16	RAG Status
£000	Employment Support	£000	£000	%	£000	£000	%
379	Employee	868	194	22%	876	8	1% ↓
23	Property	22	7	32%	22	0	0% →
27	Transport and Plant	33	5	15%	31	(2)	-6% ↑
12	Supplies, Services and Admin	9	2	22%	9	0	0% →
300	Payments to Other Bodies	229	55	24%	229	0	0% →
0	Other	0	0	0%	0	0	0% →
741	Gross Expenditure	1,161	263	23%	1,167	6	1% ↓
(546)	Income	(982)	(53)	5%	(982)	0	0% →
195	Net Expenditure	179	210	117%	185	6	3% ↓

WEST DUNBARTONSHIRE COUNCIL
 REVENUE BUDGETARY CONTROL 2015/2016
 ANALYSIS FOR VARIANCES OVER £50,000

APPENDIX 4

MONTH END DATE

30 June 2015

PERIOD

3

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

Corporate Services / Chief Executive

Procurement (Stephen West)	529	530	1	0%	↓
Service Description	This service area provides purchasing and tendering support to all departments				
Main Issues / Reason for Variance	Staffing is currently showing an overspend of £95k due to implementation of new staffing structure anticipated to be in place by October 2015, however this will be fully offset by additional income from internal sources				
Mitigating Action	Monitoring of budgets to ensure that additional income achieved				
Anticipated Outcome	Overall nil impact of new structure anticipated				

Information Services (Vicki Rodgers)	3,112	3,161	49	2%	↓
Service Description	This service area provides general ICT support to the Council and also support transformational change and modernisation of working practices through technology.				
Main Issues / Reason for Variance	Staffing is currently showing an overspend of 51k due to full turnover savings not being met, Manager requires to use suppliers/agency for specific pieces of work for the larger corporate projects				
Mitigating Action	Officers will monitor budget				
Anticipated Outcome	Overspend in staffing anticipated by year end				

WEST DUNBARTONSHIRE COUNCIL
 REVENUE BUDGETARY CONTROL 2015/2016
 ANALYSIS FOR VARIANCES OVER £50,000

APPENDIX 4

MONTH END DATE 30 June 2015

PERIOD 3

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

Advice Service (Peter Barry)	1,357	1,218	(139)	-10%	↑
Service Description	This service area comprises welfare rights, Macmillan Team, money advice, and information workers. The main focus is on advice and advocacy in relation to social security benefits and debt issues. It sits within the wider Working4U service.				
Main Issues / Reason for Variance	Staffing is currently showing an underspend of £138k. This is due to effective budget management in relation to current vacancies with a view to mitigating the future impact of the W4U restructure on staff.				
Mitigating Action	None required at this time				
Anticipated Outcome	Favourable staffing variance anticipated at year end				

Community Learning & Development (Peter Barry)	1,202	1,038	(164)	-14%	↑
Service Description	This service area comprises Adult Learning, Community Literacies, Youth Services and Community Development. The main focus is on improved life chances for people of all ages, including young people, in particular through learning, personal development and active citizenship, along with stronger, more resilient, supportive, influential and inclusive communities. It sits within the wider Working4U service.				
Main Issues / Reason for Variance	Staffing is currently showing an underspend of £165k. This is due to effective budget management in relation to current vacancies with a view to mitigating the future impact of the W4U restructure on staff.				
Mitigating Action	None required at this time				
Anticipated Outcome	Favourable staffing variance anticipated at year end				

REF	DETAIL	DEPT	AMOUNT (£)	PROJECTION OF TOTAL SAVED DURING 2015/16 (£)	PROJECTION OF TOTAL NOT SAVED DURING 2015/16 (£)	ACTION TAKEN	COMMENTS
MA 1	Implement new model for secretarial support	CS	70,000	70,000	-	Budget reduced, department will work toward revised budget	Anticipate savings will be achieved by end of year
MA 5	Review of Community Engagement budgets in Corporate & Community Planning	CS	47,392	47,392	-	Budget reduced, department will work toward revised budget	Anticipate savings will be achieved by end of year
MA 7	Cashless Organisations - developing a Cashless by Default initiative, developing & extending online transactions and stopping all cash payments except through One Stop Shops	CS	13,865	8,365	5,500	Unlikely to be achieved due to current requirement for cash uplifts	Anticipate savings will not be fully achieved
MA 8	Consider current advertising policy - consider selling of space & any alternatives to the Council's adverts (including vacancy adverts outwith myjobscotland)	CS	42,000	42,000	-	Budget reduced, department will work toward revised budget	Anticipate savings will be achieved by end of year
MA 9	Rationalise training spend	CS	43,760	43,760	-	Budget reduced, department will work toward revised budget	Anticipate savings will be achieved by end of year
MA 11	New workforce models within Corporate Services through removal of vacant posts, more efficient working practices	CS	401,299	401,299	-	Budget reduced, department will work toward revised budget	Anticipate savings will be achieved by end of year
MA 12	Working 4 U - maximise funding from European Programme	CS	73,833	73,833	-	Budget reduced, department will work toward revised budget	Anticipate savings will be achieved by end of year
MA 13	10% reduction in postage as a result of installation of risk verification software	CS	5,000	5,000	-	Budget reduced, department will work toward revised budget	Anticipate savings will be achieved by end of year
MA 14	Reduction in legal publication budget	CS	1,500	1,500	-	Budget reduced, department will work toward revised budget	Anticipate savings will be achieved by end of year
MA 15	Council Tax magazine to be replaced by a short leaflet with 'how Council tax is spent' info and pointing people to the website for all other things.	CS	5,000	5,000	-	Budget reduced, department will work toward revised budget	Anticipate savings will be achieved by end of year
MA 16	Remove budget for one issue of Talk per year.	CS	950	950	-	Budget reduced, department will work toward revised budget	Anticipate savings will be achieved by end of year
MA 17	Remove provision for Transport, Services and Supplies and Subsistence.	CS	622	622	-	Budget reduced, department will work toward revised budget	Anticipate savings will be achieved by end of year
MA 18	Organisation and Development: reduction in training/equipment	CS	4,700	4,700	-	Budget reduced, department will work toward revised budget	Anticipate savings will be achieved by end of year
MA 19	Organisation Development: reduction in catering	CS	2,000	2,000	-	Budget reduced, department will work toward revised budget	Anticipate savings will be achieved by end of year
MA 20	Reduction in printing costs	CS	15,000	15,000	-	Budget reduced, department will work toward revised budget	Anticipate savings will be achieved by end of year
SO 30	sales fees charges review - other	CS	10,000	10,000	-	Currently it is anticipated that this saving will be achieved	Anticipate savings will be achieved
MA 2	Service Rationalisation: Corporate & Community Planning; Advice Services; CLD; Performance and Policy; Anti-Social Behaviour; and potentially others	CS/HEED	308,000	308,000	-	Budget reduced, department will work toward revised budget	Anticipate savings will be achieved
			1,044,921	1,039,421	5,500		

WEST DUNBARTONSHIRE COUNCIL
GENERAL SERVICES CAPITAL PROGRAMME
OVERALL PROGRAMME SUMMARY

APPENDIX 6

MONTH END DATE 30 June 2015

PERIOD 3

Project Status Analysis	Project Life Status Analysis				Current Year Project Status Analysis			
	Number of Projects at RAG Status	% Projects at RAG Status	Spend to Date £000	% Project Spend at RAG Status	Number of Projects at RAG Status	% Projects at RAG Status	Spend to Date £000	% Project Spend at RAG Status
Red Projects are forecast to be overspent and/or experience material delay to completion	0	0%	0	0%	0	0%	0	0%
Amber Projects are either at risk of being overspent and/or delay in completion (although this is unquantifiable at present) or the project has any issues that require to be reported at this time	0	0%	0	0%	0	0%	0	0%
Green Projects are on target both in relation to overall budget and the forecast stages in the project life cycle and no issues are anticipated at this time	12	100%	6,055	100%	12	100%	475	100%
TOTAL EXPENDITURE	12	100%	6,055	100%	12	100%	475	100%

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	Re-Phasing £000	Over/ (Under) £000
Red Projects are forecast to be overspent and/or significant delay to completion	0	0	0	0	0	0	0	0	0	0
Amber Projects are either at risk of being overspent and/or delay in completion (although this is unquantifiable at present) or the project has any issues that require to be reported at this time	0	0	0	0	0	0	0	0	0	0
Green Projects are on target both in relation to overall budget and the forecast stages in the project life cycle and no issues are anticipated at this time	7,908	6,055	7,908	0	1,968	475	1,968	0	0	0
TOTAL EXPENDITURE	7,908	6,055	7,908	0	1,968	475	1,968	0	0	0

WEST DUNBARTONSHIRE COUNCIL
Report by the Executive Director of Corporate Services
Corporate Services: 12 August 2015

Subject: Council Tax on Long Term Empty Properties: Potential for backdating discretions and potential financial implications

1. Purpose

- 1.1** The purpose of this report is to provide Committee with information on the potential financial implications of implementing a backdated new discretion on Long Term Empty Properties which was agreed at Council on 24 June 2015.

2. Recommendations

- 2.1** It is recommended that Committee:
- i) notes the issues identified around the potential to backdate the recently agreed discretions;
 - ii) agrees that the discretions recently agreed at Council on 24 June are not backdated.

3. Background

- 3.1** The policy for dealing with Council Tax on Long Term Empty Properties (as agreed by Council on 6 February 2014) was implemented on 1 April 2014. The aim of the reduced discount and additional charge being to encourage owners of empty homes to bring them back into use.
- 3.2** On 24 June 2015 Council approved changes to the treatment of Council Tax for relevant empty properties from 1 July 2015 as enabled by the Local Government Finance (Unoccupied Properties, etc.) (Scotland) Act 2012 and related legislation.
- 3.3** The main changes approved were:
- i) Introduce a discretionary element for a maximum of 3 months for new owners that have purchased a property and where the property has exhausted all previous exemptions and discounts. This option provides a safeguard for new owners who have purchased empty properties that require work to be completed, that is not structural or major, to bring the property up to a suitable standard for habitation.

A further discretionary period of up to 9 months will be considered to bring the property back into use if the owner has agreed with the Council to:

- (a) take positive steps to occupy their property and
- (b) agree to an 8 weekly inspection to review progress.

Thereafter no further discretion will be applied.

- ii) Introduce a discretionary element for a maximum of 3 months for owners that have existing empty properties that require work to be completed, that is not structural or major, to bring the property up to a suitable standard for sale or rent and where the property has exhausted all previous exemptions and discounts.

This discretion will be considered where the owner has agreed with the Council to:

- (a) take positive steps to refurbish their property and
- (b) agree to an 8 weekly inspection to review progress.

- iii) Introduce a discretionary element for a maximum of 3 months for owners that have existing empty properties that require work to be completed, that is not structural or major, to bring the property up to a suitable standard for sale or rent and where the property has exhausted all previous exemptions and discounts.

This discretion will be considered only where there is clear evidence of a delay out with the owner's control, caused by hired companies or professional bodies (including where Council processes have held up building work) and the owner has agreed with the Council to:

- (a) take positive steps to refurbish their property and
- (b) agree to an 8 weekly inspection to review progress.

- 3.4** Council also agreed a motion requesting officers to bring a report to August Corporate Services Committee to allow Councillors to consider the financial implications of the potential to backdate the policy changes to April 2014.

4. Main Issues

- 4.1** The main issue to be considered is whether logically is it possible to implement a backdating of the new discretions. All 3 options for discretion which were agreed at Council in June have a condition attached that obligate the owner to:

- (a) take positive steps to refurbish their property; and
- (b) agree to an 8 weekly inspection to review progress.

There was no monitoring regime in place from April 2014 to 1 July 2015 to ensure that positive steps were being taken to refurbish a property and no 8 weekly monitoring regime in place. It is therefore considered that it is not logically possible to implement such a retrospective change for these elements of the discretion which require conditions and inspections – as this process has not been in place.

- 4.2** The only part of discretion that didn't require owners to comply with conditions that did not exist in April 2014 is that detailed in Para 3.1 which allows an additional 3 months for new owners that have purchased a property and where the property has exhausted all previous exemptions and discounts. This option provides a safeguard for new owners who have purchased empty properties that require work to be completed, that is not structural or major, to bring the property up to a suitable standard for habitation. However there are no records held to establish who may have been entitled to this discretion.
- 4.3** If Committee felt that it was appropriate to seek to apply this discretion retrospectively then there would be two options to attempt to do so:
- 1) Officers make contact to all people that have been affected by this charge to check their circumstances and request further information if details not available; or
 - 2) The change in discretion is publicised and those who wish to apply for the discretion to be applied require to make contact with the Council.

Of these two options the least time-intensive option for officer time is option 2.

5. People Implications

- 5.1** There are no people implications, other than if Committee agreed to retrospectively apply these discretions then a significant amount of officer time would be required to undertake work to identify potential qualifying owners, obtain evidence and to process the changes. This would remove these officers from current ongoing workloads.

6. Financial Implications

- 6.1** In the report to Council on 6 February 2014 it was anticipated that £308,000 per annum from 2014/15 would be generated. A total of £328,637 has been billed, with £264,259 paid to June 2015.
- 6.2** It was reported, to June 2015 Council, that the agreed introduction of discretion option (i) would reduce income to the Council by £20,000 per year. If this discretion was to be backdated to be effective from April 2014 it would cover a 3 month period for any qualifying owners and therefore it is estimated that the potential loss of income may be £5,000. If the conditions linked to option (i) were not in place then it is estimated that the full impact of a further 9 months discretion would be a further £15,000.
- 6.3** It was reported, to June 2015 Council, that the agreed introduction of discretion option (ii) would reduce income to the Council by £5,000 per year. If the conditions linked to option (ii) were not in place then it is estimated that the full impact of this discretion would be £1,250.
- 6.4** It was reported, to June 2015 Council, that the agreed introduction of discretion option (iii) would reduce income to the Council by £5,000 per

year. If the conditions linked to option (iii) were not in place then it is estimated that the full impact of this discretion would be £1,250.

- 6.5 The Council's ability to deliver services which meet the needs of its citizens and current financial constraints experienced by the Council depends heavily on the success in collecting revenues. This policy reinforces the importance of revenue collection.
- 6.6 Based on the recommendations there are no financial implications. If Committee were to agree to backdate then the anticipated cost of such a backdate would require to be funded.

7. Risk Analysis

- 7.1 There is a risk that backdating the policy has the potential to create inconsistency in the treatment of individual cases as we do not hold records that would allow cases to be reconsidered. As a result the recommendation is not to implement discretion back to April 2014 but to apply discretion to cases moving forward from 1 July 2015.

8. Equalities Impact Assessment (EIA)

- 8.1 There is no requirement to carry out EIA screening.

9. Consultation

- 9.1 Legal Services have been consulted in relation to this report and have advised no issues with the content of the report.

10. Strategic Assessment

- 10.1 This policy contributes to the Council's strategic priorities and in particular towards improving local housing and environmentally sustainable infrastructure.

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Angela Wilson
Executive Director of Corporate Services
Date: 2 August 2015

Person to contact: Marion Smith, Section Head (Revenues & Benefits)
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Background Papers: Report to Council 6 February 2014: *Council Tax on Long Term Empty Properties*

Report to Council 24 June 2015: *Review of Council Tax on Long Term Empty Properties*

Scottish Government supplementary guidance on Local Authority discretion to reduce council tax discount on second and long term unoccupied homes and apply an increase to long term unoccupied homes

Wards affected: All Council wards

WEST DUNBARTONSHIRE COUNCIL**Report by the Executive Director of Corporate Services****Corporate Services Committee: 12th August 2015**

Subject: Cessation of publication of Food Hygiene and Food Standards Inspection Reports on the West Dunbartonshire Council website

1. Purpose

- 1.1 To seek approval to cease publication on the Councils website of Food Safety and Food Standards Inspection Reports issued by the Environmental Health Section

2. Recommendations

- 2.1. It is recommended that Committee approve the cessation, with immediate effect, of the publication on the Councils website of Food Safety and Food Standards Inspection Reports.

3. Background

- 3.1 On 2 November 2005, the Community Safety and Environmental Services Committee approved the publication on the Councils website of Food Safety and Food Standards Inspection Reports issued by the Environmental Health Section. Relevant inspections reports have been published since that date displaying the findings of full inspections but not subsequent revisits, changes or improvements.
- 3.2 In 2010 the Councils Environmental Health Section adopted the Food Hygiene Information Scheme (FHIS) following approval by the Corporate and Efficient Governance Committee on 24 June 2009. The Scheme is now operated by all 32 Local Authorities in Scotland and administered by the Food Standards Agency in Scotland (FSAS). Outcomes of inspections are either 'PASS' or 'IMPROVEMENT REQUIRED' and are accessible on the Councils website, FSAS website and via a smartphone App worldwide.

4. Main Issues

- 4.1 The publication on the Councils website of Food Safety and Food Standards Inspection Reports issued by the Environmental Health Section pre-dates the implementation of FHIS.
- 4.2 Food Safety and Food Standards Inspection Reports on the Councils website show the conditions found at primary full inspection and stay on until replaced by the next full inspection. Revisits for non-compliant food businesses are routinely carried out after the primary full inspection and standards change

and improve. The published inspection report therefore becomes outdated and shows conditions which may no longer exist.

- 4.3 The FHIS ratings are uploaded within 7 days to the website hosted by the FSAS. Food businesses rated 'IMPROVEMENT REQUIRED' are revisited and most achieve a PASS standard. The new rating is then uploaded within 7 days to the website hosted by the FSAS. The current FHIS 'PASS' standard in the Council area varies at around 95%.
- 4.3 The publication of inspection reports on the Councils website which remain there until the next inspection gives a historical view of food businesses in West Dunbartonshire and takes no account of the effort of food businesses and the enforcement work of Environmental Health to bring food businesses up to a compliant standard. This historical view often conflicts with the current FHIS rating which is updated at least once in every 7 day period, is nationally recognised and provides West Dunbartonshire residents and visitors with the most up to date rating of food businesses in West Dunbartonshire.
- 4.4 The Environmental Health Section was audited by the FSAS in August 2014 and is a top performing Food Authority credited with service leading good practice.

5. People Implications

- 5.1 There are no people implications

6. Financial Implications

- 6.1 There are no financial implications.

7. Risk Analysis

- 7.1 The Council has a general duty to ensure the information it supplies to the public is accurate and up to date as far as is reasonably practicable.

8. Equalities Impact Assessment (EIA)

- 8.1 An Equality Impact Screening was undertaken, which noted no relevance to any protected group or characteristic defined by the Equality Act and public sector equality duty. An Equality Impact Assessment is therefore not required or justified.

9. Consultation

- 9.1 There are no consultation implications or requirements.

10. Strategic Assessment

- 10.1** The provision of a high level Environmental Health food safety and food standards inspection system and the provision of up to date information on the current state of compliance of food businesses in West Dunbartonshire supports the Councils strategic priority of improving the well-being of communities and protecting the welfare of vulnerable people through fit- for-purpose estate and facilities.

Electronic Signature

Angela Wilson
Executive Director of Corporate Services

Date: 23 June 2015

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Appendices: None

Background Papers: Community Safety and Environmental Services
Committee 2 November 2005 – Electronic Publication of
Food Hygiene and Food Standards Inspection Reports.

Corporate and Efficient Governance Committee: 24 June
2009- Scottish Food Hygiene Information Scheme.

Food Standards Agency in Scotland.
Report on the Core Audit of Local Authority Official
Controls in relation to Regulation (EC) No 852/2004 on
the Hygiene of Foodstuffs in Food Business
Establishments and the application of the Food Hygiene
Information Scheme. West Dunbartonshire Council 12-
14 August 2014.

Equalities Impact Assessment Screening.

Wards Affected: All

WEST DUNBARTONSHIRE COUNCIL**Report by Executive Director of Corporate Services****Corporate Services Committee: 12th August 2015**

Subject: Elected Member Development**1. Purpose**

- 1.1** To update the Committee on Elected Member development undertaken through the annual seminar programme and Personal Development Planning (PDP).

2. Recommendations

- 2.1** The Committee is asked to note the content of the report, the summary at Appendix A of member participation across the 2014/15 programme, and the proposed programme for 2015/16 outlined at Appendix B.

3. Background

- 3.1** The annual Elected Member Seminar programme provides the dual benefit of supporting positive engagement with members on a broad range of topical issues, which help shape the Council's future plans, and enable a collaborative learning forum which supports member's personal development requirements.
- 3.2** At an individual level, members are also encouraged to participate in personal development planning (PDP) through the CPD framework. This facilitates a self-assessment and optional 360 degree feedback process to help identify personal strengths and development areas.

4. Main Issues

- 4.1** Appendix A provides a summary of the content and participation across the 2014/15 programme. Member attendance has increased and feedback across the programme continues to be positive. As part of developing the 2015/16 programme, an evaluation survey was issued to members inviting feedback on the overall format, suggestions for improvement, and ideas for future session topics which would support members in their role and personal development.
- 4.2** Similarly each departmental management team has proposed key topics and subject areas which will be critical for member engagement and inclusion within the new programme. A draft programme for 2015/16 is illustrated at Appendix B.

4.3 Participation in personal development planning (PDP) has significantly improved and over 60% of members now have a PDP in place. This has enabled personal development options which support individual requirements including 1-2-1 coaching support, technical training aligned to roll-out of new ICT technology, and bespoke training to include within the seminar programme.

4.4 An annual review of member's PDPs will be undertaken in January 2016.

5. People Implications

5.1 The Council's 'Be the Best' strategy promotes our ambition and leadership commitment to ensuring that all employees continuously develop and have a PDP in place. Member commitment to participating in PDP sets a positive leadership example on the value and importance of PDP for everyone.

6. Financial Implications

6.1 There are no financial implications with this report.

7. Risk Analysis

7.1 A lack of engagement and involvement in personal development opportunities will impact member's ability to keep their knowledge and skills updated particularly in relation to national developments and challenges which are likely to influence and affect the Council's future plans.

8. Equalities Impact Assessment (EIA)

8.1 An equalities impact assessment is not required as part of this report.

9. Consultation

9.1 Elected Members were consulted in June through a short survey to gain feedback on improvement areas and suggestions for future seminar topics.

9.2 Departmental management teams have been consulted for suggestions on themes for inclusion within the 2015/16 programme.

10. Strategic Assessment

10.1 This report does not have a direct impact on the Council's strategic priorities however personal development is essential to ensure members have the required skills and knowledge to underpin their role in maintaining the Council's strategic direction.

Angela Wilson
Executive Director of Corporate Services
Date: 28th June 2015

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Appendices:	Appendix A: 2014/15 Seminar programme participation Appendix B: Draft 2015/16 programme (<i>to follow</i>)
Background papers:	None
Wards Affected:	None

**APPENDIX A: ELECTED MEMBER SEMINAR PROGRAMME 2014/15
SUMMARY OF ATTENDANCE**

	SEMINAR	ATTENDANCE
August		
20/08/14	Procurement Strategy	7
September		
24/09/14	Audit Scotland @How Council's Work' series	8
October		
01/10/14	Housing Allocations and Voids	8
08/10/14	Senior Phase Developments	7
November		
05/11/14	Education Working for All	11
January		
07/01/15	Free School Meals	10
14/01/15	Pension Reform	8
21/01/15	Housing Capital Programme 2015/20	9
28/01/15	Children's Services Inspection; Corporate Parenting	8
February		
11/02/15	equalities Training workshop	8
18/02/14	Revised Improvement Framework	8
25/02/15	Overview of the Investment Programme	10
March		
11/03/15	Improving the Life Chances and Outcomes for Children and Young People	8
18/03/15	How Libraries Support Wellbeing	7
25/03/15	ICT Modernisation	11
April		
01/04/15	Early Years Collaborative	4
15/04/15	ORP: New Dumbarton Office update	9
May		
13/05/15	Heritage Lottery Fund: Bids for Levensgrove	10
20/05/15	Neighbourhood Management	4
20/05/15	Promoting West Dunbartonshire Heritage	5
27/05/15	Workforce Planning and Development	12
June		
03/06/15	City Deal	10
TOTAL	22 seminars	Average 8 (FTE)

WEST DUNBARTONSHIRE COUNCIL

Report by Executive Director of Corporate Services

Corporate Services Committee: 12 August 2015

Subject: Attendance Management: Quarter 1 - 2015/16

1. Purpose

- 1.1** The purpose of this report is to advise Committee on attendance within Corporate Services and provide a summary of the quarter 1 absence statistics.

2. Recommendations

- 2.1** It is recommended that the Committee note the content of the report and the attendance results for the year, namely a significant decrease of 487 FTE days lost (40%) compared to the same period last year.

3. Background

- 3.1** Improving attendance at work is a key strategic priority for the Council requiring commitment from elected members, Corporate Management Team, Trade Unions, individual managers and employees.
- 3.2** The Council has made a commitment to improving attendance levels by setting ambitious targets of reducing days lost for Local Government Employees to 7 FTE days lost by 2017.
- 3.3** The 2015/16 target for Corporate Services (Local Government Employees) has been set at 8 FTE days lost.

4. Main Issues

Quarter 1 Performance

- 4.1** Appendix 1 shows quarter 1 absence data for Corporate Services. Absence was reported as 1.31 days lost per employee which represents a 40% reduction compared to quarter 1 last year. Chart 1 below shows the monthly trend for the last six months (January – June 2015) and compares with the same period last year. The results show that there was a consistent improvement for the last six months and in fact improvement compared to the same period last year has been reported for eight consecutive months. In particular, June 2015 reported the lowest monthly absence (0.37 FTE) for at least five years.

Chart 1 – Absence Trend

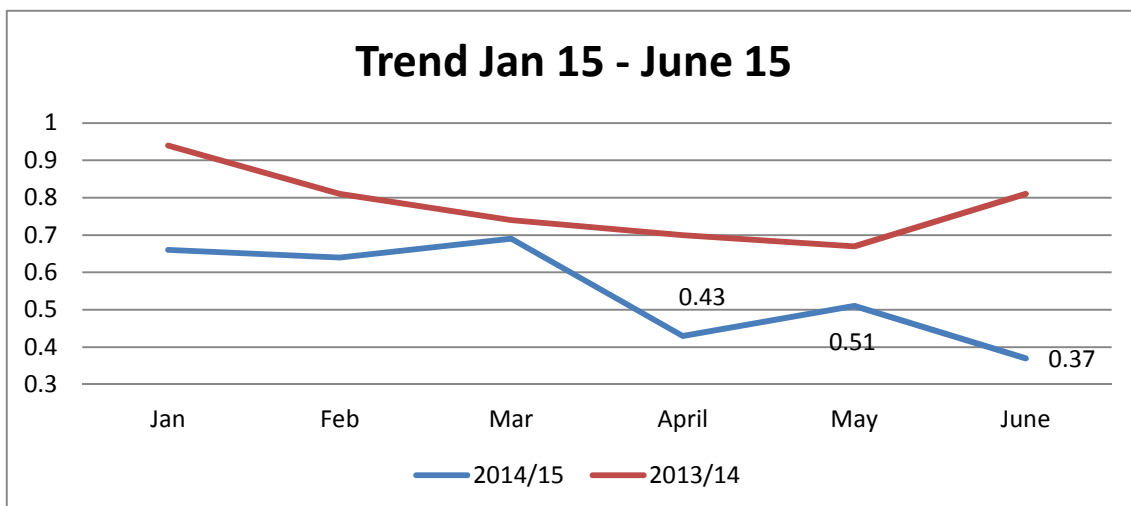


Table 1 shows the service breakdown across Corporate Services. With the exception of Customer and Community Services, all service areas reported a significantly improved performance compared to last year and against the departmental average.

Table 1 – Service Breakdown Quarter 1 (2015/16)

Service Area	Days LostFTE
CE/CS Management & Admin	0
Corporate Communications	0.23
Customer & Community Services	3.16
Finance & Resources	1.21
Legal, Democratic and Regulatory Services	0.4
People & Transformation	0.41
Average	1.31

Year End Projection

- 4.2** After quarter 1 the projected year end result is 5.24 FTE days lost. However, this does not take into account the winter months where absence traditionally rises. However taking into account the seasonal adjustment, the FTE days lost figure is projected to be 7.81 days lost which, if achieved, would exceed the Council’s target for this year.

Absence Duration

- 4.3** Across Corporate Services, long term absence (over 4 weeks) is the predominant duration with 52% of days lost in this category. This is a shift from quarter 1 last year (56%) suggesting that actions taken to address long term absence continue to take effect.

Absence Reasons

- 4.4** In quarter 1, the most common reasons for absence were Minor Illness (27%) Acute Medical Conditions (23%) and Recurring Medical Conditions (16%). The profile for Corporate Services has shifted. Traditionally Acute and Recurring Medical Conditions accounted for the highest number of days lost, but this has been replaced by Minor Illness. Given the significant overall reduction in absence in the quarter, this shows that long term absences are being addressed early to positive effect, resulting in earlier return to work.

Corporate Services Actions

- 4.5** Despite significant improvements in the latter half of last year, Corporate Services narrowly missed the Council target of 9FTE days lost. Within quarter 1 the department are building upon and maintaining the same rate of improvement. In addition to the continued focus and commitment of senior managers, line managers and employees to take joint ownership of attendance at work, actions from the Corporate Services action plan (previously reported to this committee) are being progressed, with the next action being an audit of absence cases in quarter one which is due to commence in August 15.

Attendance Working Group

- 4.6** The Attendance Working Group continues to meet on a monthly basis with the most recent meeting taking place on 28 July 2015. The Group recognises that novel and potentially contentious initiatives may be required to bring about a reduction in days lost due to sickness absence across the whole Council, and continue to either implement or to consider the following:

- Occupational Health review following award of new tender (August 15)
- Improved communication of absence performance to employees
- Implementation of the Council's new Attendance Management Policy
- Introduction of an Employee Wellbeing Charter
- Development of a Wellbeing @ Work task force
- Absence Master Class programme for managers
- Implementation of departmental Absence Action Plans
- Review of initiatives introduced in 2014/15
- Review of operational issues relating to the Smoking Policy including exploration of alternate smoking location.

5. People Implications

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

6. Financial Implications

- 6.1** Significant absence levels impact on the Council in terms of cost, service delivery and motivation. In quarter 1, Corporate Services lost a total of 682FTE working days of productivity to sickness absence which is a decrease of 40% compared to last year. Based upon the nominal daily cost of a day's absence (£118.00), it is estimated that the cost of absence for the quarter was £80,476. This figure does not take into account the indirect costs of absence such as overtime, loss of productivity, reduced team performance.

7. Risk Analysis

- 7.1** Compared with quarter 1 last absence, there has been a significant improvement in absence performance, however, there is still a risk that if the focus and attention by all stakeholders is not maintained, absence rates could rise making it difficult to achieve the Council's target of 8 FTE days. This would contribute adversely to the Council's overall performance.

8. Equalities Impact Assessment (EIA)

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

9. Consultation

- 9.1** Consultation is on-going with Trade unions through the Attendance Working Group, ELG, JCF and Corporate Services JCC to identify and address attendance issues.

10. Strategic Assessment

- 10.1** Effective attendance management will support the Council's aim to make best use of both financial and human resources resulting in a positive impact upon service provision.

Angela Wilson
Executive Director of Corporate Services
Date: 3 July 2015

Person to Contact: Vicki Rogers, Head of People & Transformation,
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Appendices: Appendix 1 – Quarter 1- Corporate Services Attendance

Background Papers: None

Wards Affected: None



WDC Absence Statistics

Department: Corporate Services

Period: Quarter 1 2015/16

TABLE 1 - Headline Figure	Quarter 1 2015/16	1.31	Quarter 1 2014/15	2.18	Year on Year +/-	-39.8%
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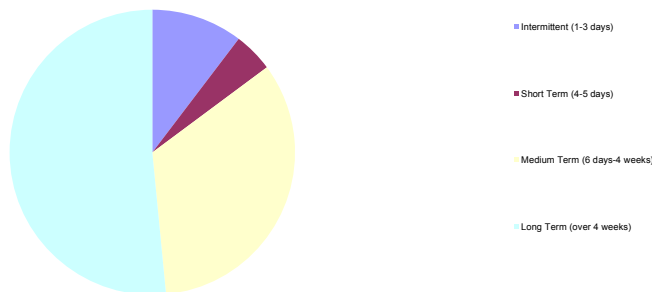
TABLE 2 - Days Lost per Employee

Service	FTE Employees	ACTUAL WORKING DAYS LOST				Total Working Days Lost	Total FTE Days Lost	Total FTE Days Lost by FTE Employees
		Intermittent 1-3 days	Short Term 4-5 days	Medium Term 6 days - 4 weeks	Long Term over 4 weeks			
CE/CS Management & Administration	2.00	0	0	0	0	0	0.00	0.00
Corporate Communications	6.99	2	0	0	0	2	1.64	0.23
Customer & Community Services	118.78	22	12	150	292	476	375.53	3.16
Finance & Resources	180.03	44	27	119	81	271	218.73	1.21
Legal, Democratic & Regulatory Services	111.77	16.5	0	22	15	53.5	45.03	0.40
People & Transformation	100.08	5	0	0	58	63	40.80	0.41
Corporate Services TOTAL	519.65	89.5	39	291	446	865.5	681.73	1.31

TABLE 3 - Breakdown of Days Lost by Duration Category

Duration	Total Working Days Lost	Percentage of Lost Days
Intermittent (1-3 days)	89.5	10.34%
Short Term (4-5 days)	39.0	4.51%
Medium Term (6 days-4 weeks)	291.0	33.62%
Long Term (over 4 weeks)	446.0	51.53%
TOTAL	865.5	100.00%

Working Days Lost



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

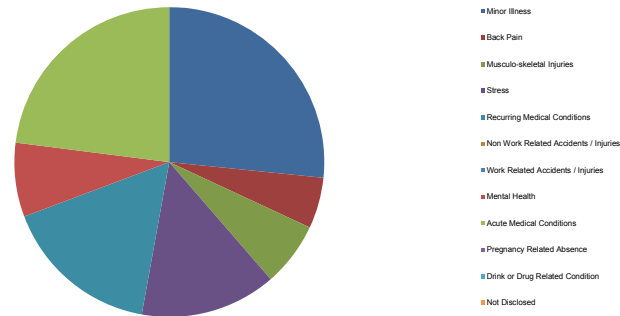
TABLE 4 - Absence Reasons

Service	FTE Employees	Absence Reasons												Total Working Days Lost	FTE Days Lost	Total FTE Days Lost by FTE Employees		
		Minor Illness	Back Pain	Musculo-skeletal Injuries	Stress	Recurring Medical Conditions	Non Work Related Accident / Injuries	Work Related Accidents / Injuries	Mental Health	Acute Medical Conditions	Pregnancy Related Absence	Drink or Drug Related Condition	Not Disclosed					
CE/CS Management & Administration	2.00	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0.00	0.00
Corporate Communications	6.99	2	0	0	0	0	0	0	0	0	0	0	0	0	0	2	1.64	0.23
Customer & Community Services	118.78	73	44	49	76	63	0	0	41	130	0	0	0	0	0	476	375.53	3.16
Finance & Resources	180.03	115	21	11	46	74	0	0	11	32	0	0	0	0	0	271.0	218.73	1.21
Legal, Democratic & Regulatory Services	111.77	14.5	0	8	11	5	0	0	25	0	0	0	0	0	0	53.5	45.03	0.40
People & Transformation	100.08	26	0	0	0	0	0	0	0	37	0	0	0	0	0	63.0	40.80	0.41
Corporate Services TOTAL	519.65	230.5	46	58	123	142	0	0	67	199	0	0	0	0	0	865.5	681.73	1.31

TABLE 5 - Days Lost by Absence Category

Absence Reason	Total Working Days Lost	Percentage of Lost Days
Minor Illness	230.5	26.63%
Back Pain	46.0	5.31%
Musculo-skeletal Injuries	58.0	6.70%
Stress	123.0	14.21%
Recurring Medical Conditions	142.0	16.41%
Non Work Related Accidents / Injuries	0.0	0.00%
Work Related Accidents / Injuries	0.0	0.00%
Mental Health	67.0	7.74%
Acute Medical Conditions	199.0	22.99%
Pregnancy Related Absence	0.0	0.00%
Drink or Drug Related Condition	0.0	0.00%
Not Disclosed	0.0	0.00%
TOTAL	865.5	100.00%

Working Days Lost



WEST DUNBARTONSHIRE COUNCIL**Report by Head of People & Transformation****Corporate Services Committee: 12 August 2015**

Subject: Attendance Management Policy Revisions**1. Purpose**

- 1.1 To update the Corporate Services Committee on proposed revisions to the Attendance Management Policy following discussions with Trade Unions.

2. Recommendations

- 2.1 The Corporate Services Committee is asked to;
- 1) Note the contents of the report
 - 2) Approve the changes to the Attendance Management Policy

3. Background

- 3.1 In 2014/15 the Council lost a total of 57,211 FTE working days of productivity as a result of sickness absence. Based upon Finance estimates of the cost of a days' absence (£118), it is estimated that the associated cost of absence was £6.75m. In 2103/14 West Dunbartonshire Council recorded the worst attendance levels of any Scottish Local Authority.
- 3.2 In 2014/15 on average each employee of the Council was absent for **12.81** days.
- 3.3 The current levels of attendance directly impact on the Council's ability to effectively deliver services and places additional pressure on the whole workforce.
- 3.4 Council has committed to reduce absence amongst its workforce to 8 FTE days for local Government Employees and 5 FTE days for teachers by 31 March 2016. Through the Attendance Working Group Trade Unions have acknowledged that the current levels of absence cannot be sustained and have committed to work with the Council to reduce absence levels.
- 3.5 A full range of supports and interventions have been agreed and introduced over the last two years to assist employee attend and remain at work. The Council has been recognised for its proactive work to support employees in a number of key areas such as the introduction of a Carer's Leave Scheme and Tailored Adjustment Agreements.
- 3.6 While some improvement has been made in individual service areas the current approach and policy has not achieved the necessary change in

behavior amongst employees. Current levels of attendance are unsustainable and immediate intervention is required to achieve the levels of attendance that the Council has set for its workforce.

4. Main Issues

- 4.1** West Dunbartonshire Council has a much higher absence level than all Scottish Local authorities and other major employers in the area such as NHS and MOD. Trade Unions have committed to work in partnership to reduce absence levels within the Council as part of the Attendance Working Group and fully understand the urgent requirement to reduce absence levels within the Authority and the impact on employees.
- 4.2** A full review has been undertaken in relation to all aspects of the current Attendance Management Policy, examining its use, application and effectiveness in managing attendance. The review also incorporated the views, discussions and strategies to improve attendance developed through the AWG particularly in relation to changing behaviours to attendance amongst employees and managers.
- 4.3** Changes have been proposed in a number of key areas of the policy and have been fully discussed with Trade Unions over recent months. Through these discussions some alternative proposals made by Trade Unions have been incorporated. Overall the proposals aim to simplify the current absence procedures and change behaviours and attitudes to attendance, particularly amongst those employees where levels of attendance fall below those agreed and expected by Council. The revisions to the policy also promote earlier intervention in the management of long term absence cases and importantly the revised policy changes the emphasis in managing attendance to develop a culture that explores what supports and interventions can be put in place to reduce the requirement to stay off work and keep employees at work. Reduced workloads/lighter duties, changes to working patterns, home/ flexible working will continue to be explored with employees to facilitate attendance at work and prevent absences. Details of key changes are detailed below

Key Changes to Policy

- 4.4.1** The proposed policy will reduce the stages in relation to the management of short term and intermittent absences from 5 stages to 4, removing the informal stage of the policy. This reflects current best practice in many local authorities and large public sector organisations where effective policies have 3 or 4 stages. This change also supports our approach of ensuring that policies are straightforward and easy for employees to understand.
- 4.4.2** Appeal stages will be introduced at all stage of the proposed policy.
- 4.4.3** The triggers within the new policy in relation to short term and intermittent absence have been amended from the current 12 days per year to reflect the Council absence target of 8 FTE days per employee. The triggers also reflect current practice in other large employers in the area e.g. NHS and MOD and

other Scottish Local Authorities. Revised triggers will be 8 days absence per rolling 12 month period or 4 occasions of absence in a rolling 12 month period.

- 4.4.4** Absences related to Stress account for a large number of employee absences. The AWG agreed that meetings in relation to stress related absences should normally take place within two weeks to enable a stress risk assessment to be undertaken and that further interventions such as OH referral or counseling to be initiated to support employees.
- 4.4.5** Case Conferences in relation to long term absences will take place with a senior manager, employee and TU in attendance within 13 weeks to determine actions, set review periods and consider possible outcomes. This will allow a more focused and supportive approach to be taken in relation to long term absences.
- 4.4.6** As part of the new policy regular contact between managers and employees during absence will be made. This will allow more focused discussions to take place on what supports, assistance and arrangements can be put in place to enable employees to attend work changing the behaviours of employees and managers towards absence.
- 4.4.7** The ability to apply discretion in exceptional circumstances will still be available to relation to attendance issues. However, to ensure consistency of approach within department's agreement will also be required from Head of Service.
- 4.4.8** The revised Attendance Management is attached as Appendix 1.
- 4.5** Implementation of the changes to the Attendance Management Policy will be fully communicated to employees, managers and trade unions. Appropriate training and guidance will also be developed to support implementation and transition from current policy.

5. People Implications

- 5.1** Failure to adequately address high levels of sickness absence will continue to have an adverse effect upon those employees still at work who often shoulder the burden of additional workload. Absence also has an adverse effect upon staff morale which can lead to a reduction in productivity and performance. The actions outlined in the report will ensure that a more focused approach to attendance is developed that will change behaviour in relation to attendance and will provide the necessary supports to enable employees to remain at work.
- 5.2** Transition arrangements will be fully discussed with Trades Unions and communicated with employees. The Organisational Development Team will support departments implementing the new arrangements and provide appropriate training interventions for managers and employees.

6. Financial Implications

- 6.1** Based upon Finance estimates of the cost of a days' absence (£118), it is estimated that the associated cost of absence in 2014/15 was £6.75m. These figures do not take into account the indirect costs of absence such as overtime, agency workers, loss of productivity, reduced team performance. Estimated costs associated with absence directly impact on existing departmental.

7. Risk Analysis

- 7.1** In light of the seriousness of the current absence levels and the direct impact on the Councils continuing ability to deliver services it is essential that the proposed changes are implemented as a matter of urgency. Failure to agree changes at this time will delay any proposed implementation to the end of the year which will limit the potential of achieving a change to the current upwards absence trend within the current year.

8. Equalities Impact Assessment (EIA)

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

9. Consultation

- 9.1** Discussions with all Trade Unions and notification of proposed changes to the Attendance Management Policy have been on-going since January 2015 as detailed below;

- January 2015 – Potential changes to policy discussed at AWG
- February 2015 – Further discussion on revisions to policy at AWG
- March 2015 – Draft policy issued to TU's and discussed at length with TU's at and AWG. Revised draft policy issued to TU's (with feedback from AWG incorporated)
- May 2015 – Draft policy discussed in detail at AWG. Summary of discussions/amendment sent to TU's following meeting for discussion at branch meetings and ELG
- JCF 11 June 2015
- AWG 12 June 2015
- Final draft issued 16th June 2015 incorporating changes agreed at AWG.

- 9.2** Following the final discussion on 16th June, the revised policy incorporating all changes agreed at AWG was put forward to the respective branches with a recommendation for acceptance. The final Trades Union position is that they agree to accept the revised Policy as the best achievable in the circumstances and through negotiation.

10. Strategic Assessment

- 10.1** This report directly supports the Council's Strategic priority of developing and retaining a committed and dynamic workforce. Effective absence management will support the Council's aim to make best use of both financial and human resources resulting in a positive impact upon service provision.

Vicki Rogers
Head of People & Transformation
Date: 25 July 2015

Person to Contact: Paul McGowan, HR & Workforce Development Manager,
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Appendices: Appendix 1 – Attendance Management Policy

Background Papers: None

Wards Affected: None

HR Employment Policy and Procedures

DRAFT
Attendance Management
Policy and Procedure

Quick Reference - Associated Documents and Version Control

Title	Attendance Management Policy and Procedure
Version	
Responsible	HR & Workforce Development Manager
Committee approval date:	
Date reported to JCF:	11 June 2015
Consultation with trades unions:	Attendance Working Group – 24/03/2015, 07/05/2015, 12/06/2015 Employee Liaison Group – 12/05/2015; 16/6/2015
Supersedes Version	This policy supersedes the Attendance Management Policy dated February 2014
Driver for change	Requirement to improve service delivery and attendance at work.
Legislative Context	
Date for Review	The Policy will be updated to incorporate any relevant change to legislation or best practice as required.
 	<p>Agreed Corporate Services Committee –</p> <p>This policy replaces the policy agreed on 13th February 2014.</p>

Contents

Attendance Management Policy

1. Introduction
2. Scope
3. Key Principles
4. Definitions
5. Application of Policy and Procedure
6. Legislative / Policy Framework
7. Responsibilities
8. Attendance Triggers
9. Review

Attendance Management Procedure

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2. When an Employee is Absent
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 - 2.2 Contact during absence
 - 2.3 Certification of Sickness Absence
 - 2.4 Long Term Absence (exceeding 21 continuous calendar days)
 - 2.5 Potential Outcome of Long Term Absence
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 - 3.3 Discretion
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4. Management of Particular Types of Sickness/Absence
 - 4.1 Disability
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 - 4.9 Alcohol and Substance Misuse
 - 4.10 Planned Medical Procedures
 - 4.11 Absence and Part Attendance at Work
 - 4.12 Serious Ill Health
5. Conduct

6. Related Policies

1 Introduction

- 1.1 West Dunbartonshire Council recognises the value of its employees and is committed to ensuring that employees are supported to deliver and continuously improve the varied services the Council provides. To do this promoting employee health and attendance at work is essential and the Council is committed to creating and maintaining a culture where regular attendance at work is the norm.

This policy has been developed through the Attendance Working Group to promote and support acceptable attendance at work, and to provide guidelines for the fair, reasonable and consistent management of sickness absence. The purpose of this policy is to ensure that all employees of West Dunbartonshire Council are given every opportunity to maintain acceptable attendance levels and to address attendance issues where positive levels are not maintained.

- 1.2 The Council aims to act reasonably and in a supportive manner at all times, taking account of all the circumstances including compliance with any relevant legislation

2 Scope

- 2.1 The policy applies to **all** employees of West Dunbartonshire Council.
- 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 Key Principles

- 3.1 West Dunbartonshire Council is committed to creating and maintaining a working culture in which optimum attendance at work is the goal. This will be facilitated by implementing this policy in a robust and equitable manner. The policy has been discussed with Trade Unions in an attempt to:

- Achieve the right balance between managing absence efficiently and providing support and help to an employee who has health problems or is experiencing personal difficulties. This should be done in conjunction with any relevant supportive policies for example, but not limited to, the Domestic Violence and Abuse Policy and the Carers Leave Scheme;
- Promote a culture of health and wellbeing of our employees;

- Ensure employee awareness of the importance of regular and sustained attendance at work and the impact of absence on the reliable and effective provision of WDC services;
- Ensure that there is a primary focus during any discussion with employees on what the employee is able to do rather than what they are unable to do;
- Assist with the Council's commitment to reduce the number of working days lost through sickness absence and the impact this has on the business and other employees;

4 Definitions

For the purposes of determining management intervention and absence reporting:

Short Term absence is defined as a period of sickness absence between 1 and 20 calendar days.

Long Term Absence is defined as a period of sickness absence of 21 calendar days or more.

5 Application of Policy and Procedure

- 5.1 West Dunbartonshire Council has a responsibility and commitment to set acceptable, realistic and measurable attendance standards. These will be made clear to employees as part of their induction and reiterated on an ongoing basis by their line manager as part of the management of attendance process in place within the Council at the time.
- 5.2 Where attendance standards are unsatisfactory as determined by the Attendance Management Policy, the Attendance Management Procedure will be invoked.
- 5.3 An Attendance Management Procedure has been developed to support this policy.

6 Legislative / Policy Framework

- 6.1 The Policy and Procedure complies with the Employment Rights Act 2008, the Equality Act 2010 and the Access to Medical Reports Act 1988.
- 6.2 The Policy also complies with ACAS guidance: *Managing Attendance and Employee Turnover*, ACAS Code of Practice: *Disciplinary and Grievance procedures*, and EHRC guidance in the field of employment.

7 Responsibilities

7.1 It is the responsibility of all employees, managers, Trades Union representatives and Human Resources (HR) to:

- ensure attendance at work and that employees maintain good fitness for work by managing their own health sensibly;
- ensure that employees fully understand the standards of attendance expected, proactively seek support or assistance at an early stage if required, and ensure that employees fully engage in the attendance management policy and procedure;
- apply this policy and procedure in a fair, reasonable and consistent manner;
- request advice and support from the Council's Human Resources department;
- attend any relevant training, and to ensure that they are up to date with any policy changes by reviewing the Human Resources & Organisational Development on the Intranet pages;
- engage in early intervention to support continued attendance at work.

8 Attendance Triggers

8.1 Triggers are used to identify points at which the line manager will discuss an employee's absence record. They also identify when an employee's absence has reached a level of concern.

At all stages of the policy the following triggers will apply:

- **4 occasions of absence in a rolling 12 month period or;**
- **8 days in a rolling 12 month period.***

* Number of days trigger will be pro-rated for part time workers as follows:

No of Days Worked Per week	Trigger
2	3 working days
3	5 working days
4	6 working days
5	8 working days

9 Review

9.1 The policy will be reviewed in line with any related new or amendments to legislation or as required.

Attendance Management Procedure

1. Introduction

- 1.1 The Attendance Management Procedure has been developed to provide a procedural framework for line managers and employees in line with the key principles of the Attendance Management Policy.
- 1.2 The procedure outlines the steps to be taken when managing intermittent absence (1 – 3 days), short term absence (4 – 7 days), medium term absence (8 days to 21 days) long term absence (21 days) and unauthorised absence.
- 1.3 It is the responsibility of all managers to ensure that the procedures outlined below are followed in relation to all employees. Application of this policy should be included in the PDP's/PRD's of all managers across the Council and will be monitored as part of that process.

2. When an Employee is Absent

2.1 Absence Reporting and Record Keeping

2.1.1 Reporting

If an employee is unfit for work, they are required to contact their Line Manager to advise of their absence no later than 1 hour after the commencement of their shift. Employees are asked to make the call personally however, in exceptional circumstances, e.g. hospitalisation, a person authorised by the employee may call on their behalf. It is not acceptable to contact managers via text message or email to report an absence however in exceptional circumstance where an employee is not able to speak directly with their manager, or an alternative manager, then a message should be left allowing the manager to return the call at the earliest opportunity.

When an employee reports to the manager to advise that they are not fit, all options should be explored to mitigate the absence or reduce the duration, e.g. alternative duties, working from home, adjusting start time. The focus of this discussion should be on what the employee is able to do rather on what they are not able to do and ultimately the employee determines whether they are fit to work and when.

When an employee has reported sick, they should maintain regular contact with their manager in line with section 2.2 below. During the first week of absence, after the initial notification, contact will be made by the employee on the fourth day to provide the manager with up to date information in relation to the absence.

2.1.2 Falling ill while at work

If, during the course of their duty period, an employee feels unwell and is unable to continue their shift, they should advise their line manager immediately. If the employee feels that they are unable to continue to work they may need to go home.

Where an employee works more than half of their shift this day will not be recorded as sickness absence but where less than half of the employee's shift is worked, then this day will be recorded as sickness absence. For further information please refer to Section 4.11.

2.1.3 Record Keeping

All records relating to absence shall be held in the employee's personal file and within the Workforce Management System in accordance with the Data Protection Act to ensure accuracy and confidentiality.

An employee is required to notify their manager if an absence is related to disability or maternity / pregnancy and absences should be identified as such in the employee's sickness records to avoid less favourable treatment under the Equality Act 2010.

2.2 Contact during absence

The employer, through line management, has an obligation to maintain contact with employees who are absent from work. The manager will advise on day 1 when an employee reports sick, the arrangements for the next day of contact. When the absence is expected to be intermittent or short term, where appropriate, contact may be daily. When it is known that absence will be longer term then contact may be agreed on a less frequent basis however both managers and employees are expected to as a general rule, follow the **minimum** contact arrangements:

- Absence under 7 days – the **employee** has an obligation to report on day 1 and day 4.
- Absence over 7 days and up to 21 calendar days – the employee has an obligation to contact the manager on day 8 and the **manager** will contact the employee at least every 7 calendar days thereafter.
- Absence over 21 calendar days – the **manager will** contact the employee at least every 14-21 calendar days, dependent on the circumstances and reason for absence.

Employees are obliged to make themselves available for agreed contact during normal working hours. Contact will be by telephone to the employee's home telephone number, or another number mutually agreed.

Unreasonable failure to make or maintain contact may be treated as a failure to follow procedures see Section 5 – Conduct.

2.3 Certification of Sickness Absence

Absence in excess of seven calendar days must be covered by a Statement of Fitness for Work (Fit Note) which can be obtained from a GP.

Any absence up to 7 days and the first 7 days of any long term absence should be self certified by the employee. This must be done at the Return to Work meeting using the relevant section on the Return to Work discussion form.

If an employee returns to work within 21 days go to [Section 3 - Following an Absence / Returning to work](#)

2.4 Long Term Absence (exceeding 21 continuous calendar days)

Where an absence exceeds 21 calendar days it is considered a long term absence and in such instances there are a number of actions and considerations that a manager is required to take to underpin the key principles of the Attendance Management policy.

2.4.1 Occupational Health referral

A referral to occupational health should be made when an employee's absence is, or is expected to be, categorised as long term. The Council's Occupational Health service can provide support and guidance to employees on a range of health related issues. (Please see appendix 1 for further information on Occupational Health)

The line manager will ask Occupational Health to give an informed opinion on the employee's ability to do their job, or a suitable alternative job to the standard reasonably required by the Council in the foreseeable future. The information provided in the occupational health report will allow managers, in consultation with HR, to make informed decisions and provide reasonable support to the employee. While it is the responsibility of Occupational Health professionals to provide medical opinion, it is for the employer, via the line manager, to make subsequent decisions.

2.4.2 Long Term Attendance Review Meetings

During an absence the manager, employee and an HR adviser (as appropriate) will meet on a regular basis to discuss the employee's progress and support the employee's recovery. This will normally be a minimum of every 21 days however this may not always be appropriate and will be dependent on individual circumstances.

Employees will be invited to Long Term Attendance Review Meetings in writing, a minimum of 5 working days before the date of the meeting, and will be given the right to be accompanied by a fellow worker, a trade union representative or an official employed by a trade union. Should trade union representation be unavailable, the employee should take all reasonable steps to find alternative accompaniment. This should not cause an unnecessary delay to the meeting taking place.

At each of these meetings actions points will be set and discussed at the following meeting. This will ensure that the appropriate support is provided and both the employee and the manager are kept up to date with any progress made. Where no progress is being made between the Attendance review meetings consideration will be given to progress to a Case Review.

2.4.3 Case Review

When an employee has been absent for 13 weeks a case review will be arranged with the employee, their Trade Union representative or colleague, the line manager, a senior manager and a HR adviser. This will be a supportive meeting arranged to discuss the on-going absence, the occupational health and/or additional medical advice and any support that can be put in place to assist the employee to return to work. The manager should ensure appropriate consideration of any related supportive policies. An action plan will be put in place at the case review to ensure appropriate support is in place and to outline, where possible, the potential outcome of the long term absence.

In exceptional circumstances where the employee is not medically fit to attend the case review, this may take place in the employee's absence. All information will be relayed to the employee at the earliest opportunity. A trade union representative can attend this meeting, on behalf of the employee.

2.5 Potential Outcomes of continued long term absence

While it is hoped that all employees will regain fitness and will return to their current role it is recognised that this will not always be possible, in such circumstances there are a number of options which should be considered as part of the case review action plan.

If an employee returns to work with no adjustments go to [Section 3 - Following an Absence / Returning to work](#)

2.5.1 Adjustments to the employee's current role

Where an employee is not currently fit to continue in their current role but could return, with reasonable adjustments, the manager should consider and

discuss any adjustments or accommodations that would facilitate a sustained return to work.

This may include a short term rehabilitation plan or phased return (if appropriate) and may involve (but is not limited to):

- A reduction of hours / Phased return – subject to individual circumstances, condition(s) and medical advice available.
- Flexible working hours
- Lighter duties
- Changes to work environment
- Temporary change to work location -this could be an alternative working location or working from home.

Where an employee returns to work following long term absence any outstanding leave from a previous leave year should be utilised to facilitate a phased return.

Where no leave from a previous year is available a phased return will be paid as per normal contract for a **maximum** period of 28 calendar days. Should any further reductions be required, then the employee must use their annual leave entitlement to facilitate this. If annual leave has been exhausted for the current leave year then this may be unpaid.

Should there be any permanent change to the employee's working arrangements, the employee's contract of employment (including salary, leave, statutory holidays etc) shall be adjusted accordingly.

2.5.2 Suitable Alternative Employment

Where reasonable adjustments cannot be made to the employee's working environment, advice will be sought from Occupational Health regarding the employee's ability to carry out an alternative role; this advice should be sought at the earliest opportunity and be included in long term review meetings and Case Review discussions. In such instance where the employee is not fit to continue in their current role, and will not regain the required levels of fitness to do so in the foreseeable future but could undertake an alternative role within the council, the Switch policy will apply and every effort will be made to find suitable alternative employment. Please refer to the SWITCH policy for further information. During and following the redeployment / SWITCH process the Attendance Management Policy will still apply. In cases of successful redeployment the new manager should refer to [Section 3 - Following an Absence / Returning to work](#)

2.5.3 Ill Health Retirement (members of LGPS/STSS)

Where an employee is not fit to continue in their current role they may be considered for ill health retirement. The manager will refer to Occupational

Health and ask for the employee's eligibility for ill health retirement to be assessed. Please refer to guidance on ill health retirement for further information.

2.5.4 Termination on the grounds of Capability

While the preference will always be to retain employees there may be circumstances where this may not be feasible. Where reasonable adjustments cannot be made to the employee's current job; an employee is incapable of undertaking a suitable alternative job, no suitable job is available, the employee refuses to accept a suitable alternative job and does not qualify for ill health retirement or is not a member of either the LGPS/STSS (section 2.5.3) then the employee's employment will be terminated on the grounds of capability.

When considering termination on the grounds of capability, advice **must always** be sought from Human Resources.

3. Following an Absence / Returning to work

3.1 Return to Work Discussion

Employees should only return to work after an absence due to sickness or injury if they are fit to work. Regardless of the reason and length of the absence, a return to work discussion will be held after **every** absence in order to confirm the employee's fitness to return, to discuss the reason for the absence and to ensure that all reasonable support is offered to the employee to maintain good attendance at work.

The return to work discussion must take place on the day the employee returns to work or as soon as practicably possible thereafter if the line manager is unavailable. Details of the discussion should be recorded using the Return to Work Discussion form, and held securely by the line manager. Employees should also ensure that the self certification section of the return to work form is completed at this meeting. In exceptional circumstances and in agreement within specific service areas return to work may be carried out via telephone. In such circumstances the employee should ensure that a self-certification form is completed and sent to the manager at the earliest opportunity.

During the return to work meeting the manager will advise the employee if a trigger has been reached see [Section 8 - Attendance Triggers](#) of the Attendance Management Policy

3.1.1 Annual Leave

If an employee has been absent for more than 13 weeks the manager should advise at the return to work discussion that the employee's annual leave has been amended. Employees are only entitled to accrue annual leave at 28 days per year (including public holidays) during the sick leave period.

During a period of long term absence an employee can ask to use their annual leave. If the employee is on half pay or nil pay this would provide them with a period of additional full pay. The normal request and approval arrangements would apply.

3.1.2 Overtime

When an employee has been unfit for work it is not appropriate for them to work any additional hours or overtime for a period of seven days during the week following their return to work or during any phased return period. Consequently they will not be asked to work and will be removed from additional working rotas where these are in operation. This is to support the employee's recovery and recuperation and to ensure that the employee has regained full and sustainable fitness before taking on any additional workload.

3.2 Absence Trigger Meeting (ATM)

Absence Trigger Meetings are formal meetings and will be arranged when an employee has reached a trigger within the Attendance Management Policy. ATM's should take place, wherever possible, within 10 working days of the Return to Work discussion, and earlier if possible.

Employees will be invited to Absence Trigger Meetings in writing and will be given the right to be accompanied by a fellow worker, a trade union representative or an official employed by a trade union. Should trade union representation be unavailable, the employee should take all reasonable steps to find alternative accompaniment. This should not cause an unnecessary delay to the meeting taking place.

3.2.1 Stage 1 Absence Trigger Meeting

When an employee has reached a trigger for the first time they will be invited to a Stage 1 Absence Trigger Meeting. The reason for absence, any support that can be offered and the standards expected will be discussed and the manager will issue the employee with a Stage 1 –Attendance Improvement Note.

A Stage 1 - Attendance Improvement Note will remain on file for **9 calendar months** from the day following the last day of absence.

3.2.2 Stage 2 Absence Trigger Meeting

If an employee has subsequent absence and reaches a trigger during the Stage 1 Review Period the manager should consider a referral to occupational health. The employee will be invited to a Stage 2 Absence Trigger Meeting and an HR Adviser will also be in attendance. This meeting will give the manager the opportunity to discuss the Occupational Health Report (if applicable) reasons for absences, any support that can be offered, any evidence of patterns of

absence or any other concerns. The manager will issue the employee with a Stage 2 –Attendance Improvement Note.

A Stage 2 - Attendance Improvement Note will remain on file for **12 calendar months** from the day following the last day of absence.

3.2.3 Stage 3 Absence Trigger Meeting

If an employee has subsequent absence and reaches a trigger during the Stage 2 Review Period, the manager will refer the employee to Occupational Health (OH) to consider employee's fitness for role.

The employee will then be invited to a Stage 3 Absence Trigger Meeting and an HR Adviser will also be in attendance. This meeting will give the manager the opportunity to discuss the occupational health report, reasons for absences, any support that can be offered, any evidence of patterns of absence or any other concerns. The manager will issue the employee with a Stage 3 – Attendance Improvement Note.

This final Stage 3 Review Period will run for **12 calendar months** from the day following the last day of absence.

3.2.4 Stage 4 - FINAL Absence Trigger Meeting

If an employee has subsequent absence and reaches a trigger during the Stage 3 Review Period they will be invited to a Stage 4 Attendance Trigger Meeting where the employee is likely to be dismissed on the grounds of capability. Please refer to the scheme of delegation in appendix 3 or 4.

Where there are clear mitigating circumstances the manager may decide to move the employee back to stage 3 of the policy, however this should only be done in exceptional circumstances and in consultation with HR and the Head of Service.

3.2.5 Improved Attendance

If at any stage of the attendance management process an employee meets the required standards of attendance and does not reach a further trigger for the duration of the review period they will exit the policy. The improvement note will be removed from their record however it should be noted that the entire absence history will be considered in any future proceedings.

3.3 Discretion

On occasion, and in exceptional circumstances, a manager may feel that it is not appropriate to issue an employee with an Improvement note. In such circumstances the manager must request approval from their Head of Service to

apply discretion using a Discretion Request form. Further guidance on the use of discretion is available in appendix 2.

3.4 Appeal against Improvement Notes

Employees are entitled to appeal the decision to issue an Improvement Note. Appeals must be lodged with the person or persons specified within the Improvement Note within 10 working days of receipt of the letter. Appeals will normally be held as soon as possible and no later than 4 weeks after receipt of the employee's written appeal. Appeals should be submitted in writing using the standard Improvement Note Appeal Form setting out the grounds for the appeal. Notification of the outcome of the appeal will be confirmed as soon as possible and within 5 working days of the meeting.

3.5 Appeal against Dismissal on the grounds of capability

Any employee whose contract has been dismissed in accordance with this policy will have the right to appeal to the relevant Appeals Committee. The employee must lodge their appeal in writing with the Departmental Director within 10 working days of receiving the termination letter. The employee must complete and submit the standard Appeals documentation setting out the grounds of their appeal. The Departmental Director will acknowledge receipt of the appeal in writing, and will copy the acknowledgement letter and the appeals documentation to the Head of People and Transformation who will progress the appeal to the Appeals Committee. The right to appeal expires 10 working days after receipt of the termination letter.

4. Management of particular types of sickness/absence

4.1 Disability

Line managers have a duty to consider, after consultation with the employee and Occupational Health, whether or not an employee has a disability or underlying health condition as defined by the Equality Act 2010. This will determine what actions / interventions will be appropriate to support the employee in continued employment. Where there is a recognised disability and this has an impact on the employee's ability to carry out their role, Managers should consider the use of a Tailored Adjustment Agreement (TAA). Managers should also consider the appropriateness of progression through the stages of this policy and the application of discretion where appropriate.

Should an employee covered by the Equality Act 2010 have sickness absence, either long term, or short term, related to their disability or underlying health condition, the line manager should seek advice from Human Resources. Whilst all possible measures should be taken to improve the attendance of an employee with a disability, or underlying health condition there may be occasions when an employee's employment is terminated due to a lack of

capability in accordance with sections 2.5.3, 2.5.4 or 3.2 of the Attendance Management Procedure.

Sickness absence related to a disability must be identified as such in the employee's sickness absence records. This is to ensure that employees with a disability are not treated less favorably in employment decisions and will also assist line managers when considering reasonable adjustments.

4.2 Stress

When an employee has identified either when reporting sick, or through submission of fit notes, that their absence is related to Stress (or similar ie anxiety or debility) then the manager must arrange a meeting to complete an individual stress risk assessment with the employee. This meeting must take place within 7 days. The employee must also be referred to Occupational Health and a copy of the completed stress risk assessment form, with agreed actions, should be enclosed with the referral.

4.3 Reactive Stress

When an employee reports absent with stress relating to an ongoing disciplinary or grievance process etc. the absence will continue to be managed under this policy. Early intervention in such cases is essential and employees should be supported to return to work at the earliest opportunity. Employees are required to fully co operate and be available to participate in ongoing investigations and processes.

4.4 Musculoskeletal Condition or Injury

When an employee has identified either when reporting sick, or through submission of fit notes, that their absence is related to a musculoskeletal condition or injury then the manager must consider when an occupational health referral is appropriate. Advice can be sought directly from occupational health or from Human Resources.

4.5 Pregnancy / Maternity

Should an employee have a period of sickness absence related to a current or recent pregnancy, this must be identified as such in the employee's sickness absence records. This is to ensure that employees absent due to pregnancy are not treated less favourably in employment decisions and these absences will not count towards a trigger. Any other sickness absence, unrelated to the pregnancy, would be counted in line with the procedures set out within the Attendance Management policy.

4.6 Accidents at Work and Workplace Accidents

When an employee has an accident at work this must be reported and investigated in line with the Council's Accident reporting procedure using an HS1 form. If an accident at work results in an absence lasting more than 3 working days a referral should be made to Occupational Health.

Where it had been determined following an investigation that the Council could have reasonably prevented the accident and the employee was not at fault any related absence should be discounted and may not count towards a trigger in this policy. Any decision to discount absences must be made in conjunction with HR.

Where it has been determined that an employee could have reasonably avoided having the accident any related absence will count towards the triggers out lined in this policy.

Where an employee is assaulted at work (for example, but not limited to, by a service user) then this should be reported on a Violence Incident Report form and the incident investigated. In such circumstances where the employee is not at fault and could not reasonably prevented this any resulting absence will not count towards a trigger under this policy.

4.7 Certified and Notifiable Infectious Disease

An employee who is prevented from attending work because of contact with infectious disease (confirmed by a medical certificate) must notify their Head of Service immediately. Any related absence will not count towards the triggers outlined in this policy.

4.8 Diarrhoea and/or Vomiting

In line with the Food Standards Agency guidelines Managers must exclude employees who have suffered from diarrhoea and/or vomiting from working with or around open food, normally for 48 hours from when the symptoms stop naturally.

Managers may also decide to exclude employees who work within Care Homes, Care at Home or other services dealing directly with vulnerable clients when they have suffered from diarrhoea and/or vomiting.

Employees who work with or around food as part of their primary duties or deal directly with vulnerable clients may be redeployed to alternative duties, when they report fit for work. In exceptional cases the line manager may instruct an employee not to return to work until 48 hours after the symptoms have ended.

In these instances the line manager should discount the 48 hours exclusion **after** the symptoms and this will not be counted towards a trigger in section 3.2 of this policy.

4.9 Alcohol and Substance Misuse

The Council is committed to assisting employees who have serious long-term alcohol or substance misuse problems as well as those whose difficulties are relatively less serious and / or short-term, through preventative action and a range of referral options outlined in the Council's Alcohol and Substance Misuse Policy and Procedure.

If an employee's sickness absence is directly as a result of alcohol and / or substance misuse, this will be treated as sickness absence and recorded accordingly. However, if absence related to alcohol or substance misuse is frequent and recurring then this may be treated as a conduct issue and the Council's disciplinary policy may apply. Employees may still, however, be subject to termination in accordance with section 2.4 or 3.2 of this policy.

4.10 Planned Medical Procedure

If an employee requires time off to attend a medical appointment or to have a medical investigation / procedure carried out, the Special Leave policy should be applied. If the employee is subsequently unfit to attend work on the following day(s) then the *subsequent* absence will be considered sickness absence and will count towards a trigger. In conjunction with the employee, managers are encouraged to explore any alternative options to sickness absence, e.g. working from home, alternative duties, use of a personal day.

4.11 Absence and Part Attendance at Work

If an employee is ill and is not able to complete a full day at work (either leaving early or coming in later) the absence should be recorded as follows:

- More than half of their shift worked – this day will not be recorded as sickness absence
- Less than half of their shift worked – this day will be recorded as a half day of sickness absence.

Employees are responsible for determining their own fitness for work however should an employee present for work and the manager is concerned that they pose a risk to themselves or others a discussion should take place to determine the most appropriate course of action.

4.12 Serious Ill health

Where an illness or medical condition is diagnosed as one from which the employee will not recover and they have a short life expectancy, the most

appropriate course of action will be considered. Any referrals to Occupational health will be made to assist with the employees well being. At all times the employee will be dealt with sympathetically and treated with respect and dignity. The options available will be discussed at the appropriate time (at the very least after 3 months) taking in to account their individual circumstances.

It is imperative that managers consult their HR representative at the earliest opportunity to ensure that the best pension arrangements available in the circumstances can be made in good time.

5. Conduct

While there is an expectation that all employees will maintain satisfactory levels of attendance, failure to achieve this for any of the reasons set out below will be dealt with under the Disciplinary Policy.

5.1 Failure to Report

Failure to follow absence reporting procedures and/or certification procedures as outlined in sections 2.1 and 2.3 may result in the absence being considered unauthorised and could lead to disciplinary action and withdrawal of occupational sick pay.

5.2 Problematic Absence

Where absences are problematic, for example:

- Repeated intermittent absence that is not medically certified
- Absence without reasonable explanation
- Persistent patterns of absence where no triggers are reached

This may be considered misconduct and where appropriate (with advice from HR) will be managed under the Disciplinary Policy and Procedure; occupational sick pay may be withdrawn in such circumstances.

5.3 Failure to engage in the Attendance Management Process

It is the responsibility of all employees to fully engage in the Attendance Management Policy and Procedure. This includes appropriate notifications, making themselves available for Long Term Attendance Review Meetings, attending Occupational Health appointments, attending Attendance Trigger Meetings. Should an employee fail to engage fully in this process then this may be considered misconduct and will be managed under the Disciplinary Policy and Procedure and occupational sick pay may be withdrawn.

NB: This section of the policy must be read in conjunction with the Council's Disciplinary Policy.

6. Related Policies

This policy should be read in conjunction with:

- SWITCH Policy
- Stress Management Policy
- Special Leave Scheme
- Disability Leave Scheme
- Carers Leave Scheme
- Cancer Support Policy
- Dignity at Work Policy
- Supporting Employee Performance Policy
- Disciplinary Policy

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Appendix 1 Support Resources

A1.1 Occupational Health Service

Management may require advice about the health of their employees in relation to work in a variety of circumstances and may make a referral to Occupational Health and/or Physiotherapy. Its role is to keep workers healthy and at work through protecting them from workplace health hazards as well as rehabilitating injured or ill workers back into the workplace. Physiotherapy is provided for workers suffering from musculo-skeletal conditions and back problems. Its role is to help restore movement and function to as near normal as possible when someone is affected by illness or injury.

Further information on Occupational Health referrals can be found on the Intranet.

A1.2 Employee Counselling

If employees feel that they would benefit from formal counselling, West Dunbartonshire Council provide a free, confidential counselling service through an independent provider. Counselling sessions will be tailored to the individual needs of the employee and will be arranged outwith the workplace.

Employees can refer themselves to the service or can ask their line manager to make the arrangements on their behalf. Telephone counselling is available for those who find it hard to attend face to face counselling appointments. Counselling sessions are arranged at a time when the employee can be comfortable and private and the cost of the calls are met by West Dunbartonshire Council.

Details of this service and contact numbers can be found on the intranet.

Appendix2 – Guidance on Applying Discretion in Exceptional Circumstances

When an employee has returned to work and has reached a trigger, it is essential that an Absence Trigger Meeting is arranged in order to provide support and assistance to the employee. In the majority of circumstances an employee will be issued with an Improvement Note however in exceptional circumstances the manager may consider the application of discretion. When doing so the manager **must** consider what is reasonable and justifiable in relation to the particular circumstances of the case and apply for permission to apply discretion using a Discretion request form to the Head of Service who is required to sign off any application of discretion. When it has been agreed that discretion will be applied the employee must be notified of this in writing.

Shown below are examples of circumstances which **may** lead to the application of discretion.

- Serious / Life Threatening Illness
- Planned medical procedure where future absence may be prevented
- Bereavement of an immediate family member (in cases where special leave has been exhausted)
- No absence in the last 2 years* (in conjunction with other exceptional circumstances)
- Employee shows best effort to return to work / to consider flexible return (in conjunction with other exceptional circumstances)

This list is not exhaustive; therefore cases are not limited to those examples shown above. In addition, there may be circumstances of cases exemplified above where progression through the stages in the policy *would* be considered appropriate.

The decision to apply discretion rests with the Head of Service, however Human Resources **must** be consulted as part of the decision making process to monitor appropriate and equitable application of the policy on behalf of the Council.

Any decision taken by the line manager and Head of Service will not set a precedent. Decisions will be made on a case by case basis dependant on the individual circumstances.

In reaching a decision, the line manager and Head of Service must consider all circumstances of the individual employee within the context of the Attendance Management Policy and act reasonably.

* if employee has been at work – e.g. not applicable to new employees / long term absence / career break, etc.

Appendix 3 – Scheme of Delegation – Local Government Employees

AUTHORITY TO TAKE ACTION FOR ISSUE OF IMPROVEMENT NOTES AND DISMISSALS

Level of Action	Employees Grade 1-8	Middle Managers Grades 9-10	Service Managers Grades 11-12
Stage 1 - Attendance Improvement Note	Line Manager (minimum grade 6)	Service Manager or Line Manager	Head of Service
Appeal	Line Manager's Manager	Head of Service or Line Manager's Manager	Director
Stage 2 - Attendance Improvement Note	Line Manager	Service Manager or Line Manager	Head of Service
Appeal	Line Manager's Manager	Head of Service or Line Manager's Manager	Director
Stage 3 –Attendance Improvement Note	Line Manager	Service Manager or Line Manager	Head of Service
Appeal	Line Manager's Manager	Head of Service or Line Manager's Manager	Director
Stage 4 - Dismissal	Middle Manager, Service Manager or Head of Service (minimum Grade 9)	Head of Service or Director	Director
Appeal	Council Appeals Committee	Council Appeals Committee	Council Appeals Committee

(1) This list is for illustrative purposes and levels may be changed to reflect structure arrangements.

Appendix 4 – Scheme of Delegation – Teaching Employees

AUTHORITY TO TAKE ACTION FOR ISSUE OF IMPROVEMENT NOTES AND DISMISSALS

Level of Action	Teaching Staff in a Secondary School	Teaching Staff in a Primary School	Teaching Staff in a Primary School with no Depute Head Teacher
Stage 1 - Attendance Improvement Note	Principal Teacher	Depute Head Teacher	Head Teacher
Appeal	Depute Head Teacher	Head Teacher	Head of Service
Stage 2 - Attendance Improvement Note	Principal Teacher	Depute Head Teacher	Head Teacher
Appeal	Depute Head Teacher	Head Teacher	Head of Service
Stage 3 –Attendance Improvement Note	Head Teacher	Head Teacher	Head Teacher
Appeal	Head of Service Or nominee	Head of Service or nominee	Head of Service or nominee
Dismissal	Director Or nominee	Director Or nominee	Director Or nominee
Appeal	Council Appeals Committee	Council Appeals Committee	Council Appeals Committee

(1) This list is for illustrative purposes and levels may be changed to reflect structure arrangements.

Note: The responsibility for conducting these interviews / meetings can be agreed as appropriate through discussion with the individual and management, taking account of individual circumstances

WEST DUNBARTONSHIRE COUNCIL**Report by Executive Director of Corporate Services****Corporate Services Committee: 12 August 2015**

Subject: Council Workforce Plan**1. Purpose**

- 1.1 To update the Corporate Services Committee in relation to the ongoing Workforce Planning Framework.

2. Recommendations

- 2.1 The Committee is asked to note the Council Workforce Plan 2015/16.

3. Background

- 3.1 The Workforce Planning Strategy & Framework was approved by Corporate Services Committee in November 2013 to provide a formal mechanism for defining the workforce requirements of the organisation and to develop appropriate responses.
- 3.2 Individual departments have integrated workforce planning to their departmental planning framework and include detailed individual workforce plans within their departmental plans which are submitted to departmental committees.
- 3.3 The Workforce Planning Strategy and framework incorporates current best practice and complies with recommendations made within the Accounts Commission overview of Local Government in Scotland “responding to challenges and change”. Our current practice in relation to Workforce Planning and early departure schemes complies with the recommendations made within the Audit Commission report “Scotland’s Public Sector Workforce” and also their previous report “Managing early departures from the Scottish Public Sector”.
- 3.4 Workforce planning actions are monitored throughout the year by HR Business Partners and departmental management teams.
- 4. Main Issues**
- 4.1 Effective workforce planning provides a mechanism to ensure that our workforce has the capacity and skills to meet current and future service delivery challenges. It also provides a mechanism to review the composition of our workforce over time to ensure that the correct resources remain in place to support service delivery.

- 4.2** The Council Workforce Plan attached at Appendix 1 links together many ongoing strategies and policies that impact on the number make up and skills profile of our workforce. As the workforce planning framework develops within the Council new and innovative strategies and ways of working are being incorporated alongside established processes to ensure that our workforce can adapt and respond effectively within a changing environment. These include;

Performance and Development Planning (PDP) framework

- 4.3** The Council is fully committed to investing in our employees, ensuring they are effectively led, managed, developed, and understand their contribution to the Council's vision and strategic priorities. This commitment extends to supporting the professional and personal development of all employees to achieve their full potential in terms of skill and performance, recognising that where an organisation helps people to develop there will be greater alignment between work and people. The Council uses a Performance and Development Planning (PDP) framework which facilitates personal development plans for all employees to address individual and personal development needs as part of the workforce planning framework. Further development of the PDP process over the last year has seen the introduction of career planning to the framework. Over 2014/15 92% of employees had PDP's in place surpassing the target of 90%.

Employee Development Strategies

- 4.4** The introduction of Succession Planning will ensure that we are developing future talent for business critical posts and developing individuals who demonstrate the potential to be future leaders. This development will link to workforce planning and identify critical or top talent, ensure appropriate development is in place to support the Council's future skills requirements, and support employees developing their 'career planning'.
- 4.5** Revised guidance to support robust work experience programmes and annual intern programmes is being developed in consultation with the Employability team and will support creating employment and skills development opportunities within the local area.
- 4.6** Other innovative workforce planning developments include discussions on how we can partner better with West College to address workforce planning requirements as well as support study programmes and youth employment. West College are keen to develop study programmes/qualifications which will meet future workforce gaps. West College are also keen to expand work experience placements with the Council

Review of Policy and Practice

- 4.7** HR policy development and review is integral to the workforce planning process responding to the changing needs of the Council and its employees to be met. Over the last year a number of key policy initiatives were

successfully implemented following discussions with trade unions that support our workforce strategy and employment framework.

- 4.8** A key development was the introduction of the SWITCH (Staff in transition and change) Policy following agreement by the Corporate Services Committee in August 2014. This approach to redeployment has supported the workforce planning process and allowed the Council to respond to changes in the way that services are delivered. This focus on redeployment and continued employment provides a framework to support skills and resource gaps over the coming years while developing a more flexible workforce capable of delivering services to our communities. This process has proven successful over the last year allowing our workforce to remain in employment. Other policy developments are detailed in at section 4 of the Workforce Plan (Appendix 1).

Changing Workplaces/New Ways of Working

- 4.9** Integral to our Workforce Planning Framework is the design and development of modern efficient and effective workplaces. The development of new workplaces provides an opportunity to modernise and improve the way we deliver services and increase the flexibility of our workforce. Building on the successful initiatives introduced within Garshake Road and Aurora House future developments will ensure that our workforce continue to deliver modern services while ensuring that the flexibility in the way we work that meets the needs and expectations of our employees.

Equality Duties

- 4.10** Meeting our equality duty is Central to our Workforce Planning Framework. Following on from the Councils first Equal Pay Audit and subsequent action plan a number of key elements will be further developed as part of our Workforce Planning Framework. Attracting woman into traditional male jobs (trades and traditional manual jobs) and males into traditional female jobs - Pre five, Home Care will be further explored ensure that our services can be effectively delivered. Training opportunities will also be developed with our local colleges to ensure that suitably trained employees enter the Council workforce. Work is also ongoing within departments to review traditional roles and contracts of employment to remove the potential barriers to full time working that exist in some service areas.

Future Operating Model

- 4.11** Central to the Workforce Planning Framework is the roll out of the agreed Future Operating Model (FOM). The Council should be structured and organised in a way that best meet the needs of the community in accordance with the principles of community planning and joint working. The establishment of a future model for the organisations operations will ensure that West Dunbartonshire Council is best placed to meet the organisational challenges that lie ahead. Supporting the delivery of effective services, this model will reduce the levels of management across the Council providing

greater autonomy for staff and allowing for more effective decision making at a local level within departments. Employees will be supported through their individual PDP to ensure that they have the necessary skills and knowledge to develop as individuals and operate effectively in new roles.

Linking Finance to Service and Workforce Planning

- 4.12** Workforce planning directly links to the Councils budget setting process particularly in relation to future budget decisions that impact on our employees. As such it is essential that the staffing implications of all proposed savings options are fully explored at the earliest opportunity and where appropriate consultation arrangements with staff and trade unions are put in place at the earliest opportunity. Guidance relating to workforce planning is incorporated in budget guidance to integrate planning and ensure that workforce issues are fully addressed.

VER/VS

- 4.13** Our current practice in relation to Workforce Planning and early departure schemes complies with Audit Scotland recommendations and their previous report “Managing early departures from the Scottish Public Sector”. Since March 2013 the Council has implemented a targeted release approach where early departure is driven by the needs of the service and not the wishes of individuals. Information on the costs and net savings from VER/VS programmes are reported to the Corporate Services Committee. There is also a requirement to ensure that early departure schemes are attractive to individuals, affordable to the Council but should not incur unnecessary costs. A review of the Councils Discretions Policy Statement was undertaken earlier this year following changes to the pension schemes.

Attendance Management

- 4.14** Absence levels continue to be a concern in relation to the Council’s workforce and impact on all aspect of Workforce Planning. Absence rates for 2014/15 showed an increase on the previous year’s figures and directly impact on the Councils ability to deliver effective services. Further action is required going forward to achieve the attendance levels set by Council including the introduction of a new Attendance Management Policy.

Modern Apprentices

- 4.15** In support of the Council’s Employability Agenda the Modern Apprenticeship programme continues to operate effectively across the Council. As part of the workforce planning process departments annually review their requirements in this area and explore opportunities to introduce apprentices into new service areas particularly where future skills gaps or development needs have been identified.

Review and Future Development of Workforce Issues

4.16 As part of the Workforce Planning framework regular monitoring and review of departmental workforce planning issues are undertaken between HR Business partners and the HR & Workforce Development Manager to ensure that issues are actioned and escalated as appropriate. This provides a mechanism to ensure that a consistent approach to managing workforce issues is applied across all departments.

5. People Implications

5.1 An integrated Workforce Planning Framework ensures that all workforce issues are effectively addressed. This supports the Councils commitment to its employees in relation to all aspects of their employment ensuring that employee's needs are met and that efficient and modern services are effectively delivered now and in the future.

6. Financial Implications

6.1 There are no financial implications associated with this report.

7. Risk Analysis

7.1 A robust workforce planning framework ensures that the Council identifies current and future needs in relation to the composition and development of the workforce. This allows strategies and policies to be developed that ensure the continued delivery of best value services and meet External Audit requirements. Embedding workforce planning within the departmental planning process and incorporating best employment practice will ensure that key issues affecting the workforce are identified at the earliest stage.

8. Equalities Impact Assessment (EIA)

8.1 A full EIA is not required in relation to the Council Workforce Plan as individual assessments will be undertaken in relation to actions at a departmental level.

9. Consultation

9.1 Trades Unions were consulted on the Workforce Planning Strategy & Framework through the Employee Liaison Group and are consulted in relation to workforce issues through departmental consultation frameworks.

10. Strategic Assessment

10.1 This report directly supports the Council's Strategic priorities and AIP.

Angela Wilson
Executive Director of Corporate Services
Date: 19 July 2015

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Tel: 01389 737584 Email: vicki.rogers@west-dunbarton.gov.uk

Appendices: Appendix 1 – Council Workforce Plan

Background Papers: Workforce Planning Strategy & Framework

Wards Affected: None



WORKFORCE PLAN

2015/16

1. Introduction

The Council's Strategic Plan outlines the key priorities during the period 2012 -2017. The Strategic plan is supported by individual departmental plans detailing how departments will contribute to the delivery of the Council's key priorities in the coming year. Outcomes are only achieved through the performance of our employees. It is imperative, therefore, that we have the right people with the right skills in place.

The purpose of workforce planning is to consider the implications of the Departmental Plans for our workforce in terms of organisational change, resource planning and training and development. The Council workforce plan will highlight cross cutting workforce issues and ensure our people and resources are aligned to fully support the delivery of the Council's Strategic Plan.

2. Overview of Council

2.1 Functions and Remit

West Dunbartonshire Council provides a wide range of services to our residents and communities. The Council is structured into four departments;

- Corporate Services – the department leads and manages a range of services which aim to improve service provision for the local community, generate a positive workplace for our people, and ultimately deliver better outcomes for the population in West Dunbartonshire.
- Educational Services – is responsible for the delivery of all educational and cultural services to the people of West Dunbartonshire, this includes Pre-school, Primary, Secondary and Special Schools and Libraries and Museums.
- Housing, Environmental and Economic Development (HEED) – the department delivers a wide range of services including council housing, roads and transportation, waste services, parks and grounds, planning and economic development.
- West Dunbartonshire HSCP leads and manages a substantial range of NHS and Council Services bringing together both NHS and Council responsibilities for community based health and social care services.

2.2 Council Structure

The Council currently employs 6298 people. The key resource and establishment information for the Council is provided at Appendix A to this Workforce Plan.

Our services are delivered from a range of area offices, depots and facilities across West Dunbartonshire area to ensure they are as accessible as possible to service users. Services are also delivered via the Customer Contact Centre and One Stop Shops.

The services provided by the Council are diverse with some being statutory requirements of the Council while others are discretionary. We are at the leading edge in Scotland in terms of multi-agency partnership delivery of services through the integrated Health and Social

Care Partnership and have a key leadership role through the local Community Planning Partnership particularly in relation to economic growth.

3. Achievements 2014/15

The Council continues to evolve and to respond to the changing needs of our front line customers and employees and to the internal and external factors that impact on the services we provide. During 2014/15 a number of significant developments impacted on our employees including:

- Changes to the Local Government Pension Scheme (Scotland) Regs 2014
- Changes to the Scottish Teachers Superannuation Scheme
- Launch of 'Be the Best' Strategy
- Relocation of staff from Roseberry House to Aurora House
- Case law developments on Holiday Pay and consequential changes to calculations of pay
- Application of SJC JE Scheme to Craft Posts
- Achievement of strategic initiative of 1,000 jobs in 1,000 days
- Review of operational areas to enhance service delivery
- Implementation of Future Operating Model
- Roll out of employee and management self-service models of Workforce Management System
- Roll out and enhancements to PDP and linked processes

4. Key Service Priorities/Issues

4.1 Council Objectives

The Strategic Plan 2012-2017 and departmental plans sets out our key priorities [Strategic plan](#).

4.2 Workforce Issues

A number of issues which have an impact on resources and the workforce of the Council relate to the financial challenges facing all local authorities at this time and the savings options which Council have agreed to implement in the coming year. Other workforce issues relate to the departments commitment to the Councils improvement and modernisation agenda and as a response to the external environment in which we operate.

Appendix B provides a summary of the key service priorities which have resource implications for the Council workforce. These priorities are detailed within individual departmental workforce plans together with the actions which are planned or have been put in place to meet the delivery of the department's key priorities. It is assumed that all

developments are either cost neutral or contribute to the department saving targets. The following section details corporate and cross cutting initiatives that impact on the needs of the Council workforce and in the changing requirements of services.

4.3 Personal Development Plans

The Council rolled out the Council's PDP framework to every employee during 2013/14 to ensure all our employees were aware of and recognise how they as individuals contribute to the achievement of the department's key priorities and service delivery.

The PDP framework also identifies individual development needs to enable employees to deliver their objectives, meet the demands of their role and improve their performance. This information was used by managers to identify the training needs of their teams and produce operational Training Plans within departments.

Over 2014/15 92% of employees had PDP's in place surpassing the target of 90%. The target for 2105/16 has been set as 95% with specific interventions put in place to access employees with no fixed work base and to simplify documentation for large work groups.

4.4 Succession Planning

The introduction of Succession Planning through 2015/16 will ensure that we are developing future talent for business critical posts and developing individuals who demonstrate the potential to be future leaders. This development will link to workforce planning and identify critical or top talent, ensure appropriate development is in place to support the Council's future skills requirements, and support employees developing their 'career planning'.

4.5 Employment Policy and Practice

4.5.1 Ensuring a supportive employment framework is integral to workforce planning. Over the last year a number of key HR Policies and/or Schemes were introduced or reviewed. These included:

- Supporting Employee Performance;
- SWITCH (Redeployment);
- Carers Leave Scheme;
- Revisions to Discretions Statement ;
- Public Interest Disclosure;
- Flexible Working Policy
- Revisions to Conditions of Service linked to changes to national conditions formally Red and Gold Books;
- Excess Travel Scheme;
- Shared Parental Leave;
- No Smoking Policy;
- Grievance Policy;
- Cancer Support Policy.

An ongoing review of case law decisions that impact on the Council's workforce ensures that our employment policies are up to date and ensure best practice.

Significant changes were also introduced to the Local Government pension Scheme and the Scottish Teachers Superannuation Scheme effective from 1/4/2015.

4.5.2 Significant workforce challenges for the Council in 2014/15 resulted from a number of key legal decisions in relation to holiday pay. Decisive remedial action was undertaken to protect the Council's position and a new methodology for the payment of additional non contractual payments was implemented. This will continue to be monitored and reviewed going forward as further case law is established.

4.6 ER/VS

Over the last year the Council has seen a slight increase in the number of employees released through early retirement/voluntary severance. This reflects the targeted release approach adopted throughout the Council where early departure is targeted and driven by the needs of the Department.

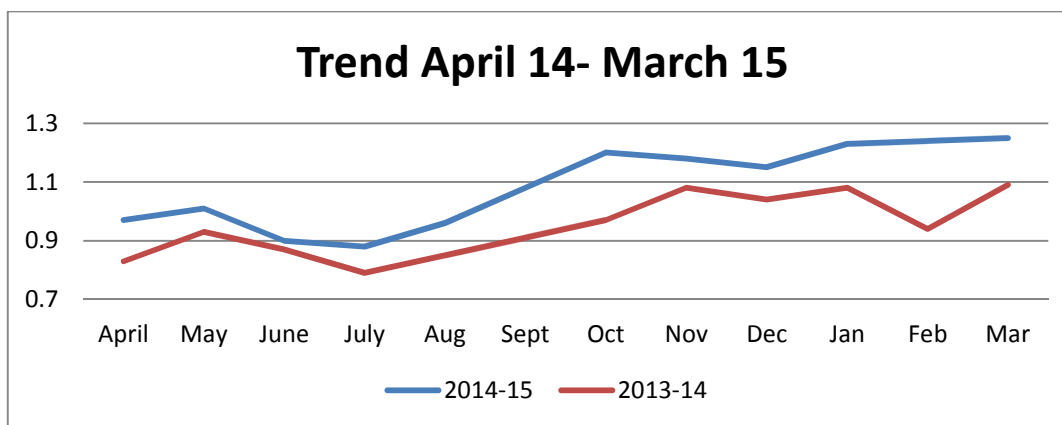
Annual Period	01/04/11-31/03/12	01/04/12-31/03/13	01/04/13-31/03/14	01/04/13-31/03/14
No of employees released through early retirement/voluntary severance	92	33	6	9
No. of employees released through early retirement - STSS (Teachers)	47	38	10	10
TOTAL	139	71	16	19

The Council will continue to monitor the number of employees released through early retirement/voluntary severance and report this bi-annually to Corporate Services Committee. In addition, the opportunities for ER/VS are discussed locally and at Employee Liaison Group on a quarterly basis.

4.7 Attendance Management

4.7.1 Attendance at work continues to have a significant impact on the resources available to deliver services and places additional financial pressures on the Council where staff cover requires to be provided. Absence statistics for the period 1 April 2014 to 31 March 2015 indicate that Council Wide absence increased by 12.5% compared to last year. Chart 1 shows the trend for this year compared to last year. With the exception of February, the trend is broadly consistent with the pattern reported last year. The chart also demonstrates the seasonal variations across the year.

Chart 1 - Monthly Trend 2014/15



4.7.2 Table 1 shows the departmental results compared to last year and against target. With the exception of Education (Support), all departments reported an increase in absence compared to last year. No departments achieved the Council's annual target.

Table 1 – Annual Performance

Annual Performance	Target	2014/2015	2013/2014	% variation
Council Wide	9	12.81	11.38	+12.5%
Corporate Services	9	9.61	9.37	+2.6%
HSCP	9	20.96	16.15	+29.8%
HEED	9	12.62	12.49	+1.1%
Ed Support	9	10.30	10.70	-3.7%
Ed Teachers	5	6.11	5.28	+15.6%

Absence Reasons 2014/15

4.7.3 Table 2 shows the top 3 reasons for absence across the Council for 2014/15 and compares with last year. The results are consistent with last year's performance. The Council Wide results are influenced by the large occupational groups within departments. Departmental profiling is likely to necessary to identify local absence reasons and resulting actions.

Table 2 – Top 3 reasons for absence – 2014/2015

Year	1	2	3
2014/15	Minor Illness (24%)	Acute Med Cond (22%)	MSK (21%)
2013/14	Minor Illness (26%)	Acute Med Cond (23%)	MSK (19%)

Attendance at work will remain a key focus across all departments in the coming year to ensure that progress and significant improvements in attendance levels are made. In this regard the main focus of the Attendance Working Group has been the development of a new Attendance Management Policy which will be introduced during 2015/16.

4.8 Advance Notification of Redundancies

It is a statutory requirement under the Trade Union and Labour Relations (Consolidation) Act 1992 to provide advance notice to the Insolvency Service where 20 or more redundancies may occur within a 45 day period. This includes voluntary and compulsory redundancies/severance. Notification has been made that 37 posts have been identified where potential redundancy may occur. This position will be reviewed over the coming year.

4.9 SWITCH (Staff in Transition and Change)

The introduction of SWITCH provided a clear framework to ensure a fair and consistent approach to support and guide employees in a redeployment situation and a mechanism to assist employees in a redeployment situation transition to a new placement post whilst a suitable post is identified. This framework is key to the Councils Workforce Planning strategy and its intention to support employment opportunities within the local area. The SWITCH procedures develop a culture which makes best use of our workforce's talents and leads to greater engagement to support the Council's aim of no compulsory redundancies. The SWITCH programme will identify placement opportunities at no additional cost which will ensure that employees are gainfully employed until a suitable permanent post becomes available.

The SWITCH procedures updated and replaced previous redeployment and organisational change procedures allowing a proactive approach to be adopted which will respond to the changing needs of the organisation while ensuring that employees are supported through transition and provided with opportunities to develop into new roles.

Over the last year 8 employees have been successfully redeployed having accessed opportunities via SWITCH.

4.10 Integration of Health & Social Care

The CHCP will change to meet new legislative requirements of the Scottish Government and will become West Dunbartonshire Health and Social Care Partnership (HSCP) alongside the establishment of a new Integrated Joint Board.

The Scottish Government's Public Bodies (Joint Working) (Scotland) Act 2014 sets out the arrangements for the integration of health and social care across the country. The work that staff across the Health and Social Care Partnership have already invested, via the Community Health and Care Partnership, ensure that the enactment of this new legislation should not pose any significant challenges for West Dunbartonshire, nor indeed require any major structural reorganisations of local services.

4.11 Modern Apprentices

Employability remains a key strategic objective for the Council and the Modern Apprenticeship Programme makes a significant contribution to that goal. Departments identify through their workforce planning framework their resource requirements and assess on an annual basis where Modern Apprentices can be placed to provide training and future employment opportunities. In the year 2013/14, 84 Apprentices were provided across all departments.

4.12 Future Operating Model

The establishment of a future model for the organisations operation's will ensure that West Dunbartonshire Council is best placed to meet the organisational challenges that lie ahead. A model based on the following principles is currently being implemented across the Council and is being incorporated within departmental workforce planning;

- There should be no more than six layers below that of the Chief Executive
- The Council should be structured and organised in a way that best meets the needs of the community planning and joint working. Departments should be

designed to combine the most appropriate Services/functions supported by corporate business services.

- In line with the Council's Customer Service Strategy all customer engaging services must be accessible and based on community or locality hub model.
- At a strategic level, Heads of Service and Senior managers should have direct line management for at least 4 employees. Additionally there should be no direct reporting within the same grade.

4.13 Overtime Working Group

In response to the considerable budget pressures facing the Council senior officers from each department have been charged with examining current use of overtime within the Council and developing lower cost effective alternative models to deliver services. This will include an examination of current working patterns and service delivery demands, requirements and alternatives to overtime use and access to overtime payments within services/work groups.

4.14 Equality Duties

Following on from the Council's first Equal Pay Audit and subsequent action plan a number of key elements will be developed as part of our Workforce Planning Framework. Attracting women into traditional male jobs (trades and traditional manual jobs) and males into traditional female jobs - Pre five, Home Care will be further explored across all departments to ensure that our services can be effectively delivered within a framework of equality. Work continues within departments to review traditional roles and contracts of employment to remove any potential barriers to full time working that may exist within service areas.

4.15 Workforce Management System

Central to the Council's Workforce Planning framework is the provision and use of management information from the Council's Workforce management System (WMS). Accurate and real time information is essential to the delivery of effective people management and

4.16 Supporting our employees

The Council continues to support its employees through its flexible and innovative approach to employment policies. Policy development such as the development of a Carers leave scheme, Cancer Support Policy and Reservists policy demonstrate the value that the Council places on its employees both within and outwith employment placing the Council at the forefront of such developments across Scotland. In February 2015 the Council was the first Scottish Local Authority to be recognised for its commitment to supporting employees who are carers. We were awarded the Carers Scotland 'Care Positive' Kitemark, presented to employers who have a working environment where carers are valued and supported. The Council was also recognised this year as one of the Scottish Top Employers for Working Families and was the winner in the Best for all Stages of Fatherhood category. This was in recognition of the wide range of supports available to employees with family responsibilities across the Council.

5. Future Actions

5.1

The following actions will be progressed over the coming year:

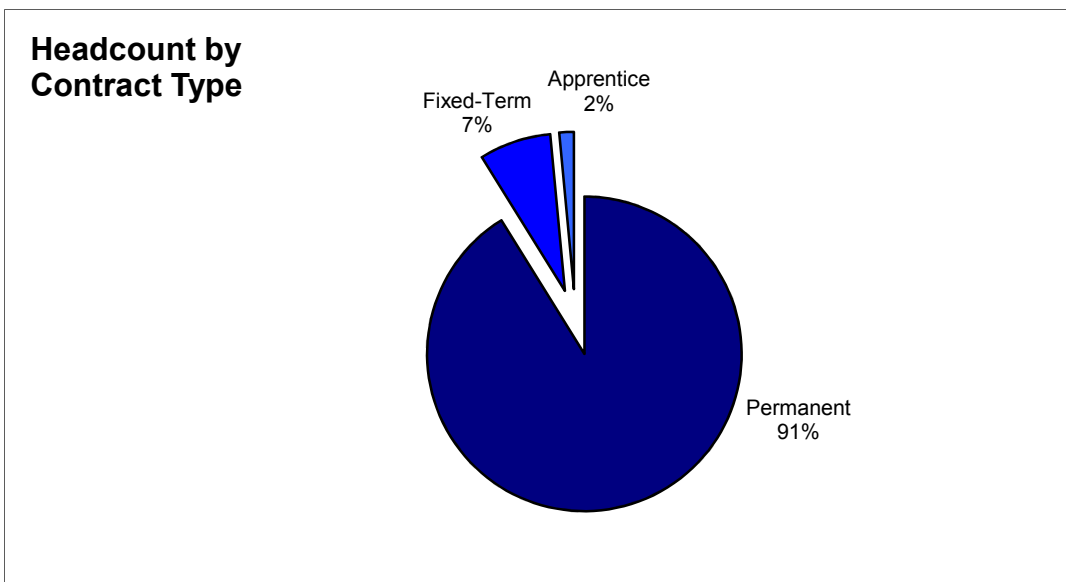
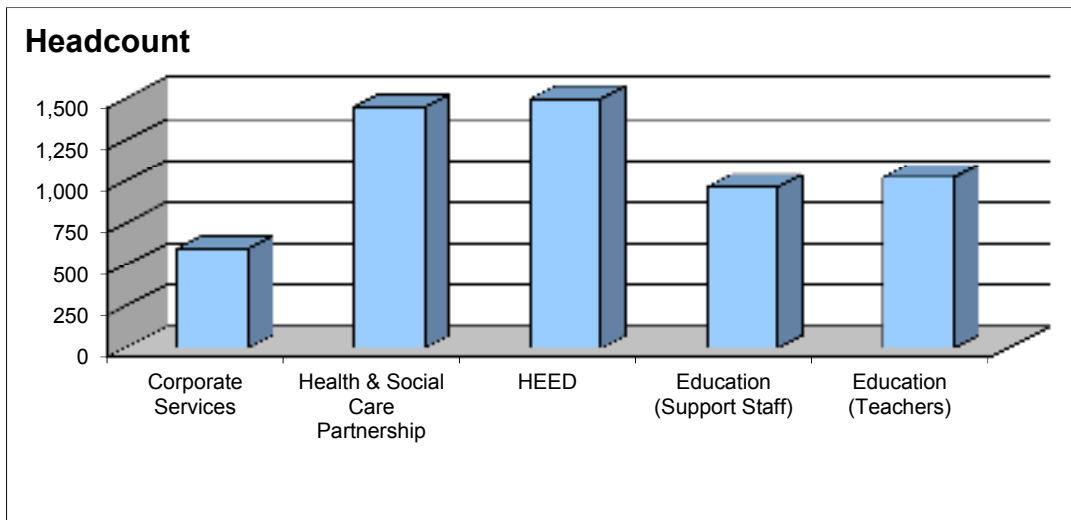
Action	Timescale
Further improve workforce planning process in liaison with Human Resource Business Partners.	Cyclical in line with framework
Ensure that appropriate consultation is undertaken in relation to the workforce resourcing implications of all future budget decisions.	In line with annual budget setting process
Introduction of a framework to support robust work experience programmes and annual intern programmes	2015/16
Maintain strategic focus on attendance management and implement revised Attendance Management Policy across Council	Ongoing
Further develop PDP process to link career development with succession planning.	2015/16
Assess future workforce resourcing issues in relation to Office and Depot rationalisation.	2015/16
Retendering of Occupational Health Provision	Sept 2015
Promotion of pension scheme benefits to non-members.	ongoing
Collection and collation of workforce metrics in relation to equality duties	2015/2016
Monitor and review employment policies in line with legislative changes and best practice.	As and when required
Consolidation of self-service modules relating to leave, expenses, PDP and reporting. Further system integration and upgrades.	2015/16
Implementation of revised Travel and Subsistence arrangements	Sept/October 2015

Appendix A

West Dunbartonshire Council Workforce Profile - 1 April 2015

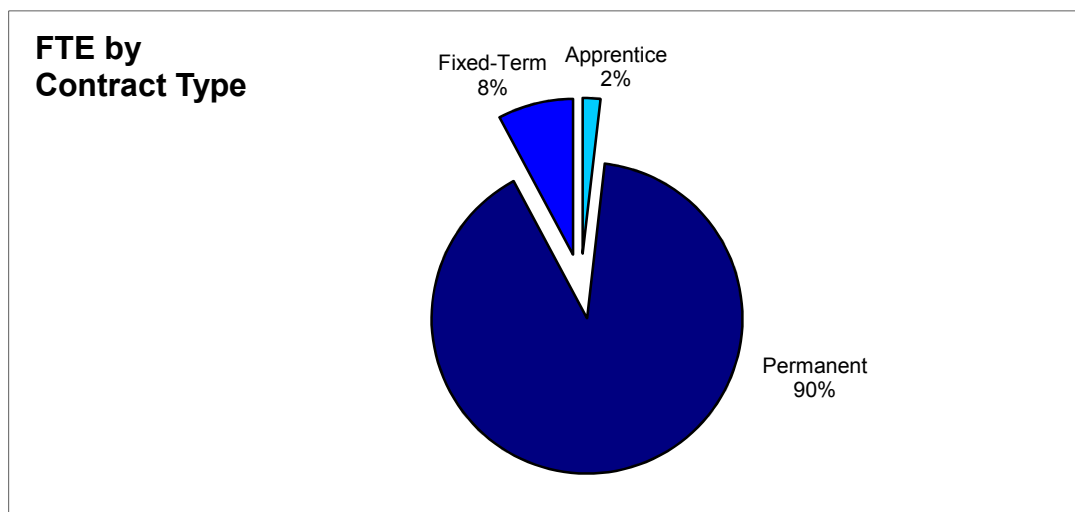
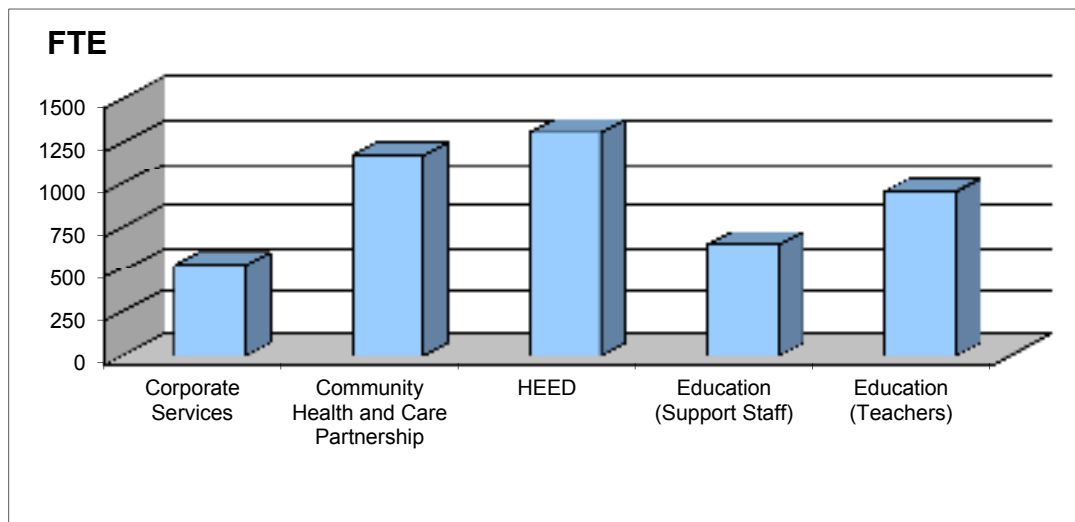
1. Headcount

	Permanent	Fixed-Term	Apprentice	Total
Corporate Services	552	39	10	601
Health & Social Care Partnership	1,390	36	24	1,450
HEED	1,480	135	39	1,654
Education (Support Staff)	888	67	11	966
Local Government Employees	4,310	277	84	4,671
Education (Teachers)	882	143	0	1,025
WDC Total	5,192	420	84	5,696



2. Full Time Equivalent

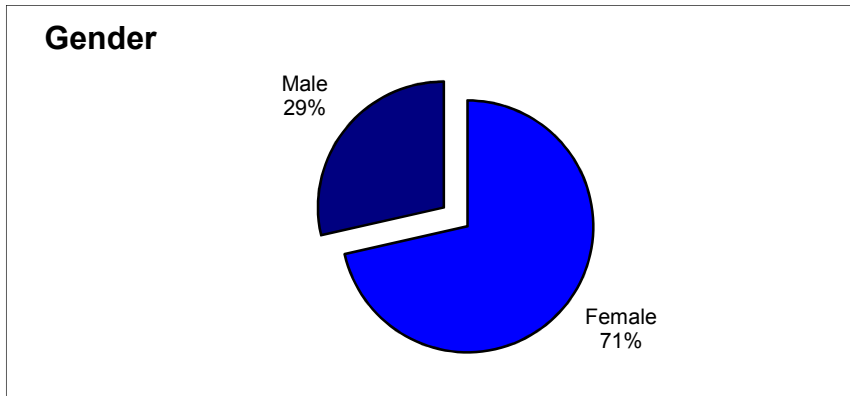
	Permanent	Fixed-Term	Apprentice	Total
Corporate Services	495.53	26.09	10.00	531.62
Community Health and Care Partnership	1,127.37	29.41	23.59	1,180.37
HEED	1,137.18	132.26	39.00	1,308.44
Education (Support Staff)	596.96	41.98	11.00	649.93
Local Government Employees	3,357.03	229.74	83.59	3,670.36
Education (Teachers)	822.48	132.63	0.00	955.11
WDC Total	4,179.51	362.37	83.59	4,625.47



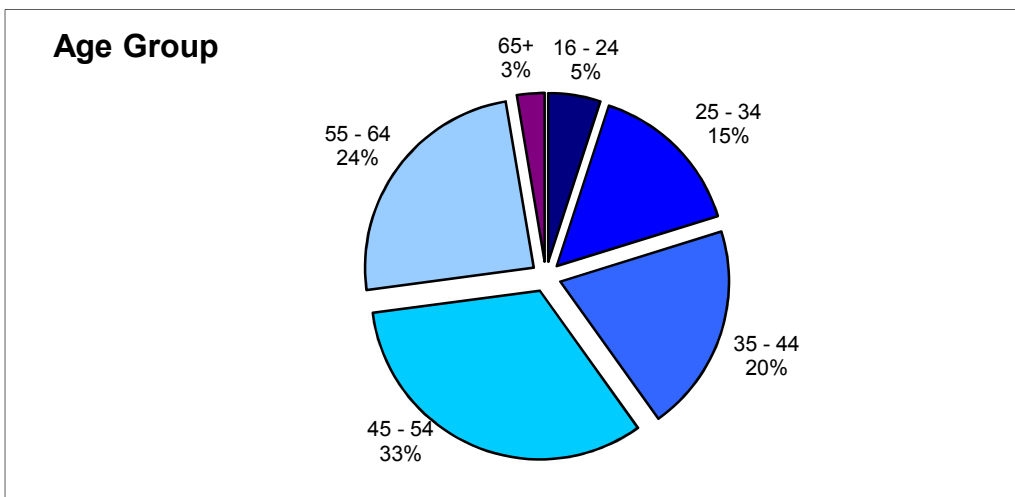
FTE has seen a decrease of 69 reflecting reduction in FTE mainly across Corporate Services, HEEDS and Education Teachers. Use of fixed term contracts has remained static with a 1% increase in number of permanent contracts.

3. Demographics

	Female	Male	Total
Corporate Services	427	174	601
Health & Social Care Partnership	1,219	231	1,450
HEED	744	910	1,654
Education (Support Staff)	860	106	966
Local Government Employees	3,250	1,421	4,671
Education (Teachers)	820	205	1,025
WDC Total	4,070	1,626	5,696



Age Range	16 - 24	25 - 34	35 - 44	45 - 54	55 - 64	65+	Total
Corporate Services	29	88	159	212	107	6	601
Health & Social Care Partnership	62	182	245	496	410	55	1,450
HEED	100	199	300	552	437	66	1,654
Education (Support Staff)	40	104	188	374	241	19	966
Local Government Employees	231	573	892	1,634	1,195	146	4,671
Education (Teachers)	54	293	242	233	198	5	1,025
WDC Total	285	866	1,134	1,867	1,393	151	5,696

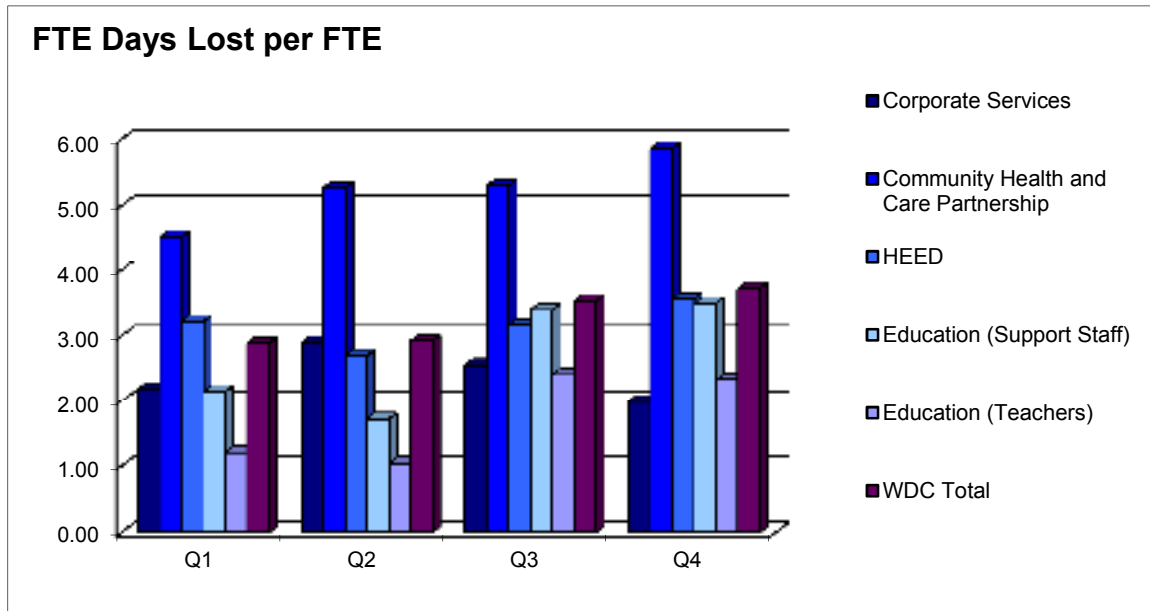


The Council's Gender Profile remains relatively static with 71% of the Council workforce being female. The overall profile which has not changed over the last year displays a number of workforce characteristics which are important in relation to our workforce planning processes.

- 27% of the Council workforce is over 55 years old with the largest age band falling between 45 and 54 years of age.
- 3% of the workforce are working beyond the "historic" retirement age of 65.
- 5% of staff are under 24 years old.

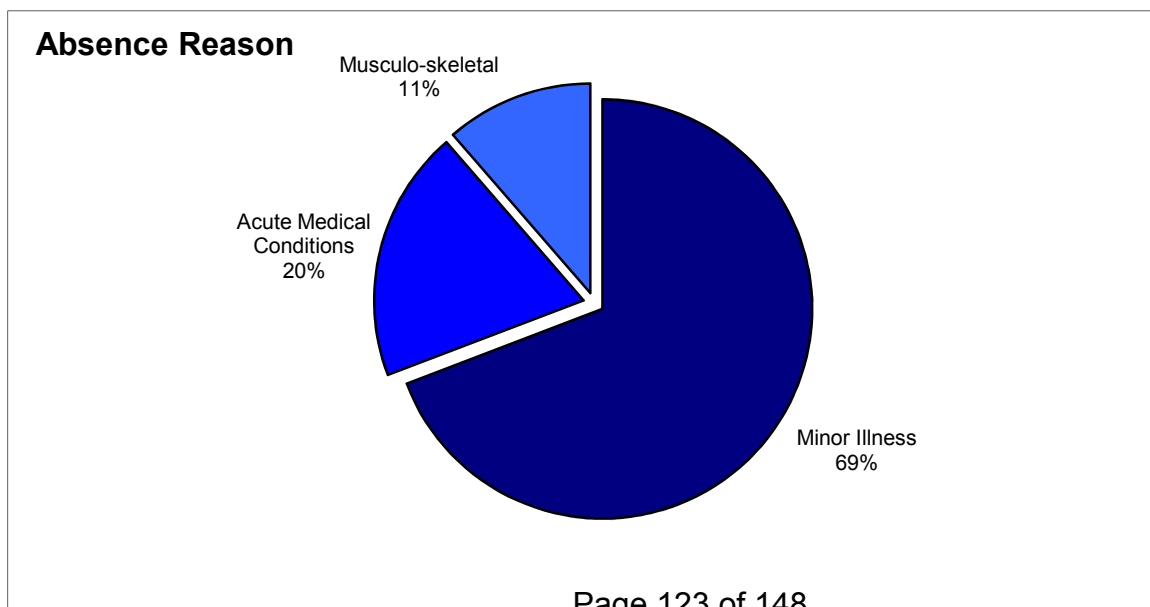
4. Sickness Absence

FTE Days Lost per FTE	Q1	Q2	Q3	Q4
Corporate Services	2.18	2.90	2.56	1.99
Health & Social Care Partnership	4.53	5.27	5.30	5.86
HEED	3.22	2.70	3.16	3.56
Education (Support Staff)	2.15	1.71	3.39	3.49
Local Government Employees	3.30	3.38	3.80	4.06
Education (Teachers)	1.20	1.04	2.41	2.34
WDC Total	2.89	2.92	3.53	3.72



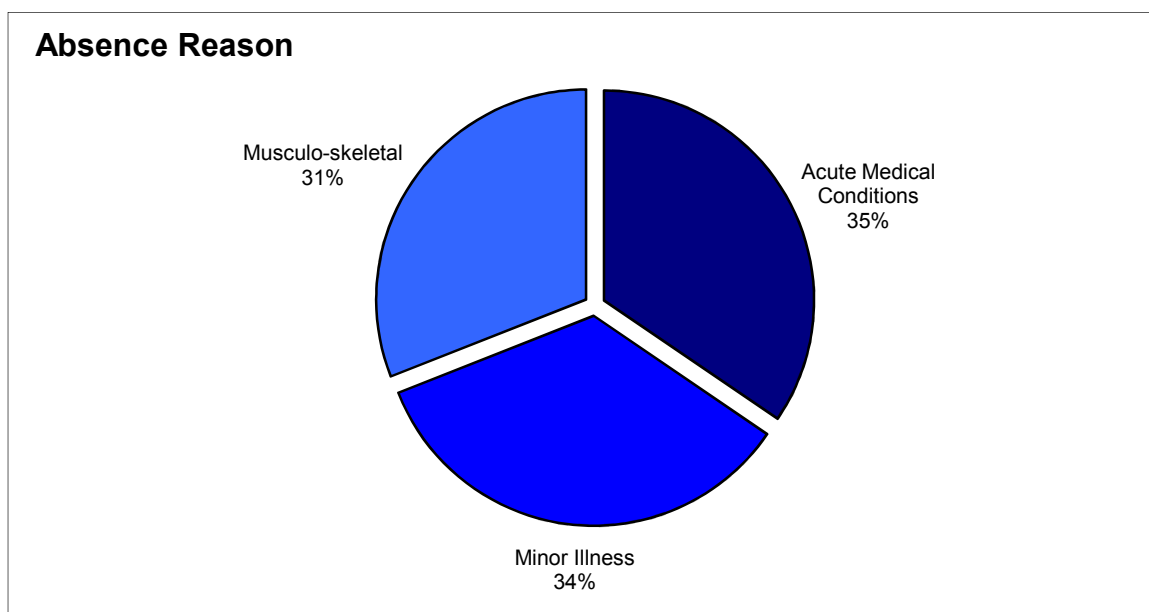
Top 3 Absence Reasons (by number of instances)

Reason	Minor Illness	Acute Medical Conditions	Musculo-skeletal	Total
Corporate Services	372	48	41	461
Health & Social Care Partnership	935	344	190	1,469
HEED	1,047	244	225	1,516
Education (Support Staff)	722	200	84	1,006
Local Government Employees	3,076	836	540	4,452
Education (Teachers)	488	164	46	698
WDC Total	3,564	1,000	586	5,150



Top 3 Absence Reasons (by number of calendar days lost)

Reason	Acute Medical Conditions	Minor Illness	Musculo-skeletal	Total
Corporate Services	2,424	1,569	710	4,703
Health & Social Care Partnership	8,696	7,695	8,667	25,058
HEED	6,004	7,194	7,772	20,970
Education (Support Staff)	3,402	3,602	2,430	9,434
Local Government Employees	20,526	20,060	19,579	60,165
Education (Teachers)	2,342	2,796	936	6,074
WDC Total	22,868	22,856	20,515	66,239



Attendance Levels for the year 2014/15 have increased on the previous year.

- The Council absence rate for the year is 12.9 FTE days lost by FTE employee, an increase of 12.5% when compared to last year's figure of 12.81 FTE days
- The teaching staff average absence rate for 2014/15 is 6.11 FTE days lost by FTE employee, an increase of 15.6% when compared to 2013/14.

Absence reasons show that

- Minor Illness remains the main reason for absence (26%) however the total days lost due to minor illness have decreased in comparison with 2013/14.
- Total days lost due to acute medical conditions and musculoskeletal conditions have increased marginally on previous year.
- Total days lost due to stress have remained mainly static.

5. Other Employee Information

Modern Apprentice Headcount	Level 2	Level 3	Total
Corporate Services	0	10	10
Health & Social Care Partnership	15	9	24
HEED	1	38	39
Education (Support Staff)	10	1	11
Local Government Employees	26	58	84
Education (Teachers)	0	0	0
WDC Total	26	58	84

Staff on Maternity/Paternity Leave	% of Staff	
Corporate Services	30	5.0%
Health & Social Care Partnership	40	2.8%
HEED	41	2.5%
Education (Support Staff)	33	3.4%
Local Government Employees	144	3.1%
Education (Teachers)	90	8.8%
WDC Total	378	6.6%

Appendix B

Summary of the Key Departmental Service Priorities/Issues and Resource Implications

Details of priorities or issues, which will happen and conclude during the current financial year and future years together with their implications, are contained within individual departmental Workforce Plans

A summary of key issues that will impact on the Council's workforce are detailed below.

Corporate Services

1. Assess the implications of Welfare Reform and Introduction of Universal Credit
2. Development of Dumbarton One Stop Shop
3. Ongoing review of Business Processes
4. Development of a Council wide administration support team
5. Working 4U single service integration
6. Extension of Customer Service arrangements
7. Optimise ICT customer service
8. Deliver a single corporate approach to performance management
9. Develop procurement capacity and capability across the Council
10. Strengthen our approach to community empowerment through engagement and empowerment of communities
11. Ongoing support of Council-wide change & transformation.

HSCP

1. Review existing Management Structure
2. Review existing service structures
3. Review the provision of Out of Hours services in support of unscheduled care programme and the review of clinical services.
4. Participate in any Council/NHS programmes piloting the use of agile technologies (e.g. District Nursing Services)
5. Monitor trends in workforce demographics in particular the percentage of the workforce in older age bandings

6. Establish a framework talent management and succession planning within the HSCP workforce
7. Ensure that service change initiatives are shared with staff involved and that they are updated on activity.
8. The HSCP will look at opportunities to promote workplace learning opportunities for school leavers, FE & HE students and look to offer Modern Apprenticeships in where possible
9. Assess existing competence levels using the Cross reference with the NHSGGC Dementia Workforce Development Plan to identify available training
10. Deliver an L&E/OD plan for the HSCP

Educational Services

1. Appoint staff as required by each intervention to meet the needs of the Scottish Attainment Challenge
2. Review of Libraries and Cultural Services
3. 'Opportunities for All' posts mainlined
4. Review of Early Years
5. Review of Breakfast club provision
6. Cosla Agreements 2011 - commitment to maintain teachers numbers and ratio within the census
7. New mandatory Headship Qualification
8. Address the difficulties WDC are experiencing recruiting HT in the primary sector
9. Address the difficulties WDC are experiencing retaining Heads of Centres in Early Years
10. Changes to Schools Estate

HEEDS

1. Changes to School Estate – OLSP Bellsmyre/Kilpatrick
2. IHMS Project
3. Restructure Maintenance and Repairs
4. Restructure of Strategy and Improvement Team
5. TUPE of Business Gateway staff to Council
6. TUPE transfer of Outdoor Recreation to WDLT
7. Implement ASB and Estates Restructure and new service delivery model
8. Delivery of Housing new build programme and HRA Capital Programme
9. Delivery of the Council's Capital Investment Programme

WEST DUNBARTONSHIRE COUNCIL**Report by Head of People & Transformation****Corporate Services Committee: 12 August 2015**

Subject: Revised Reservist Policy and Employer Recognition Scheme Award**1. Purpose**

- 1.1 To update the Corporate Services Committee on revisions made to the Reservists Policy as a result of legislative changes and to note the Employers Recognition Scheme Bronze Award achieved by the Council.

2. Recommendations

- 2.1 The Corporate Services Committee is asked to note the contents of the report and agree the changes to the Reservists Policy.

3. Background

- 3.1 The Council has in place well developed processes and procedures for the employment of Reservists with the current policy having been agreed in 2006.
- 3.2 From 1 October 2014 changes announced in the Defence Reform Act 2014 came into effect. These changes impact on both reservists and their employers and provide for a more prominent role for reservists and with greater job security.
- 3.3 There are currently 35,000 Volunteer Reservists in the UK who can be called out to supplement the Regular Forces whenever operational demands require.
- 3.4 West Dunbartonshire Council recognises and supports the work carried out by Volunteer Reservists and is committed to supporting employees who are volunteer reservists both while training and when they are mobilised for active service.

4. Main Issues

- 4.1 The current "Employing Members of the UK Reserve Forces Policy" has been updated to reflect legislative changes and new arrangement that came into place in October 2014 and new rules which came into effect on 27 March 2015. These provide greater financial assistance to employers including a new claim form which simplifies that process for employers should they wish to make claims. As West Dunbartonshire Council has well established procedures and practices in relation to employing and mobilising reservists there are no significant changes to the policy.

- 4.2** The Councils current Special leave Scheme grants up to 15 days special leave with pay for an employee who is a Volunteer Reservist to attend an annual training camp for a period of one week or more. As far as possible, line managers plan any work rosters to allow attendance at annual camp and other training commitments e.g. weekly or weekend training sessions. Reservists are required to give line managers as much notice as possible; certainly no less than 10 working days, of their training commitment to allow appropriate planning for absences.
- 4.3** Reservists employed by the Council bring valuable skills and training to the workplace including many transferrable skills that can supplement their development as part of the Council Workforce.
- 4.2** The Defense Employer Recognition Scheme rewards and recognizes UK employers for their support and commitment to defense and Reservists.
- 4.3** West Dunbartonshire has achieved a Bronze Award in recognition of its commitment to support reservists and take a positive stance towards existing or prospective members of the armed forces community. As a Bronze Award holder the Council will promote an Armed Forces friendly position and be open to employing reservists and Armed Forces Veterans.
- 4.6** A copy of the revised Policy is attached as Appendix 1.

5. People Implications

- 5.1** The employment of Reservists brings many benefits to organisations particularly in relation to skills, training and development. The Council has in place well developed processes and procedures for the employment of Reservists.
- 5.2** Development work is planned to collect and retain information on current reservists within the Workforce Management System.

6. Financial Implications

- 6.1** There are no direct financial implications associated with this report. The Council is not required to pay reservists employees while they are mobilised.

7. Risk Analysis

- 7.1** Risk of Reservists not identifying themselves to Council resulting in skills and training not being utilised.

8. Equalities Impact Assessment (EIA)

- 8.1** An Equality Impact Screening has been carried out and found no negative impact to any protected characteristic in relation to this policy.

9. Consultation

9.1 Trade Unions have been updated through the Employee Liaison Group and the revised policy was submitted to the JCF on 11 June 2015.

10. Strategic Assessment

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

Vicki Rogers
Head of People & Transformation
Date: 24 June 2015

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Appendices: Appendix 1 – Reservists Policy

Background Papers: None

Wards Affected: None

Reservists Policy

Implementation Date:



Quick Reference - Associated Documents and Version Control

Title	Reservists Policy
Version	Version 2
Responsible	HR & Workforce Development Manager
Committee approval date:	
Date reported to JCF:	11 June 2015
Consultation with trades unions:	Consultation was undertaken through ELG and JCF.
Supersedes Version	Version 1 -Employing Members of the UK Reserve Forces Policy 2006
Driver for change	New legislation introduced on employing reservists
Legislative Context	<p>Legislation relating to the Policy:</p> <ul style="list-style-type: none"> • Defence Reform Act 2014 • The Reserve Forces Act (1996) (RFA) • The Reserve Forces (Safeguard of Employment) Act 1985 • The Reserve Forces Financial Assistance Regulations 2005
Date for Review	As deemed necessary

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Reservists Policy

1. INTRODUCTION

- 1.1 The Council's committed to supporting employees who are Reservists during their employment and when they require to be mobilised.
- 1.2 The Policy provides information to employees and managers, including details on mobilisation and financial support.

2. SCOPE

- 2.1 This document applies to all employees of West Dunbartonshire Council.
- 2.2 The Council will ensure that good equal opportunities practice underpins the operation of this policy irrespective of age, disability, gender, gender re-assignment, race/ethnicity, religious faith/beliefs and sexual orientation, marital status, pregnancy/maternity. The policy and procedure has been fully impact assessed.

3 KEY PRINCIPLES

- 3.1 West Dunbartonshire Council recognises and supports the work carried out by the Reserve Forces and the benefits that the employment of Reservists can bring to the Council

4 APPLICATION OF POLICY AND PROCEDURES

4.1 Reservist's Training Commitments

- 4.1.1 The Council's Special Leave Scheme grants up to 15 days special leave with pay for an employee, who is a Reservist, to attend an annual training camp for a period of one week or more. This will be subject to the deduction of service pay and allowances received in respect of the period of special leave.
- 4.1.2 As far as possible, line managers will plan any work rosters to allow attendance at annual camp and other training commitments e.g. weekly or weekend training sessions.
- 4.1.3 Reservists are required to give line managers as much notice as possible; certainly no less than 10 working days, of their training commitment to allow appropriate planning for absences.

4.2 Procedure for Mobilisation

- 4.2.1 Mobilisation is the process of calling Reservists into full-time service to serve alongside the Regular Armed Forces on operations. All Reservists are committed to the possibility of being mobilised if necessary. They are normally

required to serve abroad but it is possible they would be needed to serve in the UK, for example in the event of a national emergency. Appendix 1 provides further information on mobilisation.

4.3 Exemption and Deferral from Mobilisation

- 4.3.1 The Council has the right to ask for exemption from, or deferral of, mobilisation if it is considered that the absence of the individual Reservist will cause serious harm to the business of the Council. Appendix 2 provides further information on exemption and deferral.

4.4 Mobilisation and Financial Assistance

- 4.4.1 Mobilising a Reservist will impact on the Council's resources and service delivery. The Council is entitled to claim financial assistance if finding a temporary replacement incurs additional costs. Appendix 3 provides further information on the financial assistance available to the Council.

4.5 Demobilisation

- 4.5.1 After completing their tour of duty, Reservists will be demobilised. On being advised by the Reservist that they intend returning to their job giving at least 4 weeks notice, the Council will ensure that individuals get full support in terms of their employment and welfare. Appendix 4 provides further information on demobilisation.
- 4.5.2 Demobilisation can often be a difficult and challenging time for them as Reservists face re-integration and adjustment back into family and social life and their job. Managers must also be aware of the impact on teams which have worked for some time without the Reservist. Annex 5 provide information on the re-induction of Reservists back into their job.

4.6 Reintroduction to Employment

- 4.6.1 After completing military service, Reservists will be demobilised and are guaranteed their job or a job of a similar type to return to. It is important at this time that employees return to work is planned by line managers in a supported and structured manner. Appendix 5 gives additional information on returning to work after demobilisation.

4.7 The Personal Development of Reservists

- 4.7.1 The training undertaken by Reservists enables them to develop skills and abilities that can be of benefit to them as employees, and to the Council in terms of service delivery.
- 4.7.2 A greater understanding of the training and skills development carried out by Reservists will assist managers in conducting PDP procedures. The Organisational Development Team can provide

advice to managers on this aspect of employees being members of the Reserve Forces.

5. RESPONSIBILITIES

- 5.1 It is the responsibility of all employees to advise their line manager and HR&OD services they are members of the Reserve Forces.
- 5.2 Managers who have employees in the Reserve Forces must ensure they are familiar with the contents of this policy, and are able to work within its framework to support employees.
- 5.3 Employees who are members of the Reserve Forces have a responsibility to ensure they are familiar with the contents of the policy.

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Appendix 1

Mobilisation

Mobilisation is the process of calling Reservists into full-time service to serve alongside the Regular Armed Forces on operations. All Reservists are committed to the possibility of being mobilised if necessary. They are normally required to serve abroad but it is possible they would be needed to serve in the UK, for example in the event of a national emergency. These are the steps:

What happens?

Each of the Reserve Forces follows a strict procedure when mobilising Reservists. This includes notifying both you and your Reservist of the date when they are required to report for duty and a period of pre-mobilisation training.

As soon as a Reservist receives a call-out notice, they should inform their employer. Their employer should also receive an information pack, which sets out the date and possible duration of mobilisation as well as their statutory [rights and obligations](#) and how to apply for [financial assistance](#). Both Reservist and employer have the right to apply for an [exemption or deferral of mobilisation](#) under certain exceptional circumstances.

How much notice will I get?

Where ever possible the MOD aims to give at least 28 days' notice of mobilisation, although for operational reasons it can sometimes be less. There is no statutory requirement for a minimum period of notice of mobilisation.

The circumstances and notice periods of mobilisation are, however, different for High Readiness Reserves. See [Types of Reservist](#)

Appendix 2

Appealing against mobilisation

In all cases of mobilisation, you have the right to seek exemption from it, or defer or revoke it if the Reservist's absence will cause serious harm to your business or a related business.

Grounds for exemption, deferral and revocation

Definitions of 'harm' to your business will vary from case to case, but the Regulations stipulate they should include:

- loss of sales, markets, reputation, goodwill or other financial harm
- impairment of the ability to produce goods or provide services
- harm to the research and development of new products, services or processes (which could not be prevented by the granting of financial assistance under sections 83 and 84 of The Reserve Forces Act 1996).

How to apply for exemption, deferral or revocation of mobilisation

If you want to apply for exemption, deferral or revocation of the mobilisation, you should do this within seven days the mobilisation notice being served. If you don't, you'll have to get permission to make a late application from the Adjudication Officer (see addresses below). This is usually a serving officer or an official appointed by the Ministry of Defence. Your Reservist also has the right to apply for exemption or deferral if their call-out papers arrive at a difficult time.

What information will you need to give when applying?

The more information you provide the better. For example, details such as your Reservist's name, address, payroll number and National Insurance number.

You should also give:

- full details of the business in which they're employed;
- their role;
- the effect their absence will have on the business if they're called out;
- grounds for exemption in terms of serious harm to the business. You can find information about this in the call-out pack.

How your application will be decided

An Adjudication Officer will decide whether an application for exemption, deferral or revocation will be accepted. They'll do their best to develop a thorough understanding of the implications for your business and to give you an answer as quickly as possible. Their decision will be based on a careful balance of your needs against those of the operation the Reservist has been called out for. For example, your application is more likely to succeed if the Reservist has skills that are widely available within the Service, but very specialised ones within the workplace.

Who to contact

If you want to apply for exemption, deferral or revocation you should contact either:

- the person specified in the call-out notice
- the Adjudication Officer at the mobilisation centre
- the Adjudication Officer appointed for the Service in which the Reservist will serve, at one of the addresses below:

Royal Navy/Royal Marines

Royal Navy and Royal Marines Adjudication Officer
West Battery (MPG-2)
Whale Island
PORTSMOUTH PO2 8BX

Tel: 02392 623527

Fax: 02392 628660

Email: NAVYLEGAL-RESERVESADJSO2@MOD.UK

Army Reserve

Army Adjudication Officer
Army Personnel Centre
PO Box 26703
GLASGOW G2 8YN

Tel: 0800 389 6585

Fax: 0141 224 2689

Email: apc-cmops-mob-so2@mod.uk

Royal Air Force

Royal Air Force Adjudication Officer
Royal Air Force Adjudication Service
c/o Imjin Barracks
Innsworth
GLOUCESTER GL3 1HW

Tel: 01242 682545

Fax: 01242 682510

Email: aira1-woadj@mod.uk

What options are available if an application is unsuccessful?

If you are dissatisfied with an Adjudication Officer's decision you can apply to a [Reserve Forces Appeals Tribunal \(RFAT\)](#).

Appendix 3

Financial assistance

On 27 March 2015, new rules came into effect that provide greater financial assistance to employers. This includes the introduction of a [new claim form](#), to simplify the process for employers and self-employed Reservists to make claims.

What you can claim for

Financial assistance additional costs

You don't have to continue to pay your Reservist employee while they're mobilised as they will be on military pay. (If you did choose to continue paying your Reservist whilst they are on mobilisation the MOD will not be able to reimburse you for this.)

Employers and self-employed Reservists can claim financial assistance to cover additional salary and employment related costs incurred. Such additional costs may include:

- Salary costs of a temporary replacement, if they exceed the usual cost of the Reservist employee's salary, to a maximum of £110 per working day for which the employee is mobilised;
- Agency fees, if you use a recruitment or employment agency to find a temporary replacement;
- Non-recurring advertising costs to find a temporary replacement. There's no maximum amount you can claim for such non-recurring costs, but you must be able to support your claim with invoices or bills;
- Up to 5 days handover costs before the employee is mobilised and up to 5 days takeover costs after they return to work;
- 75% of the costs up to a maximum of £300 for purchasing specialist clothing for a person who replaces a mobilised Reservist;
- Self-employed Reservists may claim expenses (capped at £2000) for related costs incurred when ceasing trading during mobilisation;
- Training costs (capped at £2000) for essential training to enable a replacement to fulfill a mobilised Reservist's role during mobilisation;
- Overtime, if you use other employees to cover the work of the Reservist;

Financial assistance for re-training

You can claim for any re-training essential for your Reservist employee or yourself if a self-employed Reservist to be able to carry out duties properly. In order to make a claim you'll need to be able to demonstrate that the Reservist or yourself needs the training as a result of having been mobilised - the MOD won't pay for training that would have been carried out anyway. There's no cap on the amount you can claim, but you will have to provide evidence of the costs.

Pension contributions

A Reservist who is called out is entitled to remain a member of their occupational pension scheme, but will be auto-enrolled in the Armed Forces Pension Scheme. If the Reservist elects to "Opt out" of the Armed Forces Pension Scheme during mobilisation, provided that they agree to continue to pay their own contributions, the MOD will pay the employer contributions

for the period. This payment is made as part of an award to the Reservist - you don't need to submit a claim for it. If a Reservist chooses to stay a member of their occupational pension scheme they will have to provide details of the pension provider and amounts of the contributions.

With the introduction of the new [Armed Forces Pension Scheme 2015 \(AFPS15\)](#) from 1 April 2015 a Reservist's pension takes into account all days of paid service including training and mobilisation. A Reservist can also choose to continue with their civilian pension scheme during these periods, although other options are available. During periods of permanent (mobilised) service, personnel must choose to 'opt out' of AFPS 15 if they intend to apply for the MOD to pay the employer contributions into their occupational pension scheme. In this instance, the Reservist must continue to make their contributions to the employer pension scheme during the mobilisation period.

How to make a claim for financial assistance

Download the easy to follow [claim form](#) here.

Further details on the process and timing for making claims, and how to seek advice are also available [here](#).

What you can't claim for

Reservist's salary or benefits

You don't have to pay your Reservist's salary or benefits in kind while they're mobilised. If you do choose to continue paying them, you can't claim for this.

Loss of profits, turnover or goodwill

You can't claim for any of these. If you believe losing your Reservist employee will do serious harm to your business, you should seek [exemption, deferral or revocation of mobilisation](#).

The Financial Assistance Regulations

For full details view The Reserve Forces Financial Assistance Regulations 2005, which can be downloaded as part of our 'Legal Aspects pack' (click download now on the right and enter your details).

Appendix 4

Demobilisation

What happens during demobilisation?

Your Reservist won't be coming back to you direct from the front line. The Armed Forces have a series of procedures in place to help them readjust to civilian life:

1. Adaption

Before returning home, your Reservist may undergo a process of 'winding down' with their unit in a controlled environment for up to four days. Here, they'll be given time to relax as well as receive a series of briefings to help prepare them for civilian life. These include:

- An update on media coverage of the conflict they've been involved in, so they'll know what people at home have heard about it.
- A presentation on Post Traumatic Stress Disorder by specially trained medical staff, and the opportunity for one-to-one interviews.

2. Assessment

Once Reservists arrive back in the UK, they're taken to their demobilisation centre, where the process of reintegration continues. As well as all the necessary post-operative administration procedures, such as handing back their uniforms, they undergo a series of medical assessments, and receive further briefings on stress, their return to work, welfare guidance and advice. One-to-one and specialist sessions are available throughout the Reservist's remaining time in service, and will continue for as long as needed.

3. Post-operational leave

The Reservist is then formally demobilised and free to start their post-operational leave. All Reservists are entitled to a period of leave and Reservists continue to be paid by the MOD during this period. (This usually works out at an average of around 30 days.) Post-operational leave allows them time to fully readjust and prepare for civilian life. It's also an ideal time to get in touch if you haven't done so before. Regular contact with your Reservist will help make their return to work that much smoother and easier. Their final day of post operational leave is known as their last day of whole-time service, and the last day they receive full military pay.

4. Last day of whole-time service

A Reservist's last day of whole-time service signals their final day of full military pay. They must write to you formally, to state their readiness to return to work no later than the 3rd Monday following their last day of whole-time service. The start date for your Reservist's return to work should be within around 6 weeks of their last day of whole time service (The timelines which need to be followed during this process are set out within the Safeguard of Employment Act 1985, this can be downloaded as part of SaBRE's Return to Work Pack).

The importance of keeping in touch

Regular contact with your Reservist during their post-operational leave will help ease their transition back to work. Most employers find it really useful to keep managers and colleagues

informed during this period, and to have an informal interview with their Reservist on their return. This will give them the opportunity to talk about their experiences and for you to update them on what's been going on in their absence.

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Appendix 5

Reinstating a Reservist after mobilisation

In order to return to work a Reservist needs to write to their employer requesting reinstatement in their role and agree a return to work date. There are certain responsibilities for both parties at this time to ensure a smooth [return to work](#).

Your Reservist's obligations

Your Reservist has to write to you to formally state that they're available to come back to work no later than the third Monday after their last day of full-time service, unless there are extenuating circumstances such as sickness. Their last day of whole-time service is the final day they receive full military pay, for more information see [demobilisation](#).

A Reservist must also tell you the date on which they'll be available to start back at work. This date should also fall within a set time limit, approximately 6 weeks of the last day of full-time service. These time frames are set out within the Reserve Forces (Safeguard of Employment Act) 1985.

Your obligations

- The Reserve Forces (Safeguard of Employment) Act 1985 gives Reservists the right to be re-employed by their former employer in the same role on equally favourable terms and conditions as before. If this is not possible then a suitable alternative should be offered which is the most favourable occupation on the most favourable terms and conditions which are reasonable and practicable.
- You must continue to employ the returning Reservist for a set number of weeks, depending on how long they've been with you before they were mobilised. They are entitled to be re-employed for a minimum of 13, 26 or 52 weeks, depending on their length of employment before their mobilisation.
- You have to re-employ them from, or as soon as possible after, the date on which they told you they'd be ready to return. You aren't allowed to make them return to work before this date.
- Reservists can be included in a redundancy pool if this is necessary due to a downturn in business or closure of a department or branch. However, all employees should be treated consistently and redundancy criteria should not discriminate against Reservists on the grounds of their Reserve service or call-up liability.

What if an offer of an alternative form of employment is rejected?

If a Reservist is not happy with the offer of alternative employment they must write to you stating why there is reasonable cause for them not to accept it. If a Reservist believes that an employer's response to their application denies their rights under the Safeguard of Employment Act 1985, an application can be made to a Reinstatement Committee for assessment. They will consider the Reservist's application and, if they accept it, can make an order for reinstatement and/or compensation.

Can you appeal?

Yes you can. In order to appeal against a reinstatement committee's decision you can make further appeals to an Umpire.

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