

# Agenda



## Corporate Services Committee

**Date:** Wednesday, 13 November 2019

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**Time:** 10:00

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**Venue:** Council Chamber,  
Clydebank Town Hall, Dumbarton Road, Clydebank

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

Dear Member

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

Yours faithfully

**JOYCE WHITE**

Chief Executive

### Distribution:-

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

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

Date of issue: 31 October 2019

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## **CORPORATE SERVICES COMMITTEE**

**WEDNESDAY, 13 NOVEMBER 2019**

### **AGENDA**

**1 STATEMENT BY CHAIR – AUDIO STREAMING**

The Chair will be heard in connection with the above.

**2 APOLOGIES**

**3 DECLARATIONS OF INTEREST**

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

**4 MINUTES OF PREVIOUS MEETING 7 - 10**

Submit for approval as a correct record, the Minutes of Meetings of the Corporate Services Committee held on 21 August 2019.

**5 MINUTES OF JOINT CONSULTATIVE FORUM – 11 - 12  
3 SEPTEMBER 2019**

Submit for information and where necessary ratification, the Minutes of Meeting of the Joint Consultative Forum held on 3 September 2019.

**6 OPEN FORUM**

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

**7 REGULATORY DELIVERY PLAN 2019/20: MID-YEAR 13 - 22  
PROGRESS**

Submit report by the Strategic Lead - Regulatory setting out the mid-year progress of the Regulatory Delivery Plan.

**8 COMMUNICATIONS, CULTURE, COMMUNITIES & FACILITIES DELIVERY PLAN 2019/20: MID-YEAR PROGRESS 23 - 34**

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

**9 PEOPLE AND TECHNOLOGY DELIVERY PLAN 2019/20: MID-YEAR PROGRESS 35 - 44**

Submit report by the Strategic Lead - People and Technology setting out the progress to date in delivery of the actions detailed within the People and Technology Delivery Plan 2019/20.

**10 RESOURCES DELIVERY PLAN 2019/20: MID-YEAR PROGRESS 45 - 56**

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

**11 CORPORATE SERVICES BUDGETARY CONTROL REPORT TO 30 SEPTEMBER 2019 57 - 80**

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

**12 DUMBARTON COMMON GOOD FUND – GRANT APPLICATIONS 81 - 86**

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

**13 WRITE-OFF OF MISCELLANEOUS INCOME DEBTOR ACCOUNTS – QUARTER 2, 2019/20 87 - 90**

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



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|-----------|---|--|
| <b>14</b> | <b>PROVISION OF BANKING SERVICES</b>  | <b>91 – 94</b>                                       |
|           | Submit report by the Strategic Lead – Resources seeking approval to commence the tendering process for the Provision of Banking Services for the period 1 April 2021 to 31 March 2024, with an option to extend until for a further 2 years to 31 March 2026.   |  |
| <b>15</b> | <b>EMPLOYEE WELLBEING: ATTENDANCE MANAGEMENT<br/>CORPORATE SERVICES BI-ANNUAL UPDATE (APRIL – SEPTEMBER 2019)</b>   | <b>95 - 110<br/>(Appendices 3 - 5<br/>to follow)</b> |
|           | Submit report by the Strategic Lead – People & Technology providing detailed analysis on employee wellbeing and attendance from 1 April – 30 September 2019 for the Strategic Lead areas covered by Corporate Service Committee and a biannual update on Council wide attendance for the same period. |  |
| <b>16</b> | <b>SUPPORTING EMPLOYEE WELLBEING POLICY</b>   | <b>111 - 148</b>                                     |
|           | Submit report by the Strategic Lead – People & Technology providing an update on the review of the former Attendance Management policy and the subsequently agreed Supporting Employee Wellbeing Policy.  |  |
| <b>17</b> | <b>WORKFORCE MONITORING REPORT (1 APRIL – 30 SEPTEMBER 2019)</b>  | <b>149 - 156</b>                                     |
|           | Submit report by the Strategic Lead – People & Technology providing workforce monitoring information relating to the period 1 April – 30 September 2019.  |  |
| <b>18</b> | <b>REVIEW OF CODE OF CONDUCT AND ON GIFTS,<br/>HOSPITALITY AND REGISTER OF INTERESTS</b>  | <b>157 – 184</b>                                     |
|           | Submit report by the Strategic Lead – People & Technology providing a summary of the changes made to the Code of Conduct and the associated guidance on gifts, hospitality and register of interests.   |  |
| <b>19</b> | <b>REVISED EMPLOYER DISCRETIONS – LOCAL<br/>GOVERNMENT PENSION SCHEME (SCPTLAND)</b>  | <b>185 - 202</b>                                     |
|           | Submit report by the Strategic Lead – People & Technology providing an update on the review of the Council's Statement of Policy, and the proposed revisions to the Statement.  |  |

**20      ANNUAL PERFORMANCE OF WEST DUNBARTONSHIRE      203 - 262**  
**LEISURE TRUST FOR YEAR TO 31 MARCH 2019**

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

**21      TRANSFORMATION OF ONE STOP SHOPS AND LIBRARY      To follow**  
**SERVICES**

Submit report by the Strategic Lead – Communications, Culture, Communities & Facilities on the above.

**22      REVIEW OF COMMUNITY FACILITIES      To follow**

Submit report by the Strategic Lead – Communications, Culture, Communities & Facilities on the above.

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## **CORPORATE SERVICES COMMITTEE**

At a Meeting of the Corporate Services Committee held in the Council Chamber, Clydebank Town Hall, Dumbarton Road, Clydebank on Wednesday, 21 August 2019 at 2.00 p.m.

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

**Attending:** Joyce White, Chief Executive; Angela Wilson, Strategic Director – Transformation and Public Service Reform; Peter Hessest, Strategic Lead – Regulatory; Stephen West, Strategic Lead – Resources; Malcolm Bennie, Strategic Lead – Communications, Culture & Communities; Victoria Rogers, Strategic Lead – People & Technology; Annabel Travers, Procurement Manager; Arun Menon, Business Support Manager; Patricia Kerr, Manager of ICT; Alison McBride, OD & Change Manager; John Duffy, Section Head – Risk and Health & Safety; Brian Miller, Section Head – ICT Infrastructure; Adrian Gray, Finance Business Partner; Geraldine Lyden, HR Business Partner; Cher Colquhoun, HR Advisor and Craig Stewart, Committee Officer.

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

**Councillor Ian Dickson in the Chair**

### **STATEMENT BY CHAIR – AUDIO STREAMING**

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

### **DECLARATIONS OF INTEREST**

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

## **MINUTES OF PREVIOUS MEETING**

The Minutes of Meetings of the Corporate Services Committee held on 22 May 2019 (Ordinary Meeting) and 19 June 2019 (Special Meeting) were submitted and approved as correct records.

## **MINUTES OF JOINT CONSULTATIVE FORUM – 13 JUNE 2019**

The Minutes of Meeting of the Joint Consultative Forum held on 13 June 2019 were submitted for information and, where necessary, ratification.

## **OPEN FORUM**

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

## **CORPORATE SERVICES BUDGETARY CONTROL REPORT TO 31 JULY 2019 (PERIOD 4)**

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

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

- (1) to note that the revenue account currently showed a projected annual favourable variance of £0.031m (0.15% of the total budget); and
- (2) to note that the capital account was showing a projected in-year overspend of £0.247m due to expenditure in 2019/20 being accelerated, with the project life projection being on budget.

## **CORPORATE DEBT POLICY**

A report was submitted by the Strategic Lead – Resources seeking approval of the revised Corporate Debt Policy.

After discussion and having heard the Business Support Manager in further explanation of the report and in answer to Members' questions, the Committee agreed to approve the revised Corporate Debt Policy.

## **UPDATE ON PROGRESS OF THE PROCUREMENT STRATEGY 2017/2022**

A report was submitted by the Strategic Director – Transformation & Public Service Reform providing an update on the outcomes achieved in 2018/19 relative to the Corporate Procurement Strategy and confirming the action plan for 2019/20.

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

- (1) to note the outcomes achieved within the 2018/19 action plan; and
- (2) to note the actions/Performance Indicators for 2019/20.

## **STRATEGIC RISKS 2017-22**

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

After discussion and having heard the Section Head – Risk and Health & Safety, the Strategic Lead – People & Technology and relevant officers in elaboration and in answer to Members' questions, the Committee agreed to note the strategic risks as detailed in Appendix 1 to the report.

## **INFORMATION SECURITY POLICY REVIEW**

A report was submitted by the Strategic Lead – People & Technology providing an update on the Information Security Policy and seeking approval of same.

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

- (1) to note that there have been significant technological changes since the last review and this required a rewrite to address the changing and emerging threats;
- (2) to note that the ICT Security Policy was now a wider framework of documents including:-
  - Acceptable Use Policy (AUP)
  - Acquisition and Disposal of ICT
  - Privacy and Monitoring
  - Information Security - DPA forum charter
  - Reporting of Information Security concerns; and
- (3) to approve the revised Information Security Policy and the associated framework documents listed in Paragraph (2) above.

## **REVIEW OF SUPPORTING EMPLOYEE PERFORMANCE POLICY**

A report was submitted by the Strategic Lead – People & Technology providing an update on the review of the Supporting Employee Performance Policy and the proposed changes.

Having heard the HR Advisor in further explanation of the report, the Committee agreed to approve the revised Supporting Employee Performance Policy (as detailed in Appendix 2 to the report).

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

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

After discussion and having heard the HR Business Partner in further explanation of the report, the Committee agreed:-

- (1) to note the content of the report;
- (2) to approve the recommended revisions to the Statement of Policy on Discretions; and
- (3) that the Council's list of discretions would be updated upon receipt of the master list.

The meeting closed at 3.13 p.m.

## **JOINT CONSULTATIVE FORUM**

At a Meeting of the Joint Consultative Forum held in the Council Chamber, Clydebank Town Hall, Dumbarton Road, Clydebank on Tuesday, 3 September 2019 at 2.00 p.m.

**Present:** Councillors Karen Conaghan, David McBride, Jonathan McColl and Iain McLaren; James Halfpenny (EIS); George Mitchell, David Scott and John Wagner (GMB); Claire Mackenzie (SSTA); Andy McCallion and David Smith (UNISON); and Margaret Wood (Unite).

**Attending:** Victoria Rogers, Strategic Lead – People and Technology; Malcolm Bennie, Strategic Lead – Communications, Culture, Communities and Facilities; Claire Cusick, Senior Education Officer - Pupil Support; Alison McBride, Strategic People and Change Manager; Raymond Lynch, Senior Solicitor; and Scott Kelly, Committee Officer.

**Apologies:** Apologies for absence were intimated on behalf of Councillors Jim Finn and Daniel Lennie; Stephen McCrossan (EIS); Val Jennings (UNISON); Richard Cairns, Strategic Director – Regeneration, Environment and Growth; Jim McAloon, Strategic Lead – Regeneration; Stephen West, Strategic Lead – Resources; and Julie Lusk, Head of Mental Health, Addictions and Learning Disability.

### **DECLARATIONS OF INTEREST**

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

### **MINUTES OF PREVIOUS MEETING**

The Minutes of Meeting of the Joint Consultative Forum held on 13 June 2019 were submitted and approved as a correct record.

### **ANNUAL MONITORING REPORT – EMPLOYMENT EQUALITIES**

A report was submitted by the Strategic Lead – People and Technology advising of employment equalities matters for the year 2018/19.

After discussion and having heard the Strategic Lead – People and Technology in further explanation of the report and in answer to a Member's question, the Forum agreed to note the contents of the report.

### **TRADES UNIONS ISSUES**

The Forum noted that the Trades Unions have not provided, in advance of the meeting, any issues that they wish to raise.

The meeting closed at 2.15 p.m.

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**WEST DUNBARTONSHIRE COUNCIL****Report by Strategic Lead – Regulatory****Committee: Corporate Services Committee 13 November 2019**

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**Subject: Regulatory Delivery Plan 2019/20 - Mid-Year Progress****1 Purpose**

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

**2 Recommendations**

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

**3 Background**

- 3.1** Each Strategic Lead developed a delivery plan for 2019/20. This sets out actions to help meet the Council's priorities and address the key service challenges identified through the planning process. It also provides an overview of services and resources, including employees and budgets, and identifies relevant risks.
- 3.2** The Regulatory Delivery Plan was approved by Corporate Services Committee on 22 May 2019 with a commitment to submit a mid-year progress report.

**4 Main Issues****2019/20 Mid-Year Progress**

- 4.1** The Regulatory delivery plan contains a range of actions designed to support delivery of the strategic priorities of the council. At this mid-point of the year, one action within the plan has been completed with a further sixteen making good progress and on track for delivery by 31 March 2020. Appendix 1 sets out the mid-year progress of the Regulatory Delivery Plan.
- 4.2** Also included in the plan are twenty four performance indicators of which six are monitored on a quarterly basis.
- 4.3** Of the six indicators monitored quarterly, two indicators achieved their mid-year target and two failed to meet target. A further two indicators met the

quarter 1 targets however data for quarter 2 is not yet available. The following paragraphs detail progress against the six quarterly performance indicators.

- 4.4** Percentage of committee agendas published within standing order timescales has consistently achieved target in both quarters and has exceeded the mid-year target overall; this is on track to achieve the annual target.
- 4.5** Average number of weeks for planning application decisions (major developments) has consistently achieved target in both quarters and has exceeded the mid-year target overall; this is on track to achieve the annual target.
- 4.6** Percentage of Building warrant applications responded to within 20 working days has exceeded target for Q1, no data is available yet for Q2. If progress continues at the Q1 pace then this is on track to achieve the annual target.
- 4.7** Overall time taken to issue a building warrant has exceeded target for Q1, no data is available yet for Q2. If progress continues at the Q1 pace then this is on track to achieve the annual target.
- 4.8** Average number of weeks for planning application decisions (local development excl. householder) has failed to meet target for both quarters), at this point it is unlikely that this will achieve the annual target.
- 4.9** Average number of weeks for planning application decisions (householder) has failed to meet target for both quarters), at this point it is unlikely that this will achieve the annual target.

#### Self-Evaluation Programme

- 4.11** The Council adopted the West Dunbartonshire Self Evaluation Framework in August 2016, which embeds a rolling three year improvement programme across services not subject to external evaluation and inspection. Within the Regulatory service area, four self-evaluations have been carried out to date - Planning & Building Standards and Regulatory Services; Legal and Democratic Services. Each service area has introduced an action plan to address the identified areas of improvement.

#### Service user feedback

- 4.12** A key focus in the development of the delivery plans was ensuring that customer feedback informs learning and improvement. One of the key sources of feedback is complaints data.
- 4.13** Between 1 April and 30 September this year, the Regulatory service area received a total of 19 complaints, comprising 15 Stage 1 and 4 Stage 2 complaints. During the same period, 19 complaints were closed, 15 at Stage 1 and 4 at Stage 2.

- 4.14** Of the 15 complaints closed at Stage 1, 12 (80%) met the 5 working days target set for resolving Stage 1 complaints, with an average of 4 working days to resolve all complaints closed at Stage 1. The 4 complaints closed at Stage 2 only one was closed within the 20 working days target, two were closed within an extension period and one exceeded the extension deadline.
- 4.15** Seven complaints closed at Stage 1 were upheld and one at Stage 2.
- 4.16** The nature of the complaints received was as follows:
- Citizen expectation not met (quality of service) - ten complaints, one upheld;
  - Citizen expectation not met (timescales) - five complaints, three upheld;
  - Error in service delivery - one complaint, one upheld;
  - Employee behaviour - one complaints, one upheld; and
  - Contractor - two complaints, one upheld.

## **5 People Implications**

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

## **6 Financial & Procurement Implications**

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

## **7 Risk Analysis**

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

## **8 Equalities Impact Assessment**

- 8.1** Screening and impact assessments will be carried out on specific activities as required.

## **9 Consultation**

- 9.1** The Delivery Plan detailed in this report was developed through consultation with officers from the strategic service area.

## **10 Strategic Assessment**

- 10.1** The Delivery Plan sets out actions to support the successful delivery of the strategic priorities of the Council.

**Strategic Lead: Peter Hessel**  
**Service Area: Regulatory**  
**Date: 22 October 2019**





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<b>Person to Contact:</b>	Nicola Docherty <a href="mailto:Nicola.docherty@west-dunbarton.gov.uk">Nicola.docherty@west-dunbarton.gov.uk</a>
<b>Appendix:</b>	Appendix 1: Regulatory Delivery Plan 2019/20 - Mid-Year Progress
<b>Background Papers:</b>	None
<b>Wards Affected:</b>	All

# Regulatory Delivery Plan- 2019-20 –mid year progress report




<b>P</b>	1. A strong local economy and improved job opportunities

<b>Ob</b>	Increased employment and training opportunities

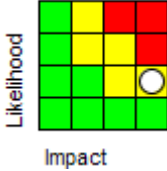
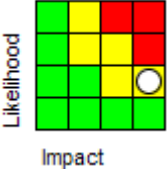
Action	Status	Progress	Due Date	Comments	Managed By
Continue to work to ensure that the key regeneration sites are progressed on site and high quality development is achieved on the ground		<div><div>30%</div></div>	31-Mar-2020	Progress is ongoing on the ground at a number of key regeneration sites and these are being monitored. Also, a number of recent permissions have been granted for key regeneration sites that will come forward in the future.	Peter Hessett
Monitor development on the key regeneration sites to ensure that they comply with the approved consent		<div><div>20%</div></div>	31-Mar-2020	A Compliance Officer was appointed on a 2 day fixed terms contract to monitor major regeneration sites and this is now underway.	Pamela Clifford; Peter Hessett
Participate in the examination of the Local Development Plan		<div><div>50%</div></div>	31-Mar-2020	Examination commenced on 20th August 2019 and the DPEA have indicated that the Examination Report would be submitted to the Council in January 2020. To date we have only had on further information request from the Reporter. I Would say we are 50% through the process.	Peter Hessett
Evaluate the Place & Design Panel		<div><div>90%</div></div>	31-Mar-2020	Evaluation Board met in April 2019, endorsed the changes to the Governance arrangements and proposals for taking the Panel forward. Evaluation documents were presented to an Elected Member Briefing and revised Governance documents were published and presented and approved by Planning Committee.	Peter Hessett

<b>P</b>	2. Supported individuals, families and carers living independently and with dignity


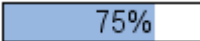

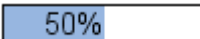

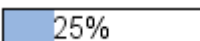
<b>Ob</b>	Improved wellbeing

Action	Status	Progress	Due Date	Comments	Managed By
Ensure compliance with the revised Food Law Rating Scheme due to be implemented in April 2019		<div><div>50%</div></div>	31-Mar-2020	The Interventions - Food Law Code of Practice (Scotland) 2019 (hereafter referred to as the Interventions Code 2019) received Ministerial approval and thereafter came into force on 01/07/2019. The Food and Business Group of Environmental Health is implementing the terms of the code and is currently compliant. Ongoing compliance is being managed.	Pamela Clifford; Peter Hesselst
Engage with the newly formed Public Health Scotland to ensure collaborative working and Environmental Health resources are effectively targeted in public health priority areas within West Dunbartonshire		<div><div>50%</div></div>	31-Mar-2020	The Environmental Health Manager is actively engaged with partners through the Society of Chief Officers of Environmental Health Scotland with the development process of Public Health Scotland ahead of the April 2020 vesting date. A Shadow executive of Public Health Scotland is in place ahead of vesting day.  Workforce strategy and development is an Environmental Health focus of the process for public health protection and improvement.	Peter Hesselst
Review the implications of BREXIT on Food Export Health Certification and introduce any necessary measures		<div><div>50%</div></div>	31-Mar-2020	WD EH manager is linked to national work streams on Export Health Certification in preparation for no deal exit of the UK from the EU. National guidance on developed systems has been issued to LAs on 23/10/19 encompassing input from EH, APHA and DEFRA using risk based systems underpinning the certification. EH Manager has updated the WD EU Exit Plan, responded to Food Standards Scotland on contingency planning and provided a return to Scottish Government on funding implications in the event of a No Deal exit of the UK from the EU. Contingency planning is ongoing and tracking the developments in UK exit from the EU.	Pamela Clifford; Peter Hesselst


Strategic Risk	Current Risk Matrix	Description	Target Risk Matrix	Assigned To
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Strategic Risk	Current Risk Matrix	Description	Target Risk Matrix	Assigned To
No deal BREXIT risk for Environmental Health		<p>WD is a port health authority. It does not status as a Designated Point of Entry / Border Inspection Post [DPE/BIP] for food imports. None exist in Scotland. These may be required post Brexit in a RWCS. An Environmental Health presence would be required for food import controls or food export controls. The lack of food import physical and regulatory infrastructure and regulatory capacity could result in food shortages and food price rises in the short and medium term and a heightened food fraud risk. The national need and infrastructure to support business is encompassed in national work streams and scoping to ensure national needs are met, including expanding EH resource, charging regimens, logistics and infrastructure. WDC Environmental Health is engaged with work streams and contingency planning. There could be significant impact / disruption to statutory service provision (Food Law, Health and Safety and Public Health Protection) in dealing with import / export demands including hubs for export certification. WDC as a Food Authority has food businesses approved under Regulation EC 853 for export. It does not provide hub services for export currently. WDC Environmental Health would provide a resource for Export Health Certification to meet demand. Funding for such resource would be required.</p>		Martin Keeley

Ob	More affordable and suitable housing options
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Action	Status	Progress	Due Date	Comments	Managed By
Implement the revised scheme for landlord registration applications and fees that will be introduced in 2019			31-Mar-2020	This action is progressing well. A private landlord registration officer has joined the SG working group to help develop best practice nationwide. In addition to this a new structure fee has been introduced and new legislation has been introduced.	Pamela Clifford; Peter Hessel; Martin Keeley
Provide legal assistance in the negotiation and completion of the requisite legal agreement and assist colleagues throughout the Council to develop the knowledge to take the programme forward Affordable Housing Programme			31-Mar-2020	This action is progressing well. Letters of intent issued to allow works to proceed. Draft contract near completion for St Andrews development. Remaining projects proposed to be aligned with Terms and Conditions used by new emerging house construction framework.	Peter Hessel
Establish an Energy Supply Company (ESCo) for the District Heating System, including governance rules for its operation, and formally constitute it as an arms length but wholly owned entity			31-Mar-2020	This action is progressing well. Esco to be formed closer to service commencement.	Peter Hessel
















	4. Open, accountable and accessible local government

	Equity of access for all residents

Performance Indicator	Status	Q1 2019/20		Q2 2019/20		Short Trend	Long Trend	Managed By
		Value	Target	Value	Target			
% of committee agendas published within standing order timescales		100%	98.2%	100%	98.2%			Peter Hessett








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

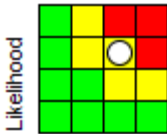



	A continuously improving Council delivering best value

Performance Indicator	Status	Q1 2019/20		Q2 2019/20		Short Trend	Long Trend	Managed By
		Value	Target	Value	Target			
Planning applications (major developments) - average number of weeks to decision		12	20	12.5	20			Pamela Clifford; Peter Hessett
Planning applications (householder) - average number of weeks to decision		10.7	7	11.6	7			Pamela Clifford; Peter Hessett
Planning applications (local development, excluding householder) - average number of weeks to decision		17	12	19	12			Pamela Clifford; Peter Hessett
Percentage of building warrant applications responded to within 20 working days		84%	80%	Data not available	80%			Pamela Clifford; Peter Hessett
Overall time taken to issue building warrant (weeks)		14	16	Data not available	16			Pamela Clifford; Peter Hessett

Action	Status	Progress	Due Date	Comments	Managed By
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Action	Status	Progress	Due Date	Comments	Managed By
Implement the changes required by the Planning Bill		<div><div>5%</div></div>	31-Mar-2020	A briefing note has been prepared for elected members detailing the key changes and implications for the Council in relation to the implementation of the Planning (Scotland) Act 2019.	Peter Hessett
Ensure that processes and performance meets Scottish Government requirements to ensure that Building Standards verification is awarded		<div><div>5%</div></div>	31-Mar-2020	This action is in progress initial discussions have taken place.	Pamela Clifford; Peter Hessett
Implement the new geographic information system (GIS)		<div><div>30%</div></div>	31-Mar-2020	Procurement and ICT approval to proceed	Pamela Clifford; Peter Hessett
Formally register the Council's ownership of the solum of the River Leven from Loch Lomond to Dumbarton in the Land Register of Scotland		<div><div>100%</div></div>	31-Mar-2020	This action is successfully completed	Peter Hessett
Transfer of Committee Management Information System (CMIS) to a cloud based server		<div><div>66%</div></div>	31-Mar-2020	Committee Services are currently carrying out testing on cloud version of CMIS. A number of issues have been identified and require to be resolved before going live.	Peter Hessett
Implement the Registration Marketing Plan		<div><div>50%</div></div>	31-Mar-2020	A registration service marketing plan has been agreed with the Marketing Officer and work is now underway to implement plan.	Peter Hessett
Ensure implementation of Improvement Action Plans arising from the self-evaluation process		<div><div>60%</div></div>	31-Mar-2020	Progress ongoing in respect of legal and democratic services	Peter Hessett

Departmental Risk	Current Risk Matrix	Description	Target Risk Matrix	Assigned To
Failure to monitor and enforce regulatory areas with public risk		The Council fails to comply with statutory regulatory duties in respect of environmental health, trading standards and licensing laws		Martin Keeley
Failure to adequately respond to an emergency situation such as a multiple fatality workplace accident, outbreak of food borne communicable disease, a major public health incident (human or animal disease or environmental incident)		As a result of reduced management in Environmental Health, reduced staff and financial resources in both Environmental Health and Trading Standards, and ongoing, increased and competing regulatory demand, workforce planning issues (high age profile and a national shortage of qualified staff), Environmental Health and Trading standards are at risk of not being able to competently respond to emergency situations.		Martin Keeley



## WEST DUNBARTONSHIRE COUNCIL

### Report by Strategic Lead – Communications, Culture, Communities & Facilities

**Corporate Services Committee: 13 November 2019**

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**Subject: Communications, Culture, Communities & Facilities Delivery Plan 2019/20: Mid-Year Progress**

#### **1 Purpose**

- 1.1** The purpose of this report is to set out progress to date in delivery of the actions detailed within the Communications, Culture, Communities & Facilities Delivery Plan 2019/20 which are delegated to Corporate Services. These are Performance and Strategy, Libraries, Citizen Services and Facilities.

#### **2 Recommendations**

- 2.1** It is recommended that the Committee notes the contents of this report and the progress achieved at mid-year.
- 2.2** The Delivery Plan will also be submitted to the next Cultural Committee to enable scrutiny of the Town Hall, Arts and Heritage and Communications.

#### **3 Background**

- 3.1** Annual Strategic Delivery Plans set out actions to address the key service specific issues identified during the annual strategic assessment exercises. These plans also provide an overview of the assets and resources available to support delivery of the plan, and consider risks at both strategic and operational level.
- 3.2** The Communications, Culture, Communities & Facilities Delivery Plan 2019/20 was noted by this committee on 22 May 2019, and a commitment was made to submit a mid-year progress report.

#### **4 Main Issues**

##### Delivery Plan

- 4.1** The Communications, Culture & Communities plan contains a range of actions designed to support delivery of the strategic priorities of the council. At this mid-point of the year, one action within the plan has been completed with a further fifteen making progress and on track for delivery by 31 March 2020. The remaining four actions have experienced some delays in meeting some milestones in the first half of 2019/20 however it is anticipated that at least three of these will be achieved by year end.
- 4.2** Also included in the plan are eighteen performance indicators of which ten are monitored on a quarterly basis. Of the ten indicators monitored quarterly, five

indicators achieved their mid-year target; four narrowly missed the target and one failed to meet target. The following paragraphs detail progress against the ten quarterly performance indicators.

- 4.3** Number of transactions undertaken online has consistently achieved target in both quarters and has exceeded the mid-year target by 28% overall; this is on track to achieve the annual target.
- 4.4** Resident satisfaction with Council Services has consistently achieved target in both quarters and has exceeded the mid-year target by 10%; this is on track to achieve the annual target.
- 4.5** Percentage of complaints resolved at stage 1 has consistently achieved target in both quarters and has exceeded the mid-year target; this is on track to achieve the annual target.
- 4.6** Satisfaction levels with the council website has consistently exceeded target in both quarters and has exceeded the mid year target by 2%; this is on track to achieve the annual target.
- 4.7** Number of attendances per 1,000 population for indoor sports and leisure facilities narrowly missed target in Q1 and exceed target in Q2 and overall has exceed mid year target by 3%; this is on track to achieve the annual target.
- 4.8** Number of library visits per 1,000 population missed the target in both Q1 and Q2 although showed a slight increase in visitor numbers in Q2. At the mid-year point performance overall missed the target by 7%. Unless performance exceeds target for the remaining quarters of this year it is unlikely that the annual target will be achieved. A key factor in this has been the disruption caused by building works at Clydebank Library which has traditionally been one of the Council's busiest libraries. The targets were also set with a view that the investment in branches would be in place by now but for various reasons this has not been possible.
- 4.9** Percentage of residents who feel the council communicates well with them missed target in both quarters although showed a slight increase in Q2. At the mid-year point performance overall missed the target by 10%.
- 4.10** Number of attendances per 1,000 population to all pools achieved target in Q1 and narrowly missed the target in Q2. At the mid year point performance overall narrowly missed the target by 3%.
- 4.11** Percentage of older (65+) residents who have access to the internet in some form narrowly missed the target in both quarters although shows slight improvement in Q2. It is unlikely that this will meet the year end target however work continues to monitor and improve digital access.
- 4.12** Total FTE days lost by FTE employees failed to meet target for both quarters for the CCCF strategic area although significant improvements were made in Q2. The addition of Facilities management has changed the profile of the

service in terms of absence and is therefore not comparable to previous performance. New policies have been introduced to improve employee well being and to reduce absence it is anticipated that some improvements will be made in the remainder of the year.

#### Strategic Improvement

- 4.13** The Council adopted the West Dunbartonshire Self Evaluation Framework in August 2016, which embeds a rolling three year improvement programme across services not subject to external evaluation and inspection. Within the Communication, Culture & Communities service area, five self-evaluations have been carried out to date - Contact Centre/Complaints; Library Services; Welfare Fund and the Performance & Strategy team and the One Stop Shop. Each service area has introduced an action plan to address the identified areas of improvement.

#### Citizen Feedback – Complaints

- 4.14** A key focus in the development of the strategic delivery plans was ensuring that we capture learning from the range of mechanisms that provide feedback from those who use our services. Central to this approach is ensuring we capture learning and make improvements to service delivery based on complaints.
- 4.15** Between 1 April and 30 September this year, the Communications, Culture, Communities & Facilities service area received a total of eighteen complaints, all of which were Stage 1 complaints. During the same period, seventeen complaints were closed at Stage 1. Sixteen of the complaints closed at Stage 1 met the 5 working day target for resolving complaints. Of the sixteen complaints closed at Stage 1, five were upheld representing 27% of all complaints for this period.

#### Citizen Feedback – Residents' Telephone Survey

- 4.16** A telephone survey of 300 residents is carried out every quarter to gauge satisfaction levels with a range of Council services. A range of Communication, Culture and Communities services and functions are covered by the telephone survey.
- 4.17** In the first half of 2019 satisfaction with Libraries achieved 92%. This level of satisfaction is consistent across both quarters in 2019 as well as the same reporting period from the previous year.
- 4.18** Satisfaction with the contact centre remains high at 83%, although this represents a 5% point decrease in satisfaction from the same period in 2018.
- 4.19** Satisfaction with Information available on services, achieved 90%, representing a 1% point increase in satisfaction from the previous quarter.

- 4.20** Satisfaction with Leisure and sports centres remains high at 89%, and represents a 2% increase in satisfaction from the same period in 2018.

## **5 People Implications**

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

## **6 Financial & Procurement Implications**

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

## **7 Risk Analysis**

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

## **8 Equalities Impact Assessment**

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

## **9 Consultation**

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

## **10 Strategic Assessment**

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

**Malcolm Bennie**

**Strategic Lead – Communications, Culture, Communities & Facilities**

**Date: 28 October 2019**

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**Person to Contact:** Nicola Docherty, P&S Business Partner  
E-mail: Nicola.docherty@west-dunbarton.gov.uk

**Appendix:** Appendix 1: Communications, Culture, Communities and Facilities Delivery Plan 2019/20 - Mid-Year Progress



**Background Papers:** CCCF 2019/20 Delivery Plan to Corporate Services Committee in May 2019

**Wards Affected:** All wards


## CCCF Delivery Plan- 2019-20 mid year progress report


	A strong local economy and improved job opportunities

	Increased skills for life & learning




Action	Status	Progress	Due Date	Comments	Managed By
Deliver digital skills training to front line staff where required.		<div><div>60%</div></div>	31-Mar-2020	This action is progressing as planned. All new Library Assistants now trained in use of critical systems. Library Co-ordinators have all undertaken training by Bibliographic Services Librarian in use of library supplier websites.	Stephen Daly
Consider a trial of Amazon, electra & Kindle devices for housebound/mobile library users, and develop a new strategy for computer use in our library branches.		<div><div>60%</div></div>	31-Mar-2020	This action is progressing as planned. Trial period, device options and an evaluation strategy have been designed with the trial currently due to take place over the coming months. A review of library PC use, along with options for replacements to peripherals (e.g. monitors, keyboards) has now been finalised. Procurement of these will progress alongside other improvement works within libraries.	Stephen Daly


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




	A committed and skilled workforce


Action	Status	Progress	Due Date	Comments	Managed By
Deliver the employee training and engagement		<div><div>33%</div></div>	31-Mar-2020	Good progress has been made on ensuring Library staff can	Stephen Daly







Action	Status	Progress	Due Date	Comments	Managed By
programme funded by SLIC				progress through the Frontline Training programme with 34% having completed the Introductory modules to date. Examples of customer service standards have been circulated amongst Libraries Staff and work is now underway to produce a draft for consideration and implementation via a staff focus group. The date for implementation of this has been slightly delayed, but remains within the 19/20 Delivery Plan timescale.	
Carry out biennial council wide employee survey and develop improvement plan based on survey results		<div><div>66%</div></div>	31-Mar-2020	This action is progressing as planned. Employee Engagement 2019 delivered successfully across all staff groups. Analysis carried out and results currently being cascaded.	Amanda Coulthard
Successfully lead the 'Future Leaders' programme to develop promising employees to the next level of the organisation.		<div><div>80%</div></div>	31-Mar-2020	The original cohort of Future Leaders have concluded their participation and expressed their thanks for the support received. Managers have identified the new cohort of four employees, and they have all met with the Strategic Lead. OD&C are now exploring the internal supports that can be offered to help their development.	Malcolm Bennie
Ensure that a culture of continuous improvement is embedded across Library Services. Participating in national improvement schemes and achieving national recognised standards.		<div><div>50%</div></div>	31-Mar-2020	This action is progressing well. The process of collecting evidence and completing a portfolio now underway as part of the 'How Good is Our Public Library Service' (HGIOPLS) national improvement scheme.	Stephen Daly

	A continuously improving Council delivering best value



Action	Status	Progress	Due Date	Comments	Managed By
Review and relaunch customer service training to all council staff		<div><div>20%</div></div>	31-Mar-2020	This action is progressing as planned. Engagement with OD to review and update existing training has taken place. In addition to this Citizen Services and OD are also reaching out to other LA's to explore examples of best practice in regards to how training offered and delivered.	Stephen Daly
Ensure robust data and analysis is available to support decision making across all services		<div><div>50%</div></div>	31-Mar-2020	This action is progressing as planned. Data and business intelligence is being used to support service redesign projects across the organisation.	Amanda Coulthard
Contribute to the review and development of measures for Census 2021		<div><div>25%</div></div>	31-Mar-2020	This action is progressing as planned. WDC fully involved in development and preparation for Census 21, including	Amanda Coulthard

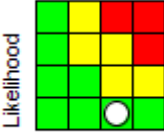

Action	Status	Progress	Due Date	Comments	Managed By
				involvement in testing.	
Review and embed frameworks which support continuous improvement and best value across the organisation		<div><div>25%</div></div>	31-Mar-2020	This action is progressing well. Self-evaluation framework under review to inform updates to the model. All services subject to this framework have participated in phase 1 and will be revisited using the revised model for phase 2.	Amanda Coulthard

Performance Indicator	Status	Q1 2019/20		Q2 2019/20		Short Trend	Long Trend	Managed By
		Value	Target	Value	Target			
Communications Culture & Communities-Total FTE Days Lost by FTE Employees		3.85	0.54	0.91	0.54			Malcolm Bennie




	Meaningful engagement with active, empowered and informed citizens who feel safe and engaged
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	Fully consulted and involved citizens who are able to make full use of the Community Empowerment Act
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Action	Status	Progress	Due Date	Comments	Managed By
Support Community Planning West Dunbartonshire to further develop locality planning and involvement in line with the Community Empowerment Act		<div><div>75%</div></div>	31-Mar-2020	Good progress made in self-evaluation activity and development of the CPWD improvement plan.	Amanda Coulthard
Ensure the organisation is able to respond to and fully implement recommendations from the ongoing Local Governance Review		<div><div>50%</div></div>	31-Mar-2020	Performance & strategy team maintain input to LGR programme. This will be maintained as the national implementation plan is further developed and cascaded.	Amanda Coulthard







Departmental Risk	Current Risk Matrix	Description	Target Risk Matrix	Assigned To
Partnerships		The Council fails to engage adequately with partnership bodies		Amanda Coulthard

<b>Ob</b>	Strong and active communities

Performance Indicator	Status	Q1 2019/20		Q2 2019/20		Short Trend	Long Trend	Managed By
		Value	Target	Value	Target			
Number of library visits (in person) per 1,000 population		851.4	958.85	876.14	894.27			Stephen Daly










Action	Status	Progress	Due Date	Comments	Managed By
Successfully lead the delivery of phase two of the redevelopment of Clydebank Library (internal fit out)		<div><div>60%</div></div>	31-Mar-2020	This action is progressing well. Suppliers from UK procurement framework ESPO 695 invited to offer design proposals for Clydebank Library. These have been circulated amongst staff for feedback.	Stephen Daly






Departmental Risk	Current Risk Matrix	Description	Target Risk Matrix	Assigned To
Failure to provide a library service to residents		The Council has a statutory duty to provide a "comprehensive and efficient" library service to the residents of West Dunbartonshire. Failure to deliver this would have reputational damage to the Council, place the Council at risk of legal challenge and undermine local people's access to learning, knowledge and key Council supports.		David Main

Performance Indicator	Status	Q1 2019/20		Q2 2019/20		Short Trend	Long Trend	Managed By
		Value	Target	Value	Target			
% of residents who feel the Council communicates well with them		65%	75%	67%	77%			Amanda Coulthard
Residents satisfaction with Council services overall		91.67%	80%	88%	80%			Amanda Coulthard

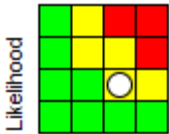
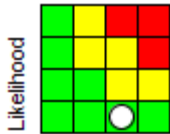
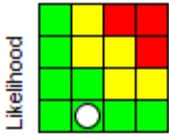
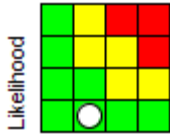
<b>P</b>	Open, accountable and accessible local government

<b>Ob</b>	Equity of access for all residents

Performance Indicator	Status	Q1 2019/20		Q2 2019/20		Short Trend	Long Trend	Managed By
		Value	Target	Value	Target			
Percentage of citizens who are satisfied with the Council website		90.67%	90%	91.67%	90%			Stephen Daly
Percentage of complaints received by the Council that are resolved at Stage 1		92%	89%	93%	89%			Stephen Daly
No. of transactions undertaken online		12,059	9,342	11,288	8,892			Stephen Daly










Action	Status	Progress	Due Date	Comments	Managed By
Develop digital improvements in the Contact Centre, Housing Repairs, Website and Welfare Fund		<div><div>55%</div></div>	31-Mar-2020	Progress is being made, all the additional functionality has been added to the website (updated search engine, carousel, webchat, automated bot). The work to move the websites to the cloud is almost complete and the webteam are working with WDL to improve their pages.  We are continuing to introduce service champions to liaise with service partners to develop relationships. A working group is being established across Citizen Services to maintain focus on actions from self-evaluation.	Stephen Daly
Consider staff roles and the locations where we meet our Residents for face to face interactions following the successful integration of Alexandria One Stop Shop and Alexandria Library.		<div><div>40%</div></div>	31-Mar-2020	This action is progressing well. Officers have completed their assessment and are developing proposals for wider circulation and consideration.	Stephen Daly
Develop digital improvements through self-service machines, direct delivery of books, improved and secure public wifi, and an increased online library offer		<div><div>40%</div></div>	31-Mar-2020	Pilots for the improved public wifi and self-service machines are currently in place and being assessed before full roll-out. Some technical issues have slightly delayed the original target date of the implementation, but the project remains on track for delivery in 19/20.	Stephen Daly
Successfully deliver the £421k capital investment across the branch network and finalise the branding improvements at all branches.		<div><div>50%</div></div>	31-Mar-2020	An EIA has been completed and approved and this project has now been allocated to a procurement colleague to progress acquisition. Rebranding project is nearing completion and is now reliant on a schedule of building improvement works from Asset Management.	Stephen Daly
Further develop and review the online model for Citizens Panel to ensure best value		<div><div>66%</div></div>	31-Mar-2020	This action is progressing well. A desktop review of operational use of panel data undertaken and recruitment exercise carried out. Further work planned for the remainder of this financial year to enhance this online engagement model.	Amanda Coulthard


Departmental Risk	Current Risk Matrix	Description	Target Risk Matrix	Assigned To
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Departmental Risk	Current Risk Matrix	Description	Target Risk Matrix	Assigned To
Failure to effectively manage and learn from complaints	 Likelihood Impact	There is a risk of damage to the Council's reputation. If complaints are not handled effectively, there can be an adverse effect on the public perception of the Council which can lead to a lack of trust in the services provided.	 Likelihood Impact	Stephen Daly; Iorraine Payne
citizens and communities	 Likelihood Impact	The risk is that the Council does not establish or maintain positive communications with local residents and the communities it represents	 Likelihood Impact	Amanda Coulthard; Amanda Graham

<b>P</b>	Supported individuals, families and carers living independently and with dignity

<b>Ob</b>	improved wellbeing

Performance Indicator	Status	Q1 2019/20		Q2 2019/20		Short Trend	Long Trend	Managed By
		Value	Target	Value	Target			
CC1: Number of attendances per 1,000 population to all pools		1,060	1,029	1,330	1,437			John Anderson
CC2: Number of attendances per 1,000 population for indoor sports and leisure facilities		1,743	1,781	1,815	1,702			John Anderson
% of older (65+) residents who have access to the internet in some form (home, phone, libraries, OSS etc)		52%	60%	58%	60%			Stephen Daly

Action	Status	Progress	Due Date	Comments	Managed By
Review the implications of new school meals legislation for WDC and identify any specific actions in response		<div><div>33%</div></div>	31-Mar-2020	Proposed changes following consultation have been released by the Scottish Government (SG), however full details regarding timescales for implementation and full detail of the proposed changes are still awaited. CoSLA continues to discuss these matters with SG and it is likely that final confirmed changes will not be released in full until Spring 2020. Specific actions for	Lynda Dinnie

Action	Status	Progress	Due Date	Comments	Managed By
				WDC cannot be confirmed until full confirmation is received on new legislation.	
Continue to support the roll out of the Early Years expansion programme		<div> <div></div> 100% </div>	31-Mar-2020	Facilities Management has worked closely with Early Years colleagues to ensure that relevant staffing is in place for opening of each new/upgraded premise. FM has also been working with Education colleagues and Asset Management colleagues in the development of new and upgraded kitchen facilities in Early Years premises to support the preparation and delivery of meals and snacks.	Lynda Dinnie

## WEST DUNBARTONSHIRE COUNCIL

### Report by Strategic Lead – People and Technology

**Corporate Services Committee: 13 November 2019**

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**Subject: People and Technology Delivery Plan 2019/20: Mid-Year Progress Report**

#### **1 Purpose**

- 1.1** The purpose of this report is to set out progress to date in delivery of the actions detailed within the People and Technology Delivery Plan 2019/20.

#### **2 Recommendations**

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

#### **3 Background**

- 3.1** Annual Strategic Delivery Plans set out actions to address the key service specific issues identified during routine strategic assessment exercises. These plans also provide an overview of the assets and resources available to support delivery of the plan and consider risks at both strategic and operational level.
- 3.2** The People and Technology Delivery Plan 2019/20 was noted by the Corporate Services Committee on 22 May 2019 and a commitment was made to submit a mid-year progress report.

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

##### Delivery Plan

- 4.1** The People and Technology plan contains a range of actions designed to support delivery of the strategic priorities of the Council. At this mid-point of the year, sixteen actions within the plan are progressing and one has been completed with the remaining one action due to start later in the year and on track for delivery by 31 March 2020. Detail of delivery and progress can be found in the progress report attached as appendix 1.
- 4.2** Also included in the plan are 9 performance indicators which measure progress across key areas and link to the Strategic Plan 2017-2022. Three of the performance indicators are monitored on a quarterly basis. At the mid year point, one of the performance indicators has achieved target and two have narrowly missed target.

- 4.3** Sickness absence days per teacher has performed better than target in both quarters and has shown significant progress from the same period last year and is on track to meet the annual target.
- 4.4** Sickness absence days for local government employees (excluding teachers) narrowly missed the target for both quarters however significant progress has been made in Q2. Unless performance is below target in the remaining quarters of the year, it is unlikely that the target of 10 days will be met.
- 4.5** Percentage of ICT helpdesk incidents fixed within half a day of being logged narrowly missed the target in both quarters. This is largely due to increased volume of incidents recorded over the period linked to two significant projects, Windows 10 upgrade and school device replacement.

#### Strategic Improvement

- 4.6** The Council adopted the West Dunbartonshire Self Evaluation Framework in August 2016, which embeds a rolling three year improvement programme across services not already subject to external evaluation and inspection. Within the People and Technology service, seven self-evaluations have been carried out to date covering Health and Safety; ICT Infrastructure; ICT Applications; Strategic HR; OD and Change; Transactional services- HR connect: and Transactional services HR Payroll. Each evaluation led to the development of an action plan to address identified areas of improvement.

#### Service User Feedback

- 4.7** A number of surveys have been taken at a service level during the first 6 months of the year, as follows:

A survey was undertaken in respect of ICT service received and approximately 400 responses were submitted from across the Council. The results include:

- 85% expressed satisfaction with the ICT service representing an improvement of 12% from last year;
- 80% were of the opinion that the quality of service had improved from the previous year representing an improvement of 12% from last year;
- 92% expressed satisfaction with the technical support for resolving ICT issues representing an improvement of 14% from last year; and
- 82% expressing satisfaction with speed of fix representing an improvement of 12% from last year.

Organisational Development and Change conduct post event evaluations with feedback and comments used to help improve the content, delivery and focus of the programmes. A total of 47 responses have been received so far for the year to date with an average rating of 4.6/5 across all courses under the Leadership and Management Development and Employee Development programmes.



The team have also reviewed and updated the face to face Induction programme which launched in the new format in August 2019. Feedback has been extremely positive with an average rating of 4.4/5.

## **5. People Implications**

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

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

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

## **7. Risk Analysis**

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

## **8. Equalities Impact Assessment**

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

## **9. Consultation**

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

## **10. Strategic Assessment**

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

**Victoria Rogers**  
**Strategic Lead - People and Technology**  
**Date: 22 October 2019**

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**Person to Contact:** Nicola Docherty, Performance and Strategy Business Partner  
E-mail: [Nicola.docherty@west-dunbarton.gov.uk](mailto:Nicola.docherty@west-dunbarton.gov.uk)

**Appendix:** Appendix 1: People and Technology Delivery Plan 2019/20  
- Mid-Year Progress








**Background Papers:** N/A

**Wards Affected:** All wards





## P&T Delivery Plan- 2019-20 mid year report

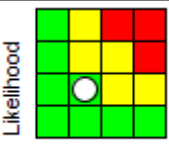
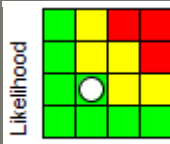
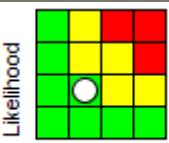
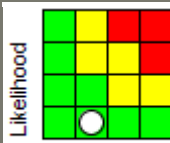
<b>P</b>	Efficient and effective frontline services that improve the everyday lives of residents

<b>Ob</b>	A committed and skilled workforce

Action	Status	Progress	Due Date	Comments	Managed By
Embed an organisational health and safety culture though extending organisational use of Figtree and understanding of health & safety		<div><div>57%</div></div>	31-Mar-2020	this actions is progressing as planned, there are 7 milestone associated with this action, 4 are complete and 3 on target for completion.	Alison McBride
Increase understanding of Council Fire Risk Management Strategy.		<div><div>50%</div></div>	31-Mar-2020	This action is progressing as planned and likely to be achieved by year end.	Alison McBride
Undertake a review of the effectiveness of Council approach to risk management and implement improvement action as appropriate.		<div><div>50%</div></div>	31-Mar-2020	This action is progressing as planned. Meetings with all Strategic Leads have taken place to discuss setting up and populating service risk registers.	Alison McBride
Continue to progress and deliver a variety of development opportunities such as Lean/Six Sigma, New Managers Induction, build digital literacy workforce knowledge & skills and relaunch the Coaching & mentoring Programme		<div><div>16%</div></div>	31-Mar-2020	This action is progressing well. Works has been carried out on a corporate wide skills assessment and the development of a Digital toolkit is underway. This action is likely to be achieved by year end.	Alison McBride
Embed WDC approach to Continuous Improvement delivered through practical application of Continuous Improvement skills demonstrating increased efficiency and quality.		<div><div>50%</div></div>	31-Mar-2020	All actions progressing on target	Alison McBride
Monitor the impact of Be The Best Conversations council wide.		<div><div>25%</div></div>	31-Mar-2020	This action is progressing as planned, consultations with service mangers has taken place and employee focus groups are continuing throughout October. This action is likely to be achieved by year end.	Alison McBride
Review and relaunch the Council's Employee		<div><div>40%</div></div>	31-Mar-2020	This action is progressing as planned. A launch event was held	Alison McBride

## Appendix 1

Action	Status	Progress	Due Date	Comments	Managed By
Wellbeing Strategy.				across the council for managers and staff and Wellbeing advocates have been identified. Further work will continue to agree a plan of activities and assessment of the impact these will have.	
Assess, develop and review employment policies/schemes in line with the Council's policy framework.		<div><div>50%</div></div>	31-Mar-2020	This action is progressing as planned. Review completed and area of improvements identified; a lead individual within the team will be responsible for maintaining an overview of upcoming legislative changes and identifying impact on policy which will enable more effective priority setting and greater range of feedback will be sourced through Employee Wellbeing Manager and Advocate groups (if appropriate, depending on policy).	Alison McBride
Continue to embed the Council's Strategic Workforce Planning Framework with a particular focus on the impact of digital skills		<div><div>20%</div></div>	31-Mar-2020	This action is progressing as planned. Digital developments discussed as part of the service / workforce planning discussions focussing on future need. More specifically, the digital skills assessments across services continues, with plans in place to start working and agreeing development plans with those services who have responded to date.	Alison McBride
Provide HR support to inform and implement organisational change projects.		<div><div>50%</div></div>	31-Mar-2020	This action is progressing as planned. Meetings held with SMTs, projects submitted. These were scored and agreed via Change Board, now incorporated into Digital Transformation Plan. Impact of change support reviewed in relation to supporting Yellow belt group and additional supports are in place.	Victoria Rogers
Undertake a review of terms and conditions of employment and progress changes as appropriate.		<div><div>33%</div></div>	31-Mar-2020		Victoria Rogers

Departmental Risk	Current Risk Matrix	Description	Target Risk Matrix	Assigned To
Health and Safety of Employees and Others	 <p>Likelihood</p> <p>Impact</p>	Failure to meet the Council's duty to protect the health, safety and welfare of its employees and other people who might be affected by its business, either in the provision of an effective health and safety management system or in ensuring adherence to that system as part of an embedded health and safety culture.	 <p>Likelihood</p> <p>Impact</p>	John Duffy; Alison McBride
Ensure an appropriately resourced workforce.	 <p>Likelihood</p> <p>Impact</p>	Failure to ensure that there is an appropriately resourced workforce in place to meet future organisational needs, either in effectively executing the Council's 2017-22 Workforce Plan, or in ensuring that the Plan is adapted over time if and when earlier assumed circumstances change.	 <p>Likelihood</p> <p>Impact</p>	Alison McBride

# Appendix 1

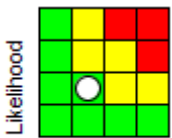
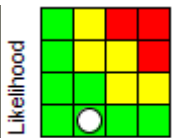
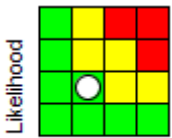
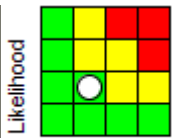
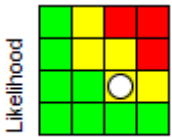
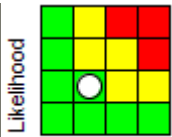
	A continuously improving Council delivering best value
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Performance Indicator	Status	Q1 2019/20		Q2 2019/20		Short Trend	Long Trend	Managed By
		Value	Target	Value	Target			
Sickness absence days per teacher		0.92	1.32	0.95	1.32			Alison McBride
Sickness absence days per employee (local government)		3.27	2.9	2.91	2.9			Alison McBride
Percentage of ICT helpdesk incidents fixed with half day of being logged.		48.99%	52%	47.08%	52%			James Gallacher; Patricia Kerr


Action	Status	Progress	Due Date	Comments	Managed By
Transformation & Channel Shift			31-Mar-2020	This action is progressing well. Configuring infrastructure for 365 pilot is nearing completion. 365 Business case progressing and on target. Asset tracking CivTech challenge has just completed the procurement sifting stage with preferred supplier identified. ICT channel shift has over 50% of tickets being raised via self service portal.	Patricia Kerr
Explore Sharing Opportunities			31-Mar-2020	This action is progressing as planned. Work continues to explore 365 business case sharing with Inverclyde. Sharing of some security process and documentation with LLTNP. Continued work with EDC & A&B Council on service desk system procurement sharing. This action is likely to be achieved by year end. Discussions with Mid Lothian Council on shared practice, savings and technologies. Attended meeting with HSCP/NHS and several opportunities identified to maximise the existing shared portal plus opportunities for further exploration of technologies.	Patricia Kerr; Victoria Rogers
Deliver a secure and resilient IT Infrastructure			31-Mar-2020	This action is progressing as planned. The infrastructure for Win10 environment has been created. SQL upgrades are underway and issues identified during user testing are being addressed. Review of telephony is complete.	Patricia Kerr; Victoria Rogers
Implement ICT Service Improvements			31-Mar-2020	Oct 19. Progressing to plan with 4 of the 7 milestones complete.	Patricia Kerr



Departmental Risk	Current Risk Matrix	Description	Target Risk Matrix	Assigned To
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## Appendix 1


Departmental Risk	Current Risk Matrix	Description	Target Risk Matrix	Assigned To
Workforce Management System not fit for purpose		There is a risk that the WMS system is not fit-for-purpose thereby requiring manual workarounds restricting the level of automation impacting on efficiencies		Arun Menon
Information Technology		Failure to keep pace with changing technology environment during periods of austerity and supplier rather than business led change		James Gallacher; Patricia Kerr; Brian Miller
Threat of Cyber-attack		Data, systems and/or infrastructure are impacted as result of security attacks which are increasing in number at a time when this threat is already placing demands on resources to deliver increased levels of security controls.		Iain Kerr

	Open, accountable and accessible local government

	Equity of access for all residents

Action	Status	Progress	Due Date	Comments	Managed By
Continue to implement HR Payroll Transformation including manual processes, development of WMS, better integration with WMS & greater self service		<div><div>60%</div></div>	31-Mar-2020	This action is progressing as planned. Time and Attendance demo complete and project needs to be scoped following further information from the software provider. Implementation of iConnect undertaken and delays nationally. Focus on assessing the next upgrade to Workforce Management System. Issues with Sickness absence module within Frontier.	Arun Menon
Implement statutory Payroll changes		<div><div>100%</div></div>	31-Mar-2020	This action has been completed as planned. Pay awards processed for Local Government and Teachers; statutory Year End returns to HMRC submitted on time	Arun Menon

## Appendix 1

Action	Status	Progress	Due Date	Comments	Managed By
Address workforce equalities objectives		<div><div></div>20%</div>	31-Mar-2020		Alison McBride





## WEST DUNBARTONSHIRE COUNCIL

### Report by Strategic Lead - Resources

**Corporate Services Committee: 13 November 2019**

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**Subject: Resources Delivery Plan 2019/20: Mid-Year Progress**

#### **1. Purpose**

- 1.1** The purpose of this report is to advise Members of the mid-year progress of the Resources Delivery Plan for 2019/20.

#### **2. Recommendations**

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

#### **3. Background**

- 3.1** Each Strategic Lead developed a delivery plan for 2019/20. This sets out actions that will be undertaken by the service area to help meet the Council's priorities and address the key service challenges identified through the planning process. Each service also identified a number of performance indicators to evidence performance on key aspects of service delivery. The plan also provides an overview of services provided and resources employed in these services, including employees and budgets, and identifies relevant risks.
- 3.2** The Resources Delivery Plan 2019/20 was noted by this Committee at its meeting on 22 May 2019, and a commitment was made by officers to submit a mid-year progress report.

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

##### 2019/20 Mid-Year Progress

- 4.1** Appendix 1 sets out the mid-year progress of the Resources Delivery Plan in terms of the actions and performance indicators set for 2019/20.
- 4.2** Of the 33 actions set out in the action plan, 6 have been completed and the remaining 27 are progressing and expected to be achieved.
- 4.3** Also included in the plan are 18 performance indicators of which 7 are monitored on a quarterly basis. Of the 7 indicators monitored quarterly, 2 indicators achieved their mid-year target, 2 narrowly missed the target and 1 failed to meet target. Data for 2 performance indicators for Q2 is not yet available. The following paragraphs detail progress against the six quarterly performance indicators.

- 4.4** Percentage of Council Tax due in-year collected in-year is on target in both quarters and is on track to achieve the annual target. The annual target for 2019/20 is 95.6% actual in 2018/19 was 95.55% (marginally ahead of target for 2018/19 of 95.5%). Performance has been steadily improving over the last 10 years.
- 4.5** Time taken to process new housing benefit applications narrowly missed target in Q1, exceed target in Q2 and has met the mid year target and is expected to achieve the annual target of 25 days (target in 2018/19 was 26 days and actual was 25.8 days).
- 4.6** Time taken to process changes in circumstances to housing benefit applications met target in Q1 however narrowly missed it in Q2. Overall it has narrowly missed the mid year target of 5 days (target in 2018/19 was 5 days and actual was 4.7 days), historically performance tends to reduce in quarter 2.
- 4.7** Gross rent arrears as a percentage of rent due met target in Q1 however narrowly missed it in Q2. Overall it has very narrowly missed the mid year target (actual 9.05% compared to target of 9%) and therefore looks like has a reasonable change to meet the annual target (9%). Historically actual performance has been around 10% on average.
- 4.8** Current tenant arrears as a percentage of total rent due has failed to meet target in both quarters of 2019 (actual 12.44% compared to target of 11%). Unless significant progress is made in the second half of 2019/20 it is unlikely that this will meet the annual target. Performance to date in 2019/20 is significantly worse than in 2018/19 and historically. Discussions required with Housing Management to consider whether there are trends within tenant groups and whether the revised approach to debt control involving Housing Officers is working as expected.
- 4.9** Percentage of contracts that are compliant narrowly missed target in Q1 (79.9% compared to target of 80%). Data is not yet available for Q2 however if progress is steady there is a likelihood of this achieving year end target of 90%.
- 4.10** Percentage of procurement spent on local SME met target in Q1 (14.5% compared to target of 12%). Data is not yet available for Q2 however if progress is consistent with this performance there is a likelihood of this achieving year end target of 12%.

#### Self-Evaluation Programme

- 4.11** The Council adopted the West Dunbartonshire Self Evaluation Framework in August 2016, which embeds a rolling three year improvement programme across services not subject to external evaluation and inspection. Within the Resources service area, six self-evaluations have been carried out to date- Internal Audit, Fraud & ICT Security; Revenues & Benefits; Finance Service Centre; Corporate Procurement Unit; Corporate Administration Services and

Finance Services. Each service area has introduced an action plan to address the identified areas of improvement.

#### Service User Feedback

- 4.12** A key focus in the development of the delivery plans was ensuring that feedback informs learning and improvement. This feedback comes from a range of sources including complaints data and surveys of service users (both external (citizens) and internal (other parts of the Council)).
- 4.13** Between 1 April and 30 September this year, Resources received a total of 56 complaints, comprising 53 Stage 1 and 3 Stage 2 complaints. During the same period, 53 complaints were closed, 51 at Stage 1 and 2 at Stage 2.
- 4.14** 27 of the 51 complaints closed at Stage 1 (53%) met the 5 working days target for resolving complaints, both complaints closed at Stage 2 met the 20 working days target.
- 4.15** The nature of the complaints received was as follows:
- citizen expectation not met (quality of service) - 24 complaints, 13 upheld at Stage 1;
  - citizen expectation not met (timescales) - 12 complaints, 10 upheld at Stage 1;
  - council policy (charges) - 4 complaints, 2 upheld at Stage 1;
  - employee behavior - 3 complaints, 1 upheld at Stage 1; and
  - error in service delivery – 13 complaints, 10 upheld at Stage 1.
- 4.16** In general, the section reviews all complaints that are received to learn from and understand where the level of service expected has not been met. This allows us to review our processes to continually improve as a service. The team also provides refresher training for staff and complaints are discussed at staff meetings to reinforce the importance of providing a high level of customer service.
- 4.17** The service undertook a large number of customer surveys in 2018/19 to monitor satisfaction and quality of service provided. Only one survey is planned in 2019/20 and this will be reported to Committee in May 2020.

## **5. People Implications**

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

## **6. Financial Implications**

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

## **7. Risk Analysis**

- 7.1** Failure to deliver on the actions assigned to Resources may have a direct impact on the delivery of the Council's Strategic Plan. In instances where

actions are not on track it is essential that remedial action is taken to ensure strategic delivery plans achieve the commitments detailed and approved.

## **8. Equalities Impact Assessment**

- 8.1** Screening and impact assessments will be carried out on specific activities as required.

## **9. Consultation**

- 9.1** The Delivery Plan detailed in this report was developed through consultation with officers from the strategic service area.

## **10. Strategic Assessment**

- 10.1** The Delivery Plan sets out actions to support the successful delivery of the strategic priorities of the Council.


**Stephen West**  
**Strategic Lead - Resources**  
**1 November 2019**

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<b>Person to Contact:</b>	Nicola Docherty Nicola.docherty@west-dunbarton.gov.uk
<b>Appendix:</b>	Appendix 1: Resources Delivery Plan 2019/20 - Mid-Year Progress
<b>Background Papers:</b>	None
<b>Wards Affected:</b>	All


## Resources Delivery Plan- 2019-20

Generated on: 23 October 2019

	1. A strong local economy and improved job opportunities







	A growing economy


Performance Indicator	Status	Q1 2019/20		Q2 2019/20		Short Trend	Long Trend	Managed By
		Value	Target	Value	Target			
% of procurement spent on local small/medium enterprises		14.5%	12%	Data not available	12%			Annabel Travers


Action	Status	Progress	Due Date	Comments	Managed By
Implement actions to improve procurement spent on local small and medium enterprises		<div><div>35%</div></div>	31-Mar-2020	This action is progressing well. A number of key areas of work are underway to achieve the overall action. This includes: development of a quarterly communication briefing to local SMEs about the Council procurements; development of a SME supply chain process where suppliers / providers with contract values from £1M (supplies and services) and £4M (works) have to advertise their supply chain to local suppliers; and the introduction of a yearly "Meet the Buyer" sessions for local SMEs.	Annabel Travers

	2. Supported individuals, families and carers living independently and with dignity



	More affordable and suitable housing options

Performance Indicator	Status	Q1 2019/20		Q2 2019/20		Short Trend	Long Trend	Managed By
		Value	Target	Value	Target			
DP BA2a SPI - The time for processing applications for new Housing Benefits claims from the date of receipt of the application to the day on which the claim is decided.		26	25	24	25			Arun Menon
DP BA2b SPI - The time for processing applications for notifications of changes of circumstances for Housing Benefits from the date of receipt of the application to the day on which the claim is decided.		5	5	7	5			Arun Menon


Action	Status	Progress	Due Date	Comments	Managed By
Manage impact of legislative changes associated with Welfare reform		<div><div>0%</div></div>	31-Mar-2020	Process in place to monitor CTR cases and little impact on housing benefit as yet due to the nature of the change of circumstances.	Arun Menon










	3. Meaningful engagement with active, empowered and informed citizens who feel safe and engaged
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	Fully consulted and involved citizens who are able to make full use of the Community Empowerment Act
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Action	Status	Progress	Due Date	Comments	Managed By
Implement appropriate levels of service satisfaction surveys		<div><div>50%</div></div>	31-Mar-2020	A small number of service satisfaction reviews will be undertaken during 2019/20 as the majority of these were undertaken in 2018/19.	Stephen West
Review all complaints received to ensure any lessons available are learned and service improvements implemented		<div><div>50%</div></div>	31-Mar-2020	Complaints are reviewed every quarter to ensure any lessons are learned. Outcomes of note are reported to Committee in the Delivery Plan update reports 6-monthly.	Stephen West

	4. Open, accountable and accessible local government
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	Strong financial governance and sustainable budget management (Service Objective)
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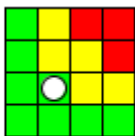
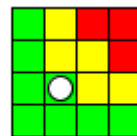
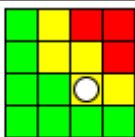
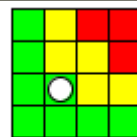
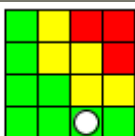
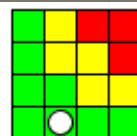
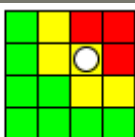
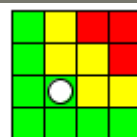
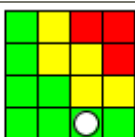
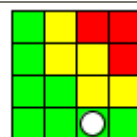
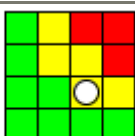
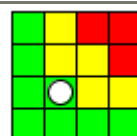
Performance Indicator	Status	Q1 2019/20		Q2 2019/20		Short Trend	Long Trend	Managed By
		Value	Target	Value	Target			
Percentage of contracts that are compliant		79.9%	80%	Data not available	83%			Annabel Travers
Current tenants' arrears as a percentage of total rent due %		12.45%	11%	12.43%	11%			Arun Menon
Gross rent arrears (all tenants) as at 31 March each year as a percentage of rent due for the reporting year		8.75%	9%	9.3%	9%			Arun Menon


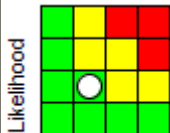
Action	Status	Progress	Due Date	Comments	Managed By
Review and update long term finance strategy		<div><div></div></div> 0%	31-Mar-2020	Work commenced on updating the Long Term Finance Strategy and will report to Council at its November 2019 meeting.	Stephen West
Provide timely and accurate budgetary control reporting for Council and associated bodies		<div><div></div></div> 44%	31-Mar-2020	Budgetary control reports provided on time up to date	Gillian McNeilly
Report agreed savings options and management adjustments through the budgetary control process		<div><div></div></div> 44%	31-Mar-2020	Information is provided on a regular basis as part of standard budgetary control reports.	Gillian McNeilly
Provide timely and accurate financial statements for the Council and associated bodies		<div><div></div></div> 92%	31-Mar-2020	All relevant financial statements have been completed and presented to relevant governance meetings as required and on time.	Gillian McNeilly
Deliver Internal Audit and Corporate Fraud Plan for 2019/20		<div><div></div></div> 45%	31-Mar-2020	The programme of planned audit assignments is on target to be completed on schedule.	Colin McDougall
Continue to improve and deliver the Assurance Statement to support the Annual Governance Statement		<div><div></div></div> 100%	30-Jun-2019	The 2018/19 Assurance Statement was finalised in June 2019 and the Internal Audit Annual Report was submitted to the Audit Committee on 12 June 2019. This has also informed the Annual Governance Statement.	Colin McDougall
Submit draft Annual Governance Statement to the Audit Committee		<div><div></div></div> 100%	30-Jun-2019	At the meeting of the Audit Committee on 12th June 2019, members of the committee were invited to consider the draft Annual Governance Statement. Subsequently, the Annual Governance Statement was finalised and published in the Council's Abstract of Accounts for the year ended 31st March 2019.	Colin McDougall
Ensure continuing Council compliance with the Code of Good Governance		<div><div></div></div> 100%	30-Jun-2019	An action plan was developed and a report submitted to Audit Committee meeting on 12th June 2019. These actions will be implemented during 2019/20 with regular updates submitted to the Audit Committee.	Colin McDougall
Review ways of decreasing corporate debt		<div><div></div></div> 0%	31-Mar-2020	Contact Corporate Comm's to investigate option of contacting those registered for My Account but didn't take up the e-billing	Arun Menon

Action	Status	Progress	Due Date	Comments	Managed By
				<p>option. Reviewing this process to ensure maximum take up for e-billing.</p> <p>Sundry debt process has been reviewed which will be monitored to gauge success on collection.</p> <p>Council Tax summary warrant cases reviewed and relevant cases passed to our Debt Partners earlier than previous years to allow maximum in year collection.</p>	
Continue to review ways to improve rent collection		<div><div></div></div> 0%	31-Mar-2020	<p>All SSSC (bedroom tax) DHP's processed for new financial year and will monitor spend in benefit cap cases.</p> <p>Q1 Former Tenant debt passed for approval and approval, cases written off.</p> <p>Meeting held with Business Support Manager and Housing Manager to discuss concerns over increase in arrear cases and discuss options to target. Agreed Housing Officers (HO) will only manage new tenant cases to ensure early intervention process is carried out in each case, to allow HO's assist with implementation of the Housing Management system and for HO's to be trained on system.</p> <p>Rent Collection Policy updated and sent to Housing Committee for approval.</p>	Arun Menon
Implement service improvements as part of the billing and payment review		<div><div></div></div> 0%	31-Mar-2020	Bank verification software procurement agreed with legal service. This will now be procured and implemented followed by rigorous testing. Wider review of debt and underlying processes being undertaken with relevant service areas. payment plans being promoted where feasible. Corporate Debt Policy updated and approved by Corporate Services committee which incorporated some of the proposed improvements.	Arun Menon
Implement actions to improve compliant spend		<div><div></div></div> 25%	31-Mar-2020	This action is progressing.	Annabel Travers
Update the Council's Financial Regulations to reflect key changes in legislation, policy and procedures		<div><div></div></div> 100%	31-Mar-2020	This action was completed successfully.	Annabel Travers

Service Risk	Current Risk Matrix	Description	Target Risk Matrix	Assigned To																																																		
Failure to provide assurance of the system of financial controls	<div> <div>Likelihood</div> <table border="1"> <tr><td></td><td></td><td></td><td></td><td></td></tr> <tr><td></td><td></td><td></td><td></td><td></td></tr> <tr><td></td><td></td><td></td><td></td><td></td></tr> <tr><td></td><td></td><td></td><td></td><td></td></tr> <tr><td></td><td></td><td></td><td></td><td></td></tr> </table> <div>Impact</div> </div>																										Either Internal Audit or External Audit is unable to provide assurances on the Council's financial control environment	<div> <div>Likelihood</div> <table border="1"> <tr><td></td><td></td><td></td><td></td><td></td></tr> <tr><td></td><td></td><td></td><td></td><td></td></tr> <tr><td></td><td></td><td></td><td></td><td></td></tr> <tr><td></td><td></td><td></td><td></td><td></td></tr> <tr><td></td><td></td><td></td><td></td><td></td></tr> </table> <div>Impact</div> </div>																										Colin McDougall




Service Risk	Current Risk Matrix	Description	Target Risk Matrix	Assigned To
Debt is not recovered efficiently or effectively, with inherent risk of financial loss	Likelihood  Impact	The processes deployed in collection of monies owed to the council are inefficient and ineffective resulting in money not collected on time or having to be written off	Likelihood  Impact	Arun Menon
Increase in the level of rent arrears due to the level of Welfare Reform changes and general state of economy	Likelihood  Impact	The Council sees an increase in its level of rent arrears due to lower disposable income and national changes to the national benefits regime and the ongoing economic position	Likelihood  Impact	Arun Menon
National delays in implementing Welfare Reform changes; ineffective ICT systems or processes eg with the DWP affecting delivery of Welfare Reform changes	Likelihood  Impact	Issues with system supporting delivery of Welfare Reform changes affects service delivery	Likelihood  Impact	Arun Menon
Non-compliance with procurement legislation	Likelihood  Impact	Due to scale and complexity of changes to procurement legislation and guidance there is a failure to comply	Likelihood  Impact	Annabel Travers
Failure to meet statutory deadlines for external returns (including HMRC) and financial statements	Likelihood  Impact	Finance Services failing to meet statutory deadlines resulting in lost revenue or penalty costs	Likelihood  Impact	Gillian McNeilly
Financial projections are significantly incorrect	Likelihood  Impact	Financial projections for both capital and revenue are significantly incorrect for various reasons – including unexpected costs – resulting in insufficient reserves being held	Likelihood  Impact	Gillian McNeilly




Strategic Risk	Current Risk Matrix	Description	Target Risk Matrix	Assigned To
Significant financial funding reductions from Scottish Government		The Council is faced with significant ongoing funding reductions from the Scottish Government. Austerity is expected to continue for a number of years into the future and likely to result in funding reductions. This coincides with a period where costs are expected to rise in relation to Social Care due to aging population and capped powers to raise funds through Council Tax.		Gillian McNeilly


<b>P</b>	5. Efficient and effective frontline services that improve the everyday lives of residents










<b>Ob</b>	A committed and skilled workforce






Action	Status	Progress	Due Date	Comments	Managed By
Continue to review and adapt financial guidance and training in line with service needs		<div><div>60%</div></div>	31-Mar-2020	Discussions have taken place with Strategic Leads to identify areas of training to be developed (such as VAT; aghresso; general accounting and budgeting). Aghresso training sessions on going as required; School clerical finance training being developed for early 2020 with areas of training identified by the schools	Gillian McNeilly

<b>Ob</b>	A continuously improving Council delivering best value

Performance Indicator	Status	Q1 2019/20		Q2 2019/20		Short Trend	Long Trend	Managed By
		Value	Target	Value	Target			
Percentage of income due from council tax received by the end of the year %		29.73%	26.02%	54.67%	52.04%			Arun Menon

Action	Status	Progress	Due Date	Comments	Managed By
Review Finance service structure in line with agreed management adjustments		<div><div>100%</div></div>	30-Sep-2019	Finance restructure now completed	Gillian McNeilly

Action	Status	Progress	Due Date	Comments	Managed By
Review Procurement service structure in line with agreed management adjustments		<div><div>10%</div></div>	31-Mar-2020	Currently reviewing structure.	Annabel Travers
Review Business Support service structure in line with agreed management adjustments		<div><div>33%</div></div>	31-Mar-2020	Options being considered in line with the financial gap	Arun Menon
Review Audit & Fraud service structure in line with agreed management adjustments		<div><div>100%</div></div>	31-Mar-2020	Options provided to Strategic Lead and a report was submitted to the Council meeting on 28th August 2019. A proposal to have the Audit Manager role shared with Inverclyde Council was agreed and this will become effective from 1st January 2020.	Colin McDougall
Review Accounts Payable Service and supporting improvements within Agresso		<div><div>0%</div></div>	31-Mar-2020	Corporate Purchase Card (CPC) session planned for HSCP; furthermore a generic session being arranged for all approvers at next SMN; plan to get RBS in to do a health check in reviewing set up of approvers; auto reporting options; approvers can review what is outstanding. Meeting held with HSCP to review level of debt and link with their charging policy; discussions still underway to finalise bank verification software procurement which is vital for the implementation of DD functionality for Sundry Debt.	Arun Menon
Continue the development of Agresso reporting functionality to maximise automation for annual National Returns (e.g. LFR / WGA/ POBE / Financial Statements)		<div><div>40%</div></div>	31-Mar-2020	amendments in agresso coding structure have been made to simplify the preparation of the CI&ES within the Financial Statements; WGA. Further work is planned for Financial Statements.	Gillian McNeilly
Develop Finance leadership, governance and controls across the Council		<div><div>20%</div></div>	31-Mar-2020	The work done on this to date has been limited. Following the Finance restructure, and changes in Finance Business Partners allocated to Services, relationships require to be re-established in some areas.  Work is ongoing to identify improvements for areas reviewed for governance and control (budgetary control process; reconciliations; VAT governance) - including training where appropriate	Gillian McNeilly
Develop procurement leadership, governance and controls across the Council		<div><div>50%</div></div>	31-Mar-2020	This is part of the Corporate Procurement Unit's continuous improvement activity and as such, this is ongoing.	Annabel Travers
Implement action plan arising from the Procurement and Commercial Improvement Programme assessment		<div><div>20%</div></div>	31-Mar-2020	This is part of the Corporate Procurement Unit's continuous improvement activity and as such, this is ongoing.	Annabel Travers
Use benchmarking data to evaluate service delivery and performance within Business Support		<div><div>90%</div></div>	31-Mar-2020	Updated survey with further details issued to the Benchmarking councils with a return date of 23/10/19. This will be analysed further to identify potential areas for improvement for WDC.	Arun Menon

Action	Status	Progress	Due Date	Comments	Managed By
Use benchmarking data to evaluate service delivery and performance within Finance Services		<div><div>20%</div></div>	31-Mar-2020	<p>following identification of 2 Council willing to benchmark during 2018/19, progress has been slow. However contact is re-established with a view to completing the exercise.</p> <p>Meantime use of national information is being reviewed to identify areas WDC Finance Team varies from other Scottish Councils and reasons for that variance</p>	Gillian McNeilly
Use benchmarking data to evaluate service delivery and performance within Corporate Procurement Unit		<div><div>50%</div></div>	31-Mar-2020	<p>There's no standard performance indicators across Local Authorities procurement teams' that the Corporate Procurement Unit could access due to General Data Protection Regulations. However; the Corporate Procurement Unit shares benchmarking information with other Council's including:</p> <ul style="list-style-type: none"> <li>• Savings;</li> <li>• PCIP scores;</li> <li>• Structure;</li> <li>• Local procurement policies;</li> <li>• Etc.</li> </ul> <p>This is part of the Corporate Procurement Unit's continuous improvement activity and as such, it is ongoing.</p>	Annabel Travers
Use benchmarking data to evaluate service delivery and performance within Internal Audit & Fraud		<div><div>40%</div></div>	31-Mar-2020	<p>A suite of performance indicators has been developed with the Internal Audit functions of four other Scottish Councils. The next stage is to discuss how and why measures differ across Councils and prepare a report to explain this.</p>	Colin McDougall
Review and increase speed of procurement processes		<div><div>65%</div></div>	31-Mar-2020	<p>This s part of the Corporate Procurement Unit's 'Council Wide Pipeline" document and as such is part of the continuous improvement activity which is ongoing.</p>	Annabel Travers
Complete a range of commodity strategies		<div><div>20%</div></div>	31-Mar-2020	<p>Ongoing - Implementation of commodity strategies for:</p> <ul style="list-style-type: none"> <li>• Mental Health, Learning Disabilities and Addictions;</li> <li>• Construction;</li> <li>• Information and Communications Technology (ICT);</li> <li>• Highway Maintenance, Equipment &amp; Materials.</li> </ul>	Annabel Travers

**WEST DUNBARTONSHIRE COUNCIL**  
**Report by the Strategic Lead Resources**  
**Corporate Services Committee – 13 November 2019**

**Subject: Corporate Services Budgetary Control Report to 30 September 2019  
(Period 6)**

**1. Purpose**

- 1.1** The purpose of this report is to advise the Committee on the performance of the Corporate Services budget for the period to 30 September 2019.

**2. Recommendations**

- 2.1** Members are asked to:

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

**3. Background**

Revenue

- 3.1** At the meeting of West Dunbartonshire Council on 27 March 2019, Members agreed the revenue estimates for 2019/2020, including a total net Corporate Services budget of £21.054m. Budget transfers have taken place decreasing the budget to £20.862m as detailed below.

	<b>£m</b>
Budget agreed March 2019	21.054
Transfer Period Poverty Grant to Housing & Employability	-0.060
Adjustment for transfer of information workers budget	0.116
Centralisation of Circuit Licence	0.002
Library book fund from Education	0.010
Environmental Services Restructure - re-allocation	0.056
Recurring Variances exercise	-0.298
Transfer Multi Year Computer Licences to Capital	-0.029
Increase in Window Cleaning Budget	0.010
	<b><u>20.862</u></b>

### Capital

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

## **4. Main Issues**

### Revenue

- 4.1** The summary report at Appendix 1 identifies a projected annual favourable variance (underspend) of £0.045m (0.22% of the total budget). Detailed service reports are attached as Appendix 2.
- 4.2** There are two projected annual variances in excess of £0.050m. Notes on these variances are highlighted and noted within Appendix 3, with additional information on action being taken to minimise or mitigate overspends where possible.
- 4.3** Although the report indicates that expenditure is favourable in comparison to that anticipated during the budget exercise, the present variance should be viewed in the knowledge that there are a number of variable factors which could arise between now and 31 March and which could affect the year end results.
- 4.4** Agreed management adjustments for 2019/20 are monitored with current indications showing that of the total target being monitored (£0.498m), all actions are currently on target to be achieved (see Appendix 4).

### Capital

- 4.4.1** Appendices 5 and 6 highlights a project as showing an in-year overspend and two projects showing an in-year underspend. The overall Corporate Services programme summary report at Appendix 5 shows that there is a projected £0.019m underspend.

## **5. Option Appraisal**

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

## **6. People Implications**

- 6.1** There are no people implications.

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

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

## **8. Risk Analysis**

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

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

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

## **10. Consultation**

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

## **11. Strategic Assessment**

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

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

**Date: 06 November 2019**

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**Person to Contact:** Adrian Gray, Finance Business Partner  
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**Appendices:**

Appendix 1 -	Revenue Budgetary Control 2019/20 – Summary Report
Appendix 2 -	Revenue Budgetary Control 2019/20 – Service Reports
Appendix 3 -	Analysis of Revenue Variances over £50,000
Appendix 4 -	2019/20 Efficiencies and Management Adjustments Monitoring
Appendix 5 -	Overall Capital Programme Summary Financials
Appendix 6 -	Capital Programme – Green Status

**Background Papers:** Ledger output – Period 6  
General Services Revenue Estimates 2019/20  
General Services Capital Plan 2019/20 to 2028/29 - Council  
5 March 2019

**Wards Affected** All Wards



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

**APPENDIX 1**

**MONTH END DATE** **30 September 2019**

Service / Subjective Summary	Total Budget 2019/20	Spend to Date 2019/20	Forecast Spend	Variance 2019/20		Annual RAG Status
	£000	£000	£000	£000	%	
Audit	150	179	143	(7)	-5%	↑
Finance	1,398	822	1,401	3	0%	↓
Rent Rebates & Allowances	(46)	4,862	(46)	(0)	-1%	↑
Revenues & Benefits	2,063	1,201	2,078	15	1%	↓
Finance Business Centre	284	140	291	7	2%	↓
Cost of Collection of Rates	24	0	25	1	4%	↓
Cost of Collection of Council Tax	(782)	(141)	(782)	0	0%	→
Procurement	615	483	606	(9)	-1%	↑
Democratic and Registration Service	734	332	711	(23)	-3%	↑
Central Admin Support	2,390	1,137	2,347	(43)	-2%	↑
Environmental Health	670	360	713	43	6%	↓
Licensing	(123)	(53)	(109)	14	11%	↓
Legal Services & Trading Standards	879	486	879	0	0%	→
Planning	424	43	405	(19)	-4%	↑
Transactional Services	646	317	654	8	1%	↓
Human Resources (including risk)	1,216	494	1,196	(20)	-2%	↑
Information Services	3,871	2,554	3,899	28	1%	↓
Change Support	365	156	302	(63)	-17%	↑
Communications & Marketing	309	144	308	(1)	0%	↑
Citizen Services	1,363	632	1,354	(9)	-1%	↑
Performance & Strategy	349	161	350	1	0%	↓
Clydebank Town Hall	375	59	373	(2)	-1%	↑
Office Accomodation	1,491	419	1,546	55	4%	↓
Libraries	1,743	690	1,733	(10)	-1%	↑
Arts and Heritage	453	204	440	(13)	-3%	→
Total Net Expenditure	20,862	15,681	20,816	(45)	-0.22%	↑

PERIOD 30 September 2019

Service Summary	Total Budget 2019/20	YTD Spend 2019/20	Forecast Spend 2019/20	Variance 2019/20	RAG Status
<b>All Services</b>	<b>£000</b>	<b>£000</b>	<b>£000</b>	<b>£000</b>	<b>%</b>
Employee	19,675	9,427	19,561	- 114	-1% ↑
Property	1,703	403	1,762	59	3% ↓
Transport and Plant	70	20	66	- 4	-6% ↑
Supplies, Services and Admin	3,059	1,920	3,092	33	1% ↓
Payments to Other Bodies	51,378	22,553	51,390	12	0% ↓
Other	0	-	-	-	0% →
<b>Gross Expenditure</b>	<b>75,885</b>	<b>34,323</b>	<b>75,870</b>	<b>(15)</b>	<b>0%</b> ↑
<b>Income</b>	<b>(55,024)</b>	<b>(18,636)</b>	<b>(55,054)</b>	<b>(30)</b>	<b>0%</b> ↑
<b>Net Expenditure</b>	<b>20,861</b>	<b>15,687</b>	<b>20,816</b>	<b>(45)</b>	<b>0%</b> ↑
<b>Audit</b>	<b>£000</b>	<b>£000</b>	<b>£000</b>	<b>£000</b>	<b>%</b>
Employee	382	182	376	(6)	-2% ↑
Property	0	0	0	0	0% →
Transport and Plant	1	1	1	0	0% →
Supplies, Services and Admin	2	2	3	1	50% ↓
Payments to Other Bodies	-	0	0	0	0% →
Other	0	0	0	0	0% →
<b>Gross Expenditure</b>	<b>385</b>	<b>185</b>	<b>380</b>	<b>(5)</b>	<b>-1%</b> ↑
<b>Income</b>	<b>(235)</b>	<b>(6)</b>	<b>(237)</b>	<b>(2)</b>	<b>-1%</b> ↑
<b>Net Expenditure</b>	<b>150</b>	<b>179</b>	<b>143</b>	<b>(7)</b>	<b>-5%</b> ↑
<b>Finance</b>	<b>£000</b>	<b>£000</b>	<b>£000</b>	<b>£000</b>	<b>%</b>
Employee	1,582	815	1,617	35	2% ↓
Property	0	0	0	0	0% →
Transport and Plant	1	0	1	0	0% →
Supplies, Services and Admin	8	5	8	0	0% →
Payments to Other Bodies	2	2	2	0	0% →
Other	0	0	0	0	0% →
<b>Gross Expenditure</b>	<b>1,593</b>	<b>822</b>	<b>1,628</b>	<b>35</b>	<b>2%</b> ↓
<b>Income</b>	<b>(195)</b>	<b>0</b>	<b>(227)</b>	<b>(32)</b>	<b>-16%</b> ↑
<b>Net Expenditure</b>	<b>1,398</b>	<b>822</b>	<b>1,401</b>	<b>3</b>	<b>0%</b> ↓
<b>Rent Rebates &amp; Allowances</b>	<b>£000</b>	<b>£000</b>	<b>£000</b>	<b>£000</b>	<b>%</b>
Employee	0	0	0	0	0% →
Property	0	0	0	0	0% →
Transport and Plant	0	0	0	0	0% →
Supplies, Services and Admin	0	0	0	0	0% →
Payments to Other Bodies	49,728	21,907	49,728	(0)	0% ↑
Other	0	0	0	0	0% →
<b>Gross Expenditure</b>	<b>49,728</b>	<b>21,907</b>	<b>49,728</b>	<b>(0)</b>	<b>0%</b> ↑
<b>Income</b>	<b>(49,774)</b>	<b>(17,045)</b>	<b>(49,774)</b>	<b>0</b>	<b>0%</b> →
<b>Net Expenditure</b>	<b>- 46</b>	<b>4,862</b>	<b>(46)</b>	<b>(0)</b>	<b>1%</b> ↑
<b>Revenues &amp; Benefits</b>	<b>£000</b>	<b>£000</b>	<b>£000</b>	<b>£000</b>	<b>%</b>
Employee	1,849	934	1,849	0	0% →
Property	0	0	0	0	0% →
Transport and Plant	7	2	5	(2)	-29% ↑
Supplies, Services and Admin	30	19	42	12	40% ↓
Payments to Other Bodies	838	493	844	6	1% ↓
Other	0	0	0	0	0% →
<b>Gross Expenditure</b>	<b>2,724</b>	<b>1,448</b>	<b>2,740</b>	<b>16</b>	<b>1%</b> ↓
<b>Income</b>	<b>(661)</b>	<b>(247)</b>	<b>(662)</b>	<b>(1)</b>	<b>0%</b> ↑
<b>Net Expenditure</b>	<b>2,063</b>	<b>1,201</b>	<b>2,078</b>	<b>15</b>	<b>1%</b> ↓

PERIOD 30 September 2019

Service Summary	Total Budget 2019/20	YTD Spend 2019/20	Forecast Spend 2019/20	Variance 2019/20		RAG Status
<b>Finance Business Centre</b>	<b>£000</b>	<b>£000</b>	<b>£000</b>	<b>£000</b>	<b>%</b>	
Employee	234	123	241	7	3%	↓
Property	0	0	0	0	0%	→
Transport and Plant	0	0	0	0	0%	→
Supplies, Services and Admin	50	17	50	0	0%	→
Payments to Other Bodies	0	0	0	0	0%	→
Other	0	0	0	0	0%	→
<b>Gross Expenditure</b>	<b>284</b>	<b>140</b>	<b>291</b>	<b>7</b>	<b>2%</b>	<b>↓</b>
<b>Income</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0%</b>	<b>→</b>
<b>Net Expenditure</b>	<b>284</b>	<b>140</b>	<b>291</b>	<b>7</b>	<b>2%</b>	<b>↓</b>
<b>Cost of Collection of Rates</b>	<b>£000</b>	<b>£000</b>	<b>£000</b>	<b>£000</b>	<b>%</b>	
Employee	0	0	0	0	0%	→
Property	0	0	0	0	0%	→
Transport and Plant	0	0	0	0	0%	→
Supplies, Services and Admin	9	0	9	0	0%	→
Payments to Other Bodies	100	0	101	1	1%	↓
Other	0	0	0	0	0%	→
<b>Gross Expenditure</b>	<b>109</b>	<b>0</b>	<b>110</b>	<b>1</b>	<b>1%</b>	<b>↓</b>
<b>Income</b>	<b>(85)</b>	<b>0</b>	<b>(85)</b>	<b>0</b>	<b>0%</b>	<b>→</b>
<b>Net Expenditure</b>	<b>24</b>	<b>0</b>	<b>25</b>	<b>1</b>	<b>4%</b>	<b>↓</b>
<b>Cost of Collection of Council Tax</b>	<b>£000</b>	<b>£000</b>	<b>£000</b>	<b>£000</b>	<b>%</b>	
Employee	0	0	0	0	0%	→
Property	0	0	0	(0)	0%	↑
Transport and Plant	0	0	0	0	0%	→
Supplies, Services and Admin	64	23	64	0	0%	→
Payments to Other Bodies	38	20	38	0	0%	→
Other	0	0	0	0	0%	→
<b>Gross Expenditure</b>	<b>102</b>	<b>43</b>	<b>102</b>	<b>0</b>	<b>0%</b>	<b>→</b>
<b>Income</b>	<b>(884)</b>	<b>(184)</b>	<b>(884)</b>	<b>0</b>	<b>0%</b>	<b>→</b>
<b>Net Expenditure</b>	<b>(782)</b>	<b>(141)</b>	<b>(782)</b>	<b>0</b>	<b>0%</b>	<b>→</b>
<b>Procurement</b>	<b>£000</b>	<b>£000</b>	<b>£000</b>	<b>£000</b>	<b>%</b>	
Employee	982	481	969	(13)	-1%	↑
Property	0	0	0	0	0%	→
Transport and Plant	1	0	1	0	0%	→
Supplies, Services and Admin	14	2	10	(4)	-29%	↑
Payments to Other Bodies	69	-	69	0	0%	→
Other	0	0	0	0	0%	→
<b>Gross Expenditure</b>	<b>1,066</b>	<b>483</b>	<b>1,049</b>	<b>(17)</b>	<b>-2%</b>	<b>↑</b>
<b>Income</b>	<b>(451)</b>	<b>0</b>	<b>(443)</b>	<b>8</b>	<b>2%</b>	<b>↓</b>
<b>Net Expenditure</b>	<b>615</b>	<b>483</b>	<b>606</b>	<b>(9)</b>	<b>-1%</b>	<b>↑</b>
<b>Democratic and Registration Service</b>	<b>£000</b>	<b>£000</b>	<b>£000</b>	<b>£000</b>	<b>%</b>	
Employee	841	384	809	(32)	-4%	↑
Property	0	0	0	0	0%	→
Transport and Plant	2	1	2	0	0%	→
Supplies, Services and Admin	10	8	13	3	30%	↓
Payments to Other Bodies	0	0	0	0	0%	→
Other	0	0	0	0	0%	→
<b>Gross Expenditure</b>	<b>853</b>	<b>393</b>	<b>824</b>	<b>(29)</b>	<b>-3%</b>	<b>↑</b>
<b>Income</b>	<b>(119)</b>	<b>(61)</b>	<b>(113)</b>	<b>6</b>	<b>5%</b>	<b>↓</b>
<b>Net Expenditure</b>	<b>734</b>	<b>332</b>	<b>711</b>	<b>(23)</b>	<b>-3%</b>	<b>↑</b>

PERIOD 30 September 2019

Service Summary	Total Budget 2019/20	YTD Spend 2019/20	Forecast Spend 2019/20	Variance 2019/20	RAG Status
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PERIOD 30 September 2019

Service Summary	Total Budget 2019/20	YTD Spend 2019/20	Forecast Spend 2019/20	Variance 2019/20		RAG Status
<b>Central Admin Support</b>	<b>£000</b>	<b>£000</b>	<b>£000</b>	<b>£000</b>	<b>%</b>	
Employee	2,365	1,131	2,335	(30)	-1%	↑
Property	0	0	0	0	0%	→
Transport and Plant	2	1	2	0	0%	→
Supplies, Services and Admin	23	10	23	0	0%	→
Payments to Other Bodies	0	0	0	0	0%	→
Other	0	0	0	0	0%	→
<b>Gross Expenditure</b>	<b>2,390</b>	<b>1,142</b>	<b>2,360</b>	<b>(30)</b>	<b>-1%</b>	<b>↑</b>
<b>Income</b>	<b>0</b>	<b>(5)</b>	<b>(13)</b>	<b>(13)</b>	<b>0%</b>	<b>↑</b>
<b>Net Expenditure</b>	<b>2,390</b>	<b>1,137</b>	<b>2,347</b>	<b>(43)</b>	<b>-2%</b>	<b>↑</b>
<b>Environmental Health</b>	<b>£000</b>	<b>£000</b>	<b>£000</b>	<b>£000</b>	<b>%</b>	
Employee	882	438	915	33	4%	↓
Property	8	3	8	0	0%	→
Transport and Plant	12	4	11	(1)	-8%	↑
Supplies, Services and Admin	24	9	27	3	13%	↓
Payments to Other Bodies	78	31	78	0	0%	→
Other	0	0	0	0	0%	→
<b>Gross Expenditure</b>	<b>1,004</b>	<b>485</b>	<b>1,039</b>	<b>35</b>	<b>3%</b>	<b>↓</b>
<b>Income</b>	<b>(334)</b>	<b>(125)</b>	<b>(326)</b>	<b>8</b>	<b>2%</b>	<b>↓</b>
<b>Net Expenditure</b>	<b>670</b>	<b>360</b>	<b>713</b>	<b>43</b>	<b>6%</b>	<b>↓</b>
<b>Licensing</b>	<b>£000</b>	<b>£000</b>	<b>£000</b>	<b>£000</b>	<b>%</b>	
Employee	263	132	273	10	4%	↓
Property	0	0	0	0	0%	→
Transport and Plant	1	0	1	0	0%	→
Supplies, Services and Admin	5	3	5	0	0%	→
Payments to Other Bodies	8	0	8	0	0%	→
Other	0	0	0	0	0%	→
<b>Gross Expenditure</b>	<b>277</b>	<b>135</b>	<b>287</b>	<b>10</b>	<b>4%</b>	<b>↓</b>
<b>Income</b>	<b>(400)</b>	<b>(188)</b>	<b>(396)</b>	<b>4</b>	<b>1%</b>	<b>↓</b>
<b>Net Expenditure</b>	<b>(123)</b>	<b>(53)</b>	<b>(109)</b>	<b>14</b>	<b>-11%</b>	<b>↓</b>
<b>Legal Services &amp; Trading Standards</b>	<b>£000</b>	<b>£000</b>	<b>£000</b>	<b>£000</b>	<b>%</b>	
Employee	1,038	497	1,039	1	0%	↓
Property	0	0	0	0	0%	→
Transport and Plant	5	1	4	(1)	-20%	↑
Supplies, Services and Admin	18	4	18	0	0%	→
Payments to Other Bodies	2	-	2	0	0%	→
Other	0	0	0	0	0%	→
<b>Gross Expenditure</b>	<b>1,063</b>	<b>502</b>	<b>1,063</b>	<b>0</b>	<b>0%</b>	<b>→</b>
<b>Income</b>	<b>(184)</b>	<b>16</b>	<b>(184)</b>	<b>0</b>	<b>0%</b>	<b>→</b>
<b>Net Expenditure</b>	<b>879</b>	<b>486</b>	<b>879</b>	<b>0</b>	<b>0%</b>	<b>→</b>
<b>Planning</b>	<b>£000</b>	<b>£000</b>	<b>£000</b>	<b>£000</b>	<b>%</b>	
Employee	1,092	491	1,070	(22)	-2%	↑
Property	0	0	0	0	0%	→
Transport and Plant	5	2	4	(1)	-20%	↑
Supplies, Services and Admin	31	5	32	1	3%	↓
Payments to Other Bodies	143	14	143	0	0%	→
Other	0	0	0	0	0%	→
<b>Gross Expenditure</b>	<b>1,271</b>	<b>512</b>	<b>1,249</b>	<b>(22)</b>	<b>-2%</b>	<b>↑</b>
<b>Income</b>	<b>(847)</b>	<b>(469)</b>	<b>(844)</b>	<b>3</b>	<b>0%</b>	<b>↓</b>

PERIOD 30 September 2019

Service Summary	Total Budget 2019/20	YTD Spend 2019/20	Forecast Spend 2019/20	Variance 2019/20		RAG Status
Net Expenditure	424	43	405	(19)	-4%	↑

PERIOD 30 September 2019

Service Summary	Total Budget 2019/20	YTD Spend 2019/20	Forecast Spend 2019/20	Variance 2019/20	RAG Status
<b>Transactional Services</b>	<b>£000</b>	<b>£000</b>	<b>£000</b>	<b>£000</b>	<b>%</b>
Employee	663	328	672	9	1%
Property	0	0	0	0	0%
Transport and Plant	0	0	0	0	0%
Supplies, Services and Admin	5	1	4	(1)	-20%
Payments to Other Bodies	0	0	0	0	0%
Other	0	0	0	0	0%
<b>Gross Expenditure</b>	<b>668</b>	<b>329</b>	<b>676</b>	<b>8</b>	<b>1%</b>
<b>Income</b>	<b>(22)</b>	<b>(12)</b>	<b>(22)</b>	<b>0</b>	<b>0%</b>
<b>Net Expenditure</b>	<b>646</b>	<b>317</b>	<b>654</b>	<b>8</b>	<b>1%</b>
<b>Human Resources (including risk)</b>	<b>£000</b>	<b>£000</b>	<b>£000</b>	<b>£000</b>	<b>%</b>
Employee	953	437	932	(21)	-2%
Property	0	0	0	0	0%
Transport and Plant	3	2	4	1	33%
Supplies, Services and Admin	4	3	4	(0)	-6%
Payments to Other Bodies	256	52	256	0	0%
Other	0	0	0	0	0%
<b>Gross Expenditure</b>	<b>1,216</b>	<b>494</b>	<b>1,196</b>	<b>(20)</b>	<b>-2%</b>
<b>Income</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0%</b>
<b>Net Expenditure</b>	<b>1,216</b>	<b>494</b>	<b>1,196</b>	<b>(20)</b>	<b>-2%</b>
<b>Information Services</b>	<b>£000</b>	<b>£000</b>	<b>£000</b>	<b>£000</b>	<b>%</b>
Employee	1,985	965	2,014	29	1%
Property	0	0	0	0	0%
Transport and Plant	3	1	4	1	33%
Supplies, Services and Admin	2,308	1,637	2,310	2	0%
Payments to Other Bodies	19	14	19	0	0%
Other	0	0	0	0	0%
<b>Gross Expenditure</b>	<b>4,315</b>	<b>2,617</b>	<b>4,347</b>	<b>32</b>	<b>1%</b>
<b>Income</b>	<b>(444)</b>	<b>(63)</b>	<b>(448)</b>	<b>(4)</b>	<b>-1%</b>
<b>Net Expenditure</b>	<b>3,871</b>	<b>2,554</b>	<b>3,899</b>	<b>28</b>	<b>1%</b>
<b>Change Support</b>	<b>£000</b>	<b>£000</b>	<b>£000</b>	<b>£000</b>	<b>%</b>
Employee	413	160	356	(57)	-14%
Property	0	0	0	0	0%
Transport and Plant	1	0	0	(1)	-100%
Supplies, Services and Admin	0	0	0	0	0%
Payments to Other Bodies	0	0	0	0	0%
Other	0	0	0	0	0%
<b>Gross Expenditure</b>	<b>414</b>	<b>160</b>	<b>356</b>	<b>(58)</b>	<b>-14%</b>
<b>Income</b>	<b>(49)</b>	<b>(4)</b>	<b>(54)</b>	<b>(5)</b>	<b>-10%</b>
<b>Net Expenditure</b>	<b>365</b>	<b>156</b>	<b>302</b>	<b>(63)</b>	<b>-17%</b>

PERIOD 30 September 2019

Service Summary	Total Budget 2019/20	YTD Spend 2019/20	Forecast Spend 2019/20	Variance 2019/20	RAG Status
<b>Communications &amp; Marketing</b>	<b>£000</b>	<b>£000</b>	<b>£000</b>	<b>£000</b>	<b>%</b>
Employee	316	150	315	(1)	0%
Property	0	0	0	0	0%
Transport and Plant	1	0	1	0	0%
Supplies, Services and Admin	23	8	23	0	0%
Payments to Other Bodies	0	0	0	0	0%
Other	0	0	0	0	0%
<b>Gross Expenditure</b>	<b>340</b>	<b>158</b>	<b>339</b>	<b>(1)</b>	<b>0%</b>
<b>Income</b>	<b>(31)</b>	<b>(14)</b>	<b>(31)</b>	<b>0</b>	<b>0%</b>
<b>Net Expenditure</b>	<b>309</b>	<b>144</b>	<b>308</b>	<b>(1)</b>	<b>0%</b>
<b>Citizen Services</b>	<b>£000</b>	<b>£000</b>	<b>£000</b>	<b>£000</b>	<b>%</b>
Employee	1,348	615	1,329	(19)	-1%
Property	-	-	0	0	0%
Transport and Plant	3	1	3	0	0%
Supplies, Services and Admin	12	16	22	10	83%
Payments to Other Bodies	-	0	0	0	0%
Other	0	0	0	0	0%
<b>Gross Expenditure</b>	<b>1,363</b>	<b>632</b>	<b>1,354</b>	<b>(9)</b>	<b>-1%</b>
<b>Income</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0%</b>
<b>Net Expenditure</b>	<b>1,363</b>	<b>632</b>	<b>1,354</b>	<b>(9)</b>	<b>-1%</b>
<b>Performance &amp; Strategy</b>	<b>£000</b>	<b>£000</b>	<b>£000</b>	<b>£000</b>	<b>%</b>
Employee	319	152	322	3	1%
Property	0	0	0	0	0%
Transport and Plant	1	0	1	0	0%
Supplies, Services and Admin	8	0	8	(0)	0%
Payments to Other Bodies	21	11	21	0	0%
Other	0	0	0	0	0%
<b>Gross Expenditure</b>	<b>349</b>	<b>163</b>	<b>352</b>	<b>3</b>	<b>1%</b>
<b>Income</b>	<b>0</b>	<b>(2)</b>	<b>(2)</b>	<b>(2)</b>	<b>0%</b>
<b>Net Expenditure</b>	<b>349</b>	<b>161</b>	<b>350</b>	<b>1</b>	<b>0%</b>
<b>Clydebank Town Hall</b>	<b>£000</b>	<b>£000</b>	<b>£000</b>	<b>£000</b>	<b>%</b>
Employee	354	153	341	(13)	-4%
Property	184	28	192	8	4%
Transport and Plant	0	0	0	0	0%
Supplies, Services and Admin	49	50	52	3	6%
Payments to Other Bodies	0	0	0	0	0%
Other	0	0	0	0	0%
<b>Gross Expenditure</b>	<b>587</b>	<b>231</b>	<b>585</b>	<b>(2)</b>	<b>0%</b>
<b>Income</b>	<b>(212)</b>	<b>(172)</b>	<b>(212)</b>	<b>0</b>	<b>0%</b>
<b>Net Expenditure</b>	<b>375</b>	<b>59</b>	<b>373</b>	<b>(2)</b>	<b>-1%</b>
<b>Office Accommodation</b>	<b>£000</b>	<b>£000</b>	<b>£000</b>	<b>£000</b>	<b>%</b>
Employee	132	60	132	0	0%
Property	1,255	340	1,301	46	4%
Transport and Plant	1	0	1	0	0%
Supplies, Services and Admin	83	19	87	4	5%
Payments to Other Bodies	20	0	25	5	25%
Other	0	0	0	0	0%
<b>Gross Expenditure</b>	<b>1,491</b>	<b>419</b>	<b>1,546</b>	<b>55</b>	<b>4%</b>



PERIOD 30 September 2019

Service Summary	Total Budget 2019/20	YTD Spend 2019/20	Forecast Spend 2019/20	Variance 2019/20		RAG Status
Income	0	0	0	0	0%	→
Net Expenditure	1,491	419	1,546	55	4%	↓

PERIOD 30 September 2019

Service Summary	Total Budget 2019/20	YTD Spend 2019/20	Forecast Spend 2019/20	Variance 2019/20	RAG Status
<b>Libraries</b>	<b>£000</b>	<b>£000</b>	<b>£000</b>	<b>£000</b>	<b>%</b>
Employee	1,253	607	1,239	(14)	-1% ↑
Property	254	32	259	5	2% ↓
Transport and Plant	19	4	19	0	0% →
Supplies, Services and Admin	246	70	245	(1)	0% ↑
Payments to Other Bodies	13	0	13	0	0% →
Other	0	0	0	0	0% →
<b>Gross Expenditure</b>	<b>1,785</b>	<b>713</b>	<b>1,775</b>	<b>(10)</b>	<b>-1% ↑</b>
<b>Income</b>	<b>(42)</b>	<b>(23)</b>	<b>(42)</b>	<b>0</b>	<b>0% →</b>
<b>Net Expenditure</b>	<b>1,743</b>	<b>690</b>	<b>1,733</b>	<b>(10)</b>	<b>-1% ↑</b>
<b>Arts &amp; Heritage</b>	<b>£000</b>	<b>£000</b>	<b>£000</b>	<b>£000</b>	<b>%</b>
Employee	429	192	416	(13)	-3% ↑
Property	2	0	2	0	0% →
Transport and Plant	1	0	1	0	0% →
Supplies, Services and Admin	33	9	33	0	0% →
Payments to Other Bodies	43	6	43	0	0% →
Other	0	0	0	0	0% →
<b>Gross Expenditure</b>	<b>508</b>	<b>207</b>	<b>495</b>	<b>(13)</b>	<b>-3% ↑</b>
<b>Income</b>	<b>(55)</b>	<b>(3)</b>	<b>(55)</b>	<b>0</b>	<b>0% →</b>
<b>Net Expenditure</b>	<b>453</b>	<b>204</b>	<b>440</b>	<b>(13)</b>	<b>-3% ↑</b>

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

APPENDIX 3

YEAR END DATE

30 September 2019

Budget Details	Variance Analysis				
	Total Budget	Annual Spend	Variance		RAG Status
	£000	£000	£000	%	
Change Support	365	302	(63)	-17%	↑
Service Description	This Service enables transformational change and development, it also has the Central Training Budget for the Council.				
Main Issues / Reason for Variance	The main reason for the favourable variance is vacancies.				
Mitigating Action	None required				
Anticipated Outcome	Underspend is anticipated				
Office Accommodation	1,491	1,546	55	4%	↓
Service Description	Provision of shared office accommodation				
Main Issues / Reason for Variance	The main reason for an adverse variance is that there is insufficient budget for property costs - there was no historical data when the running costs for the new building were put into budgets.				
Mitigating Action	With occupancy in some of the buildings in the first year, the budget will continue to be monitored to identify any efficiencies or reductions to the anticipated costs.				
Anticipated Outcome	A year end overspend is currently anticipated				

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

**Appendix 4**

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

WEST DUNBARTONSHIRE COUNCIL  
GENERAL SERVICES CAPITAL PROGRAMME  
OVERALL PROGRAMME SUMMARY

APPENDIX 5

MONTH END DATE 30 September 2019

PERIOD 6

Project Status Analysis	Project Life Status Analysis				Current Year Project Status Analysis					
	Number of Projects at RAG Status	% Projects at RAG Status	Spend to Date £000	% Project Spend at RAG Status	Number of Projects at RAG Status	% Projects at RAG Status	Spend to Date £000	% Project Spend at RAG Status		
Red										
Projects are forecast to be overspent and/or experience material delay to completion	0	0%	0	0%	0	0%	0	0%		
Amber										
Projects are either at risk of being overspent and/or delay in completion (although this is unquantifiable at present) or the project has any issues that require to be reported at this time	0	0%	0	0%	0	0%	0	0%		
Green										
Projects are on target both in relation to overall budget and the forecast stages in the project life cycle and no issues are anticipated at this time	18	100%	4,420	100%	18	100%	477	100%		
TOTAL EXPENDITURE	18	100%	4,420	100%	18	100%	477	100%		
	Project Life Financials				Current Year Financials					
	Budget £000	Spend to Date £000	Forecast Spend £000	Forecast Variance £000	Budget £000	Spend to Date £000	Forecast Spend £000	Forecast Variance £000	Re-Phasing £000	Over/ (Under) £000
Red										
Projects are forecast to be overspent and/or significant delay to completion	0	0	0	0	0	0	0	0	0	0
Amber										
Projects are either at risk of being overspent and/or delay in completion (although this is unquantifiable at present) or the project has any issues that require to be reported at this time	0	0	0	0	0	0	0	0	0	0
Green										
Projects are on target both in relation to overall budget and the forecast stages in the project life cycle and no issues are anticipated at this time	10,281	4,420	10,262	(19)	2,688	477	2,916	228	247	(19)
TOTAL EXPENDITURE	10,281	4,420	10,262	(19)	2,688	477	2,916	228	247	(19)

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

APPENDIX 6

MONTH END DATE

30 September 2019

PERIOD

6

Budget Details	Project Life Financials					
	Budget	Spend to Date		Forecast Spend	Variance	
	£000	£000	%	£000	£000	%
<b>1 Electronic Insurance System - claim/incident management system</b>						
Project Life Financials	50	43	86%	50	0	0%
Current Year Financials	7	0	0%	7	0	0%
Project Description	Acquisition of a claims/incident management system supported by an electronic document management system.					
Project Lifecycle	Planned End Date	31-Mar-20	Forecast End Date	31-Mar-20		
<b>Main Issues / Reason for Variance</b>						
Delayed due to resources being redirected to higher prioritised work. This has affected the forecast end date and works therefore were required to be rescheduled from 2018/19.						
<b>Mitigating Action</b>						
None available at this time.						
<b>Anticipated Outcome</b>						
Upgraded Electronic Insurance System delivered on budget.						
<b>2 Making Tax Digital</b>						
Project Life Financials	40	7	17%	40	0	0%
Current Year Financials	40	7	17%	40	0	0%
Project Description	Making Tax Digital.					
Project Lifecycle	Planned End Date	31-Mar-20	Forecast End Date	31-Mar-20		
<b>Main Issues / Reason for Variance</b>						
No issues to report at this time with project completion anticipated by 31 March 2020.						
<b>Mitigating Action</b>						
None required.						
<b>Anticipated Outcome</b>						
Making Tax Digital.						
<b>3 Valuation Joint Board - Requisition of ICT Equipment</b>						
Project Life Financials	3	0	0%	3	0	0%
Current Year Financials	3	0	0%	3	0	0%
Project Description	Requisition re ICT Equipment.					
Project Lifecycle	Planned End Date	31-Mar-20	Forecast End Date	31-Mar-20		
<b>Main Issues / Reason for Variance</b>						
The purchase of laptops and PCs have been delayed into 2019/20 due to issues with the approved supplier. Full spend anticipated in 2019/20.						
<b>Mitigating Action</b>						
None available at this time.						
<b>Anticipated Outcome</b>						
Requisition re ICT Equipment.						
<b>4 Replacement GIS system and upgrade to eDevelopment Planning system.</b>						
Project Life Financials	51	25	50%	51	0	0%
Current Year Financials	51	25	50%	51	0	0%
Project Description	Replacement GIS system and upgrade to eDevelopment Planning system.					
Project Lifecycle	Planned End Date	31-Mar-20	Forecast End Date	31-Mar-20		
<b>Main Issues / Reason for Variance</b>						
Project progressing and expected to be delivered this financial year.						
<b>Mitigating Action</b>						
None Required.						
<b>Anticipated Outcome</b>						
GP/GIS in Planning.						

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

APPENDIX 6

MONTH END DATE

30 September 2019

PERIOD

6

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

5

Legal Case Management System

Project Life Financials	33	0	0%	33	0	0%
Current Year Financials	33	0	0%	33	0	0%
Project Description	Legal Case Management System.					
Project Lifecycle	Planned End Date	31-Mar-20	Forecast End Date	31-Mar-20		

Main Issues / Reason for Variance

Tenders have been returned and are currently being evaluated and full spend in 2019/20 is anticipated at this time.

Mitigating Action

None required at this time.

Anticipated Outcome

New legal case management system.

6

Air Quality Monitoring

Project Life Financials	30	28	93%	28	(2)	-7%
Current Year Financials	2	0	0%	0	(2)	-100%
Project Description	Air Quality Monitoring.					
Project Lifecycle	Planned End Date	31-Mar-20	Forecast End Date	31-Mar-19		

Main Issues / Reason for Variance

Project complete.

Mitigating Action

None required at this time.

Anticipated Outcome

Upgrade to air quality monitoring.

7

ICT Modernisation

Project Life Financials	1,101	308	28%	1,101	0	0%
Current Year Financials	1,101	308	28%	1,101	0	0%
Project Description	This budget is to facilitate ICT infrastructure and modernise working practices.					
Project Lifecycle	Planned End Date	31-Mar-20	Forecast End Date	31-Mar-20		

Main Issues / Reason for Variance

This project will deliver a fit for purpose device estate across WDC as well as technology improvements for device and ICT Service management. This will include automating device management, license management and enhancing current processes through automation as well as the resources to deliver these projects. This budget is expected to be fully spent in 2019/20.

Mitigating Action

The ability to mitigate is limited as retentions held until resilience test is successfully completed.

Anticipated Outcome

To update ICT systems within budget albeit later than first anticipated.

8

ICT Security & DR

Project Life Financials	427	128	30%	427	0	0%
Current Year Financials	427	128	30%	427	0	0%
Project Description	The project is for the enhancement of security systems, server replacement and the update of corporate applications to ensure compliance with 15/16 PSN requirements, to enhance the Disaster recovery capabilities of WDC.					
Project Lifecycle	Planned End Date	31-Mar-20	Forecast End Date	31-Mar-20		

Main Issues / Reason for Variance

This project will deliver the mechanisms to enhance the security and resilience of the Councils Infrastructure through a phased replacement for end of life servers and switches as well as technologies to support the management of security and security processes.

Mitigating Action

None Required.

Anticipated Outcome

To deliver enhanced security systems.

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

APPENDIX 6

MONTH END DATE

30 September 2019

PERIOD

6

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

9

AV Equipment - Education

Project Life Financials	150	0	0%	150	0	0%
Current Year Financials	150	0	0%	150	0	0%
Project Description	AV Equipment - Education					
Project Lifecycle	Planned End Date	31-Mar-20	Forecast End Date	31-Mar-20		

Main Issues / Reason for Variance

Plans for budget are progressing and is currently at procurement stage. Full spend is anticipated in 2019/20.

Mitigating Action

None required.

Anticipated Outcome

Purchase of AV Equipment for Education.

10

Multi-Channel Queries -Webchat Technology

Project Life Financials	33	16	48%	16	(17)	-52%
Current Year Financials	0	(17)	0%	(17)	(17)	0%
Project Description	Introduction of Automated Switchboard Technology.					
Project Lifecycle	Planned End Date	31-Mar-19	Forecast End Date	31-Mar-20		

Main Issues / Reason for Variance

The Interactive Voice Response (IVR) element of the project had significant technical problems matching postcodes for addresses to our systems to allow identifying of the property. As a result it has been agreed with Firmstep and WDC for a full refund on the IVR element of the project. No alternatives available at this time so the project will report a project life underspend of £0.017m.

Mitigating Action

No further action required.

Anticipated Outcome

Upgraded System provided within budget albeit later than originally anticipated.

11

Civic Heart Works - Refurbishment of Clydebank Town Hall

Project Life Financials	3,341	3,317	99%	3,341	0	0%
Current Year Financials	24	0	0%	24	0	0%
Project Description	Refurbishment of Clydebank Town Hall.					
Project Lifecycle	Planned End Date	31-Mar-20	Forecast End Date	31-Mar-20		

Main Issues / Reason for Variance

Council approved a £4m investment in Cultural assets in March 2018 with one of the priorities being Clydebank Town Hall. A comprehensive review is now underway to inform a business case and the intention would be for the remaining Civic Heart capital money (which was planned for a redesign of the main reception area) to support the final proposal. This will allow all the work required to be undertaken at the same time which will remove the risk of undertaking work that is ultimately then replaced during the overall Town Hall project. Plans continue to progress and will be submitted to Cultural Committee during 2019.

Mitigating Action

None required at this time.

Anticipated Outcome

Project to be delivered on budget and within revised timescale.



MONTH END DATE

30 September 2019

PERIOD

6

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

12

Heritage Capital Fund

Project Life Financials	4,000	0	0%	4,000	0	0%
Current Year Financials	350	0	0%	597	247	0%
Project Description	Heritage Capital Fund.					
Project Lifecycle	Planned End Date	31-Mar-22	Forecast End Date	31-Mar-22		

Main Issues / Reason for Variance

Council approved a £4m investment in Cultural assets in March 2018. In February 2019 the Cultural Committee approved a £0.330m investment in Alexandria Library, a £0.015m investment in consultancy work to scope out a museum at Clydebanks Library, and in April 2019 approved £0.252m to upgrade Clydebanks Town Hall roof. A further proposal for the redevelopment of Clydebanks Town Hall will go to Committee during 2019/20. These approvals have accelerated budget spend ahead of the originally planned phasing for 2019/20, however there will be no overspend on the project life budget.

Mitigating Action

None required.

Anticipated Outcome

Project to be delivered on budget and within revised timescale.

13

Upgrade of Clydebanks Library

Project Life Financials	500	500	100%	500	0	0%
Current Year Financials	13	13	100%	13	0	0%
Project Description	Refurbishment of the existing Clydebanks Library to deliver a fit for purpose modern library designed around the needs of the customer. This will protect a historic landmark and the original Carnegie library whilst offering the potential to build upon the development of a 'cultural quarter' focused around Clydebanks Town Hall.					
Project Lifecycle	Planned End Date	31-Mar-20	Forecast End Date	31-Mar-20		

Main Issues / Reason for Variance

Retentions of £0.013m rephased to 2019/20.

Mitigating Action

None required at this time.

Anticipated Outcome

Full refurbishment of library delivered within budget and within amended timescales.

14

Transformation of Infrastructure Libraries and Museums

Project Life Financials	421	18	4%	421	0	0%
Current Year Financials	416	13	3%	416	0	0%
Project Description	To improve performance and efficiency of Council's Libraries and Cultural Services.					
Project Lifecycle	Planned End Date	31-Mar-20	Forecast End Date	31-Mar-20		

Main Issues / Reason for Variance

The capital project to transform the infrastructure of Libraries and Museums has slipped from 2018/19 due to unplanned absences in the senior management team, and competing priorities within other Council teams supporting this project. Purchase Orders have now been raised via WeBuy regarding the installation of self-service issue equipment across the Library network. Implementation of this element is progressing with spend anticipated by end November 2019. Regarding the larger spend of replacement shelving and staff desks, the new Library Team Leader has identified a procurement framework that will allow the lots to be sourced as quickly as possible. Details are currently in progress to outline specifications for large and small libraries. This will then go to tender and be ready for installation in January 2020. For Alexandria and Clydebanks Libraries, work will be undertaken in tandem with the major improvements being progressed during 2019/20.

Mitigating Action

None available at this time.

Anticipated Outcome

Project will be delivered although will be later than originally planned.

MONTH END DATE

30 September 2019

PERIOD

6

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

15

Telephone System Upgrade

Project Life Financials	15	0	0%	15	0	0%
Current Year Financials	15	0	0%	15	0	0%
Project Description	To improve Housing Repairs telephone platform for incoming calls, providing improved Management Information.					
Project Lifecycle	Planned End Date	31-Mar-20	Forecast End Date	31-Mar-20		
Main Issues / Reason for Variance						
This project has been delayed whilst ICT resolve a Network issue. Once this work is complete then the telephony project can proceed.						
Mitigating Action						
None required at this time.						
Anticipated Outcome						
To upgrade telephone system.						

16

Trading Standards Scam Prevention

Project Life Financials	10	7	65%	10	0	0%
Current Year Financials	4	0	5%	4	0	0%
Project Description	Call blocking devices to be fitted to the phones of WDC's most vulnerbale residents which will block unknown numbers from connecting and limiting incoming calls to only known and trusted numbers, for vulnerable consumers who may be susceptible to hard selling techniques, scams and other frauds.					
Project Lifecycle	Planned End Date	31-Mar-19	Forecast End Date	31-Mar-20		
Main Issues / Reason for Variance						
The project is continuing with a steady stream of installations being carried out for vulnerable residents as referrals are received from carers and the various care partners who have been made aware of this Trading Standards initiative. Full budget spend is anticipated in 2019/20.						
Mitigating Action						
None required at this time.						
Anticipated Outcome						
To protect WDC's most vulnerable residents from phone calls from which they may fall victim of hard selling techniques, scams and other frauds.						

17

Supporting the mobilisation of environmental health and trading standards officers

Project Life Financials	25	24	95%	25	0	0%
Current Year Financials	1	0	0%	1	0	0%
Project Description	New IT equipment to enable environmental health and trading standards officers to work more efficiently.					
Project Lifecycle	Planned End Date	31-Mar-20	Forecast End Date	31-Mar-20		
Main Issues / Reason for Variance						
Remainder of budget rephased from 2018/19 for final minor expenditure in 2019/20 relating to security testing.						
Mitigating Action						
None required at this time.						
Anticipated Outcome						
To enable environmental health and trading standards officers to work more efficiently.						

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

APPENDIX 6

MONTH END DATE

30 September 2019

PERIOD

6

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

18	Online Payment System for Education Establishments						
	Project Life Financials	52	0	0%	52	0	0%
	Current Year Financials	52	0	0%	52	0	0%
	Project Description	Cashless Catering within Primary Schools.					
	Project Lifecycle	Planned End Date	31-Mar-20	Forecast End Date	31-Mar-20		
Main Issues / Reason for Variance							
The Funding was allocated to roll out cashless catering in a number of primary schools which is being co-ordinated and led by Educational Services and the contract for the provision of online school payments was approved at the Tendering Committee on 15 November 2017. Due to the timescales for contract initiation it is wasn't possible to make progress in 2017/18 resulting in the budget being rephased into 2018/19. Education have progressed with the pilot of their Parentpay system, however appears to be some issues in relation to integrating the Parentpay system with the existing cashless modules provided by supplier CRB. Until such time as this has been resolved there will be no further spend on rollout of the CRB system. As a result the budget has been rephased from 2018/19.							
Mitigating Action							
None available at this time.							
Anticipated Outcome							
To provide payment system for schools within budget albeit later than first anticipated.							



**WEST DUNBARTONSHIRE COUNCIL**  
**Report by Strategic Lead, Resources**  
**Corporate Services Committee**  
**13 November 2019**

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**Subject: Dumbarton Common Good Fund - Grant Applications**

**1. Purpose**

- 1.1** The purpose of this report is to provide an update and recommendation in relation to a grant application from Bellsmyre Digital Trust (currently withheld).

**2. Recommendations**

- 2.1** The Committee is recommended to agree £33,101 award be made to Bellsmyre Digital Trust, releasing the previously withheld grant.

**3. Background**

General

- 3.1** Dumbarton Common Good Fund grants are administered by West Dunbartonshire Council and are reported to this Committee as and when applications are received, once they have been considered for other funding sources by the West Dunbartonshire Community & Volunteering Service.
- 3.2** The value of reserves of the Common Good Fund as at 31 March 2019 was £0.469m. Based upon the budget set by Council on 27 March 2019 (assuming the remaining Town Centre budget is spent) and one grant of £0.020m being awarded to date (to the Bellsmyre Trust), the projected balance carried forward as at 31 March 2020 is £0.307m. As at 31 March 2019, the remaining budget for the Town Centre projects was £0.229m. The Dumbarton Common Good Prudential Reserve is £0.025m.

Bellsmyre Digital Trust

- 3.4** At its meeting on 9 June 2019, a report was submitted to Corporate Services Committee regarding Bellsmyre Digital Trust. The organisation has an approved annual grant budget through Dumbarton Common Good of £35,601 as agreed by Council on 27 March 2019. The report advised Members that £33,101 grant funding had been withheld from the organisation in respect of the 2018/19 grant. The reasoning behind this was that, following review of the organisation's financial position, officers

assessed that the funding was not required due to the level of balances held.

- 3.5 The report also advised Members that the net 2018/19 expenditure was slightly lower than that budgeted. The group had funded the 2018/19 expenditure from the reserves held and other income.
- 3.6 The report also advised that the group's planned spend for 2019/20 was higher than the historic annual spend, and that the group had not confirmed the reason for the need for the increase and has not confirmed how the 2019/20 budget would change as a result of their move to new premises.
- 3.7 The Committee decision was that a report be submitted to a future meeting of the Committee providing full detail on why Bellsmyre Digital Trust was requesting payment of the 2018/19 withheld grant award and that officers consider a Service Level Agreements (SLA) for Bellsmyre Digital Trust.

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

##### Update: Bellsmyre Digital Trust

- 4.1 Officers have held a series of meetings with representatives of Bellsmyre Digital Trust and have now agreed a draft SLA (still to be signed). Discussions have also taken place to establish why the 2018/19 grant award was required.
- 4.2 At this time the relocation date from Bellsmyre to the Concorde Centre is still unknown and therefore any change to the annual property costs is still not finalised. However, of their annual running costs only £8k is related to property, therefore it is assumed that changes will not be significant.
- 4.3 The Trust representatives have provided a detailed breakdown of additional costs to be incurred during 2019/20 linked to a required upgrade of IT equipment which will allow them to continue to provide an acceptable level of service to their users in a new location (£27k, following quotes) with additional relocation and installation costs also anticipated (costs yet to be confirmed).
- 4.4 The group has also advised that they plan to occupy a small premise in Bellsmyre (to be let from Bellsmyre Housing Association) and continue to provide a service in that location. Draft running costings (totalling £13k per annum) have been provided, however to date no funding to support that expenditure has been secured/ identified. The reserves currently held by the group will allow time for the group to draft a full business plan for this

project and to identify longer term funding to ensure sustainability, whilst providing a service within Bellsmyre.

- 4.5** Having considered the additional information now received, officers now recommend that Committee approve the payment of £33,101 – the equivalent value of the withheld grant for 2018/19. This will allow funding for relocation and to allow a needed upgrade to IT equipment, with older equipment being transferred, where possible, to enhance the smaller Bellsmyre site.

## **5. Option Appraisal**

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

## **6. People Implications**

- 6.1** There are no people implications.

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

- 7.1** As the recommended amounts are not currently budgeted, if the recommended values were to be agreed, this would result in the projected carried forward balance in the Common good to be reduced by £33,101.

## **8. Risk Analysis**

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

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

- 9.1** No issues were identified in a screening of applications.

## **10. Environmental Sustainability**

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

## **11. Consultation**

- 11.1** All organisations are consulted regarding recommendations of grant prior to the report being submitted to Committee. The report has also been considered by legal colleagues.

Stephen West  
Strategic Lead, Resources  
Date: 3 November 2019

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<b>Person to Contact:</b>	Adrian Gray, Business Unit Finance Partner, Corporate Functions Telephone: (01389) 737322 E-mail: <a href="mailto:Adrian.gray@west-dunbarton.gov.uk">Adrian.gray@west-dunbarton.gov.uk</a>
<b>Appendix:</b>	Bellsmyre Digital Trust Costs Estimates
<b>Background Paper:</b>	2018/19 Grants Update report – Corporate Services Committee 22 May 2019 Grant Application Forms and background papers Dumbarton Common Good Budget 2019/20 – Council Report 27 March 2019 Dumbarton Common Good Budget Report / Minute – Council 5 March 2018 Dumbarton Common Good Budget Report / Minute – Council 6 February 2013 Dumbarton Common Good – Dumbarton Town Centre Budget Report / Minute – HEED 8 May 2013
<b>Wards Affected:</b>	Wards 1, 2 and 3



THE CONCORD IN DUMBARTON - HARDWARE

£	15,600	12 PCs incl. ergonomic mouse and keyboard
£	1,098	2 laptops – 1 Office Admin, 1 for teaching
£	3,916	2 wall mounted TVs incl. brackets – one for teaching, both for children's gaming
£	40	printer
£	500	signage
£	250	fridge/freezer
<b>£</b>	<b>21,404</b>	

THE CONCORD IN DUMBARTON – KIDS GAMING CLUB

£	1,958	wall mounted 4K Smart tv incl.brackets
£	450	15 PC audio headsets
£	450	PS4 Pro Bundle, 1 extra controller, 2 games
£	399	PS4 Virtual Reality Headset, Oculus Quest
£	350	XboxS Bundle, 2 games incl 2 controllers
£	400	Oculus Rift Virtual Reality Headset, can be used with PC or Xbox
£	180	10 lifetime Minecraft accounts
<b>£</b>	<b>4,187</b>	

BELLSMYRE HOUSING ASSOCIATION UNIT, MERKINS AVENUE

£	1,300	£1300.00 - 1 PC @ £1300 each incl. ergonomic mouse and keyboard
£	500	£ 500.00 - signage
£	250	£ 250.00 - fridge/freezer
<b>£</b>	<b>2,050</b>	

<b>£</b>	<b>27,641</b>	<b>Total</b>
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*note: installation costs of PCs and TV - unknown*



**WEST DUNBARTONSHIRE COUNCIL****Report by Strategic Lead - Resources****Corporate Services Committee: 13<sup>th</sup> November 2019**

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**Subject: Write-Off of Miscellaneous Income Debtor Accounts - Quarter 2, 2019/20**

**1. Purpose**

- 1.1** The purpose of this report is to seek Committee approval for the write off of debts in respect of miscellaneous income debtor accounts, which have been deemed as irrecoverable during Quarter 2 2019/20, arising from various years and reasons as detailed in the appendix.

**2. Recommendations**

- 2.1** It is recommended that the Committee approve the write-off of miscellaneous income debt valued at £108,457.05.

**3. Background**

- 3.1** Miscellaneous income debtor accounts are issued to individuals and organisations for the use of Council services. The Council's annual billing amount for miscellaneous income debtors is £18.5m of which approximately 80% is collected in the year it is billed. In certain circumstances these debts may become uncollectable.
- 3.2** Financial Regulation D4 which gives the Strategic Lead - Resources authority to write-off individual debts up to £5,000.
- 3.3** Individual debts exceeding £5,000 can be written off only with the approval of Committee.

**4. Main Issues**

- 4.1** Miscellaneous debts totalling £108,457.05 are submitted for write off. Appendix 1 outlines the dates and reasons for write off.

**5. People Implications**

- 5.1** There are no people implications.

## **6. Financial & Procurement Implications**

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

## **7. Risk Analysis**

- 7.1** If write offs are not approved this will affect the monitoring of performance against targets for performance indicators and budget monitoring.
- 7.2** If write offs are not approved the total level of debts would be overstated and by approving the write offs we are able to reflect the true debts that is collectable.

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

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

## **9. Consultation**

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

## **10. Strategic Assessment**

- 10.1** The write-off of uncollectible miscellaneous income debtors accounts forms part of the financial governance of the Council. Sound financial practice and budgetary control are imperative to assist with the governance of the Council and supports officers of the Council in achieving the five strategic priorities

.....  
**Stephen West**  
**Strategic Lead - Resources**  
**Date: 29<sup>th</sup> October 2019**

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

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

**Background Papers:** Detailed list of proposed write offs

**Wards Affected:** All Council wards.

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

Year In Which The Debt Occurred	Miscellaneous Income Debtors <b>Deceased</b>	Miscellaneous Income Debtors <b>Unreasonable</b>	Total
2013/14		£39,734.59	£39,734.59
2014/15		£21,103.24	£21,103.24
2015/16	£10,302.77	£29,373.58	£39,676.35
2016/17	£7,942.87		£7,942.87
<b>Totals</b>	<b>£18,245.64</b>	<b>£90,211.41</b>	<b>£108,457.05</b>

### **Note**

#### **Deceased:**

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

#### **Unreasonable:**

Where based on the individual circumstances of the debt/debtor, in these cases we may consider to write off the debt as unreasonable to recover.



**WEST DUNBARTONSHIRE COUNCIL****Report by Strategic Lead - Resources****Corporate Services Committee: 13 November 2019**

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**Subject: Provision of Banking Services****1. Purpose**

- 1.1** The purpose of this report is to seek approval of Committee to commence the tendering process for the Provision of Banking Services for the period 1 April 2021 to 31 March 2024, with an option to extend until for a further 2 years to 31 March 2026.

**2. Recommendations**

- 2.1** It is recommended that the Committee approves the process to begin invitations to tender for the provision of banking services for a three year period from 1 April 2021 until 31 March 2024, with an option to extend for a further two years until 31 March 2026; noting that the outcome of the process will be reported to a future Tendering Committee.

**3. Background**

- 3.1** Following a tendering exercise in 2015 the Clydesdale Bank was appointed as West Dunbartonshire Council's (WDC) Provider of Banking Services for a period of 3 years from 1 April 2016 to 31 March 2019 with an option to extend for a further 2 years until 31 March 2021.
- 3.2** The current contract was extended after a review of the terms offered by WDC's bank for the extension period and it was agreed that an extension to 31 March 2021 be accepted by the Executive Director of Corporate Services and the Chair of the Corporate Services Committee under delegated authority which was agreed at Corporate Services Committee 12 August 2015.
- 3.3** When the Leisure Trust (WDLT) was created, the banking contract agreed was linked with WDC banking contract. Thus, the current bank contract is based upon transaction volumes which include WDC & WDLT levels.
- 3.4** The banking contract currently costs WDC 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 and Procurement 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 provider.
- 6.2** The selection of the most suitable provider of the Provision of Banking Services may result in increased efficiencies in relation to day to day banking.
- 6.3** All procurement activity carried out by the Council in excess of £50K is subject to a contract strategy. The contract strategy for the provision of banking services will be produced by the Corporate Procurement Unit in close consultation with Finance Officers. The contract strategy shall include but may not be limited to; contract scope, service forward plan, the market, procurement model and routes – including existing delivery vehicles, roles and responsibilities, risks, issues and opportunities and ongoing contract management.

## **7. Risk Analysis**

- 7.1** If the contract is not tendered the existing provider 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 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, Corporate Procurement Unit and Legal Services have been requested on this report and all 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.
- 10.2** The provision of banking services will contribute to delivery of the Council strategic priorities through efficient and effective frontline services that improve the everyday lives of residents. Further opportunities to maximise the positive social, economical and environmental impact for West Dunbartonshire through the contract will also be explored, e.g. through the use of Community Benefit Clauses

**Stephen West**

Strategic Lead-Resources

Date: 15 October 2019

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<b>Person to Contact:</b>	Karen Shannon, Section Head (Financial, Administration & Control) Church Street, Dumbarton Telephone 01389 737842 Email: Karen.Shannon@west-dunbarton.gov.uk
<b>Appendices:</b>	None
<b>Background Papers:</b>	None
<b>Wards Affected:</b>	All Council Wards



## **WEST DUNBARTONSHIRE COUNCIL**

### **Report by Strategic Lead – People and Technology**

**Corporate Services Committee: 13 November 2019**

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#### **Subject: Employee Wellbeing: Attendance Management Corporate Services Bi-Annual Update (April – September 2019)**

### **1. Purpose**

- 1.1** The purpose of this report is to provide Committee with detailed analysis on employee wellbeing and attendance from 1st April – 30<sup>th</sup> September 2019 for the Strategic Lead areas covered by Corporate Service Committee and a bi-annual update on Council wide attendance for the same period.

### **2. Recommendations**

- 2.1** It is recommended that Committee notes the findings, namely:
- The increase of 493.62 full time equivalent (FTE) days lost (approx. 20.5%) in service areas covered by this report compared to the same period last year as outlined in Appendices 3-5;
  - The increase in Council wide sickness absence of 3471.84 FTE days lost (approx. 13.6%) compared to the same period last year as outlined in Appendices 1 and 2; and
  - A number of services were restructured in quarter 1 2019 and so any historical comparisons should be considered as indicative and not an absolute figure. Further information regarding the services impacted is available in section 4.1 of this report.

### **3. Background**

- 3.1** The Council is committed to supporting the health and wellbeing of all employees. This is driven by the Employee Wellbeing Strategy and supported by initiatives and projects delivered through the Employee Wellbeing Group. The aim of this work is to improve employee morale and engagement, promote a healthier and more inclusive culture and lower sickness absence rates.

## 4. Main Issues

### April – September 2019

- 4.1** From 1<sup>st</sup> April to 30<sup>th</sup> September 2019, a total of 2406.07 days were lost due to sickness absence across the services covered by this report. This represents an increase of 493.62 FTE days lost compared to the same period in 2018/19. However, it should be noted that there were significant changes to the FTE figures in Communication, Culture, Communities and Facilities (CCCF) and Resources during the period. At the start of quarter 2 2019/20, Resources had approximately 20 FTE removed from its establishment and this service began reporting separately as Procurement. CCCF had approximately 310 FTE added to their establishment as a result of Facilities Management transferring from the Environment and Neighbourhood Strategic Lead area.
- 4.1.2** Table 1 details benchmarking information to enable comparison to the previous year, the service's best performance in the last 3 years as well as the CIPD (Chartered Institute of Personnel and Development) benchmark for the public sector. The FTE figure is shown to provide context of the service size.
- 4.1.3** The table shows that all of the services considered in this report have lower levels of absences than the Council average. It is encouraging to note that 4 of the services covered by this report have a strong probability of reporting annual absence levels that are lower than the CIPD benchmark. People and Technology and Regulatory may also be in a position to report annual absence levels in line with 2018/19 which was their best performing year.

Table 1 – Benchmarking Information

Strategic Lead Area	FTE as at 30 Sept 2018	Average FTE days lost per FTE employee - April – Sept 2018/19	FTE as at 30 Sept 2019	Average FTE days lost per FTE employee April – Sept 2019/20	Service Best Annual Performance	Public Sector Benchmark 2018/19*
Council Wide	4643.15	4.78	4784.47	5.37	10.47 (2016/17)	8.4
People & Technology	95.29	1.48	93.07	0.62	3.38 (2018/19)	
Regulatory	92.05	1.99	96.72	0.55	3.02 (2018/19)	
Resources	269.97	3.69	226.81**	5.60	7.66 (2017/18)	
CCCF	131.88	4.43	432.36***	4.76	4.7 (2016/17)	
Procurement	NA	NA	20.53	0.43****	NA	

\*Source 2019 CIPD Health and Wellbeing at Work report

\*\* FTE attributed to Procurement was included in Q1 FTE but is now reported separately

\*\*\* Increase in FTE is attributed to Facilities Management joining this Strategic Lead area in

\*\*\*\*Q2 data only, Q1 data was reported as part of Resources Strategic Lead area

**4.1.4** Table 2 details the variance in reported sickness absence levels between April – September 2019 and April – September 2018. Again it is positive to note that both People & Technology and Regulatory have reported significant decreases in sickness absence levels, whilst Resources and CCCF have reported increases. However, CCCF had a significant number of employees added to the establishment and this is a contributing factor to the increase in sickness absence.

**4.1.5** Resources has reported the most significant increase in sickness absence in terms of total FTE days lost and this can be attributed to the majority of absence cases being long term, resulting from underlying health conditions and being managed accordingly.

Table 2 – Variance in days lost due to sickness absence

Strategic Lead Area	Total FTE days April - Sept 18/19	Total FTE days lost April - Sept 19/20	Variance in April - Sept 18/19 vs April - Sept 19/20 (%)*	Variance April - Sept 18/19 vs April - Sept 19/20 (total FTE days lost)
Council Wide	22127.23	25599.07	13.56%	3471.84
People & Technology	141.35	99.87	-41.53%	-41.48
Regulatory	180.38	95.41	-89.06%	-84.97
Resources	1004.35	1334.23	24.72%	329.88
CCCF	586.37	876.56	33.11%	290.19
Resources (Procurement)	NA	8.73*	NA	NA

\*This is calculated based on the variance of actual FTE days lost and not the variance in average FTE days lost per FTE employee as shown in the Headline figure in Appendix 1.

## **4.2** Absence Reasons – Service Performance

**4.2.1** Appendix 1 and 2 provide a detailed breakdown of the reasons for absence Council Wide.

**4.2.2** Table 3 below shows the top 3 reasons for absence from April – September 2019 for the areas covered by this report and compares these to the Council Wide results for the same period. The top 3 reasons for absence Council wide are not entirely reflected in the services covered by this report. Minor illness and acute medical conditions do feature in several of the services top 3 reasons but the order they appear and the percentage of total absence attributed to them varies greatly. It should also be noted that the headcount of these services vary significantly and so whilst services such People and Technology appear to report relatively high levels of minor illness, Appendix 3, 4 and 5 demonstrate that the actual level of absence is low. This is also the case for Procurement, the level of absence attributed to Mental Health is low and is linked to a long term absence but when expressed as a percentage it can appear relatively high.

**4.2.3** The percentage of absence attributed to minor illness and acute medical conditions is unsurprising given that these absence categories have been

established in the top 3 reasons for absence Council wide for some time. Absence attributed to acute medical conditions can often be caused by underlying health conditions and as such can be challenging to reduce. Strategic HR, management, Trade Unions and Occupational Health work closely together to ensure that reasonable adjustments are made whenever possible in order to assist employees in remaining at work or returning to work following an absence.

- 4.2.4** The level of sickness absence attributed to mental health and personal stress is a concern and as such the Employee Wellbeing Group continues to have a particular focus on mental health and wellbeing. Key activities include, but are not limited to, regular promotion of the support services available. Further details of the work of the Employee Wellbeing Group are provided in section 4.4 of this report. Work will continue in this area to establish what additional supports may be beneficial to staff and assist them in maintaining their health and wellbeing.

Table 3 – Reasons analysis – Service performances

	<b>1</b>		<b>2</b>		<b>3</b>	
	<b>Reason</b>	<b>%</b>	<b>Reason</b>	<b>%</b>	<b>Reason</b>	<b>%</b>
Council Wide	Minor Illness	21.4%	Acute Medical Conditions	21.1%	Personal Stress	15.5%
People & Technology	Minor Illness	43%	Mental Health	24%	Non work related accident/injury	17%
Regulatory	Minor Illness	51%	Musculo - skeletal injuries	40%	Acute Medical Conditions	9%
Resources	Acute Medical Conditions	25%	Musculo - skeletal injuries	18%	Minor Illness	17%
CCCF	Minor Illness	28%	Personal Stress	22%	Acute Medical Conditions	20%
Procurement	Mental Health	96%	Minor Illness	4%	NA	0%

### **4.3** Absence Duration – Service Performance

- 4.3.1** Table 4 shows the duration profile for the services covered by this report and compares to the overall Council-wide duration profile. Long term absence accounts for approximately 78% of Council-wide absence from April – September 2019, which is an increase compared to the same period in the previous year. With the exception of Resources and Procurement, all services covered by this report show that the percentage of total absence attributed to long term cases is lower than the Council wide figure.

**4.3.2** It should also be noted that as these services have relatively low levels of sickness, the proportion of short/long term absence may only be attributable to a small number of cases.

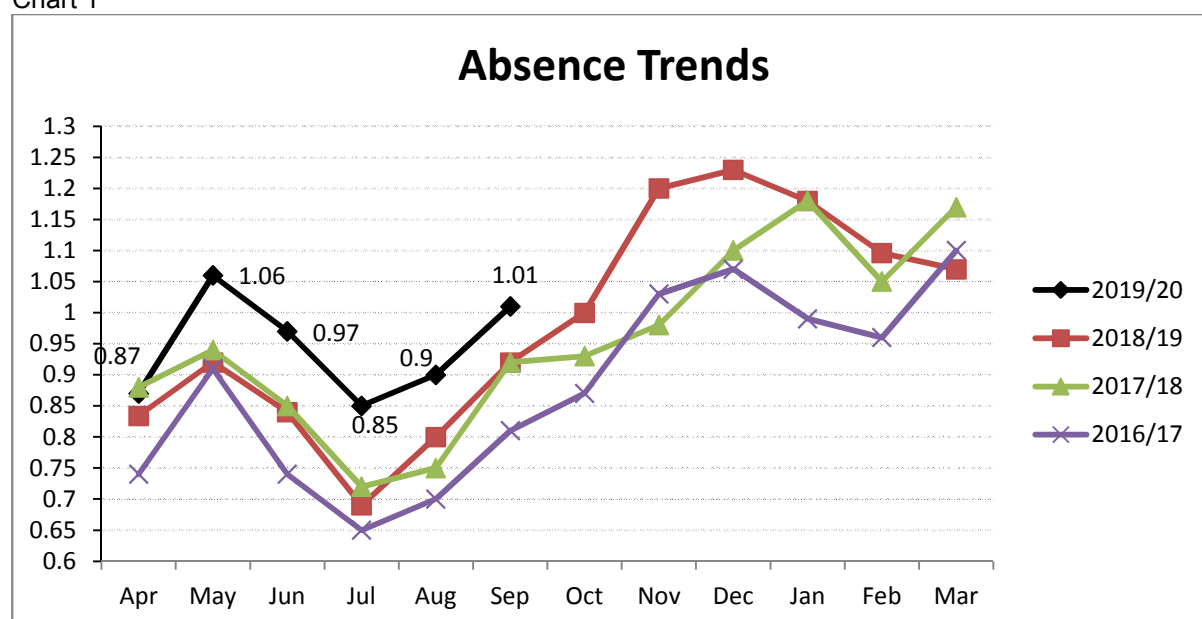
Table 4 – Duration analysis – Service performances

	April - Sept 18/19		April - Sept 19/20	
	Short Term (% of total absence)	Long Term (% of total absence)	Short Term (% of total absence)	Long Term (% of total absence)
Council Wide	30%	70%	22%	78%
People & Technology	25%	75%	42%	58%
Regulatory	43%	57%	30%	70%
Resources	41%	59%	20%	80%
CCCF	27%	73%	27%	73%
Procurement	NA	NA	4%	96%

#### 4.4 April – September 2019 Council-wide Performance

**4.4.1** Chart 1 below shows that, in quarters 1 and 2, the Council's absence performance deteriorated by approx. 11% compared to the same period in the previous year. Based on historic performance it is likely that absence levels will continue to increase during quarter 3 and potentially decrease again in quarter 4. However, given the higher levels of absence in the first half of 2019/20, it is likely that the total absence levels for 2019/20 will be higher than in previous years.

Chart 1



**4.4.2** Table 5 (below) shows absence levels for quarters 1 and 2 (2019/20), by Strategic Lead Area, and associated bi-annual figures for 2018/2019 to allow comparison. Please note that the FTE days lost per FTE employee which is

reported for each Strategic Lead Area is based on where employees were located as at 30 September 2019.

**4.4.3** It should be noted that a restructure took place in quarter 1 2019 and as such a number of services either moved to another Strategic Lead area or are now reported as a stand alone service. As such any historical comparisons in relation to these services should only be considered as an indication.



Table 5 – Total FTE days lost April – Sept 2019 and levels of Variance

Strategic Lead Area	Total FTE days April - Sept 18/19	Total FTE days lost April - Sept 19/20	Variance in April - Sept 18/19 vs April - Sept 19/20 (%)*	Variance April - Sept 18/19 vs April - Sept 19/20 (total FTE days lost)
Council Wide	22127.23	25599.07	13.56%	3471.84
People & Technology	141.35	99.87	-41.53%	-41.48
Regulatory	180.38	95.41	-89.06%	-84.97
Resources	1004.35	1334.23	24.72%	329.88
Chief Exec Office Total	NA	785.91*	NA	NA
Child Healthcare & Criminal Justice	1797.83	1789.36	-0.47%	-8.47
Community Health & Care	6824.65	8831.06	22.72%	2006.41
Finance & Resources	0	0	0.00%	0
Mental Health, Addiction & Learning Disabilities	928.03	895.86	-3.59%	-32.17
Strategy, Planning & Health Improvement	28.23	184.11	84.67%	155.88
HSCP Total	9599.29	11700.39	17.96%	2101.1
Environment & Neighbourhood	3202.58	2873.04	-11.47%	-329.5441216
Housing & Employability	1027.82	1144.49	10.19%	116.6715385
Regeneration	2204.91	2782.07	20.75%	577.16
Roads & Transportation	NA	221.87**	NA	NA
Regeneration, Environment & Growth Total	6435.31	7021.47	8.35%	586.16
Strategic Management	0	6.94	100.00%	6.937857143
Strategic Management Total	0	6.94	100.00%	6.937857143
CCCF	586.37	876.56	33.11%	290.185
Education Learning & Attainment (Support Staff)	2311.11	2658.85	13.08%	347.737168
Resources (Pro)	NA	8.73***	NA	NA
Transformation & Public Service Reform (Excl. Teachers)	4223.56	4287.73	1.50%	64.17
Local Government Employees Total	20258.16	23892.2	15.21%	3634.04
Transformation & Public Service Reform (Teachers)	1869.08	1706.81	-9.51%	-162.27

## **4.5** Employee Wellbeing Group

**4.5.1** The Employee Wellbeing Group continues to make progress through wellbeing initiatives, employee support mechanisms and working with trade unions and local partners to identify and address areas for improvement. Updates on progress are reported to Performance and Monitoring Group on a monthly basis. Actions completed since the last report to this Committee in May 2019, or which are currently being progressed, include the following:

- Regular meetings for both the Managers' group for Employee Wellbeing and the Wellbeing Advocates group have been established and taking place quarterly . These groups look ahead to the Employee Wellbeing theme for the next quarter and work together to identify appropriate actions in support of same.
- Throughout quarters 1 and 2, activities took place including an Employee Wellbeing Information Event where providers displayed stalls, employees had an opportunity to participate in health checks and learn more about the Employee Supports available. This was well attended and a follow up event is planned for the Senior Management Network.
- Digital skills were an area highlighted by Wellbeing Advocates and the Wellbeing Managers' group as a source of anxiety for some employees. In order to ensure that employees feel supported to develop these skills and thereby reduce any related anxiety, a range of communications were shared highlighting the learning and development opportunities available including Microsoft Outlook and Excel training.
- A new Menopause guidance document has been launched to support employees and managers which was followed up with training intended to raise awareness about the impact of the menopause. This was delivered in conjunction with the Trade Union Learning Fund.
- The Disability Passport Guidance was launched; this replaces the Tailored Adjustment guidance and provides employees and managers with guidance regarding supporting employees who have a disability.
- A range of promotional communications highlighting the importance of physical activity including walks in Levensgrove Park, the Cycle to Work scheme and a summer walking challenge.
- West Dunbartonshire Leisure Trust continue their regular visits to Council premises to promote their discounted membership deals for employees and carry out health checks.
- The pilot project with Headtorch has continued with selected groups of employees and managers receiving training on mental health awareness.
- The Council's submission for Healthy Working Lives Award was successful and the Gold standard award has been maintained.
- A number of communications were shared during Suicide Prevention week and on Mental Health day to highlight the support available to employees in relation to mental health. This included additional resources that have been added to the Employee Wellbeing Intranet pages for advice on mental health and financial wellbeing.

- Training sessions designed to raise awareness of mental health were delivered in conjunction with the Trade Union Learning Fund and it is our intention to ask these employees to become Wellbeing Advocates
- Further developments have taken place to enhance the functionality of HR21; this marked the start of a programme of work to automate the administration of sickness absence reporting for managers where possible. This work will continue into quarter 3 and 4.
- A review of the current Attendance Management policy has now been concluded with Trade Union colleagues. It was agreed that the new policy sees a change in focus with more emphasis on support and developing a different tone in dealing with absence. A communication plan to support the roll out is currently being developed.
- Following a review, HR data used to inform workforce planning and supporting managers with attendance management is now being used to better effect.
- The Council was awarded the Gold Award for the support provided to Reservists and their family.
- Following a tendering exercise, a new provider was secured for the provision of the Employee Counselling Service. The change in provider, now the same as the OH provision, took effect in September and a range of communications were shared with employees and management to inform them of the change.

## **5. People Implications**

- 5.1** Effective and robust management of absence can have a positive impact upon employees, promoting early return to good health and work. The results for April – September 2019 indicate a deterioration for the areas covered by this Committee. However, levels remain below the Council average. The services are engaged with the Employee Wellbeing Group and are committed to supporting employee wellbeing through the implementation of actions developed through the group.

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

- 6.1** Based on the average cost of a day (£138), table 6 provides the estimated productivity loss associated with absence across the Council and the Strategic Lead areas. This does not include any associated costs such as cover or overtime.

Table 6 – Cost of absence

<b>Strategic Lead Area</b>	<b>April - September 19/20 Approx. loss of productivity</b>
Council Wide	£3,053,558
People & Technology	£19,506
Regulatory	£24,892
Resources	£138,600
CCCF	£120,965
Resources (Procurement)	£1,725

**6.3** There are no procurement implications.

## **7. Risk Analysis**

**7.1** There is a risk that managers do not fulfil their role and comply with the policy and in turn Council-wide absence continues to increase.

**7.2** While it is evident in many instances that the necessary and proactive steps are being undertaken, such as early referral to occupational health, there is still a significant amount of work to do to continue to reduce absence.

**7.3** Without maintaining and continuing to improve attendance there continues to be a risk of detrimental impact on service delivery, loss of productivity and reduced team performance.

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

**8.1** This report is for noting only, therefore no EIA is required. Any associated policies are subject to Equalities Impact Screening and Assessment if required.

## **9. Consultation**

**9.1** Consultation is on-going with trades unions in the main through the Wellbeing Group, the local Joint Consultative Committees, Convenor meetings and, for more strategic matters, through the Joint Consultative Forum.

## **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.

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**Victoria Rogers**  
**Strategic Lead People and Technology**  
**Date: 17 October 2019**

**Person to Contact:** Louise Hastings, HR Business Partner  
People & Technology

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**Appendices:** Appendix 1 Council Wide Q1 2019/20 Absence Summary  
Appendix 2 Council Wide Q2 2019/20 Absence Summary

Appendix 3 Transformation & Public Service Reform Q1  
2019/20 Absence Summary  
Appendix 4 Chief Executive Officer Q2 2019/20  
Absence Summary  
Appendix 5 Transformation & Public Service Reform Q2  
2019/20 Absence Summary

**Background Papers:** None

**Wards Affected:** None

TABLE 1 - Headline Figure

Q1 2019/20

2.83

Q1 2018/19

2.47

Year on  
Year +/-

14.4%

TABLE 2 - Days Lost per Employee

Department	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			
Child Healthcare & Criminal Justice	228.60	29.0	23.0	110.8	813.7	976.5	901.14	3.94
Community Health & Care	735.23	187.5	161.0	613.8	5435.7	6398.0	4,701.54	6.39
Finance & Resources	4.50	0.0	0.0	0.0	0.0	0.0	0.00	0.00
Mental Health, Addiction & Learning Disabilities	139.49	38.0	5.0	96.4	461.9	601.3	465.70	3.34
Strategy, Planning & Health Improvement	22.41	2.0	0.0	7.7	98.9	108.6	92.32	4.12
<b>Health &amp; Social Care Partnership</b>	<b>1,130.23</b>	<b>256.5</b>	<b>189.0</b>	<b>828.7</b>	<b>6,810.1</b>	<b>8,084.4</b>	<b>6,160.71</b>	<b>5.45</b>
Environment & Neighbourhood	697.65	110.0	121.5	417.4	2137.1	2786.0	1,836.34	2.63
Housing & Employability	267.31	35.5	35.5	86.1	477.0	634.1	548.46	2.05
Regeneration	427.58	40.5	84.0	194.7	900.7	1219.9	1,184.45	2.77
<b>Regeneration, Environment &amp; Growth</b>	<b>1,392.55</b>	<b>186.0</b>	<b>241.0</b>	<b>698.2</b>	<b>3514.8</b>	<b>4640.1</b>	<b>3,569.25</b>	<b>2.56</b>
Strategic Management	14.00	0.0	0.0	0.0	89.3	89.3	89.29	6.38
<b>Strategic Management</b>	<b>14.00</b>	<b>0.0</b>	<b>0.0</b>	<b>0.0</b>	<b>89.3</b>	<b>89.3</b>	<b>89.29</b>	<b>6.38</b>
Communications, Culture & Communities	125.50	24.5	15.0	58.7	495.8	594.0	483.53	3.85
Education Learning & Attainment (Support Staff)	752.52	206.5	93.0	322.8	1529.1	2151.4	1,567.35	2.08
People & Technology	91.07	9.5	0.0	4.3	38.2	52.0	42.52	0.47
Regulatory	96.25	13.0	13.0	18.8	0.0	44.8	42.25	0.44
Resources	251.08	52.5	59.0	70.7	565.3	747.5	658.83	2.62
<b>Transformation &amp; Public Service Reform (Excl. Teachers)</b>	<b>1,316.43</b>	<b>306.0</b>	<b>180.0</b>	<b>475.4</b>	<b>2628.3</b>	<b>3589.7</b>	<b>2,794.47</b>	<b>2.12</b>
<b>LOCAL GOVERNMENT EMPLOYEES TOTAL</b>	<b>3,853.22</b>	<b>748.5</b>	<b>610.0</b>	<b>2002.3</b>	<b>13042.6</b>	<b>16403.4</b>	<b>12613.7</b>	<b>3.27</b>
<b>Transformation &amp; Public Service Reform (Teachers)</b>	<b>905.00</b>	<b>206.0</b>	<b>43.0</b>	<b>190.4</b>	<b>691.4</b>	<b>1130.8</b>	<b>835.56</b>	<b>0.92</b>
<b>COUNCIL-WIDE TOTAL</b>	<b>4,758.22</b>	<b>954.5</b>	<b>653.0</b>	<b>2192.7</b>	<b>13734.0</b>	<b>17534.2</b>	<b>13,449.28</b>	<b>2.83</b>

TABLE 3 - Breakdown of Days Lost by Duration Category

Duration	Working Days Lost	Percentage of Lost Days
Intermittent (1-3 days)	954.5	5.44%
Short Term (4-5 days)	653.0	3.72%
Medium Term (6 days-4 weeks)	2,192.7	12.51%
Long Term (over 4 weeks)	13,734.0	78.33%
<b>TOTAL</b>	<b>17,534.2</b>	<b>100%</b>

Working Days Lost

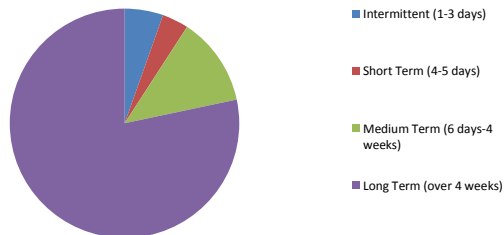


TABLE 4 - Absence Reasons

Department	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 - Personal	Recurring Medical Conditions	Non Work Related Accident / Injuries	Work Related Accidents / Injuries	Mental Health	Acute Medical Conditions	Pregnancy Related Absence	Drink or Drug Related Condition	Stress - Work Related				
Child Healthcare & Criminal Justice	228.60	218.0	2.0	147.4	216.4	0.0	21.4	29.3	92.1	123.5	26.6	0.0	99.7	976.5	901.14	3.94	
Community Health & Care	735.23	1298.7	328.8	1031.7	1064.9	324.0	73.6	155.6	379.7	1382.0	93.9	0.0	265.3	6398.0	4,701.54	6.39	
Finance & Resources	4.50	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.00	0.00	
Mental Health, Addiction & Learning Disabilities	139.49	91.0	16.6	129.0	88.6	38.1	0.0	0.0	102.9	3.0	0.0	0.0	132.1	601.3	465.70	3.34	
Strategy, Planning & Health Improvement	22.41	2.0	0.0	0.0	7.7	65.0	0.0	0.0	0.0	33.9	0.0	0.0	0.0	108.6	92.32	4.12	
Health & Social Care Partnership	1,130.23	1609.7	347.4	1308.2	1377.6	427.1	95.0	184.9	574.7	1542.3	120.4	0.0	497.1	8084.4	6,160.71	5.45	
Environment & Neighbourhood	697.65	778.3	222.3	504.9	263.3	193.3	100.3	90.6	73.6	480.9	31.4	0.0	47.1	2786.0	1,836.34	2.63	
Housing & Employability	267.31	218.4	25.7	27.1	93.1	4.3	52.9	0.0	39.4	105.1	3.0	0.0	65.0	634.2	548.46	2.05	
Regeneration	427.58	201.8	140.0	247.1	282.4	0.0	0.0	7.9	140.0	200.7	0.0	0.0	0.0	1219.9	1,184.45	2.77	
Regeneration, Environment & Growth	1,392.55	1198.6	388.0	779.2	638.9	197.6	153.1	98.4	253.0	786.7	34.4	0.0	112.1	4640.1	3,569.25	2.56	
Strategic Management	14.00	24.3	0.0	0.0	0.0	0.0	0.0	0.0	0.0	65.0	0.0	0.0	0.0	89.3	89.29	6.38	
Strategic Management	14.00	24.3	0.0	0.0	0.0	0.0	0.0	0.0	0.0	65.0	0.0	0.0	0.0	89.3	89.29	6.38	
Communications, Culture & Communities	125.50	54.2	0.0	42.4	168.9	65.0	38.3	0.0	22.1	120.5	0.0	0.0	82.6	594.0	483.53	3.85	
Education Learning & Attainment (Support Staff)	752.52	516.9	0.0	244.9	191.4	62.0	44.0	1.0	157.1	655.2	145.8	0.0	133.1	2151.4	1,567.35	2.08	
People & Technology	91.07	28.3	0.0	0.0	0.0	3.0	20.7	0.0	0.0	0.0	0.0	0.0	0.0	52.0	42.52	0.47	
Regulatory	96.25	37.5	0.0	7.3	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	44.8	42.25	0.44	
Resources	251.08	109.4	33.9	47.7	147.6	39.1	61.6	0.0	108.4	143.0	19.0	0.0	37.9	747.5	658.83	2.62	
Transformation & Public Service Reform	1,316.43	746.3	33.9	342.2	507.9	169.1	164.6	1.0	287.7	918.7	164.8	0.0	253.6	3589.7	2,794.47	2.12	
LOCAL GOVERNMENT EMPLOYEES TOTAL	3,853.22	3578.8	769.3	2429.6	2524.3	793.9	412.7	284.3	1115.4	3312.8	319.6	0.0	862.8	16403.4	12,613.72	3.27	
Transformation & Public Service Reform	905.00	364.3	2.0	59.8	221.6	20.6	67.0	6.5	0.0	326.6	13.0	0.0	49.6	1130.8	835.56	0.92	
COUNCIL-WIDE TOTAL	4,758.22	3943.1	771.3	2489.4	2745.8	814.4	479.7	290.8	1115.4	3639.3	332.6	0.0	912.4	17534.2	13,449.28	2.83	

TABLE 5 - Days Lost by Absence Category

Absence Reason	Working	Percentage of Lost Days
Minor Illness	3,943.1	22.49%
Back Pain	771.3	4.40%
Musculo-skeletal Injuries	2,489.4	14.20%
Stress	2,745.8	15.66%
Recurring Medical Conditions	814.4	4.64%
Non Work Related Accidents / Injuries	479.7	2.74%
Work Related Accidents / Injuries	290.8	1.66%
Mental Health	1,115.4	6.36%
Acute Medical Conditions	3,639.3	20.76%
Pregnancy Related Absence	332.6	1.90%
Drink or Drug Related Condition	0.0	0.00%
Stress - Work Related	912.4	5.20%
TOTAL	17,534.2	100%

Working Days Lost

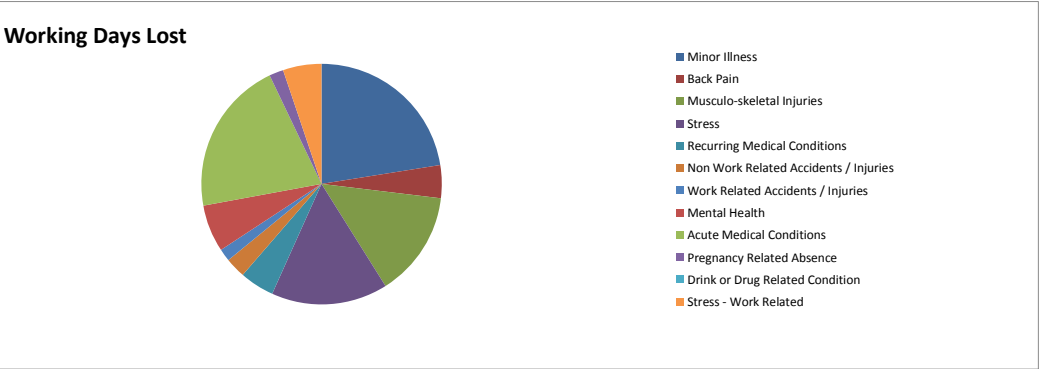


TABLE 1 - Headline Figure

Q2 2019/20

2.54

Q2 2018/19

2.31

Year on  
Year +/-

10.01%

TABLE 2 - Days Lost per Employee

Department	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			
People & Technology	93.07	8.0	4.0	22.6	29.3	63.9	57.35	0.62
Regulatory	96.72	11.5	0.0	13.6	29.3	54.4	53.16	0.55
Resources	226.81	36.0	18.0	69.3	657.9	781.2	675.40	2.98
<b>Chief Exec Office Total</b>	<b>416.60</b>	<b>55.5</b>	<b>22.0</b>	<b>105.5</b>	<b>716.4</b>	<b>899.4</b>	<b>785.91</b>	<b>1.89</b>
Child Healthcare & Criminal Justice	231.09	31.0	32.0	142.9	840.1	1046.0	888.22	3.84
Community Health & Care	737.38	189.5	126.0	684.0	4657.9	5657.5	4,129.52	5.60
Finance & Resources	5.30	0.0	0.0	0.0	0.0	0.0	0.00	0.00
Mental Health, Addiction & Learning Disabilities	138.36	22.0	18.0	112.9	365.7	518.6	430.16	3.11
Strategy, Planning & Health Improvement	23.13	10.0	9.0	9.3	65.7	94.0	91.79	3.97
<b>Health &amp; Social Care Partnership</b>	<b>1,135.27</b>	<b>252.5</b>	<b>185.0</b>	<b>949.0</b>	<b>5,929.5</b>	<b>7,316.1</b>	<b>5,539.69</b>	<b>4.88</b>
Environment & Neighbourhood	331.27	28.0	13.0	199.5	871.4	1111.8	1,036.70	3.13
Housing & Employability	271.76	38.0	29.0	56.1	525.4	648.5	596.03	2.19
Regeneration	430.05	69.5	104.5	187.1	1327.2	1688.4	1,597.62	3.71
Roads & Transportation	62.23	6.0	9.0	20.0	275.7	310.7	221.87	3.57
<b>Regeneration, Environment &amp; Growth</b>	<b>1,095.31</b>	<b>141.5</b>	<b>155.5</b>	<b>462.7</b>	<b>2999.7</b>	<b>3759.4</b>	<b>3,452.22</b>	<b>3.15</b>
Strategic Management	13.34	0.0	0.0	0.0	22.1	22.1	7.46	0.56
<b>Strategic Management</b>	<b>13.34</b>	<b>0.0</b>	<b>0.0</b>	<b>0.0</b>	<b>22.1</b>	<b>22.1</b>	<b>7.46</b>	<b>0.56</b>
CCCF	432.36	102.0	82.0	369.0	1261.2	1814.2	393.03	0.91
Education Learning & Attainment (Support Staff)	756.64	92.5	41.5	422.8	965.9	1522.7	1,091.50	1.44
Resources (Pro)	20.53	0.5	0.0	0.0	12.0	12.5	8.73	0.43
<b>Transformation &amp; Public Service Reform (Excl. Teachers)</b>	<b>1,209.52</b>	<b>195.0</b>	<b>123.5</b>	<b>791.9</b>	<b>2239.1</b>	<b>3349.5</b>	<b>1,493.26</b>	<b>1.23</b>
<b>LOCAL GOVERNMENT EMPLOYEES TOTAL</b>	<b>3,870.04</b>	<b>644.5</b>	<b>486.0</b>	<b>2309.1</b>	<b>11906.9</b>	<b>15346.5</b>	<b>11278.5</b>	<b>2.91</b>
<b>Transformation &amp; Public Service Reform (Teachers)</b>	<b>914.43</b>	<b>126.5</b>	<b>37.0</b>	<b>168.6</b>	<b>783.5</b>	<b>1115.6</b>	<b>871.25</b>	<b>0.95</b>
<b>COUNCIL-WIDE TOTAL</b>	<b>4,784.47</b>	<b>771.0</b>	<b>523.0</b>	<b>2477.7</b>	<b>12690.4</b>	<b>16462.1</b>	<b>12,149.79</b>	<b>2.54</b>

TABLE 3 - Breakdown of Days Lost by Duration Category

Duration	Working Days Lost	Percentage of Lost Days
Intermittent (1-3 days)	771.0	4.68%
Short Term (4-5 days)	523.0	3.18%
Medium Term (6 days-4 weeks)	2,477.7	15.05%
Long Term (over 4 weeks)	12,690.4	77.09%
<b>TOTAL</b>	<b>16,462.1</b>	<b>100%</b>

Working Days Lost

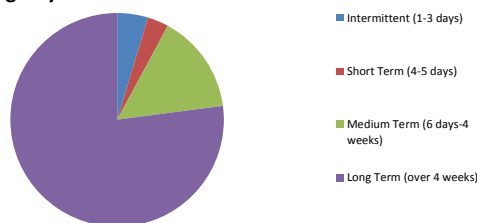




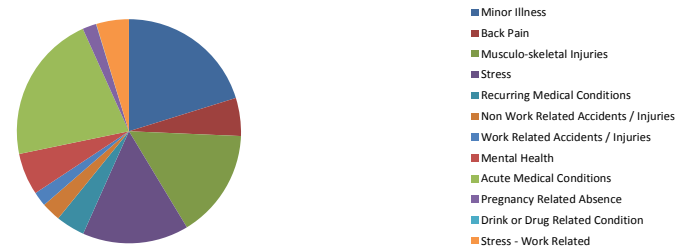
TABLE 4 - Absence Reasons

Department	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 - Personal	Recurring Medical Conditions	Non Work Related Accident / Injuries	Work Related Accidents / Injuries	Mental Health	Acute Medical Conditions	Pregnancy Related Absence	Drink or Drug Related Condition	Stress - Work Related			
People & Technology	93.07	17.7	0.0	8.6	0.0	4.0	0.0	0.0	29.3	4.3	0.0	0.0	0.0	63.9	57.35	0.62
Regulatory	96.72	13.5	0.0	32.3	0.0	0.0	0.0	0.0	0.0	8.6	0.0	0.0	0.0	54.4	53.16	0.55
Resources	226.81	157.2	78.4	67.9	124.2	16.7	49.3	0.0	12.6	245.2	21.2	0.0	8.6	781.2	675.40	2.98
Chief Exec Office Total	416.60	188.4	78.4	108.7	124.2	20.7	49.3	0.0	41.9	258.0	21.2	0.0	8.6	899.4	785.91	1.89
Child Healthcare & Criminal Justice	231.09	119.7	54.7	93.6	248.6	8.6	5.0	0.0	123.0	118.6	20.0	0.0	254.3	1046.0	888.22	3.84
Community Health & Care	737.38	868.6	296.4	983.2	967.5	247.1	128.9	214.7	452.7	1202.7	171.6	0.0	124.0	5657.5	4,129.52	5.60
Finance & Resources	5.30	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.00	0.00
Mental Health, Addiction & Learning Disabilities	138.36	134.2	16.4	54.3	106.6	66.9	2.0	0.0	57.1	12.9	9.0	0.0	59.3	518.6	430.16	3.11
Strategy, Planning & Health Improvement	23.13	26.3	0.0	0.0	0.0	65.7	0.0	0.0	0.0	0.0	0.0	0.0	2.0	94.0	91.79	3.97
Health & Social Care Partnership	1,135.27	1148.8	367.6	1131.1	1322.7	388.3	135.9	214.7	632.8	1334.2	200.6	0.0	439.6	7316.1	5,539.69	4.88
Environment & Neighbourhood	331.27	251.0	19.9	175.0	169.3	131.4	19.4	78.8	92.9	141.4	0.0	0.0	32.9	1111.8	1,036.70	3.13
Housing & Employability	271.76	87.6	51.4	129.1	128.6	5.0	86.4	30.3	0.0	80.6	0.0	0.0	49.6	648.5	596.03	2.19
Regeneration	430.05	325.8	166.6	529.2	163.6	10.0	21.4	4.0	150.7	273.6	0.0	0.0	43.6	1688.4	1,597.62	3.71
Roads & Transportation	62.23	38.0	74.0	48.6	0.0	50.0	64.4	0.0	0.0	35.7	0.0	0.0	0.0	310.7	221.87	3.57
Regeneration, Environment & Growth	1,095.31	702.3	311.8	881.9	461.4	196.4	191.7	113.1	243.6	531.3	0.0	0.0	126.0	3759.4	3,452.22	3.15
Strategic Management	13.34	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	22.1	0.0	0.0	0.0	22.1	7.46	0.56
Strategic Management	13.34	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	22.1	0.0	0.0	0.0	22.1	7.46	0.56
CCCF	432.36	617.0	90.7	171.6	351.7	19.1	54.3	15.0	1.0	365.5	0.0	8.6	119.7	1814.2	393.03	0.91
Education Learning & Attainment (Support Staff)	756.64	478.6	9.0	101.0	194.6	49.0	5.0	0.0	27.4	540.0	67.1	0.0	50.9	1522.7	1,091.50	1.44
Resources (Pro)	20.53	0.5	0.0	0.0	0.0	0.0	0.0	0.0	12.0	0.0	0.0	0.0	0.0	12.5	8.73	0.43
Transformation & Public Service Reform (Excl. Teachers)	1,209.52	1096.1	99.7	272.6	546.3	68.1	59.3	15.0	40.4	905.5	67.1	8.6	170.7	3349.5	1,493.26	1.23
LOCAL GOVERNMENT EMPLOYEES TOTAL	3,870.04	3135.6	857.5	2394.3	2454.6	673.5	436.1	342.8	958.6	3051.1	288.9	8.6	744.8	15346.5	11,278.54	2.91
Transformation & Public Service Reform (Teachers)	914.43	194.1	38.6	188.9	67.9	14.3	17.0	0.0	36.4	493.8	38.2	0.0	26.4	1115.6	871.25	0.95
COUNCIL-WIDE TOTAL	4,784.47	3329.8	896.1	2583.1	2522.4	687.8	453.1	342.8	995.1	3545.0	327.1	8.6	771.2	16462.1	12,149.79	2.54

TABLE 5 - Days Lost by Absence Category

Absence Reason	Days Lost	Percentage of Lost Days
Minor Illness	3,329.8	20.23%
Back Pain	896.1	5.44%
Musculo-skeletal Injuries	2,583.1	15.69%
Stress	2,522.4	15.32%
Recurring Medical Conditions	687.8	4.18%
Non Work Related Accidents / Injuries	453.1	2.75%
Work Related Accidents / Injuries	342.8	2.08%
Mental Health	995.1	6.04%
Acute Medical Conditions	3,545.0	21.53%
Pregnancy Related Absence	327.1	1.99%
Drink or Drug Related Condition	8.6	0.05%
Stress - Work Related	771.2	4.68%
<b>TOTAL</b>	<b>16,462.1</b>	<b>100%</b>

Working Days Lost





**WEST DUNBARTONSHIRE COUNCIL****Report by Strategic Lead – People & Technology****Corporate Services Committee: 13 November 2019**

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**Subject: Supporting Employee Wellbeing Policy****1. Purpose**

- 1.1** The purpose of this report is to update the committee on the review of the former Attendance Management policy and the subsequently agreed Supporting Employee Wellbeing Policy.

**2. Recommendations**

- 2.1** The Committee is asked to approve the Supporting Employee Wellbeing Policy (Appendix 2).

**3. Background**

- 3.1** West Dunbartonshire Council is committed to supporting employees' health and well-being thereby improving attendance. The Council's Well-being Charter sets out the expectations and responsibilities of managers and employees in relation to attendance and well-being at work and the Attendance Management Policy, implemented in October 2015, supported this aim.
- 3.2** Since the introduction of the 2015 Policy, various practices have been used to support employees to stay in work, or assist a sustained return to the workplace. The policy provides a framework to pro-actively monitor absence and develop support mechanisms for employees, in line with the Employee Wellbeing Strategy.
- 3.3** While a number of technical changes have been made since its introduction, a fuller review was deemed timely to better align this policy with the Employee Wellbeing Strategy. The aim being to promote a healthier and more inclusive culture in addition to reducing sickness absence.

**4. Main Issues**

- 4.1** Since the introduction of the policy there has been heightened attention on removing the stigma from those experiencing challenges with their mental health and wellbeing. In order to support and progress this, it is important to incorporate pro-active measures to support employee health and wellbeing where possible. Employees who feel supported by their employer in any

aspect of their mental or physical health are likely to be more engaged, experience an increase in productivity and minimise the time spent away from the workplace due to sickness.

## **4.2 Key change drivers**

- Language used in the policy did not accurately reflect the spirit of the policy i.e. to provide a mechanism that enables managers to support employee health and wellbeing in the workplace. HR, Trade Unions, management representatives and representatives from the Employee Wellbeing agreed that the tone could be softened in a manner that would better reflect the supportive approach intended and change both perception and the manner in which it is applied.
- The focus groups considered reasonable attendance levels and the points at which specific line management involvement may be required. A need and duty to inform and manage expectations of the workforce was acknowledged. The view remained that removing these could increase the likelihood of inconsistent practice and bias. Consequently there are no changes to the expectations of attendance.
- In consideration of the feedback, the policy aims to ensure that the process is viewed as a positive, caring and supportive interaction between line manager and employee.
- HR undertook a benchmarking exercise with other local government authorities in relation to attendance management policies and found that standards and monitoring are comparable i.e. 8+ days or 4 occasions in rolling 12 months or thereabouts. However, the language of these policies is evolving. For example, East Dunbartonshire refer to their meetings as 'Wellbeing Support Meetings' and South Lanarkshire refer to their meetings as 'Attendance Support Meetings'. South Lanarkshire have also attached an appendix purely dedicated to internal and external supports available. Feedback from North Ayrshire council was that they too are embarking on a review with the aim of reflecting a supportive ethos their policy.
- The CIPD's 'Moving employee wellbeing agenda report' discusses the context of mental illness, mental health, and wellbeing. Crucially finding that negative words can be experienced as condescending, isolating, and stigmatising, whereas positive words can convey understanding, dignity, empathy, and hope. Using the wrong language and words can create barriers, misconceptions, stereotypes and labels that are difficult to overcome. It is therefore critical to have all parties involved in employee wellbeing use positive language and role model the positive and supportive tone in order to drive full understanding and change the approach. In order to ensure we can achieve this change in tone, HR will link this to the communication plan which will include training/masterclasses of the revised policy to managers and trades union groups across all services.

### **4.3 Key change themes**

- The name of the policy has been changed to 'Supporting Employee Wellbeing Policy' to reinforce the commitment to employee health and wellbeing as well as the policy title reflecting the supportive nature of the changes within. Other local authorities, for example, East Dunbartonshire adopted a 'Wellbeing at Work' policy in 2016, with the same focus in mind.
- Significant amendments to language to reflect the supportive ethos, which is to adopt a culture that promotes and ensures positive physical and mental health and wellbeing is at the core.
- Technical amendments to reflect changes in policies and supports i.e. updating the employee counselling service from Time for Talking to PAM Assist.
- Additions to clearly manage the expectations of the manager and employee obligations throughout the process i.e. when reporting, contact, updating HR21, locations of meetings, when OH appointments may be necessary.
- Detail of each change is outlined in Appendix 1 'Table of Policy Changes'.

### **4.4 Next Steps – Communication Plan**

- Supporting documents i.e. manager guidance, template letters etc. are in the process of being updated to reflect the agreed changes and ensure that the tone of any correspondence sent to employees is appropriate. Additionally, the employee supports in place will also be highlighted within these template documents to ensure awareness of supports. This also helps to ensure that those who do not regularly access the intranet know where they can find the information. The manager guidance will also be amended to highlight that the practicalities of wellbeing support meetings should also be considered. For example, depending on the nature of the illness, the timing of the meeting may be planned to coincide with the time of day the employee feels at their best and most able to attend/contribute.
- Delivery of training and masterclasses will be rolled out across the services by HR to achieve consistency and good practice approach to the revised policy.
- Highlighting the changes to and introducing the revised policy will be achieved through workforce updates, newsfeed articles, the use of the big screens, text messages to mobile/hard to reach workers, and briefing notes provided for managers to share at team meetings. The Wellbeing Advocates and Managers' group will be asked to share messages with colleagues. Finally, the HR team will trial email signature messaging to promote the policy in all of their correspondence. This will mean that any time a member of the HR sends an email, the recipient will see a message at the bottom of the email

promoting the policy.

- I-learn modules updated to align with the revised policy and a supporting re-launch. The current module is already a mandatory part of the skills passport that all new employees are required to complete and the updated version will replace that module.

- 4.5** It is anticipated that these changes and additions to the policy, including the communication plan, will further support the management of the process and help to improve the understanding of the impact that physical/mental health can have on employees ability to attend work. Furthermore, it will more effectively highlight the responsibilities of both employees and managers and raise awareness of the supports available..

## **5. People Implications**

- 5.1** The changes/additions outlined in the report will better reflect the supportive approach intended and change the perception and the style in which the policy is applied. In order to further embed a supportive and inclusive culture for the workforce, it is critical that all parties involved in well-being demonstrate positive behaviours. Negative language will simply erode these positive developments and damage both the employee/employer relationship and have a detrimental impact on well-being.
- 5.2** The policy for employees is accessible on the WDC intranet and the supporting e-learning module is a mandatory part of the induction process for all employees.. Training regarding legislation associated with the policy i.e. GDPR and Equalities are annually refreshed through e-learn courses, email reminders for these courses are issued to employees when required. using

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

- 6.1** There are no financial implications associated with revision of this policy and procedure.

## **7. Risk Analysis**

- 7.1** Application of the revised policy and practice will mitigate against any potential risks by ensuring fair and effective management and support of employees and limiting inconsistencies in practice across departments.

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

- 8.1** The original equalities impact assessment conducted in 2015 has been reviewed and updated..

## **9. Consultation**

- 9.1** The changes to the Attendance Management Policy were informed by feedback from Service Managers, HR and Trade Unions. The changes were discussed at organised Focus Groups on 28<sup>th</sup> February 2019 and 26<sup>th</sup> March 2019.
- 9.2** The importance of all parties involved in employee wellbeing actively and positively supporting these changes was discussed and reinforced at the Convenor Meetings on Tuesday 23<sup>rd</sup> April 2019, 21<sup>st</sup> May, 18<sup>th</sup> June, 20<sup>th</sup> August and 19<sup>th</sup> September.. The policy changes are the best achievable through negotiation recognising that the application of some aspects require further monitoring to ensure the supportive nature intended is achieved.
- 9.3** The period for formal review with the Joint Trade Union to be set at between 9 and 12 months. The implementation of the revised policy will be monitored through the Joint Union Convener Meetings.
- 10. Strategic Assessment**
- 10.1** This report directly supports the Council's Employee Wellbeing Strategy ensuring this policy is aligned to the ethos in providing meaningful and tangible support to employees.

**Victoria Rogers**  
**Strategic Lead – People and Technology**  
**Date: 21/10/2019**

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**Appendices:** Appendix 1 – Table of changes  
Appendix 2 – SUPPORTING EMPLOYEE WELLBEING POLICY  
Appendix 3 – Employee Wellbeing One Page Support Guide

**Background Papers:** EIA

**Wards Affected:** None

## Appendix 1 – Table of Changes

Section	Changes/Additions	Rationale
Policy Name	'Attendance Management' Policy to 'Supporting Employee Wellbeing Policy.'	This is now aligned with our Employee Wellbeing Strategy.
Meetings	<p>'Long Term Attendance Review Meetings have been changed to 'Wellbeing Support Meetings'</p> <p>'Attendance Trigger Meetings' have been removed and addition has been added which gives guidance to importance of 'Back to Work Wellbeing Support Meetings' with manager and discretion on whether it's appropriate to issue employees with 'Attendance Advisory Note' (see below).</p>	<p>This amendment supports our ethos which is to adopt a culture that promotes positive physical and mental health and wellbeing at the core of everything we do and support our Employee Wellbeing Strategy. From the benchmarking exercise found that most authorities refer to these meetings as 'support meetings'.</p> <p>This was felt to be most appropriate as at this point in the policy, as this is the line managers prompt to have a conversation with the individuals regarding supports and any concerns i.e. patterns of absence. It was felt that in order to change the focus, removing language that isn't felt to be helpful or supportive would help. This may help employee's who feel particularly anxious in attending these meetings, which in turn will allow them to be viewed as positive, supportive and pro-active.</p>
Improvement Notes	Improvement notes have been changed to 'Attendance Advisory Notes'	At each meeting where they are issued with this note, it ensures clarity of where they are in the process and next steps.
S3.1 'Key Principles'	Points have been included around employee and employer responsibilities for H&S (this is also included in S7.1) and embedding a culture of health and wellbeing.	Appropriate to be included as already in WDC's T&Cs and fits well with the context of this policy.
S3.1	The word 'implementing' has been replaced with 'applying' 'Robust' has been removed and replaced with 'Supportive'	Technical change
S5.2	Under 'Application' and 'Policy Procedure' – 'Unsatisfactory standards' have been replaced with 'Not meeting expected levels'. An addition has been made to read 'This is to ensure regular support is in place guided by our Employee Wellbeing Strategy to keep employees at work where possible.'	In line with our ethos.



S1.1 of 'Procedures'	An addition has been added which outlines the aim of the revised policy and mentions that it prioritises employee wellbeing and support.	In line with our ethos.
S1.3	Update has been made to 'PDPs' and replaced with 'Be the Best Conversations'	Technical update
S2.1.1 'Reporting'	An addition of manager responsibility to update HR21 with all absence information has been included.	Technical update
S2.1.3	'GDPR Legislation and Framework' has been included alongside DPA legislation	Technical update
S2.2 'Contact during absence'	An addition has been included around the manager's obligation when the employee has failed to make contact and there are concerns for their welfare.	This is a regular HR query around what managers should do in cases of concerns regarding employee welfare.
S2.4.1	The option to refer employees to OH before they reach long term has been included as something that can be explored on a case by case basis.	Pro-active and may be helpful and supportive depending on the case.
S2.4.2	An addition of manager responsibility to update HR21 with all absence information has been included.	Technical update
S2.4.3	'Case Review Meeting' changed to 'Wellbeing Review'	Keeps it in line with language changes and is more supportive. Feedback from TUs.
S2.4.3	Additional paragraph added to make clear that it might not always be appropriate to have a 'Wellbeing Review' at 13 weeks and this is dependant on the circumstances of each case with advice from HR.	TUs & HR agreed that the 13 week review is not helpful for everyone, can cause more stress and further set back at an early stage, overwhelming with Senior manager present as well as manager. Dependent on the circumstances.
S2.4.3 'Wellbeing Review'	The 'action plan' has been replaced with 'agreed plan'.	Feedback from TUs that some employees come out of a meeting and are unable to remember what actions were agreed at the meeting. This allows these agreed actions to form the plan providing further clarity for the

	Under 'exceptional circumstances' when an employee is unable to attend a meeting due to medical reasons the addition 'alternative formats and venues can be agreed' for example, telephone calls, off site meetings or home visits' is included. The manager responsibility of updating HR21 has also been included in this section.	employee & manager.  Added through on-going feedback, determined on case by case basis.
S2.5.1	An addition of 'Exceptional Circumstances' has been included in regards to extending phased returns.	As a result of the trade union's feedback, it was agreed and updated to reflect that in exceptional cases this can be considered. The group discussed the offer to employees i.e. 4 week phased return and it was deemed to be reasonable for the majority of cases. If employees were using annual leave at a concerning rate a further conversation with that employee would be required to understand what further supports may be needed, was agreed this needs to be reviewed on a case to case basis.
S3.1.2	The order of the paragraph has been switched around to read better.	Technical change
S3.2.2 'Wellbeing Support Meetings'	An addition to this section has been added which highlights the context of 'FINAL Wellbeing Support' meetings.	Manages expectations, provides clarity around what is to be expected at this important stage in the process.
S3.2.5	Includes an addition which places responsibility on managers to ensure that employees who are absent are receiving correspondence on all supports available within the organisation.	Duty of care
New appendix	'Employee Wellbeing Support Guide'	To support the addition in S3.2.5 a new appendix will form part of the policy. This will be a working document and will be updated regularly to stay relevant. (Appendix 2 of this report).
S3.3 'Discretion'	This section has been updated to reflect that discretion will be in consultation with HR and the Strategic Lead.	This is to clarify that the Strategic Lead will only be involved in making sure a consistent approach in the service but the decision to give discretion will be made by the manager and with support and guidance from

	<p>Removal of 'Discretion in Exceptional Circumstances' and replaced with 'Discretion Guidance'.</p> <p>Additional paragraph added to guide manager's on pro-actively thinking around discretion before facilitating wellbeing support meeting.</p>	<p>HR. The intention is to make clear that managers should work alongside the SL to ensure discretion is being applied fairly and consistently without bias. The wording has also been updated in appendix 2 of the policy.</p> <p>It has been outlined that this would be determined on the individual's circumstances and on a case by case basis.</p>
S4.1 'Disability'	'Tailored adjustment agreements' have been updated to 'Disability Passport' and also reference to the 'Disability Leave Scheme' has been added as an addition to this section.	Technical change
S4.2 'Stress'	This section has been changed from 'Stress' to 'Work-related Stress' and a link to the 'Individual Stress Risk Assessment' has been provided.	Technical change.
S4.3 'Reactive Stress'	There has been a paragraph added which originates from the council's terms and conditions in relation to those who are absent through their own misconduct/neglect.	As this is relevant to attendance, this would help highlight what's already included in the T&Cs and manage expectations.
S4.6 'Accidents at Work'	A sentence around informing H&S TU Representatives on any workplace accidents has been included.	Feedback from H&S TU representatives, to be involved from early stages of each accident.
S6 'Policies'	All policies have been hyperlinked to the relevant documents. The forms/letter templates are in as an addition.	This makes it more accessible from the one document.
Appendix 1 'Support Resources'	Information on Access to Work has been included	Relevant employee support

HR Employment Policy & Procedures

# Supporting Employee Wellbeing Policy & Procedure

Implementation Date: October 2019

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





## Document Management - Version Control

<b>Policy Title &amp; Reference</b>	Supporting Employee Wellbeing Policy & Procedure	HRP/006	
<b>Version Number &amp; Date</b>	4.2	October 2019	
<b>Title, Version Number &amp; Date of Superseded Version (if applicable)</b>	Attendance Management Policy & Procedure	4.1 (4.0)	June 2016 (October 2015)
<b>Rationale for introduction/Driver for change</b>	See below		
<b>Summary of Substantive Changes (if applicable)</b>	Language throughout the policy changed in line with the employee wellbeing ethos and strategy.		
<b>Summary of Technical Changes (if applicable)</b>	<p>Updates to referenced policies i.e. name changes and additions (e.g. PAM assist, Disability Passport, Employee One Page Support Guide).</p> <p>PDPs replaced with 'Be the Best Conversations'</p> <p>Addition outlining manager responsibilities to update HR21 system with information.</p> <p>GDPR legislation included.</p>		
<b>Lead Officer</b>	Rachel Robb, HR Adviser		
<b>Final Trades Union Position</b>	Version 4.2: This policy is the best achievable through negotiation recognising that some aspects require further monitoring of the application to ensure the supportive nature of the policy is prioritised. The period for formal review		

	with the Joint Trade Union to be set at between 9 and 12 months.	
<b>Consultation &amp; Approval Process</b>	<i>Committee</i>	<i>Date</i>
	Convenors	07/10/19 version 4.2 21/12/2017 v 4.1 (16/06/2015 for version 4.0)
	JCF (if applicable)	
	C. S. Committee (if applicable)	Nov 2019 (12/08/2015 for version 4.0)
<b>Accompanying Documentation (incl. EIA)</b>	Accompanying guidance for managers and employees, as well as forms and template letters ( <a href="http://intranet.west-dunbarton.gov.uk/transformation/people-technology/hr-online/core-employment-policies/attendance-management/">http://intranet.west-dunbarton.gov.uk/transformation/people-technology/hr-online/core-employment-policies/attendance-management/</a> )  Existing EIA (2011)	
<b>Linked Policy, Schemes and Procedures</b>	<a href="#">Bereavement Leave Scheme</a> <a href="#">Cancer Support Policy</a> <a href="#">Carers Leave Scheme</a> <a href="#">Disability Leave Scheme</a> <a href="#">Disciplinary Policy</a> <a href="#">Equality &amp; Diversity in Employment Policy</a> <a href="#">Special Leave Scheme</a> <a href="#">Stress Management Policy</a> <a href="#">Supporting Employee Performance Policy</a> <a href="#">SWITCH Policy</a> <a href="#">Employee Wellbeing Supports</a> <a href="#">PAM Assist</a>	

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## 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 Employee Wellbeing 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 supported at 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 applying this policy in a supportive and equitable manner. The policy has been discussed with Trade Unions in an attempt to:
- Cultivate a culture of health and wellbeing of our employees;
  - 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;
  - 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;



Support the council's Employee Wellbeing initiatives by making employees aware of the type of support services available to them to help minimise their absence or the length of the absence where possible;

- 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 employees are aware that they are responsible for managing their own health and wellbeing and have a duty to inform the council of any underlying health condition that may impact on their ability to undertake their role safely; and
- West Dunbartonshire Council accepts that it has a duty to comply with the law governing health, safety and welfare of employees, including the conditions under which they work and the provision and maintenance of necessary protective clothing.

## 4 Definitions

4.1 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 not meeting expected levels as determined by the Supporting Employee Wellbeing Policy, the Supporting Employee Wellbeing Procedure will be followed. This is to ensure regular support is in place guided by our Employee Wellbeing initiatives to keep employees at work where possible. .

5.3 The Supporting Employee Wellbeing 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:
- apply this policy and procedure in a fair, reasonable and consistent manner;
  - request advice and support from the Council's Human Resources team;
  - ensure attendance at work and that employees maintain good fitness for work by managing their own health;
  - 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 Supporting Employee Wellbeing Policy and procedure;
  - attend any relevant training, and to ensure that they are up to date with any policy changes by reviewing the HR Online Intranet pages; and
  - engage in early intervention to support continued attendance at work.

## 8 Wellbeing Prompts

- 8.1 Wellbeing Prompts are used to identify points at which the line manager will discuss an employee's wellbeing and absence record in order to identify any relevant supports that may be needed.

At all stages of the policy, the following instances will require a prompt meeting:

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

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

No of Days Worked Per week	Prompt for manager support
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 as required.

# Supporting Employee Wellbeing Procedure

## **1. Introduction**

- 1.1 The aim of the policy is to prioritise employee wellbeing and commit to ensuring employees feel supported when they find themselves absent from work. The Supporting Employee Wellbeing Procedure has been developed to provide a supportive procedural framework for line managers and employees in line with the key principles of the Supporting Employee Wellbeing 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 20 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 Be the best conversations/PRDs 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 and support 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 than 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, employees should contact their manager on the fourth day to provide them with up to date information in relation to the absence. Managers have a responsibility to update any information related to the absence under the employee's HR21 record in a timely manner.

### 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 GDPR Legislation and Framework and 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 contact telephone number, or another number mutually agreed.

Should the employee not report in line with their obligation, the manager should attempt to contact them. If the manager is unable to make contact or there is a concern regarding the employee's welfare, contact their next of kin recorded on HR21.

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 is obtained from a GP submitted at the beginning of each period to which it refers.

Any absence up to 7 days and the first 7 days of any long term absence should be self-certified by the employee. This should be completed 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 supportive actions and considerations that a manager is required to take to underpin the key principles of the Supporting Employee Wellbeing 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 (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.

Additionally, Occupational Health may be asked to provide advice regarding other supportive measures that may be applicable. 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 a medical opinion, it is for the employer, via the line manager, to make subsequent decisions.

If an employee's absence is considered as short-medium term (anything under 21 days) it may be appropriate to refer them to Occupational Health to determine on-going supports. This will be dependent on the individual circumstances of that absence, with further advice sought from HR.

#### 2.4.2 Wellbeing Support Meetings

During an absence the manager, employee and an HR adviser (as appropriate) will meet regularly 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 Wellbeing Support 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 an alternative representative or colleague to attend. This should not cause an unnecessary delay to the meeting taking place.

At each of these meetings action points will be agreed 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 Wellbeing Support meetings consideration will be given to progress to a Wellbeing Review. Managers have a responsibility to update an employee's HR21 record with meeting dates etc.

Refer to S 2.4.3 under 'Exceptional Circumstances' in relation to alternative venues and formats.

#### 2.4.3 Wellbeing Review

When an employee has been absent for 13 weeks a Wellbeing Review should 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 agreed plan will be put in place at the Wellbeing review to ensure appropriate support is in place and to outline, where possible, the potential outcome of the long term absence.

In some cases, it may not be appropriate to carry out a Wellbeing Review at 13 weeks and the individual circumstances of the case should be considered, with advice sought from the Strategic HR team.

In exceptional circumstances where the employee is not medically fit to attend the Wellbeing review, alternative formats and venues can be agreed i.e. home visit or meeting at a facility close to home. If no alternatives can be put in place, then 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.

Managers have a responsibility to continuously update an employee's HR21 record with meeting dates etc.

## **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 Wellbeing 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 and the absence has crossed over two holiday years, 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. In exceptional circumstances, the option for an extended paid phased return may be considered in line with discretion from the manager and Strategic Lead. Note that this is not guaranteed and will be based on the individual circumstances of the employee.

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 Wellbeing Support meetings and Wellbeing 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 Supporting Employee Wellbeing 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 with the employee's knowledge ask for an opinion as to their eligibility for ill health retirement. 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 and eligibility for IHR must be considered.

### **3. Following an Absence / Returning to work**

#### **3.1 Return to Work Discussion**

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 online Return to Work Discussion form, and held securely by the line manager. All RTW information should be updated on HR21. 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 if a Wellbeing meeting is required in line with Section 8.1

##### **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. To request this, leave approval must be sought from the employee's line manager.

##### **3.1.2 Overtime**

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, 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.

### **3.2 Back to Work Wellbeing Support Meetings**

Wellbeing Support Meetings are an opportunity for a manager to discuss reasons for an absence and put in place any appropriate supports for the employee. They are formal meetings\* and will be arranged when an employee has returned from a period of absence and the manager has identified that a meeting and their support is required in line with standards set out in Section 8.1 of the policy. These meetings should take place, wherever possible, within 10 working days of the Return to Work discussion, and earlier if possible.

Employees will be invited to Wellbeing Support 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 an alternative representative or fellow colleague to attend.. This should not cause an unnecessary delay to the meeting taking place.

The purpose of these support meetings is to 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, including assessing their fitness for their role.

Each time an employee is invited along to a Wellbeing Support Meeting, the manager will determine if it's appropriate for them to be issued with an attendance advisory note. The maximum number of attendance advisory notes that can be issued is 3 (see S3.2.1below).

#### **3.2.1 Attendance Advisory Notes**

##### 1<sup>st</sup> Attendance Advisory Note

1st Attendance Advisory Note will remain on file for **9 calendar months** from the day following the last day of absence.

##### 2<sup>nd</sup> Attendance Advisory Note

2<sup>nd</sup> Attendance Advisory Note will remain on file for **12 calendar months** from the day following the last day of absence.

##### 3<sup>rd</sup> Attendance Advisory Note

When a further support meeting is required due to subsequent absence and an

employee is within their 2<sup>nd</sup> attendance advisory note period , an HR adviser will be required to attend the Wellbeing Support Meeting with the manager. Should the manager issue the employee with a third and **final** attendance advisory note, this will run for **12 calendar months** from the day following the last day of absence.

### **3.2.2 Final Wellbeing Support Meeting**

If an employee has subsequent absence during the 3<sup>rd</sup> attendance advisory period they will be invited to a Final Wellbeing Support Meeting where an HR Adviser will also be in attendance. This meeting will give the manager the opportunity to discuss how the absence has been managed to date including discussing the occupational health reports, reasons for absences, absence history, any supports that have been offered, any evidence of patterns of absence or any other concerns. This meeting will give the employee the opportunity to respond to all points raised in the meeting as well as highlight any further relevant information.

Where there are clear mitigating circumstances the manager may decide to move the employee back to the 3<sup>rd</sup> attendance advisory period , however this should only be done in exceptional circumstances and in consultation with HR and the Strategic Lead. If it is clear that the absences cannot continue to be supported and are no longer sustainable, one of the outcomes of this meeting could be dismissal on the grounds of capability. Please refer to the scheme of delegation in appendix 3 or 4.

Managers have a responsibility to regularly update an employee's HR21 record with meeting dates etc.

### **3.2.3 Improved Attendance**

If at any stage of the process an employee meets the required standards of attendance and absence levels improve, for the duration of the advisory note, they will thereafter exit the process. The advisory note will be removed from their record however it should be noted that the entire absence history can be considered in any future proceedings. Throughout each stage of the policy, managers should remind employees about the ongoing employee supports available by enclosing the Employee Wellbeing support guide (Appendix 5) in their correspondence.

## **3.3 Discretion**

Dependent on the individual circumstances a manager may feel that it is not appropriate to issue an attendance advisory note. In such circumstances the manager in consultation with HR and their Strategic Lead will consider whether it is appropriate to apply discretion, using a Discretion Request form. Further guidance on the use of discretion is available in appendix 2.

### **3.4 Appeal against Advisory Notes**

Employees are entitled to appeal the decision to issue an Advisory Note. Appeals must be lodged with the person or persons specified within the Advisory 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 Advisory 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 who has been dismissed in accordance with this policy will have the right to appeal to the Appeals Committee. The employee must lodge their appeal in writing with the Strategic Lead People & Technology 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 Strategic Lead will acknowledge receipt of the appeal in writing and 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 / supports 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 Disability Passport. Managers should also consider the appropriateness of progression through the stages of this policy and the application of discretion where appropriate. Employees and Managers should also refer to the [Disability Leave Scheme](#) for time off for appointments.

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 Supporting Employee Wellbeing 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 treated equitably in employment decisions and will also assist line managers when considering reasonable adjustments.

#### **4.2 Work Related Stress**

When an employee has identified either when reporting sick, or through submission of fit notes, that their absence is related to Work Related Stress (or similar i.e. 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 cooperate and be available to participate in ongoing investigations and processes.

Sick pay may be suspended if an employee abuses the sickness scheme or is absent on account of (i) sickness due or attributable to deliberate conduct prejudicial to recovery; or (ii) the employee's own misconduct or neglect; or (iii) active participation in professional sport; or (iv) injury while working in the employee's own time on their own account for private gain or for another employer. Please refer to S12.7 of the Council's terms & conditions for further information.

#### **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 treated equitably in employment decisions and these absences will not be considered in relation to an attendance advisory note. Any other sickness absence, unrelated to the pregnancy, would be counted in line with the procedures set out within the Supporting Employee Wellbeing 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 and informing the relevant H&S trade union representative as soon as possible. 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 should not be part of any considerations relating to the issuing of an attendance advisory note 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 be included in the considerations relating to attendance advisory notes outlined 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 an HS1 form and the incident investigated. In such circumstances where the employee is not at fault and could not reasonably have prevented this, any resulting absence will not be included in the considerations relating to attendance advisory notes.

#### **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 Strategic Lead immediately. Any related absence will not be included in the considerations relating to attendance advisory notes.. Information on notifiable infectious diseases can be found here [Notifiable Diseases](#).

#### **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 included in the considerations relating to an attendance advisory note.

#### **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 prompt. 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 employee's wellbeing. 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 the withdrawal of occupational sick pay and disciplinary action.

#### **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 the instances of absence detailed in Section 8.1 of the policy are not met

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

### 5.3 Failure to engage in the Supporting Employee Wellbeing Process

It is the responsibility of all employees to fully engage in the Supporting Employee Wellbeing Policy and Procedure. This includes appropriate notifications, making themselves available for Wellbeing Support / Case review meetings, attending Occupational Health appointments, attending Wellbeing Support Prompt 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 & Forms

This policy should be read in conjunction with:

- [SWITCH Policy](#)
- [Stress Management Policy](#)
- [Special Leave Scheme](#)
- [Bereavement Leave Scheme](#)
- [Disability Leave Scheme](#)
- [Carers Leave Scheme](#)
- [Cancer Support Policy](#)
- [Equality & Diversity in Employment Policy](#)
- [Supporting Employee Performance Policy](#)
- [Disciplinary Policy](#)
- [Employee Wellbeing Support](#)
- [PAM Assist](#)
- [Return To Work and Self Certification Form](#)
- [Wellbeing Prompt Meeting – Record of Discussion](#)
- [Wellbeing Support Meeting – Record of Discussion](#)
- [Case Review Meeting – Record of Discussion and Action Plan](#)
- [Appeal Form \(Advisory Notes/Dismissal\)](#)

## 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 musculoskeletal 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 out with 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.

### **A1.3 Access to Work**

Access to Work is a publicly funded employment support programme that aims to help more people start or stay in work. It can provide practical and financial support if you have a disability or long term physical or mental health condition.

Further information on access to work can be found on the intranet here

## Appendix 2 – Guidance on Applying Discretion

When an employee has returned to work and the requirements for a Wellbeing Prompt meeting are met in line with Section 8.1 of the policy, it is essential that the Meeting is arranged in order to provide support and assistance to the employee. In some individual circumstances the manager should 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 in consultation with the Strategic Lead and HR apply discretion using a Discretion request form. When it has been agreed that discretion will be applied the employee must be notified of this in writing.

In preparation for the Wellbeing Prompt Meetings, it may be appropriate for managers to consider discretion in advance, proactively taking into account the circumstances surrounding the employee's recent absence and their history.

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\* ( (dependent on individual circumstances of the case)Employee shows best effort to return to work / to consider flexible return ( (dependent on individual circumstances of the case)

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 manager, considering the individual circumstances of the employee's case and in consultation with the Strategic Lead, 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 Strategic Lead will not be considered a precedent. Decisions will be made on a case by case basis dependent on the individual circumstances.

In reaching a decision, the line manager and Strategic Lead must consider all circumstances of the individual employee within the context of the Supporting Employee Wellbeing 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 ATTENDANCE  
ADVISORY NOTES AND DISMISSALS**

<b>Level of Action</b>		<b>Employees Grade 1-8</b>	<b>Middle Managers Grades 9-10</b>	<b>Service Managers Grades 11-12</b>
1st Attendance Advisory Note		Line Manager	Service Manager or Line Manager	Strategic Lead
Appeal		Line Manager's Manager	Strategic Lead or Line Manager's Manager	Director
2 <sup>nd</sup> Advisory Note		Line Manager	Service Manager or Line Manager	Strategic Lead
Appeal		Line Manager's Manager	Strategic Lead or Line Manager's Manager	Director
3 <sup>rd</sup> Advisory Note		Line Manager	Service Manager or Line Manager	Strategic Lead
Appeal		Line Manager's Manager	Strategic Lead or Line Manager's Manager	Director
Dismissal		Middle Manager, Service Manager or Strategic Lead (minimum Grade 9)	Strategic Lead or Director	Director
Appeal		Council Appeals Committee	Council Appeals Committee	Council Appeals Committee

- (1) The job evaluation output of the immediate line manager (based on the responsibilities contained within their job profile) will determine the appropriateness of their being asked to undertake duties in relation to attendance management as part of their role (including issuing improvement notes). If not appropriate, the hearing will be conducted by the next most appropriate manager within the structure.

**Appendix 4 – Scheme of Delegation – Teaching Employees**  
**AUTHORITY TO TAKE ACTION FOR ISSUE OF ATTENDANCE**  
**ADVISORY NOTES AND DISMISSALS**

<b>Level of Action</b>	<b>Teaching Staff in a Secondary School</b>	<b>Teaching Staff in a Primary School</b>	<b>Teaching Staff in a Primary School with no Depute Head Teacher</b>
1 <sup>st</sup> Advisory Note	Principal Teacher	Depute Head Teacher	Head Teacher
Appeal	Depute Head Teacher	Head Teacher	Strategic Lead
–2nd Advisory Note	Principal Teacher	Depute Head Teacher	Head Teacher
Appeal	Depute Head Teacher	Head Teacher	Strategic Lead
3 <sup>rd</sup> Advisory Note	Head Teacher	Head Teacher	Head Teacher
Appeal	Strategic Lead Or nominee	Strategic Lead or nominee	Strategic Lead 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

# Employee Supports (please note this list is not exhaustive)

## Employee Wellbeing

- [Financial wellbeing resources/advice](#)
- [Walking meetings](#)
- [Links to dietary advice](#)
- [Cycle to Work scheme](#)
- [Advice on breathing exercises](#)
- [Stress management policy](#)
- [I – resilience tool](#)
- [Healthy Working Lives Training](#)
- [Heads Up website](#)
- [Mental Health Webinars for Managers](#)
- [Discounted leisure membership](#)

## Work Environment

- [Flexible working](#)
- [Special leave](#)
- [Disability leave](#)
- [Carer's leave](#)
- [Disability Passport](#)
- [Learning environment](#)
- [Workplace of the Future](#)

For further details please contact your line manager, HR or your Trade Union Representative. Alternatively you can visit the Employee Wellbeing intranet pages.

## Self development and Ownership

## Specialist support

- [Occupational Health](#)
- [Physiotherapy](#)
- [Employee counselling service – PAM Assist](#)
- [Cognitive Behavioural Therapy](#)
- [Access to work \(physical and mental health\)](#)

• Partner organisations (MacMillan, DACA, CARA )

## Open Communication

- [Be the best conversations](#)
- [Leadership Development](#)
- [Employee Recognition awards](#)
- [Intranet](#)
- [Simply Thank You](#)
- [Ask the Chief Executive](#)
- [Back to the Floor](#)





## **WEST DUNBARTONSHIRE COUNCIL**

### **Report by Strategic Lead – People and Technology**

**Corporate Services Committee: 13<sup>th</sup> November 2019**

**Subject: Workforce Monitoring Report (1<sup>st</sup> April – 30<sup>th</sup> September 2019)**

#### **1. Purpose**

- 1.1** The purpose of this report is to provide workforce monitoring information relating to the period 1<sup>st</sup> April – 30<sup>th</sup> September 2019.

#### **2. Recommendations**

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

#### **3. Background**

- 3.1** This report provides information concerning the workforce demographic allowing for the monitoring of trends and consideration of workforce impacts. Additionally, the report includes analysis of employees being released through early retirement and voluntary severance, and all of the associated costs. This forms part of the ongoing monitoring process derived from the Audit Scotland Report “Bye now, pay later?”

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

- 4.1** Table 1 details headcount data for the Council per Strategic Lead Area and including apprentices, casual workers, fixed term and permanent employees. When compared with the previous reporting period, the total headcount for the Council has increased by 39 individuals. The increase in headcount includes an increase of 8 apprenticeships and 74 permanent contracts with a decrease in 43 fixed term contracts. Those on the casual/supply list has also increased by 56 (headcount).
- 4.2** When compared to the same period last year the headcount has increased by 17, namely an increase of 12 apprenticeships, 26 permanent employees and a reduction of 21 fixed term employees. The shift from fixed term to permanent employment is a positive development providing job security where possible and in accordance with policies. These figures also reflect a significant level of stability in times of unprecedented financial challenges, reinforcing the Council’s commitment to maintaining employment during organisational change.

Table 1 – Headcount Data (as at 30<sup>th</sup> September 2019)

Department	Service	Apprentice	Fixed-Term	Permanent	Grand Total	Casual
Chief Exec Office	People & Technology	3	4	95	102	1
	Regulatory	1	12	94	107	2
	Resources	3	12	246	261	0
<b>Chief Exec Office Total</b>		<b>7</b>	<b>28</b>	<b>435</b>	<b>470</b>	<b>3</b>
HSCP	Child Health Care & C J	0	20	244	264	28
	Community Health & Care	2	44	921	967	54
	Finance & Resources	0	1	5	6	0
	Mental Health Addic & LD	4	14	158	176	1
	Strategy, Planning & HI	0	1	25	26	0
<b>HSCP Total</b>		<b>6</b>	<b>80</b>	<b>1353</b>	<b>1439</b>	<b>83</b>
Regen Environ & Growth	Environment & Neighbourh	21	23	269	313	39
	Housing & Employability	1	37	258	296	10
	Regeneration	29	100	315	444	0
	Roads & Transportation	0	0	93	93	1
<b>Regen Environ &amp; Growth Total</b>		<b>51</b>	<b>160</b>	<b>935</b>	<b>1146</b>	<b>50</b>
Strategic Management	Strategic Management	0	0	13	13	0
<b>Strategic Management Total</b>		<b>0</b>	<b>0</b>	<b>13</b>	<b>13</b>	<b>0</b>
Transform & Pub Sec Refo	CCCF	4	16	619	639	10
	Educ Learning & Attain	14	103	825	942	164
	Resources (Pro)	0	0	21	21	0
<b>Transform &amp; Pub Sec Refo Total</b>		<b>18</b>	<b>119</b>	<b>1465</b>	<b>1602</b>	<b>174</b>
Transform & Pub Sec Refo - Teachers	Educ Learning & Attain	0	149	954	1103	256
<b>Transform &amp; Pub Sec Refo - Teachers Total</b>		<b>0</b>	<b>149</b>	<b>954</b>	<b>1103</b>	<b>256</b>
<b>Grand Total</b>		<b>82</b>	<b>536</b>	<b>5155</b>	<b>5773</b>	<b>566</b>
Head count data for comparison purposes						
<b>Council Wide Total</b>	<b>Mar-19</b>	<b>74</b>	<b>579</b>	<b>5081</b>	<b>5734</b>	<b>510</b>
<b>Council Wide Total</b>	<b>Sep-19</b>	<b>70</b>	<b>557</b>	<b>5129</b>	<b>5756</b>	<b>439</b>

\*new structure commenced 1<sup>st</sup> July 2019

- 4.3** Monitoring the number of casual workers (including supply) is undertaken on a quarterly basis and reported to the Performance and Monitoring Review Group. This ensures that the use of casual and supply workers is in line with best practice while meeting the needs of the organisation. A housekeeping exercise to remove those not used over the relevant period is undertaken annually or as required.

#### Early Retirements and Voluntary Severance

- 4.4** During the last 6 months, a total of 4 employees were granted early retirement on the grounds of efficiency of the service, redundancy or released on voluntary severance as shown in Table 2. In line with data protection requirements (due to the limited numbers in individual directorates), the table shows the data consolidated as a council wide figure.
- 4.5** Voluntary severance is dealt with by way of a discretionary payment that can be granted in situations where an employee is not eligible to retire under the Local Government Pension Scheme (LGPS) or Scottish Teachers Pension

Scheme (STPS) regulations. Employees who are eligible for voluntary severance will either be scheme members with at least 2 years continuous service and under 55 years (50 for protected members) or employees who are non- members of the scheme.

Table 2 – Voluntary Early Retirement/Severance (1<sup>st</sup> April – 30<sup>th</sup> September 2019)

Council wide	No. of EE's	*One-Off Costs	Annual Costs (Recurring)	Net Annual Savings (Recurring)
<b>TOTALS**</b>	<b>4</b>	<b>£338,374</b>	<b>£9,483</b>	<b>£138,290</b>

Net savings take account of annual costs.

\* One-off costs include provisional capitalisation (strain on the fund) costs.

\*\*In accordance with data protection regulations, directorates where 2 or fewer employees have been released will be merged. The above shows a council wide figure.

- 4.6** In respect of the 4 employees released, all 4 were granted early retirement on efficiency or redundancy grounds. The number of employees being released through voluntary early retirement/severance has reduced significantly in the last year as detailed below.

Table 3– Comparison to Previous periods

	Number of Employees			
Council Wide	1 October 2017 – 31 March 2018	1 April 2018 – 30 September 2018	1 October 2018 – 31 March 2019	1 April 2019 – 30 September 2019
<b>TOTALS</b>	<b>10</b>	<b>12</b>	<b>2</b>	<b>4</b>

\*In accordance with data protection regulations directorates with 2 or fewer employees will be merged.

#### Retirement from age 55

- 4.7** On 1<sup>st</sup> June 2018, changes were made to the Local Government Pension Scheme (LGPS), one of which allows scheme members to retire from age 55 without employer consent. The terms of this provision allow members to access their pension benefits with an actuarial reduction applied (to compensate the fund for the member taking the benefits early). There are no consequential costs for the council. The council's discretions policy has been updated accordingly and uptake reported to committee.
- 4.8** Within this reporting period (1<sup>st</sup> April – 30<sup>th</sup> September 2019) one individual was been released under this provision and a further 2 have applied. Both applications have been processed with one person released and one currently agreeing their retirement date.

### Early Retirements - Ill-health

- 4.9** In cases of early retirement on the grounds of ill-health, there are no direct capitalisation costs to the Council as this cost is borne by the pension fund.
- 4.10** The LGPS and STPS regulations allow for 2 tiers of ill-health retirement in situations where the member's ill-health or infirmity of mind or body renders them permanently incapable of discharging efficiently the duties of their current employment. Under LGPS Regulations Tier 1 relates to members with no reasonable prospect of obtaining gainful employment before the age of 65. Tier 2 relates to members with a reasonable prospect of obtaining gainful employment before the age of 65. Under STPS Regulations the two tiers are Total Incapacity Benefits (TIB) which relates to members who are unable to teach and whose ability to carry out any work is impaired by more than 90% and is likely permanently to be so. Partial Incapacity Benefits (PIB) relates to members who are permanently unable to teach but be capable of undertaking other types of employment.
- 4.11** Table 4 below shows the number of employees who retired early on ill health grounds. In the period April – September, 10 ill health retirements were approved at Tier 1 (TIB) and one at Tier 2 (PIB) . The total number of ill health retirements for the previous three reporting periods is also included for comparison purposes. Levels have remained consistent over the reporting periods below.

Table 4 – Ill Health Retirements (1 April – 30<sup>th</sup> September 2019)

<b>Strategic Directorate</b>	<b>Total 1<sup>st</sup> October 2017 – 31<sup>st</sup> March 2018</b>	<b>Total 1<sup>st</sup> April 2018 – 30 September 2018</b>	<b>1<sup>st</sup> October 2018 – 31<sup>st</sup> March 2019</b>	<b>Total 1<sup>st</sup> April 2019 – 30 September 2019</b>
HSCP	7	7	5	8
Regeneration, Environment & Growth	2	1	2	2
Transformation & Public Sector Reform (Incl. Teachers)	2	4	3	1
<b>TOTAL</b>	<b>11</b>	<b>12</b>	<b>10</b>	<b>11</b>

### Flexible Retirement

- 4.12** Flexible retirement is available to members of the Local Government Pension Scheme, this does not include teachers. The approval of those employees granted flexible retirement is monitored by the Strategic Lead - People and Technology and the Strategic Lead - Resources.
- 4.13** A total of 17 requests were received within the reporting period and of these, one individual was released, one was rejected due to service constraints and

one application was withdrawn. The remaining 14 are currently being processed with the intention of release in subsequent reporting periods. Every effort is being made to support flexible retirement requests where possible and services regularly revisit applications with a view to release.

- 4.14** A total of 9 employees were released through the flexible retirement provision with no costs to the Council. The table below shows the number of flexible retirements released in the period, split by directorate for this year and previous three reporting periods for comparison purposes.

Table 5 – Flexible Retirements

<b>Strategic Directorate</b>	<b>1<sup>st</sup> October 2017 – 31<sup>st</sup> March 2018</b>	<b>1<sup>st</sup> April 2018- 30<sup>th</sup> September 2018</b>	<b>1<sup>st</sup> October 2018 – 31<sup>st</sup> March 2019</b>	<b>1<sup>st</sup> April 2019– 30<sup>th</sup> September 2019</b>
Regeneration, Environment & Growth	6	10	8	*9
HSCP & Transformation & Public Service Reform (Excl. Teachers)*	6	10	12	
<b>TOTALS</b>	<b>12</b>	<b>20</b>	<b>20</b>	<b>9</b>

\* In accordance with data protection regulations directorates with 2 or fewer employees will be merged.

#### Redeployment

- 4.15** Redeployment is monitored and delivered centrally by Strategic HR. Employees are added to the SWITCH register for a number of different reasons: through organisational change they may be displaced or placed in lower graded posts; due to ill-health they may become unable to continue in their substantive post; through Job Evaluation where a post is evaluated lower than the current grade; or where an employee is coming to the end of a fixed term contract and has more than 2 years' service. To support employees to return to their previous rate of pay all employees who have been matched but remain on pay protection are also retained on the register.
- 4.16** The table below details the number of employees who were on the redeployment register at the start of the reporting period (1/04/2019), the number who joined the register during the reporting period and the number who remain on the register at the end of the reporting period (30/09/2019).

Table 6

<b>Reason</b>	<b>Number of employees on the register at the start of the period (1/04/2019)</b>	<b>Number of employees added during the period</b>	<b>Number of Employees removed during the period</b>	<b>Number of employees on the register at end of the period (30/09/2019)</b>
Ill Health Capability	1	0	0	1
Organisational change	7	4	2	9

Incapability another process	1	0	1	0
<b>TOTALS</b>	<b>9</b>	<b>4</b>	<b>3</b>	<b>10</b>

Pay protection	6	3	3	6
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\* pay protection is shown separately as this may be related to job evaluation or organisational change

- 4.16** As detailed in Table 6, there were 9 employees on the redeployment register at the beginning of the reporting period, an additional 4 employees joined during the period and 3 employees were successfully placed and therefore removed from the register leaving 10 employees on the register at the end of the period.
- 4.17** Of the 10 individuals on the SWITCH register, all have secured alternative roles within the council and 7 currently have an element of pay protection. In line with the SWITCH process, for the duration of pay protection all efforts will be made to support employees to return to their previous grade at the earliest opportunity
- 4.18** Of the 3 people removed from the register in this reporting period, one secured a post in another service at a lower grade, one secured a post in the same service at a lower grade and one secured a promoted post within the same service securing a higher grade than they were previously through service redesign.

## **5. People Implications**

- 5.1** There are no direct people implications for employees arising from the information presented in this report. However, it is important that the matters covered in this report are effectively monitored in line with employment legislation, the discretions policy and best practice.

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

- 6.1** All costs associated with early retirement or voluntary severance will be met from existing resources. Those being released are done so on the basis of robust cost benefit analysis.

## **7. Risk Analysis**

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

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

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

**9. Consultation**

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

**10. Strategic Assessment**

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

**Victoria Rogers**

**Strategic Lead – People and Technology**

**Date: 30<sup>th</sup> October 2019**

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**Appendices:** None

**Background Papers:** None

**Wards Affected:** N/A





**WEST DUNBARTONSHIRE COUNCIL****Report by Strategic Lead – People & Technology****Corporate Services Committee: 13 November 2019**

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**Subject: Review of Code of Conduct and Guidance on Gifts, Hospitality and Register of Interests**

**1. Purpose**

- 1.1** To provide the committee with a summary of the changes made to the Code of Conduct and the associated guidance on gifts, hospitality and register of interests.

**2. Recommendations**

- 2.1** The Committee is asked to note the changes made as a result of the review and approve same.

**3. Background**

- 3.1** The Code of Conduct was last updated in March 2018 although as the changes made were of a technical nature, in accordance with our agreed policy framework, the policy did not require committee approval. The previous version, agreed by Corporate Services Committee in August 2016 was superseded.
- 3.2** The Code provides clarity to employees on the expected standards of behaviour extending both to professional and personal conduct. In March 2018, additional guidance was deemed to be required on the offer and acceptance/refusal of gifts and hospitality. In addition, information on the registering of interests was expanded.
- 3.3** Following the Internal Audit Investigation into Contracting within Roads and Greenspace and the subsequent review by Audit Scotland, an action to further review the code and guidance was allocated to the Strategic Leads People and Regulatory.

**4. Main Issues**

- 4.1** The review focused on the requirement to register interests, be they of a personal or financial nature. The main changes are set out below:

Code of Conduct

- 4.1.1 At paragraph 6.2, a reminder of employees responsibility to comply with policies, frameworks and legislative provisions at committee and council (public forums).
- 4.1.2 Section 8 covers the expectations in respect of any conflict of interest. At paragraph 8.2, a specific addition regarding personal interest and what this means, i.e. any financial interest with suppliers or the contract itself or if a close personal relationship exists with supplier/owner of company etc.
- 4.1.3 There is additional guidance to cover instances where a disclosure is made; in which case, the manager will agree alternative arrangements to avoid perceived or actual conflict. Those actions should be recorded and held by each Strategic Lead.

#### Supplementary Guidance

- 4.1.4 Section 7 of this document again covers conflict of interest. At 7.3, a new paragraph explaining responsibilities of manager to make alternative arrangement and to record same to avoid involvement where a relevant disclosure is made.
- 4.1.5 At Appendix 2, the form for recording any interests has been adjusted to make the requirement for disclosure explicit and a more distinct section for recording actions taken.

### **5. People Implications**

- 5.1 The Code of Conduct is a vital Council Policy as it provides employees with clear parameters of acceptable and unacceptable behaviour. This ensures that all employees act in a manner that is dignified and courteous as is expected of a public servant.
- 5.2 The code and guidance reflect the Council's revised leadership structure.

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

- 6.1 There are no financial and/or procurement implications associated with these changes.

### **7. Risk Analysis**

- 7.1 There was no requirement to carry out a risk assessment on the proposed changes.

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

- 8.1 There was no requirement to undertake a further EIA in relation to these changes.

## **9. Consultation**

- 9.1** Consultation has taken place on the proposed changes with the Joint Trades Union in May and again in August 2019. They have now confirmed agreement with changes. However, all unions felt that the recommendation from Audit Scotland was unnecessary given the changes made and agreed in October 2018.
- 9.2** Given the importance of the changes, the Senior Leadership Group also considered and is aware of these changes.

## **10. Strategic Assessment**

- 10.1** The changes support the Council Strategic Priority 'Open, accountable and accessible local government'.

Victoria Rogers  
Strategic Lead People & Technology

1<sup>st</sup> October 2019

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<b>Person to Contact:</b>	Victoria Rogers, Strategic Lead People & Technology
<b>Appendices:</b>	Code of Conduct; Guidance on Gifts, Hospitality and Register of Interests and related forms
<b>Background Papers:</b>	Audit Scotland Review of Contracting in Roads and Greenspace
<b>Wards Affected:</b>	N/A.

HR Employment Policy & Procedures

## Code of Conduct

Implementation Date: November 2019

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

## Document Management - Version Control

<b>Policy Title &amp; Reference</b>	Code of Conduct	HRP/013	
<b>Version Number &amp; Date</b>	4.3	November 2019	
<b>Title, Version Number &amp; Date of Superseded Version (if applicable)</b>	Code of Conduct	4.2	October 2018
<b>Rationale for introduction/Driver for change</b>	Technical changes to reflect Audit Scotland recommendations in respect of disclosure of hospitality and interests.		
<b>Summary of Substantive Changes (if applicable)</b>			
<b>Summary of Technical Changes (if applicable)</b>	<p>Paragraph 6.2, a reminder of employees' responsibility to comply with policies, frameworks and legislative provisions at committee and council (public forums).</p> <p>At paragraph 8.2, a specific addition regarding personal interest and what this means, i.e. any financial interest with suppliers or the contract itself or if a close personal relationship exists with supplier/owner of company etc.</p> <p>Additional guidance to cover instances where a disclosure is made; in which case, the manager will agree alternative arrangements to avoid perceived or actual conflict. Those actions should be recorded and held by each Strategic Lead.</p>		
<b>Lead Officer</b>	Strategic Lead People & Technology		
<b>Final Trades Union Position</b>	Technical changes in version 4.3 were agreed		
<b>Consultation &amp; Approval Process</b>	<i>Committee</i>	<i>Date</i>	
	Trades Union Convenors	August 2019	
	JCF (if applicable)	N/A	

	C. S. Committee (if applicable)	13/11/2019
<b>Accompanying Documentation (incl. EIA)</b>	No change	
<b>Linked Policy, Schemes and Procedures</b>	Guidance on Offers of Gifts, Hospitality & Declaring Interests October 2019	

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## 1. INTRODUCTION

The Code of Conduct was originally developed by the Council following the adoption by COSLA of the National Code of Conduct for Local Government Employees. This code has subsequently been amended over the intervening 10 years and agreed locally as required.

The public has high expectations of the standards of conduct for Council employees. This Code sets out the standards of conduct that are expected from employees by the public, management, colleagues and by Elected Members. Some employees may also be subject to the provisions of a code of conduct produced to meet the requirements of a professional body such as the General Teaching Council (GTC), or the Scottish Social Services Commission (SSSC).

The Code does not affect an employee's rights and responsibilities under the law. Its' purpose is to provide clear and helpful advice to employees. Due to the different nature of work for different employees, some parts of the Code may apply to some employees more than others, but all employees must comply with the Code. While a breach of this Code may give rise to disciplinary action, it is designed to provide employees with guidance on the standards of conduct appropriate for a public service employee. Should employees have any difficulties in meeting the standards of the Code, employees should approach their manager, a member of the HR team or a Trade Union representative for advice and assistance.

The Code also incorporates "The Seven Principles of Public Life" identified by the Nolan Committee on Standards in Public Life. These are listed below, as slightly altered by COSLA to place them in a Scottish local government context.

## 2. STANDARDS IN PUBLIC LIFE

### 2.1 The "Seven Principles of Public Life"

**Selflessness:** Employees should not take decisions which will result in any financial or other benefit to themselves, their family and friends. Workplace decisions should be based solely on the Council's best interests.

**Integrity:** Employees should not place themselves under any financial or other obligation to an individual, which might influence them in their work with the Council.

**Objectivity:** In carrying out Council business, including making appointments, awarding contracts, or recommending individuals for awards or benefits, employees must make their choices solely on merit.

**Accountability:** Employees are accountable for their actions to the Council and ultimately to the public.

**Openness:** Employees should be as open as possible in all the decisions and actions taken. Employees should give reasons for their decisions and should not restrict information unless



this is clearly required by Council Policy or by the law.

**Honesty:** Employees have a duty to declare any private interests which might affect their work with the Council.

**Leadership:** Managers should promote and support these principles by leadership and example.

### **3. PERSONAL CONDUCT**

Employees should be aware that the way they behave during working hours reflects on the image of the Council. This can also be the case for certain behaviours out with working hours, including the use of Social Media. The Council recognises employees' rights to personal use of social media. However, employees should be aware that posting of certain information or comments, even in their own time and using their own equipment, may be in breach of the Council's Social Media policy

There is an expectation that employees will not attend work under the influence either of alcohol or illegal drugs, as these may affect their ability to undertake their duties safely and effectively, and may damage the public image of the Council. Any employee who does attend work under the influence of alcohol or illegal drugs should understand that they may be liable to action under the Council's disciplinary proceedings as the Council has a "Zero Tolerance" approach. The Council has an Alcohol and Substance Misuse Policy to assist employees with an addiction problem and independent support is available through the counselling service for employees.

It is a condition of your employment that if you are arrested, charged, convicted of a criminal offence, bound over or cautioned, pending appointment to, or whilst employed in the Council's service, that you report details of the matter to your Section Head, or a more Senior Manager, who may decide to investigate the matter taking account of the Council's Code of Conduct. Where information on un-notified criminal charges comes to the Council's attention this will be discussed with you and appropriate action taken.

Employees working in occupations with professional standards and who are required to register with a professional organisation should note that the Council is required to inform the Regulating Body of any misconduct.

All employees have a responsibility for the health and safety of themselves and others and must inform the Council of any underlying health condition that may impact on their ability to undertake their role safely. In addition to information provided through pre-employment health checks, employees must advise their manager of any change to disclosed conditions or when medical investigations are underway, that may impact on their ability to undertake their role safely. Where an employee's health impacts on their ability to continue to carry out their role safely, the Council will support the employee through the appropriate policies, e.g. SWITCH to secure suitable alternative employment.

Employees, who reside within West Dunbartonshire like all other residents, have a duty to make any payments due to the Council in good time. In line with the Corporate Debt policy, if a debt is owed by an employee and no sustainable payment arrangement is in place and maintained, the Council will be entitled to make appropriate deduction from the employee's pay without the employee's further agreement. Employees will be notified of any such arrangement being put into place.

Where an individual is experiencing difficulties in making payment, support is available through the Working 4U advice partnership which consists of Citizens Advice Bureau, Independent Resource Centre and WDC advice services for benefit, debt and money advice.

Employees should be aware that the Council will make regular checks to ensure that employees are not in arrears with payments such as Council Tax, rent etc.

Regardless of personal beliefs and opinions, all employees are expected to display positive attitudes to all service users and colleagues in terms of Equal Opportunities. All employees are expected to treat everyone in a fair and non-discriminatory manner and failure to comply with the Council's Equality and Diversity in Employment Policy will be treated as a serious matter.

#### **4. DRESS CODE**

The Council requires employees to adopt reasonable dress requirements, which are related to the type of work being undertaken. Name badges, where available, must be worn at all times.

Additionally, employees should appreciate that they may have contact with the public or other organisations and must comply with wearing Corporate clothing if it is provided.

Each Strategic Area will have specific reasonable requirements about personal appearance and dress standards. An employee's manager can provide further advice regarding the appropriate standards for their area of work. Where protective and safety clothing is provided, this must be worn and maintained in an appropriate manner.

The Council recognises the diversity of cultural traditions and will take account of this when discussing standards of dress.

#### **5. RELATIONSHIPS**

##### **5.1 Elected Members**

Both Elected Members, and employees, are servants of the public and are indispensable to each other. Employees are responsible to the Council and their role is to support and give advice to Elected Members and to carry out work under the direction and control of the Council and its Committees. The Council's Protocol for Member/Officer Relations establishes the standards for effective working relations.

Mutual respect between Elected Members and Officers is essential to good local government. Close personal familiarity or hostility between individual Elected Members and Officers can

damage working relations and may be perceived wrongly or be embarrassing to others.

## **5.2 The Public and Service Users**

Employees may have contact with members of the public as users of services, clients or citizens and should always behave in a courteous and helpful manner and in accordance with professional standards. Each member of the public should be treated fairly, equitably and consistently, in accordance with the principles of the Council's equality and diversity policies. The Council operates a Complaints Procedure to deal with dissatisfied service users in a consistent and fair manner.

## **5.3 Conduct towards Colleagues**

Employees should respect each other, different beliefs and opinions, and behave in an appropriate manner at work.

The Council's Disciplinary Policy identifies discrimination and harassment as serious misconduct and such practice is unacceptable.

## **5.4 Voluntary Bodies or Organisations**

The Council recognises the vital contribution which voluntary sector organisations make to sustaining and improving the quality of life in the area and is keen to build on the good relationships which have been established over the years.

Relationships with voluntary organisations may be two-fold: employees may be a volunteer within the organisation, or provide support to voluntary bodies as part of their job. If employees are a volunteer with a voluntary body or organisation, employees should ensure that there is no conflict of interest regarding their job. If, through work on behalf of the Council, employees are asked for assistance from a voluntary or charitable organisation, employees should seek advice from their manager as to appropriate practice within their work area.

## **5.5 Partner Organisations**

The Council is committed to working in partnership with other organisations. This will involve building close working relations with employees of other organisations, and sustaining good working relations will be vital.

# **6. CONFIDENTIALITY**

## **6.1 General Duty**

Employees must respect the confidentiality of information which comes into their possession in the course of their work. This is the case both in and out of the workplace. Information may relate to service users, other employees and certain other Council matters e.g. tendering and contracts. Releasing confidential information is a very serious matter and employees should check, with their manager, if release is appropriate, before giving information to a third party.

The Council is bound by the provisions of various pieces of legislation including Data Protection and Freedom of Information Acts in respect of any information it holds which relates to

individuals. There is a general duty that information shall be obtained and processed fairly and lawfully and held for one or more specified and lawful purpose. There are specific restrictions on the use and disclosure of such information and guidance should be sought from the Council's Data Protection/Information Protection Officer, or the Records Management Officer.

## **6.2 Committee Proceedings**

The Council is a democratic organisation, which is publicly accountable, and as such the Council's Committee proceedings are subject to public scrutiny. Employees should not communicate information regarding any proceedings of a Committee meeting or the contents of any document relating to the Council, unless required under the provisions of the Local Government (Access to Information) Act 1985 or authorised to do so. Employees must comply with all relevant policies, frameworks and legislative restrictions when presenting information in a public committee/council forum.

## **6.3 Private Information Relating to Employees**

Information concerning an employee's private affairs will not be supplied to any person outwith the service of the Council without their prior consent. This does not apply, however, where there is a statutory requirement, court order, warrant, or as required by Audit Scotland as part of ongoing work on the National Fraud/or other relevant Initiative.

## **7. POLITICAL NEUTRALITY**

Employees should carry out their duties and serve the Council and all Elected Members, regardless of their personal political outlook, and act in a politically neutral way.

A number of posts are "politically restricted" in terms of the Local Government and Housing Act 1989 and employees holding these posts will have been advised of the political restriction. Employees in these posts are disqualified from becoming or remaining, a member of a Local Authority, Scottish Parliament, House of Commons, European Parliament or carrying out certain political activities.

If an employee is asked by an Elected Member to provide assistance with a matter which is clearly party political, or which does not have a clear link with the work of the Council, employees should politely refuse and explain that the matter has to be referred to their line manager. The Protocol for Member/Officer relations should be referred to in these situations.

Some employees will have a close working relationship with Elected Members of the majority group(s) which form the administration of the Council. Political groups may seek advice from employees in which case the following procedure should be adopted:

The office bearers of the political group should contact the Chief Executive and outline the type of advice they are seeking.

The Chief Executive will decide whether attendance at the political group is appropriate and which employee(s) should attend. Once the employee has given advice to the political group they must leave the meeting before any decision is made. Strict confidentiality must be

observed by the employee. The discussion in one political group must not be revealed to another.

## **8. CONFLICT OF INTEREST**

### **8.1 Private Interests**

Council employees must not allow any private interest to influence their decisions at work and must not use their position to further their own interests or the interests of others who do not have a right to benefit under Council policies. Any interest in the work of the Council, on the part of the employee, must be declared. Additionally, if an employee is involved in any work for the Council in which close members of their family, friends or people living in the same household may have financial interests, these interests must be declared to and recorded by their line manager. If an employee is in any doubt about the relevance of private interests they should clarify the position with their manager. Further information is contained within the [Guidance on Offers of Gifts, Hospitality & Declaring Interests](#).

### **8.2 Instructions for Procurement**

Employees involved in procurement must follow the Standing Orders, Financial Regulations and the Procurement Requirements published on the procurement pages on the intranet. These documents govern all procurement sourcing activity within the Council.

The instructions will drive strong and consistent commercial behaviour requiring:

- Early collaboration between the service areas, Strategic Leads and the Corporate Procurement Unit (CPU);
- Clearly defined roles and responsibilities between the CPU and the service areas;
- The selection and use of suppliers using standard terms and conditions (where appropriate);
- The aggregation and constructive challenge of common requirements across all areas of Council spend and the challenge of the use of non-approved suppliers; and
- The highest levels of accountability, equity, professional competence, integrity and ethical standards.

The Standing Orders, Financial Regulations and the Procurement Requirements apply to all third party supplier engagement; all Strategic Areas and employees engaged in the procurement of supplies, services and works on behalf of the Council.

Non-compliance with the Standing Orders, Financial Regulations and the Procurement Requirements will be reported to the appropriate Strategic Director. In instances of non-compliance, disciplinary action may be taken under the Council's disciplinary procedures.

A personal interest with a supplier/contract would be any financial interest with the supplier or in the contract, if members of the employee's family or people living within the same household have such an interest or if there is a close personal friendship with the supplier or the

owners/Directors of the supplier.

Where Senior Managers have a personal interest with a supplier, they must notify their Strategic Lead/Director in writing, if it comes to their knowledge that a contract, whether direct or indirect, has been or is about to be, entered into by the Council.

For all other employees, where they have a personal interest in the outcome of a contract, they must notify their Strategic Lead/Director prior to beginning the procurement process.

In all such circumstances where a disclosure is made, the manager will agree alternative arrangements to remove the officer from any further involvement in the contract to avoid perceived or actual conflict. All actions will be recorded and held by the relevant Strategic Lead.

Employees must not disclose confidential information on either internal or external contractors to any individual or organisation unless authorised to do so.

Any employee who has both a “client” and “contractor” responsibility in the tendering process (especially if working in particularly sensitive areas) may be required to enter into restrictive covenants – prohibiting the employee from partaking in any personal activities with the supplier during the contract duration and an additional 12 months.

### **8.3 Membership of Private Clubs/Organisations or Work with Voluntary Groups**

Any membership of a private club/organisation or work with a voluntary group, which might result in a conflict of interest in relation to any aspect of employment with the Council must be declared to the line manager. This still applies even where membership of organisations/clubs is not open to the public.

### **8.4 Paid Work Outside the Council**

The Council will allow employees to undertake paid work outside the Council, unless there is a clear conflict of interest, or it is likely to have an adverse effect on the work of the Council. To help protect the integrity of services the Council seeks co-operation from employees through being advised of any paid external work/employment, which could cause any conflict of interest, or impair performance in the work of the Council. Where an employee is unsure as to whether there could be an impact, advice should be sought from their manager or HR.

Employees are not allowed to use the equipment or resources of the Council in any outside paid work.

### **8.5 The Giving of Lectures, Broadcasts etc.**

The Council will normally allow employees to accept invitations to give lectures appropriate to their professional/occupational standing. However, an employee should first obtain approval from their Strategic Lead.

Any fees received for lectures, broadcasts etc. given within normal working hours, excluding out of pocket expenses will be paid to the Council, otherwise time taken to present the lecture, and broadcast etc. must be set against the employee’s annual leave entitlement. Fees may be

retained for any lectures, broadcasts etc. given out-with normal working hours.

## **9. USE OF COUNCIL EQUIPMENT OR RESOURCES**

Employees wishing to use Council equipment for example to work at home as part of their personal development or for study purposes, must obtain permission from their manager and have the item logged out in accordance with inventory or service arrangements. Employees must take reasonable care to ensure the security and condition of equipment in their care.

Equipment such as power tools, grass cutting machines or similar will not be loaned out as there are significant risks associated with their use and maintenance away from the workplace. Personal use of such equipment is not permitted under any circumstances.

## **10. DISCLOSURE OF INFORMATION**

### **10.1 Local Government Access to Information) Act 1985**

The public's right to obtain information held by local authorities is provided by the Local Government (Access to Information) Act 1985. This Act allows, with certain exceptions, for the public to attend most Council meetings and inspect documents prepared or provided in connection with the business discussed at those meetings. It also permits a person entitled to inspect a document to make copies of, or extracts from it, or request a photocopy (paying a reasonable fee). This includes areas such as planning and housing.

As well as having the same rights as members of the public in this regard, Elected Members have the right of access to information on a "need to know" basis.

### **10.2 Data Protection Act 1998**

The right of access to personal information held by the Council whether on employees, or service users, is covered by the Data Protection Act. The Act places strict requirements on the Council with regard to the security of personal data held, whether this is paper based or in electronic format. This means that an employee asked by an individual to provide access to personal information held by the Council about them must seek advice from their manager or from the appointed Data Protection/Information Protection Officer and follow an agreed procedure.

Generally any request must be made in writing, and proof of identity will be required before the access is provided.

### **10.3 Freedom of Information (Scotland) Act 2002 (FOISA)**

The FOISA provides a general right of access to information held by the Council. The Council's FOI Procedure is available from the Council's Intranet site. Employees who receive a request should refer this to their Strategic Area FOI Officer.

## **10.4 Contact with the Media**

Employees must not deal directly with the press or media in matters relating to the Council, unless required to do so as part of their duties, or where expressly authorised to do so. This provision does not apply to employees who are acting in their capacity as an accredited Trade Union official and are communicating the views of their trade union.

However, all contact with the media (press/television/radio) regarding “sensitive” or “confidential” issues should be made through the Manager of Corporate Communications.

Examples of these circumstances may include:

- Disclosing information relating to a Service User;
- Disclosing ‘confidential’ information received during the course of employment;
- Disclosing commercially sensitive information;
- Unauthorised disclosure of personal information relating to an employee of the Council; or
- Disclosing information relating to a Health and Safety incident.

If an employee is in doubt they should refer to the Council’s Communication Code or contact the Corporate Communications Team.

Any employee wishing to disclose information in the public interest should use the Public Interest Disclosure Policy described in 10.5.

## **10.5 Reporting concerns in the Public Interest**

If an employee becomes aware of any wrongdoing, malpractice or improper behaviour within the Council which is in the public interest, they can raise the matter through the Public Interest Disclosure Policy. A disclosure in the public interest is where an employee has a concern about a danger or illegality that has a public interest aspect to it; usually because it threatens others such as the local community, service users or other employees.

A qualifying disclosure is a concern about malpractice. This includes concerns such as:

- Criminal offences (such as fraud or corruption)
- A failure to comply with a legal obligation including statutory codes of practice
- A miscarriage of justice
- Threats to an individual’s health and safety
- Damage to the environment
- Unethical conduct
- A deliberate attempt to cover up any of the above.

If an employee is in doubt as to whether the matter is covered by the policy, advice is available from Strategic Leads, Strategic Directors, the Council Monitoring Officer, Internal Audit and the Trades Unions.

Employees should report any concerns as soon as possible using the appropriate reporting route. An employee is not expected to carry out any personal investigations to gather evidence. Employees are encouraged to disclose information through the appropriate internal



channels first, rather than going directly to an outside body.

Employees making a disclosure in the public interest will be protected against being subjected to any detriment such as dismissal, harassment, victimisation or any other form of punitive sanction when a disclosure is made in good faith and the disclosure is deemed as a qualifying and protected disclosure.

## **11. RIGHTS AS A CITIZEN**

### **11.1 Expression of Personal Views**

It is recognised that, as a citizen, an employee is entitled to express views about the Council. However, this does not include making use of any information gained through working for the Council. Employees who hold a politically restricted post should be careful not to speak in public in favour of any particular political party.

In their work capacity, employees should not criticise the Council either through the media, at a public meeting or in any written communication with members of the public.

### **11.2 Access to Elected Members**

As a citizen, an employee can raise with their Councillor any complaint which they have about the services of the Council. However, if the complaint concerns any aspect of the employee's work with the Council, this should be pursued through the Grievance Procedures.

## **12. REGISTER OF GIFTS, HOSPITALITY AND SERVICES**

Generally, no employee should accept gifts, gratuities etc., from any customer or service user other than a token item. Any which are accepted or refused should be registered with their Strategic Lead.

No employee should accept personal gifts, hospitality or services from anyone which would, or might appear to, place that individual under any obligation.

It is a matter for the individual to decide if it is appropriate to accept a personal gift, hospitality or services. If there is any doubt, an employee should clarify this with their Strategic Lead.

Personal gifts, hospitality or services which are accepted or refused should be registered.

It is a matter for the recipient to determine the value. If an employee is in any doubt, this should be clarified with their line manager.

Frequent personal gifts, hospitality or services should not be accepted from the same source.

The Register will be held by each Strategic Lead and an employee can see their entries at any time. However, no access will be allowed to other entries.

Further information is contained within [Guidance on Offers of Gifts, Hospitality & Declaring](#)

### **13. EQUALITY OF OPPORTUNITIES**

The Council complies with specific public sector equality duties. The Council aims to prevent unlawful discrimination, harassment and victimisation and other conduct prohibited by the Equalities Act. This will be achieved through:

- Removing or minimising disadvantages suffered by people due to their protected characteristics.
- Taking steps to meet the needs of people from protected groups where these are different from the needs of other people.
- Encouraging people from protected groups to participate in public life or in other activities where their participation is disproportionately low.

The Council has developed a range of employment policies intended to attract, retain, develop and support employees. As part of this commitment, the Council views discrimination, harassment or victimisation at work as a serious matter. Any employee who feels that they have been the victim of unfair treatment should make reference to the Equality and Diversity in Employment policy. Support and advice will be available from HR, line managers and trade union representatives.

# **GUIDANCE ON OFFERS OF GIFTS, HOSPITALITY AND DECLARING INTERESTS**

**Updated October 2019**

## **GUIDANCE ON OFFERS OF GIFTS, HOSPITALITY AND DECLARING INTERESTS**

### **1. GENERAL**

- 1.1 The Council's Code of Conduct for employees sets out the requirements of employees in respect of the acceptance of gifts and hospitality and the declaration of interests. This guidance is intended to provide assistance to you when considering offers of gifts and hospitality or whether to declare an interest as well as setting out how the associated Registers are maintained by or on behalf of the Chief Executive.
- 1.2 As an officer of the Council you may occasionally be placed in a position where you have to decide whether or not to accept gifts or hospitality from individuals, organisations or businesses that either are or wish to be associated with the Council. It is impossible within guidance to cover every circumstance which may arise and you are personally responsible and accountable for decisions you take when offered gifts or hospitality. This guidance, which applies to all Council employees, is designed to provide a basis for that decision making and also sets out the requirements to report and record offers of gifts and hospitality. However, if you are in any doubt about the appropriate action to take then you should seek guidance from your line manager.
- 1.3 It is imperative that the good reputation of West Dunbartonshire Council and its standing in the community be protected at all times. This will always be the prime consideration in any decisions you make regarding the acceptance of gifts or hospitality. However, this code should not be enforced in a way that is over rigid or discounts individual circumstance.

### **2. INTERPRETATION**

- 2.1 For the purpose of this guidance, Chief Officers are the Chief Executive, those officers reporting directly to them and those officers reporting to that second tier. Accordingly for most officers their Chief Officer will be their Strategic Lead, for Strategic Leads it will either be the Chief Executive or a Strategic Director and for Strategic Directors the Chief Executive. For Council employees working for West Dunbartonshire Health and Social Care Partnership the Chief Officer is the relevant contact.

### **3. GIFTS**

- 3.1 You should treat respectfully, but with caution, any offer of a gift, service or favour that is made to you, or to a member of your family, by a person or body who have, or may seek to have, commercial dealings with the Council e.g. who do, or might, provide work, goods or services to the Council, or who need some regulatory consent or decision from the Council, such as a grant, planning permission or a licence application.
- 3.2 The person or body may hope to gain preferential treatment in any dealings they have with the Council. Even if this is not the intention, acceptance could

lead others to believe this was a factor. The general rule should be to refuse or return, tactfully, offers of gifts from such persons or bodies. It is, however, recognised that the Council and its officers carry out a wide range of duties and activities within the community and that some degree of discretion is appropriate in certain circumstances. Exceptions or additional consideration should be given to the following areas:

### **Civic Gifts**

It is recognised that the offer of gifts from overseas visitors or civic dignitaries is normal practice and to refuse them could have a negative impact on the image of the Council and potentially offend visitors.

### **Community Events**

If undertaking a particular task relating to a community based event such as a school prize giving, gala day or fête openings or Scout or Boys Brigade Inspections then a token gift or hospitality can be accepted as to refuse would be likely to cause offence and could adversely affect the Council's civic role.

### **Promotional Goods**

Another exception to the general presumption to refuse gifts relates to modest gifts of a promotional nature given to a wide range of people and not uniquely to you. These gifts are usually given at Christmas time when commercial custom and practice may lead to gifts being sent to customers including Council Officers. Such gifts can include a calendar, diary or other item of office stationery and, where the gift is clearly promotional and has only modest value, it may be accepted.

### **Small Gifts offered as tokens of appreciation**

Small gifts may be accepted where refusal would cause needless offence and the giver is not seeking a decision or business from the Council but merely wishes to express thanks for advice, help or co-operation received. This would apply, for example, to a small box of chocolates offered as a thank you for excellent service or a token gift to a teacher or refuse collectors at Christmas. Similarly where small tokens are given in lieu of payment for undertaking training, presenting at conferences and the like, then these may also be accepted.

- 3.3 With the exception of token gifts of minor value (below £20), all gifts and offers of gifts shall be recorded within the Registers as described in section 5 below. If, however, minor gifts are offered repeatedly from the same source they should be recorded and normally refused. If you are in any doubt about whether or not to accept a particular gift then advice should be sought from your line manager.

## **4. HOSPITALITY**

- 4.1 Hospitality can have many forms - lunch/dinner invitations, tickets to sporting, theatre or other events. As with Gifts, the general rule should be to refuse, tactfully, offers of hospitality from persons or bodies that are associated, or wish to be associated, with the Council commercially. Hospitality should also be refused from organisations or individuals who are seeking, or at some stage in the near future may reasonably be expected to seek, a

particular decision or action from the Council. However, hospitality and entertaining are normal business activities in particular sectors and the acceptance of such hospitality may on occasions be in the Council's interests. Further, the creation of good external relations, both inside and outside the Council's area, is an important responsibility of Senior Officers and extreme strictness could give unnecessary offence to people and organisations with whom the Council's relationship should be both professional and cordial. The decision on whether or not to accept such offers is a matter of judgement depending on the individual circumstances but the following considerations should be made:

- Is there a genuine need to impart information or represent the Council in the community?
  - Offers to attend purely social or sporting functions should be accepted only where these are part of the life of the community and where the Council should be seen to be represented.
  - Is it clearly evident that the work of the Council will be facilitated by attending?
  - Is there an opportunity to promote the Council's image or standing in the community or in the business sector by accepting the hospitality?
  - Is the offer of hospitality proportionate to the benefit to the Council?
  - Is the offer of hospitality made to a group or is it unique to you? It may be more reasonable to join in hospitality offered to a group than to accept something offered to oneself.
  - Will the acceptance of the hospitality prejudice, in any way, the good standing and reputation of the Council in the community?
  - If a contractual relationship exists with the provider of hospitality is this likely to be compromised by the acceptance of hospitality?
  - Can the decision be easily justified to the Council, press or the public?
  - Is the motivation behind the invitation or offer absolutely clear?
  - Could any decision of the Council either now or in the future be prejudiced in any way by the acceptance or otherwise of the offer?
  - Is the person or body involved in competitive bidding for Council work or support on which decisions will be taken in the immediate future?
- 4.2 It is unlikely that there will ever be a situation where offers of hospitality which involve a significant amount of paid travel or residential stays for leisure purposes would ever be acceptable.
- 4.3 You must never canvass or ask for hospitality, even in the belief that this may save the Council money. There is too much scope for misinterpretation of intentions and uncertainty about your impartiality.

- 4.4 All offers of hospitality should be reported to the relevant Chief Officer (see 2.1 above) and recorded timeously within the Register described in paragraphs 5.1-5.3 below.

## **5. REGISTER OF OFFERS OF GIFTS OR HOSPITALITY**

- 5.1 How the Council deals with offers of gifts or hospitality can be open to public scrutiny. You must report the offer of any gifts or hospitality to your Chief Officer (2.1 above). Each Strategic area must have in place a Register within which reports will be recorded, on the form annexed, of all offers of gifts and hospitality and whether it has been decided that they should be accepted or refused. If you accept an offer you must detail your justification for your acceptance on the form.
- 5.2 The Chief Executive will retain a similar Register within which they will record offers of gifts or hospitality made to the Chief Executive and to their direct reports. Entries on the Register for the Chief Executive will be inspected by the Strategic Lead – Regulatory Services, as the Council's Monitoring Officer.
- 5.3 In the case of schools, employees will require to report to the Head Teacher on the offer of any gifts or hospitality, and it will be the responsibility of the Head Teacher to maintain the appropriate Register. Offers of gifts and hospitality made to Head Teachers themselves must be reported to the Strategic Lead – Education, Learning and Attainment as the Council's Chief Education Officer.
- 5.4 A form for recording offers of gifts and hospitality is attached as Appendix 1.
- 5.5 All registers maintained for the purpose of recording offers of gifts or hospitality may be made available to the public, Chief Executive and Internal Audit.

## **6. CORRUPTION**

- 6.1 It is a serious criminal and disciplinary offence for you to corruptly receive any gift, loan, fee, reward or other advantage for doing, or not doing anything in your official capacity.
- 6.2 If an allegation is made, it is for you to demonstrate that any such reward has not been corruptly obtained.
- 6.3 You must report immediately to your Chief Officer if you are concerned that an individual or organisation has made you an offer of a gift or hospitality with a view to gaining preferential treatment in their dealings with the Council.

## **7. CONFLICT OF INTEREST**

- 7.1 It is likely that you or your family and friends will have dealings with the Council in a private capacity, for example as a Council taxpayer, applicant for a regulatory consent or decision or as a recipient of Council services. You must never use your position to seek preferential treatment for or further the interests of yourself or your family and associates. If you are involved in any

work for the Council in which close members of your family, friends or people living in the same household as you may have financial interests these interests must be declared to and recorded by your line manager. Similarly s68 of the Local Government (Scotland) Act 1973 requires you to give notice in writing to the Council if you have any financial interest in a contract the Council has or proposes to enter into. The code of conduct also requires you to give notice of any personal interest in any such contract. Such notice should be given to your Chief Officer and failure to do so is an offence. Any breaches may be dealt with in accordance with the Council's Disciplinary Policy.

- 7.2 Chief Officers (as defined in Paragraph 2.1 above) are required to make an annual return including a nil return if appropriate, of any financial interests in contracts the Council has or is proposing to enter into. These returns will be made to the Chief Executive or, for the Chief Executive, the Strategic Lead – Regulatory Services, as the Council's Monitoring Officer. A form for recording declarations is attached as Appendix 2. All completed forms may be made available to the public, Chief Executive and Internal Audit.
- 7.3 As outlined in the Code of Conduct, paragraph 8.2, where such declarations are made as set out in paragraphs 7.1. and 7.2 above, it is incumbent on the manager to ensure that alternative arrangements are made to avoid further involvement in any contract and with the supplier in relation to said contract(s). These actions must be recorded with the disclosure and retained in the relevant Chief Officer Register.

## **8. RETENTION**

- 8.1 All Declarations made in accordance with this guidance shall be retained for five years following the end of the financial year to which they relate, and thereafter destroyed.



Register of Gifts and Hospitality offered Officer Entry			
Name of Officer			
Designation			
Name(s) of person(s) or organisation(s) making or offering gift or hospitality			
Describe the gift, hospitality, or service offered  (Provide details of the gift, etc. including relevant date(s))			
Estimated value of gift, hospitality or service *			
Have you accepted the gift, hospitality or service offered? *	Yes <input type="checkbox"/> No <input type="checkbox"/>	Have you attached a copy of the invitation, offer, etc.?	Yes <input type="checkbox"/> No <input type="checkbox"/>
Does the individual/organisation currently have, or previously had, or is likely to have, dealings with the Council – and if so, specify*			
Decision on whether the offer of the Gift/Hospitality/Service is to be accepted and, if accepted, justification for the acceptance*			
Any additional comments			
Signature of Officer			
Date			
Signature of Officer to whom disclosure made			
Date of disclosure			

### **Guidelines for Appendix 1**

1. No member or employee should accept personal gifts, hospitality or services from anyone which would, or might appear to, place them under any obligation.
2. It is a matter for the individual to decide if it is appropriate to accept personal gifts, hospitality or services.
3. It is a matter for the recipient to determine the estimated value.
4. You should not accept frequent personal gifts, hospitality or services from the same source.
5. The Register will be held by each Strategic Lead. You can see your own entries at any time. No access will be available to any other unless under Freedom of Information Legislation.

Register of Interests	
Officer Entry	
Name of Officer	
Designation	
<b>Section 2 – Declaration of Interest</b>	
Financial (officer)	<input type="checkbox"/>
Financial (close family member / friend)	<input type="checkbox"/>
None <input type="checkbox"/>	
<b>Section 3 – Explanation of Potential Conflict</b>	
Please provide as much detail as possible and explain why you consider this is or could be interpreted as a potential conflict of interest. (Continue on separate page if necessary).	
<b>Section 4 – Alternative Arrangements to avoid Potential Conflict</b>	
Please provide as much detail as possible and include all actions taken to avoid involvement with the contract(s) and supplier in relation to same where appropriate. (Continue on separate page if necessary).	
Signature of Officer	
Date	
Any additional comments	
Signature of Officer to whom disclosure made ( if applicable)	
Date of disclosure	



## WEST DUNBARTONSHIRE COUNCIL

### Report by the Strategic Lead of People and Technology

**Corporate Services Committee: 13 November 2019**

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**Subject: Revised Employer Discretions - Local Government Pension Scheme (Scotland)**

#### **1. Purpose**

- 1.1** The purpose of this report is to update Committee on the review of the Council's Statement of Policy, and the proposed revisions to the Statement.

#### **2. Recommendations**

- 2.1** It is recommended that Committee:

- (1) note the content of this report;
- (2) approve the recommended revisions to the Statement of Policy on Discretions;

#### **3. Background**

- 3.1** At the Corporate Services Committee meeting in August, delegated authority was granted to the Strategic Lead of People and Technology, to make the necessary technical changes to the Council's discretions on receipt of the master policy document from Strathclyde Pension Fund Office (SPFO). However, consideration of the master document prompted additional policy statements to be formulated. These statements, confirming the Council's approach to the discretions now require committee approval. The revised Council Statement of Policy is therefore appended to this report.
- 3.2** The discretions available to the council are reviewed periodically as required. The nature of the most recent revisions reflects the current financial climate, while also maximising the opportunities available to employees in accordance with the LGPS (Scotland) Regulations.

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

- 4.1** The revised statement (Appendix 1) details the specific changes. Those discretions approved in August and the further proposed revisions are clearly identified.

##### **Changes to the Master Statement of Policy**

- 4.2** The Master Statement of Policy from SPFO included all Regulation amendments since the previous version was published in 2015. This resulted in the following:
- the removal of obsolete regulations and an associated change to regulation referencing;

- the addition of new discretions in relation to those who ceased active membership on or after 1<sup>st</sup> April 2015 and before 30<sup>th</sup> June 2015; and therefore
- a requirement to update the Council's obligations, policy decision and the associated regulations.

#### Amended Council Policy Statements

- 4.3** Prior to the introduction of the 2015 Regulations, members who moved from one authority to another had the responsibility of transferring their pension to the new employer (should they wish to do so) within 12 months. The introduction of the care scheme confirmed this aggregation would be automatic, with members being able to opt out within 12 months. This provision was previously included in R85 (transfer values) and is now contained in R22. The policy has been revised to reflect that 'the Council will not normally extend the 12 month time limit but may do so in exceptional circumstances. Each case will be considered on its' merits'.
- 4.4** The second amendment is TP10 (6) which relates to pre 2015 deferred benefits for members who re-joined post 31<sup>st</sup> March 2015, allowing them to purchase an amount of CARE (career average revalued earnings) pension. The policy has been revised to reflect that 'the Council will not normally extend the 12 month time limit but may do so if exceptional circumstances can be demonstrated. Each case will be considered on its merits' best managing the associated costs.
- 4.5** As previously reported , in June 2019 the LGPS Regulations changed to allow members to voluntarily retire from age 55 with an actuarial reduction, without their employer's consent.
- 4.6** Having considered this provision further, it is proposed that the Council statement in respect of R2 29 is adopted as a discretion and enables the waiver of the actuarial reduction, in whole or in part, if this is demonstrated to be advantageous to the Council or in its' operational interest. This will also involve consideration of the associated protections. Adopting this waiver provides an alternative mechanism for those wishing to leave on a voluntary basis, where added years is not appropriate and / or financially viable.
- 4.7** The discretions associated with flexible retirement have also been revised to allow the waiver of the actuarial reduction, in whole or in part, if this is demonstrated to be advantageous to the Council or in its' operational interest.
- 4.8** In recognition of the financial climate, the compensatory award table, used where employees are not of pension age or non-members of an occupational scheme, has been amended, reducing the maximum weeks from 60 to 45 weeks. This retains an enhancement of 1.5 times the weeks available under statutory redundancy terms.

- 4.9** To increase the flexibility associated with early release and compensatory added years, regulation D8 (1) has been revised to allow alternative offers to be made that comply with best value principles. Regulation D4 1 has also been revised to clarify that the weekly pay cap will be used for statutory redundancy payments.

### **People Implications**

- 5.1** The majority of these changes offer positive opportunities for employees by increasing the flexibility and benefits available. Subject to approval, the scheme document will be published on the Council's intranet and provided to SPFO as required by the Regulations.

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

- 6.1** The regulation changes to the statement of policy have no added financial impact or procurement implications. The policy statements aim to realise savings or have a cost neutral impact. This can be varied in specified circumstances.
- 6.2** The change to the maximum weeks in the compensation table reduces the financial liability associated with release under this discretion.
- 6.3** In overall terms, the policy statement covers all employer discretionary enhancements. The decision to consider any discretionary enhancement would have a financial impact if, and when the discretion was applied. Early release incurring a financial cost to the Council must always be supported by a business case, clearly demonstrating that costs are offset by savings in subsequent years. This is reflected in the agreed cost benefit analysis process and a bi-annual report is submitted to this Committee confirming all early departures, costs and savings generated.

## **7. Risk Analysis**

- 7.1** In determining application of discretions, the Council must strive to maintain public confidence in the manner in which it exercises these powers. Ensuring the application is open, transparent and cost effective will minimise the risk of public confidence diminishing.

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

- 8.1** Discretions available under the LGPS are determined by Regulation, with employers thereafter determining whether or not to exercise specific discretions.
- 8.2** A number of discretions are age specific and apply to those employees aged 55 (age 50 for protected members) or over. While this is a requirement of the regulations, age specific discretions will advantage those older than 55 (age 50 for protected members). To mitigate this, all discretion will be applied in a fair, consistent and transparent manner.

## **9. Consultation**

**9.1** The Trades Unions are aware of the requirement to review and re-publish and were informed of these most recent changes at the October convenors meeting.

## **10. Strategic Assessment**

**10.1** Application of discretions supports the Council to adjust its' workforce profile to changing circumstances. Discretions should be applied in a fair and transparent manner, give value for money to the Council and secure service delivery without putting unnecessary financial strain on the Council.

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**Victoria Rogers**  
**Strategic Lead of People and Technology**  
**Date: 18<sup>th</sup> October 2019**

**Person to Contact:** Geraldine Lyden, HR Business Partner.  
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Email:Geraldine.lyden@west-dunbarton.gov.uk

**Appendices:** Appendix 1 – West Dunbartonshire Council Policy Statement LGPS 2019

**Background Papers:** CS Committee report: Revised Employer Discretions - Local Government Pension Scheme (Scotland) – 21<sup>st</sup> August 2019

**Wards Affected:** All





## Appendix 1

### West Dunbartonshire Council Policy Statement Local Government Pension Scheme (Scotland) Regulations 2018

Version 3 15th October 2019

(Appendix to Corporate Services Committee Report, 13 November 2019)

Replaces previous version approved 21 August 2019

**Employer:** West Dunbartonshire Council

**Lead officer (for any questions):** Victoria Rogers, Strategic Lead of People and Technology

**Contact details of lead officer:** 07795 266028 (work mobile)

**Date of policy statement:** 18th October 2019

**Date for review:** This policy statement will be kept under review and will be revised as and when necessary to reflect changes in regulation or policy. Any changes to this policy will be communicated to the administering authority and scheme members in writing within one month of the change taking effect.

We are aware of our obligations under:

- the LGPS (Scotland) Regulations 2018
- the LGPS (Transitional Provisions and Savings) (Scotland) Regulations 2014
- the LGPS (Scotland) Regulations 2014
- the LGPS (Administration) (Scotland) Regulations 2008 (in respect of leavers between 1 April 2009 and 31 March 2015)
- the LGPS (Scotland) Regulations 1998 (in respect of leavers between 1 April 1998 and 31 March 2009)

In developing our policy statement, we are aware that the LGPC has produced a document called “Discretions Policies” that contains tips for employers, see:  
<http://www.lgpsregs.org/index.php/scotland/admin-guides>

**Note:** \* in the following tables beside a regulation denotes the discretions where we are required to have a policy statement under the regulations

Table 1 details our discretions under the LGPS (Scotland) Regulations 2018.

Table 2 details our discretions in relation to scheme members who ceased active membership on or after 01 04 15 and before 31 05 18.

Table 3 details our discretions in relation to scheme members who ceased active membership on or after 01 04 09 and before 01 04 15 P

Table 4 details our discretions under the Local Government Pension Scheme (Scotland) Regulations 1998 (as amended) in relation to pre 01 04 09 scheme leavers.

Table 5 details our discretions under the Local Government (Discretionary Payments and Injury Benefits) (Scotland) Regulations 1998 (as amended).

**TABLE 1**

**The following table details our discretions from 01 06 18 in relation to post 01 06 18 active members and post 01 06 18 31 03 15 leavers, being discretions under:**

- the Local Government Pension Scheme (Scotland) Regulations 2018 [prefix **R**]
- the Local Government Pension Scheme (Scotland) Regulations 2014 [prefix **R2**]
- the Local Government Pension Scheme (Transitional Provisions and Savings) (Scotland) Regulations 2014 [prefix **TP**]
- the Local Government Pension Scheme (Administration) (Scotland) Regulations 2008 [prefix **A**]
- the Local Government Pension Scheme (Benefits, Membership and Contributions) (Scotland) Regulations 2008 (as amended) [prefix **B**]
- the Local Government Pension Scheme (Transitional Provisions) (Scotland) Regulations 2008 [prefix **T**]
- the Local Government Pension Scheme (Scotland) Regulations 1998 (as amended) [prefix **L**]

<b>Regulation</b>	<b>Discretion</b>	<b>Employer's policy on the exercise of this discretion</b>
<b>R3(1)(b)</b>	Decide which employees to nominate for membership (admission bodies)	Not applicable to WDC as a Scheduled Body. The Council has nominated West Dunbartonshire Leisure Trust and Strathleven Regeneration Company for admitted body membership of the LGPS (No change)
<b>RSch 2, Part 2, para 12(c)</b>	Whether, in respect of an admission body providing a service in respect of outsourced work, to set off against payments due to that body any sums due from that body to the Fund	The Council will consider each case on an individual basis. (No Change)
<b>R9(1) to R9(4)</b>	Determine the rate of employee's contributions	The employee's rate of contributions will be determined in accordance with the relevant regulations (No change)
<b>R9(8) (AMENDED)</b>	Determine intervals at which employees' contributions are to be made	The frequency of employee contributions will be determined by the relevant pay cycle (No change)
<b>R16(2)(e)* &amp; R16(4)(d)*</b>	Whether, how much, and in what circumstances to contribute to a shared cost APC scheme	The Council will contribute 2/3rds of the cost to a SCAPC where election would not have been

		possible within the timescales, subject to individual circumstances (No change)
<b>R16(16)</b>	Whether to extend 30 day deadline for member to elect for a shared cost APC upon return from a period of absence from work with permission with no pensionable pay (otherwise than because of illness or injury, child-related leave or reserve force service leave)	The Council will extend the deadline, on production of evidence of extenuating circumstances, for a further 30 days, subject to individual circumstances. (No change)
<b>R17(1) &amp; definition of SCAVC in RSch 1</b>	Whether, and in what circumstances to contribute to a shared cost AVC (SCAVC) scheme.	Scheme members have access to AVC arrangement on a member-only contribution basis or through the 'salary sacrifice' shared cost AVC provision. <b>(NEW)</b>
<b>TP15(1)(b) &amp; L65(8) &amp; former L65(9)(b)</b>	Allow late application to convert scheme AVCs into membership credit i.e. allow application more than 30 days after cessation of active membership (where AVC arrangement was entered into before 30/6/05)	The Council will not exercise this discretion and application must be made within timescales. (No change)
<b>R19(2)</b>	No right to a return of contributions due to an offence of a fraudulent character or grave misconduct unless the employer directs a total or partial refund is to be made	The Council will exercise this discretion and will not direct a total or partial refund. (No change)
<b>R20(1)(b)</b>	Specify in an employee's contract what other payments or benefits, other than those specified in <b>R20(1)(a)</b> and not otherwise precluded by <b>R20(2)</b> , are to be pensionable	Elements of pay received by an employee other than those specified in these regulations and not otherwise precluded will only be pensionable if specified as such in the member's contract of employment (No change)
<b>R21(5)</b>	In determining Assumed Pensionable Pay, whether a lump sum payment made in the previous 12 months is a "regular lump sum" Note: see tip 11(iv) available from P10 of the LGPC's "Discretions Policies" document.	The Council will consider each case on its merits. (No change)
<b>R22(7B)</b>	Whether to extend the 12 month option period for a member to elect that post 2015 deferred benefits should not be aggregated with an ongoing concurrent employment	The Council will not normally extend the 12 month time limit but may do so if exceptional circumstances can be demonstrated that are in the interests of the member and at no additional cost to the

		Council. Each case will be considered on its' merits.
<b>R22(8B)</b>	Whether to extend the 12 month option period for a member to elect that post 2015 deferred benefits should not be aggregated with a new employment	The Council will not normally extend the 12 month time limit but may do so if exceptional circumstances can be demonstrated that are in the interests of the member and at no additional cost to the Council. Each case will be considered on its' merits
<b>TP10(6)</b>	Whether to extend the 12 month option period for a member to elect that pre 2015 deferred benefits for a member who re-joined post 31 March 2015 can be aggregated to purchase an amount of CARE pension	The Council will not normally extend the 12 month time limit but may do so if exceptional circumstances can be demonstrated. that are in the interests of the member and at no additional cost to the Council. Each case will be considered on its' merits.
<b>R29(7)* &amp; TP11(2) (AMENDED)</b>	Whether all or some benefits can be paid if an employee reduces their hours or grade prior to age 60 (flexible retirement) Note: see tip (iii) available from P5 of the LGPC's "Discretions Policies" document.	The Council will consider applications on an individual basis and may be granted where it can be demonstrated to be to the Council's advantage or in its' operational interest. <b>((AMENDED))</b>
<b>R29(9)* and TPSch 2, para 2(1) (AMENDED)</b>	Whether to waive, in whole or in part, any actuarial reduction on benefits paid on flexible retirement. <b>Note: any resultant strain cost from the exercise of this discretion will be charged to the employer regardless of the member's age at date of retirement.</b>	The Council will consider applications on an individual basis and may be granted where it can be demonstrated to be to the Council's advantage or in its' operational interest. <b>(AMENDED)</b>
<b>R29(9)* (AMENDED)</b>	Whether to waive, in whole or in part, actuarial reduction on benefits which a member voluntarily draws before normal pension age, other than on the grounds of flexible retirement (where the member only has post 31/3/15 membership) <b>Note: any resultant strain costs due to the exercise of this discretion will be charged to the employer regardless of</b>	The Council will consider applications on an individual basis and may be granted where it can be demonstrated to be to the Council's advantage or in its' operational interest. <b>(AMENDED)</b>

	the employee's age.	
<b>TPSch 2, paras 1(2) and 2(1)*</b>	Whether to apply the 85 year rule for a member voluntarily drawing benefits, with employer consent, on or after age 55 and before age 60 (other than on the grounds of flexible retirement).	The Council will not exercise the discretion to apply the 85 year rule on the basis of cost. (No change)
<b>TP3(1), TPSch 2, para 2(1) *</b>	Whether to waive, in whole or in part, any actuarial reduction on pre and post April 2015 benefits which a member voluntarily draws before normal pension age other than on the grounds of flexible retirement (where the member has both pre 1/4/15 and post 31/3/15 membership and is subject to the 85 year rule)	The Council will not waive the actuarial reduction applied to benefits paid early under regulation <b>TP3(1), TPSch 2, para 2(1) *</b> (No change)
<b>TP3(1), (5) and (12) TPSch 2, para 2(1) and B30(5)* (AMENDED)</b>	Whether to waive , in whole or in part, any actuarial reduction on pre and post April 2015 benefits which a member voluntarily draws before normal pension age other than on the grounds of flexible retirement (where the member has both pre 1/4/15 and post 31/3/15 membership	The Council will not waive the actuarial reduction applied to benefits paid early under regulation <b>TP3(1), (5) and (12) TPSch 2, para 2(1) *</b> (No change)
<b>R30*</b>	Whether to grant additional pension to an active member or within 6 months of ceasing to be an active member by reason of redundancy or business efficiency (by up to £5,000 p.a.)	The Council will not exercise this discretion. (No change)
<b>R89(1) &amp; (8) R89(4)</b>	Whether to apply to Scottish Ministers for a forfeiture certificate (where a member is convicted of a relevant offence) and subsequently whether to direct that benefits are to be forfeited (other than rights to GMP* – but see R92 below)	The Council will apply for a forfeiture certificate where a member is convicted of a relevant offence and, following the issue of the certificate, direct that benefits are to be forfeited. (No change)
<b>R87(2) (AMENDED)</b>	Whether to recover from the fund any monetary obligation or, if less, the value of the member's benefits (other than transferred in pension rights or AVCs / SCAVCs) where the obligation was as a result of a criminal, negligent or fraudulent act or omission in connection with the employment and as a result of which the person has left the employment.	The Council will recover from Strathclyde Pension Fund the amount of loss in cases of criminal, negligence or fraudulent acts by a member, provided that other means of recovery have been exhausted. (No change)
<b>R89 (AMENDED)</b>	Whether, if the member has committed treason or been imprisoned for at least 10 years for one or more offences under the Official Secrets Acts, forfeiture under R86 or recovery of a monetary obligation	The Council will apply for a forfeiture certificate where a member is convicted of a relevant offence and, following the issue of the

	under <b>R87</b> should deprive the member or the member's surviving spouse or civil partner of any GMP (guaranteed minimum pension) entitlement	certificate, direct that benefits are to be forfeited. (No change)
<b>R93(5)</b>	Decide whether to issue a Certificate of Protection if the member does not request one within 12 months of a reduction or restriction in pay	The Council will issue a certificate of protection of pension benefits where the member fails to apply for one. (No change)
<b>R95(1)(b) (AMENDED)</b>	Agree to bulk transfer payment	The Council will consult with SPFO and the fund actuaries in this regard. (No change)
<b>R85(6) (AMENDED)</b>	Extend normal time limit for acceptance of a transfer value beyond the 12 month time limit from joining the LGPS	The Council will not extend the normal time limit for acceptance of a transfer value beyond 12 months from joining the scheme. (No change)
<b>TP3(6), TP4(6)(c), TP8(4), TP10(2)(a), TP17(2)(b) &amp; B11(2)</b>	Whether to allow a member to select final pay period for fees to be any 3 consecutive years ending in the 10 years prior to leaving and ending on the anniversary of the date of leaving	The Council will allow a member to select final pay for fees to be any three consecutive years ending 31 <sup>st</sup> March in the 10 years prior to leaving. The Council agree that this will be done automatically by SPFO. (No change)
<b>TP3(1)(a), A43(5)</b>	Issue a certificate of protection of pension benefits where eligible non-councillor member fails to apply for one (pay cuts / restrictions occurring pre 01 04 15)	The Council will issue a certificate of protection of pension benefits where the member fails to apply for one. (No change)
<b>R2 29 (6) and 29 (9)</b>	Whether to grant application to waive all or part of the actuarial reduction applied for early payment of benefits on or after age 55	The council will consider each case on its own merits and may waive all or part of the actuarial reduction where this is demonstrated to be to the Council's advantage or in its' operational interest. activating associated protections as appropriate. (NEW)

**TABLE 2**

**The following table details discretions in relation to scheme members who ceased active membership on or after 01 04 15 and before 30 06 15, being discretions under:**

- the Local Government Pension Scheme (Administration) (Scotland) Regulations 2008 [prefix **A**]

- the Local Government Pension Scheme (Benefits, Membership and Contributions) (Scotland) Regulations 2008 (as amended) [prefix **B**]
- the Local Government Pension Scheme (Transitional Provisions) (Scotland) Regulations 2008 [prefix **T**]
- the Local Government Pension Scheme (Transitional Provisions and Savings) (Scotland) Regulations 2014 [prefix **TP**]
- the Local Government Pension Scheme (Scotland) Regulations 2014 [prefix **R2**]
- the Local Government Pension Scheme (Scotland) Regulations 2018 [prefix **R**]
- the Local Government Pension Scheme (Scotland) Regulations 1998 (as amended) [prefix **L**]

Regulation	Discretion	Employer's policy on the exercise of this discretion
<b>TP15(1)(b) &amp; L65(8) &amp; former L65(9)(b)</b>	Allow late application to convert scheme AVCs into membership credit i.e. allow application more than 30 days after cessation of active membership (where AVC arrangement was entered into before 30/6/05)	The Council will not exercise this discretion and application must be made within time scales (No change)
<b>TP10(6)</b>	Whether to extend the 12 month option period for a member to elect that pre 2015 deferred benefits for a member who re-joined post 31 March 2015 can be aggregated to purchase an amount of CARE pension	The Council will not normally extend the 12 month time limit but may do so if exceptional circumstances can be demonstrated. that are in the interests of the member and at no additional cost to the Council. Each case will be considered on its merits. (NEW)
<b>R2 ~ 29(9)*</b>	Whether to waive, in whole or in part, actuarial reduction on benefits which a member voluntarily draws before normal pension age, other than on the grounds of flexible retirement (where the member only has post 31/3/15 membership) <b>Note: any resultant strain costs due to the exercise of this discretion will be charged to the employer regardless of the employee's age.</b>	The Council will consider each case on its own merits and may waive all or part of the actuarial reduction where this is demonstrated to be to the Council's advantage or in its' operational interest. <b>(AMENDED)</b>
<b>TPSch 2, paras 1(2) and 2(1)*</b>	Whether to apply the 85 year rule for a member voluntarily drawing benefits, with employer consent, on or after age 55 and before age 60 (other than on the grounds of flexible retirement).	The Council will not exercise the discretion to apply the 85 year rule on the basis of cost (No change).

<b>TP3(1), TPSch 2, para 2(1) *</b>	Whether to waive, in whole or in part, any actuarial reduction on pre and post April 2015 benefits which a member voluntarily draws before normal pension age other than on the grounds of flexible retirement (where the member has both pre 1/4/15 and post 31/3/15 membership and is subject to the 85 year rule)	The Council will not waive the actuarial reduction applied to benefits paid early under regulation <b>TP3(1), TPSch 2, para 2(1) *</b> (No change)
<b>TP3(1), (5) and (12), TPSch 2, para 2(1)</b>	Whether to waive, in whole or in part, any actuarial reduction on pre and post April 2015 benefits which a member voluntarily draws before normal pension age other than on the grounds of flexible retirement (where the member has both pre 1/4/15 and post 31/3/15 membership)	The Council will not waive the actuarial reduction applied to benefits paid early under regulation <b>TP3(1), (5) and (12), TPSch 2, para 2(1) *</b> (No change)
<b>R2 ~ 86(1) &amp; (8) R2 ~ 86(4)</b>	Whether to apply to Scottish Ministers for a forfeiture certificate (where a member is convicted of a relevant offence) and subsequently whether to direct that benefits are to be forfeited (other than rights to GMP – but see <b>R2 ~ 89</b> below)	The Council will apply for a forfeiture certificate where a member is convicted of a relevant offence and, following the issue of the certificate, direct that benefits are to be forfeited. (No change)
<b>R2 ~ 87(2)</b>	Whether to recover from the fund any monetary obligation or, if less, the value of the member's benefits (other than transferred in pension rights or AVCs / SCAVCs) where the obligation was as a result of a criminal, negligent or fraudulent act or omission in connection with the employment and as a result of which the person has left the employment.	The Council will recover from Strathclyde Pension Fund the amount of loss in cases of criminal, negligence or fraudulent acts by a member, provided that other means of recovery have been exhausted. (No change)
<b>R2 ~ 89</b>	Whether, if the member has committed treason or been imprisoned for at least 10 years for one or more offences under the Official Secrets Acts, forfeiture under <b>R90</b> or recovery of a monetary obligation under <b>R91</b> should deprive the member or the member's surviving spouse or civil partner of any GMP entitlement	The Council will apply for a forfeiture certificate where a member is convicted of a relevant offence and, following the issue of the certificate, direct that benefits are to be forfeited. (No change)
<b>R2 ~ 93(5)</b>	Decide whether to issue a Certificate of Protection if the member does not request one within 12 months of a reduction or restriction in pay	The council will issue a certificate of protection of pension benefits where the member fails to apply for one (No change)
<b>R2 ~ 95(1)(b)</b>	Agree to bulk transfer payment	The Council will consult with SPFO and the fund actuaries in this regard. (No change)



<b>TP3(6), TP4(6)(c), TP8(4), TP10(2)(a), TP17(2)(b) &amp; B11(2)</b>	Whether to allow a member to select final pay period for fees to be any 3 consecutive years ending in the 10 years prior to leaving and ending on the anniversary of the date of leaving	The Council will allow a member to select final pay for fees to be any three consecutive years ending 31 <sup>st</sup> March in the 10 years prior to leaving. The Council agree that this will be done automatically by SPFO. (No change)
<b>TP3(1)(a), A43(5)</b>	Issue a certificate of protection of pension benefits where eligible non-councillor member fails to apply for one (pay cuts / restrictions occurring pre 01 04 15)	The Council will issue a certificate of protection of pension benefits where the member fails to apply for one. (No change)
<b>R2 29 (6) and 29 (9)</b>	Whether to grant application to waive all or part of the actuarial reduction applied for early payment of benefits on or after age 55	The Council will consider each case on its' own merits and may waive all or part of the actuarial reduction where this is demonstrated to be to the Council's advantage or in its' operational interest, <b>(AMENDED)</b>

**TABLE 3**

**The following table details our discretions in relation to scheme members who ceased active membership on or after 01 04 09 and before 01 04 15, being discretions under:**

- the Local Government Pension Scheme (Administration) (Scotland) Regulations 2008 [prefix **A**]
- the Local Government Pension Scheme (Benefits, Membership and Contributions) (Scotland) Regulations 2008 (as amended) [prefix **B**]
- the Local Government Pension Scheme (Transitional Provisions) (Scotland) Regulations 2008 [prefix **T**]
- the Local Government Pension Scheme (Transitional Provisions and Savings) (Scotland) Regulations 2014 [prefix **TP**]
- the Local Government Pension Scheme (Scotland) Regulations 2014 [prefix **R2**]
- the Local Government Pension Scheme (Scotland) Regulations 2018 [prefix **R**]
- the Local Government Pension Scheme (Scotland) Regulations 1998 (as amended) [prefix **L**]

<b>Regulation</b>	<b>Discretion</b>	<b>Employer's Policy on the exercise of this discretion</b>
<b>A42(2)</b>	No right to a return of contributions due to an offence of a fraudulent character or grave misconduct unless the employer directs a total or partial refund is to be made	The Council will not direct a return of contributions in the event of an offence of a fraudulent character or grave misconduct. (No change)
<b>A43(5)</b>	Employer may issue a certificate of	The Council will issue a

	protection where an employee fails to apply for one.	certificate of protection of pension benefits where the member fails to apply for one. (No change)
<b>A45 (1) &amp; (2)</b>	Whether Contribution Equivalent Premium (CEP) in excess of the Certified Amount (CA) recovered from a refund of contributions can be recovered from the Pension Fund.	The Council will consider each case on its individual merits. (No change)
<b>A66 (2) &amp; (6) A67 (1) &amp; (2)</b>	Whether to apply for a forfeiture certificate (where a member is convicted of a relevant offence) and subsequently whether to direct that benefits are to be forfeited.	The Council will apply for a forfeiture certificate where a member is convicted of a relevant offence and, following the issue of the certificate, direct that benefits are to be forfeited. (No change)
<b>A68(2)</b>	Whether to recover from the fund any monetary obligation or, if less, the value of the member's benefits (other than transferred in pension rights or AVCs / SCAVCs) where the obligation was as a result of a criminal, negligent or fraudulent act or omission in connection with the employment and as a result of which the person has left the employment.	The Council will recover from Strathclyde Pension Fund the amount of loss in cases of criminal, negligence or fraudulent acts by a member, provided that other means of recovery have been exhausted. (No change)
<b>A70(2) &amp; (3)</b>	Whether to recover from the fund any financial loss caused by fraudulent offence or grave misconduct of an employee(who has left because of that) or amount of refund if less	The Council will recover from Strathclyde Pension Fund the amount of loss caused by fraudulent offence or grave misconduct of employee (who has left because of that), or the amount of refund if less. (No change)
<b>B11(2)</b>	Whether to allow a member to select a final pay period for fees to be any three consecutive years ending with 31 <sup>st</sup> March in the 10 years prior to leaving.	The Council will allow a member to select final pay for fees to be any three consecutive years ending 31 <sup>st</sup> March in the 10 years prior to leaving. The Council agree that this will be done automatically by SPFO. (No change)
<b>B30 (5)</b>	Whether to waive, on compassionate grounds, the actuarial reduction applied to deferred benefits paid early.	The Council will not exercise this discretion. (No change)

**TABLE 4**

The following table details our discretions under the Local Government Pension Scheme (Scotland) Regulations 1998 (as amended) in relation to pre 01 04 09 scheme leavers.

Regulation	Discretion	Employer's policy on the exercise of this discretion
<b>30 (5)*</b>	Waive, on compassionate grounds, the actuarial reduction applied to benefits paid early for a post 31 03 98 / pre 01 04 09 leaver <b>Note: any resultant strain cost from the exercise of this discretion will be charged to the employer regardless of the member's age at date of retirement.</b>	The Council will not exercise this discretion. (No change)
<b>30 (7A)*</b>	Pre 01 04 09 optants out only to get benefits paid from NRD if employer agrees.	The Council will not exercise this discretion. (No change)
<b>33 (1)(b)</b>	Decide, in the absence from a post 31 03 98 / pre 01 04 09 leaver of an election from the member within 3 months of being able to elect, which benefit is to be paid where the member would be entitled to a pension or retirement grant under 2 or more regulations in respect of the same period of Scheme membership.	The Council will consider each case on its merits. (No change)
<b>70(7)(a)</b>	Consent to a member's former employer assigning to the new employer rights under any SCAVC life assurance policy.	The Council will not exercise this discretion. (No change)
<b>87 (2)</b>	No right to return of contributions due to offence of a fraudulent character unless employer directs a total or partial refund is to be made (pre 01 04 09 leavers).	The Council will not direct a return of contributions in the event of an offence of a fraudulent character or grave misconduct. (No change)
<b>91</b>	Contribution Equivalent Premium (CEP) in excess of the Certified Amount (CA) recovered from a refund of contributions can be recovered from the Pension Fund (pre 01 04 09 leavers).	The Council will consider each case on its merits. (No change)
<b>111(2) &amp;(5) 112(1)</b>	Forfeiture of pension rights on issue of Secretary of State's certificate (pre 01 04 09 leavers).  Where forfeiture certificate is issued, direct interim payments out of Pension Fund until decision is taken to either	The Council will apply for a forfeiture certificate where a member is convicted of a relevant offence and, following the issue of the certificate, direct that benefits are to be forfeited.

	apply the certificate or to pay benefits (pre 01 04 09 leavers).	(No change)
<b>113(2)</b>	Recovery from Fund of monetary obligation owed by former employee or, if less, the value of the member's benefits (other than transferred in pension rights) (pre 01 04 09 leavers).	The Council will seek recovery from Strathclyde Pension Fund where other internal avenues have been exhausted. (No change)
<b>115(2) &amp; (3)</b>	Recovery from Fund of financial loss caused by employee, or amount of refund if less (pre 01 04 09 leavers).	The Council will seek recovery from Strathclyde Pension Fund where other internal avenues have been exhausted. (No change)

**TABLE 5**

**The following table details our discretions under the Local Government (Discretionary Payments and Injury Benefits) (Scotland) Regulations 1998 (as amended)**

<b>D 4 (1)</b>	Power to increase statutory redundancy payments above statutory weekly pay limit.	Where redundancy is linked to the award of CAY (compensatory added years), payment will be subject to the statutory weekly limit. <b>(AMENDED)</b>
<b>D 8(1)</b>	Decision on whether to award compensatory added years to an individual on retirement on efficiency / redundancy grounds.	The Council may award up to 3 added years for retirement on redundancy grounds and up to 5 years for those on efficiency grounds. Any award will be subject to cost benefit analysis and the limits of affordability at the time of proposed release. This may result in an alternative offer to comply with best value principals. <b>(AMENDED)</b>
<b>D 35</b>	Decision to award up to 104 weeks compensation instead of compensatory added years.	The Council will consider awarding compensation up to 45 weeks (using the statutory redundancy table with a multiplier of 1.5, known as the 'enhanced table'). Eligible employees will either be scheme members with at least 2

		<p>years continuous service and under 55 years (50 for protected members) or employees who are non-members of the scheme. Any award will be subject to cost benefit analysis and the limits of affordability at the time of proposed release.</p> <p><b>((AMENDED))</b></p>
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## **Commitments and Aims**

### **Statement**

The Council has a responsibility to exercise discretion in a fair, consistent, manner and act in the best interests of the organisation, the community and the pension fund. The following sections detail the Council's commitments in particular circumstances.

### **Re-employment of individuals who have left the Council through early retirement/voluntary severance.**

In line with the Accounts Commission report on "Managing Early Departures from the Scottish Public Sector", where an individual leaves the employment of the Council through early retirement/voluntary severance the individual will be unable to seek re-employment with the Council at a future date. Any re-employment of former employees would be in exceptional circumstances only and must have prior approval from the Strategic Lead of People and Technology.

### **Cost Benefit Analysis/Voluntary Early Retirement/Voluntary Severance.**

To comply with best value principles, it is the aim and commitment of West Dunbartonshire Council to set a consistent maximum pay-back period of two years for voluntary early retirement or severance.

In line with current processes, all Cost Benefit Analysis (CBA) are considered and approved on their merits, with consideration of current financial position and previous approaches. Approval is thereafter required of the Strategic Leads - People and Technology and Resources, followed by the, Chief Executive. The Council reserves the right to vary this pay-back period in exceptional circumstances and on submission of a robust business justification.

### **The application of S20 Certificate of Protection**

Regulation 22 of the Local Government Pension Scheme (Scotland) Regulations 1998 provides a degree of protection for members who suffer a reduction in their pensionable pay through circumstances out-with their control including the member's ill health. This provision is carried forward by regulation 43 of The Local Government Pension Scheme (Administration) (Scotland) Regulations 2008.

Circumstances outwith an employees control are defined as being:

- a. the employer compulsorily changed the employment resulting in a lower

- grade
- b. Job Evaluation exercise
- c. Equal pay correction
- d. Ill health
- e. Cessation of pensionable payments, compulsorily made

In the event that an employee suffers a reduction in their pensionable pay due to their own conduct (disciplinary sanctions) or circumstances in which there were other alternative options they will not be eligible or covered by this protection.

#####ENDS#####

## **WEST DUNBARTONSHIRE COUNCIL**

### **Report by Strategic Lead – Communication, Culture, Communities & Facilities**

**Corporate Services Committee: 13 November 2019**

**Subject: Annual Performance of West Dunbartonshire Leisure Trust for year to 31 March 2019**

#### **1. Purpose**

- 1.1** The purpose of this report is to present to Members the annual performance of West Dunbartonshire Leisure Trust (the Trust) during the period 01 April 2018 to 31 March 2019.

#### **2. Recommendations**

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

#### **3. Background**

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

- 3.5** In order to ensure that the Council meets its obligations to provide adequate provision of facilities for the residents of the area for recreational, sporting, cultural and social activities in terms of Section 14 of the Local Government and Planning (Scotland) Act 1982, there is a Services Agreement in place between the Council and the Leisure Trust. The Trust is paid a management fee for delivery of the services through an annual funding commitment. In 2018/19 the management fee paid to the Trust was £3.897m.
- 3.6** Council Officers work closely with the Trust to ensure that the organisation delivers services in line with the Council expectations. A variety of Performance Indicators have been agreed between the Leisure Trust and the Council. These cover issues such as participation, customer experience, online engagement, and financial performance. These are reported on by the Trust in their Annual Report.
- 3.7** All Scottish Charities (Trusts) are required by law to prepare annual accounts and submit these to Companies House and to the Office of the Scottish Charity Regulator (OSCR). West Dunbartonshire Leisure Trust complies with this requirement and their audited accounts are submitted accordingly. A copy of the accounts can be found within the Trust's 2018/19 Annual Report (as attached as Appendix 1) and also available to download from the Council's website.
- 3.8** This report is presented to Committee on behalf of WDLT by the Strategic Lead for Communications, Culture, Communities and Facilities (CCCCF). The Strategic Lead for CCCC was recently appointed as the senior officer responsible for monitoring WDLT activity on behalf of the Council.

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

##### Performance Review: April 2018 to March 2019

- 4.1** Annual Performance of the Leisure Trust has been measured against the Strategic Outcomes and associated priorities outlined on pages 7 – 9 of WDLT's Annual Report (Appendix 1). Examples include:
- i) Refurbished the gyms at the Meadow Centre and Vale Pool including a full replacement of CV (Cardio Vascular) equipment at a cost of over £198k;
  - ii) Secured £20,000 for a residential disability sports camp in partnership with Dunbartonshire Disability Sports Club;
  - iii) Achieved 12% increase in health & fitness activities;
  - iv) Delivered the Vitality Programme in care homes resulting in 3,840 attendances;
  - v) Installed a self-service kiosk at the Meadow Centre, resulting in all three main sites now having this facility



- vi) Played a key role in the development of the £3.87M Clydebank Community Sports Hub facility that opened in December 2018;

**4.2** In addition, the Trust's delivery of services is measured against a range of performance indicators agreed with the Council.

Overall, the indicators for 2018/19 show positive performance by the Leisure Trust with 76% of Indicators showing that targets have been exceeded however there were 6 Indicators (24%) where targets were not met. A few examples are outlined below however all the indicators can be seen on pages 11-13 of the aforementioned Annual Report.

**4.2.1** The two Indicators shown here are Statutory Performance Indicators which are reported to Audit Scotland each year.

a) CC1 Wet Activities

	Target	Actual	Variance
Overall Usage	435,000	391,368	-43,632
Per 1,000 Population	4,855	4,368	-487

Comparison to Last Year:	2017/18	2018/19	Variance
Overall Usage	416,555	391,368	-25,187
Per 1,000 Population	4,650	4,368	-282

Year on Year:	2014/15	2015/16	2016/17	2017/18	2018/19	5 Year Ave.
Overall Usage	371,128	380,644	370,597	416,555	391,368	386,058
Per 1,000 Population	4,107	4,213	4,136	4,650	4,368	4,295

Comments:

- 10% short of target and a 6% decrease from last year.
- When the 2018/19 figure is compared to the average for the previous 5 years it represents a 1.4% increase.
- Swimming attendances at Clydebank Leisure Centre fell following the huge increase in the centre's first 18 months of trading. Attendances were lower by 19% however both the Meadow Centre and Vale of Leven Swimming Pool saw increases. The Meadow Centre increased by 4.5% and the Vale of Leven Swimming Pool by 0.6% over the year. The Learn to Swim scheme saw an increase of 2% compared to the previous year.

b) CC2 Dry Activities

	Target	Actual	Variance
Overall Usage	565,000	638,342	73,342
Per 1,000 Population	6,307	7,014	707

Comparison to Last Year:	2017/18	2018/19	Variance
Overall Usage	555,238	638,342	83,104
Per 1,000 Population	6,198	7,014	816

Year on Year:	2014/15	2015/16	2016/17	2017/18	2018/19	5 Year Ave.
Overall Usage	448,727	436,302	410,038	555,238	638,342	497,729
Per 1,000 Population	4,966	4,829	4,577	6,198	7,014	5,517

Comments:

- 13% ahead of target and a 15% increase from last year
- When the 2018/19 figure is compared to the average for the previous 5 years it represents a 28% increase.
- Gym attendances at all three leisure centres were very similar to the previous year. Usage in the sports halls at the Meadow Centre and Clydebank Leisure Centre increased by 18%.
- The biggest growth in dryside attendances came from the group fitness class programme where a 20% increase was recorded. Both the Sports Development and Active Schools services which are held in the facilities also recorded increases in attendances.

#### 4.2.2 Overall Usage

	Target	Actual	Variance
Overall Usage	1,525,403	1,565,890	40,487

Comparison to Last Year:	2017/18	2018/19	Variance
Overall Usage	1,457,453	1,565,890	108,437

Year on Year:	2014/15	2015/16	2016/17	2017/18	2018/19	5 Year Ave.
Overall Usage	1,226,732	1,230,468	1,187,614	1,457,453	1,565,890	1,333,631

Comments:

- 2.7% ahead of target and a 7.4% increase from last year
- When the 2018/19 figure is compared to the average for the previous 5 years it represents an increase of 17.4% .
- Attendances within the three main leisure centres experienced growth of 4.9% overall. Individually the Clydebank Leisure Centre increased by 2.2%, the Meadow Centre by 8.3% and the Vale of Leven Swimming Pool by 5%.

- The use of Community Facilities within Clydebank increased slightly however within Dumbarton and Alexandria areas the centres experienced a slight decrease in use.
- The Sport Development service overall experienced a slight decrease of 1.2% despite attendances within the leisure centres increasing however the Active Schools service experienced an increase in participation of 8.1%. Usage of Outdoor Recreation Pitches increased by 17.1%

4.2.3 Staff Absence. The tables below show days lost per Full Time Equivalent employee.

Staff Absence	Target	Actual	Variance
2018/19	7.00	10.55	3.55

	2017/18	2018/19	Variance
Comparison to Last Year	8.42	10.55	2.13

	2014/15	2015/16	2016/17	2017/18	2018/19	5 Year Ave.
Year on Year:	12.83	8.60	7.58	8.42	10.55	9.60

#### Comments

- Absence is recorded as a 25% increase from last year.
- When the 2018/19 figure is compared to the average for the previous 5 years it represents a 9.9% increase.
- Ninety-nine (99) staff out of 216 employees had 100% attendance during the financial year 2018/19.
- The majority of absence is predominantly long-term and actions in line with the Attendance Management Policy are ongoing in order to promote improved attendance.

4.3 Financial monitoring of the Trust's performance takes place at regular monitoring meetings held between Council officers and Trust management. Financial performance is evaluated by analysing income and expenditure information as compared against the agreed budgets.

#### Income

4.3.1 The budgeted income target for the Leisure Trust in 2018/19 was £3,525,550. The actual Income achieved was £3,761,055 therefore the Trust achieved £235,505 income over budget. This improved performance was due mainly to increased membership sales across the 3 main sites and the success of the increased swimming lesson programme which included a Direct Debit subscription scheme.

### Expenditure

- 4.3.2 The Trust had a budgeted expenditure figure of £7,423,270 for 2018/19 however actual expenditure outturned at £7,485,415. The increased expenditure was mainly due to additional staffing costs.

### Surplus

- 4.3.3 Given the overachievement of income, less the increased expenditure and some accountancy adjustments, a resulting surplus balance of £159k was achieved for the financial year 2018/19. This sum was allocated into designated funds for future expenditure on equipment replacement and service improvements.

Further detail of the Leisure Trust's financial performance for 2018/19 is shown at pages 17-19 of the Leisure Trust's Annual Report - a copy of which is attached as Appendix 1 of this report and is also available to download from the Council's website.

- 4.4 This concludes the review of activity in 2018/19. The next annual review, which will be for 2019/20 will be presented to Committee approximately 12 months from now.
- 4.5 With regards to activity planned for 2020/21, this will come before Corporate Services Committee in February 2020 when the Trust brings forward its annual Business Plan for approval. This plan will set out what activity it will deliver on behalf of the Council based on its funding commitment for 2020/21, the views of the Trust Board, and discussions with senior Council officers.

## **5. Options Appraisal**

- 5.1 No options appraisal was required for this report.

## **6. People Implications**

- 6.1 There are no people implications relating to this report.

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

- 7.1 The Trust is paid a Management Fee for delivery of the Services through an annual Funding Commitment from the Council. The Funding Commitment is identified from an annual Delivery Plan that both the Trust and Council agree, and which sets out the resources required by the Trust to deliver the Services.
- 7.2 The Trust Management Fee for 2018/2019 was agreed at £3,897,720. There was no capital allocation to the Trust for 2018/19.
- 7.3 Financial monitoring to date indicates that the Trust's financial performance is in line with the agreed Funding Commitment and this is supported by the Trust's independently Audited Accounts.

## **8. Risk**

- 8.1** There is a risk that performance of the Trust may decline due to a number of factors, many external. Adequate monitoring and scrutiny by the Council ensures that performance issues are identified early and, where possible, actions are put into place to mitigate risk.
- 8.2** There is a risk that performance monitoring of the Trust is undermined by an inadequate suite of Performance Indicators. This has been mitigated against by undertaking regular review of PIs. The next review will feed into the annual Business Plan for the Trust which will be brought for approval to Committee in February 2020.

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

- 9.1** An equalities impact assessment is not appropriate as this report is a performance review of West Dunbartonshire Leisure Trust.

## **10. Consultation**

- 10.1** The General Manager of the Leisure Trust has been consulted in relation to this report.
- 10.2** Council Legal, Financial and Procurement officers have been consulted in relation to this report.

## **11. Strategic Assessment**

- 11.1** This report supports the following strategic priorities:
- Efficient and effective frontline services that improve the everyday lives of residents
  - Supported individuals, families and carers living independently and with dignity

**Malcolm Bennie**

**Strategic Lead - Communications, Culture, Communities and Facilities**

**Date: 10 October 2019**

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**Appendices:** West Dunbartonshire Leisure Trust Annual Report 2018/19  
<http://www.west-dunbarton.gov.uk/leisure-parks-events/west-dunbartonshire-leisure/about-west-dunbartonshire-leisure/wdl-annual-reports/>

**Background Papers:** None

**Wards Affected:** All



# West Dunbartonshire Leisure Trust

## **ANNUAL REPORT** 2018/19 and Financial Accounts

West Dunbartonshire Leisure Trust is a recognised Scottish Charity: SC 042999;  
VAT Registered: GB 129 7502; and Company Registered: SC413707





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# INTRODUCTION FROM THE CHAIRMAN

On behalf of West Dunbartonshire Leisure Trust (WDLT), I am delighted to deliver our 7th Report of the Trustees as part of the organisation's Annual Report for the year 2018/19.

2018/19 has been a challenging year for WDLT, but we are delighted to report that despite the challenges, we have had another successful year and within this report, we will highlight how as a charity we have made a difference to the lives of the people and communities that we serve in West Dunbartonshire.

We are a non-profit registered charity which means we reinvest 100% of any surplus to maintain, improve and deliver quality services and activities for the whole community to enjoy and become more active. Despite the continuing difficult economic conditions and the reduction in funding from West Dunbartonshire Council we have exceeded our operational financial targets and generated a surplus which therefore will be re-invested back into the business.

It is heartening to see that in a competitive market with challenging local demographics, WDLT continues to deliver service improvement and exceed targets, agreed in partnership with West Dunbartonshire Council to increase participation in physical activity and sport. Attendances at leisure centres increased by 5% and at community centres by 21% with overall attendances reaching over 1.5m, a further 7% increase from the previous year.

My personal thanks go to our Trustees for their leadership and support for the Management Team and Staff who once again have worked very hard in delivering these excellent results; to West Dunbartonshire Council who continue to support the Trust and whose efforts I readily acknowledge; and our many other partner organisations who have also supported our initiatives and whom we work with for shared goals.

Finally to our local communities, thank you for your continued support. We recognise that we do not always get everything right but I can assure you that we will continue to put you, at the forefront of everything we do and together we can achieve our mission of **'inspiring healthy and active communities'**.



Charles Gibson

Chair of West Dunbartonshire Leisure Trust



# REFERENCE AND ADMINISTRATIVE DETAILS

**Trustees (Directors):** James Finn (Chair & Vice Chair)  
Charles Gibson (Vice Chair & Chair)  
William Hendrie  
David McBride  
Anthony Wacławski  
David Smith  
David Marshall  
Samantha Baird  
Tony Dempster  
(Employee Representative, appointed 23 May 2019)

**General Manager:** John Anderson

**Company Secretary:** Fiona McGuigan

**Registered Office:** Alexandria Community Centre  
Main Street  
Alexandria  
G83 0NU

**Charity Number:** SC042999

**Company Number:** SC413707

**Independent Auditors:** Wylie & Bisset LLP  
168 Bath Street  
Glasgow  
G2 4TP

**Bankers:** Clydesdale Bank  
47 High Street  
Dumbarton  
G82 1LF

# REPORT OF THE TRUSTEES

for the Year Ended 31 March 2019

The Trustees present their annual report and financial statements of the charity for the year ended 31 March 2019.

The financial statements have been prepared in accordance with the accounting policies set out in note 1 to the accounts and comply with the charity's trust deed, the Charities and Trustee Investment (Scotland) Act 2005, the Charities Accounts (Scotland) Regulations 2006 (as amended), the Companies Act 2006 and Accounting and Reporting by Charities: Statement of Recommended Practice applicable to charities preparing their accounts in accordance with the Financial Reporting Standard applicable in the UK and Republic of Ireland.

The legal and administrative information on page four (4) forms part of this report.

## Objects, Mission & Values

### Charity Objects

The purposes (Charity Objects) of the Trust are as follows:

- to advance public participation in sport;
- to provide recreational facilities, and organise recreational activities with such facilities and activities being made available to members of the public at large with the object of improving their conditions of life;
- to advance education;
- to advance health;
- to advance citizenship and/or community development (which may include the promotion of civic responsibility, volunteering, the voluntary sector and/or the effectiveness or efficiency of charities);
- to relieve those in need by reason of age, ill health, disability, financial hardship or other disadvantage;
- to promote, establish, operate and/or support other similar schemes and projects which further charitable purposes;

The above Company Objects are outlined in the company's Articles of Association.

WDLT Mission Statement  
“Inspiring Active  
&  
Healthier  
Communities”

## Values

West Dunbartonshire Leisure Trust is an organisation that aspires to the highest standards in everything we do, and we adopt the following six core values to assist us achieve our mission:

### Empowerment...

by encouraging and helping you achieve your potential;

### Excellence...

by striving to be better at everything we do;

### Inclusiveness...

by removing barriers to participation;

### Innovation...

by developing new ways to offer a fun and inspirational customer experience;

### Partnerships...

by working with others towards shared goals and objectives; and

### Reliability...

by ensuring we deliver on, and exceed our promises to our customers, staff and partners.





# Strategic Outcomes & Priorities

The following highlights what our Key Strategic Outcomes and Priorities are and what we have achieved during 2018/19:

## Strategic Outcome: Grow the Business

We will build on our previous successes and maximise new opportunities to increase our business

### Financial Re-Investment

- Refurbished the gyms at the Meadow Centre and Vale Pool including a full replacement of CV (Cardio Vascular) equipment at a cost of over **£198k**;
- Surplus funds bids from Community Facilities in excess of **£20k** including Birthday party equipment, blinds, and PA equipment; and
- Over **£280k** reinvested back into our services during 2018/19.

### Increase Participation

- Over **122,000** attendances in Active Schools extra-curricular programmes.
- A record **1,400** children took part in Sports Development's individual and relay cross country championships; and
- Over **1.5M** visits during 2018/19 a **7%** increase from last year.

### Increase Health Opportunities

- Delivery of the Vitality Programme in Care Homes resulting in **3,840** attendances;
- Delivery of the **Weigh to Go Families** programme which is a family based intervention for children between 5 – 11 years and have a BMI  $\geq$  98th centile; and
- Delivered the highest retention figures for **Live Active GP Referral** programme across the whole of the Greater Glasgow & Clyde area.

### Clydebank Leisure Centre

- Hosted the **WD Community Sports Awards & Scottish Swimming's National Training Programme**;
- Income increased overall by **9%**; and
- **Annual Dance Festival** with 2 shows, 35 different performances, **400** dancers and approx. **800** parents – biggest yet

### Community Facilities

- Completing over **30 key actions** within Community Facilities Development Plan;
- Successfully opened Dumbarton Gymnastics Centre which has seen a **46%** increase in classes and a **71%** increase in the number of weekly participants; and
- Over **298,000** visits during 2018/19 a **21% increase from last year**.

### Partnership Working

- Played a lead role in the development of the **£3.87M** Clydebank Community Sports Hub facility that opened in December 2018;
- Supporting schools to achieve sportscotland's School Sport Awards – currently **1** Bronze, **10** Silver and **6** Gold; and
- Successfully organising, planning and hosting **Major Events** on behalf of WDC alongside various partner organisations including an additional event **Monte Carlo Car Rally**.

### New Services / Opportunities

- WDLT delivered and hosted Scotland's first ever **Primary Schools Open Water Event**;
- Introduction of **BMX Event** at Drumry Track with Western Titans BMX club and Socialtrack Social Enterprise with **30** children taking part; and
- Introduction of the Young Sports Stars Awards as part of the celebrations of the **Year of the Young People 2018**.

## Strategic Outcome: Improve Customer Experience

We will make continuous improvements to our customer journey by focusing on customer satisfaction, quality of service and genuinely caring about our customers

### New Technology

- Added bespoke music **Reactive Special Effect Lighting** to all three leisure centre Dance Studios;
- Introduction of the Mobile App **Waiting List** for Group Fitness Classes;
- Installed a **Self-Service Kiosk** at the Meadow Centre, resulting in all three main sites now having this facility.

### Standards, Policies & Procedures

- Creation and launch of the **Denny Civic Theatre Plan**;
- Creation and launch of new **booking procedures** for Outdoor Recreation facilities; and
- Created an **Investment Policy** and **doubled** our investment return on reserves held.

### Research & Feedback

- An achievement of a NPS Score of **78** and increase of **5%** from last year;
- Engaged an external **Mystery Customer** research company to analysis our service provision and sales processes; and
- Assisting WDC in hosting **Community Engagement sessions** as part of a WDC Community Facilities review.

### Workforce Development

- The development and introduction of a two year **Sports Stars Apprenticeship Scheme** in partnership with Dunbartonshire Disability Sports Club;
- Developed a bespoke **Attendance Management** training course and delivered this to **22** supervisory staff across the organisation; and
- **264** courses/workshops were delivered with overall staff attendance of **1,675**.

### Marketing

- Number of customers signed up to the WDLT App has risen to **6,480** a **126%** increase from last year;
- Facebook Engagement has risen by **227%** and Engaged Users by **212%**; and
- Used online marketing through Glasgow Live to promote Interactive Room and Clydebank Leisure Centre. '**Live**' video attracted over **40,000** views.



## Strategic Outcome: Financial Sustainability

We will achieve continuous improvement in the operation of the Trust and will focus on developing existing and new business opportunities in order to fulfil our strategic and

### Maximise Income Opportunities

- The Vale of Leven 10k Road Race attracted **over £7,000** in sponsorship;
- A **12%** increase in health & fitness activities; and
- Purchase of **new equipment** to enhance the current Birthday party provision within Community Facilities.

### Maximise External Funding

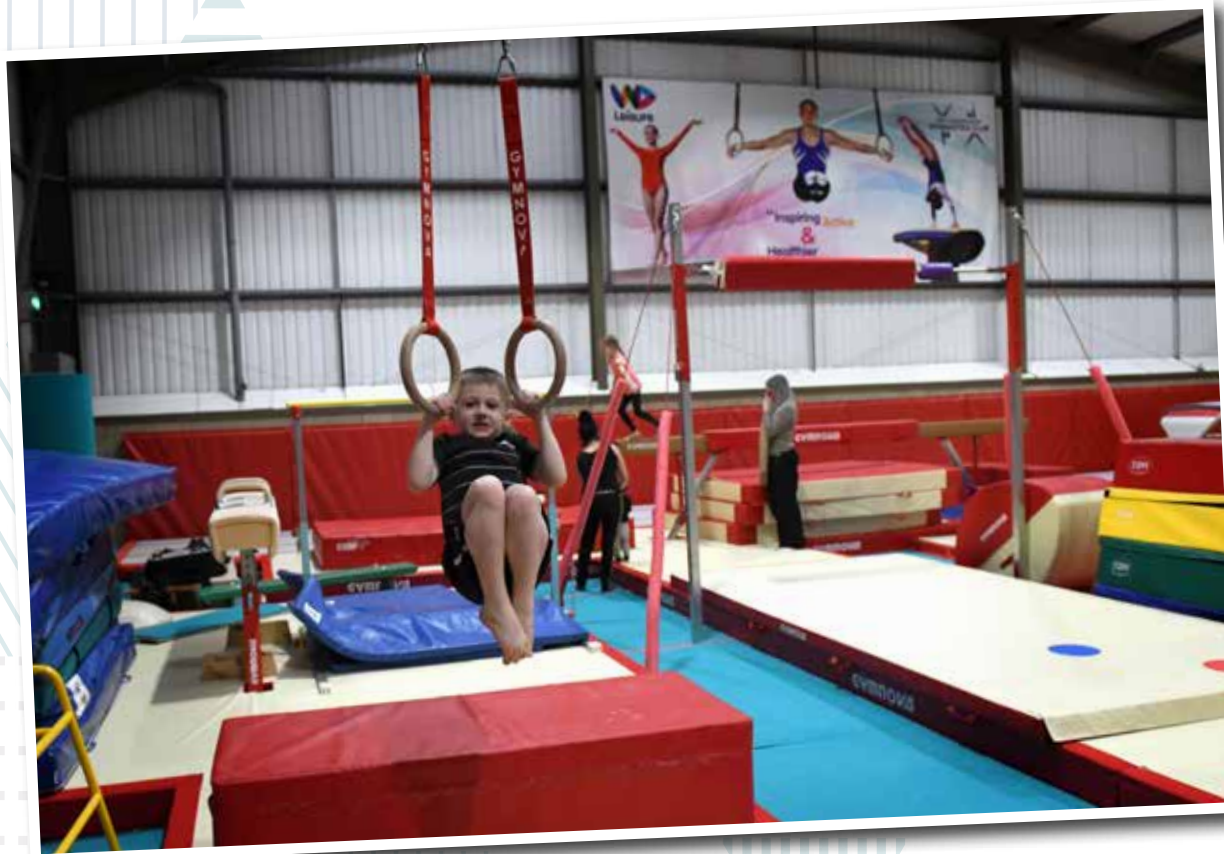
- Secured **£20,000** for a residential disability sports camp in partnership with Dunbartonshire Disability Sports Club;
- Working with Community Groups in securing over **£30k** funding; and
- Raising Attainment funding secured for **23** Summer & Spring Holiday Camps in our most deprived communities attracting **1,949** attendances.

### Work Efficiently

- Over **400** volunteers were supported by WDLT;
- New Sports Development structure providing a far more efficient and effective way for the service to work with other WDLT services and partners across West Dunbartonshire; and
- A wide range of Active Schools and Sports Development programmes including **WD School Games** held in leisure and community centres.

### Sound Governance

- Implemented the new **Debt Management Policy** including a system for accruing for bad debt within our accounts and an annual review;
- Maintained our **target reserves fund** and replenished our designated funds for future projects with a 2018/19 surplus; and
- Achieved **unqualified audited accounts** for 2018/19.





# Our Services

## 3 LEISURE CENTRES

Multi-purpose wet/dry leisure centres, one based in each main population area of West Dunbartonshire:

- Clydebank Leisure Centre • Meadow Centre, Dumbarton • Vale of Leven Swimming Pool

Over **800,000** attendances which is a **5%** increase from 2017/18

## 12 COMMUNITY FACILITIES

A range of Community Facilities based within three Cluster Areas:

- Clydebank • Dumbarton • Alexandria.

Over **298,000** attendances which is a **21%** increase from 2017/18

## 1 ENTERTAINMENT THEATRE

The Denny Civic Theatre located in Dumbarton has a seated auditorium for 340 people and hosts many local productions.

Over **23,000** attendances which is a **10%** increase from 2017/18

## 40 OUTDOOR PITCHES & PAVILIONS

- 2 Synthetic Pitches
- 23 Grass Pitches
- 12 Changing Pavilions
- 3 Outdoor Bowling Greens / Pavilions

Over **73,000** attendances which is a **17%** increase from 2017/18

## SPORTS DEVELOPMENT

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

Over **245,000** attendances which is a **1%** decrease from 2017/18

## ACTIVE SCHOOLS

Our Active Schools team aim to provide more and higher quality opportunities for children and young people to take part in sport and physical activity before, during lunchtime and after school. In addition, they work to develop effective pathways between schools and sports clubs in the local community.

Over **139,000** attendances which is a **8%** increase from 2017/18

## 6 TRAINING COURSES

- First Aid at Work • First Aid at Work Renewal • Emergency First Aid at Work
- Paediatric First Aid • Emergency Paediatric First Aid • National Pool Lifeguard Qualification

Over **250** attendances which is a **3.8%** decrease from 2017/18

## 7 OUTDOOR EVENTS

- ProAm Golf • Loch Lomond Highland Games
- Scottish Pipe Band Championships • Fire Work Displays (2)
- Christmas Lights Switch On Events (2)

Approximately **50,000** attendances

# Our Key Achievements








## Overall Attendances

Over **1.5 million attendances** at WDLT facilities and programmes which is a **7% increase** from 2017/18.

Services	2014/15	2015/16	2016/17	2017/18	2018/19	Variation from 17/18
Leisure Centres	642,672	629,049	614,348	770,835	<b>809,274</b>	<b>5%</b>
Community Facilities	281,218	279,421	234,079	247,204	<b>298,851</b>	<b>21%</b>
Sports Development	211,982	228,854	224,457	248,321	<b>245,336</b>	<b>-1%</b>
Active Schools	90,860	93,144	114,730	128,703	<b>139,311</b>	<b>8%</b>
Outdoor Recreation	-	-	-	62,390	<b>73,118</b>	<b>17%</b>
<b>Totals</b>	<b>1,226,732</b>	<b>1,230,468</b>	<b>1,187,614</b>	<b>1,457,453</b>	<b>1,565,890</b>	<b>7%</b>




## Performance Indicators

Strategic Outcome – Grow the Business

Indicator	2016/17 Actual	2017/18 Actual	2018/19 Target	2018/19 Actual	On Target	Comments
CC1 Wet Activities. No. of attendances per 1,000 population for pools	4,137	4,650	4,855	<b>4,368</b>		10% short of target and a 6% decrease from last year.
CC2 Dry Activities. No. of attendances per 1,000 population for indoor sports & leisure	4,563	6,198	6,307	<b>7,014</b>		11.2% ahead of target and a 13.2% increase from last year.
Overall Usage	1,187,614	1,457,453	1,527,003	<b>1,565,890</b>		2.5% ahead of target and a 7.4% increase from last year.
Individual Participants (All Memberships / Subscriptions)	New Indicator	19,845	20,000	<b>21,437</b>		7.2% ahead of target and a 8% increase from last year.
Individual Participants (Active Schools)	New Indicator	5,982	5,942	<b>6,032</b>		1.5% ahead of target and a 0.8% increase from last year.
DD Memberships	1,914	5,354	6,950	<b>6,481</b>		6.7% below target but a 21% increase from last year.
Number of GP Referral Consultations	1,333	1,724	1,500	<b>1,811</b>		20.7% ahead of target and a 5% increase from last year.








## Performance Indicators

### Strategic Outcome – Improve Customer Experience

Indicator	2016/17 Actual	2017/18 Actual	2018/19 Target	2018/19 Actual	On Target	Comments
How likely is it that you would refer our company to a friend or colleague	67	74	77	78		1.3% ahead of target and a 5.4% increase from last year
Number of Website Hits	404,767	541,461	550,000	405,834		26.2% below target and a 25% decrease from last year
Facebook Organic Reach	New Indicator	New Indicator	300,000	330,478		10.2% ahead of target
Number of Unique Active On Line Booking Users	3,210	4,398	5,000	5,195		3.9% ahead of target and a 18.1% increase from last year
No. of Mobile Pro Users	New Indicator	2,865	5,000	6,480		29.6% ahead of target and a 126.2% increase from last year
% of P7 Pupils that can Swim 10m	New Indicator	71%	70%	85%		15% ahead of target and 14% higher than last year
% of P7 Pupils that can Swim 25m	New Indicator	45%	40%	48%		8% ahead of target and 3% higher than last year
% of Live Active Referrals still active after 3 months	New Indicator	74%	60%	79%		19% ahead of target and 5% higher than last year
% of Live Active Referrals still active after 6 months	New Indicator	58%	49%	67%		18% ahead of target and 9% higher than last year
% of Live Active Referrals still active after 12 months	New Indicator	38%	37%	49%		12% ahead of target and 11% higher than last year
No. of Clubs WDLT Accredited	New Indicator	18	32	24		25% below target however a 33.3% increase from last year

## Performance Indicators

### Strategic Outcome – Financial Sustainability

Indicator	2016/17 Actual	2017/18 Actual	2018/19 Target	2018/19 Actual	On Target	Comments
Income – Against Target	(£9,264)	(£136,478)	£0			100% above target and a 73% increase from last year
Expenditure – Against Budget	(£206,280)	(£135,488)	£0	<b>£62,145</b>		100% below target and a 46% decrease from last year
Net (Profit) / Loss	(£215,544)	(£271,966)	£0	<b>(£159,634)</b>		100% above target however a 41% decrease from last year
% Income (Mgt Fee)	58.2%	52.5%	51.7%	<b>50.0%</b>		3% above target and a 4.8% increase from last year
% Income (Customer Receipts)	41.8%	47.5%	48.3%	<b>50.0%</b>		3% above target and a 4.8% increase from last year
Cost Per Visit (Mgt Fee)	£3.33	£2.69	£2.46	<b>£2.42</b>		1.6% below target and a 10% decrease from last year
Staff Absence (Days lost against FTE)	7.58	8.42	7.0	<b>10.55</b>		50.7% above target and a 25.3% increase from last year





### SO1: Grow the Business

We will build on our previous successes and maximise new opportunities to increase our business. Over the next three years we will set out to achieve the following:

Our Priorities	Our success will be measured if by 2020, we have:	2017/8 & 2018/19 Performance
<b>Financial Re-investment:</b> We will commit surplus funds to enhance future service delivery.	<ul style="list-style-type: none"> <li>invested a minimum of <b>£250k</b> surplus funds in our services.</li> </ul>	<ul style="list-style-type: none"> <li>After the first two years an additional <b>£57,116</b> has either been spent or committed above the £250,000 three year target.</li> </ul>
<b>Increase Participation:</b> We will attract more people and ensure our active customers access our services more often.	<ul style="list-style-type: none"> <li>increased overall attendances by a minimum of <b>25%</b> over 3 years; and</li> <li>increased the number of individual participants (by service area) by a minimum of <b>20%</b> utilising our services.</li> </ul>	<ul style="list-style-type: none"> <li>Over the last two years there has been a <b>6%</b> increase in wetside attendances; a <b>53%</b> increase in Dryside Activities; a <b>28%</b> increase in attendances within Community Facilities; a <b>21%</b> increase in Active Schools activities; and a <b>9%</b> increase in Sports Development activities</li> <li>The 20% increase in individual participants has been exceeded in both the first two years and currently has achieved a <b>160%</b> increase.</li> </ul>
<b>Increase Health Opportunities:</b> We will raise awareness of the benefits of physical activity and ensure as many opportunities as possible are made available.	<ul style="list-style-type: none"> <li><b>10%</b> growth of sustainable programmes across the services.</li> </ul>	<ul style="list-style-type: none"> <li>We are working in partnership with the Council and MacMillan Cancer with a three year project of Improving the Cancer Journey in West Dunbartonshire. This project will see a <b>10%</b> growth in programmes.</li> </ul>
<b>Clydebank Leisure Centre:</b> We will ensure the new centre achieves its potential through effective planning and by delivering an operationally sound facility.	<ul style="list-style-type: none"> <li>as a minimum, achieved budget and participation targets.</li> </ul>	<ul style="list-style-type: none"> <li>2017/18 achieved an operating surplus of <b>£30,294</b>. Participation approximately 54,000 below Target however approximately 134,000 (68%) increase from the previous year.</li> <li>2018/19 achieved an operating surplus of <b>£2,725</b>. Participation approximately <b>1,000</b> above Target and approximately 7,000 (2%) increase from the previous year.</li> </ul>
<b>Community Facilities:</b> We will look to reduce centre downtimes and utilise our own facilities for as many of our programmes as practicably feasible.	<ul style="list-style-type: none"> <li>increased non-sporting usage by <b>20%</b>; and</li> <li>increased sporting usage by <b>20%</b>.</li> </ul>	<ul style="list-style-type: none"> <li>Over the last two years there has been a <b>32%</b> increase in Non-sporting participation which has exceeded the <b>20%</b> three year target.</li> <li>Over the last two years there has been a 16% increase in Sporting participation.</li> </ul>
<b>Partnership Working:</b> We will get the maximum value out funded programmes to grow self-sustaining activities for the future.	<ul style="list-style-type: none"> <li>documented Agreements with all key partner agencies.</li> </ul>	<ul style="list-style-type: none"> <li>A full documented list of current partners has been generated and will be updated as and when agreements end and new agreements start. All current partnership agreements have been critically reviewed to ensure maximum value to WDLT and any new partnership proposals will go through this process before agreements are signed.</li> </ul>
<b>New Services / Opportunities:</b> We will keep in touch with industry trends with a view to developing and expanding services proactively.	<ul style="list-style-type: none"> <li>introduced at least <b>36</b> new programmes / projects / events / services.</li> </ul>	<ul style="list-style-type: none"> <li>A number (<b>34</b>) of new programmes / projects / events / services have already been introduced across all services.</li> </ul>

## SO2: Improve Customer Experience

We will make continuous improvements to our customer journey by focusing on customer satisfaction, quality of service and genuinely caring about our customers. Over the next three years we will set out to achieve the following:

Our Priorities	Our success will be measured if by 2020, we have:	2017/8 & 2018/19 Performance
<b>New Technology:</b> We will embrace digital technology to transform the way we do business.	<ul style="list-style-type: none"> <li>increased the use of digital technology across all services, improving customer experiences.</li> </ul>	<ul style="list-style-type: none"> <li>There has been a continual increase in new technology throughout the first two years of this Strategy including a full floor of interactive technology on the first floor of the new Clydebank Leisure Centre; the introduction of the Learn2 software allowing a customer interactive module to showcase swimming lessons; self-service kiosks in the Vale of Leven Pool and Clydebank LC to enhance customer service.</li> </ul>
<b>Standards, Policies and Procedures:</b> We will develop, update and amend our processes and systems of work to ensure high/consistent quality of service.	<ul style="list-style-type: none"> <li>achieved 100% completion of all processes, which have been reviewed and updated.</li> </ul>	<ul style="list-style-type: none"> <li>Draft corporate operating procedures produced and being distributed within WDL service areas for comments before implementation. Facility/ service-specific procedures still under development.</li> </ul>
<b>Research and Feedback:</b> We will engage with customers both current and potential to ensure continuous improvement.	<ul style="list-style-type: none"> <li>delivered the Consultation Plan.</li> </ul>	<ul style="list-style-type: none"> <li>A range of feedback has been obtained throughout the year including quarterly Net Promoter Questionnaires (across all services) resulting in an annual score of <b>78</b>; Telephone Satisfaction Surveys which resulted in a <b>88%</b> satisfaction with Leisure Centres and Community Centres throughout 2018; and regular feedback from Customer Comment forms.</li> </ul>
<b>Workforce Development:</b> We will provide opportunities for staff and volunteers to develop the skills and knowledge necessary to deliver quality services.	<ul style="list-style-type: none"> <li>delivered Staff Training and Workforce Plan.</li> </ul>	<ul style="list-style-type: none"> <li>Funding, gained via the Apprentice Levy Fund, was utilised to deliver Customer Care training to key frontline staff. The training also up skilled our training officers to carry on the delivery of this specialised training.</li> <li>The Generic training programme was also redesigned to ensure it has the maximum benefit to all staff within WDLT.</li> <li>Over the first two years <b>550</b> workshops/ training sessions/courses have been delivered with <b>3,829</b> attendees.</li> </ul>
<b>Marketing:</b> We will ensure a dynamic joined up approach to the promotion of our services to achieve maximum reach.	<ul style="list-style-type: none"> <li>delivered annual marketing plans;</li> <li>increased overall attendances by <b>25%</b>; and</li> <li>increased total operating income (net of the management fee from WDC) by <b>30%</b>.</li> </ul>	<ul style="list-style-type: none"> <li>WDLT engaged with WDC communications team to develop a new digital media plan by maximising the potential of social media and giving a real focus to this marketing medium.</li> <li>Marketing / Digital Plans have been delivered over the first two years assisting increase usage by <b>30%</b>.</li> <li>Marketing / Digital Plans have been delivered over the first two years assisting in an increase in income of <b>33%</b>.</li> </ul>

### SO3: Financial Sustainability

We will achieve continuous improvement in the operation of the Trust and will focus on developing existing and new business opportunities in order to fulfil our strategic and charitable objectives. Over the next three years we will set out to achieve the following:

Our Priorities	Our success will be measured if by 2020, we have:	2017/8 & 2018/19 Performance
<b>Maximise Income Opportunities:</b> We will develop existing income streams and generate new income.	<ul style="list-style-type: none"> <li>increased total operating income (net of the management fee from WDC) by <b>30%</b>; and</li> <li>increased the total number of direct debit memberships by <b>100%</b>.</li> </ul>	<ul style="list-style-type: none"> <li>Total operating income generated was £3,761,055 a <b>33%</b> increase.</li> <li>The opening of the new Clydebank LC; the ongoing success of the introduction of new direct debit membership packages (Gold, Silver and Bronze) at leisure centres; and the introduction of the direct debit swimming lessons has already substantially over achieved (<b>477%</b>) the 100% success measure set.</li> </ul>
<b>Maximise External Funding Opportunities:</b> We will identify and apply for external funding to enhance new and existing programmes/projects.	<ul style="list-style-type: none"> <li>generated <b>£1M</b> of operating income from external funding.</li> </ul>	<ul style="list-style-type: none"> <li>To date <b>£1,285,470</b> external funding has been generated.</li> </ul>
<b>Work Efficiently:</b> We will share resources across all services.	<ul style="list-style-type: none"> <li>achieved a balanced or surplus budget across all services year on year.</li> </ul>	<ul style="list-style-type: none"> <li>Overall a <b>£159,634 surplus</b> was achieved in 2018/19.</li> </ul>
<b>Sound Governance:</b> We will continue to develop strong organisational processes to make informed decisions and meet our legal obligations.	<ul style="list-style-type: none"> <li>achieved unqualified audited accounts year on year.</li> </ul>	<ul style="list-style-type: none"> <li>Achieved <b>unqualified audited accounts</b> for 2018/19.</li> </ul>



# Financial Review

## Financial Summary 2018/19

The Trust is pleased to report that despite the current economic climate in which we have operated in our seventh year, the financial position for the Trust has resulted in a surplus being generated allowing us to maintain our target level of reserves along with replenishing designated funds for future reinvestment projects.

In summary, the financial position during 2018/19 is noted below:

	Unrestricted / Restricted Fund	Pension Fund	Total Funds
Total income	7,658,775	(7,000)	7,651,775
Total spend on charitable activities	(7,499,141)	(965,000)	(8,464,141)
Net Movement in Funds	<b>159,634</b>	<b>(972,000)</b>	<b>(812,366)</b>
Actuarial gain	0	(1,181,000)	(1,181,000)
Net movement in funds (after retirement benefit scheme loss)	<b>159,634</b>	<b>(2,153,000)</b>	<b>(1,993,366)</b>

## Funds held at 31 March 2019:

	31 March 2019	31 March 2018
Total funds	<b>£234,238</b>	<b>£2,227,604</b>

The Unrestricted surplus was £159,634 but at the year end the multi-employer defined benefit pension scheme is in deficit by £2,153,000 and therefore the net deficit for the year is £1,993,366.

Following the seventh year of the Trust, our income has helped us to meet our charitable aims and objectives. Our year-end financial position, summarised above, provides a sound platform from which we can continue to meet our commitments.

The principle funding sources are a combination of income generated through a level of sales, fees and charges for our charitable activities £2,228,101, investment income of £16,883 and membership fees £1,505,805, as well as income of £3,897,720 from West Dunbartonshire Council (Management Fee) for our work in managing the leisure facilities and provision within the local area.



The principle sources of expenditure remain within staffing £6,471,170 with elements of spend on property £931,913, transport £34,965, administration £548,597 and payments to other bodies £125,496.

The financial activity during the year within each of the charitable areas can be summarised:

	Income	Expenditure	Surplus/(Deficit)
Leisure Facilities	2,414,216	(4,359,780)	(1,945,564)
Community Facilities	407,502	(1,346,925)	(939,423)
Sports Development	549,617	(1,015,695)	(466,078)
Active Schools	262,401	(482,930)	(220,529)
Outdoor Recreation	100,170	(293,811)	(193,641)
Management Fee	3,897,720	0	3,897,720
<b>Total</b>	<b>7,631,626</b>	<b>(7,499,141)</b>	<b>132,485</b>

## Fixed Assets

The Trust has a maintenance lease agreement with West Dunbartonshire Council for the use of the buildings linked with the charitable activities and as such the buildings do not belong to the Trust.

## Investment Policy

West Dunbartonshire Council manage investments on behalf of the Trust, following their own organisational investment policy, primarily aimed at mitigating risks associated with safeguarding funds, ensuring liquidity of those funds and finally investment return. As a result, the policy aims to invest in cash and cash-like investments up to a maximum level on acceptable counterparties. Activity is monitored regularly and the policy is reviewed annually.

Due to the limited current level of surplus funds, any funds held by the Trust are invested in an interest bearing account held with our bankers, the Clydesdale Bank. In order to increase investment income for the Trust the board agreed to reinvest a sum of £506,181 with West Dunbartonshire Council on 22 February 2019 at a fixed rate of 1.53% for one year, an additional £250,000 was invested for 6 months at a fixed rate of 1% per annum pro rata and a further £250,000 was invested on a rolling monthly basis with a variable monthly rate.



## Reserves Policy

During 2012/13, the Trust agreed a prudential reserves target of £250,000 to enable the Trust to manage financial risk and help deliver the Trust's commitments. It was recognised that this was a target to work towards and not a minimum limit; therefore the target would be monitored regularly and reviewed annually.

In 2014/2015 the reserves target was reviewed by the Audit Committee and revised to £700,000 which represented 3 months of turnover minus the management fee.

Following recommendation from external auditors a formal reserves policy was devised which was agreed by the board on 23 February 2018. The agreed policy stated that reserves would be based on 3 months turnover minus the WDC Management Fee and would be reviewed on a two yearly basis commencing with the 2017/18 annual accounts. The Trust has now reached the general reserves target of £880,000. The next planned review of the reserves target will be based on the 2019/20 annual accounts.

The reserves figure represents our total unrestricted funds of £2,163,238 (2018 £2,003,604) less designated funds as follows:

- Small Projects fund of £65,925 (2018 £90,641). The fund has been used to undertake a number of minor upgrade projects to Community Halls and Main Site Leisure Facilities. A number of projects were completed in 2018/19 including the engagement of a mystery shopper service to test our sales processes and our customer journey at main sites. The fund was increased by £40,000 last financial year to fund expected legal costs in relation to finalising lease agreements but this work has been almost fully completed at a much lower expenditure than anticipated. The fund has therefore been reduced by £20,000 to reflect this reduced spend. No additional funds have been designated from the 2018/19 surplus and the total now available is £65,925.
- Equipment replacement fund of £581,292 (2018, £586,720). This fund was set aside mainly for the replacement of the gym equipment at the main sites on a rolling basis.

As planned a major equipment replacement project was completed in 2018/19 with Cardio Vascular equipment being replaced at the Vale Pool and Meadow Centre. The Clydebank Leisure Centre opened in 2017 equipped with all new gym equipment which will therefore be due for replacement from 2022/23. Additional funds of £220,000 have been designated from the surplus created in 2018/19 leaving the balance of £581,292 available for spends planned for 2020/2021 and 2022/2023.

- Service Development Projects fund of £328,629 (2018 £312,014). This fund is to be used for larger projects within the service as per our charitable objectives that will improve the service and/or generate additional income. A number of projects have been completed in 2018/19 including installation of a ticket kiosk, refurbishing the Dance Studio at the Meadow Centre, additional training and equipment for the Interactive floor at the Clydebank Leisure Centre and installation of Wi-Fi at main sites and Trust HQ. Additional funds of £74,098 have been added to this fund from the surplus created in 2018/19 leaving the balance of this fund at £328,629.
- Fixed Assets fund of £307,392 will provide for future depreciation of Fixed Assets.



# Risk Management

There are many risks to the Trust's service delivery and these risks can affect our performance, our customers and members of the public.

Managing our risks effectively is essential in achieving our strategic outcomes and targets, creating confidence among service users and the public, and ensuring effective governance. Effective Risk Management also enables us to deliver service improvements taking account of the context and environmental factors.

As the leisure business environment is customer driven and internal and external changes to that environment ultimately influence overall performance risk factors that could have an impact on service delivery require to be identified

on an annual basis, with appropriate actions to minimise such risks.

Therefore the management team ensures an annual risk analysis is undertaken and a Risk Register with appropriate actions is identified to minimise the impact on service delivery and overall performance. This register is reviewed on a six monthly basis and reported to the Audit and Risk Committee who scrutinise the progress of the register and where appropriate report to the Board to assist in managing the risks to the Trust.

The top three external risks detailed within the Risk Register for 2018/19 and how they have been managed are as follows:

Key Risk	Existing Control Measures	Risk Management Actions
Significant reduction in West Dunbartonshire Council funding	<ul style="list-style-type: none"> <li>Regular Monitoring Meetings with WDC</li> <li>Annual Performance Report to WDC Infrastructure Committee</li> <li>On an annual basis explore options for efficiency savings and opportunities for increasing income.</li> </ul>	<ul style="list-style-type: none"> <li>Continue to explore options for efficiency savings and opportunities for increasing income.</li> </ul>
Asset portfolio does not receive necessary investment from WDC	<ul style="list-style-type: none"> <li>Annual maintenance budget for leisure centres of £115k:</li> <li>For Community Facilities of £95k and £40k pavilions (not increased since beginning of Trust);</li> <li>WDC Capital Programme</li> <li>WDC Spend to Save</li> </ul>	<ul style="list-style-type: none"> <li>Review Asset portfolio and agree with WDC what projects to be forwarded to WDC's Capital Programme for consideration.</li> <li>Submit applications to WDC's Capital Programme.</li> </ul>
Insufficient (WDC CRA) funds to carry out an effective repair and maintenance programme for premises and equipment / plant	<ul style="list-style-type: none"> <li>Maintenance Contracts in place including outdoor and 3G pitches.</li> <li>Maintenance &amp; Repairs Budget in place.</li> <li>PAT carried out.</li> <li>Preventative Maintenance programmes in place.</li> <li>Effective management of the large WDC repair and maintenance budgets. These are reviewed at regular meetings between WDLT Operational Managers and WDC maintenance officers.</li> </ul>	<ul style="list-style-type: none"> <li>Review of (WDC) Maintenance Budgets.</li> </ul>

Health and Safety is also a major risk to the organisation, therefore West Dunbartonshire Leisure Trust has a competent Health & Safety and Child Protection Officer to oversee this major area of risk to the organisation.

In addition our insurance company QBE Insurance (Europe) Ltd review our insurance cover on an annual basis to highlight any uninsured risk and exposure elements of cover that require adjusting or deleting. Insurance cover based on this assessment is in place.



# Plans for the Future

The following outlines West Dunbartonshire Leisure Trust's (WDLT) plans for the forthcoming year.

## Implementation of our Three Year Business Strategy (2017– 2020)

We will implement the Key Actions highlighted in our third and final year's Delivery Plan associated with our Business Strategy.

## Implementation of our Aquatics Strategy (2017– 2020)

We will implement the Key Actions highlighted in our third and final year's Action Plan associated with our Aquatics Strategy.

## Implementation of our Community Facilities Development Plan

We will implement the Key Actions highlighted in our third and final year's Action Plan associated with our Community Facilities Development Plan to assist us increase usage and ensure the service is operated efficiently and effectively.

## Reinvestment of Surplus Funds

Now that WDLT has been operating successfully for the last seven years, and are financially in

a position to reinvest surplus funds back into the services we deliver, we will encourage applications through our Surplus Funds Framework to assist us achieve our minimum spend of £250k by 2020.

## Development of our next Three Year Business Strategy (2020 – 2023)

We will work with our Directors to identify appropriate Strategic Outcomes, Priorities and Success Measures in the development of our next three years Business Strategy.

In addition we will engage with our workforce to identify our Weaknesses and Opportunities to assist us to develop our Key Actions for the first year's Delivery Plan associated with our Business Strategy to assist us achieve our Strategic Outcomes, Priorities and Success Measures.

## Development of our next Aquatics Strategy

We will identify our priorities with regards to Aquatic activities and produce our next three year Aquatics Strategy.



# Structure, Governance and Management

West Dunbartonshire Leisure Trust is a company limited by guarantee with charitable status and governed by its Articles of Association. In addition to being regulated by the Companies Act (2006), the company is also subject to the charities regulator in Scotland, OSCR (Office of the Scottish Charity Regulator).

The company was incorporated in December 2011 and started trading on 5th April 2012 and is responsible for the strategic and operational management of West Dunbartonshire Council's Sport and Leisure Facilities; Community Facilities; Outdoor Recreation; Sports Development; Active Schools; and Events.

## Trustees (Directors)

There are nine members of the company who serve as Trustees comprising of three (3) Councillors (Partner Trustees), an Employee Representative Trustee and five (5) Independent Trustees. They have the ultimate control of the company subject to providing and operating the services in accordance with the Legal Agreement reached with West Dunbartonshire Council, and provide strategic direction to the General Manager and his Management Team.

The list of current and former Trustees serving in the financial year 2018/19 and since is detailed below:

Name		Appointed	Resigned
Anthony Wacławski	Independent	11/01/12	N/A
David McBride	Partner	11/01/12	N/A
David Smith	Independent	11/01/12	N/A
James Finn	Partner (Vice Chair since 13 September 2018)	26/02/15	N/A
Charles Gibson	Independent (Chair since 13 September 2018)	28/08/14	N/A
Samantha Baird	Independent	24/11/16	N/A
James Docherty	Employee Representative	24/11/16	19/02/19
William Hendrie	Partner	25/05/17	N/A
David Marshall	Independent	24/11/16	N/A
Tony Dempster	Employee Representative	23/05/19	N/A





## Recruitment and Training of Trustees

### Recruitment

Authority and responsibility for the appointment of Partner Trustees sits with West Dunbartonshire Council, (WDC) who allocate this responsibility to three WDC Councillors. No appointments were made during the period 1 April 2018 to 31 March 2019.

Authority and responsibility for the recruitment of Independent Trustees is delegated by the Board of Directors to the Nominations Committee. No appointments were made during the period 1 April 2018 to 31 March 2019.

The selection of the Employee Representative Trustee is completed in consultation with the unions representing employees in the Leisure Trust (Unite, Unison, and GMB). James Docherty resigned from his role as Employee Representative Director on 19/2/2019. Tony Dempster was appointed into the role on 23 May 2019

### Induction

New Trustees receive a briefing on their role as Board Trustees operating a company limited by guarantee with charitable status as per Companies Act 2006. The briefing includes background information on the Company; Business; Governance Structure; Management

Structure; Partnership Working; Mission & Values; Key Strategic Outcomes; Charitable Objects; and Contact Details. In addition it also includes the following documentation:

- Briefing Note: Director's Role and Responsibilities
- Articles of Association
- Terms of Reference Sub Committees
- Latest WDLT Annual Report
- Latest WDLT Business Strategy
- WDLT Partnership Book
- Health & Safety Policy
- Anti-Bribery Policy
- Last Annual General Meeting Papers
- Last 4 Board Meeting Papers

### Training

Trustees who sit on specific Committees also receive where appropriate training to allow them to effectively carryout their duties. This training includes the following:

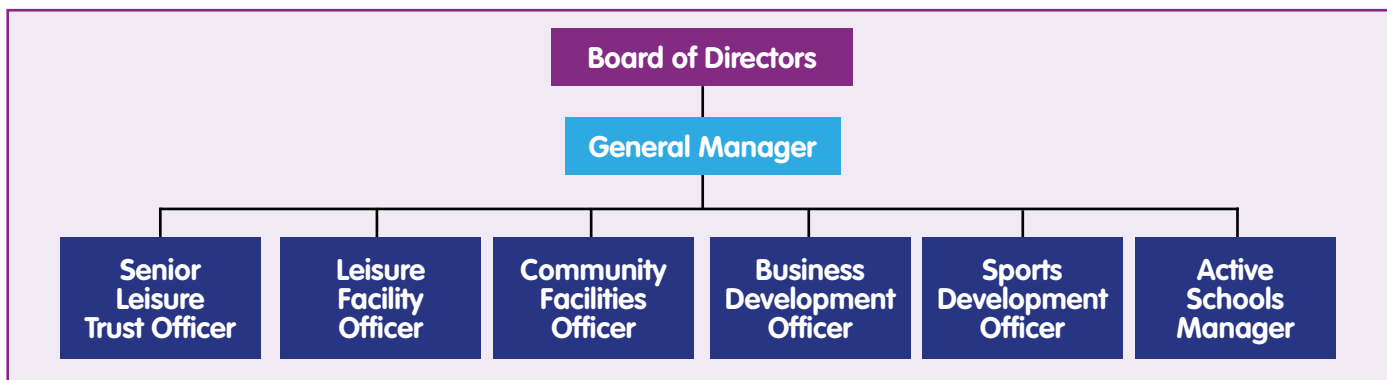
- Discipline and Grievance Procedures
- Finance (annual finance reporting regulations and Charity Accounting)
- Health & Safety



## Management Arrangements

### Key Management Personnel

The Directors, who are the Trust's Trustees, and the management team, comprise the key management personnel of the charity in charge with directing and controlling, running and operating the Trust on a day to day basis.



A General Manager is appointed by the Board to manage the day to day operations of the Company. To ensure that operations are carried out effectively, the General Manager has delegated authority within an approved scheme for matters including Personnel; Finance; Procurement; and Operations.

### Remuneration of Key Management Personnel

All Trustees give their time freely and do not receive remuneration apart from reimbursement of costs incurred while serving on the board, including travel (within Scotland) and any reasonable subsistence expenses. Details of Trustee's expenses are disclosed in Note 7 to the accounts.

West Dunbartonshire Leisure Trust is committed to ensuring a fair, open, transparent and legally compliant approach to the evaluation of jobs and ensuring equal pay for work of equal value. The Trust's Job Evaluation Policy has been developed to ensure consistency in the evaluation of new jobs and the re-evaluation of existing jobs beyond the initial application of the Scottish Councils' Job Evaluation Scheme (SCJE).

The posts of General Manager and the other managers who make up the management team have all been subject to Job Evaluation to identify the appropriate grade for each post.

### Board & Committee Arrangements

The Board meets quarterly to consider Company business with decisions taken to set the overall strategy for the business as well as to monitor its activities. Management are charged with the task of implementing these decisions. The Board can also refer decision-making on Independent Directors, General Manager and Company Secretary recruitment; overseeing company finances; approving financial reports; and disciplinary appeals to sub-committees.

The full board met 5 times throughout the financial year April 2018 to end of March 2019. These meetings were held with management representatives to consider the business of the Company.

It was recognised that the organisations committee structure, roles and responsibilities had evolved over the first few years following inception of the Leisure Trust in 2012. The Board therefore felt it was prudent to undertake a review of the Articles of Association in 2016. Amendments to reflect these changes were agreed by special resolution in September 2016 and the Company Secretary was tasked with updating Companies House and OSCR by submitting the new Articles of Association.

The full Board met on the following dates during 2018/19:

- 24 May 2018;
- 30 August 2018;
- 13 September 2018 (Annual General Meeting);
- 29 November 2018; and
- 21 February 2019

Board Committees met in the periods between Board Meetings to consider business and to make formal recommendations to the full Board of Trustees.

Board Committees exist in the following areas:

- **Audit & Risk Committee** – Responsible for monitoring the financial performance of the Trust; for the recruitment and appointment of an external auditor to audit final annual accounts for submission to Companies House and OSCR; the review of the governance of the Trust (including the Articles of Association and Financial Regulations); and the review of major risks with management and agree and scrutinise the annual risk register.
- **Appeals Committee** – Responsible for hearing and determining appeals against dismissal and appeals against all disciplinary action taken by the General Manager and to consider and reach decisions on Stage 3 Grievances by employees in terms of the Trust's Grievance Procedures.

- **Joint Consultative Forum (JCF)** – Responsible for exchanging information between Management and Employees and securing the greatest possible measure of joint action between West Dunbartonshire Leisure Trust and its employees.

- **Health & Safety Committee** – To act as the focal point for all matters relating to the management of Fire, Security and Health and Safety.

- **Nominations & Individual Performance Committee** – Responsible for recommending appropriate individuals for appointment as Independent Trustees and Employee Representative to form the Board. Responsible for the recruitment and appointment of the General Manager and Company Secretary and formally oversees the performance management system for the General Manager.



Trustee representation on Board Committees and dates Committees were held:

Committee	Audit and Risk	Appeals	Joint Consultative Forum (JCF)	Health and Safety	Nominations & Individual Performance
<b>Member</b>	A Wacławski; D McBride; D Marshall; C Gibson	A Wacławski; D McBride; D Smith; S Baird	D Smith; J Finn; J Docherty	J Docherty	C Gibson; J Finn
<b>Dates</b>	10 May 2018 16 Aug 2018 15 Nov 2018 07 Feb 2019	There was no requirement to convene this Committee during 2018/19	There was no requirement to convene this Committee during 2018/19	26 Apr 2018 10 Aug 2018 26 Oct 2018 25 Jan 2019	There was no requirement to convene this Committee during 2018/19

Updates on all Committees in the previous quarter (including copies of notes of meetings) are presented by the General Manager at each Board Meeting.



# Statement of Trustees' Responsibilities

The Trustees (who are also directors of West Dunbartonshire Leisure Trust for the purposes of company law) are responsible for preparing the Trustee's Report and the financial statements in accordance with applicable law and United Kingdom Accounting Standards (United Kingdom Generally Accepted Accounting Practice).

Company law requires the Trustees to prepare financial statements for each financial year which give a true and fair view of the state of affairs of the charitable company and of the incoming resources and application of resources, including the income and expenditure, of the charitable company for that period. In preparing these financial statements, the Trustees are required to:

- select suitable accounting policies and then apply them consistently;
- observe the methods and principles in the Charities SORP;
- make judgments and estimates that are reasonable and prudent;
- state whether applicable UK Accounting Standards have been followed, subject to any material departures disclosed and explained in the financial statements; and
- prepare the financial statements on the going concern basis unless it is inappropriate to presume that the charitable company will continue its activities.

The Trustees are responsible for keeping proper accounting records that disclose with reasonable accuracy at any time the financial position of the charitable company and enable them to ensure that the financial statements comply with the Companies Act 2006 and the Charities and Trustee Investment (Scotland) Act 2005 and the Charities Accounts (Scotland) Regulations 2006 (as amended). They are also responsible for safeguarding the assets of the charitable company and hence for taking reasonable steps for the prevention and detection of fraud and other irregularities.

The Trustees are responsible for the maintenance and integrity of the corporate and financial information included on the charitable company's website. Legislation in the United Kingdom governing the preparation and dissemination of the financial statements may differ from legislation in other jurisdictions.



## Statement to Auditors

In so far as the Trustees are aware:

- there is no relevant audit information of which the charitable company's auditor is unaware; and
- the Trustees have taken all steps that they ought to have taken to make themselves aware of any relevant audit information and to establish that the auditor is aware of that information.

This report has been prepared in accordance with the provisions applicable to companies'

subject to the small companies' regime of the Companies Act 2006.

Approved by the Trustees and signed on their behalf by:



Charles Gibson,  
Chair of West Dunbartonshire Leisure Trust  
12 September 2019

# INDEPENDENT AUDITOR'S REPORT

## TO THE TRUSTEES AND MEMBERS OF WEST DUNBARTONSHIRE LEISURE TRUST FOR THE YEAR ENDED 31 MARCH 2019

### Opinion

We have audited the financial statements of West Dunbartonshire Leisure Trust (the 'charitable company') for the year ended 31 March 2019 which comprise the Statement of Financial Activities, the Balance Sheet, the Cash Flow Statement and the notes to the financial statements, including a summary of significant accounting policies. The financial reporting framework that has been applied in their preparation is applicable law and United Kingdom Accounting Standards, including Financial Reporting Standard 102 The Financial Reporting Standard applicable in the UK and Republic of Ireland (United Kingdom Generally Accepted Accounting Practice).

In our opinion the financial statements:

- give a true and fair view of the state of the charitable company's affairs as at 31 March 2019, and of its incoming resources and application of resources, for the year then ended;
- have been properly prepared in accordance with United Kingdom Generally Accepted Accounting Practice;
- have been prepared in accordance with the requirements of the Companies Act 2016; Charities and Trustee Investment (Scotland) Act 2005 and regulation 8 of the Charities Accounts (Scotland) Regulations 2006 (as amended).

### Basis for opinion

We conducted our audit in accordance with International Standards on Auditing (UK) (ISAs (UK)) and applicable law. Our responsibilities under those standards are further described in the Auditor's responsibilities for the audit of the financial statements section of our report. We are independent of the charitable company in accordance with the ethical requirements that are relevant to our audit of the financial statements in the UK, including the FRC's Ethical Standard, and we have fulfilled our other ethical responsibilities in accordance with these requirements. We believe that the audit evidence we have obtained is sufficient and appropriate to provide a basis for our opinion.

### Conclusions relating to going concern

We have nothing to report in respect of the following matters in relation to which the ISAs (UK) require us to report to you where:

- the trustees' use of the going concern basis of accounting in the preparation of the financial statements is not appropriate; or
- the trustees have not disclosed in the financial statements any identified material uncertainties that may cast significant doubt about the charity's ability to continue to adopt the going concern basis of accounting for a period of at least twelve months from the date when the financial statements are authorised for issue.

### Other information

The other information comprises the information included in the report and financial statements, other than the financial statements and our auditor's report thereon. The trustees are responsible for the other information. Our opinion on the financial statements does not cover the other information and, except to the extent otherwise explicitly stated in our report, we do not express any form of assurance conclusion thereon. In connection with our audit of the financial statements, our responsibility is to read the other information and, in doing so, consider whether the other information is materially inconsistent with the financial statements or our knowledge obtained in the audit or otherwise appears to be materially misstated.



### Other information (continued)

If we identify such material inconsistencies or apparent material misstatements, we are required to determine whether there is a material misstatement in the financial statements or a material misstatement of the other information. If, based on the work we have performed, we conclude that there is a material misstatement of this other information, we are required to report that fact.

We have nothing to report in this regard.

### Opinions on other matters prescribed by the Companies Act 2006

In our opinion, based on the work undertaken in the course of the audit:

- the information given in the report of the trustees, which includes the directors' report prepared for the purposes of company law, for the financial year for which the financial statements are prepared is consistent with the financial statements; and
- the directors report included within the report of the trustees has been prepared in accordance with applicable legal requirements.

### Matters on which we are required to report by exception

In the light of the knowledge and understanding of the charitable company and its environment obtained in the course of the audit, we have not identified material misstatements in the directors' report included within the report of the trustees.

We have nothing to report in respect of the following matters in relation to which the Companies Act 2006 and the Charity Accounts (Scotland) Regulations 2006 (as amended) require us to report to you if, in our opinion:

- adequate and proper accounting records have not been kept; or
- the financial statements are not in agreement with the accounting records; or
- certain disclosures of trustees' remuneration specified by law are not made; or
- we have not received all the information and explanations we require for our audit; or
- the trustees were not entitled to take advantage of the small companies' exemptions in preparing the report of the trustees and from the requirement to prepare a strategic report.

### Responsibilities of Trustees

As explained more fully in the Trustees' Responsibilities Statement set out on page 27, the trustees (who are also the directors of the charitable company for the purposes of company law) are responsible for the preparation of financial statements and for being satisfied that they give a true and fair view, and for such internal control as the trustees determine is necessary to enable the preparation of financial statements that are free from material misstatement, whether due to fraud or error.

In preparing the financial statements, the trustees are responsible for assessing the charity's ability to continue as a going concern, disclosing, as applicable, matters related to going concern and using the going concern basis of accounting unless the trustees either intend to liquidate the charity or to cease operations, or have no realistic alternative but to do so.





## Auditor's responsibilities for the audit of the financial statements

We have been appointed as auditor under section 44(1)(c) of the Charities and Trustee Investment (Scotland) Act 2005 and under the Companies Act 2006 and report in accordance with the Act and relevant regulations made or having effect thereunder. Our responsibility is to audit and express an opinion on the financial statements in accordance with applicable law and International Standards on Auditing (UK and Ireland). Those standards require us to comply with the Auditing Practices Board's Ethical Standards for Auditors.

Our objectives are to obtain reasonable assurance about whether the financial statements as a whole are free from material misstatement, whether due to fraud or error, and to issue an auditor's report that includes our opinion. Reasonable assurance is a high level of assurance, but is not a guarantee that an audit conducted in accordance with ISAs (UK) will always detect a material misstatement when it exists. Misstatements can arise from fraud or error and are considered material if, individually or in the aggregate, they could reasonably be expected to influence the economic decisions of users taken on the basis of these financial statements.

A further description of our responsibilities for the audit of the financial statements is located

on the Financial Reporting Council's website at [www.frc.org.uk/auditorsresponsibilities](http://www.frc.org.uk/auditorsresponsibilities). This description forms part of our auditor's report.

## Use of our report

This report is made solely to the charitable company's members, as a body, in accordance with Chapter 3 of part 16 of the Companies Act 2006, and to the charitable company's trustees, as a body, in accordance with regulation 10 of the Charities Accounts (Scotland) Regulations 2006 (as amended).

Our audit work has been undertaken so that we might state to the charitable company's members and trustees those matters we are required to state to them in an auditor's report and for no other purpose. To the fullest extent permitted by law, we do not accept or assume responsibility to anyone other than the charitable company, the charitable company's members as a body and the charitable company's trustees as a body, for our audit work, for this report, or for the opinions we have formed.

*Wylie & Bisset*

Jenny Simpson

*Senior statutory auditor*

For and on behalf on Wylie & Bisset LLP, Statutory Auditor  
168 Bath Street, Glasgow G2 4TP

*Date: 12 September 2019*



# STATEMENT OF FINANCIAL ACTIVITIES

Statement of Financial Activities (incorporating the Income and Expenditure Account)  
for the year ended 31 March 2019

	Notes	Unrestricted Fund 2019	Restricted Fund 2019	Pension Fund 2019	Total Funds 2019
		£	£	£	£
<b>Income and endowments from: Donations and legacies</b>					
- Voluntary Income		0	0	0	0
<b>Investments</b>					
- Investment Income	3	16,883	0	0	16,883
<b>Income from Charitable Activities:</b>					
- Management Service Fee	2	3,897,720	0	0	3,897,720
- Membership Fees	2	1,505,805	0	0	1,505,805
- Charitable Activities	2	2,228,101	0	0	2,228,101
<b>Other</b>					
- Gain on sale of Fixed Assets		10,266	0	0	10,266
- Other Finance Income	9	0	0	(7,000)	(7,000)
<b>Total Incoming resources</b>		<b>7,658,775</b>	<b>0</b>	<b>(7,000)</b>	<b>7,651,775</b>

	Notes	Unrestricted Fund 2018	Restricted Fund 2018	Pension 2018	Total Funds 2018
		£	£	£	£
<b>Income and endowments from: Donations and legacies</b>					
- Voluntary Income		0	0	0	0
<b>- Investments</b>					
- Investment Income	3	7,608	0	0	7,608
<b>Income from Charitable Activities:</b>					
- Management Service Fee	2	3,914,610	0	0	3,914,610
- Membership Fees	2	1,354,558	0	0	1,354,558
- Charitable Activities	2	2,165,012	8,100	0	2,173,112
<b>Other</b>					
- Gain on sale of Fixed Assets		0	0	0	0
- Other Finance Income	9	0	0	(104,000)	(104,000)
<b>Total Incoming resources</b>		<b>7,441,788</b>	<b>8,100</b>	<b>(104,000)</b>	<b>7,345,888</b>

**The Statement of Financial Activities includes all gains and losses recognised in the year. All income and expenditure derive from continuing activities.**

	Notes	Unrestricted Fund 2019	Restricted Fund 2019	Pension Fund 2019	Total Funds 2019
		£	£	£	£
Expenditure on:					
Charitable Activities	4	(7,499,141)		682,000	(6,817,141)
Current and past service cost	6	0	0	(1,647,000)	(1,647,000)
Total Expenditure		<b>(7,499,141)</b>		<b>(965,000)</b>	<b>(8,464,141)</b>
Net income / (expenditure) for the year before transfers		159,634	0	(972,000)	(812,366)
Transfer between funds		0	0	0	0
Net incoming / (outgoing) resources		159,634	0	(972,000)	(812,366)
Actuarial gain / (loss) on retirement benefit scheme	9	0	0	(1,181,000)	(1,181,000)
Net movement in funds (after retirement benefit scheme gain/loss)	20	159,634	0	(2,153,000)	(1,993,366)
<b>Total Funds brought forward</b>	20	<b>2,003,604</b>	<b>0</b>	<b>224,000</b>	<b>2,227,604</b>
<b>Total Funds carried forward</b>	20	<b>2,163,238</b>	<b>0</b>	<b>(1,929,000)</b>	<b>234,238</b>

	Notes	Unrestricted Fund 2018	Restricted Fund 2018	Pension Fund 2018	Total Funds 2018
		£	£	£	£
Expenditure on:					
Charitable Activities	4	(7,164,422)	(13,500)	673,000	(6,504,922)
Current and past service cost	6	0	0	(1,160,000)	(1,160,000)
Total Expenditure		<b>(7,164,422)</b>	<b>(13,500)</b>	<b>(487,000)</b>	<b>(7,664,922)</b>
Net income / (expenditure) for the year before transfers		277,366	(5,400)	(591,000)	(319,034)
Transfer between funds		0	0	0	0
Net incoming / (outgoing) resources		277,366	(5,400)	(591,000)	(319,034)
Actuarial gain / (loss) on retirement benefit scheme	9	0	0	4,435,000	4,435,000
Net movement in funds (after retirement benefit scheme gain/loss)	20	277,366	(5,400)	3,844,000	4,115,966
<b>Total Funds brought forward</b>	20	<b>1,726,238</b>	<b>5,400</b>	<b>(3,620,000)</b>	<b>(1,888,362)</b>
<b>Total Funds carried forward</b>	20	<b>2,003,604</b>	<b>0</b>	<b>224,000</b>	<b>2,227,604</b>

# BALANCE SHEET

Balance Sheet as at 31 March 2019

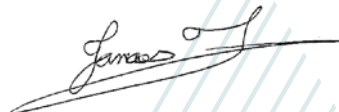
	Notes	2019	2018
		£	£
<b>Fixed Assets:</b>			
Intangible Assets	10	21,546	19,432
Tangible Assets	11	285,846	114,797
<b>Total Fixed Assets</b>		<b>307,392</b>	<b>134,229</b>
<b>Current Assets:</b>			
Stock	12	17,273	29,756
Debtors	13	520,474	572,646
Investments	14	756,182	500,000
Cash at bank and in hand	22	2,307,907	2,393,216
<b>Total Current Assets</b>		<b>3,601,836</b>	<b>3,495,618</b>
<b>Liabilities:</b>			
Creditors falling due within one year	15	(1,745,990)	(1,626,243)
<b>Net Current Assets</b>		<b>1,855,846</b>	<b>1,869,375</b>
<b>Total assets less current liabilities – excluding retirement benefit scheme</b>		<b>2,163,238</b>	<b>2,003,604</b>
Retirement benefit scheme asset/(liability)	9	(1,929,000)	224,000
<b>Total Net Assets</b>		<b>234,238</b>	<b>2,227,604</b>
<b>The Funds of the Charity:</b>			
Funds – Unrestricted	20	2,163,238	2,003,604
Funds – Restricted	20	0	0
Funds – Pension Reserve	20	(1,929,000)	224,000
		<b>234,238</b>	<b>2,227,604</b>

The financial statements were authorised for issue by the Board on 12 September 2019.

Charles Gibson  
Chairman



Councillor Jim Finn  
Vice Chairman



**Company No: SC413707**

These accounts are prepared in accordance with the special provisions of part 15 of the Companies Act 2006 and for circulations to the members of the company.



# CASH FLOW STATEMENT

Cash Flow Statement for the year to 31 March 2019.

	Notes	2019	2018
		£	£
Net cash (used in / provided by operating activities)	<b>21</b>	387,340	418,375
Cash invested		(256,182)	(500,000)
Interest received		16,883	7,608
Proceeds from the sale of tangible assets		10,266	0
Purchase of intangible fixed assets		(6,000)	(19,432)
Purchase of tangible fixed assets		(237,616)	(49,496)
<b>(Decrease) / increase in cash</b>		<b>(85,309)</b>	<b>(142,945)</b>

## Reconciliation of net cash flow to movement in debt.

	£
Net cash as at 31 March 2018	2,393,216
Net (decrease in cash)	(85,309)
<b>Net cash at 31 March 2019</b>	<b><u>2,307,907</u></b>





# NOTES TO THE FINANCIAL STATEMENTS

## for the Year ended 31 March 2019

### 1. Accounting Policies

#### Basis of preparation and assessment of going concern

The financial statements are prepared under the historical cost convention as modified by Revaluation of Pension Asset, and in accordance with applicable accounting standards in the United Kingdom, the Companies Act 2006 and the Statement of Recommended Practice – Accounting and Reporting by Charities (FRS102) and the Charities Accounts (Scotland) Regulations 2006 (as amended).

West Dunbartonshire Leisure Trust constitutes a public benefit entity as defined by FRS102.

The Trustees consider that there are no material uncertainties about West Dunbartonshire Leisure Trust's ability to continue as a going concern.

For noting, West Dunbartonshire Council have indicated that they will be looking for significant savings over the next few years by reducing the Leisure Trust management fee. Going forward ongoing reductions in funding are likely to have significant impact on the services delivered by the Leisure Trust.

#### Incoming resources

Membership subscriptions and income relating to Trust activity are recognised in the period in which the Trust is entitled to receipt and the amount can be measured with reasonable certainty. Income is deferred only when the Trust has to fulfil conditions before becoming entitled to it. Management fees and other incoming resources are recognised in the period to which they relate, on an accruals basis.

Investment income is accounted for on an accruals basis.

#### Allocation of expenditure

Where possible, expenditure is charged direct to charitable expenditure or governance costs. Where this is not possible the expenditure is allocated on a basis consistent with use of the resources.

Charitable expenditure comprises those costs incurred by Trust in the delivery of its activities and services for its beneficiaries. Governance costs include those costs associated with meeting the constitutional and statutory requirements of the charity and include the audit fees and costs linked to the strategic management and set-up of the charity.

#### Intangible Fixed Assets

Software costs are capitalised and amortised over a useful life of 5 years.

#### Tangible Fixed Assets and Depreciation

It is the policy of the Trust to capitalise expenditure of a capital nature in excess of £5,000. Any irrecoverable VAT related to the assets is capitalised and recognised as an expense in the Statement of Financial Activities (SOFA) over the depreciated life of the asset.

Assets donated to the Trust are included in the Balance Sheet and Statement of Financial Activities at deemed cost.

Depreciation is charged to write off the cost less the estimated residual value of fixed assets by equal instalments over their estimated useful lives as follows:

Furniture and equipment: 5 years

Motor Vehicles: 5 years

#### Stock

Stocks of materials and consumables are valued at the lower of cost and net realisable value in the ordinary course of activities. Net realisable value is based on estimated selling price less further costs to completion and disposal.

#### Debtors

Trade and other debtors are recognised at the settlement amount due after any trade discount offered. Prepayments are valued at the amount prepaid net of any trade discounts due.

#### Cash at bank and in hand

Cash at bank and in hand includes cash and short term highly liquid investments with a short maturity of three months or less from the date of acquisition or opening of the deposit or similar account.

## Creditors and provisions

Creditors and provisions are recognised where the charity has a present obligation resulting from a past event that will probably result in the transfer of funds to a third party and the amount due to settle the obligation can be measured or estimated reliably. Creditors and provisions are normally recognised at their settlement amount after allowing for any trade discounts due.

## Contingent Liabilities

A contingent liability is identified and disclosed for those grants resulting from:

- a possible obligation which will only be confirmed by the occurrence of one or more uncertain future events not wholly within the Trustees' control; or
- a present obligation following a grant offer where settlement is either not considered probable; or
- the amount has not been communicated in the grant offer and that amount cannot be estimated reliably.

## Operating Leases

Operating leases are charged to income and expenditure on a straight line basis over the period of the lease.

## Employee Benefits

The costs of short-term employee benefits are recognised as a liability and an expense, unless those costs are required to be recognised as part of the cost of stock or fixed assets.

The cost of any unused holiday entitlement is recognised in the period in which the employee's services are received.

Termination benefits are recognised immediately as an expense when the charity is demonstrably committed to terminate the employment of an employee or to provide termination benefits.

## Financial Instruments

The Trust only has financial assets and financial liabilities of a kind that qualify as basic financial instruments. Basic financial instruments are initially recognised at transaction value and subsequently measured by their settlement value with the exception of bank loans which are subsequently measured at amortised cost using the effective interest method.

## Pensions

The Trust participates in the Strathclyde Pension Fund by virtue of its status as an 'admitted' body. It is a defined pension scheme and the assets are invested in external funds. In accordance with 'FRS 102 – Retirement Benefits', the operating and financing costs of pension and post retirement schemes (determined by a qualified actuary) are recognised separately in the Statement of Financial Activities. Service costs are systematically spread over the working lives of the members and financing costs are recognised in the period in which they arise. The difference between the actual and expected returns on assets during the period and changes in the actuarial assumptions are also recognised in the Statement of Financial Activities.

## VAT

The Trust is partially exempt from VAT. Irrecoverable VAT is charged to the Statement of Financial Activities as an expense.

## Taxation

The company is a charitable company within the meaning of Section 467 of the Corporation Tax Act 2010. Accordingly, the company is potentially exempt from taxation in respect of income or capital gains received within categories covered by Chapter 3 of Part 11 of the Corporation Tax Act 2010 and section 256 of the Taxation of Chargeable Gains Act 1992 to the extent that such income or gains are applied for charitable purposes only.

## Unrestricted funds

Unrestricted funds are expendable at the discretion of the Board in furtherance of the objectives of the Trust.

Surplus revenue funds held within unrestricted funds are carried forward to meet the cost of future activities, mainly of a revenue nature.

Commitments for specific activities and needs in the future are dealt with by making allocations to designated funds.

## Restricted funds

Restricted funds are used for specific purposes as laid down by the donor. Some are restricted income funds expendable at the discretion of the Board in furtherance of a particular activity such as government grants to a particular centre or activity. Expenditure which meets the set criteria will be charged to the appropriate fund.

## 2. Incoming Resources

Income is attributable to sporting activity fees and other sales throughout the Trust. In addition, a management service fee of £3,897,720 (2018: £3,914,610) was received from West Dunbartonshire Council for the period. Membership fees is income collected by direct debit membership of the Trust's leisure facilities.

Total incoming resources from charitable activities for the period are detailed as follows:

	2019	2018
	£	£
Leisure Facilities	2,414,216	2,279,829
Community Facilities	407,502	366,851
Sports Development	549,617	528,207
Active Schools	262,401	253,429
Outdoor Recreation	100,170	99,354
Management Fee	3,897,720	3,914,610
<b>Total Incoming Resources from Charitable Activities</b>	<b>7,631,626</b>	<b>7,442,280</b>

Government Grants included in income for the year to 31 March 2018 were as follows:

	2018-2019	2017-2018
Management Fee – West Dunbartonshire Council	3,897,720	3,914,610
Other income from West Dunbartonshire Council	23,000	23,000
Income from NHS	100,609	116,420
Income from Sport Scotland	245,600	245,600
<b>Total</b>	<b>4,266,929</b>	<b>4,299,630</b>

This income relates to health improvement programmes involving sporting activities. There are no unfulfilled conditions or contingencies in relation to this income.

## 3. Investment Income

	2019	2018
	£	£
Interest on cash deposits	16,883	7,608
<b>Total Investment Income</b>	<b>16,883</b>	<b>7,608</b>

## 4. Charitable Expenditure

	2019	2018
	£	£
Leisure Facilities	4,359,780	4,179,594
Community Facilities	1,346,925	1,210,543
Sports Development	1,015,695	945,655
Active Schools	482,930	484,223
Outdoor Recreation	293,811	357,907
<b>Total Charitable Expenditure</b>	<b>7,499,141</b>	<b>7,177,922</b>
Less Pension cost	(682,000)	(673,000)
<b>Total</b>	<b>6,817,141</b>	<b>6,504,922</b>

Staff and utility costs are the main expenditure items included in charitable expenditure above.

## 5. Support Costs

Support costs have been allocated to the following areas of resources expended.

	Leisure	Community Facilities	Sports Development	Active Schools	Outdoor Recreation	Governance
	£	£	£	£	£	
Salary	250,858	92,224	49,341	49,341	21,159	38,793
Training	0	0	0	0	0	0
Insurance	40,365	12,139	11,479	4,916	2,703	0
Supplies	22,936	6,898	6,523	2,793	1,536	0
Other	159,485	38,297	22,088	14,814	10,777	1,641
<b>Total</b>	<b>473,644</b>	<b>149,558</b>	<b>89,431</b>	<b>71,864</b>	<b>36,175</b>	<b>40,434</b>

	Basis of Allocation
Salary:	Percentage of Staff Time
Training:	Percentage of Staff Time
Property:	Percentage of Usage
Insurance:	Salary Cost
Supplies:	Salary Cost
Other:	Percentage of Usage

### Governance Costs

	2019	2018
	£	£
Audit and other Accountancy Fees	8,190	8,300
Allocated support costs	40,434	41,205
Pension Report and other audit expenditure	480	480
Travel expenses/training costs	108	75
<b>Total Governance Costs</b>	<b>49,212</b>	<b>50,060</b>

## Allocation of Governance and other support costs

	Support Costs	Governance	2019	2018
	£	£	£	£
Leisure	473,644	26,669	500,313	510,197
Community Facilities	149,558	9,804	159,362	160,996
Sports Development	89,431	5,245	94,676	97,168
Active Schools	71,864	5,245	77,109	75,755
Outdoor Recreation	36,175	2,249	38,424	42,061
<b>Total</b>	<b>820,672</b>	<b>49,212</b>	<b>869,884</b>	<b>886,177</b>

## 6. Current and past pension service cost

	2019	2018
	£	£
Pension – Past Service Cost	352,000	0
Pension – Pension Current Service Cost	1,295,000	1,160,000
<b>Total Pension Service Costs</b>	<b>1,647,000</b>	<b>1,160,000</b>

## 7. Staff Costs and Numbers

	2019	2018
	£	£
Wages and Salaries	4,821,263	4,568,044
Social Security costs	315,534	328,960
Other Pension costs	1,327,148	1,149,141
Other Staff costs	7,225	20,866
<b>Total Staff Costs</b>	<b>6,471,170</b>	<b>6,067,011</b>

Only one employee earned more than £60,000 for the year to 31 March 2019. (2018:1)

	Number of employees 2018-2019	Number of employees 2017-2018
Between £70,000 and £79,999	1	0
Between £60,000 and £69,999	0	1



## Key Management Personnel

	2019	2018
	£	£
Salaries and wages	326,617	310,934
Social Security costs	36,852	34,998
Employer contribution to defined pension scheme	62,335	59,431
Other Staff costs	<u>425,804</u>	<u>405,363</u>

The change in the net defined benefit pension scheme liability arising from service of key management personnel rendered during the reporting period was as follows;

Pension	109,813	97,009
Lump Sum	154,946	144,694

The average weekly number of persons by headcount, employed by the charity during the year was:

	2019	2018
	Number	Number
<b>Total Staff Numbers</b>	<b><u>200</u></b>	<b><u>189</u></b>

During the period no Trustees received any remuneration or made any donations to the charity. Expenses of £108 were reimbursed to one Trustee during 2018/2019, and £75 to two Trustees during 2017/2018 and unclaimed travel costs amounted to £272 in 2018/19 and £297 in 2017/18.

## 8. Operating Surplus

The operating surplus is stated after charging/ (crediting):

	2019	2018
	£	£
<b>Auditor's Remuneration (including expenses):</b>		
Auditor's Remuneration (including expenses)	8,190	8,300
Depreciation	<u>70,453</u>	<u>64,698</u>



## 9. Pension Costs

The company is an admitted body of the Strathclyde Pension Fund. The Superannuation Fund is a defined benefit scheme into which employee's and employer's contributions, and interest and dividends from investments are paid and from which pensions, lump sums and superannuation benefits are paid out. Employees' contributions are tiered and employer's basic contributions are assessed every three years by an actuary and are fixed to ensure the fund remains solvent and in a position to meet its future liabilities. The actuarial method used is known as Projected Unit Credit Method. The last actuarial valuation was at 31 March 2011 and following this valuation employer's contributions increased to 19.3% for the years ended 31 March 2013, 2014 and 2015 respectively. Actual employer's contributions for the period 31 March 2019 amounted to £714,147.

In accordance with FRS 102 – Retirement Benefits – a valuation of the fund was carried out at 31 March 2015 by Hymans Robertson, independent actuaries, appointed by Strathclyde Pension Fund. Hymans Robertson calculated the pension assets and liabilities as at 31 March 2019 by rolling forward its full actuarial valuation, allowing for the changes in financial assumptions as prescribed under FRS 102. The main assumptions used in the calculations are:

	31 March 2019	31 March 2018
	% per annum	% per annum
Inflation / Pension Increase Rate	2.4%	2.3%
Salary Increase Rate	3.6%	3.5%
Discount Rate	2.5%	2.7%

### Mortality

Life expectancy is based on the Fund's Vita Curves with improvements in line with the CMI 2016 model with an allowance for smoothing of recent mortality experience and long term rates of 1.5% p.a. for males and 1.25% p.a. for females. Based on these assumptions, the average future life expectancies at age 65 are summarised below:

	Males	Females
Current Pensioners	21.4 years	23.7 years
Future Pensioners	23.4 years	25.8 years

The major categories of plan assets as a % of the total plan assets are as follows:

	31 March 2019	31 March 2018
	%	%
Equities	64%	62%
Bonds	24%	23%
Property	10%	11%
Cash	2%	4%

The actuarial estimated employer contributions for the year to 31 March 2020 are £676,000.

The amounts recognised in the balance sheet are as follows:

	31 March 2019	1 April 2018
	<u>£000</u>	<u>£000</u>
Present value of funded liabilities	(22,349)	(18,293)
Fair value of plan assets	<u>20,605</u>	<u>18,692</u>
	(1,744)	399
Present value of unfunded obligations	(185)	(175)
Unrecognised past service cost	<u>0</u>	<u>0</u>
	<b>(1,929)</b>	<b>224</b>
<b>Amount in balance sheet</b>		
Liabilities	(1,929)	0
Assets	<u>0</u>	<u>224</u>
<b>Net (liability)/asset</b>	<b>(1,929)</b>	<b>224</b>

	31 March 2019	1 April 2018
	<u>£000</u>	<u>£000</u>
Analysis of the amount charged to net incoming resources:		
Current service cost of the defined benefit scheme	<b>(1,647)</b>	<b>(1,160)</b>
Analysis of amount credited to incoming resources:		
Expected return on employer assets	<b>(515)</b>	<b>(472)</b>
Interest on pension scheme liabilities	<b>522</b>	<b>576</b>
Net return	<b>7</b>	<b>104</b>

	31 March 2019	1 April 2018
	<u>£000</u>	<u>£000</u>
Actuarial (Loss) / gain	(1,181)	4,435
Actuarial (loss) / gain recognised in net movement of funds	(1,181)	4,435
Cumulative Actuarial Gains and Losses	(189)	992

Changes in fair value of the scheme assets are as follows:

	31 March 2019	1 April 2018
	<u>£000</u>	<u>£000</u>
Opening fair value of employer assets	18,692	17,109
Expected return on assets	0	0
Contributions by members	202	200
Contributions by the employer	676	667
Contributions in respect of unfunded benefits	6	6
Actuarial gain	1,134	797
Estimated Benefits paid	(99)	(81)
Estimated Unfunded Benefits paid	(6)	(6)
Closing fair value of employer assets	<b>20,605</b>	<b>18,692</b>



## Reconciliation of defined benefit obligation:

	31 March 2019	1 April 2018
	<u>£000</u>	<u>£000</u>
Opening defined benefit obligation	18,468	20,729
Current service cost	1,647	1,160
Interest cost	522	576
Contributions by members	202	200
Present value of unfunded liabilities	0	0

	31 March 2019	1 April 2018
Actuarial losses	<u>1,800</u>	<u>(4,110)</u>
Past service costs	0	0
Estimated benefit paid	(99)	(81)
Estimated unfunded benefits paid	(6)	(6)
Closing defined benefit obligation	22,534	18,468

## Amounts for the current period:

	31 March 2019	1 April 2018
	£000	£000
Present value of Defined Benefit Obligation	(22,349)	(18,293)
Present value of Unfunded Liabilities	(185)	(175)
Fair Value of Employer Assets	20,605	18,692
(Deficit)	(1,929)	224
Experience gains / (losses) on assets	1,134	797
Experience gains / (losses) on liabilities	4	(2,489)

Under the Transfer Agreement entered into between the Trust and West Dunbartonshire Council, the Council has undertaken to guarantee the pension scheme should the liability crystallise and insufficient funds be held by the Trust to settle their obligation.

## 10. Intangible Fixed Assets

	Software	Total
	£	£
Cost at 1 April 2018	19,432	19,432
Additions	6,000	6,000
Disposals	0	0
As at 31 March 2019	<b>25,432</b>	<b>25,432</b>
Depreciation at 1 April 2018	0	0
Charge for the year	3,886	3,886
On disposals	0	0
As at 31 March 2019	0	0
Net Book Value at 31 March 2018	<u>19,432</u>	<u>19,432</u>
Net Book Value at 31 March 2019	<u>21,546</u>	<u>21,546</u>

## 11. Tangible Fixed Assets

	Furniture & Equipment	Total
	£	£
Cost at 1 April 2018	385,263	385,263
Additions	237,616	237,616
Disposals	(176,037)	(176,037)
As at 31 March 2019	<b>446,842</b>	<b>446,842</b>
Depreciation at 1 April 2018	270,466	270,466
Charge for the year	66,567	66,567
On disposals	(176,037)	(176,037)
As at 31 March 2019	<b>160,996</b>	<b>160,996</b>
Net Book Value at 31 March 2018	<b>114,797</b>	<b>114,797</b>
Net Book Value at 31 March 2019	<b>285,846</b>	<b>285,846</b>

At 31 March 2019 all fixed assets are used for charitable purposes.

## 12. Stock

	2019	2018
	£	£
Cleaning materials, first aid materials and uniform stock	17,273	29,756

## 13. Debtors

	2019	2018
	£	£
Trade Debtors	60,464	30,429
Amounts owed by West Dunbartonshire Council	231,487	292,793
Other debtors and prepayments	228,523	249,424
	<b>520,474</b>	<b>572,646</b>

## 14. Investment

	2019	2018
	£	£
Fixed Term 1 year Investment with West Dunbartonshire Council until 22 February 2019.	506,182	500,000
Fixed term 6 months Investment with West Dunbartonshire Council on a rolling basis.	250,000	0
Total Investment	<b>756,182</b>	<b>500,000</b>

## 15. Creditors: Amounts falling due within one year

	2019	20183
	£	£
Trade Creditors	3,714	2,246
Tax and Social Security Creditors	179,183	110,262
Amounts owed to West Dunbartonshire Council	613,569	642,743
Other Creditors	207,925	228,554
Accruals and Deferred Income (note 16)	741,599	642,438
	1,745,990	1,626,243

## 16. Deferred Income

Included in the Accruals and deferred income figure in note 15 is deferred income of:

	2019	2018
	£	£
Balance b/f	84,963	108,997
Released in year	(84,963)	(108,997)
Deferred in year	89,104	84,963
	<b>89,104</b>	<b>84,963</b>

The items deferred comprises Income for memberships of £51,100, direct debits £15,329 and £22,675 of additional income received in advance for services being provided in financial year 2019-2020.

## 17. Operating Leases

The Trust has acquired photocopiers by entering into operating leases. The Trust was committed to making the following payments in the year to 31 March 2019:

	2019	2018
	£	£
Payable less than 1 year	3,749	6,214
Payable > 1 year < 5 years	2,609	6,358
Total Payable	6,358	12,572

## 18. Share Capital

The charitable company is limited by guarantees of £1 per member and has no share capital.

## 19. Company Limited by Guarantee

The company is limited by guarantee, the Special member being West Dunbartonshire Council (entitled to 3 votes at a general meeting).

## 20. Funds

Unrestricted Funds	Balance at 31 March 2018 £	Incoming Resources £	Resources Expended £	Transfers £	Balance at 31 March 2019 £
Unrestricted - general	880,000	7,652,775	(7,148,787)	(503,988)	880,000
Designated					
Small Projects	90,641	6,000	(10,716)	(20,000)	65,925
Equipment Replacement	586,720	0	(225,428)	220,000	581,292
Service Development Projects	312,014	0	(43,757)	60,372	328,629
Fixed Assets	134,229	0	(70,453)	243,616	307,392
<b>Total Designated</b>	<b>1,123,604</b>	<b>6,000</b>	<b>(350,354)</b>	<b>503,988</b>	<b>1,283,238</b>
<b>Total unrestricted</b>	<b>2,003,604</b>	<b>7,658,775</b>	<b>(7,499,141)</b>	<b>0</b>	<b>2,163,238</b>
Restricted	0	0	0	0	0
<b>Total</b>	<b>2,003,604</b>	<b>7,658,775</b>	<b>(7,499,141)</b>	<b>0</b>	<b>2,163,238</b>

In 2018/2019 the Trustees have designated funds of £2,163,238 which comprises tangible fixed assets (£307,392), other small projects to deliver sporting activities (£65,925), future equipment replacement (£581,292) and Service Development Projects (£328,629).





The **Small Projects** fund consists of a number of partially completed projects which are likely to be completed during the next financial year. The fund has been increased in previous years to fund a number of minor upgrade projects to Community Halls and Main Site Leisure Facilities. A number of projects were completed in 2018/19 including the engagement of a mystery shopper service to test our sales processes and our customer journey at main sites. The fund was increased by £40,000 last financial year to fund expected legal costs in relation to finalising lease agreements but this work has been almost fully completed at a much lower expenditure than anticipated. The fund has therefore been reduced by £20,000 to reflect this reduced spend. No additional funds have been designated from the 2018/19 surplus and the total available is now £65,925.

The **Equipment Replacement** fund is being built up to fund the replacement of the gym equipment at the main sites on a rolling basis. Cardio Vascular (CV) equipment is recommended to be replaced every 5 – 6 years and resistance equipment every 7 – 9 years. As planned a major equipment replacement project was completed in 2018/19 with CV equipment being replaced at the Vale Pool and Meadow Centre. The resistance equipment at these two sites is therefore due to replacement in 2020/2021 and this will be the next large spend from this fund. The new Clydebank Leisure Centre opened in 2017 equipped with all new gym equipment which will therefore be due for replacement from 2022/23. Additional funds of £220,000 have been designated from the surplus created in 2018/19 and this leaves a balance in the fund of £581,292. There are a number of projects planned for 2019/20 including the replacement of the spin bikes at the Vale Pool which forms part of a larger project of refurbishment of the Spin Studio which is being funded from the Service Development Funds.

The **Service Development Projects** fund has been built up to be used for larger projects within the service as per our charitable objectives that will improve the service and/or generate additional income. A number of projects have been completed in 2018/19 including installing a ticket kiosk and refurbishing the Dance Studio at the Meadow Centre, additional training and equipment for the interactive floor at the Clydebank Leisure Centre and installation of Wi-Fi at main sites and Trust HQ. Additional funds of £74,098 have been added to this fund from the surplus created in 2018/19 leaving the balance of this fund at £328,629.



## Analysis of Net Assets Over Funds

Funds Balance at 31 March 2019 Represented by:	Unrestricted Funds £	Restricted Funds £	Pension Reserve £	2019 Total £
Fixed assets	307,392	0	0	307,392
Current Assets				
Stock	17,273	0	0	17,273
Debtors	520,474	0	0	520,474
Investment	756,182	0	0	756,182
Cash	<u>2,307,907</u>	<u>0</u>	<u>0</u>	<u>2,307,907</u>
<b>Total Current Assets</b>	<b>3,601,836</b>			<b>3,601,836</b>
Creditors				
Amounts falling due within one year	(1,745,990)	0	0	(1,745,990)
Net Current Assets	<b>1,855,846</b>	0	0	<b>1,855,846</b>
Total Assets less Current Liabilities	<b>2,163,238</b>	0	0	<b>2,163,238</b>
Retirement benefit scheme deficit	0	0	(1,929,000)	(1,929,000)
<b>Total</b>	<b>2,163,238</b>	<b>0</b>	<b>(1,929,000)</b>	<b>234,238</b>

## 21. Notes to the cash flow statement

Reconciliation of operating surplus to net cash inflow from operating activities

	2019 £	2018 £
Net (outgoing)/incoming resources	(812,366)	(319,034)
Investment income	(16,883)	(7,608)
Depreciation	(10,266)	0
Loss on disposal of fixed assets	70,453	64,698
Net Pension charge	972,000	591,000
(Increase) in stock	12,483	(18,209)
(Increase)/Decrease in debtors	52,172	(22,943)
Increase/(Decrease) in creditors	<u>119,747</u>	<u>130,471</u>
Net cash (used in) / provided by operating activities	<b>387,340</b>	<b>(418,375)</b>

## 22. Cash at bank and in hand

	31 March 2019 £	1 April 2018 £
Cash at bank and in hand	<u>2,307,907</u>	<u>2,393,216</u>

## 23. Trustees Interests and related party transactions

Due to the nature of the charity's operations and composition of its Board, being comprised of individual public sector and commercial organisations, it is inevitable that transactions will take place with companies and organisations in which a Board member of the Trust has an interest. The charity works in partnership with West Dunbartonshire Council with which transactions have been undertaken during the period. The following is a list of members of the Board (Committee of Management) who held potentially connected positions during the period.

Table showing potential for Trustee's connected interests:

Trustee	Company	Occupation	Joined	Resigned
David McBride	West Dunbartonshire Council	Councillor	11/01/12	N/A
Jim Finn	West Dunbartonshire Council	Councillor	09/12/14	N/A
Kathleen Ryall	West Dunbartonshire Council	Councillor	12/06/12	25/05/17
William Hendrie	West Dunbartonshire Council	Councillor	25/05/17	N/A

West Dunbartonshire Leisure Trust is a body incorporated under the Companies Act 2006.

All transactions involving organisations in which a member of the Board of Management may have a material interest are conducted at arm's length and in accordance with normal project and procurement procedures.

During the year the Trust entered into purchase transactions with Admin Design and Print Ltd, a related party, totalling £3,094, (2018 £19,138). A brother of Kevin Murphy, Business Development Co-ordinator, is a Director of Admin Design & Print. The balance owed to Admin Design and Print at 31 March 2019 is £0, (2018 £0).

West Dunbartonshire Leisure Trust had transactions during the year as follows:

	2018-2019	2017-2018
	£	£
Income received from West Dunbartonshire Council	£5,052,351	£5,319,110
Expenditure paid to West Dunbartonshire Council	£147,530	£150,381

	2018-2019	2017-2018
	£	£
Due from West Dunbartonshire Council	£231,487	£292,793
Due to West Dunbartonshire Council	£613,569	£642,743











## **West Dunbartonshire Leisure Trust**

(Company Limited by Guarantee)

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

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