

# Agenda



## Corporate Services Committee

**Date:** Wednesday, 7 June 2017

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**Time:** 14:00

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

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**Contact:** Craig Stewart, Committee Officer  
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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:-

Provost William Hendrie  
Councillor Ian Dickson (Chair)  
Councillor Jim Brown  
Councillor Jim Finn  
Councillor Daniel Lennie  
Councillor Caroline McAllister  
Councillor David McBride  
Councillor Jonathan McColl  
Councillor Iain McLaren (Vice Chair)  
Councillor John Mooney  
Councillor Martin Rooney  
1 Vacancy (Opposition – Other)

All other Councillors for information

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

Date of issue: **26 May 2017**

## **CORPORATE SERVICES COMMITTEE**

**WEDNESDAY, 7 JUNE 2017**

### **AGENDA**

**1 APOLOGIES**

**2 DECLARATIONS OF INTEREST**

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

**3 MINUTES OF JOINT CONSULTATIVE FORUM – 9 MARCH 2017 5 - 8**

Submit for information and where necessary ratification, the Minutes of Meeting of the JCF held on 9 March 2017.

**4 REGULATORY DELIVERY PLAN 2017/18 9 - 54**

Submit report by the Strategic Lead – Regulatory presenting the 2017/18 Delivery Plan and the year-end progress report on the actions in the 2016/17 Delivery Plan.

**5 RESOURCES DELIVERY PLAN 2017/18 55 - 106**

Submit report by the Strategic Lead – Resources presenting the 2017/18 Delivery Plan and the year-end progress report on the actions in the 2016/17 Delivery Plan.

**6 COMMUNICATIONS, CULTURE & COMMUNITIES DELIVERY PLAN 2017/18 107 - 170**

Submit report by the Strategic Lead – Communications, Culture & Communities presenting the 2017/18 Delivery Plan and the year-end progress report on the actions in the 2016/17 Delivery Plan.

**7 PEOPLE & TECHNOLOGY DELIVERY PLAN 2017/18 171 - 232**

Submit report by the Strategic Lead – People & Technology presenting the 2017/18 Delivery Plan and the year-end progress report on the actions in the 2016/17 Delivery Plan.

**8 ACCOUNTS COMMISSION REPORT: A REVIEW OF HOUSING BENEFIT FRAUD INVESTIGATION LIAISON ARRANGEMENTS IN SCOTLAND 235 - 258**

Submit report by the Strategic Lead – Resources providing information regarding a report recently published by the Accounts Commission and prepared by Audit Scotland.

- 9 UPDATE OF VOLUNTARY GRANTS 2016/17 AND 2017/18 259 - 270**
- Submit report by the Strategic Lead – Resources providing an update as to voluntary grants approved by WDCVS in 2016/17 in respect of Community Chest, Playscheme, Cultural and Social Transport Support Funding Grants.
- 10 COUNCIL WORKFORCE PLAN 271 - 320**
- Submit report by the Strategic Lead – People & Technology providing an update in respect of the Council’s workforce planning activity for 2017/18.
- 11 STRATEGIC WORKFORCE PLANNING FRAMEWORK 321 - 350**
- Submit report by the Strategic Lead – People & Technology presenting a revised Strategic Workforce Planning Framework supporting a more robust, longer term approach to workforce planning across the Council.
- 12 CREATING A FLEXIBLE WORKFORCE 351 - 374**
- Submit report by the Strategic Lead – People & Technology requesting approval of revisions to the Flexible Working and the Recruitment and Selection policies in relation to new initiatives aimed at improving the flexibility of the workforce.
- 13 LAUNCH OF ‘BE THE BEST CONVERSATIONS’ (REPLACING PERFORMANCE AND DEVELOPMENT PLANNING (PDP) POLICY & PROCEDURE) 375 - 382**
- Submit report by the Strategic Lead – People & Technology outlining the rationale for retiring the PDP Policy & Procedure to be replaced by ‘Be the Best Conversations’.
- 14 WORKING WELL TOGETHER – ATTENDANCE MANAGEMENT: ANNUAL PERFORMANCE 2016/17 383 - 396**
- Submit report by the Strategic Lead – People & Technology advising on attendance levels across the Council for 2016/17. The report provides a breakdown of absence performance by Strategic Lead area.
- 15 BI-ANNUAL WORKFORCE MONITORING REPORT 397 - 406**
- Submit report by the Strategic Lead – People & Technology providing employment information relating to the period 1 October 2016 to 31 March 2017, including analysis against the same period in the previous year.
- 16 EARLY RETIREMENT, VOLUNTARY SEVERANCE AND REDEPLOYMENT – PERIOD 1 OCTOBER 2016 – 31 MARCH 2017 AND ANNUAL UPDATE 407 - 413**
- Submit report by the Strategic Lead – People & Technology advising on early retirements, voluntary severance, and re-deployments during the 6 month period from 1 October 2016 to 31 March 2017 and providing a summary of the 12 month period 1 April 2016 to 31 March 2017.

## **JOINT CONSULTATIVE FORUM**

At a Meeting of the Joint Consultative Forum held in Committee Room 3, Council Offices, Garshake Road, Dumbarton on Thursday, 9 March 2017 at 2.05 p.m.

**Present:** Councillors Patrick McGlinchey, Tommy Rainey and Kath Ryall; James Halfpenny (EIS); Claire Mackenzie (SSTA); Val Jennings, (UNISON); and Charlie McDonald and Jackaleen McMonagle (Unite).

**Attending:** Angela Wilson, Strategic Director - Transformation and Public Service Reform; Malcolm Bennie, Strategic Lead - Communications, Culture and Communities; Vicki Rogers, Strategic Lead - People and Technology; Stephen West, Strategic Lead - Resources; Ronnie Dinnie, Strategic Lead - Environment and Neighbourhood; Soumen Sengupta, Head of Strategy, Planning and Health Improvement; Matthew Boyle, Education Service Manager - Workforce/CPD; Linda Butler, Events and Employee Engagement Lead; Lyn Hughes, HR Adviser; Raymond Lynch, Senior Solicitor; and Scott Kelly, Committee Officer.

**Apologies:** Apologies for absence were intimated on behalf of Councillors George Black, Jim Finn, David McBride and Gail Robertson; Peter O'Neill (UNISON); and James Docherty (Unite).

**Councillor Patrick McGlinchey in the Chair**

### **DECLARATIONS OF INTEREST**

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

### **MINUTES OF PREVIOUS MEETING**

The Minutes of Meeting of the Joint Consultative Forum held on 8 December 2016 were submitted and approved as a correct record.

## **2015 EMPLOYEE SURVEY IMPROVEMENT ACTION PLAN**

A report was submitted by the Strategic Lead - People and Technology and the Strategic Lead - Communications, Culture and Communities providing a final update on progress across the 2015 Employee Survey improvement action plan.

Having heard the Events and Employee Engagement Lead in explanation of the report and in answer to a Member's question, the Forum agreed to note the progress across the survey improvement action plan.

## **POLICY DEVELOPMENT FRAMEWORK**

A report was submitted by the Strategic Lead - People and Technology advising of a newly developed Framework, implementation of which will ensure a clear, robust and consistent approach to the development, approval, implementation and review of employment policies and schemes within West Dunbartonshire Council.

Following discussion and having heard the Strategic Lead - People and Technology in explanation of the report and in answer to Members' questions, the Forum agreed:-

- (1) to note the terms of the discussion which had taken place in relation to the distinction between policies and schemes and that Management would continue to seek agreement with the Trades Unions in relation to both policies and schemes, wherever possible;
- (2) to note that the Strategic Lead - People and Technology would discuss this matter further with Mr McDonald, outwith the meeting; and
- (3) otherwise to note the content of the newly developed Framework.

## **WORKING WELL TOGETHER: QUARTER 3 – 2016/17**

A report was submitted by the Strategic Lead - People and Technology providing an update in respect of sickness absence within West Dunbartonshire Council, the formation of the Employee Wellbeing Group and the actions progressed as part of the Working Well Together initiative.

Having heard the Strategic Lead - People and Technology in explanation of the report, the Forum agreed to note the contents of the report and the attendance results for Quarter 3, namely a decrease of 337 days lost (3.3% reduction) compared to the same period last year.

## **DISCIPLINE AND GRIEVANCE – QUARTER 3 UPDATE (1 OCTOBER 2016 – 31 DECEMBER 2016)**

A report was submitted by the Strategic Lead - People and Technology advising of progress on discipline and grievance for the period 1 October 2016 to 31 December 2016.

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

### **TRADES UNIONS ISSUES**

The Forum noted that the Trades Unions had not provided any issues that they wished to raise in advance of the meeting.

However, Councillor McGlinchey, Chair, allowed Mr McDonald to raise two matters.

#### Local Government Elections

Mr McDonald thanked Elected Members for their service in the current Council and wished them well in the forthcoming local government elections.

#### UK Government Spring Budget

Mr McDonald, on behalf of the Trades Unions, expressed his concern at the implications for public services resulting from the UK Government's Spring Budget which had been announced on the previous day.

### **CHAIR'S REMARKS**

Having heard Councillor McGlinchey, Chair, the Forum agreed to reschedule the date of its next meeting from Thursday, 8 June 2017 at 2.00 p.m. to Thursday, 15 June 2017 at 2.00 p.m.

The meeting closed at 2.20 p.m.





**WEST DUNBARTONSHIRE COUNCIL****Report by Strategic Lead - Regulatory****Committee: Corporate Services Committee 7 June 2017**

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**Subject: Regulatory Delivery Plan 2017/18****1 Purpose**

- 1.1** The purpose of this report is to present to members the Regulatory Delivery Plan 2017/18 and the year-end progress report on the actions in the 2016/17 Delivery Plan.

**2 Recommendations**

- 2.1** It is recommended that the Committee approves the 2017/18 Delivery Plan and the progress made on delivering the 2016/17 actions.

**3 Background**

- 3.1** Following the implementation of a new organisational structure in April 2016, each Strategic Lead prepares an annual delivery plan which sets out the key actions to be undertaken by the service in supporting delivery of the Council's Strategic Plan. In addition, the plans set out actions to address the key challenges and priorities identified through the service planning process as well as providing an overview of resources, including employees and budgets, and identifying relevant risks.

**4 Main Issues**Delivery Plan 2017/18

- 4.1** Appendix 1 sets out the Regulatory Delivery Plan for 2017/18. The appendices of the plan detail the action plan for delivery over 2017/18 and the workforce plan for the service.
- 4.2** Progress towards delivery of the plan is monitored monthly through the Regulatory management team and reported on a quarterly basis through the strategic leadership performance review meetings. A mid-year progress report on actions will be presented to Committee in November 2017.

Key Issues in 2017/18

- 4.3** The management team completed a detailed performance review and strategic assessment to identify the key issues and focus of action in 2017/18. These are outlined in full in the Delivery Plan at Appendix 1 and summarised below:

- deliver sustainable, quality services within the context of significant financial challenges;
- deliver two elections back-to-back;
- continue to work to facilitate the delivery of key Council regeneration sites such as Queens Quay in Clydebank, the EXXON site, Dumbarton Waterfront, Bowling Basin and the former Playdrome site;
- address the impact of new and emerging legislation and regulation in relation to Air Weapons & Licensing Act, Statement of Licensing Policy, Health (Tobacco, Nicotine, etc and Care) Act, and General Data Protection Regulation;
- address the impact of local and national reviews of services covering trading standards, planning, and building standards; and
- improve performance in relation to key performance indicators.

**4.4** Ensuring users' feedback informs learning and improvement is critical to the strategic planning process. Our complaints data and a range of other mechanisms provide invaluable feedback to help us improve our services.

**4.5** Between 1 April 2016 and 31 March 2017, the Regulatory service area received a total of 9 complaints, comprising 4 Stage 1 and 5 Stage 2 complaints. During the same period, 8 complaints were closed, 3 at Stage 1 and 5 at Stage 2. Full details are outlined in Appendix 1.

#### Workforce Planning

**4.6** Each strategic delivery plan has a supporting workforce plan which is developed to highlight and plan for the management of key workforce issues. The workforce plan sits as Appendix 4 to the Delivery Plan 2017/18.

#### 2016/17 Year-end Progress of Action Plan

**4.7** The 2016/17 Delivery Plan was supported by an action plan. Of the 15 actions due to be completed by 31 March 2017, 13 (87%) were completed as planned with two outstanding. Full details are outlined at Appendix 2.

### **5 People Implications**

**5.1** There are no direct people implications arising from this report. Any workforce implications arising from the Delivery Plan are detailed in the workforce plan.

### **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 strategic Delivery Plan 2017/18 sets out actions to support the successful delivery of the strategic priorities of the Council.

**Strategic Lead: Peter Hessel**

**Service Area: Regulatory**

**Date: 12 May 2017**

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**Person to Contact:** Lynn Henderson  
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**Appendix:** Appendix 1: Regulatory Delivery Plan 2017/18  
Appendix 2: Regulatory Delivery Plan 2016/17 - Year End Progress of Actions

**Background Papers:** None

**Wards Affected:** All





# Regulatory Delivery Plan

## 2017-18

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# **1 Overview and Profile**

## **OVERVIEW**

Regulatory comprises a wide range of services covering legal, democratic, environmental health and trading standards, planning and building standards, and corporate administrative services.

With 238 employees (213 full time equivalents) and a net budget of £4.5m, it is one of 8 strategic areas with responsibility for delivering the Council's Strategic Plan. This delivery plan outlines our achievements and areas for improvement in 2016/17 and sets out our key actions to support the delivery of the Strategic Plan priorities and objectives in 2017/18.

## **PROFILE**

Regulatory covers legal services, democratic services, environmental health and trading standards services, planning and building standards, and the corporate administration service. A structure chart is set out at Appendix 1. The service is responsible for two committees, the Licensing Committee and the Planning Committee as well as the Licensing Board and Local Review Body.

### **Legal Services**

The Legal Services team provides comprehensive advice, representation, support, governance and regulation covering the full range of Council services and is responsible for the delivery of the Council's licensing functions. It comprises three key functional areas: Legal, Licensing, and Records Management.

### **Democratic Services**

The Democratic Services team provides a diverse range of services to internal and external service users and clients. It comprises four functional areas: Committee Services, Members' Services, Leadership Support and the Registration Service. These areas are responsible for supporting council and committee meetings, administration and management of all elections providing secretarial and clerical support to elected members and the Provost, direct secretarial support to the Council's Strategic Directors and Leads, support to the Lord Lieutenancy of Dunbartonshire and the recording of Births, Still Births, Deaths, Marriages and Civil Partnerships on behalf of the National Records Office for Scotland.

### **Environmental Health & Trading Standards**

Environmental Health and Trading Standards deliver a range of statutory functions as well as non-statutory services like pest control and food hygiene training. During 2016 the service was restructured and four specialist groups were created. These are

Environmental Pollution, Trading Standards, Community Health Protection and Food and Business.

### **Planning and Building Standards**

Planning and Building Standards comprises four teams: Forward Planning, Development Management, Building Standards, and Technical Support. The team is responsible for the preparation of the Local Development Plan, providing input into the Strategic Development Plan, determining planning applications, providing advice, and undertaking statutory duties under the Building (Scotland) Act.

### **Corporate Administrative Service**

The Corporate Administrative Services consolidates all clerical and administration functions across the Council. The change was delivered in phases with the first phase of the project covering the housing, infrastructure, regeneration, environment and economic development functions and all education support out with school administration. Phase two will deliver on school administration and phase three will look to integrate the existing Admin Support Unit (ASU) into this central team.



## **2 Performance Review and Strategic Assessment**

The Regulatory management team completed a detailed performance review and strategic assessment to determine the major influences on priorities and service delivery for 2017/18 and beyond. The issues identified have informed the 2017/18 action plan (Appendix 2) and resource allocation.

### **PERFORMANCE REVIEW**

#### **Key Achievements**

During 2016/17, a number of key achievements were delivered across the strategic service. A significant achievement was the support to regeneration of key development sites across the Council area including the Council's City Deal investment site at the former Exxon/Esso site in Bowling, Queens Quay, Lomondgate and Dumbarton (Castle St/Castle Road). Additional achievements include:

#### **Legal Services**

- Achieved high satisfaction rates across a number of indicators in client survey.
- Led negotiation on key commercial discussions for capital, regeneration and infrastructure project, including City Deal, resulting in investment in the local economy of a sum in excess of £92.5M.
- Successfully defended complex employment claims with potentially far reaching consequences for the Council.
- Increased recovery of corporate debt, targeting previously unrecovered debt through a collaborative approach with the Corporate Debt Recovery team.
- Completed a review of Licensing Resolutions and Conditions.
- Implemented significant adjustments to licensing processes to take account of the Immigration Act 2016.
- New condition for use of CCTV in taxis devised.

#### **Administrative and Democratic Services**

- Participated in a benchmarking exercise by the Society of Local Authority Lawyers and Administrative Officers in Scotland (SOLAR) – Administrative Services Best Practice Group along with six other local authorities and scored highest (100%) for elected member satisfaction with the service provided.
- Successfully delivered two polls in 2016: the European Union Referendum and the Scottish Parliamentary Elections.
- Achieved a 99.55% accuracy rate for all registrations carried out following an external audit by National Records of Scotland (NRS). This represents an improvement on the previous year's figure and the service now awaits news of its overall ranking in Scotland.
- Achieved the highest rating possible for the Council's management of Tell-Us-Once following an external assessment by the Department of Work & Pensions.

## **Environmental Health and Trading Standards**

- Contributed significantly to The Serious Organised Crime - Detect and Disrupt subgroup that received an award for partnership working and achieving better outcomes in the 2016 Argyll and Bute Council Excellence Awards in September 2016.
- Introduced a process for referring private landlords to the First Tier Tribunal where their rented properties fail to comply with statutory house condition standards.
- Introduced an online reporting system for trading standards and environmental health issues.
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- Achieved finalists in the Association of Public Service Excellence (APSE) performance networks best performer award for Environmental Health services for the second year in a row.
- Ranked second best performing council in Scotland in relation to responses times following a noise complaint with an average time of 0.46 hours between time of noise complaints and attendance on site;
- Worked jointly with Police Scotland to carry out six days of patrols of West Dunbartonshire housing estates to monitor works being carried out locally in an initiative to tackle doorstep crime.
- 
- Trading Standards seized over 50 unsafe and counterfeit electrical hair straighteners from a retail stall weeks before Christmas.
- A review of existing Cold Calling Control Zones by Trading Standards has led to expansion of the scheme into a “Community Watch” project in partnership with the Police, Neighbourhood Watch and a number of WDC services.

## **Planning and Building Standards**

- Achieved good performance for all planning applications and compared favourably with the national average timescales- major applications 24.4 weeks, local development 10.2 weeks and householder applications 6.8 weeks (November 2016).
- Shortlisted in the Scottish Awards for Quality in Planning 2016 for elected members involvement in the pre-application stages of development.
- Facilitated the delivery of key development sites - Queens Quay framework document, Dumbarton Waterfront sites and walkway, Exxon site, former Playdrome site.
- Progressed the Main Issues Report of the Local Development Plan for approval for publication.
- Reviewed Kirktonhill Conservation Area boundary and publication of Supplementary Guidance: Renewable Energy, Pay Day Lending and Betting Shops, Clydebank Business Park Guidance.

- Successfully implemented e-building standards and electronic workflow during 2016, whereby 70% of building warrants and 70% of planning applications are now submitted online (November 2016).

### **Corporate Administration Support**

- Implemented phase 1 of the Corporate Administration Support (CAS) model within Regeneration and Non School Education
- Designed and implemented service plan to outline services covered within CAS for each supported area

### **Challenges**

The management team also identified a number of challenges and barriers which can delay progress. Some of the challenges faced in 2016/17 included:

- a significant increase in the number of Council House Sales applications with a commensurate increase in workload;
- the Local Development Plan is 6 years old and has not been replaced within the 5 year cycle;
- on-going building maintenance issues impacting on registration services income;
- delays in implementing new working practices as a result of the speed and reliability of scanning;
- significant efficiency targets;
- delivering services with an increased volume of work;
- delivering significant support for corporate regeneration projects with minimal impact on other service delivery;
- increasing numbers of employment and social work cases; and
- A substantial increase in number and complexity of Freedom of Information requests.

### **Elected Member Case Management System**

The Elected Member Case Management System went live in autumn 2016 but to date there has been a low uptake. Elected Members will be trained through the induction training. We will also promote and encourage all councillors to use their tablet/laptop devices to view committee papers.

## **Local Government Benchmarking Framework Performance Indicators (LGBF PIs)**

The management team also identified challenges in relation to a number of LGBF PIs set out at Appendix 3.

### *Cost of environmental health per 1,000 population*

This has increased slightly from £16,238 in 2014/15 to £16,989 in 2015/16, resulting in a drop of one place to 19<sup>th</sup>. Changes to the methodology for calculating the financial information has resulted in local variation. In the previous two years, Environmental Services has been nominated for an award for the most efficient service in the UK, taking account of cost and delivery.

### *Cost Per Planning Application*

This has increased from £6,666.70 in 2014/15 to £9,899.04 in 2015/16, resulting in a drop of three places to 31<sup>st</sup>. The successful launch of e-building standards in August 2016 has led to 70% of Building Warrant Applications being made via the online portal. The availability of this service will be promoted to increase submission of electronic applications further. As the majority of applications are now made electronically we aim to ensure that all possible savings and service improvements are capitalised on.

### *Average Time (Weeks) Per Planning Application*

This has increased from 9.1 to 10.2 weeks, resulting in a drop of seven places to 18<sup>th</sup>. However, we remain above the Scottish average performance of 11.2 weeks. The increase is the result of a large number of major applications which inevitably took longer and impacted negatively on this indicator. Measuring different categories of planning applications provides a truer indicator of performance.

## **Service Users' Feedback**

The Council has a clear focus on learning from the feedback we receive from our service users. Our complaints data, residents' telephone surveys and a range of other mechanisms provides invaluable feedback to help us improve our services.

## **Complaints**

Between 1 April 2016 and 31 March 2017, the Regulatory service area received a total of 9 complaints, comprising 4 Stage 1 and 5 Stage 2 complaints. Two of the three (67%) complaints closed at Stage 1 met the 5 working days target set for resolving complaints, and of the 5 complaints closed at Stage 2, 4 (80%) met the 20 working days target.

Two of the three complaints closed at Stage 1 were upheld while none of the complaints closed at Stage 2 were upheld. While the complaints received in 2016/17 did not highlight any specific learning points, we will ensure that all relevant staff have received customer services standards training. Upon review of the 2016/17 data, one of the nine complaints was considered to be a service request rather than a complaint.

## **Residents' Telephone Survey**

A telephone survey of 100 residents is carried out every month to gauge satisfaction levels with a range of Council services. Within the Regulatory service area, the Licensing Service is covered by the telephone survey.

While satisfaction with the Licensing service fell from 93% in 2015 to 87% in 2016 (calendar years), the most recent monthly data for 2017 shows satisfaction at 99% in January and 100% in February. This will be monitored to ensure satisfaction levels remain high, with remedial actions taken to manage and improve any decrease in satisfaction levels.

## **Self-Evaluation Programme**

A self-evaluation was completed with Planning & Building Standards in March 2017. The resulting Improvement Action Plan will be implemented over the coming months. The next self-evaluation within Regulatory will focus on Trading Standards and Environmental Health is underway and due to be completed in June 2017.

## **STRATEGIC ASSESSMENT**

Following a comprehensive strategic assessment, the management team identified a number of key issues that will impact on our priorities and service delivery in 2017/18. As priorities can change throughout the lifetime of the plan as a result of changing circumstances, we will be flexible to respond to this.

## **Local Government Election May 2017**

The biggest impact on Regulatory priorities in 2017/18 is the election of the new Council in May 2017 and implementing the priorities of the new administration. While this will have a Council wide impact, Democratic and Legal Services have responsibility for implementing any changes to standing orders, delegations or other governance arrangements. The organisation of the election early in the year will also be a significant challenge particularly given the nature of the poll and count.

## **General Election June 2017**

The very late calling of a general election for 8 June 2017 is an additional unplanned priority on the service, particularly Democratic and Legal Services.

## **Financial Challenges in 2018/19 and 2019/20**

The Council is predicting cumulative funding gaps in 2018/19 and 2019/20 of £7.885m and £11.397m respectively. This means that action has to be taken to balance our budget and protect Council jobs and services for residents.

Regulatory will aim to continue to provide a sustainable quality service to internal clients and the public following very significant budget reductions across much of the service with more reductions likely.

## **Regeneration**

The development of the key regeneration sites is a key priority of the Council. Regulatory Services, Legal Services, Planning and Building Standards and Environmental Health continue to guide and negotiate to secure improvements and facilitate development on these sites which will deliver economic benefits to West Dunbartonshire.

## **Shared Services**

West Dunbartonshire, together with Inverclyde and East Dunbartonshire councils, is exploring shared services to increase efficiency. In recognition that each authority has different ways of working we will monitor the planned changes to ensure that any regulatory matters are not overlooked.

## **Legislative Context**

### *Air Weapons & Licensing Act*

Where many parts of the act are now in force further changes have still to be brought into effect including the requirement for Licensing Board annual financial reports, the possibility of overprovision of private hire cars and the return of a version of the “fit and proper” person test for personal liquor licences. These changes will generate significant work for the licensing section.

### *Statutory Statement of Licensing Policy*

Preparation of a new Statement of Licensing Policy represents a huge undertaking, which will now be repeated every five years. While legislation requires it to be produced by November 2018 the aim is to have one agreed within the first year of operation of the new Licensing Board.

### *On-going Delivery of Key Developments*

Environmental Health, Planning & Building Standards and Legal Services will continue to work to facilitate the delivery of key Council regeneration projects such as Queens Quay in Clydebank, the EXXON site, Dumbarton Waterfront, Bowling Basin and the former Playdrome site.

Forthcoming completion of Clydebank Leisure Centre, Dumbarton Care Home and anticipated completion of new Dumbarton Offices and OLSP will have a significant impact on work required by Planning and Building Standards and service delivery will be adapted to meet the demands of these major projects.

The Health (Tobacco, Nicotine etc. and Care) (Scotland) Act 2016 Act imposes a duty on local authorities to enforce the new provisions relating to the sale, purchase, advertising and promotion of tobacco products and, for the first time, nicotine vapour products (NVPs), commonly known as 'e-cigarettes'.

Although there are a range of new requirements, one of the main changes is that NVPs will be subject to an age restriction in the same way as tobacco. Officers will undertake awareness raising visits to business and we will extend our enforcement activity for tobacco test purchasing. We have received additional funding to allow us to properly implement the new laws and statistical reporting.

### **National Political Context**

It is too early to determine the likely impact of BREXIT. However, it is possible that there will be an increased demand for food export certificates (currently no certificate is necessary for exporting to EU member states). The on-going uncertainty creates risks for business that is likely to impact on development.

### **Trading Standards Strategic Review**

Political decisions on the outcome and future direction of the strategic review of the Trading Standards service are expected during 2017/18.

The national review of trading standards addresses the following issues:

- the strengths and weaknesses of current arrangements for delivering Trading Standards services in Scotland, including Trading Standards Scotland (TSS) functions;
- their resilience and sustainability given anticipated future financial and resource pressures; and
- options for improving resilience, sustainability and quality of service.

In September 2016 the Strategic Review Group recommended to COSLA that Trading Standards should be delivered through regionally based services governed by joint committees within the framework of a binding Memorandum of Understanding. The Improvement Service was mandated to carry out a design exercise to scope up the precise number and configuration of regional services and COSLA will consider the matter further when completed.

If Trading Standards is no longer delivered directly through the Council and is part of a Regional or other shared service, there is likely to be less local control of how its resources are deployed, affecting local consumers, businesses and the employees within the service.

If a regional service is agreed there will need to be consideration about whether elements of the local trading standards service will remain with the local authority or not.

We will continue to participate in the consideration of these matters and will offer support to elected members and the trading standards group as necessary.

### **External Audit of Food Enforcement Service**

It is likely that West Dunbartonshire Council will be subject to a Food Standards Scotland Capacity and Capability Audit during 2017/18.

The audit will assess Local Authority food law enforcement capacity and capability, looking at a number of factors including management systems, the number of authorised, qualified, experienced and competent staff. The outcomes of audit are used to provide information to aid the formulation of Food Standards Scotland policy. West Dunbartonshire Council is a top performing food authority discharging its duties under food law to protect and improve the health and wellbeing of its citizens and visitors to the West Dunbartonshire area alike. Maintaining the capacity and resilience of its food law enforcement service is critical to the protection of food safety and standards in West Dunbartonshire and supports legitimate enterprise through maintaining a level playing field for food businesses.

### **Planning Review**

Following the publication of the independent review of the Scottish planning system, "Empowering planning to deliver great places" (May 2016), the Scottish government have identified a number of key actions to take forward. The Scottish Government consulted on the proposed changes to the planning systems through the document entitled 'Places, people and planning: A consultation on the future of the Scottish planning system'. This ended in April.

Within the consultation paper, the Scottish Government are considering a variety of options to enhance community involvement in planning, helping to deliver homes and infrastructure, simplify development planning and management processes and focus on improving the service and reputation of planning. Some of the changes will need legislation change but many of the report's recommendations can be achieved without legislation. It requires that authorities need to reposition planning to ensure that it sits at the very heart of the authority and planning creates the places where people work, live, learn and play.

A consultation will be launched to raise the planning fee maximum in an effort to move towards cost recovery



## **Building Standards Review**

The Council acts as a Scottish Government approved verifier in terms of granting building warrants, inspecting construction sites and accepting completion certificates when they are satisfied that construction work complies with the building regulations under the Building (Scotland) Act 2003 . The re-verification role is up for reappointment in May 2017 by the Scottish Government. Presently all verification is provided by local authorities. However, the Scottish government may consider opening the verification role to private companies too which would lead Council Building Standards teams responsible for only unauthorised works, dangerous buildings and producing and maintaining the Building Standards Register.

The Scottish government are considering increasing building warrants and associated fees to make the building standards system achieve full cost recovery. If taken forward this is expected to be implemented during 2017/18.

## **Online Applications and Electronic Service Delivery**

The successful launch of e-building standards in August 2016 has led to 70% of Building Warrant Applications being made via the online portal. The availability of this service will be promoted to increase submission of electronic applications further. As the majority of applications are now made electronically, to ensure that all possible savings and service improvements are capitalised on, the current method of taking paper based plans to site inspections requires to be improved upon. This will be developed and implemented during 2017/18 as part of the e-building standards project.

## **Office Move**

The transfer of Legal & Democratic Services to the Municipal Buildings in late 2017 is welcomed but will be challenging for all staff involved. We will work closely with the Change Team to identify opportunities to improve our processes and reduce paper whilst fulfilling our legal obligations to retain statutory records in the appropriate format. The current works at the Municipal Buildings have caused some disruption to the Registration Service with reductions in ceremonies resulting in a fall in income. The Leadership Support Team will move to the new Dumbarton office and their role in supporting the Strategic Leaders of the Council to transfer to their new accommodation is essential to maintain the effective management of Council Services during this transition period.

All other services will be moving to the new Dumbarton office in early 2018 and planning is now underway to make this as seamless as possible for our service users and clients.

## **Strengthen the Corporate Administration Support (CAS) Model**

Following the implementation of Phase 1 of CAS, a key challenge for the team will be to ensure that the transition from the old model to CAS continues smoothly. There is also a need to review and continue to improve business processes across these teams in order to deliver an efficient yet effective admin function. To this effect, a service improvement plan has been developed with current and planned improvements to processes.

## **General Data Protection Regulations**

The General Data Protection Regulation (GDPR) is replacing the Data Protection Act 1998 and coming into effect in May 2018. There are some new requirements contained within the legislation that will have a major impact on the way that personal data is processed and stored within the council. There is also a need to review and identify the changes within the new legislation that will require to be implemented to ensure compliance with the new regulation.

## **Equalities**

The Council has set out a range of equality outcomes for 2017/21 in line with its statutory duty, each led by a relevant strategic lead area. By focusing on outcomes, the Council aims to bring practical improvements to the life chances of those who experience discrimination and disadvantage.

While Regulatory is not leading on any specific equality outcome, we will continue to comply with the four council wide equality outcomes for 2017/21, relating to community participation, employment diversity, disability pay gap, and occupational segregation.

## **PERFORMANCE MANAGEMENT AND REPORTING**

To address the issues identified by the performance review and strategic assessment above, the Regulatory management team has developed an action plan for 2017/18 (Appendix 2) and a range of performance indicators to enable us to monitor progress (Appendix 3).

In accordance with the current Performance Management Framework, we will monitor and manage our progress on a regular basis and report progress to committee twice yearly, at mid-year and year end.

We also produce a range of council wide performance information for the public that is available from the Council's website.

### 3 Resources

#### EMPLOYEES

The number of full time equivalent staff in each service area at 1 April 2017 is as follows:

Service Area	FTE staff 1 April 2017
Business Support	87.14
Democratic Services	57.05
Environmental Health & Trading Standards	26.40
Legal Services	18.21
Planning & Building Standards	21.31
Regulatory Management	3.00
<b>TOTAL</b>	<b>213.11</b>

#### **'Be the Best'**

As a Council we are committed to supporting every employee to 'Be the Best'. We do this through providing personal development opportunities and ensuring that our employees feel valued and recognised for their contribution to delivering the Council's vision and strategic objectives. Employees are supported to develop professionally and personally in both their current role and in planning for any future career.

From 2017 onwards, employee development will be delivered through 'Be the Best' conversions. This process will ensure all employees receive a valuable, meaningful discussion around how they can 'Be the Best' in their role and receive support and development to allow them to achieve their potential.

Our employee development priorities include training; leadership and manager development; customer service; change management; and technical skills and specialist skills that support and maintain professional expertise. Our commitment to learning and development is recognised through the achievement of Gold Standard from Investors in People (IIP).

#### **Workforce Planning**

Workforce planning is integrated in the strategic planning process, highlighting the key workforce related activities for the year and reflecting the longer term strategic aims of all Council services. Appendix 4 sets out the detailed Workforce Plan for Environment and Neighbourhood.

#### **Employee Wellbeing Group**

The newly established Employee Wellbeing Group will develop and oversee the implementation of a Council strategy (and resulting implementation plans) which will seek to maximise employee wellbeing, recognising the benefits to the organisation and its employees of such an approach. Linked to this, work will be undertaken with managers and trades union partners to embed a 'safety culture', fostering increased ownership and accountability across the organisation as a whole.

## Employee Survey

We gather the views of our employees through a regular employee survey carried out every two years. Following the most recent survey at the end of 2015, we have developed and implemented an organisational improvement plan. This focuses on five key areas: strengthening strategic and visible leadership; widening involvement in change and continuous improvement programmes; embracing new and flexible ways of working; addressing the challenging pressures and workloads; and improving how employees feel valued for the work they do. Improvement actions to address these areas will be delivered by all services across the Council.

## BUDGET

The 2017/18 revenue budget for Regulatory is £4,499,255. A breakdown by service area is shown below. We will make the best use of the resources available to deliver on key priority areas and secure external/match funding where this is possible.

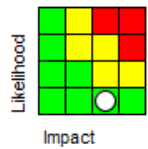
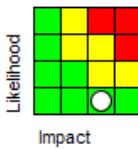
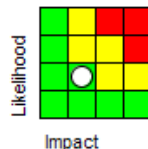
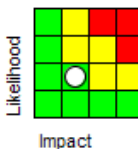
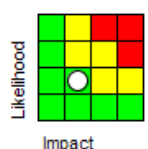

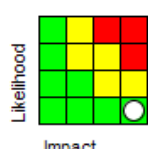
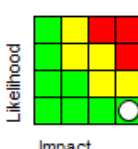
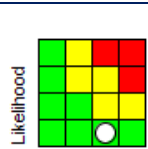
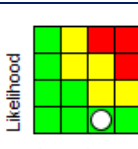
<b>2017/18</b>	<b>Expenditure</b>	<b>Income</b>	<b>Net Expenditure</b>
Administrative and Democratic Services (including Corporate Administration Support)	3,594,004	1,101,466	2,492,538
Planning & Building Standards	1,102,559	679,515	423,044
Regulatory Services (EH/TS)	1,336,332	220,440	1,115,892
Legal Services	987,708	519,927	467,781
<b>TOTAL (£)</b>	<b>7,020,603</b>	<b>2,521,348</b>	<b>4,499,255</b>

## 4 Risks

The Council has identified risks at both a strategic and service level. Strategic risks represent the potential for the Council to take advantage of opportunities or fail to meet stated strategic objectives and those that require strategic leadership. Service risks relate to service delivery and represent the potential for impact on individual services, or the experience of those who work within the services, i.e. employees, partners, contractors and volunteers, service users or clients in receipt of the services provided.

In planning for 2017/18, the Regulatory management team considered the Council's strategic risks and identified additional risks specific to the service (below).

Actions to mitigate these risks are set out in our action plan at Appendix 2 or in our operational plans, with the aim of improving or maintaining the current position (i.e. the current risk score). The current risk scores reflect current actions taken to reduce the risks.

Risk	Description	Current Risk Score	Target Risk Score
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, licensing, planning and building standards.		
Failure to design and operate appropriate data sharing controls	The design and operation of controls to ensure the sharing of personal data complies with the principles of the Data Protection Act 1998 and the good practice recommendations set out in the Information Commissioner's Data Sharing Code of Practice.		
Failure to follow appropriate records management processes	The processes in place for managing both electronic and manual records containing personal data. Includes controls in place to monitor the creation, maintenance, storage, movement, retention and destruction of personal data records.		
Failure to successfully deliver the Local Government Election 2017	Failure to deliver an accurate result and robust election process would result in a loss of confidence from all interested parties and damage the reputation of the Council.		
Failure to secure re-appointment as building standards verifier	Failure to secure re-appointment by the Scottish Government as a verifier will result in the loss of the majority of the building standards work currently undertaken as well as the associated fee income.		

# Appendix 1: Structure Chart



## Appendix 2: Action Plan 2017/18

Priority	Outcome	Action	Due Date	Assigned to
Social Mission	Improved economic growth and employability	Prepare 'Main Issues' report part of the Local Development Plan	June 2017	Pamela Clifford
		Facilitate the development of key sites – Queens Quay, Dumbarton Waterfront, Exxon site, former Playdrome site, and Mitchell Way, Alexandria	March 2018	Pamela Clifford
		Revise the enforcement strategy within Planning to reflect the changing resources available	September 2017	Pamela Clifford
		Ensure Building Standards re-appointment as verifier	May 2017	Colin Newman
	Improved wellbeing of communities and protected the welfare of vulnerable people	Prepare a new statement of licensing policy (statutory)	May 2018	Raymond Lynch
		Participate in the Food Law Code of Practice review project in partnership with Food Standards Scotland and 10 other local authorities	March 2018	Martin Keeley
		Review waste management regulation to ensure it is current and reflects any changes as a result of the waste services shared services project	March 2018	Pat Hoey
		Review in partnership with licensing team how we manage and deliver petroleum, fireworks and explosives licensing should a national/ regional trading standards service be introduced	March 2018	Graham Pollock
		Work with Health Improvement Team and other partners to deliver a WDC integrated and joined up approach to smoking cessation, smoking tobacco, and tobacco and nicotine vapour products advice and enforcement	March 2018	Graham Pollock
		Develop and extend all environmental health officers competence across all work topics in order to increase flexibility and support business continuity	March 2018	Graham Pollock
		Support the work of the WDC in respect of Serious and Organised Crime/Counter terrorism in particular the work of the Detect and Disrupt sub group and all partners	March 2018	Graham Pollock
		Consider opportunities to maximise income from Pest Control through benchmarking, developing services and adjusting charges to reflect market conditions	October 2017	Graham Pollock
		Work with Health Improvement Team and Education to encourage the use of Scottish Government's educational web-sites for Air Quality and provide support where required	March 2018	Pat Hoey

Priority	Outcome	Action	Due Date	Assigned to
Social Mission	Improved local housing and environmentally sustainable infrastructure	Develop and agree structure for Queen's Quay district heating investment opportunity and the associated "heat delivery" agreements with end users	March 2018	Alan Douglas
Organisational Capabilities	Robust financial governance and sustainable budget management	Implement Corporate Administrative Services model and integrate Administrative Support Unit	March 2018	Arun Menon
	Fit for purpose estates and facilities	Prepare for the move to new Council offices	January 2018	All Managers
		Assist and support Strategic Leaders of the Council to transfer to new premises, introduce electronic filing and adapt to new mobile way of working	December 2017	Emma Williams
	Committed and dynamic workforce	Develop, implement and evaluate a local action plan, in line with the Council's employee wellbeing strategy	March 2018	Peter Hessett
		Support implementation of 'Be the Best' conversations	March 2018	Peter Hessett
	Strong corporate governance	Deliver a successful local government election	May 2017	Peter Hessett
		Deliver a successful general election	June 2017	Peter Hessett
		Implement the new administration's plans for the governance of the Council	March 2018	Peter Hessett
		Carry out training for elected members (including case management system)	December 2017	Peter Hessett
		Finalise online Introduction to Data Protection Act course and make available to relevant staff	June 2017	Michael Butler
Identify new legislative requirements for General Data Protection Regulation (GDPR) and implement as necessary		April 2018	Michael Butler	
	Review Court processes and forms in light of new Court rules	March 2018	Nigel Ettles	
Legitimacy & Support	Positive dialogue with local citizens and communities	Implement customer services improvement action re improving case management systems	March 2018	Alan Douglas



### Appendix 3: Performance Indicators 2017/18

The following performance indicators will be integrated in the Action Plan (Appendix 2) and monitored, managed and reported in accordance with the Performance Management Framework.

#### Strategic Plan PIs:

CS/LDRS/007	Percentage of businesses and activities regulated by environmental health and trading standards who are substantially compliant with legislative requirements
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#### Local Government Benchmarking Framework PIs:

SCORP05b2	Average time between time of noise complaints and attendance on site (hours) (including both those dealt with and not dealt with under the Anti Social Behaviour Scotland Act 2004)
SENV05a	Cost of trading standards per 1,000 population £
SENV05b	Cost of environmental health per 1,000 population £
SECON02	Cost per planning application
SECON03	Average time taken to deliver a commercial planning application decision

#### Local PIs:

REG/RS/001	Percentage of Trading Standards and Environmental Health Groups customer service requests first responded to within 2 working days
CS/LDRS/998	Percentage of customers satisfied or very satisfied with the service they received from Environmental Health and Trading Standards Groups
CS/LDRS/999	Percentage of businesses satisfied or very satisfied with the service they received from Environmental Health and Trading Standards groups
CS/EH/LPI001	Percentage of high priority pest control service requests responded to by the Community Health Protection Group within 2 working days
CS/EH/997	% of air quality monitoring stations complying with the national objective for nitrogen dioxide at the nearest building façades of residential properties , schools, hospitals and care homes (40ug/m3 NO2 )
CS/LDRS-TS/003	Amount of redress won for consumers by the Trading Standards Group (£)
SPS1 bii	Food Safety: Percentage of premises in the highest risk category (6 monthly inspections by Food & Business Group) that were inspected on time
SPS1 cii	Food Safety: Percentage of premises in the high risk category (12 monthly inspections by Food & Business Group) that were inspected on time
REG/RS-CHP/001	Percentage of Type A private water supplies which have a valid risk assessment in place
REG/RS-CHP/004	Percentage of private landlord applications administered by the Community Health Protection Group and processed within 21 days
SOA/14-17/2.6.4	Number of reports of bogus/cold callers
H/PBS/19	Planning applications (major developments) – average number of weeks to a decision
H/PBS/20	Planning applications (householder) – average number of weeks to a decision
H/PBS/21	Planning applications (local development, excluding householder) - average number of weeks to a decision
SL/Absence/RGY/3	Regulatory Absence

### Introduction

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

The plan also provides details of the current workforce profile of the Strategic Lead Area, allowing for observations and assumptions to be drawn based upon workforce demographics and the impact this has in relation to resources and service delivery.

Sickness absence information has also been included as reduction in this area is a key service priority for the council.

The plan is broken down as follows:

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

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

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

Priority/ Issues	Resource or Skill implication	Action required	Cost / Saving	Lead Officer	Comments
<b>Restructures</b>					
CAS review	This is a new function which aims to consolidate all clerical and admin functions across the council	There are phases of implementation across the council.  Staff will be managed in line with the SWITCH process.  Areas lacking resilience to be identified and targeted.	Phase 1 - £109,000 for 2016/17  2017/18 target i £66k	Arun Menor  Arun Menor	Achieved  Ongoing
Implement any additional staffing changes to achieve savings targets target	Review / reshape the staffing complements to meet current and future needs of the service.		Savings will be identified through the budget process	Peter Hessett	Contained within Budget savings
<b>Recruitment and Retention</b>					
Progression of specific Improvement actions arising from Employee Survey	Retention and development of staff	Take actions to address issues arising from employee survey	Nil	Peter Hessett	Following the corporate programme of work

Resourcing					
Reduce Sickness absence rates in WDC.	Reduce staff absence across the Service  Target for 2016/17 was 6 average days lost	Management training  Change of Culture – working well together workshops to assist this.  Targeting specific problems in specific areas.  Continue to focus on the themes and trends effecting the service	Internal – staff costs and any developmental training material	Peter Hessematt and all senior managers	2016/17 year end result  6.23 FTE days lost at year end  Going forward - Develop, implement and evaluate a local action plan, in line with the Council's employee wellbeing strategy.

Training and Development					
Be the best conversations  Moving over to be the best conversations	Ensuring that the benefits achieved from the introduction of PDP are not lost and employees are adequately supported and developed	All employees have a be the best conversation	None	All Managers	100% of employees have PDP for 2016/2017  For 2017/18 managing the transition to be the best conversations
Staff development	Ensure all employees have appropriate access to learning and training	Identify training skills gap	Identify budget need to support this.	All Managers	Ongoing, primarily identified through be the best conversations
Regulatory Section	Staff development and succession planning as appropriate	Analysis of the Regulatory section to assess how well the new structure is functioning and ensure cross team resilience	None	Graham Pollock	Ongoing
Local Government Election	Ensuring training for count staff in particular taking account of the unique challenges of an electronic count			George Hawthorn	Complete
General Election			To be confirmed taken from Election Budget	George Hawthorn	underway

## 2. Longer term Key Priorities/ Issues and Resource Implications

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

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

### 3. Establishment and resource Information

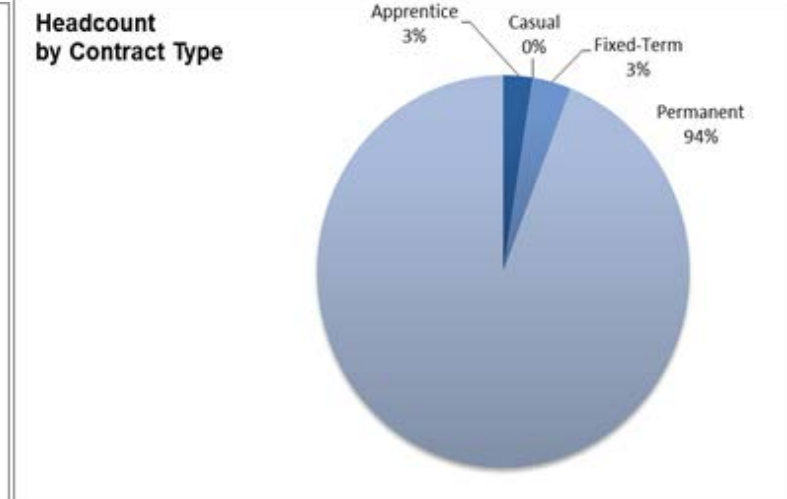
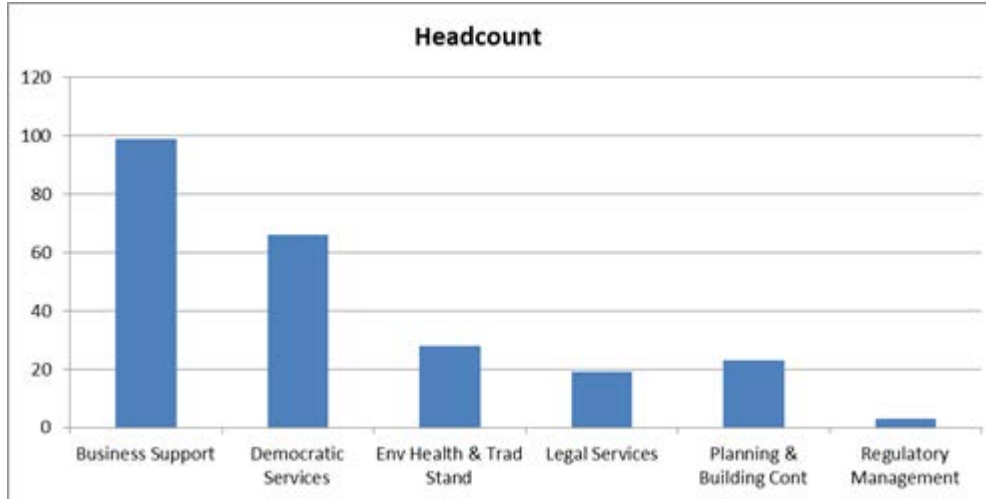
The data listed below relates to the profile of the Strategic Lead area workforce as at 1<sup>st</sup> April 2017 and examines changes in that profile over time. Comparison is not provided in instances where new workforce profile information is being reported for the first time.

#### 1 Headcount

	Apprentice	Casual	Fixed-Term	Permanent	Total
Business Support	5	0	4	90	99
Democratic Services	1	0	1	64	66
Env Health & Trad Stand	0	0	2	26	28
Legal Services	0	0	0	19	19
Planning & Building Cont	0	0	1	22	23
Regulatory Management*	0	0	0	3	3
<b>Regulatory Total</b>	<b>6</b>	<b>0</b>	<b>8</b>	<b>224</b>	<b>238</b>

\*there is also one manager who is split across Resources and Regulatory, but who is included in the Resources workforce plan

Since last year there has been an increase of 97 staff across Regulatory Services. This is predominately due to the inclusion of Business Support Service and slight variance in other areas. Last year full time permanent contracts made up 97% of contracts within Regulatory Services and this year this is more variety with apprenticeships and fixed term accounting for 3% respectively.



## 2 Full time equivalent

	Apprentice	Fixed-Term	Permanent	Total
Business Support	5.50	4.00	77.64	87.14
Democratic Services	1.00	1.00	55.05	57.05
Env Health & Trad Stand	0.00	1.50	24.90	26.40
Legal Services	0.00	0.00	18.21	18.21
Planning & Building Cont	0.00	1.00	20.31	21.31
Regulatory Management*	0.00	0.00	3.00	3.00
<b>Regulatory Total</b>	<b>6.50</b>	<b>7.50</b>	<b>199.12</b>	<b>213.12</b>

\*there is also one manager who is split across Resources and Regulatory, but who is included in the Resources workforce plan

Since last year there has been an increase of 86 FTE across Regulatory Services. This is predominately due to the inclusion of Business Support Service and slight variance in other areas.



### 3 Fixed-Term Contract

One employee has a fixed-term contract which is due to expire within the next 6 months. There are no employees who have been contracted on a fixed-term basis for more than 2 years.

### 4 Full-Time/Part-Time Split

	Full-Time	Part-Time
Business Support	67	32
Democratic Services	39	27
Env Health & Trad Stand	24	4
Legal Services	16	3
Planning & Building Cont	17	6
Regulatory Management	3	0
<b>Regulatory Total</b>	<b>166</b>	<b>72</b>

Across the council 47% of the workforce is employed on a part time basis and this is reflected in Regulatory Services with 44%of contracts part time.

## 5. Grade Profile

### Number of staff under each grade

	1	2	3	4	5	6	7	8	9	10	11	12	Mod Ap
Business Support	0	0	84	0	3	7	0	0	0	0	0	0	5
Democratic Services	1	0	31	5	18	7	1	1	1	0	0	0	1
Env Health & Trad Stand	0	0	0	0	3	7	0	14	4	0	0	0	0
Legal Services	0	0	0	2	1	2	1	10	0	3	0	0	0
Planning & Building Cont	0	0	0	4	0	2	5	8	3	0	1	0	0
Regulatory Management	0	0	0	0	0	0	0	0	0	0	1	2	0
<b>Regulatory Total</b>	<b>1</b>	<b>0</b>	<b>115</b>	<b>11</b>	<b>25</b>	<b>25</b>	<b>7</b>	<b>33</b>	<b>8</b>	<b>3</b>	<b>2</b>	<b>2</b>	<b>6</b>

### Percentage of staff under each grade

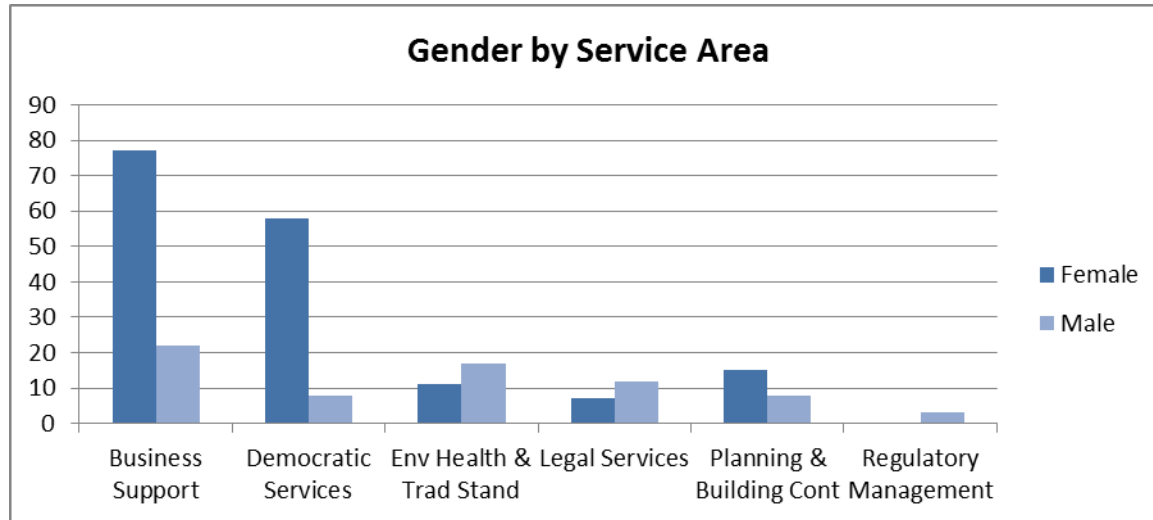
	1	2	3	4	5	6	7	8	9	10	11	12	Mod Ap
Business Support	0.0%	0.0%	84.8%	0.0%	3.0%	7.1%	0.0%	0.0%	0.0%	0.0%	0.0%	0.0%	5.1%
Democratic Services	1.5%	0.0%	47.0%	7.6%	27.3%	10.6%	1.5%	1.5%	1.5%	0.0%	0.0%	0.0%	1.5%
Env Health & Trad Stand	0.0%	0.0%	0.0%	0.0%	10.7%	25.0%	0.0%	50.0%	14.3%	0.0%	0.0%	0.0%	0.0%
Legal Services	0.0%	0.0%	0.0%	10.5%	5.3%	10.5%	5.3%	52.6%	0.0%	15.8%	0.0%	0.0%	0.0%
Planning & Building Cont	0.0%	0.0%	0.0%	17.4%	0.0%	8.7%	21.7%	34.8%	13.0%	0.0%	4.3%	0.0%	0.0%
Regulatory Management	0.0%	0.0%	0.0%	0.0%	0.0%	0.0%	0.0%	0.0%	0.0%	0.0%	33.3%	66.7%	0.0%
<b>Regulatory Total</b>	<b>0.4%</b>	<b>0.0%</b>	<b>48.3%</b>	<b>4.6%</b>	<b>10.5%</b>	<b>10.5%</b>	<b>2.9%</b>	<b>13.9%</b>	<b>3.4%</b>	<b>1.3%</b>	<b>0.8%</b>	<b>0.8%</b>	<b>2.5%</b>

The grade profile within Regulatory services is as you would expect, with the highest percentage falling within the administrative (grade 3) and professional grades with the bulk at Grade 8.

## 5 Gender Profile

	Female		Male	
	Headcount	Percentage	Headcount	Percentage
Business Support	77	77.8%	22	22.2%
Democratic Services	58	87.9%	8	12.1%
Env Health & Trad Stand	11	39.3%	17	60.7%
Legal Services	7	36.8%	12	63.2%
Planning & Building Cont	15	65.2%	8	34.8%
Regulatory Management	0	0.0%	3	100.0%
<b>Regulatory Total</b>	<b>168</b>	<b>70.6%</b>	<b>70</b>	<b>29.4%</b>

The introduction of the business support service has resulted in a gender split of 29.4% male and 70.6% female gender split. Last year this was 35% and 65% respectively. This profile is similar to the workforce profile for the rest of the council.



## 6 Age Profile

### Age Profile – Headcount

	16-19	20-24	25-29	30-34	35-39	40-44	45-49	50-54	55-59	60-64	65+
Business Support	5	12	3	11	9	10	13	14	9	10	3
Democratic Services	0	5	5	11	4	8	6	16	5	5	1
Env Health & Trad Stand	0	1	1	2	3	4	7	3	5	1	1
Legal Services	0	0	0	1	3	1	3	7	2	1	1
Planning & Building Cont	0	0	2	2	5	3	2	5	3	1	0
Regulatory Management	0	0	0	0	0	0	0	2	1	0	0
<b>Regulatory Total</b>	<b>5</b>	<b>18</b>	<b>11</b>	<b>27</b>	<b>24</b>	<b>26</b>	<b>31</b>	<b>47</b>	<b>25</b>	<b>18</b>	<b>6</b>

## Age Profile – Percentage

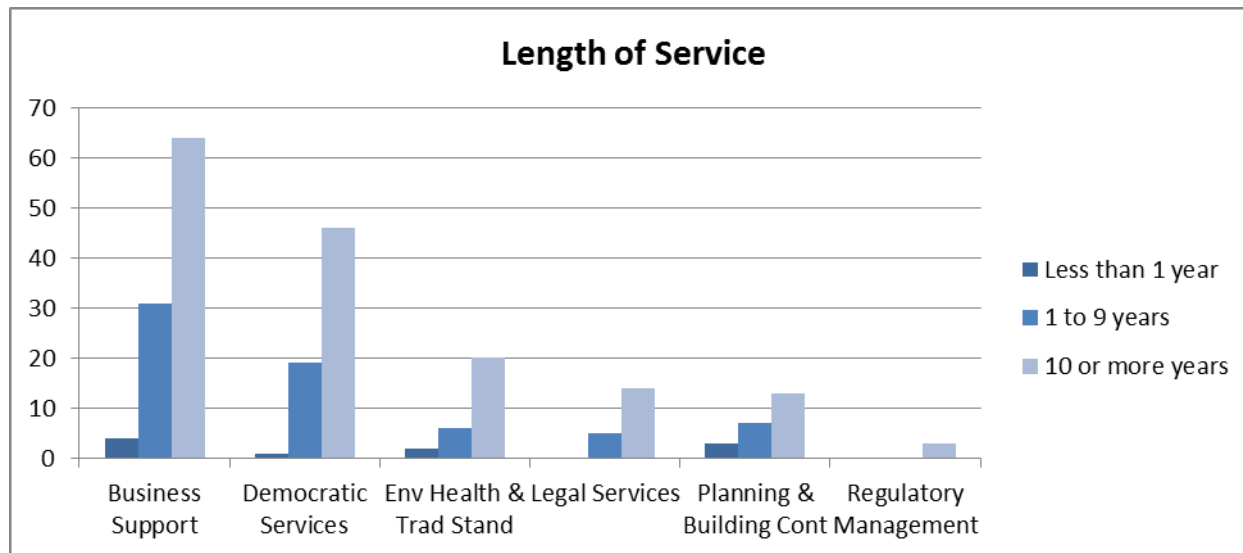
	16-19	20-24	25-29	30-34	35-39	40-44	45-49	50-54	55-59	60-64	65+
Business Support	5.1%	12.1%	3.0%	11.1%	9.1%	10.1%	13.1%	14.1%	9.1%	10.1%	3.0%
Democratic Services	0.0%	7.6%	7.6%	16.7%	6.1%	12.1%	9.1%	24.2%	7.6%	7.6%	1.5%
Env Health & Trad Stand	0.0%	3.6%	3.6%	7.1%	10.7%	14.3%	25.0%	10.7%	17.9%	3.6%	3.6%
Legal Services	0.0%	0.0%	0.0%	5.3%	15.8%	5.3%	15.8%	36.8%	10.5%	5.3%	5.3%
Planning & Building Cont	0.0%	0.0%	8.7%	8.7%	21.7%	13.0%	8.7%	21.7%	13.0%	4.3%	0.0%
Regulatory Management	0.0%	0.0%	0.0%	0.0%	0.0%	0.0%	0.0%	66.7%	33.3%	0.0%	0.0%
<b>Regulatory Total</b>	<b>2.1%</b>	<b>7.6%</b>	<b>4.6%</b>	<b>11.3%</b>	<b>10.1%</b>	<b>10.9%</b>	<b>13.0%</b>	<b>19.7%</b>	<b>10.5%</b>	<b>7.6%</b>	<b>2.5%</b>

Demographically there is a fair distribution of all age groups evident within Regulatory Services with 2.5% of employees over the normal retirement age of 65.

## 7 Length of Service with WDC

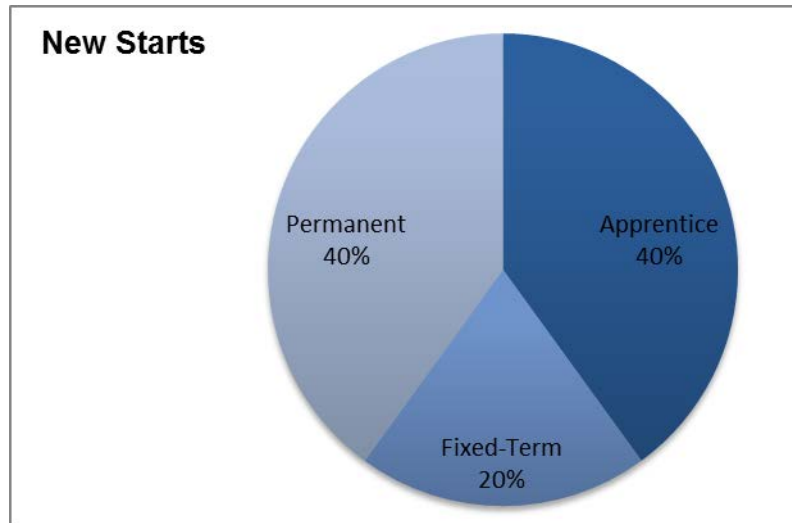
	Less than 1 year		1 to 9 years		10 or more years	
	Headcount	Percentage	Headcount	Percentage	Headcount	Percentage
Business Support	4	4.0%	31	31.3%	64	64.6%
Democratic Services	1	1.5%	19	28.8%	46	69.7%
Env Health & Trad Stand	2	7.1%	6	21.4%	20	71.4%
Legal Services	0	0.0%	5	26.3%	14	73.7%
Planning & Building Cont	3	13.0%	7	30.4%	13	56.5%
Regulatory Management	0	0.0%	0	0.0%	3	100.0%
<b>Regulatory Total</b>	<b>10</b>	<b>4.2%</b>	<b>68</b>	<b>28.6%</b>	<b>160</b>	<b>67.2%</b>

As with most council services the highest proportion of staff have service that exceeds 10 years. Only 10 staff within Regulatory service have service of less than one year and 4 of these are Apprenticeships.



## 8 New Start Employees

	Apprentice	Fixed-Term	Permanent
Business Support	4	0	0
Democratic Services	0	0	1
Env Health & Trad Stand	0	1	1
Legal Services	0	0	0
Planning & Building Cont	0	1	2
Regulatory Management	0	0	0
<b>Regulatory Total</b>	<b>4</b>	<b>2</b>	<b>4</b>



There were 10 new employees over the course of the year including 4 apprenticeships.

## 9 Turnover

	Staff at 1 April 2016	Staff at 1 April 2017	Average	Leavers	Turnover %
Business Support	0	99	50	7	14.00%
Democratic Services	71	66	69	1	1.45%
Env Health & Trad Stand	28	28	28	2	7.14%
Legal Services	20	19	20	2	10.00%
Planning & Building Cont	20	23	22	1	4.55%
Regulatory Management	3	3	3	0	0.00%
<b>Regulatory Total</b>	<b>142</b>	<b>238</b>	<b>190</b>	<b>13</b>	<b>6.84%</b>

Regulatory Services have a low turnover of staff within 2016/17 as compared to the Council overall.

## 10 Leavers

	Dismissal - Ill Health	Resignation	Retiral - Age	Retiral - Efficiency	Retiral on Option (60+)	Severance - Efficiency	Total
Business Support	1	2	1	2	0	1	7
Democratic Services	0	1	0	0	0	0	1
Env Health & Trad Stand	0	0	1	0	1	0	2
Legal Services	0	1	1	0	0	0	2
Planning & Building Cont	0	1	0	0	0	0	1
Regulatory Management	0	0	0	0	0	0	0
<b>Regulatory Total</b>	<b>1</b>	<b>5</b>	<b>3</b>	<b>2</b>	<b>1</b>	<b>1</b>	<b>13</b>



The leaver's statistic reflects a similar picture as was reported last year with a total of 13 leavers this year against 16 last year with the distribution of reasons being similar with the majority leaving through retirement options.

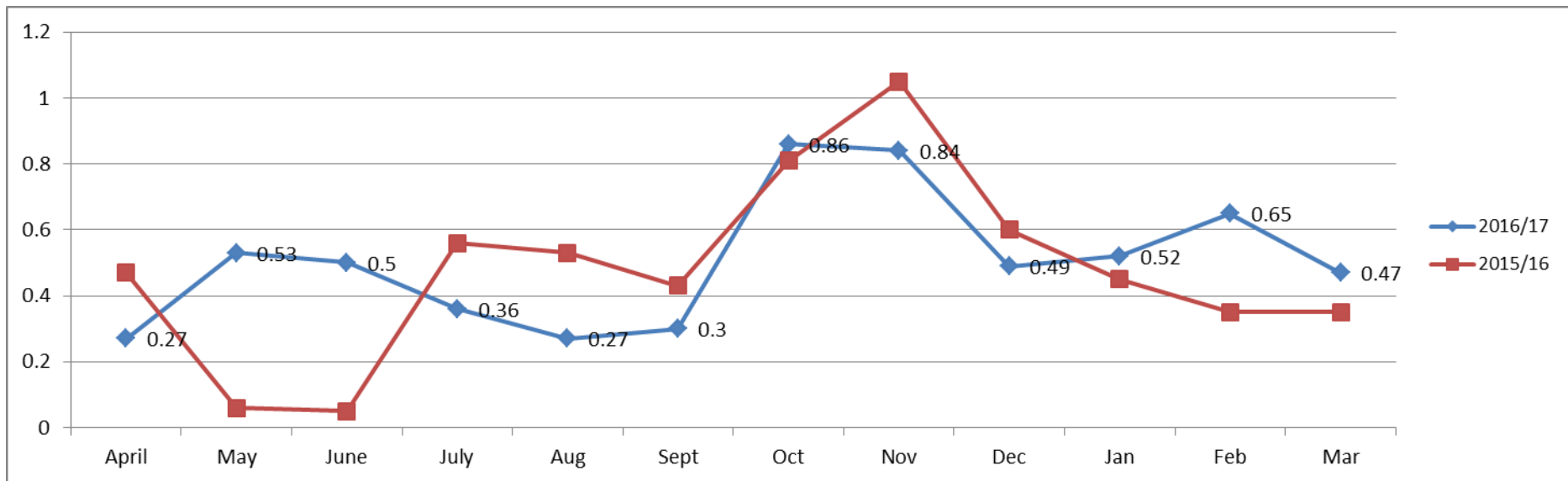
## 11 Maternity/Paternity Leave

	Maternity Leave	Paternity Leave	Total	% of employees
Business Support	2	0	2	4.0%
Democratic Services	3	0	3	4.4%
Env Health & Trad Stand	2	0	2	7.1%
Legal Services	0	0	0	0.0%
Planning & Building Cont	2	0	2	9.3%
Regulatory Management	0	0	0	0.0%
<b>Regulatory Total</b>	<b>9</b>	<b>0</b>	<b>9</b>	<b>4.7%</b>

There has been no paternity leave this year in Regulatory services and as in previous years family leave only affects 4.7% of the services workforce. Last years there was a total of 9 instances of family leave while this years this has risen to 9 with 2 of these within the business support unit, a new addition to the service.

## 12 Sickness Absence

	April	May	June	July	Aug	Sept	Oct	Nov	Dec	Jan	Feb	Mar	Year End
2016/17	0.27	0.53	0.5	0.36	0.27	0.3	0.86	0.84	0.49	0.52	0.65	0.47	<b>6.23</b>
2015/16	0.47	0.06	0.05	0.56	0.53	0.43	0.81	1.05	0.6	0.45	0.35	0.35	<b>5.71</b>



Regulatory service have a target of 6 average days lost and this year achieved a result of 6.23. The graph below shows the absence statistics throughout the year and compares this to last year's stats when a year end figure of 5,24 was achieved.

The subsequent tables show year end duration and reason analysis. Detailed reports are provided to committee quarterly analysis trends and management practice. At a service level these discussions take place on a monthly basis with service managers.

# Regulatory Delivery Plan 2016/17

## Year End Progress - Actions







### 1 Social mission

Ob						
Improve local housing and environmentally sustainable infrastructure						
Code	Action	Status	Progress	Due Date	Comment	Assigned To
REG/16-17/LE/001	Successfully support delivery of transformational projects (Council wide)	✓	100%	31-Mar-2017	Completed as planned. All anticipated projects supported within parameters. Some additions at short notice mean some remedial work necessary for projects which are due to commence early in 17/18.	Alan Douglas
REG/16-17/PB/001	Commence preparation of new Local Development Plan	✓	100%	31-Mar-2017	Main Issues Report approved by the Planning Committee for consultation as per the development plan participation statement.	Pamela Clifford
REG/16-17/RG/001	Progress and support development on key Council regeneration sites (QQ, Dumbarton Waterfront, Exxon, Mitchell Way)	✓	100%	31-Mar-2017	Planning , Legal and Environmental Health Officers are continuing to assess information, attend meetings and support developers and consultants in respect of facilitating development on these key regeneration sites. These sites are ongoing and it is promoted as an action for 2017/18.	Pamela Clifford; Alan Douglas; Graham Pollock
Ob						
Improve the wellbeing of communities and protect the welfare of vulnerable people						
Code	Action	Status	Progress	Due Date	Comment	Assigned To
REG/16-17/LE/002	Develop a local response to implications on Land Reform and Asset Transfer resulting from Community Empowerment Act	✓	100%	31-Mar-2017	Procedures in place awaiting any applicants. No applications have been notified to Legal Services by the year end.	Alan Douglas
REG/16-17/RG/002	Deliver a successful Scottish Parliamentary Election	✓	100%	31-Mar-2017	Election completed successfully.	Peter Hessett
REG/16-17/RG/003	Deliver a successful European Referendum for the West Dunbartonshire area	✓	100%	31-Mar-2017	Poll successfully completed with all interested parties having confidence in the accuracy of the result and process.	Peter Hessett
REG/16-17/RS/001	Develop a local response to recommendations from national strategic review of trading standards	✓	100%	31-Mar-2017	The matter remains under review and more detailed plans for consideration by COSLA following the 2017 elections are being developed. No further actions are likely within the current year.	Tony Cairns
REG/16-17/RS/002	Ensure environmental health and trading standards provide community focused services in line with current legislative and statutory guidance	⛔	85%	31-Mar-2017	One milestone was missed due to staffing changes with preferred contractor. We are continuing to work towards a mobile work solution.	Graham Pollock

## 2 Organisational Capabilities

Ob						
Committed and dynamic workforce						
Code	Action	Status	Progress	Due Date	Comment	Assigned To
REG/16-17/RG/005	Ensure service structures are fit for purpose		<div style="width: 100%;"><div style="width: 100%; background-color: #4f81bd; color: white;">100%</div></div>	31-Mar-2017	Structures are in place for the Admin Support Unit.	Peter Hessett
REG/16-17/RG/006	Implement improvements arising from Staff Survey 2015		<div style="width: 100%;"><div style="width: 100%; background-color: #4f81bd; color: white;">100%</div></div>	31-Mar-2017	Back to the floor - attendance at team meetings.	Peter Hessett
Ob						
Fit for purpose estates and facilities						
Code	Action	Status	Progress	Due Date	Comment	Assigned To
REG/16-17/RG/004	Support transition planning for move to new Dumbarton office		<div style="width: 100%;"><div style="width: 100%; background-color: #4f81bd; color: white;">100%</div></div>	31-Mar-2017	There is still work to be done on local filing and those in basement cages, however the majority, that in the roller filing has been cleared. Should carry on as a new action - possibly locally, in Covalent for 2017/18.	Alan Douglas
Ob						
Strong corporate governance						
Code	Action	Status	Progress	Due Date	Comment	Assigned To
REG/16-17/BS/006	Complete the first two phases of the Corporate Administration Support function project		<div style="width: 66%;"><div style="width: 66%; background-color: #4f81bd; color: white;">66%</div></div>	31-Mar-2017	The team has completed two milestones in phase 1, integrating and embedding HEEDS and non-schools Education staff into CAS, and we are working on completing the phase 2 milestone (schools Education), finalising future processes for administrative support in schools and proposing structure options. The latter remains outstanding due to unavoidable delays and will be carried over to our 2017/18 delivery plan for completion by 31 March 2018 along with the phase 3 milestone scheduled for 2017/18 - integrating ASU with Payroll. Work on phase 3 has already begun.	Arun Menon
REG/16-17/DS/001	Plan for the effective implementation of a new Council and administration post Local Government Elections in May 2017		<div style="width: 100%;"><div style="width: 100%; background-color: #4f81bd; color: white;">100%</div></div>	31-Mar-2017	Completed as planned. All plans are in place and are on track.	George Hawthorn
REG/16-17/LE/004	Ensure an appropriate corporate legal response to implementation of new legislation and policy directives		<div style="width: 100%;"><div style="width: 100%; background-color: #4f81bd; color: white;">100%</div></div>	31-Mar-2017	Full year review confirms this aim was met.	Alan Douglas

	Strong financial governance and sustainable budget management					
Code	Action	Status	Progress	Due Date	Comment	Assigned To
REG/16-17/LE/003	Finalise Common Good Register for West Dunbartonshire		<div style="background-color: #ADD8E6; width: 100%; text-align: center;">100%</div>	31-Mar-2017	The work in updating the Common Good Register was completed in previous years. There is an ongoing element which is to update the register as and when properties are identified as having Common Good characteristics and subsequently verified as Common Good.	Alan Douglas

Status	
	Completed
	Overdue



**WEST DUNBARTONSHIRE COUNCIL****Report by Strategic Lead - Resources****Committee: Corporate Services Committee 7 June 2017**

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**Subject: Resources Delivery Plan 2017/18****1 Purpose**

- 1.1** The purpose of this report is to present to members the Resources Delivery Plan 2017/18 and the year end progress report on the actions in the 2016/17 Delivery Plan.

**2 Recommendations**

- 2.1** It is recommended that the Committee approves the 2017/18 Delivery Plan and the progress made on delivering the 2016/17 actions.

**3 Background**

- 3.1** Following the implementation of a new organisational structure in April 2016, each Strategic Lead prepares an annual delivery plan which sets out the key actions to be undertaken by the service in supporting delivery of the Council's Strategic Plan. In addition, the plans set out actions to address the key challenges and priorities identified through the service planning process as well as providing an overview of resources, including employees and budgets, and identifying relevant risks.

**4 Main Issues**

- 4.1** Appendix 1 sets out the Resources Delivery Plan for 2017/18. The appendices of the plan detail the action plan for delivery over 2017/18 and the workforce plan for the service.
- 4.2** Progress towards delivery of the plan is monitored monthly by the Resource's management team and reported on a quarterly basis through the strategic leadership performance review meetings. A mid-year progress report on actions will be presented to committee in November 2017.

Key Issues in 2017/18

- 4.3** The management team completed a detailed performance review and strategic assessment to identify the key issues and focus of action in 2017/18. These are outlined in full in the Delivery Plan at Appendix 1 and summarised below:

- deliver sustainable, quality services within the context of significant financial challenges;

- improve performance in relation to key areas including rent arrears, Council tax collection, payment of invoices, and outstanding sundry debt;
- work to mitigate the financial impact of Welfare Reform in relation to Council Tax collection and rental income;
- foster greater alignment and integration of ICT systems;
- ensure compliance with procurement legislation, with a particular focus on implementing an updated procurement procedure that has a greater focus on delivering community and other local benefits; and
- focus on people management through implementing the actions arising from the Employee Survey, employee well-being group, and other sources.

**4.4** Ensuring users' feedback informs learning and improvement is critical to the strategic planning process. Our complaints data and a range of other mechanisms provide invaluable feedback to help us improve our services.

**4.5** Between 1 April 2016 and 31 March 2017, Resources received a total of 56 complaints, comprising 51 Stage 1 and 5 Stage 2 complaints. During the same period, 55 complaints were closed, 50 at Stage 1 and 5 at Stage 2. Full details are outlined in Appendix 1.

#### Workforce Planning

**4.6** Each strategic delivery plan has a supporting workforce plan, which is developed to highlight and plan for the management of key workforce issues. The workforce plan sits as Appendix 4 to the Delivery Plan 2017/18.

#### 2016/17 Year-end Progress of Action Plan

**4.7** The 2016/17 Delivery Plan was supported by an action plan. Of the 19 actions due to be completed by 31 March 2017, 15 (79%) were completed as planned with 4 (21%) outstanding. Full details are outlined at Appendix 2.

### **5 People Implications**

**5.1** There are no direct people implications arising from this report. Any workforce implications arising from the Delivery Plan are detailed in the workforce plan.

### **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 Resources 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 strategic Delivery Plan 2017/18 sets out actions to support the successful delivery of the strategic priorities of the Council.

**Strategic Lead: Stephen West**

**Service Area: Resources**

**Date: 12 May 2017**

---

**Person to Contact:** Lynn Henderson  
lynn.henderson@west-dunbarton.gov.uk

**Appendix:** Appendix 1: Resources Delivery Plan 2017/18  
Appendix 2: Resources Delivery Plan 2016/17 - Year End  
Progress of Actions

**Background Papers:** **None**

**Wards Affected:** All





# Resources Delivery Plan

## 2017-18

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## 1. Objectives and Priorities

The Resources Service (RS) provides important support services to residents and businesses of West Dunbartonshire, both directly through direct service provision and indirectly through support provided to other Council service areas. As such the service has an important role to play in ensuring that services provided are top quality and contribute effectively to the improving Council philosophy. During 2017/18 we will:

- deliver high quality services which fully respond to the demands of our communities and internal service users;
- support our services to be the best by providing robust, reliable performance information to underpin continuous improvement; and
- improve on our performance from previous years through implementing a number of improvement actions.

### **Key priorities for 2017/18:**

The key service priorities can be summarised as follows:

- develop and implement new and innovative approaches to service delivery to ensure that services are high-quality, fully accessible, efficient, fit for the future and reflect the changing demands of users;
- deliver effective, efficient and fully integrated customer services by enhancing electronic approaches to service delivery – both to internal service users and residents who directly access our services; and
- maximise the impact of our services internally by:
  - ensuring that procurement approaches are strategic, effective and efficient;
  - ensuring that our transactional processes are modernised and streamlined to operate as efficiently as possible whilst recognising the needs of our community;
  - ensuring that our Finances are tightly managed and appropriately planned into the future; and
  - ensuring that the Council's governance arrangements are suitably implemented and Internal Audit and Fraud arrangements are robust.

## **2. Overview and Profile**

### **OVERVIEW**

The Resources Service Delivery Plan provides an overview of service delivery areas and responsibilities, together with a review of key achievements in 2016/17. It also sets out the strategic priorities for 2017/18, highlights the key activities that will be progressed to meet those priorities and identifies how we will measure success.

### **PROFILE**

The Resources Service is one of 8 strategic service areas for the Council providing services to the Council and a wide range of external service users including Leisure Trust, Valuation Joint Board, Criminal Justice Partnership, Clydebank Property Company, charities and trusts, and Clydebank Municipal Bank. Services cover accountancy, treasury management, procurement, internal audit and fraud, and business support. In addition to internal service users and partner agencies, we also provide direct services to residents of West Dunbartonshire. The following are the main areas of responsibility and service provision within the Resources Service:

#### **Finance**

The finance team is responsible for financial support and management, providing: accountancy; treasury and capital planning; cash and bank management; administration of council grants; and insurance services.

#### **Procurement**

The procurement team provides support in leading and facilitating procurement activity to ensure efficient, effective and appropriate procurement processes are implemented. This role includes: the generation of category strategies with departments; lifecycle advice and guidance; system and process development; and supplier relationship management.

#### **Internal Audit & Fraud**

The internal audit and fraud team is led by the chief internal auditor, providing internal audit and assurance services including scrutiny of ICT security. The team also delivers the corporate fraud service for the organisation.

#### **Business Support**

The business support team is responsible for managing the revenues collection (council tax, housing rents, non-domestic rates and miscellaneous invoicing) for the Council, Leisure Trust and the CPC; benefits processing and management (Council Tax Reduction; Housing Benefit; School Clothing Grants; Education Maintenance Allowances; and Free School Meals); debtors and debt management and creditors functions including corporate purchasing card management.

### **3. Performance Review and Strategic Assessment**

The Resources management team completed a detailed performance review and strategic assessment to determine the major influences on priorities and service delivery in 2017/18 and beyond. The issues identified have informed the action plan (Appendix 2) and resource allocation for 2017/18.

#### **PERFORMANCE REVIEW**

##### **Key Achievements**

Following a comprehensive review of performance, the management team identified a number of key achievements that were delivered on behalf of the Council in 2016/17.

##### **Finance**

- Developed HRA financial model, providing additional information to tenants groups;
- Participated in Scottish Housing Network project to produce an HRA methodology document which provided significant improvement in meaningfulness of information provided to tenants;
- Main facilitators in the new Joint Rent Group which allows tenants to scrutinise HRA;
- Completed annual accounts by the deadline – all with unqualified audit certificates – Council / Trust Funds / Clydebank Property Company / West Dunbartonshire Leisure Trust / Municipal bank / Valuation Joint Board;
- Completed statutory returns by the deadlines for example Scottish Water, CTTR, PCA (Provisional Contribution Amount)/Mid Year and Notified Returns for Non Domestic Rates, assisting in the completion of the Housing Benefit Subsidy Claim;
- Automated WDC financial statements - Single document control system created for Financial Statements. Allows multiple users to co-work on statements, speeding up the completion process and allowing more time for review;
- Reviewed paper-based processes and further automation – e.g. daily cashflow treasury management, Pilot scheme commenced re the automation of electronic income returns in the cash office, review of the procedures within the governance and reconciliations team to reduce the paper processes. Removed requirement for paper based approval, now accepted in electronic format;
- Upgraded and further developed Agresso – Upgraded Financial Ledger system to latest version, enabling access to new functionality and better more flexible ways to access the system. Introducing new company to the ledger in January 2017;
- Completed new governance documents for Trust funds, which have been approved by OSCR allowing us to actively manage the Trust funds for the benefit of the public;
- Implemented changes in funding for community councils, making the process of grant funding quicker and less onerous for the Councils and staff; and
- Supported services with a number of one-off projects and funding applications such as District Heating Scheme.

## **Procurement**

- Cashable saving achieved through the procurement process for financial year 2016/17:
  - Revenue Savings: £0.544m
  - Capital Savings: £1.063m
  - Rebate Savings: £0.112m;
- The Procurement and Commercial Improvement Programme (PCIP) is a national, externally assessed programme to help public sector bodies benchmark their procurement policies and procedures, and develop plans for improving performance. The Council completed its first PCIP assessment in October 2016, scoring 64% against a target of 25%. Key areas have been identified for further development and improvement and included in the action plan;
- The team was a finalist in the Government Opportunities Excellence in Public Procurement Awards Scotland 2016/17, shortlisted in the categories 'Procurement Team of the Year' and 'Procurement Innovation'; and
- Category Strategies were finalised and approved by the Council's Performance and Monitoring Review Group in June 2016. The Category Strategies were developed by the procurement team to provide strategic direction to each of the spend areas. This was done by identifying underlying commodities, spend, market and supplier strategic analysis, and the subsequent identification of strategic risks and category implementation plans.

## **Internal Audit & Fraud**

- As a result of Corporate Fraud Team activity during 2016/17, actual recoveries of £0.240m **have** been achieved against an annual target of £0.100m;
- Contributed to PSN Accreditation being renewed for a further year;
- Established a shared service relationship with Loch Lomond & the Trossachs National Park to provide internal audit services;
- Successfully took on the role of Chief Internal Auditor (HSCP Integrated Joint Board); and
- Progressed Audit Plan for 2016/17.

## **Business Support**

- Reduced the rate of increase in rent arrears compared to previous year and reduced level of employee debt through better interventions and improved business processes. Launched a new rent arrears campaign in conjunction with Housing Services;
- Improved processes to limit the adverse financial impact of Universal Credit e.g. Council Tax Reduction claims;
- Implemented online forms for claiming Housing Benefits and integrated with risk based verification that will streamline workload;
- Introduced a Council Tax action plan to improve collection rate; and
- 2015/16 Housing Benefits subsidy claim signed off by external auditors; 2016/17 initial and mid-year estimates agreed with the Department of Work and Pensions (DWP); and 2016/17 Discretionary Housing Payment (DHP) estimates agreed with DWP.



## **Challenges**

The performance review also identified a number of challenges in 2016/17 that will be the focus of improvement activity in 2017/18. These relate to rent arrears, council tax collection, payment of invoices and sundry debt.

### **Rent Arrears**

The amount of rent arrears owed to the Council is an area of concern. Performance can be explained, in part, by the general economic environment and welfare reform, particularly the introduction of Universal Credit and the benefit cap. However, it is recognised that there are actions which can be taken to reduce the impact of these factors on rent arrears.

To improve rent collection rates in 2017/18, the service will:

- continue with the rent campaign in conjunction with Housing to further improve collection;
- consider implementing smart analytics technology for managing rent arrears more effectively;
- continue to consolidate our joined up approach with Housing Benefits section to ensure timely payment of benefits which can contribute to rent arrears;
- continue to address any issues and further streamline process with Department of Works and Pensions (DWP) re payment of Council Tax Reduction Scheme for UC cases; and
- write off of former tenant rent arrears where debt is irrecoverable.

### **Council Tax Collection**

The Council collected 95% of the council tax owed in 2014/15, up from 94.5% the previous year. This is slightly lower than 95.5% recorded for Scotland as a whole, giving West Dunbartonshire a ranking of 20<sup>th</sup> of all 32 Scottish councils.

Following a year on year improvement in our collection rate over the last 14 years, it decreased slightly in 2015/16 to 94.45% and we await publication of data for all Scottish councils in January 2017 to determine our comparative position for that year.

The general economic environment and welfare reform have impacted on our collection rate and to address we will implement our Council Tax Improvement Plan actions in 2017/18.

### **Payment of Invoices**

The percentage of invoices paid by the Council within 30 calendar days was 90.3% in 2014/15, up from 86.6% the previous year. As a result, ranking improved by 5 places. However, at 23<sup>rd</sup>, performance is ranked in the third quartile of all 32 Scottish councils and performance is slightly below the Scotland figure of 92.5%.

Performance has improved marginally to 90.35% in 2015/16 and the publication of data for all councils for 16/17 will provide the comparative position.

The team will continue to support the Council's Purchase 2 Pay (P2P) programme which aims to reduce the level of manual invoices and increasing spend on corporate purchase cards, all of which will aid payment to suppliers on time.

### **Outstanding Sundry Debt**

The value of outstanding sundry debt increased for the year 2015/16 to 66.5%, up from 55.54% the previous year.

In 2017/18 we will review ways to manage and reduce corporate debt, including the continued development of our Agresso IT system functionality. The team is focusing on the debtors improvements project which also reports to the P2P board. It has identified three key areas for development – implementation of payment plans, direct debit, and self-service functionality. Processes within the Corporate Debt Team are also being reviewed to ensure intervention is at the earliest and all steps are taken to avoid prescription.

### **Service Users' Feedback**

The Council has a clear focus on learning from the feedback we receive from our service users. Complaints data, monthly telephone surveys, quarterly Citizens' Panel surveys, and a range of other mechanisms, provide invaluable feedback to help us improve our services.

### **Complaints**

Between 1 April 2016 and 31 March 2017, Resources received a total of 56 complaints, comprising 51 Stage 1 and 5 Stage 2 complaints. During the same period, 55 complaints were closed, 50 at Stage 1 and 5 at Stage 2.

33 (66%) of the complaints closed at Stage 1 met the 5 working days target for resolving complaints, while the remaining 17 (34%) took longer, with an average of 6 days for all Stage 1 complaints. Of the 5 complaints closed at Stage 2, 1 (20%) met the 20 working days target, and 4 (80%) took longer, with an average of 24 days for all Stage 2 complaints.

Of the 50 complaints closed at Stage 1, 28 (56%) were upheld. None of the complaints closed at Stage 2 were upheld.

Many of the complaints upheld related to processing a Council Tax or Housing Benefit claim. As a result, procedures have been reviewed and revised in a number of instances and training provided in another. All complaints were relatively low level and have been addressed successfully and therefore require no further action.

The Revenues and Benefits team has also received positive comments about the delivery of the Scottish Welfare Fund and the manner in which claims have been processed for vulnerable service users. This continues to remain a focus for the team.

In addition to the specific actions we took in response to complaints, we will continue to ensure that all relevant staff receive customer services standards training.

### **Self-Evaluation Programme**

The Council's self-evaluation process was reviewed in early 2016. As a result, a new three year programme was agreed in June 2016 using a checklist approach implemented through an online survey. Over the three year programme, all Council services that are not subject to an external evaluation will undertake self-evaluation, with 11 scheduled in the first year.

A self-evaluation was completed with the Internal Audit, Fraud and ICT Security team in January 2017 and the resulting Improvement Action Plan is being implemented. The next service area to undertake this review is the Revenues and Benefits team and this is currently underway and due to be completed by the end of June 2017. This will be followed by Procurement towards the end of 2017/18. The Accountancy team underwent a pilot evaluation process testing the approach in 2015/16. They have implemented their improvement plan and are scheduled to undertake the next review in 2018.

## **STRATEGIC ASSESSMENT**

### **Financial Challenges**

The entire public sector is facing significant financial challenges. The Council's funding gap in 2017/18 (i.e. the gap between the funding received from government/council tax payers and the costs of delivering services) has been met through management efficiencies and the use of free reserves. However, the Council is predicting cumulative funding gaps in 2018/19 and 2019/20 of £7.885m and £11.397m respectively. This means that action has to be taken to balance our budget and protect Council jobs and services for residents. This will undoubtedly mean that within the Resources service area, available funding will be reduced and we will need to change how we do our jobs, where we work, and reduce the number of people employed.

To deliver the Council's objectives and meet those financial challenges, the Resources management team will implement the actions set out in the action plan under strong financial governance and sustainable budget management.

### **Welfare Reform**

Welfare reform is likely to have a financial impact around the management of Housing department rent income and council tax collection rates. It is also likely to impact on the cost of Homelessness. We will prepare the Council for the coming challenges

through regular Welfare Reform Working Group meetings to review progress and seek to mitigate issues and risks.

### **Alignment of Corporate/ICT Systems**

In order to improve efficiency, the Council continues to focus on streamlining business processes through new and/or improving existing ICT systems. This can lead to some risk while integrating legacy and new systems requiring core skills with staff having to upskill. In response, we will:

- forward plan and communicate about impending new systems to relevant teams; and
- foster greater integration between different system owners (i.e. P2P, IHMS, HR, Agresso, etc.) and ICT.

### **Legislative Context: Compliance with Procurement Legislation**

There will be a continued focus on ensuring compliance with the Procurement Reform Act and Public Contracts Scotland Regulations. In addition, we will increase focus on tackling non-compliant spend to ensure that we minimise risk to the council both through reputational damage and legal challenge.

We will further develop procurement leadership, governance and controls across the Council. This will include a Procurement Manual that will be communicated throughout the Council.

### **Community Benefit and other Local Procurement Benefits**

New procurement legislation factors in community benefits and fair working practices. In addition Council Members see procurement focus on local growth and community benefits. There is therefore an increased emphasis on tenders and contracts taking into account participation by local companies, ethical and sustainable procurement, as well as the living wage.

In 2017/18 we will implement the Community Benefits Policy. This will include:

- an updated procurement procedure to invite local suppliers to respond to tenders below £0.050m;
- inclusion of sustainable and ethical practice questions in tender responses which will eliminate suppliers using unethical sourcing;
- development of standardised community benefits “wish lists” that can be selected for different tenders and contracts;
- improved contract and supplier management monitoring delivery of community benefits; and
- development of category tailored supplier events for local suppliers to meet procurement.

### **People Management**

Our dedicated workforce is our most valuable resource. In order to develop a culture of Best Value and continuous improvement, it is essential that we invest in them. Our

main focus in 2017/18 is to progress the improvement actions arising from the Employee Survey.

In addition, we will also: ensure that all staff have a Performance Development Plan (PDP) and appropriate access to learning and training; provide opportunities for staff involvement in the planning process; ensure that informative and participative team meetings are held at least monthly; ensure all staff have regular 1-2-1 meetings with their line manager; and apply in full the Council's Attendance Management Policy.

### **Office Rationalisation Project**

During 2017/18, most employees within the Resources service will be relocated to new work locations. Significant preparation for this move is required and there is a requirement to maintain ongoing service provision throughout the preparation for, during and after the move. Appropriate staff liaison and planning discussions will take place before, during and after these moves to ensure robust plans are in place to manage the moves and to maintain service delivery.

### **Equalities**

The Council has set out a range of equality outcomes for 2017/21 in line with its statutory duty, each led by a relevant strategic lead area. These cover community participation, employment diversity, disability pay gap, occupational segregation, digital inclusion, accessible community transport, identity based bullying in schools, and educational attainment gaps.

By focusing on outcomes, the Council aims to bring practical improvements to the life chances of those who experience discrimination and disadvantage.

While Resources is not leading on any specific equality outcome, we will continue to comply with the four council wide equality outcomes for 2017/21, relating to community participation, employment diversity, disability pay gap, and occupational segregation.

## **PERFORMANCE MANAGEMENT AND REPORTING**

To address the issues identified by the performance review and strategic assessment above, the Resources management team have developed an action plan for 2017/18 (Appendix 2) and a range of performance indicators to enable us to monitor progress (Appendix 3).

In accordance with the current Performance Management Framework, we will monitor and manage our progress on a regular basis and report progress to committee twice yearly, at mid-year and year end.

We also produce a range of council wide performance information for the public, available from the Council's website.

## 4. Resources

### FINANCIAL

The 2017/18 revenue budget for the Resources service is £4,220,288. A breakdown by service area is given below. We will make the best use of the resources available to deliver on key priority areas and secure external/match funding where this is possible.

2017/18	Gross Expenditure (£)	Income (£)	Net Expenditure (£)
Finance	1.550m	0.131m	1.419m
Procurement	0.948m	0.310m	0.638m
Audit and Fraud	0.431m	0.180m	0.251m
Business Support	50.726m	48.814m	1.912m
<b>TOTAL (£)</b>	<b>53.655m</b>	<b>49,435m</b>	<b>4.220m</b>

### EMPLOYEES

The number of full time equivalent staff in each service area at 1 April 2017 is as follows:

Service Area	FTE staff 1 April 2017
Finance	40.30
Procurement	20.83
Audit and Fraud	10
Business Support	98.61
<b>TOTAL</b>	<b>169.74</b>

### 'Be the Best'

As a Council we are committed to supporting every employee to 'Be the Best'. We do this through providing personal development opportunities and ensuring that our employees feel valued and recognised for their contribution to delivering the Council's vision and strategic objectives. Employees are supported to develop professionally and personally in both their current role and in planning for any future career.

From 2017 onwards, employee development will be delivered through 'Be the Best' conversions. This process will ensure all employees receive a valuable, meaningful discussion around how they can 'Be the Best' in their role and receive support and development to allow them to achieve their potential.

Our employee development priorities include training; leadership and manager development; customer service; change management; and technical skills and specialist skills that support and maintain professional expertise. Our commitment to learning and development is recognised through the achievement of Gold Standard from Investors in People (IiP).

### **Workforce Planning**

Workforce planning is integrated in the strategic planning process, highlighting the key workforce related activities for the year and reflecting the longer term strategic aims of all Council services. Each Strategic Lead is responsible for the annual review of requirements for their respective service areas to ensure that any key actions are identified at an early stage. Appendix 4 sets out the detailed Workforce Plan for Resources.

### **Employee Survey**

We gather the views of our employees through a regular employee survey carried out every two years. Following the most recent survey at the end of 2015, we have developed and implemented an organisational improvement plan. This focuses on five key areas: strengthening strategic and visible leadership; widening involvement in change and continuous improvement programmes; embracing new and flexible ways of working; addressing the challenging pressures and workloads; and improving how employees feel valued for the work they do. Improvement actions to address these areas will be delivered by all services across the Council.

### **Employee Wellbeing Group**

The newly established Employee Wellbeing Group will develop and oversee the implementation of a Council strategy (and resulting implementation plans) which will seek to maximise employee wellbeing, recognising the benefits to the organisation and its employees of such an approach. Linked to this, work will be undertaken with managers and trades union partners to embed a 'safety culture', fostering increased ownership and accountability across the organisation as a whole.

### **ICT**

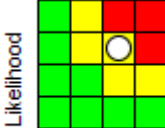

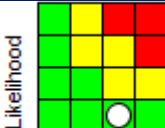
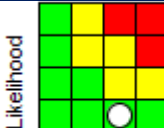
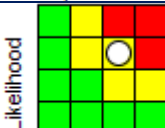
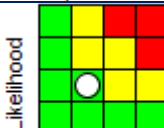
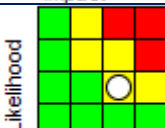
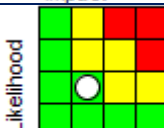
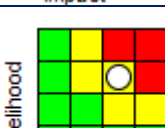
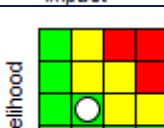
Our ICT resources are integral to our work. We will continue to ensure they are utilised effectively and efficiently and will focus on developing the functionality of our Agresso finance system to support wider process improvement.

## 5. Risks

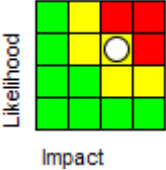
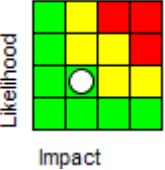
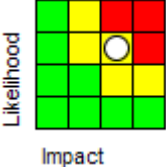
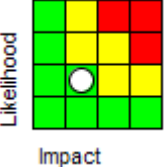
The Council has identified risks at both a strategic and service level. Strategic risks represent the potential for the Council to take advantage of opportunities or fail to meet stated strategic objectives and those that require strategic leadership. Service risks relate to service delivery and represent the potential for impact on individual services, or the experience of those who work within the services, i.e. employees, partners, contractors and volunteers, service users or clients in receipt of the services provided.

The Resources management team has lead responsibility for one of the Council's seven strategic risks: Failure to deliver strong financial governance and sustainable budget management. In addition, the management team identified service specific risks for 2017/18. Both strategic and service specific risks are detailed below.

Actions to mitigate these risks are set out in Appendix 2 or in Resources operational plans, with the aim of improving or maintaining the current position (i.e. the current risk score).

Risk	Description	Current Risk Score	Target Risk Score
Failure to deliver strong financial governance and sustainable budget management (Strategic Risk)	Council fails to deliver strong financial governance through either its budgetary preparation and management processes or maintaining adequate reserves	 Likelihood Impact	 Likelihood Impact
Failure to provide assurance of the system of financial controls	Either Internal Audit or External Audit is unable to provide assurances on the Council's financial control environment	 Likelihood Impact	 Likelihood Impact
Failure to identify sufficient savings options	Due to the ongoing worldwide and UK economic weakness there is an ongoing risk in relation to future UK government and Scottish government financial support to Councils	 Likelihood Impact	 Likelihood Impact
Debt is not recovered efficiently or effectively, with inherent risk of financial loss	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	 Likelihood Impact
Increase in the level of rent arrears due to the level of Welfare Reform changes and general state of economy	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	 Likelihood Impact



Risk	Description	Current Risk Score	Target Risk Score
National delays in implementation; ineffective systems ICT or processes e.g. with the DWP affecting delivery of Welfare Reform changes	Issues with system supporting delivery of Welfare Reform changes affects service delivery		
Non-compliance to procurement reform legislation	Failure to comply due to scale and complexity of changes to procurement legislation and guidance		

# Appendix 1: Structure Chart



## Appendix 2: Action Plan 2017/18

Priority	Objective	Action	End Date	Assigned to
Social Mission	Improved the wellbeing of communities and protected the welfare of vulnerable people	Deliver legislative changes required by UK government Welfare Reform	March 2018	Arun Menon
		Develop and implement procurement plan to deliver community benefits through procurement processes	March 2018	Annabel Travers
Organisational capabilities	Strong financial governance and sustainable budget management	Develop procurement leadership, governance and controls across the Council	March 2018	Annabel Travers
		Review and update the Council's long-term finance strategy, including short, medium and long term budget projections which reflect the Council's (and other bodies') corporate aims and objectives	March 2018	Stephen West
		Provision of timely and accurate accounting, budgeting and budgetary control processes for Council and associated bodies	March 2018	Gillian McNeilly
		Report agreed savings options & management adjustments through the budgetary control process management and Council	March 2018	Gillian McNeilly
		Provision of timely and accurate financial accounts statements for Council and associated bodies	September 2018	Gillian McNeilly
		Provision of timely and accurate external returns to assist the Council in benchmarking for improved services and to maximise funding sources	March 2018	Gillian McNeilly
		Review ways to manage and reduce corporate debt handling	March 2018	Arun Menon
		Implement rent collection improvement plan to improve rent collection rates	March 2018	Arun Menon
		Implement Council Tax Improvement Plan actions to improve collection rates	March 2018	Arun Menon
		Deliver Internal Audit and Corporate Fraud Plans for 2017/8	March 2018	Colin McDougall

Priority	Objective	Action	End Date	Assigned to	
Organisational capabilities (cont'd)	Strong financial governance and sustainable budget management (cont'd)	Continue to improve and deliver the Assurance Statement to support the Statement of Internal Financial Controls	March 2018	Colin McDougall	
		Ensure Public Service Network compliance and monitor ICT security	March 2018	Colin McDougall	
		Develop Agresso to enable process improvement	March 2018	Gillian McNeilly	
		Continued development of the Agresso Debtors functionality and associated processes.	March 2018	Arun Menon	
		Develop and implement new ways of working in procurement activity	March 2018	Annabel Travers	
		Widen the role of the Corporate Fraud team	March 2018	Colin McDougall	
		Develop approach to Council compliance with Code of Good Governance	April 2017	Colin McDougall	
		Develop and implement service users' feedback mechanisms across Resources	March 2018	Stephen West	
		Develop and implement relevant and required guidance and training for users of finance services (including Community Councils)	March 2018	Gillian McNeilly	
		Implement customer services improvement actions	March 2018	Stephen West	
		Committed and dynamic workforce	Implement improvements arising from staff survey	March 2018	Stephen West
	Prepare for the move of offices whilst maintaining service levels		March 2018	Stephen West	
	Develop, implement and evaluate a local action plan, in line with the Council's employee wellbeing strategy		March 2018	Stephen West	
	Implement 'Be the Best' conversations		March 2018	Stephen West	
	Strong corporate governance	Implement improvement action plans arising from self-evaluation process	March 2018	Stephen West	
		Implement actions from the PSIAS evaluation	March 2018	Stephen West	
		Implement actions arising from the PCIP evaluation	March 2018	Stephen West	
	Legitimacy and Support	Constructive partnership working and joined-up service delivery	Develop supplier relationship management across the Council	March 2018	Annabel Travers

## Appendix 3: Performance Indicators 2017/18

The following performance indicators will be integrated in the Action Plan (Appendix 2) and monitored, managed and reported in line with the Performance Management Framework:

### Strategic Plan Pls:

CS/FICT/SPI1/002	Amount of free reserves - HRA
CS/FICT/SPI1/003	Amount of free reserves - General Services
RES/PRO/001	External assessment of procurement - PCIP score (Procurement and Commercial Improvement Programme)
SCORP07	Percentage of income due from council tax received by the end of the year
SHSN01a	Current tenants' arrears as a percentage of total rent due
SHSN01b	Gross rent arrears (all tenants) as at 31 March each year as a percentage of rent due for the reporting year
CS/CCS/015	Percentage of Audit Scotland-led Shared Risk Assessment and Improvement Plans areas assessed as having no significant risk

### Local Government Benchmarking Framework Pls:

SCORP01	Support services as a % of total gross expenditure
SCORP02	Corporate and democratic core costs per 1,000 population
SCORP04	Cost of collecting council tax per dwelling
SCORP07	Percentage of income due from council tax received by the end of the year
SCORP08	Number of invoices paid within 30 calendar days of receipt as a percentage of all invoices paid
SHSN01b	Gross rent arrears (all tenants) as at 31 March each year as a percentage of rent due for the reporting year

### Local Pls:

CS/FICT/031	Amount of free reserves as a percent of prudential reserve target (HRA)
CS/FICT/033	Amount of free reserves as a percent of prudential reserve target (GS)
CS/FICT/SPI1/001	Outstanding sundry debt as a percent of total that is more than 90 days old
CS/FICT/035	Annual spend with all contracted suppliers as a percentage of core spend
CS/PR/01	Annual Cash Savings target achieved
CS/FI/LPI001	Time to process new claims applications from date of receipt to decision
CS/FI/LPI002	Time to process change in circumstance from date of receipt to decision
H/SSHC/CI/30	Rent collected as a % of total rent due
RES/FIN/001	Percentage of budgetary control reports delivered on time
RES/FIN/002	Percentage variance to budget projected
RES/FIN/003	Percentage of annual accounts delivered on time
RES/FIN/004	Percentage of external returns submitted on time
RES/FIN/005	Percentage of Agresso Project Plan implemented on time
RES/IAF/001	Percentage of Audit Plan completed
RES/IAF/002	Percentage of corporate fraud target achieved
RES/RES/001	Number of service users' feedback processes undertaken and evaluated
RES/RES/002	Percentage of Staff Survey Improvement Plan completed
RES/PRO/003	Percentage of P2P savings target achieved
RES/PRO/004	Percentage of all contracts delivering community benefits
RES/PRO/005	Percentage of spend on contract
RES/PRO/006	Percentage of contracts with at least 1 supplier management meeting per yr
SL/Absence/Res/1	Resources Absence

### Introduction

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

The plan also provides details of the current workforce profile of the Strategic Lead area, allowing for observations and assumptions to be drawn based upon workforce demographics and the impact this has in relation to resources and service delivery. Sickness absence information has also been included as reduction in this area is a key service priority for the council.

The plan is broken down as follows:

1. Summary of the Key Service Priorities/Issues and Resource Implications;
2. Longer term Key Service Priorities/ Issues and Resource implications; and
3. Establishment and resource Information.

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

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

Priority/ Issues	Resource or Skill implication	Action required	Cost/Saving	Lead Officer
Develop and implement procurement plan to deliver community benefits through procurement processes.	Staff training on changes to legislation to ensure equipped to implement changes to support best practice. Not associated with this priority but due to volume of tenders being progressed an additional 4 fixed term employees being recruited for 6 months.	Rollout of changes within Council service areas.	Will be funded from existing resources	Annabel Travers

Continue the development of the Agresso debtors functionality and associated processes.	Additional Grade 5 Process Improvement post being introduced for 6 months to progress. Staff training to ensure best practice is implemented	Implement system changes and rollout required process and policy changes to relevant service areas	Will be funded from existing resources	Arun Menon
Develop Agresso to improve functionality of the accountancy systems.	Staff training on changes to ensure equipped to implement changes to support best practice.	System changes may lead to reduction in staffing.	Efficiencies will be calculated as part of the project and factored into the budgeting process	Gillian McNeilly
Implement legislative changes relating to Welfare Reform	There will be a significant impact on staffing within Benefit Section when Universal Credit is introduced.	Review current and future staffing requirements. Consultation with employees and trade unions on changes to working practices.	Efficiencies will be calculated as part of the project and factored into the budgeting process	Arun Menon
Develop and implement rent collection improvement plan to improve collection rates	Appropriate practice and policy changes will be implemented by relevant staff.	Implement new ways of working alongside colleagues within Housing Services	Maintain or improve rent collection performance, no specific target	Arun Menon
Develop and implement Council Tax Improvement Plan to improve collection rates.	Appropriate practice and policy changes will be implemented by relevant staff.	Implement new ways of working	Increased collection performance, no specific target	Arun Menon
Scope and progress solutions to manage and reduce	Staff training on system and process changes being	Review current and future staffing requirements as systems and processes are	Increased collection performance, no	Arun Menon



corporate debt.	implemented.	streamlined.	specific target	
Deliver internal audit and fraud plans for 2017/18	No specific resource or skills implications.	Ongoing work to target and detect fraud	£18u0,000	Colin McDougall
Corporate Review of Admin Support Phase 2 (Education Schools)	Review of current model and modernise. As a result, potential reduction in staffing numbers.	Review current and future staffing requirements. Consultation with employees and trade unions on changes to working practices.	Efficiencies will be calculated as part of the project and factored into the budgeting process	Arun Menon
Implementation of Management Savings and ongoing restructuring across services.	Potential reduction in staffing numbers. Retraining/redeployment of staff.	Staff and trade union briefings. Consultation with employees.	TBC	All Managers
Improvement in attendance.	Implement actions arising from employee wellbeing group.	Target specific problem areas. Develop specific actions to address areas of concern.	Savings dependant on reduction in number of days lost.	All Managers.
Implement Be The Best Conversations	Rollout to all service areas	Target of 100% by 2017	None	All Managers



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

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

Period that priority will impact over	Priority/ Issues	Potential resource or skill implication	Potential actions required	Cost	Lead Officer
2017-2019	Implementation of phase 2 P2P Project	This project will automate the procurement process and have an impact on staffing employed throughout the Council involved in	Review of staffing as changes implemented.	Cost to be finalised as part of project, it is expected this	A Travers

		procurement.		project will generate savings.	
2018-2019	Develop a range of savings options to achieve budget savings targets.	Review current and future staffing requirements.	Efficiencies will be calculated and factored into the budgeting process	TBC	All managers

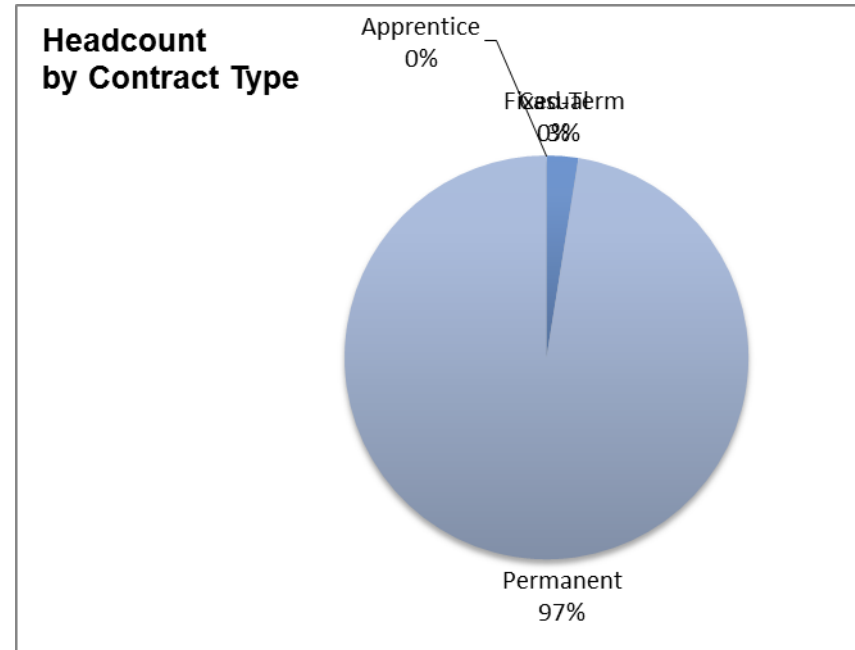
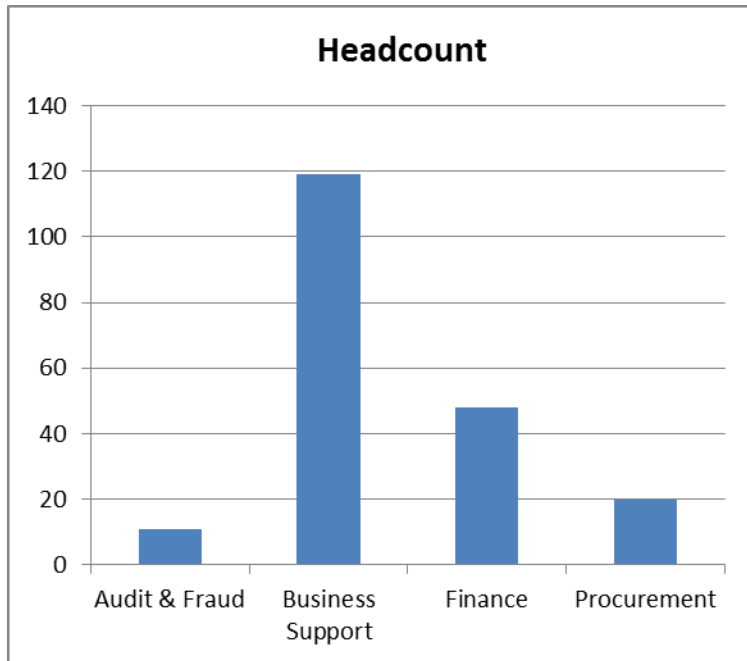
### 3. Establishment and Resource Information

The data listed below relates to the profile of the Strategic Lead area workforce as at 1<sup>st</sup> April 2017 and examines changes in that profile over time. Comparison is not provided in instances where new workforce profile information is being reported for the first time.

#### 1. Headcount

	Apprentice	Casual	Fixed-Term	Permanent	Total
Audit & Fraud	0	0	0	11	11
Business Support	0	0	2	117	119
Finance	0	0	1	47	48
Procurement	0	0	2	18	20
<b>Resources Total</b>	<b>0</b>	<b>0</b>	<b>5</b>	<b>193</b>	<b>198</b>

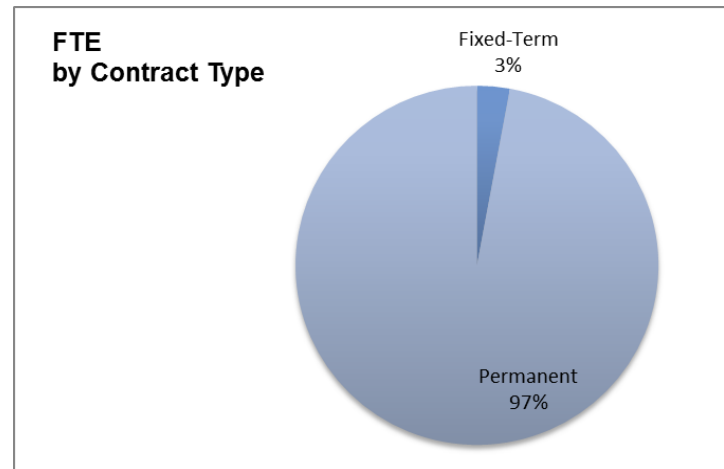
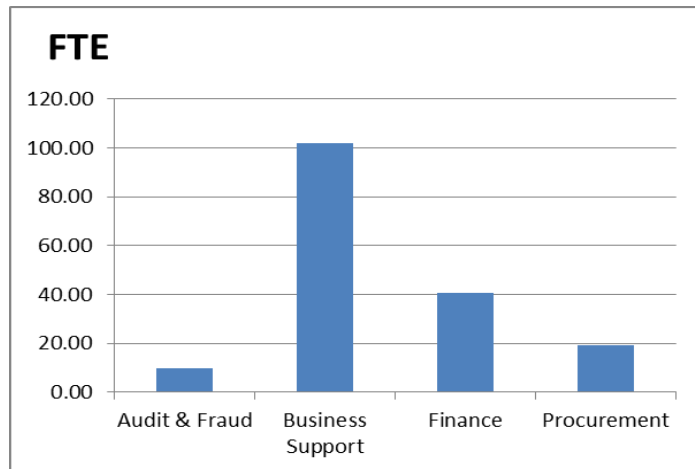
Resources currently employ 198 staff, a reduction of 11 when compared to the same period in 2015-16. In the past year 5 employees within business services and audit and fraud were released on voluntary severance/early retirement and posts deleted following restructures in these areas



## 2. Full Time equivalent

	Apprentice	Fixed-Term	Permanent	Total
Audit & Fraud	0.00	0.00	9.60	9.60
Business Support	0.00	2.00	99.99	101.99
Finance	0.00	1.00	39.50	40.50
Procurement	0.00	2.00	17.36	19.36
<b>Resources Total</b>	<b>0.00</b>	<b>5.00</b>	<b>166.45</b>	<b>171.45</b>

There has also been a reduction in FTE employees within Resources during the course of the year, from 181.53 FTE to 171.45 FTE.



### 3. Fixed-Term Contract

	FTCs Ending in Next 6 Months
Audit & Fraud	0
Business Support	0
Finance	0
Procurement	2
<b>Resources Total</b>	<b>2</b>

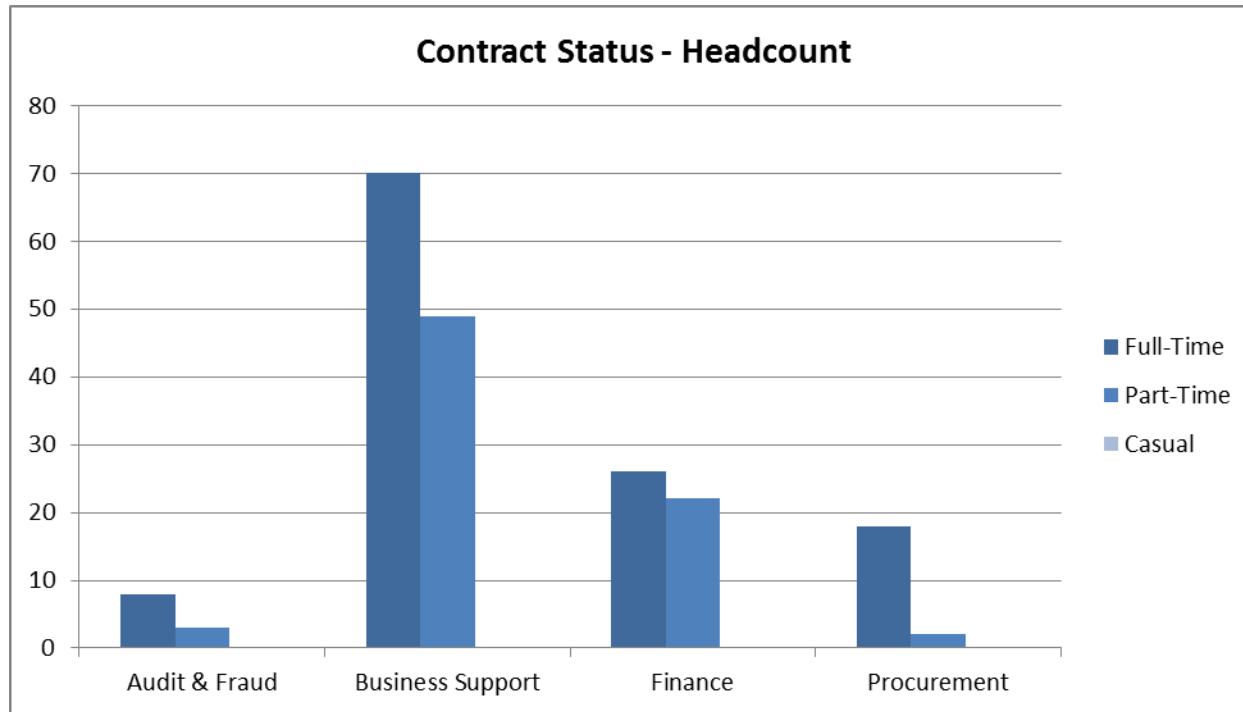
There are 9 employees on fixed term contracts with an ending date within the next 6 months. The majority of these fixed term contracts ending are employed within Business Support. There are no employees within resources with a fixed term contract for more than 2 years.



#### 4. Full-time/Part-time Split

	Full-Time	Part-Time
Audit & Fraud	8	3
Business Support	70	49
Finance	26	22
Procurement	18	2
<b>Resources Total</b>	<b>122</b>	<b>76</b>

62% of employees working in resources are full-time and 38% part-time. Part-time workers are fairly evenly split across all sections other than procurement where split is 98% full-time and 2% part-time.



## 5. Grade Profile

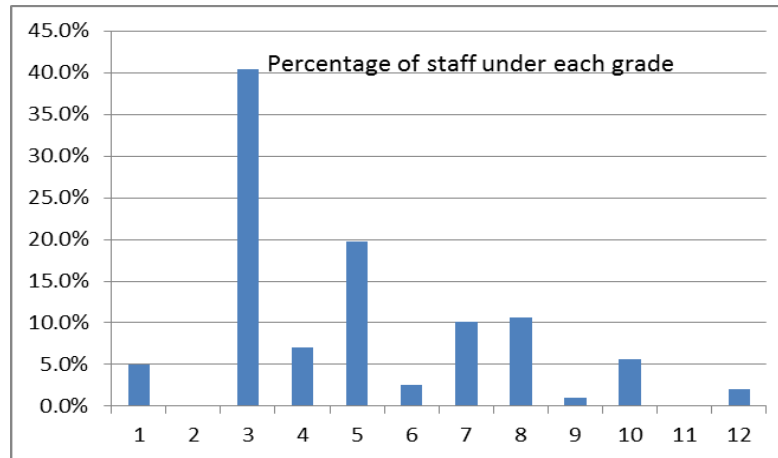
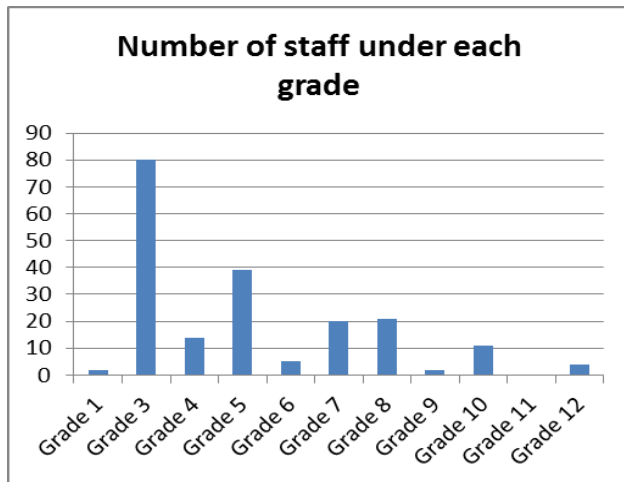
### Number of staff under each grade

	Grade 1	Grade 3	Grade 4	Grade 5	Grade 6	Grade 7	Grade 8	Grade 9	Grade 10	Grade 11	Grade 12
Audit & Fraud	0	1	0	0	1	2	6	0	0	0	1
Business Support	1	73	10	24	0	7	0	2	1	0	1
Finance	0	6	0	15	0	11	9	0	6	0	1
Procurement	1	0	4	0	4	0	6	0	4	0	1
<b>Resources Total</b>	<b>2</b>	<b>80</b>	<b>14</b>	<b>39</b>	<b>5</b>	<b>20</b>	<b>21</b>	<b>2</b>	<b>11</b>	<b>0</b>	<b>4</b>

The salary profile within Resources is as you would expect given the functions undertaken, with the most populated being Grades 3 and 5 with less in the professional grades.

### Percentage of staff under each grade

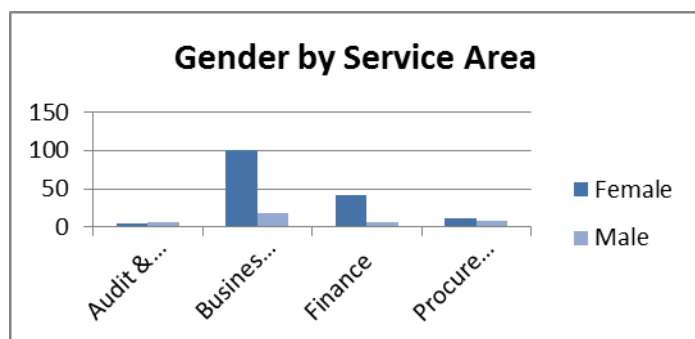
	Grade 1	Grade 2	Grade 3	Grade 4	Grade 5	Grade 6	Grade 7	Grade 8	Grade 9	Grade 10	Grade 11	Grade 12
Audit & Fraud	0.0%	0.0%	9.1%	0.0%	0.0%	9.1%	18.2%	54.5%	0.0%	0.0%	0.0%	9.1%
Business Support	0.0%	0.0%	61.3%	8.4%	20.2%	0.0%	5.9%	0.0%	1.7%	0.8%	0.0%	0.8%
Finance	0.0%	0.0%	12.5%	0.0%	31.3%	0.0%	22.9%	18.8%	0.0%	12.5%	0.0%	2.1%
Procurement	5.0%	0.0%	0.0%	20.0%	0.0%	20.0%	0.0%	30.0%	0.0%	20.0%	0.0%	5.0%
<b>Resources Total</b>	<b>5.0%</b>	<b>0.0%</b>	<b>40.4%</b>	<b>7.1%</b>	<b>19.7%</b>	<b>2.5%</b>	<b>10.1%</b>	<b>10.6%</b>	<b>1.0%</b>	<b>5.6%</b>	<b>0.0%</b>	<b>2.0%</b>



## 6. Gender Profile

	Female		Male	
	Headcount	Percentage	Headcount	Percentage
Audit & Fraud	5	45.5%	6	54.5%
Business Support	101	84.9%	18	15.1%
Finance	42	87.5%	6	12.5%
Procurement	12	60.0%	8	40.0%
<b>Resources Total</b>	<b>160</b>	<b>80.8%</b>	<b>38</b>	<b>19.2%</b>

The gender split within resources is 80.8% female and 19.2% male. There has been no significant change and very little variance when compared with the previous year (2015-16).



## 7. Age Profile

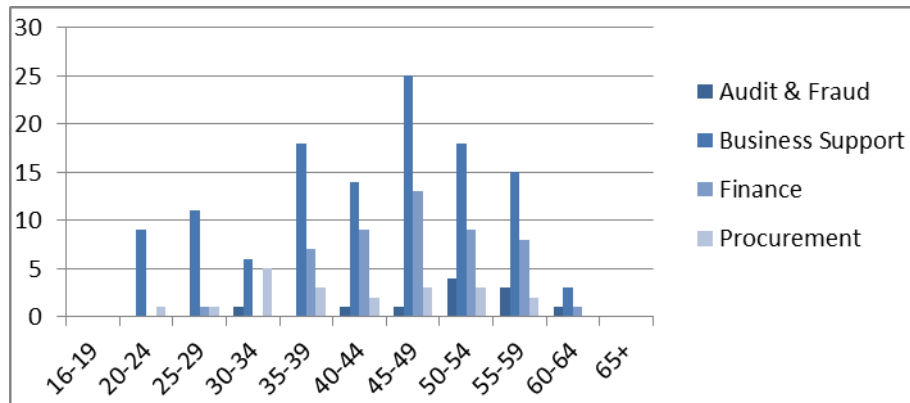
### Age Profile – Headcount

	16-19	20-24	25-29	30-34	35-39	40-44	45-49	50-54	55-59	60-64	65+
Audit & Fraud	0	0	0	1	0	1	1	4	3	1	0
Business Support	0	9	11	6	18	14	25	18	15	3	0
Finance	0	0	1	0	7	9	13	9	8	1	0
Procurement	0	1	1	5	3	2	3	3	2	0	0
<b>Resources Total</b>	<b>0</b>	<b>10</b>	<b>13</b>	<b>12</b>	<b>28</b>	<b>26</b>	<b>42</b>	<b>34</b>	<b>28</b>	<b>5</b>	<b>0</b>

The age profile within Resources is fairly evenly split over the 35- 60 age groups which equates to 80% of the workforce. Only 20% of employees within resources are between 16 and 34. There are no employees presently employed within resources over the normal retirement age of 65.

### Age Profile – Percentage

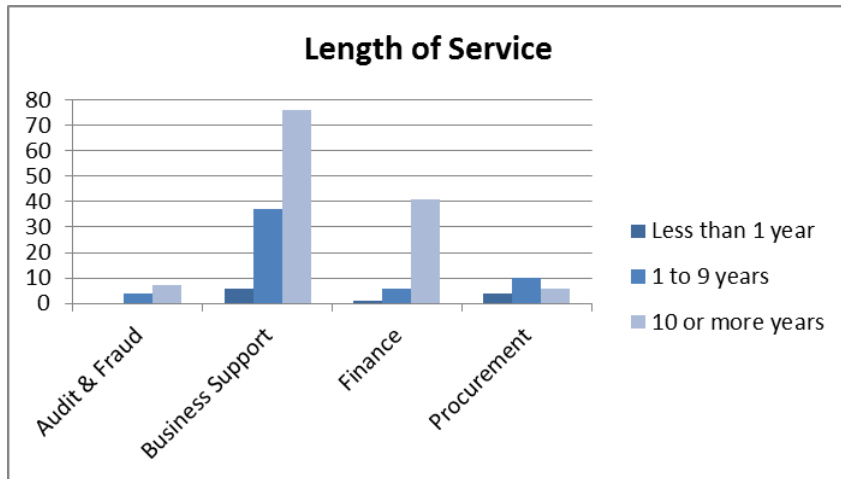
	16-19	20-24	25-29	30-34	35-39	40-44	45-49	50-54	55-59	60-64	65+
Audit & Fraud	0.0%	0.0%	0.0%	9.1%	0.0%	9.1%	9.1%	36.4%	27.3%	9.1%	0.0%
Business Support	0.0%	7.6%	9.2%	5.0%	15.1%	11.8%	21.0%	15.1%	12.6%	2.5%	0.0%
Finance	0.0%	0.0%	2.1%	0.0%	14.6%	18.8%	27.1%	18.8%	16.7%	2.1%	0.0%
Procurement	0.0%	5.0%	5.0%	25.0%	15.0%	10.0%	15.0%	15.0%	10.0%	0.0%	0.0%
<b>Resources Total</b>	<b>0.0%</b>	<b>5.1%</b>	<b>6.6%</b>	<b>6.1%</b>	<b>14.1%</b>	<b>13.1%</b>	<b>21.2%</b>	<b>17.2%</b>	<b>14.1%</b>	<b>2.5%</b>	<b>0.0%</b>



## 8. Length of service with WDC

	Less than 1 year		1 to 9 years		10 or more years	
	Headcount	Percentage	Headcount	Percentage	Headcount	Percentage
Audit & Fraud	0	0.0%	4	36.4%	7	63.6%
Business Support	6	5.0%	37	31.1%	76	63.9%
Finance	1	2.1%	6	12.5%	41	85.4%
Procurement	4	20.0%	10	50.0%	6	30.0%
<b>Resources Total</b>	<b>11</b>	<b>5.6%</b>	<b>57</b>	<b>28.8%</b>	<b>130</b>	<b>65.7%</b>

As with most Council services the highest proportion of staff (65.7%) have service that exceeds 10 years.





## 9. New Start Employees

	Apprentice	Fixed-Term	Permanent
Audit & Fraud	0	0	0
Business Support	0	0	6
Finance	0	1	0
Procurement	0	2	2
<b>Resources Total</b>	<b>0</b>	<b>3</b>	<b>8</b>

There were 11 new starts over the course of the year 3 fixed term and 8 permanent. This was significantly lower than 2015/16 when 26 new employees were recruited, 15 permanent, 10 fixed term and 1 apprentice.

## 10. Turnover

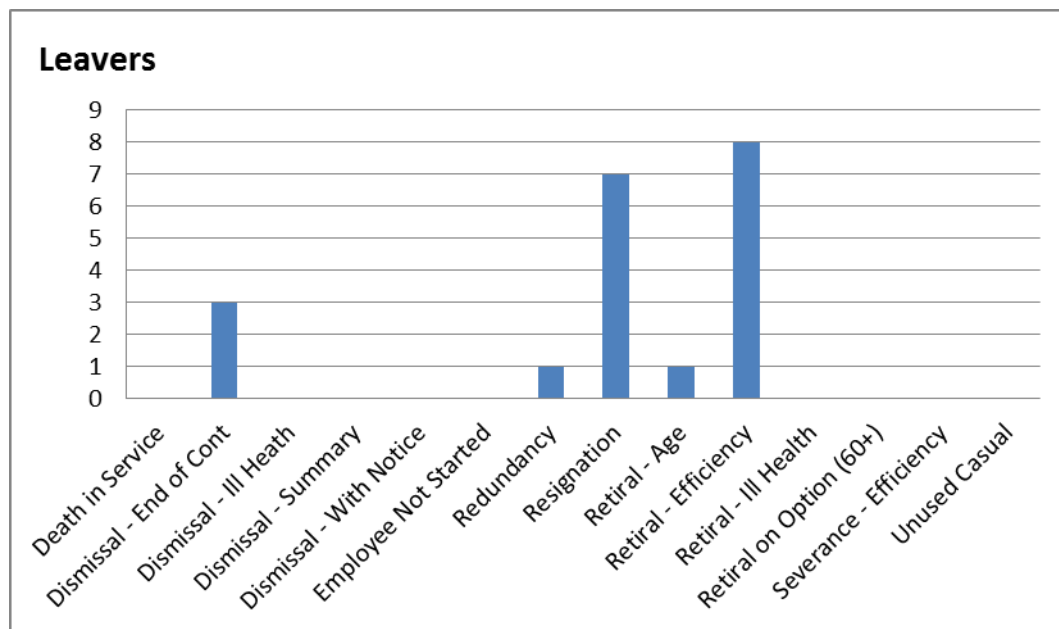
	Staff at 1 April 2016	Staff at 1 April 2017	Average	Leavers	Turnover %
Audit & Fraud	12	11	12	3	26.09%
Business Support	123	119	121	12	9.92%
Finance	53	48	51	3	5.94%
Procurement	21	20	21	2	9.76%
<b>Resources Total</b>	<b>209</b>	<b>198</b>	<b>203.5</b>	<b>20</b>	<b>9.83%</b>

Turnover of staff within resources increased from 6.97% in 2015/16 to 9.83% in 2016/17 however is still fairly low.

## 11. Leavers

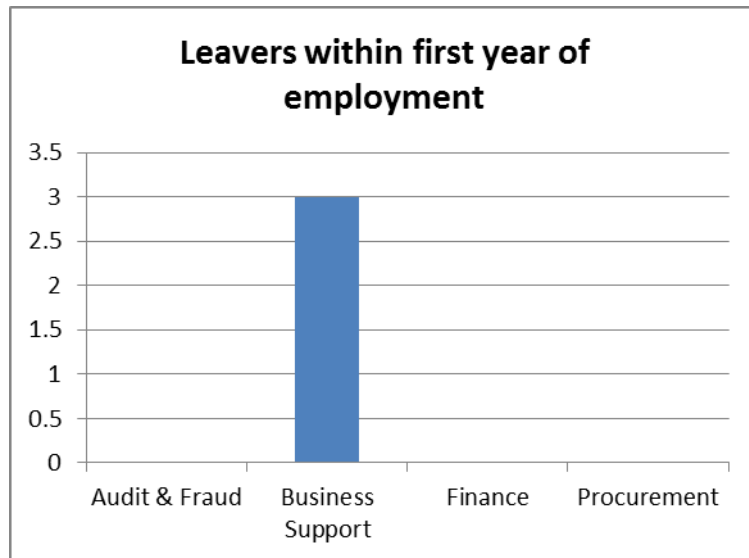
	Death in Service	Dismissal - End of Cont	Redundancy	Resignation	Retiral - Age	Retiral - Efficiency	Total
Audit & Fraud	0	0	0	1	1	1	3
Business Support	0	3	0	4	0	5	12
Finance	0	0	0	0	0	3	3
Procurement	0	0	0	2	0	0	2
<b>Resources Total</b>	<b>0</b>	<b>3</b>	<b>0</b>	<b>7</b>	<b>1</b>	<b>9</b>	<b>20</b>

The leaver's statistic reflects a slight increase in the numbers reported last year with a total of 20 leavers this year against 14 last year with the distribution of reasons being similar with the majority leaving through retirement options. There has been a slight increase in the number of resignations.



**Number of staff who left in their first year of employment with WDC**

	<b>Headcount</b>
Audit & Fraud	0
Business Support	3
Finance	0
Procurement	0
<b>Resources Total</b>	<b>3</b>



## 12. Apprentices.

The Resources section did not have any apprentices in 2016-17.

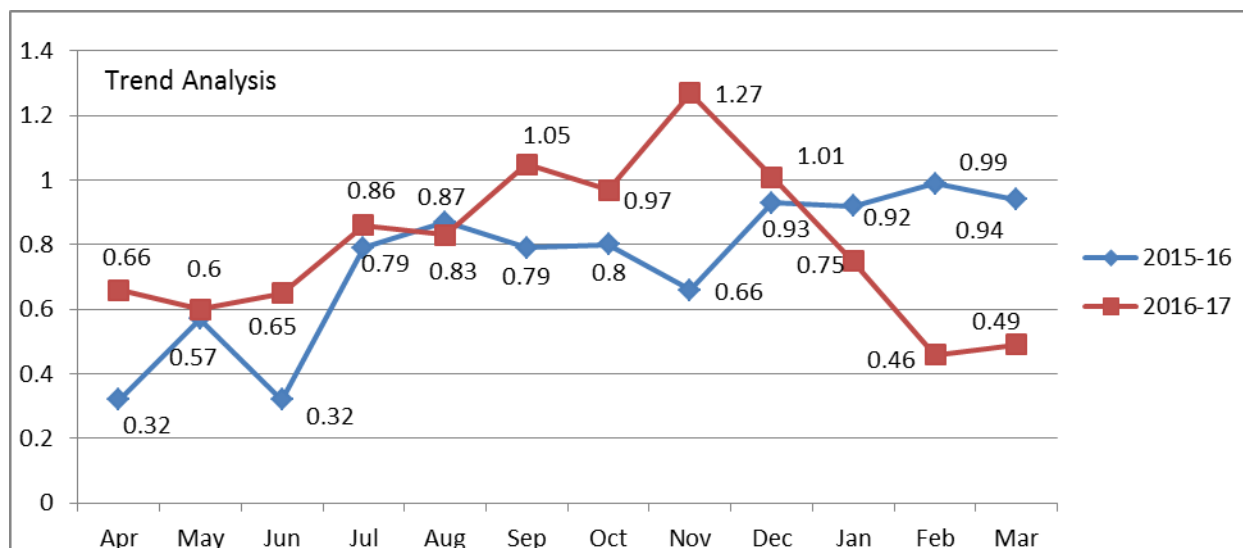
## 13. Maternity/Paternity Leave

	Maternity Leave	Paternity Leave	Total	% of employees
Audit & Fraud	0	0	0	0.0%
Business Support	5	0	5	4.1%
Finance	3	0	3	5.9%
Procurement	2	0	2	9.8%
<b>Resources Total</b>	<b>10</b>	<b>0</b>	<b>10</b>	<b>4.9%</b>

There has been a slight reduction in the number of employees who took maternity and paternity leave this year.

## 14. Sickness Absence

	April	May	June	July	Aug	Sept	Oct	Nov	Dec	Jan	Feb	Mar	Year End
2015-16	0.32	0.57	0.32	0.79	0.83	0.79	0.8	0.66	0.93	0.92	0.99	0.94	8.93
2016-17	0.66	0.6	0.65	0.86	0.87	1.05	0.97	1.27	1.01	0.75	0.46	0.49	9.63



The graph above details the monthly trend for the 12 month period (April 2016 – March 2017) in comparison to the same period in 2015-16. Resources recorded absences of 9.63 FTE days lost in 2016-17, an increase of 7.84% on previous year and did not achieve target of 7 FTE days lost per employee.

## Appendix 2: Resources Delivery Plan 2016/17 - Year end Progress of Actions

### 1 Social mission

Ob Improve the wellbeing of communities and protect the welfare of vulnerable people						
Code	Action	Status	Progress	Due Date	Comment	Assigned To
RES/16-17/BS/004	Deliver legislative changes required by UK government Welfare reform		<div style="width: 100%;"><div style="width: 100%; background-color: #0070C0; color: white; text-align: center;">100%</div></div>	31-Mar-2017	Completed as planned.	Ryan Chalmers
RES/16-17/PR/001	Develop and implement procurement plan to deliver community benefits through procurement activity		<div style="width: 15%;"><div style="width: 15%; background-color: #0070C0; color: white; text-align: center;">15%</div></div>	31-Mar-2017	Three of four milestones were completed as planned. The wider procurement manual and processes that included the community benefits have been overtaken in priority to the procurement pipeline; as such development hasn't progressed as originally planned. The development of the procurement database to include a means to report community benefits will assist in monitoring and focusing the inclusion going forward.	Annabel Travers

### 2 Organisational capabilities



Ob Committed and dynamic workforce						
Code	Action	Status	Progress	Due Date	Comment	Assigned To
RES/16-17/RE/002	Implement improvements arising from Staff Survey 2015		<div style="width: 100%;"><div style="width: 100%; background-color: #0070C0; color: white; text-align: center;">100%</div></div>	31-May-2017	Completed as planned.	Stephen West

Ob Innovative use of Information Technology						
Code	Action	Status	Progress	Due Date	Comment	Assigned To
RES/16-17/AR/003	Ensure Public Service Network compliance process		<div style="width: 100%;"><div style="width: 100%; background-color: #0070C0; color: white; text-align: center;">100%</div></div>	31-Mar-2017	Penetration test for 2017 was carried out in April 2017 with accreditation date being in August 2017.	Colin McDougall
RES/16-17/BS/007	Continued development of the Agresso Debtors functionality and associated processes		<div style="width: 33%;"><div style="width: 33%; background-color: #0070C0; color: white; text-align: center;">33%</div></div>	31-Mar-2017	This action has been delayed as the scope of the project was larger than initially anticipated. This will proceed in 2017/18.	Stella Kinloch
RES/16-17/FI/004	Develop Agresso to support wider process improvement		<div style="width: 100%;"><div style="width: 100%; background-color: #0070C0; color: white; text-align: center;">100%</div></div>	31-Mar-2017	Agresso development is ongoing and will continue, with development work completed for 2016/17.	Gillian McNeilly
RES/16-17/PR/003	Develop and implement new ways of working in procurement activity		<div style="width: 40%;"><div style="width: 40%; background-color: #0070C0; color: white; text-align: center;">40%</div></div>	31-Mar-2017	Two of five milestones were completed as planned with delays to remaining milestones due to wider procurement demand. This action will proceed in 2017/18.	Annabel Travers


Ob Strong corporate governance						
Code	Action	Status	Progress	Due Date	Comment	Assigned To
RES/16-17/AR/004	Develop role of the Corporate Fraud team		<div style="width: 100%;"><div style="background-color: #4f81bd; height: 10px;"></div></div> 100%	31-Mar-2017	Corporate Fraud Team role fully established within WDC.	Colin McDougall
RES/16-17/AR/005	Develop approach to Council compliance with Code of Good Governance following national review		<div style="width: 100%;"><div style="background-color: #4f81bd; height: 10px;"></div></div> 100%	31-Mar-2017	The revised West Dunbartonshire Council Code of Good Governance was approved by the 8th March 2017 A&PRC. A group of officers is, as happens each year, in the process of assessing the Council's compliance against the revised Code of Good Governance. The outcome of this review will be advised to 21st June 2017 June Committee.	Colin McDougall



Ob Strong financial governance and sustainable budget management						
Code	Action	Status	Progress	Due Date	Comment	Assigned To
RES/16-17/AR/001	Deliver Internal Audit and Corporate Fraud Plans for 2016-17		<div style="width: 90%;"><div style="background-color: #4f81bd; height: 10px;"></div></div> 90%	31-Mar-2017	A small number of Internal Audits were delayed in 2016/17 due to the level of other investigatory work required and have been rolled forward into the 2017/18 plan.	Colin McDougall
RES/16-17/AR/002	Continue to improve and deliver the Assurance Statement to support the Statement of Internal Financial Controls		<div style="width: 100%;"><div style="background-color: #4f81bd; height: 10px;"></div></div> 100%	31-Mar-2017	The Assurance Statement for 2015/16 has been completed and the Internal Audit Annual Report was submitted to the Audit & Performance Review Committee on 8th June 2016.	Colin McDougall
RES/16-17/BS/006	Improve rent collection performance		<div style="width: 100%;"><div style="background-color: #4f81bd; height: 10px;"></div></div> 100%	31-Mar-2017	A review of the Rent Arrears process in conjunction with Housing management staff has been completed – report to November 2016 Housing and Communities Committee; Debt Management system upgrade underway and SMS upgrade planned in October 2016.	Ryan Chalmers
RES/16-17/FI/001	Provide timely and accurate accounting, budgeting and budgetary control processes; and timely delivery of financial accounts statements		<div style="width: 100%;"><div style="background-color: #4f81bd; height: 10px;"></div></div> 100%	31-Mar-2017	Period 11 BCR was reported to PAMG in March 2017 and will be reported to Council in April 2017. The year end position will be reported to Council in June 2017.	Gillian McNeilly
RES/16-17/FI/002	Ensure effective implementation of actions agreed through the Local Scrutiny Plan		<div style="width: 100%;"><div style="background-color: #4f81bd; height: 10px;"></div></div> 100%	31-Mar-2017	No actions were allocated to Resources for 2016/17.	Gillian McNeilly
RES/16-17/FI/003	Review and update the Council's long-term finance strategy and report to Elected Members		<div style="width: 100%;"><div style="background-color: #4f81bd; height: 10px;"></div></div> 100%	31-Mar-2017	Budget 2017/18 and indicative budgets for 2018/19 and 2019/20 were reported to Council on 22 February 2017.	Gillian McNeilly
RES/16-17/PR/002	Develop Procurement Leadership, Governance & Controls across the Council		<div style="width: 100%;"><div style="background-color: #4f81bd; height: 10px;"></div></div> 100%	31-Mar-2017	Completed as planned.	Annabel Travers



<b>Ob</b>	Strong financial governance and sustainable budget management (cont'd)					
Code	Action	Status	Progress	Due Date	Comment	Assigned To
RES/16-17/RE/001	Support transformation projects across the organisation		<div style="background-color: #4f81bd; color: white; padding: 2px; text-align: center;">100%</div>	31-Mar-2017	The support for 2016/17 is now completed. Continuing to support P2P project, CAS, HR payroll and debtors and Creditors improvements for further developments into 2017/18 and beyond.	Andrew Gordon; Derek McLean; Gillian McNeilly; Arun Menon
RES/17-18/BS/005	Consider new approaches to manage and decreasing corporate debt		<div style="background-color: #4f81bd; color: white; padding: 2px; text-align: center;">100%</div>	30-Jun-2017	Completed as planned.	Ryan Chalmers

### 3 Legitimacy and support

<b>Ob</b>	Constructive partnership working and joined up service delivery					
Code	Action	Status	Progress	Due Date	Comment	Assigned To
RES/16-17/PR/004	Develop Supplier Relationship Management across the Council		<div style="background-color: #4f81bd; color: white; padding: 2px; text-align: center;">100%</div>	31-Mar-2017	Completed as planned.	Annabel Travers

Action Status	
	Completed
	Overdue



**WEST DUNBARTONSHIRE COUNCIL****Report by Strategic Lead – Communications, Culture & Communities****Corporate Services Committee: 7<sup>th</sup> June 2017**

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**Subject: Communication, Culture & Communities Delivery Plan 2017/18****1 Purpose**

- 1.1** The purpose of this report is to present to members the 2017/18 Delivery Plan for Communications, Culture & Communities and the year end progress report for the 2016/17 Delivery Plan as agreed at Committee on 9<sup>th</sup> November 2016.

**2 Recommendations**

- 2.1** It is recommended that the Committee approve the 2017/18 Delivery Plan and progress made on delivery of the 2016/17 actions.

**3 Main Issues**Delivery Plan 2017/18

- 3.1** Appendix 1 sets out the Communications, Culture & Communities Delivery Plan for 2017/18. The appendices of the plan detail the action plan for delivery over 2017/18 and the workforce plan for the service.
- 3.2** Progress towards delivery of the plan is monitored monthly through the management team of the service and reported on a quarterly basis through the strategic leadership performance review meetings. A mid-year progress report on actions will be presented to Committee in November 2017.
- 3.3** Key priorities include the development of a modern high-quality, fit for purpose Libraries & Culture service; the delivery of effective, efficient and fully integrated customer services using improved digital channels to provide 24\7 access to transactional services; transforming the Policy, Planning and Performance team to create a business intelligence service which provides data analysis and interpretation to improve performance; and enhance the Council's Communications with residents by introducing guidelines for services to follow, increasing engagement with communities through digital channels and campaigns, and generating income. Issues identified include reversing the year-on-year decline in library visitors and rising costs per visitor; improving the recording of all complaints received and the lessons learned; improving engagement and communication with employees who do not have access to PCs at work; and introducing performance approaches that lead to better outcomes for the Council particularly around benchmarking.

**3.4** Between 1 April and 31<sup>st</sup> March 2017, the Communication, Culture & Communities received a total of 19 complaints, all at Stage 1. Approximately 65% of the complaints closed at Stage 1 met the five working days target for resolving complaints. The average time taken to resolve all complaints closed at Stage 1 was 9 days. Of the 20 complaints closed at Stage 1, 10 were upheld.

#### **4** Workforce Planning

**4.1** Each strategic delivery plan has a supporting workforce plan, which is developed to highlight and plan for the management of key workforce issues. This can be found at appendix 5.

#### **5.** 2016/17 Year-end progress

**5.1** The Delivery Plan for 2016/17 was supported by an action plan of activities to be delivered over the year. Appendix 2 details the progress on delivery of this action plan. Nineteen of the twenty four actions have been completed. Five actions were not completed in 2016/17, and four of these actions will continue in 2017/18. One action has been closed because no national accredited scheme is in place to deliver the desired solution. This will be revisited if such a scheme is established.

#### **6** **People Implications**

**6.1** There are no direct people implications arising from this report. Any workforce implications arising from the Delivery Plan are detailed in the workforce plan.

#### **7** **Financial & Procurement Implications**

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

#### **8** **Risk Analysis**

**8.1** 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.

#### **9** **Equalities Impact Assessment**

**9.1** Screening and Impact Assessments will be carried out on specific activities as required.

#### **10** **Consultation**

**10.1** The Delivery Plan detailed in this reported was developed through consultation with officers from the strategic service area.

## **11 Strategic Assessment**

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

**Malcolm Bennie**

**Service Lead – Communication, Culture & Communities**

**Date**

---

**Person to Contact:** Jan McKinley  
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E-mail: [jan.mckinley@west-dunbarton.gov.uk](mailto:jan.mckinley@west-dunbarton.gov.uk)

**Appendix:** Appendix 1: Communication, Culture & Communities  
Delivery Plan 2017/18  
Appendix 2: Communication, Culture & Communities  
2016/17 Action Plan year end report

**Background Papers:** **None**

**Wards Affected:** All





# Communications Culture & Communities Delivery Plan 2017-18

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# 1. Our Objective and Our Priorities

The Communications, Culture and Communities (CCC) Service has a great opportunity to make a difference every day, and improve the lives of the residents of West Dunbartonshire. During 2017/18 we will deliver excellent customer services which fully respond to the demands of our communities. We will support our services to be the best by providing robust, reliable performance information to underpin continuous improvement. We will deliver high-quality library and cultural services which enhance our communities and allow our residents to explore, interact, learn and imagine. We will deliver first-class corporate communications which inform, educate and change the behavior of our residents for the benefit of all.

## **Our 2017/18 Key Priorities:**

- Develop new creative and innovative approaches to shape and modernise Libraries & Culture so that the service is high-quality, fully accessible, fit for the future and also reflects the changing demands of users
- Deliver effective, efficient and fully integrated customer services by enhancing digital channels to meet resident demand, improve responsiveness, and provide 24\7 access to transactional services
- Transform Policy, Planning and Performance to create a business intelligence service which provides data analysis and interpretation to improve performance, and help shape services and the Council for the future.
- Enhance the Council's Communications by introducing professional standards, increasing engagement with communities through digital channels and campaigns, and generating income.

## **Our CCC Purpose:**

- To deliver excellent and essential services to residents and colleagues as efficiently as possible

## **Our CCC Ethos:**

- Make it happen
- Make a difference

## **2. Overview & Profile**

The CCC Delivery Plan provides a review of our key achievements in 2016/17, sets out our strategic priorities for 2017/18, and highlights the key activities that will be progressed to meet those priorities. CCC is one of 8 strategic service areas for the Council, responsible for:

### **Libraries and Culture**

The Libraries & Cultural Services team manages eight public libraries, five school libraries and the mobile library service. It operates the Clydebank Museum & Gallery, two Heritage Centres, the Backdoor Gallery, Clydebank Town Hall and the Titan Crane. The service also delivers the schools Instrumental Music Service and Education Resource Service, and creative learning opportunities in arts and music. The team delivers all exhibitions in the area and manages the Council's collections. Through a programme of activities in libraries and schools the team also supports the Council ambition to make learning accessible to all residents.

### **Customer Services**

The customer service team is responsible for most frontline customer service, covering face-to-face at One Stop Shops, the telephone Contact Centre, the Council's website, and enquiries via social media. This team is also responsible for management of the Council complaints process. The team also provide access to the Scottish Welfare Fund for Community Care Grants and Crisis Payments. Money Advice services are provided to the residents of West Dunbartonshire via information workers based within our One Stop Shops. In addition the team is now leading the Council's channel shift and digital transformation activity.

### **Policy, Planning and Performance**

The Policy, Planning and Performance team provide strategic planning and performance support to the Council. This includes providing a business partner to all Strategic Leads, leading the use of benchmarking, delivering a comprehensive continuous improvement exercise for all services not subject to statutory regulation, and ensuring a consistent approach in the development of strategies and plans which deliver on the objectives of the Council. The team is also responsible for strategic consultation and engagement, and the telephone survey and citizens panel activity. Responsibility for the corporate equalities agenda and supporting Community Planning West Dunbartonshire also sit within this team.

### **Corporate Communications**

The Corporate Communications team provides information on Council services to ensure that residents, media and employees are fully informed. They also design, plan and manage campaigns to change behaviour, improve the local area, enhance the lives of local residents, and lead projects that save the Council money. In addition the team protects the reputation of the Council, and leads the Council's use of social media to raise the profile of the organisation and better communicate with local residents. The team is also responsible for employee engagement activity through the Senior Manager Network, staff bulletin, intranet and emails. The team supports the employee recognition activity and the employee survey, as well as the delivery of corporate events and VIP visits.

## **Performance Review**

In 2016/17 the CCC service delivered a number of key achievements on behalf of the Council:

### **Libraries & Cultural Services**

- Refurbished Balloch Library in partnership with the Wheatley Group and West College Scotland to provide improved IT equipment, access to Click & Connect Services, and public toilets and baby changing facilities
- Completed Stage one of the refurbishment of Clydebank Library investing £500,000 in improvements to public accessibility, and the building's external structure
- Successfully delivered the first-ever Winterfest at Clydebank Town Hall with 4,000 visitors attending a range of different cultural festive events
- Creative Learning Team was recognised as one of Scotland's most prolific Arts Award centres with over 150 young people receiving a nationally recognised arts qualification in dance & drama
- Selected by National Theatre of Scotland as one of only four hosts for its 'Theatre in Schools Scotland' initiative, with over 400 pupils experiencing world-class theatre in their school.
- Partnerships established with the TATE, the Hunterian and National Galleries of Scotland to support an expanding exhibition programme.
- £70,000 of funding was secured to enhance the Council's nationally recognised Sewing Machine Collection and Singer Archive
- Worked with the local community in Clydebank to deliver a Heritage Lottery Funded project to commemorate the 75<sup>th</sup> anniversary of the Clydebank Blitz

### **Customer Services**

- Council website awarded the prestigious Society of Information Technology Management (SOCITM) 4 Star rating – one of only five in Scotland
- Website received nearly one million visits (up 11,000), and rated the UK's fastest loading Council site on desktop, and third fastest on mobile
- Finalist in Scottish Public Sector Awards for social media use in Digital Public Services
- Delivered My Account functionality in partnership with the Improvement Service
- 160,000 telephone enquiries received and managed with an improved answer rate on previous year
- Introduced technology to monitor telephone performance across the Council for the first time
- Launched a Mystery Shopping project to test resident experiences
- The Scottish Welfare Fund Team won the Customer Services Award at the Council's Employee Recognition Awards, and helped to issue £980,000 in crisis funding to residents

## **Corporate Communications**

- Recognised with a Chartered Institute of Public Relations Gold Award for Housing News (Publication of the Year)
- Achieved a Convention of Scottish Local Authorities (COSLA) Silver Award for the Do the Right Thing litter campaign
- Achieved a COSLA Bronze for the use of social media to support customer service
- Maintained outstanding social media performance – fifth largest Council Facebook audience in Scotland and total social media audience equivalent to 24% of West Dunbartonshire population
- Launched the Council's first ever Instagram account attracting 1,000+ followers. This is now the second biggest Council account in Scotland
- Successfully promoted the Scottish Pipe Band Championships and Loch Lomond Highland Games attracting a combined 34,000 visitors
- Achieved a record number of nominations for the Employee Recognition Awards and delivered a successful event
- Led the Council's first-ever Back to the Floor week involving more than 130 managers

## **Policy, Planning and Performance Team (PPP)**

- Supported introduction of a new approach to strategic planning through the Delivery Plan model for all strategic leads.
- Introduced the Council's Continuous Improvement Framework to drive forward performance in all services not externally regulated
- Ensured transparency and accountability of Council services through robust public performance reporting
- Developed locality profiles for all 17 communities of West Dunbartonshire

## **Challenges**

While the CCC Service has achieved significant progress on key areas over 2016/17 as outlined above, it is important to recognise that some key areas and priorities have not progressed as expected:

- There has been a year on year decline in visits to libraries in person over the past three years. Whilst a decline in visitor figures reflects a national trend, we are targeting an increase in visitors in person over future years and will look to shape services to meet our resident's demand
- With regard to 'Active Borrowers' while West Dunbartonshire Libraries are performing strongly compared to others nationally we are aiming for higher performance levels than achieved in 2016/17. Actions to improve this level will include a pop-up library where people can join and borrow items on the spot, a lapsed user survey, added benefits for borrowers/discounts, and increased tailored staff and customer stock selection

- Benchmarking has highlighted that cost per library visit in West Dunbartonshire is currently ranked 20<sup>th</sup> in Scotland, a deterioration on the previous year. Our aim is to be in the top quartile. This downward change can be influenced by West Dunbartonshire Council (WDC) spend, as well as spending changes in other authorities. Visitor figures also have a significant impact upon costs and to ensure that an effective and efficient service is provided we must increase visits and reduce the costs of delivering our service. This will mean exploring various service models and shaping a fit for the future Library Service which delivers services where and when required.
- The Museum Service has struggled to meet its target for online museum visits. We plan to mitigate this by launching an online collections management system, to make the museum collection available for online access
- While the Council has made strong progress to embed a functioning complaints process that meets the national guidance, there is still work to do to effectively capture all our complaints and to improve our responsiveness to complaints that are received
- Although digital communications are growing faster than any other channel, many employees within the Council do not have access to a workplace PC and as such we face a challenge in ensuring our internal communications reach them. Council communications including the staff bulletin and all staff news updates are available on the intranet which can be accessed at home and other locations via devices, PCs and mobile phones. Communications has launched an internal campaign to make all staff aware that they can access the Council intranet from home. We will continue to devise new methods of communications with this group
- The growth of social media channels and the development of new media such as infographics has increased the demands on what is a smaller-than-average Corporate Communications team. As such we face a challenge to ensure that we continue to meet our existing high-quality standards
- Despite a focus on improvement, Council performance relative to other local authorities deteriorated over the last year. To improve this going forward the PPP team will play a key role in supporting continuous improvement and scrutiny to improve performance across the Council. Work will also be undertaken with the new Council to identify which targets we should focus our resources upon for the biggest benefit to our residents
- A focus on data and management information also means a need to be focused on SMART performance measurement and management (S – *Specific*; M – *Measurable*; A – *Assignable*; R – *Realistic*; T – *Time-related*). The wide range of performance indicators and management information utilised in previous years can make it challenging to focus on the key information for improvement.

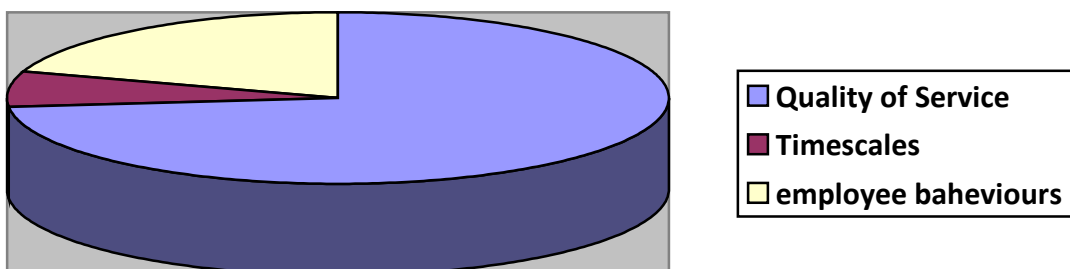
## Complaints

Between 1 April and 31<sup>st</sup> March 2017, the CCC service area received a total of 19 complaints, all at Stage 1. During the same period, 20 Stage 1 complaints were closed. This variance is explained by a complaint from 2015/16 carrying in to 2016/17 for closure.

Approximately 65% of the complaints closed at Stage 1 met the five working days target for resolving complaints. The average time taken to resolve all complaints closed at Stage 1 was 9 days. Of the 20 complaints closed at Stage 1, 10 were upheld.

The pie chart below shows the breakdown of complaints by broad category. It is evident from this chart that the majority of complaints (73%) relate to the resident's expectation of quality not being met, examples of this include issues such as the information provided to a customer [national definition rather than local] when they make an enquiry. The remaining 17% of complaints are related to the time taken to deal with enquires and the customer service experienced by customers when contacting services.

The majority of complaints upheld related to our Customer Service team, in particular our high volume Contact Centre and One Stop Shop functions. As a result of this learning, procedures have been reviewed and revised in a number of instances and key frontline services undertook relevant Customer Service training. Moving into 2017/18 we have introduced a focus on customer service improvement (see Appendix 2) and will be establishing a local satisfaction measure in every service, undertaking further customer service training and investing in improved ICT for residents and employees such as hand-held devices to triage visitors to our One Stop Shops. Based on national guidance we also believe that CCC, like all areas of the Council, is under-reporting complaints. An action for the coming year is to increase the number of complaints recorded by our employees so we can maximise our learning.



### **Self-Evaluation Programme**

The Council has agreed a three year self-evaluation programme using a checklist approach implemented through an online survey. Over the three-year programme, all Council services that are not subject to an external evaluation will undertake self-evaluation, with 11 scheduled in the first year.

Within the CCC service area, a self-evaluation was completed with Policy, Planning and Performance in January 2017, Library Services in March 2017 and Contact Centre/Complaints in March 2017. The resulting Improvement Action Plans will be implemented over the coming months. The next self-evaluation within CCC will focus on Museum and Galleries which commenced in April 2017.

### **Local Government Benchmarking Framework**

The strategic area has responsibility for four of the performance indicators within the Local Government Benchmarking Framework (LGBF). A recent publication on West Dunbartonshire's performance for 2015/16 reported that two of these indicators had shown a deterioration since 2014/15. It should be noted the publication is using 2015/16 data- meaning performance doesn't reflect any investment made or service redesign undertaken in last 18 months – 2 years.

The two indicators that deteriorated were:

Cost per Library visit - During this period there was a significant drop in visitor numbers to our local libraries. This had a negative impact on the cost per visit. There was also an issue with budget control in 2015/16 that led to an overspend. During the same period some other Councils across Scotland have been making efficiencies within their services at a higher rate than WDC.

% of adults satisfied with museums and galleries - The Museum Service has struggled to meet its target for online museum visits. We plan to mitigate this by launching an online collections management system, to make the museum collection available for online access. We will also be reviewing online content and looking externally for best practice.

### **3. Strategic Assessment**

The CCC management team, in addition to the performance review detailed in the previous section, completed a detailed analysis of their services to identify challenges, opportunities and priorities for 2017/18. As a result of this assessment the following factors were recognized as having a significant influence on the work of the service in 2017/18:

#### **Modernised Library and Culture Strategy and Service**

The Libraries and Culture Service is operating with a model established in 2011/12 and a renewed strategy is required to reflect the current and future needs and demand of our library and culture users. This will take creative and innovative approaches to shape services of the highest quality, that are flexible, proactive and outcome focussed.

The development of Queens Quay in Clydebank offers the service an exciting opportunity to develop a “Civic and Cultural Quarter” which ensure that Clydebank Town Hall, Titan Crane and Bruce Street Baths are an integral part of the development.

The summer 2017 exhibition programme includes the first Scotland based exhibition of ‘Brick Histories’ using Lego® bricks. This ambitious project will take place in the former Bruce Street Baths, promoting to the public the potential of this popular historic building as a cultural facility. The success of this will rely upon the delivery of completed capital works promoting public accessibility, and upon making most of this opportunity to attract the highest number of visitors possible. Mitigating actions will also require to be taken to ensure the smooth operations of both the Town Hall and Bruce Street Baths facilities during the exhibition.

#### **Digital Transformation of Customer Services**

Face-to-face customer services is widely recognised as the most expensive form of delivery to residents and businesses. Across the UK the public and private sector is taking steps to channel shift residents into quicker, more convenient and efficient channels such as telephone, text and online. West Dunbartonshire currently retains a traditional, and expensive, face-to-face model delivered through One Stop Shops. The service needs to consider how best to adapt and modernise to meet the needs of residents and still deliver efficiencies. It is essential that we keep up with changing demand and expectation from our residents.

The Digital Strategy requires the Council to fundamentally change its approach to delivering services so that our services are provided in a way that meets the expectations of the majority of our residents. Leading this change, keeping pace with new technology and successfully integrating various back-office systems to deliver improvements represents a challenge. The Online Performance Register, learning from the annual SOCITM review and prioritisation of existing customer services resources will ensure that this is delivered successfully.



## **Customer Experience**

As well as focusing on digital channels it is important that our employees are also equipped to deliver good customer service through all engagement platforms. During 2017/18 the service will work to improve the customer experience through staff training and using continuous improvement methods i.e. self-evaluation, customer satisfaction and complaints. This new improvement approach to complaint analysis will focus on identifying trends in complaints and progressing improvement actions based on the learning from this. The PPP business partners will support strategic leads to scrutinise regular trend reports on complaints and identify service improvement activity from this data.

## **Social and Digital Media**

The Communications team needs to keep pace with the changing digital landscape both in terms of skills, knowledge and resources. It is important that we continue to develop our social media offering in order to grow our audience as this has been a successful pillar of the service in recent years. This will present a challenge as we are a relatively small authority and currently our audience represents 24% of our population. We will achieve this audience growth by continuing to develop our Facebook page as a source of news (especially Facebook Live), enhance our Twitter page with moving images and videos and developing Instagram and Youtube as new channels to engage our audience.

## **Improved Communications and Income**

Effective communication and engagement is essential to the successful delivery of Council policies and services. The way we communicate with residents can directly influence the public response. The Corporate Communications team will introduce standards for staff which will ensure communication materials are clear, concise and appropriate in terms of tone and language. They will also further develop the Council's social media, intranet and video content to ensure that we continue to engage with all of our residents, increase our digital audience and make maximum use of all resources at our disposal. The team will also investigate potential income streams for the council through advertising and sponsorship.

## **Self-Evaluation and Improvement**

The PPP team will continue to help the council improve the planning and delivery of services, including assessment of their impact. The team will ensure the roll out of the self-evaluation programme across services, identifying key strengths and areas for improvement which will help develop innovative and effective services for the future. To support this focus on self-evaluation and improvement the teams will ensure that all opportunities are taken to identify benchmarking opportunities to share best practice and identify improvement actions.

## **Modern Engagement Tools**

With a renewed focus nationally on engagement and empowerment of residents, there is a need to ensure a robust and flexible approach to consultation and engagement. In line with the revised National Standards it is important that the Council offers a range of ways for residents to stay informed, engaged, involved and consulted with. The PPP team leads on the development of strategic engagement within the council and in 2017/18 will develop an on-line consultation process, further improve the council's telephone survey and introduce a Community Engagement toolkit to guide Council services.

This will ensure all operational and strategic services are provided with robust feedback from residents and users of the services, informing and service redesign or improvement activity.

### **Policy Development Framework**

As the Council adopts a new strategic plan for 2017-2022 it is important to ensure that all strategic policies, strategies and plans support delivery of the high level objectives it sets. The PPP team will prepare a guide to development of strategies and policies, providing the qualitative and quantitative evidence required for these documents as well as templates to ensure a consistent approach. Underpinning this will be a guide to equality impact assessments and strategic environmental assessments.

### **Community Profiling and Data Analysis**

As the organisation becomes more focused on scrutiny and improvement there will be a need to build a robust business intelligence service which provides skilled data analysis and interpretation to inform the design of services. The PPP team will look to incorporate these skills as we move forward. As the business intelligence function develops the PPP team will be focused on providing services with robust local evidence and data analysis for the planning of services and identification of improvement activity. Also, during 2017/18 Community Planning West Dunbartonshire will agree a new Local Outcome Improvement Plan and supporting Locality Plans, the PPP team will provide significant support to this process through provision of data and analysis to inform priority setting and targeted locality activity.

### **Financial Management**

The CCC management team is very aware of the financial challenges facing the Council over the next few years. To deliver on the Council's objectives and meet those financial challenges the team will:

- Develop proposals to review service provision and identify opportunities for 2017/2018, 2018/2019 and 2019/20 to meet financial pressures
- Develop savings options with fully defined/explained and costed options for approval by elected members explaining a range of options.
- Participate in overall financial planning within revised strategic lead structure

### **People Management**

Across the service area, our main resource is our dedicated workforce. To develop a culture of Best Value and continuous improvement within the department it is important to invest time and resources in staff.

Throughout 2017/18 we will:

- Carry out Performance and Development Plan's (PDPs) and Be The Best conversations with all staff;
- Apply in full the Council's Attendance Management Policy
- Monitor our complaint handling process to ensure we are meeting the agreed timescales
- Ensure appropriate training is rolled out across all employees

## **Equalities**

To help reduce persistent inequalities, the Council has set out nine equality outcomes for 2017/21 in line with its statutory duty, each led by a relevant strategic lead area. These cover community participation, employment diversity, disability pay gap, occupational segregation, digital inclusion, accessible community transport, identity based bullying in schools, and educational attainment gaps between males and females and between pupils with additional support needs and other pupils.

By focusing on outcomes, the Council aims to bring practical improvements to the life chances of those who experience discrimination and disadvantage.

We will ensure that our planning is informed by our Equality Outcomes, and that plans are robustly equality and human rights impact assessed.

Within the Council's Equality Outcomes 2017-2021, CCC is the lead strategic area for the following outcome:-

### **Outcome 5: Increase Digital Inclusion of Underrepresented Groups**

This outcome translates to a number of performance indicators which are included in Appendix 3.

## **4. Resources**

As a Council we are committed to supporting every employee to 'Be the Best' through providing personal development opportunities and ensuring that our employees feel valued and recognised for their contribution in delivering the Council's vision and strategic objectives. This commitment is achieved through ensuring all employees have a PDP or Be The Best conversation in place and supporting professional and personal development in their current role and for any future career plan. In the Communications, Culture and Communities strategic area 100% of staff had a PDP in place for 2016/17.

From 2017 onwards employee development will be delivered predominantly through Be the Best Conversations. This process will ensure all employees receive a valuable meaningful discussion around how they can Be the Best in their role, and receive support and development to allow them to accomplish their potential.

Our development priorities include training; leadership and manager development; customer service; change management; technical skills and specialist skills that support and maintain professional expertise. Our commitment to learning and development is recognised through the achievement of Gold Standard from Investors in People (IiP).

### **Workforce Planning**

Workforce planning is integrated within the strategic planning process, highlighting the key workforce related activities for the year and reflecting the longer term strategic aims of the services. Each Strategic Lead is responsible for the annual review of requirements for their respective service areas to ensure that any key actions are identified at an early stage.

We gather the views of our employees through our regular employee survey, the most recent survey results relate to the survey carried out at the end of 2015. From this an organisational improvement plan has been put in place. These improvement activities focus on five key areas and will be delivered through activities in each service across the organisation.

### **Employee Wellbeing Group**

The newly established Employee Wellbeing Group will develop and oversee the implementation of a Council strategy (and resulting implementation plans) which will seek to maximise employee wellbeing, recognising the benefits to the organisation and its employees of such an approach. Linked to this, work will be undertaken with managers and trades union partners to embed a 'safety culture', fostering increased ownership and accountability across the organisation as a whole.

## Employees

The number of staff in each section is outlined below:-

	No. FTE of staff 2017/18
Libraries and Culture	91.32
Communication, engagement & events	6.80
Customer services	42.93
Policy, Planning and Performance	9.62
<b>TOTAL</b>	<b>150.67</b>

## Staff Absence 2016/17

The monthly absence statistics for Communication, Culture and Communities have been significantly lower than the Council average for the same periods in 2016/17.

The table below shows the absence figures for April-March 2017.

Service	April	May	June	July	Aug	Sep	Oct	Nov	Dec	Jan 17	Feb 17	Mar 17
CCC Total	0.14	0.23	0.30	0.42	0.51	0.36	0.46	0.45	0.44	0.66	0.44	0.18
Council Wide	0.79	0.91	0.74	0.65	0.7	0.81	0.87	1.03	1.07	0.99	0.96	0.96

The strategic area had an end of year absence figure of 4.70 for 2016/17 compared to the Council target figure assigned to CCC of 6.5.

The Workforce Plan 2017/18 (Appendix 5) provides a more detail of the current profile of the strategic area along with staff absence data.

## Finance

The 2017/18 DRAFT revenue budget for the Communications, Culture and Communities strategic area is £5.8m. We will make the best use of the resources available to deliver on key priority areas and secure external/match funding where this is possible.

The DRAFT resources to deliver on this in 2017/18 action plan for Communications, Culture and Communities are:-

<b>Section</b>	<b>Gross Expenditure 2017/18</b>	<b>Gross Income 2017/18</b>	<b>Net Expenditure/ (Income) 2017/18</b>
Libraries and Culture	3,347,985	325,850	3,022,135
Clydebank Town Hall	477,410	210,499	266,911
Communication, engagement & events	278,997	0	278,997
Customer services	1,273,270	0	1,273,270
Policy, Planning and Performance	460,155	0	460,155
<b>TOTAL</b>	<b>5,837,817</b>	<b>536,349</b>	<b>5,301,468</b>

## 5. Risks

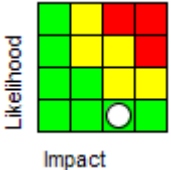
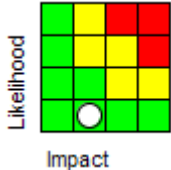
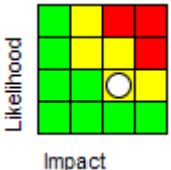
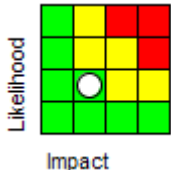
The Council has identified risks at both a strategic and service level. Strategic risks represent the potential for the Council to take advantage of opportunities or fail to meet stated strategic objectives and those that require strategic leadership. Service risks relate to service delivery and represent the potential for impact on individual services, or the experience of those who work within the services, i.e. employees, partners, contractors and volunteers, service users or clients in receipt of the services provided.

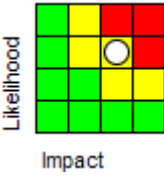
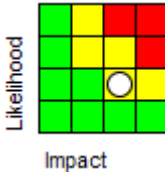
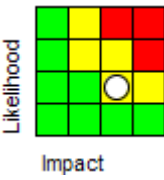
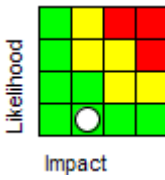
Communication, Culture and Communities team has lead responsibility for one of the Council's seven strategic risks:

- ❖ Failure to ensure positive dialogue with local citizens and communities

In addition, the management team identified service specific risks for 2017/18. Both strategic and service specific risks are detailed below.

Actions taken to mitigate these risks are detailed in operational plans for each specific service area with the aim of improving or maintaining the current position (i.e. the current risk score).

Risk Title	Description	Assessed risk score	Target risk score
Failure to implement a robust media and communications strategy	There is a risk that the Council's reputation could be impacted and as a result perceptions of the organisation. This would impact on the Council's legitimacy to manage this area and lead to external pressures from scrutiny bodies. If successes or information is not effectively shared this would impact on how the council is perceived and the morale of employees.		
Failure to promote engagement with culture	Risk of decreasing public access to and participation in cultural activities & events such as exhibitions, concerts, heritage visits and creative learning activities		

Risk Title	Description	Assessed risk score	Target risk score
Failure to effectively manage and learn from complaints	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.		
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.		



# Appendix 1: Structure Chart

**TRANSFORMATION & PUBLIC SERVICE REFORM**  
**STRATEGIC LEADS**



## Appendix 2: Action Plan 2017-18

Priority	Outcomes	Strategic Action	Activities	Completion Dates	Assigned to
Organisational Capabilities	Fit for purpose estate and facilities	Cultural Service Develop a fit for future Libraries and Cultural Services	Review current levels of activity, demand and satisfaction and identify priority improvement areas.	30 <sup>th</sup> November 2017	Gill Graham
			Review running costs for individual premises and present options for reducing cost per visitor (target reduction of 25% equivalent to 81p and overall cost of £2.42).	31 <sup>st</sup> July 2017	Gill Graham
			Consult with users and general public on what service they want now and in the future.	31 <sup>st</sup> August 2017	Gill Graham
			Review best practice from Scotland and beyond.	30 <sup>th</sup> September 2017	Gill Graham

Priority	Outcomes	Strategic Action	Activities	Completion Dates	Assigned to
			Develop a new Library and Culture Strategy with a vision for a fit for purpose service model.	30 <sup>th</sup> September 2017	Gill Graham
			Maximise opportunities for technology in processes and buildings.	31 <sup>st</sup> March 2018	Gill Graham
Organisational Capabilities	Committed and dynamic workforce	Embed a culture of continuous improvement across Library Services	Participate in national improvement schemes and achieve national recognised standards including; HGIOPLS ( <i>How Good Is Our Public Library Service</i> ); HGIOCS ( <i>How Good is Our Culture and Sport</i> ); Visit Scotland's Quality Assurance	31 <sup>st</sup> March 2018	Gill Graham

Priority	Outcomes	Strategic Action	Activities	Completion Dates	Assigned to
			scheme/s; Museums Galleries Scotland Accreditation Scheme.		
			Introduce formalised benchmarking reviews on a quarterly basis.	31 <sup>st</sup> October 2017	Gill Graham
			Undertake the Council's self- assessment for Libraries, Heritage and Creative Learning and complete the resulting action plan.	31 <sup>st</sup> July 2017	Gill Graham
			Develop an action plan to increase annual visits to Libraries in person (target increase 2% equivalents to 7,000 + visits) <i>(benchmark &amp; update per 1,000</i>	30 <sup>th</sup> September 2017	Gill Graham

Priority	Outcomes	Strategic Action	Activities	Completion Dates	Assigned to
			<i>population).</i>		
			Develop an action plan to increase annual visits in person to museums (target increase 10% equivalent to 3,646 people).	31 <sup>st</sup> August 2017	Gill Graham
			Develop an action plan to increase annual virtual/online visits to Library Services (target increase 10% equivalent to 21,122 people) ( <i>benchmark &amp; update per 1,000 population).</i>	31 <sup>st</sup> August 2017	Gill Graham

Priority	Outcomes	Strategic Action	Activities	Completion Dates	Assigned to
			Develop an action plan to increase percentage of the resident population who are regular borrowers from public libraries (target increase of 1.24% from 19.21% to 20.5%).	31 <sup>st</sup> July 2017	Gill Graham
			Develop an action plan to increase annual library issues (target increase of 3.5% equivalent to 9,984 issues per year).	31 <sup>st</sup> July 2017	Gill Graham
Organisational Capabilities	Fit for purpose estate and facilities	Establish a Cultural and Health Quarter around Clydebank Town Hall	Review redevelopment option of Bruce Street baths and present an updated proposal.	31 <sup>st</sup> December 2017	Gill Graham
			Work in liaison with the Clydebank Health Centre Arts Strategy Group and	31 <sup>st</sup> March 2018	Gill Graham

Priority	Outcomes	Strategic Action	Activities	Completion Dates	Assigned to
			HSCP and Economic Regeneration colleagues to positively engage in the cultural development of the health centre and surrounding locale.		
			Complete Clydebank Town Hall capital improvement plan including enhanced reception, café, public and staff areas.	30 <sup>th</sup> November 2017	Gill Graham
			Publish an updated Clydebank Town Hall business plan with the aim of establishing the venue as a customer destination for cultural activities, weddings and conferences. The plan will identify key improvement areas,	31 <sup>st</sup> July 2017	Gill Graham

Priority	Outcomes	Strategic Action	Activities	Completion Dates	Assigned to
			aspirations, and targets set within a planned timeframe.		
Organisational Capabilities	Innovative use of information technology	Lead our Customer Services Digital Transformation agenda	Develop an action plan to increase uptake in visitors to Council website (target increase 10%).	31 <sup>st</sup> March 2018	Stephen Daly
			Develop an action plan to increase uptake of online forms completed and submitted (target increase 20%).	31 <sup>st</sup> March 2018	Stephen Daly
			Develop a Corporate Portal that is integrated into our backend systems.	31 <sup>st</sup> March 2018	Stephen Daly



Priority	Outcomes	Strategic Action	Activities	Completion Dates	Assigned to
			Develop an action plan to increase the use of self service telephone payments (target increase of 20%).	31 <sup>st</sup> March 2018	Stephen Daly
			Develop an action plan to increase use of online payments (target increase of 20%).	31 <sup>st</sup> March 2018	Stephen Daly
			Develop an action plan to decrease number of Switchboard contacts (target decrease of 20%).	31 <sup>st</sup> March 2018	Stephen Daly
			Develop an action plan to decrease number of payments in One Stop Shop (target decrease of 20%).	31 <sup>st</sup> March 2018	Stephen Daly
			Introduce appointment system within the One Stop Shops to maximise our	30 <sup>th</sup> September 2017	Stephen Daly

Priority	Outcomes	Strategic Action	Activities	Completion Dates	Assigned to
			resources and assist with channel shift (target decrease of 20%).		
			Develop an action plan to ensure 80% of appointments to see Information Workers are offered within 10 working days.	31 <sup>st</sup> March 2018	Stephen Daly
			Adhere to timescale for Crisis Grant delivery.	31 <sup>st</sup> March 2018	Stephen Daly
			Adhere to timescale for Community Care Grant.	31 <sup>st</sup> March 2018	Stephen Daly
			20% adherence of referrals to Fraud Team.	31 <sup>st</sup> March 2018	Stephen Daly
			Develop an action plan to ensure Upheld Appeals by the SPSO are kept below the 10% target.	31 <sup>st</sup> March 2018	Stephen Daly

Priority	Outcomes	Strategic Action	Activities	Completion Dates	Assigned to
		Develop digital communications	Develop an action plan to increase social media audience (target is 30% of the population – up from 24% - equivalent to 26,877 followers).	31 <sup>st</sup> March 2018	Amanda Graham
			Embrace new social media opportunities which present, launch new channels and better exploit video content to extend social media and digital reach.	31 <sup>st</sup> March 2018	Amanda Graham
			Develop an action plan to increase visits to employee intranet by 5% (equivalent to 2750).	31 <sup>st</sup> March 2018	Amanda Graham

Priority	Outcomes	Strategic Action	Activities	Completion Dates	Assigned to
			Develop measures for customer response times on social media.	31 <sup>st</sup> March 2018	Stephen Daly
Legitimacy and support	Positive dialogue with local citizens and communities	Improve customer experience	Measure satisfaction via telephone, mystery shopper and other channels and take steps to improve delivery.	31 <sup>st</sup> March 2018	Stephen Daly
			Improve satisfaction of customers with online service provision to 90%.	31 <sup>st</sup> March 2018	Stephen Daly
			Improve the quality and value of in house Customer Service Training in conjunction with Organisational Development.	30 <sup>th</sup> September 2018	Stephen Daly
			Ensure Customer Service Training is future proofed for a digital, mobile and flexible workforce.	31 <sup>st</sup> March 2018	Stephen Daly

Priority	Outcomes	Strategic Action	Activities	Completion Dates	Assigned to
		Lead and Improve Complaints process and responsiveness	Adherence to SPSO policy and timescales.	31 <sup>st</sup> March 2018	Stephen Daly
			Improve learning outcomes in conjunction with Policy and Performance.	31 <sup>st</sup> March 2018	Stephen Daly
		Ensure a focus on Customer Service Improvement activity	Ensure every service area has a local measure of satisfaction.	31 <sup>st</sup> March 2018	Amanda Coulthard
			Undertake customer service training for frontline employees.	31 <sup>st</sup> October 2017	Gill Graham
			Invest in improved ICT for customers and employees.	31 <sup>st</sup> March 2018	Stephen Daly
		Implement an online approach to consultation and engagement	Deliver an in-house approach to Citizens Panel.	30 <sup>th</sup> April 2017	Amanda Coulthard

Priority	Outcomes	Strategic Action	Activities	Completion Dates	Assigned to
			Strengthen use of telephone survey data for improvement identification.	30 <sup>th</sup> June 2017	Amanda Coulthard
		Introduce communication standards across the Council	Introduce Council brand guidelines.	31 <sup>st</sup> July 2017	Amanda Graham
			Establish communication masterclass for staff.	31 <sup>st</sup> August 2017	Amanda Graham
			Priority based review of Council correspondence.	31 <sup>st</sup> March 2018	Amanda Graham
Organisational Capabilities	Strong financial governance and sustainable budget management		Generate advertising and sponsorship income	Develop proposals for generating an income from advertising on Council assets.	31 <sup>st</sup> March 2018
			Identify sponsorship opportunities for Employee Awards, Events, and Provost Awards.	31 <sup>st</sup> Dec 2017	Amanda Graham

Priority	Outcomes	Strategic Action	Activities	Completion Dates	Assigned to
Organisational Capabilities	Committed and dynamic workforce	Embed the Continuous Improvement agenda across the Council	Evaluate roll out of, and participation with, self-evaluation framework.	31 <sup>st</sup> July 2017	Amanda Coulthard
			Review/capture all improvement actions from SE activity in monthly service dashboards.	31 <sup>st</sup> August 2017	Amanda Coulthard
			Ensure strategic plan 2017-2022 reflects learning and improvement agenda.	30 <sup>th</sup> September 2017	Amanda Coulthard
			Ensure the CPWD Local Outcome Improvement Plan reflects identified local need.	31 <sup>st</sup> October 2017	Amanda Coulthard
		Develop, implement and evaluate a local action plan, in line with the Council's employee wellbeing strategy		31 <sup>st</sup> March 2018	Malcolm Bennie

Priority	Outcomes	Strategic Action	Activities	Completion Dates	Assigned to
		Support implementation of Be the Best conversations through role modelling best practice, clear communications, and providing regular encouragement for all service areas to ensure Be the Best conversations are taking place for all employees.		31 <sup>st</sup> March 2018	Malcolm Bennie
		Deliver a revised approach to performance and best value	Develop a robust business intelligence and analysis function.	31 <sup>st</sup> March 2018	Amanda Coulthard
			Build reporting framework to ensure all strategic service areas are provided with robust data to inform decision making.	31 <sup>st</sup> May 2017	Amanda Coulthard
			Invest in improved ICT for customers and employees.		Stephen Daly



## Appendix 3: List of Abbreviations

<b>CCC</b>	Communications, Culture and Communities
<b>SOCITM</b>	Society of Information Technology Management
<b>COSLA</b>	Convention of Scottish Local Authorities
<b>WDC</b>	West Dunbartonshire Council
<b>PPP</b>	Policy, Planning and Performance Team
<b>SMART</b>	<i>S – Specific; M – Measurable; A – Assignable; R – Realistic; T – Time-related</i>
<b>IIP</b>	Investors in People
<b>HGIOPLS</b>	How Good Is Our Public Library Service
<b>HGIOCS</b>	How Good is Our Culture and Sport

## Appendix 4: Performance Indicators 2017/18

The following performance indicators have been will be integrated in the Action Plan (Appendix 2) and monitored, managed and reported in accordance with the Performance Management Framework.

### Strategic Plan PIs:

CS/CCM/1000	Percentage of citizens who are satisfied with the Council website
CS/ICT/SP003	Percentage of complaints received by the Council that are resolved at Stage 1
CS/OD/101	Percentage of employees who express satisfaction with the Council as a place of work

### Local Government Benchmarking Framework PIs:

SC&L02	Cost per library visit £
SC&L03	Cost per museum visit £
SC&L05a	% of adults satisfied with libraries
SC&L05c	% of adults satisfied with museums and galleries

### Local PIs:

CS/CCM/1000	Percentage of citizens who are satisfied with the Council website
CS/CCM/1006	The star rating received by the Council from SOCITM for the Council website
CS/ICT/SP003	Percentage of complaints received by the Council that are resolved at Stage 1
SCC3b	CC3b: Number of visits to/usages of council funded or part funded museums that were in person per 1000 population
SCC5a	CC5a: Number of Library visits per 1000 population
SCC5b	CC5b: Percentage of the resident population who are borrowers from public libraries

## Equality Outcomes

5.1	% of older (60+) residents who have internet access
5.2	% of younger (under 60) residents who have internet access

## Appendix 5: Workforce Plan 2017/18

### 2017/18 Communication, Culture and Communities Workforce Plan

#### Introduction

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

The plan also provides details of the current workforce profile of the Strategic Lead area, allowing for observations and assumptions to be drawn based upon workforce demographics and the impact this has in relation to resources and service delivery. Sickness absence information has also been included as reduction in this area is a key service priority for the council.

The plan is broken down as follows:

1. Summary of the Key Service Priorities/Issues and Resource Implications;
2. Longer term Key Service Priorities/ Issues and Resource implications; and
3. Establishment and resource Information.

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

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

Priority/ Issues	Resource or Skill implication	Action required	Cost / Saving	Lead
Develop a fit for future Libraries and Cultural Service	Manager time to conduct review and to identify options	Review staffing requirements in each of the service locations. Identify how resources can be used most effectively	Unknown	G Graham
Embed a culture of continuous improvement across Library Services	Possible upskill required in existing team to conduct self-evaluation and formal benchmarking exercises	Review skill level in own team and identify support routes within WDC. Possible resource required to support development of various action plans related to public usage.	n/a	G Graham
Establish a Cultural and Health Quarter around Clydebank Town Hall	Partnership arrangements and resource identification required with internal and external stakeholders. Time resource to develop business plans.	Map our resource requirements. Identify opportunities to share resource (internal / external)	n/a	G Graham

Priority/ Issues	Resource or Skill implication	Action required	Cost / Saving	Lead
Lead our Customer Services Digital Transformation agenda	<p>Expertise in use of digital communications required to deliver modern customer services across all Council service areas.</p> <p>Expertise to provide client support to customers.</p> <p>Possibly less front facing staff required across Council service areas.</p> <p>Shift to support action plans or Fraud / Appeals / Comm Care Grant</p> <p>Retraining /Redeployment.</p>	<p>Skills gap analysis required.</p> <p>Identify action plan to address any skills gaps including recruitment implications.</p> <p>Identify numbers required to support new channels.</p> <p>Identify training needs and action plan accordingly.</p>	Cost to be identified	S Daly
Develop digital communications	Skills gaps – existing staff unable to carry out this specialised role.	<p>Skills Gap Analysis</p> <p>Identify new role</p>	New post	A Graham

Priority/ Issues	Resource or Skill implication	Action required	Cost / Saving	Lead
Improve customer experience	Time resource required to implement measurement systems.  Expertise available to develop training (with internal partner)	Ensure adequate resource to conduct analysis of results.  Develop new training offering.	n/a	S Daly
Lead and Improve Complaints process and responsiveness	Time resource	Identify time resource required. Liaise / share time resource with AC	n/a	S Daly
Ensure a focus on Customer Service Improvement activity	Time resource for training.  Training / upskilling for new technology	Skills gap analysis	n/a	G Graham  S Daly
Implement an online approach to consultation and engagement	Available in-house skill to delivery citizen's panel.	Skills gap analysis  New resource?	To be identified	A Coulthard
Introduce communication standards across the Council	Time resource to deliver this activity and review.  New administration	Identify dedicated time.  Review impact of new administration	n/a	A Graham

<b>Priority/ Issues</b>	<b>Resource or Skill implication</b>	<b>Action required</b>	<b>Cost / Saving</b>	<b>Lead</b>
Generate advertising and sponsorship income	Expertise in income generation  Time resource	Consider in-house capability when developing proposals	To be identified	A Graham
Embed the Continuous Improvement agenda across the Council	Available resource to support this activity.  Consider Business Intelligence capability	Consider in house resource to support this activity	n/a	A Coulthard
Ensure consistent implementation of actions arising from the employee wellbeing group	Resource time	Prioritise as required	n/a	M Bennie
Support implementation of Be the Best conversations through role modelling best practice, clear communications, and providing regular encouragement for all service areas to ensure Be the Best conversations are taking place for all employees.	Training on new approach	Line management attendance at manager masterclasses	n/a	M Bennie



Priority/ Issues	Resource or Skill implication	Action required	Cost / Saving	Lead
Deliver a revised approach to performance and best value	Manager time to conduct review and to identify options including resolving the limited existing Business Intelligence capability	Review staffing requirements to identify how resources can be used most effectively including considering a specialist BI resource	Unknown	A Coulthard M Bennie

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

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

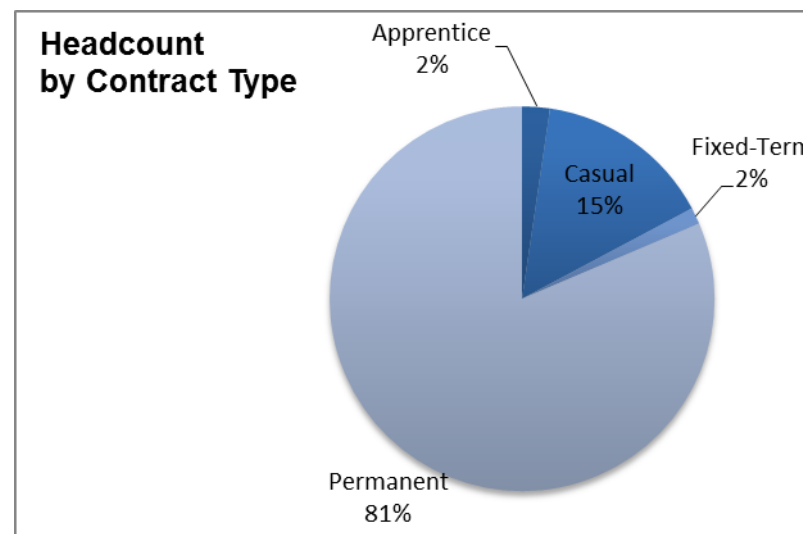
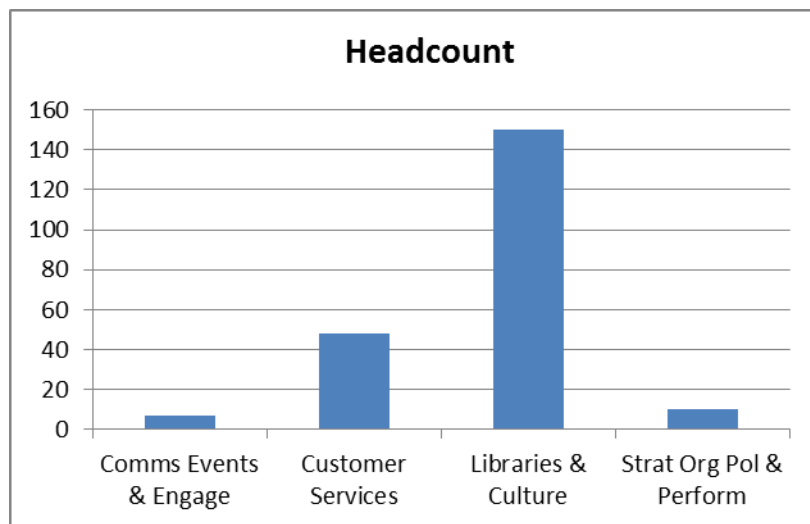
Period that priority will impact over	Priority/ Issues	Potential resource or skill implication	Potential actions required
2017-2018	Political uncertainty	Impact of political changes both locally and nationally	Continue to monitor changes and identify resulting risks
2017-2020	Pace of change	Capability to keep pace with change. Capacity to support continuous process improvement and change	Ongoing monitoring or resource availability

### 3. Establishment and Resource Information

The data listed below relates to the profile of the Strategic Lead area workforce as at 1<sup>st</sup> April 2017 and examines changes in that profile over time. Comparison is not provided in instances where new workforce profile information is being reported for the first time.

#### 1 Headcount

	Apprentice	Casual	Fixed-Term	Permanent	Total
Comms Events & Engage	1	0	0	6	7
Customer Services	4	0	2	42	48
Libraries & Culture & Town Hall	0	32	1	117	150
Strat Org Pol & Perform	0	0	0	10	10
<b>Communications, Culture &amp; Communities Total</b>	<b>5</b>	<b>32</b>	<b>3</b>	<b>175</b>	<b>215</b>

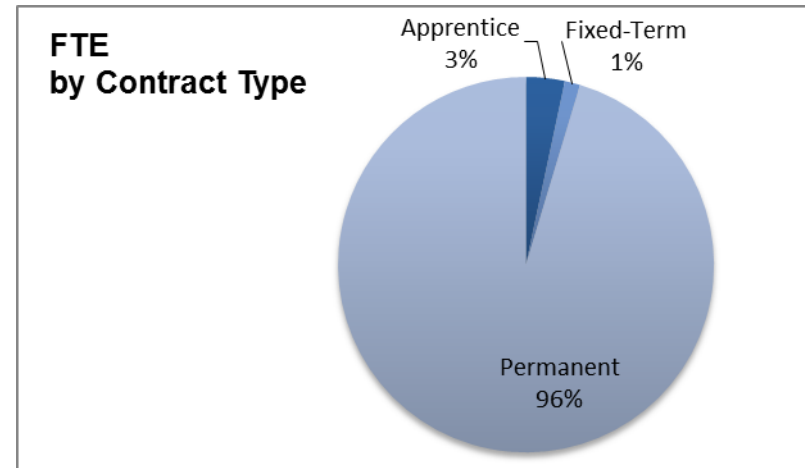
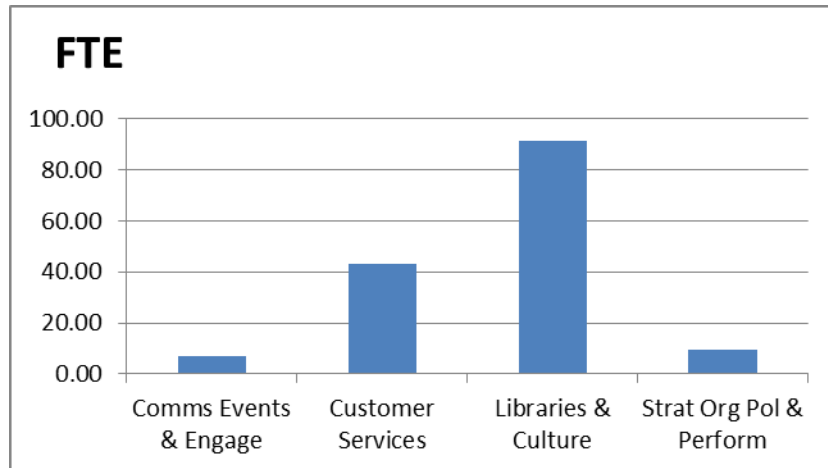


The headcount (excluding casual workers) across the service has reduced by 13 employees with reductions predominantly within Libraries and Culture.

## 2 Full time equivalent

	Apprentice	Fixed-Term	Permanent	Total
Comms Events & Engage	1.00	0.00	5.80	6.80
Customer Services	4.00	1.60	37.33	42.93
Libraries & Culture & Town Hall	0.00	0.40	90.92	91.32
Strat Org Pol & Perform	0.00	0.00	9.62	9.62
<b>Communications, Culture &amp; Communities Total</b>	<b>5.00</b>	<b>2.00</b>	<b>143.67</b>	<b>150.67</b>

Full time equivalent employees has decreased by 12 FTE employees, again predominantly within Libraries & Culture.



### 3 Fixed-Term Contract

	FTC ending in next 6 months	FTC longer than 2 years
Comms Events & Engage	0	0
Customer Services	0	0
Libraries & Culture	1	1
Strat Org Pol & Perform	0	0
<b>Communications, Culture &amp; Communities Total</b>	<b>1</b>	<b>1</b>

The number of fixed term contracts within CCC is relatively low. 1 FTC is due to end in the next 6 months and one has gone on for more than 2 years.

### 4 Full Time / Part Time split

	Full-Time	Part-Time
Comms Events & Engage	6	1
Customer Services	31	17
Libraries & Culture	49	69
Strat Org Pol & Perform	8	2
<b>Communications, Culture &amp; Communities Total</b>	<b>94</b>	<b>89</b>

There is a balanced picture between Full time and Part time employees across CCC. Libraries and Culture employ the greatest number of part time staff.

## 5 Grade Profile

### Number of staff under each grade

	SS00 02	SS00 03	SS00 04	SS00 05	SS00 06	SS000 7	SS00 08	SS00 09	SS00 10	SS00 11	SS00 12	SSMO DA	TEAC HG
Comms Events & Engage	0	0	0	0	0	1	4	1	0	0	0	1	0
Customer Services	0	21	15	3	2	0	0	2	0	1	0	4	0
Libraries & Culture	6	79	16	3	9	13	4	0	2	0	1	0	17
Strat Org Pol & Perform	0	0	0	0	3	0	5	1	0	0	1	0	0
<b>Communications, Culture &amp; Communities Total</b>	<b>6</b>	<b>100</b>	<b>31</b>	<b>6</b>	<b>14</b>	<b>14</b>	<b>13</b>	<b>4</b>	<b>2</b>	<b>1</b>	<b>2</b>	<b>5</b>	<b>17</b>

The majority of CCC employees are at grade 3 and this is predominantly within Libraries and Culture and Customer Services. There are 17 employees within the Music Instruction service who are on Teacher grade.

### Percentage of staff under each grade

	SS00 02	SS00 03	SS00 04	SS00 05	SS00 06	SS000 7	SS00 08	SS00 09	SS00 10	SS00 11	SS00 12	SSMO DA	TEAC HG
Comms Events & Engage	0	0	0	0	0	14.3	57.1	14.3	0	0	0	14.3	0
Customer Services	0	43	31.3	6.3	4.2	0	0	4.2	0	2.1	0	8.3	0
Libraries & Culture	4.0	52.7	10.7	2	6	8.7	2.7	0	1.3	0	0.7	0	11.3
Strat Org Pol & Perform	0	0	0	0	30	0	50	10	0	0	10	0.	0
<b>Communications, Culture &amp; Communities Total</b>	<b>2.8</b>	<b>46.5</b>	<b>14.4</b>	<b>2.8</b>	<b>6.5</b>	<b>6.5</b>	<b>6.0</b>	<b>1.9</b>	<b>0.9</b>	<b>0.5</b>	<b>0.9</b>	<b>2.3</b>	<b>7.9</b>

## 6 Gender Profile

	Female		Male	
	Headcount	Percentage	Headcount	Percentage
Comms Events & Engage	6	85.7%	1	14.3%
Customer Services	36	75.0%	12	25.0%
Libraries & Culture	72	61.0%	46	39.0%
Strat Org Pol & Perform	8	80.0%	2	20.0%
<b>Communications, Culture &amp; Communities Total</b>	<b>122</b>	<b>66%</b>	<b>61</b>	<b>34%</b>

The majority of employees within CCC are female and this is reflected across all service areas of CCC.

## 7 Age Profile and Length of Service

### Age profile – headcount

	16-19	20-24	25-29	30-34	35-39	40-44	45-49	50-54	55-59	60-64	65+
Comms Events & Engage	0	1	0	0	3	0	1	2	0	0	0
Customer Services	1	4	5	5	10	1	6	6	7	2	1
Libraries & Culture	0	3	2	12	14	14	13	22	26	10	2
Strat Org Pol & Perform	0	0	0	1	1	0	1	2	4	1	0
<b>Communications, Culture &amp; Communities Total</b>	<b>1</b>	<b>8</b>	<b>7</b>	<b>18</b>	<b>28</b>	<b>15</b>	<b>21</b>	<b>32</b>	<b>37</b>	<b>13</b>	<b>3</b>

The predominant age bracket within CCC is 55-59 years, with the age bracket 50-54 close behind.

### Age profile - percentage

	16-19	20-24	25-29	30-34	35-39	40-44	45-49	50-54	55-59	60-64	65+
Comms Events & Engage	0	14.3	0	0	42	0	14.3	28.6	0	0	0
Customer Services	2.1	8.3	10.4	10.4	20.8	2.1	12.5	12.5	14.6	4.2	2.1
Libraries & Culture	0	2.5	1.7	10.2	11.9	11.9	11	18.6	22	8.5	1.7
Strat Org Pol & Perform	0	0	0	10	10	0	10	20	40	10	0
<b>Communications, Culture &amp; Communities Total</b>	<b>0.5</b>	<b>4.4</b>	<b>3.8</b>	<b>9.8</b>	<b>15.3</b>	<b>8.2</b>	<b>11.5</b>	<b>17.5</b>	<b>20.2</b>	<b>7.1</b>	<b>1.6</b>

## 8 Length of service

	Less than 1 year		1 to 9 years		10 or more years	
	Headcount	Percentage	Headcount	Percentage	Headcount	Percentage
Comms Events & Engage	1	14.3%	4	57.1%	2	28.6%
Customer Services	3	6.3%	16	33.3%	29	60.4%
Libraries & Culture	5	4.2%	49	41.5%	64	54.2%
Strat Org Pol & Perform	0	0.0%	5	50.0%	5	50.0%
<b>Communications, Culture &amp; Communities Total</b>	<b>9</b>	<b>4.9%</b>	<b>74</b>	<b>40.4%</b>	<b>100</b>	<b>54.6%</b>

Across the Strategic Lead area the number of employees over 10 years and under 10 years is balanced, however, Customer Services sees the highest proportion of employees employed for 10 years or more.

## 9 New Start Employees

	Apprentice	Fixed-Term	Permanent
Comms Events & Engage	0	0	1
Customer Services	2	0	1
Libraries & Culture	0	0	5
Strat Org Pol & Perform	0	0	0
<b>Communications, Culture &amp; Communities Total</b>	<b>2</b>	<b>0</b>	<b>7</b>

As expected and similar to last year, the largest service area, Libraries and Culture, saw the greatest number of new start employees in the year.

## 10 Turnover

	Staff at 1 April 2016	Staff at 1 April 2017	Average	Leavers	Turnover %
Comms Events & Engage	10	7	9	3	33.33%
Customer Services	53	48	51	3	5.88%
Libraries & Culture	123	118	121	7	5.79%
Strat Org Pol & Perform	11	10	11	1	9.09%
<b>Communications, Culture &amp; Communities Total</b>	<b>197</b>	<b>183</b>	<b>190</b>	<b>14</b>	<b>7.37%</b>

Turnover in the year was relatively low with a rate of 7.37%. It should be noted that turnover appeared high within Comms, Events and Engagement, however this is a small team and there were only 3 leavers in the year.

## 11 Leavers

	Death in Service	Dismissal - End of Cont	Dismissal - Ill Health	Dismissal - Summary	Dismissal - With Notice	Employee Not Started	Redundancy	Resignation	Retiral - Age	Retiral - Efficiency	Retiral - Ill Health	Retiral on Option (60+)	Severance - Efficiency	Total
Comms Events & Engage	0	2	0	0	0	0	0	1	0	0	0	0	0	3
Customer Services	0	0	0	0	0	0	0	3	0	0	0	0	0	3
Libraries & Culture	0	0	0	0	0	0	0	7	0	0	0	0	0	7
Strat Org Pol & Perform	0	0	0	0	0	0	0	0	0	1	0	0	0	1
<b>Communications, Culture &amp; Communities Total</b>	<b>0</b>	<b>2</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>11</b>	<b>0</b>	<b>1</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>14</b>

The predominant reason for leaving in the year was Resignation, which is consistent with last years' results.

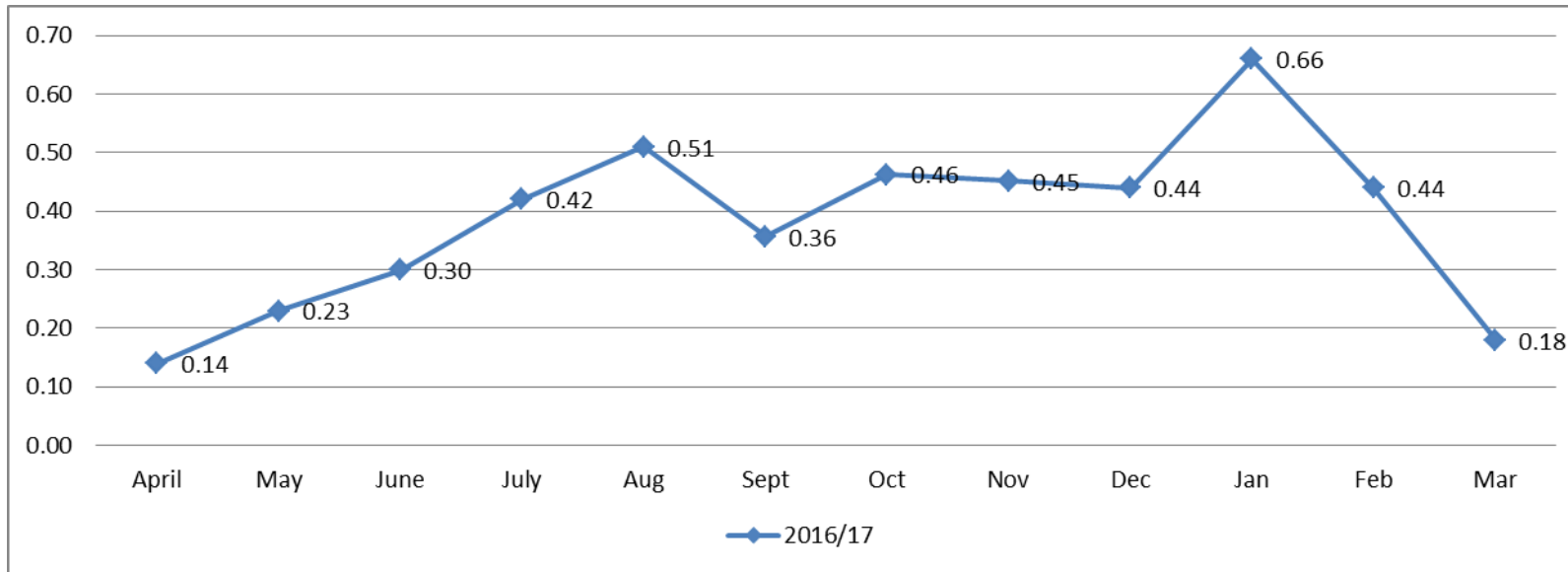


## 12 Maternity / Paternity Leave

	Maternity Leave	Paternity Leave	Total	% of employees
Comms Events & Engage	1	0	1	11.8%
Customer Services	1	1	2	4.0%
Libraries & Culture	1	1	2	1.3%
Strat Org Pol & Perform	1	0	1	9.5%
<b>Communications, Culture &amp; Communities Total</b>	<b>4</b>	<b>2</b>	<b>6</b>	<b>2.7%</b>









## 13 Sickness Absence

	April	May	June	July	Aug	Sept	Oct	Nov	Dec	Jan	Feb	Mar	Year End
2016/17	0.14	0.23	0.30	0.42	0.51	0.36	0.46	0.45	0.44	0.66	0.44	0.18	4.7







CCC delivered a strong performance for attendance this year and was one of only 2 Strategic Lead areas to achieve target. The year end result of 4.7 FTE days lost per employee was 28% lower than target of 6.5 FTE days lost per employee. The chart above shows the monthly results which broadly follows the usual seasonal trend.


## Communication, Culture and Communities Delivery Plan 2016/17 – Year End Report

Objective Committed and dynamic workforce						
Action Code	Action Title	Status Icon	Status Progress Bar	Dates Due Date	Notes & History Latest Note	Ownership Assigned To
CCC/2016/CC/04	Deliver successful employee engagement and recognition activity			31-Mar-2017	Employee survey improvement action plan completed, communicated and updates reported to PMRG, JCF and all employees. Employee recognition events successfully delivered including employee recognition awards; good ideas progressed and informal Chief Executive recognition for employees who have gone the extra mile.	Linda Butler
CCC/2016/CS/01	Ensure customer service quality standards are embedded across the organisation			31-Mar-2017	Completed planned activity in 2016/17 and further work to be undertaken in 2017/18.	Stephen Daly
CCC/2016/CS/05	Develop and enhance customer service training for staff			31-Mar-2017	Customer Service Training has been delivered via improved induction process, improved e-learning modules, advanced Customer Service Professional Qualification availability and a new course on Managing Difficult Behaviours. Organisational Development have available statistics on uptake with reference to the number of frontline staff.	Stephen Daly
CCC/2016/PPP/01	Embed the strategic improvement framework across the organisation			31-Mar-2017	Action completed as planned. Strategic improvement framework implemented and utilised for the development of 2017-18 delivery plans.	Amanda Coulthard


**Objective** Constructive partnership working and joined up service delivery



Action Code	Action Title	Status Icon	Status Progress Bar	Dates Due Date	Notes & History Latest Note	Ownership Assigned To
CCC/2016/LC/07	Work with partners on the strategic connection of culture, civic and health quarter at Town Hall and Queens Quay			31-Mar-2017	We worked successfully with WD HSCP to establish a joint commissioning of Clydebank Health Care Centre Arts Strategy. This included the selection and commissioning of Lead Artists, Curator/Planner Art Therapeutic Design for Clydebank Health Care Centre. Clydebank Health Care Centre Arts Strategy is now completed and its actions will be taken further through the Arts Strategy Group which we will continue to play an active role in.	Gill Graham
CCC/2016/PPP/04	Ensure Community Planning West Dunbartonshire delivers on requirements of new legislation			31-Mar-2017	All milestones delivered as planned. Activity to ensure compliance with Community Empowerment Act will continue in 2017/18.	Amanda Coulthard

**Objective** Fit for purpose estate and facilities


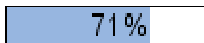

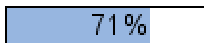
Action Code	Action Title	Status Icon	Status Progress Bar	Dates Due Date	Notes & History Latest Note	Ownership Assigned To
CCC/2016/LC/04	Ensure Libraries & Cultural Services venues are well established and fit for purpose in local areas		<div style="border: 1px solid black; width: 100px; height: 15px; background-color: #4f81bd; display: flex; align-items: center; justify-content: center;"><span style="color: white; font-weight: bold;">50%</span></div>	31-Mar-2017	Progress has been made at the Town Hall to establish a new management team, and procure an external catering contractor which is bringing in additional income. The new business plan has taken longer than anticipated but will be presented in July. As a result of capacity and programming issues the Capital improvements to the Town Hall reception has been delayed to end October 2017. Capacity issues also impacted upon the start of Phase 1 of the refurbishment of Clydebank Library. However a contractor has been appointed and the project is awaiting Building Control and Listed Building Consent with completion estimated for summer 2017. Plans for Phase 2 are being developed with a funding bid to HLF anticipated in summer 2017. Outstanding milestones due to be completed by end October 2017.	Gill Graham; John Rushton

**Objective** Improve life chances for children and young people





Action Code	Action Title	Status Icon	Status Progress Bar	Dates Due Date	Notes & History Latest Note	Ownership Assigned To
CCC/2016/LC/02	Develop strategies for children and young people through engagement activities in schools		<div style="border: 1px solid black; width: 100px; height: 15px; background-color: #4f81bd; display: flex; align-items: center; justify-content: center;"><span style="color: white; font-weight: bold;">100%</span></div>	31-Mar-2017	No of learning resource kits loaned to schools increased by 21% amounting to some 10,000 items. School heritage and museum visits more than doubled in 2016/17 with over 1,400 learning participants. A successful funding bid was made to support the Youth Music Initiative to maintain music activities across 100% primary schools. Tales for Tots and Crackin' Crits author events were fully attended by Early Learning and Child Care Centres with enthusiastic participation and very positive evaluation. More than 900 participated in events which have been reviewed and evaluations reported to funders.	Gill Graham; Joe Traynor

Action Code	Action Title	Status Icon	Status Progress Bar	Dates Due Date	Notes & History Latest Note	Ownership Assigned To
CCC/2016/LC/03	Promote and deliver a range of national initiatives and programmes that support reading, literacy and learning for all			31-Mar-2017	All P1 and S1 intake were issued with a Library Card valid in any Public Library and for Secondary pupils in their High School. We continue to offer all core Scottish Reading Scheme events; Summer Reading Challenge; our Annual Booked! Festival; Book Week Scotland events and a range of local branch activities. We received funds from the Scottish Government for book stock and engagement activities to support the Read, Write, Count (RWC) campaign through offering free family learning activities in local libraries. This community engagement reflects our Active Users levels which continue to be in the top quartile in Scotland.	Gill Graham; John Rushton





**Objective** Improve local housing and environmentally sustainable infrastructure







Action Code	Action Title	Status Icon	Status Progress Bar	Dates Due Date	Notes & History Latest Note	Ownership Assigned To
CCC/2016/CC/01	Deliver recycling campaigns focused on supporting service improvement			31-Mar-2017	Due to a temporary management vacancy in the Council's Waste Services team it was agreed to reschedule the launch of the campaign into 2017/18.	Amanda Graham
CCC/2016/CC/10	Deliver rent arrears campaigns focused on supporting service improvement			31-Mar-2017	This campaign was complex and involved a new approach for Communications, Housing, and Revenue and Benefits teams. This meant there was additional time to design and plan before implementation could begin. The first phase is complete and key learnings from this are being evaluated to inform the next phase. The evaluation will be completed by June. This campaign will be a long-term project to support Council revenue collection.	Amanda Graham

**Objective** Improve the well being of communities and protect the welfare of vulnerable people

Action Code	Action Title	Status Icon	Status Progress Bar	Dates Due Date	Notes & History Latest Note	Ownership Assigned To
CCC/2016/CC/02	Continue the Do the Right Thing campaign to support Greenspace to achieve their litter targets			31-Mar-2017	The campaign materials, including banners are in place in the first pilot target area for dog fouling, with fixed signage also installed in Clydebank.	Amanda Graham
CCC/2016/LC/01	Continue successful roll-out and embedding of the Macmillan Project in public libraries			31-Mar-2017	The service continued the successful roll out and embedding of the Macmillan Project in public libraries. There are now 4 drop-ins available in Alexandria, Dumbarton , and Clydebank Libraries. Three information points have also been established in Duntocher Faifley and Parkhall Libraries. The service has recruited 13 volunteers, and attracted over 150 clients. The only outstanding milestone is the planned drop-in for Dalmuir Library which has been delayed to July to avoid conflicting with the recent Balloch launch.	Gill Graham; John Rushton











**Objective** Innovative use of information technology

Action Code	Action Title	Status Icon	Status Progress Bar	Dates Due Date	Notes & History Latest Note	Ownership Assigned To
CCC/2016/CS/02	Lead the Council channel shift agenda			31-Mar-2017	The Digital Strategy was approved to set the corporate direction of travel. Operationally the Performance register has updated departments on best practice, identified and implemented improvements such as the removal of PDF forms and the introduction of mobile friendly views.	Stephen Daly
CCC/2016/CS/03	Implement an accessible and customer focused model of customer service			31-Mar-2017	Contact Centre performance the best for three years and abandon rate significantly reduced. OSS changes successfully delivered in Clydebank. Tablet surveys established and ongoing in One Stop Shops to measure ongoing satisfaction and improve triage of visitors.	Stephen Daly



Action Code	Action Title	Status Icon	Status Progress Bar	Dates Due Date	Notes & History Latest Note	Ownership Assigned To
CCC/2016/CS/04	Increase the capacity of the Council to provide transactional services through digital channels to residents on a 24/7 basis			31-Mar-2017	Firmstep Self platform enabled, new online forms generated, ebilling option available and Council activity to support My Account complete. Progress to continue in 2017/18.	Stephen Daly
CCC/2016/LC/05	Develop a community hub model through libraries			31-Mar-2017	We have expanded early years provision within libraries. Macmillan drop in clinics and information points have been rolled out across the estate (the first outside of Glasgow). Work with the Wheatley Group and West of Scotland secured significant funding to deliver enhancements and a Click and Connect service for users of Balloch Library. In addition Working4You classes take place in libraries utilising the IT provision.	Gill Graham
CCC/2016/LC/08	Work in partnership with the private and third sectors to promote schemes that provide low cost PCs and tablets for local residents on benefits			31-Mar-2017	After researching the market and liaising with a number of agencies, it was not possible to identify an appropriate recommended source for low cost laptops/tablets. In the absence of a national scheme, or a nationally endorsed scheme, it would have required the Council to recommend individual commercial suppliers which could have created risk. Elsewhere, the Library Service was successful in bringing in funding for a Click & Connect service at Balloch Library which has doubled the number of PCs available, and offered access to West College Scotland's online learning portal.	Gill Graham



**Objective** Positive dialogue with local citizens and communities

Action Code	Action Title	Status Icon	Status Progress Bar	Dates Due Date	Notes & History Latest Note	Ownership Assigned To
CCC/2016/CC/05	Ensure effective dialogue with local residents through print and online communication			31-Mar-2017	Action complete with target for social media exceeded, targets for press enquiries achieved and staff and housing publications issued as planned	Amanda Graham
CCC/2016/CS/06	Improve complaints processes and responsiveness across the council to deliver an outcome focused service			31-Mar-2017	A successful year with improved data presented to Strategic Leads, close working with the Performance team, a partnership approach with the SPSO who also spoke to our Senior Manager group, and a senior management commitment to to learn from complaints.	Stephen Daly
CCC/2016/LC/06	Refocus arts programme to maximise impact on communities through events and "festivals" increasing participation and profile			31-Mar-2017	Libraries & Cultural Service programming within Clydebank Town Hall resulted in a very successful pilot festival: Winterfest Dec 2016. The programme included a craft fair, Santa's Grotto, concerts and film nights attracting over 4,000 new participants enhancing community engagement with the venue. A Summer Fest is programmed for 2017 which offers 13+ events including Brick History, workshops and films. Initial upgrading to Bruce Street Baths in partnership with Economic Development has established a new area for large exhibitions.	Gill Graham; Joe Traynor
CCC/2016/PPP/02	Provide data profiling and analysis support to key projects across the organisation			31-Mar-2017	All milestones completed as planned.	Amanda Coulthard
CCC/2016/PPP/03	Support new models of engagement to inform development of Strategic Objectives for 2017 onwards			31-Mar-2017	Engaging communities framework and toolkit developed. New approach to wider engagement undertaken through a revised Citizen's Panel.	Amanda Coulthard

**Objective** Strong financial governance and sustainable budget management

Action Code	Action Title	Status Icon	Status Progress Bar	Dates Due Date	Notes & History Latest Note	Ownership Assigned To
CCC/2016/CC/03	Successfully support delivery of transformational projects (Council wide)			31-Mar-2017	This project has been successfully delivered and the savings achieved.	Malcolm Bennie

**WEST DUNBARTONSHIRE COUNCIL****Report by Strategic Lead – People and Technology****Corporate Services Committee: 7<sup>th</sup> June 2017**

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**Subject: People and Technology Delivery Plan 2017/18****1 Purpose**

- 1.1** The purpose of this report is to present to members the 2017/18 Delivery Plan for People and Technology and the year end progress report for the 2016/17 Delivery Plan as agreed at Committee on 9<sup>th</sup> November 2016.

**2 Recommendations**

- 2.1** It is recommended that the Committee approve the 2017/18 Delivery Plan and progress made on delivery of the 2016/17 actions.

**3 Main Issues**Delivery Plan 2017/18

- 3.1** Appendix 1 sets out the People and Technology Delivery Plan for 2017/18. The appendices of the plan detail the action plan for delivery over 2017/18 and the workforce plan for the service.
- 3.2** Progress towards delivery of the plan is monitored monthly through the management team of the service and reported on a quarterly basis through the strategic leadership performance review meetings. A mid-year progress report on actions will be presented to committee in November 2017.
- 3.3** Key issues identified in the plan include: Change and Continuous Improvement, Project Management, Workplace of the Future, Workforce Development. Issues identified include increasing use of ICT across the Council while maintaining resource levels (budget and employees); further automation of HR and Payroll processes: embedding our new Be The Best Conversations (replacing PDP); supporting employee moves to new offices in Dumbarton and Clydebank.
- 3.4** Between 1 April and 31<sup>st</sup> March 2017, no complaints were recorded against the People and Technology strategic area. However 2 complaints were wrongly assigned to the strategic area. On investigation, while these complaints related to employee conduct, they were not employees of People and Technology, having simply been assigned there to be dealt with.

## **4**     Workforce Planning

- 4.1**    Each strategic delivery plan has a supporting workforce plan, which is developed to highlight and plan for the management of key workforce issues. This can be found at appendix 5.

## **5**     2016/17 Year-end progress

- 5.1**    The Delivery Plan for 2016/17 was supported by an action plan of activities to be delivered over the year. Appendix 2 details the progress on delivery of this action plan. Eighteen of the twenty one actions have been completed in 2016/17. Three actions did not achieve the 2016/17 deadline and will continue in 2017/18.

## **6**     **People Implications**

- 6.1**    There are no direct people implications arising from this report. Any workforce implications arising from the Delivery Plan are detailed in the workforce plan.

## **7**     **Financial & Procurement Implications**

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

## **8**     **Risk Analysis**

- 8.1**    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.

## **9**     **Equalities Impact Assessment**

- 9.1**    Screening and Impact Assessments will be carried out on specific activities as required.

## **10**    **Consultation**

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

## **11**    **Strategic Assessment**

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

**Victoria Rogers**  
**Service Lead – People and Technology**  
**Date**

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**Appendix:** Appendix 1: People and Technology Delivery Plan  
2017/18  
Appendix 2: People and Technology 2016/17 Action Plan  
year end report

**Background Papers:** **None**

**Wards Affected:** All





# People & Technology Delivery Plan 2017-18

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## 1. Overview & Profile

The strategic area of People & Technology has a key role in ensuring successful delivery of the organisational capabilities of the Council Strategic Plan. Within this service area sits the responsibility for Strategic HR; Transactional HR and Payroll support; Organisational Development & Change; ICT, Health, Safety and Risk; and Organisational Resilience (including Business Continuity) across the Council.

This People & Technology delivery plan for 2017/18 provides an opportunity to reflect on our key achievements over the last year and to set out our ambitions for the coming year, including the activities that will be progressed to deliver these ambitions.

The six, distinct functional areas are described below:

### **Strategic HR**

The Strategic HR team exists to deliver a proactive, expert, customer-focused service, working in partnership with managers, employees and trades unions, to build a 'committed and dynamic workforce' with the capacity, capability and confidence required to support achievement of the Council's vision for the people of West Dunbartonshire.

The team provides a corporate HR service through an integrated approach to strategic resource planning and development, provision of HR business partnering and workforce planning services.

The team is responsible for:

- Provision of HR Business Partnering across the organisation;
- Employee Relations, Case Management, Policy Development and Employee Support;
- Development and implementation of workforce strategy and policy; and
- Provision of strategic HR support to support service improvement and transformation.

### **Organisational Development & Change**

The Organisational Development and Change (OD&C) team are responsible for building workforce capability through the development of employees, thus supporting delivery of the strategic objectives of the Council. The team deliver workforce development such as induction, PDP, leadership & management programmes i.e. Chartered Management Institute and Influential Leaders Programme and a full catalogue of organisational training solutions. The team support council wide transformation projects with a key focus on people, project governance and continuous improvement. The team is leading on the council's transformation agenda of Work Place of the Future towards new ways of working.

### **ICT**

The ICT service provides the information technology framework required for the organisation to deliver its' strategic objectives. The team is focused on modernising the ICT infrastructure and supporting departmental transformation projects including the move to online delivery of services. A key project for ICT is delivering technology solutions to support agile working for employees and pupils. They are also responsible for the delivery of the ICT helpdesk support function to all employees.

### **Transactional (Business) Support**

The team is responsible for delivering the corporate Business Support function and comprises of Transactional HR, Workforce Management System (WMS), and Payroll teams. The service also drives the improvement and transformation agenda in relation to internal process change to deliver a modern and efficient support service. The section provides a total administration support service for the Council using a strategic service delivery model to its client services.

### **Health, Safety and Risk**

The team provides advice and guidance on all issues related to health, safety and risk, develops policy and ensures understanding and compliance with legislation and good practice across the organisation. This includes the monitoring of risks and issues and the investigation of accidents and incidents.

### **Organisational Resilience**

In October 2016, the Council joined the Joint Civil Contingencies Service which now comprises East Renfrewshire, Inverclyde, Renfrewshire Council and West Dunbartonshire Council areas. The service, based in Paisley with the team working flexibly across all council areas, supports significant improvements in the resilience of each Council area and the ability to respond to civil contingencies incidents and events.

## Performance Review

Throughout 2016/17, the People & Technology strategic area delivered a number of key achievements on behalf of the Council:

### Transactional (Business) Support

- Statutory returns submitted by due date (HMRC, SPPA, SPFO, ONS);
- Key legislative changes implemented – Scottish Rate of Income Tax, Contracted Out National Insurance removed, auto re-enrolment for WDC & VJB;
- Increased uptake of marriage allowance tax relief;
- Further increased pension membership rates for WDC employees;
- New functionality to record and report AL during sickness/ third party insurance payments/ industrial injury;
- Improvements to HR systems and processes including:
  - Establishment Change and Special Leave forms;
  - Improved suite of HR21 Absence reports
  - SSSC registration on HR21 and SSSC reporting;
  - System support for Enhanced Leave Scheme (Purchased Leave)
  - Issued P60s via HR21 - reduced paper P60s by half;
- Implemented SNCT - Revised Teacher's pay calculations, previously a manual process; and
- Adopted SPPA revised method for Teacher's pension submissions and validation via portal

### Health and Safety

- Implementation of the Council's Figtree system in conjunction with Insurance and ICT teams.
- Developed and implemented electronic HS1 accident reporting system and electronic hazard reporting system.
- Developed and implemented in conjunction with ICT a corporate risk system for reporting and flagging violent incidents towards employees.
- Review of Council's first aid arrangements, ensuring that these are cost effective and meet our statutory responsibilities.

### ICT

Delivered IT specification, fit out and relocation tasks to support property rationalisation projects such as

- new Clydebank Town Centre Office, data centre, Bridge St and Municipal buildings;
- employees and pupils at Kilpatrick and Bellsmyre Schools;
- Care Home and Leisure Centre.
- Delivered new systems, interfaces and reports to support service requirements such as HR online services, Agresso finance upgrade, Risk system, members' enquiry database, website and intranet forms and functionality.
- All WDC locations have upgraded network.
- Delivered new email system and functionality improvements.
- Delivered a new secure remote access solution for employees.
- Delivered system and location flexibility to approx. 1600 employees using thin client technology.
- Delivered a self serve tool for reporting ICT service incident thereby enabling channel shift and helping to improve digital skills across the Council.
- Supported the delivery of major transformation projects across the Council such as Purchase to Pay, Customer Service and Centralisation of Admin.

- Delivered new contracts for MOB and MFDs which will provide future savings.

### **Organisational Development & Change**

- HR Excellence Award for Best Change Management Strategy;
- Re-introduced Face to Face Induction;
- Delivered a new middle manager development programme;
- Facilitated projects through the Change Board ensuring a consistent approach to compliance through Project Management;
- Developed and delivered Master Classes to better equip managers;
- Supported employees with the move and opening of the new Clydebank Town Centre Office and the interim move of employees from Bridge St;
- Collaborated with our partners Scottish Futures Trust, advancing our move to a more flexible workforce, receiving recognition that we are leading in relation to data analytics collated for our work in progressing Workplace of the Future;
- Successful Flex Pilot completed and now being extended;
- Approach to Document Strategy showing early success;
- Successfully developed a work placement scheme with Clydebank college;
- Successfully delivered a communication review resulting in an improved training catalogue, website;
- Supported the development of Care Academy, in partnership with West College Scotland, encouraging careers in care to meet future workforce demand;
- Implemented OD clinics and a new 30 OD minute training solution open to all employees.

### **Strategic HR**

- Delivered professional and comprehensive HR support to achieve 11.3% reduction in absence levels and facilitate extensive restructuring of the business;
- Attendance Working Group initiatives to improve awareness of mental health and to support employees with a disability;
- Establishment of an Employee Wellbeing Group which will ensure development and implementation of a strategy focused on workforce health and wellbeing;
- Recognition of work to support employees with caring responsibilities – winners of Scottish and UK Awards in 2016 for 'Best for Carers and Eldercare'; nominated for 2017 Scottish Award for 'Best for Carers and Eldercare' and winners of 'Best Public Sector Organisation'; and cited within Carer Positive Best Practice Booklet;
- Successful rollout of an online Occupational Health referral service for managers;
- Implementation of an assessment centre process for recruitment of Head Teachers;
- Introduction of a number of new or revised policies/schemes (including Job Evaluation, Enhanced Leave, Code of Conduct and Bereavement Leave);
- Introduction of revised management guidance on professional registration of employees;
- Contributed to newly published national Smoke-Free local authority implementation guidance;
- In support of 2016 Armed Forces Covenant pledge, established an Armed Forces Support Group for employees; signed up to the Career Transition Partnership; and developed links with Recruit for Spouses West Scotland;
- Achieved level 2 of the Disability Confident Scheme;
- Development of the Integrated Workforce Plan and OD Strategy for HSCP 2015-18;
- Undertaken a further Equal Pay Audit and developed corresponding action plan to address opportunities for improvement.

As a strategic area we recognise that there are also challenges to delivery, which can have an impact on progress and may cause frustration for employees and citizens. People & Technology faced challenges in 2016/17 but worked hard with our workforce to overcome the following:-

### **Key Challenges 2016/17**

- Delays in implementing HR21 and Occupational Health Information Online (OHIO) resulting in workload challenges within the Strategic HR Team;
- Delays resulting from service areas omitting to include ICT for key projects and purchases impacting other project delivery dates, reacting to departmental changes rather than planning the change with departments, reprioritisation of workloads, ensure ICT have the required skill set to support the new technologies and systems. Although actions will be taken to communicate this to departments it is anticipated this may continue into 17-18 delivery;
- Delivering a high volume of IT changes within short timescales which impacted system and service availability (including network availability) and highlighted many interdependencies. The changes include a high volume and regular regime of security patch upgrades to ensure compliance with Cabinet Office PSN requirements. Major IT changes are planned for 17-18 including data centre move so this challenge will continue;
- Development of the Workforce Management System given the national system issues with current provider to optimise efficiencies. This will impact the streamlining of process around pension, further developing self-service and administration of pay related processes;
- Level of capacity and capability with respective teams to develop systems and maintain current levels of support thereby requiring greater input from system providers at a greater cost. For example, in ICT the volume of operational work as well as projects and changes has impacted deadlines during 12016-17. Additional temporary resources and 3rd party services were purchased to help deliver some of the work. .From a business process point of view it could result in a denigration of service levels;
- The high level of change across the council has resulted in an increased demand for support from OD &C in supporting Projects, Process Reviews and Restructures alongside the ongoing review of key employee supports such as development opportunities, the leadership offer and PDP. This has stretched resources and created capacity issues in maintaining the level of support required;
- Capacity of the Health & Safety team to maintain current levels of support, exacerbated by short-term resource challenges, with learning from internal and external scrutiny of practice highlighting a need for improved organisational ownership of the health and safety agenda. Whilst the resource has now been addressed, capacity will continue to be a challenge in 17/18 until all described improvement actions have been delivered;
- Capacity challenges within the Strategic HR Team, particularly in relation to supporting attendance case management, extent of organisational change and providing interim support during rollout of OHIO. A review of the service offered will be undertaken in 2017/18, in order to improve systems and processes;
- Despite significant efforts by the Strategic HR Team, whilst sickness absence levels for 2016/17 showed a marked improvement compared to the previous year, the Council still failed to achieve its target for the year and sickness absence continues to present a significant organisational challenge;
- Challenges in forecasting longer-term workforce planning requirements. Whilst this will continue to be a challenge in 2017/18, implementation of the new strategic workforce planning framework will realise improvements;

- Current and ongoing organisational challenges in filling vacancies across a number of critical roles or key service areas, due to labour market shortages and/or ability to compete against other potential employers;
- Current and ongoing organisational challenges in relation to an ageing workforce and/or potential recruitment challenges resulting from predicted levels of retirement;
- The ongoing impact of savings requirements, either directly or indirectly, upon the Council workforce, in terms of ongoing ability to meet service demands;
- There has been an identified need to further embed our agreed partnership approach, with challenges experienced in agreeing changes to policies and in terms of seeking resolution at a local level. This challenge is likely to continue pending effective delivery of the corresponding action within this plan.

### **Local Government Benchmarking Framework**

The strategic area has responsibility for four performance indicators within the Local Government Benchmarking Framework (LGBF). A recent publication on West Dunbartonshire's performance for 2015/16 reported that two of these indicators had shown an improvement since 2014/15.

These indicators are:-

- Sickness Absence Days per Employee (non teacher)
- The percentage of the highest paid 5% of employees who are women

The performance of one indicator has reduced since 2014/15.

- Sickness Absence Days per Teacher. In 2014/15 this figure was 6.57 and in 2015/16 the figure was 6.78.

Performance of a further indicator cannot be compared to previous years as it is new.

- Gender Pay Gap. This newly included indicator identifies the gap as 0.8%. This is calculated based on a snapshot of the workforce as at 31<sup>st</sup> March 2016. The Council will also continue to calculate and report the gender pay gap in accordance with EHRC Guidance which is an annual figure based on the full financial year. Calculated on that basis, the gap was 2.32% for 2015/16 (compared to 2.19% in 2014/15), continuing to sit below the EHRC's recommended threshold as requiring no further action. The Council's gender pay gap, calculated on this basis, is narrow compared to most Scottish Councils when compared to figures available from Public Sector Equality Duty reporting in 2013 and 2015.

### **Complaints**

Between 1 April and 31<sup>st</sup> March 2017, no complaints were recorded against the People and Technology strategic area. However 2 complaints were assigned to the strategic area. On investigation, these complaints related to employee conduct and had been assigned there to be dealt with. In future these types of complaints will be recorded against the service area within which the person works.

### **Self-Evaluation Programme**

The Council has agreed a three year self-evaluation programme using a checklist approach implemented through an online survey. Over the three year programme, all Council services that are not subject to an external evaluation will undertake self-evaluation, with 11 scheduled in the first year.

A self-evaluation was completed with Health, Safety & Risk in November 2016. The resulting improvement action plan will be implemented over the coming months. The next self-evaluation within People & Technology will focus on ICT Infrastructure commencing in May 2017 and ICT Business in October 2017.

## **2. Strategic Assessment**

The People and Technology management team completed a detailed performance review and strategic assessment to determine the major influences on priorities and service delivery in 2017/18 and beyond. The issues identified have informed the action plan (Appendix 2) and resources for 2017/18.

### **Change and Continuous Improvement**

OD&C and ICT will continue to support key transformation projects such as Office Rationalisation Project, Channel Shift, Care Homes, Centralisation projects and IHMS. OD&C will further develop a WDC change monitoring tool to enable organisational maturity assessment and self-evaluation. The OD&C team will build workforce capability in Continuous Improvement by developing a corporate approach and toolkit using lean, Six Sigma, coaching and problem solving techniques. Business Support will continue to streamline business processes, widen self-service and optimise technologies through the Workforce Management System and online forms. ICT will focus on ensuring fit for purpose technology is in place to support a flexible workforce, to secure locations and information, to promote channel shift and provide reports and data extracts to support critical business decision making.

The newly established Employee Wellbeing Group will develop and oversee the implementation of a Council strategy (and resulting implementation plans) which will seek to maximise employee wellbeing, recognising the benefits to the organisation and its employees of such an approach. Linked to this, work will be undertaken with managers and trades union partners to embed a 'safety culture', fostering increased ownership and accountability across the organisation as a whole.

### **Project Management**

To investigate an alternative Project Management approach, reviewing WDC approach with a view to streamlining and improving governance, reporting and benchmarking against other LA's. PMO will review approach to integrate and improve the management of benefit realisation and risk. OD&C will continue to build workforce capability and support employees and projects.

Health & Safety will take forward a number of key projects, including the development and implementation of an organisational audit system, introduction of a programme for the effective review of organisational policies and the implementation of a programme of Fire Risk Assessment, as well as the ongoing implementation of the Council's Figtree system.

Strategic HR will implement a project plan, in line with the Policy Development Framework, to take forward the development, implementation and review of employment policies.

### **Workplace of the Future**

To make better use of data analysis and develop systems to monitor the data, identifying trends and responding in terms of supporting the work force. Encourage new work practices; streamline processes whilst promoting digital working through our approach to Document Strategy and removing data duplication through a 'gather once, use many' principal.



## **Workforce Planning and Development**

Embedding a process of workforce planning (and implementation of resulting action plans) to ensure the provision of the right number of employees, with the right skills, to meet the organisation's current and future needs. This will be enhanced by the addition of scenario planning to ensure longer term considerations are accounted for.

Supporting and developing the workforce and elected members through a suite of innovative solutions such as ILP, Coaching, master classes, e-learn and more corporate approach to non-statutory training requirements and budget.

Ensuring ICT employees development for new technologies and processes and improved service delivery to support a transforming Council. Development work will be undertaken with the Strategic HR and Health & Safety teams, in line with the disciplines of successful team practice, in order to maximise the value of the service provided to the organisation.

## **Equalities**

The Council has set out nine equality outcomes for 2017/21 in line with its statutory duty, each led by a relevant strategic lead area.

By focusing on outcomes, the Council aims to bring practical improvements to the life chances of those who experience discrimination and disadvantage. Within the Council's Equality Outcomes 2017-2021, People and Technology is the lead strategic area for the following outcomes:-

- Outcome 2: Increase diversity in the Council Workforce
- Outcome 3: Reduce Disability Pay Gap

These outcomes translate to a number of performance indicators which will be included in Appendix 3.

## **Key Challenges 2017/18**

- Further automation of HR and Payroll processes within Workforce Management System;
- Increased use of ICT across the Council while attempting to maintain resource levels (budget and employees);
- Implementing a Research & Development culture in ICT within current resourcing;
- Significant efficiency targets;
- Streamlining of the learning and training processes on LD21 (self-service);
- Development of online training records which involves a potential change to the current e-learn platform;
- Maintaining and monitoring impact of new managers development programme;
- Supporting employees moves to Bridge St, Municipal, Aurora and the New Dumbarton Office;
- Resources – huge transformation agenda has resulted in an increased demand for support from OD &C in supporting Projects, Process Reviews and Restructures;
- Employees engagement – Ensuring a high level of attendance at training and reducing the failed to attend rate;
- Personal and Organisational cultural resistance to change, resulting in a lack of confidence in embracing new ideas and ways of working ;
- Improve communications to ensure clarity of message from top to bottom;
- Embedding our new Be The Best Conversations (replacing PDP);

- Planning to address future workforce implications of Brexit; and
- Unknown challenges associated with the apprenticeship levy and public sector exit payment cap.

### 3. Resources

As a Council we are committed to supporting every employee to 'Be the Best' through providing personal development opportunities and ensuring that our employees feel valued and recognised for their contribution in delivering the Council's vision and strategic objectives. This commitment is achieved through ensuring all employees had a PDP in place and supporting professional and personal development in their current role and for any future career plan. In the People & Technology strategic area 100% of employees had a PDP in place for 2016/17.

From 2017 onwards employee development will be delivered through Be the Best Conversations. This process will ensure all employees receive a valuable meaningful discussion around how they can Be the Best in their role and receive support and development to allow them to accomplish their potential.

Our development priorities include training; leadership and manager development; customer service; change management; technical skills and specialist skills that support and maintain professional expertise. Our commitment to learning and development is recognised through the achievement of Gold Standard from Investors in People (IiP).

#### Workforce Planning

Workforce planning is integrated within the strategic planning process, highlighting the key workforce related activities for the year and reflecting the longer term strategic aims of the services. Each Strategic Lead is responsible for the annual review of requirements for their respective service areas, working closely with HR to ensure that any key actions are identified at an early stage.

We gather the views of our employees through our regular employee survey, the most recent survey results relate to the survey carried out in 2015. From this an organisational improvement plan has been put in place. These improvement activities focus on 5 key areas and are being delivered through activities in each service across the organisation.

The number of full time equivalent employees in each section is outlined below:-

	<b>No. of employees 1/4/17</b>
Business Support (Transactional)	22
ICT	51
Organisational Development & Change	13 (5 FTC)
Strategic HR (includes health, safety, risk)	21
Organisational Resilience (through CCS)	1 FTE (access to team of 5)
<b>TOTAL</b>	<b>108</b>

## Employee Wellbeing Group

The newly established Employee Wellbeing Group will develop and oversee the implementation of a Council strategy (and resulting implementation plans) which will seek to maximise employee wellbeing, recognising the benefits to the organisation and its employees of such an approach. Linked to this, work will be undertaken with managers and trades union partners to embed a 'safety culture', fostering increased ownership and accountability across the organisation as a whole.

## Finance

The 2017/18 revenue budget for the People & Technology strategic area is £5.8m. We will make the best use of the resources available to deliver on key priority areas and secure external/match funding where this is possible.

The resources to deliver on this in 2017/18 action plan for People & Technology are:-

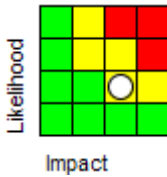
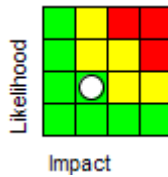
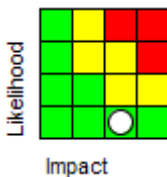
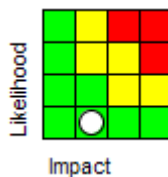
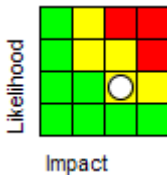
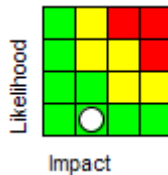
Section	Gross Expenditure 2017/18	Gross Income 2017/18	Net Expenditure/ (Income) 2017/18
Business Support (Transactional)	681,087	0	681,087
ICT (includes budget for all system annual maintenance)	3,372,285	0	3,372,285
Organisational Development & Change	541,365	73,906	467,459
Strategic HR (includes health, safety, risk)	1,305,800	0	1,305,800
Resilience	£60,645		£60,645
<b>TOTAL</b>	<b>5,900,537</b>	<b>73,906</b>	<b>5,826,631</b>

#### 4. Risks

The Council has identified risks at both a strategic and service level. Strategic risks represent the potential for the Council to take advantage of opportunities or fail to meet strategic objectives and those that require strategic leadership. Service risks relate to service delivery and represent the potential for impact on individual services, or the experience of those who work within the services, i.e. employees, partners, contractors and volunteers, or service users in receipt of the services provided.

In planning for 2017/18, the People & Technology management team considered the Council's strategic risks and identified additional risks specific to the service (below).

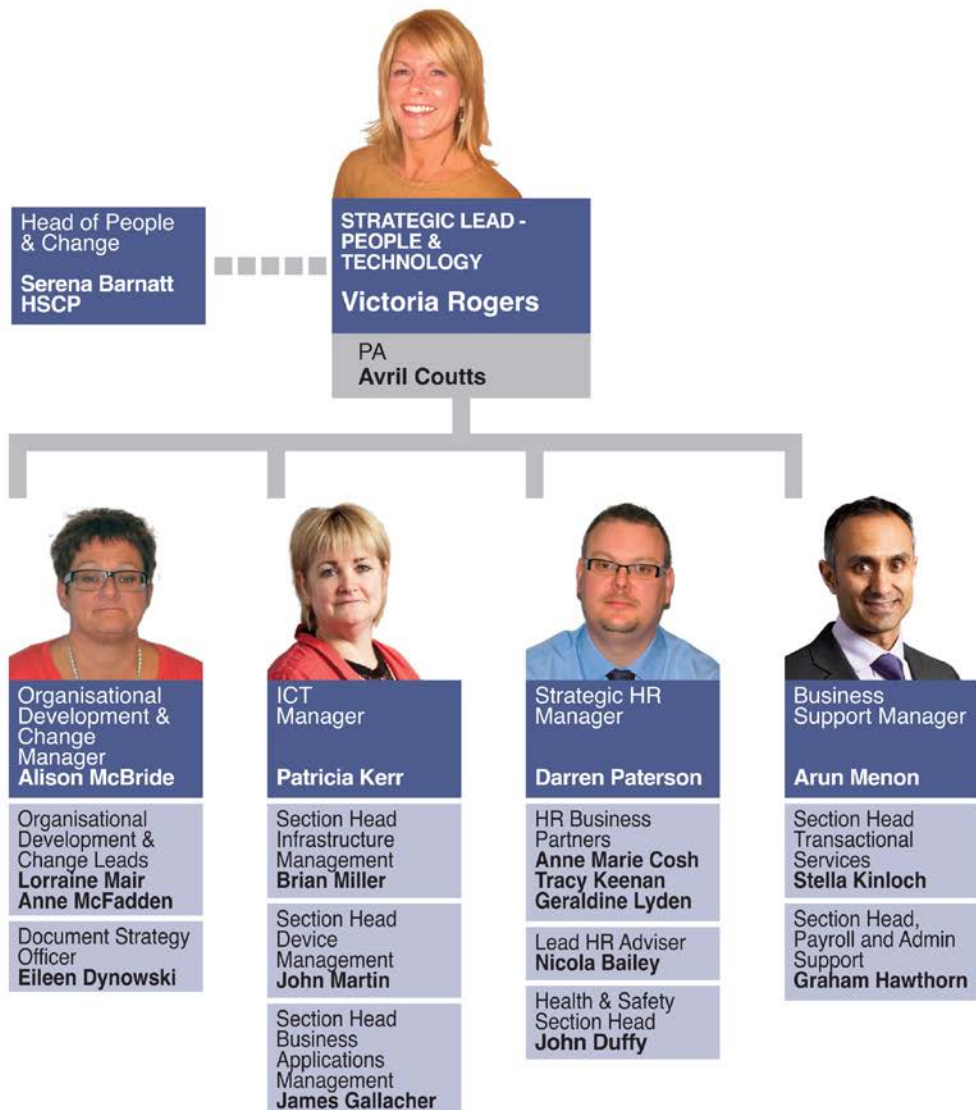
Actions to mitigate these risks are set out in our action plan at Appendix 2 or in the operational plans, with the aim of improving or maintaining the current position (i.e. the current risk score).

Risk Title	Description	Current risk score	Target risk score
<b>Failure to develop or implement innovative use of Information Technology</b>	Council's Information Technology is not sufficiently modernised / brought up to date to enable the delivery of sustainable ICT services to support and enhance the delivery of front line services to the community.		
<b>Lack of strategy / plans / vision to ensure a committed and dynamic workforce</b>	There is a risk that the Council fails to develop and implement a flexible, strategic structured approach to workforce and capacity planning		
<b>Workforce Management System not fit for purpose</b>	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		

# Appendix 1 – People and Technology structure

## TRANSFORMATION & PUBLIC SERVICE REFORM

### STRATEGIC LEADS



## Appendix 2 - Action Plan 2017-18

Priority	Outcomes	Actions	Assigned to
Organisational Capabilities	Innovative use of information technology	Channel shift – supporting departmental transformation projects. Improves ICT processes and services through use of technology e.g. itext and jabber customer communication.	James Gallacher
		Streamline manual ICT processes such as Device Imaging services	John Martin
		Deliver measured improvement during the annual Benchmarking and Customer Satisfaction surveys	Patricia Kerr
		Continue to implement HR Payroll transformation including manual processes, development of WMS, better integration with WMS, greater self-service	Arun Menon
	Committed and dynamic workforce	Supporting Change /Transformation Projects <ul style="list-style-type: none"> <li>• Office Rationalisation Projects</li> <li>• Channel Shift</li> <li>• Care Homes</li> <li>• IHMS</li> <li>• Developing a WDC Change Monitoring Tool</li> </ul>	Anne McFadden

Priority	Outcomes	Actions	Assigned to
Organisational Capabilities	Committed and dynamic workforce	Implement Organisation Maturity Assessment/Self Evaluation <ul style="list-style-type: none"> <li>• Develop a support programme for teams undergoing self-evaluation assessments and I-Matters</li> <li>• Develop an organisational maturity assessment tool</li> </ul>	Anne McFadden
		Building workforce capability in Continuous Improvement: <ul style="list-style-type: none"> <li>• Develop corporate approach to Continuous Improvement</li> <li>• Develop toolkit to support approach.</li> <li>• Design, develop and deliver training (in line with TAP principles and standards)</li> </ul>	Anne McFadden
		Supporting Managers and employees <ul style="list-style-type: none"> <li>• Working with managers to support new ways of working in through development workshops</li> <li>• Change workshops and FED</li> <li>• Change Champions and change working groups</li> </ul>	Anne McFadden



Priority	Outcomes	Actions	Assigned to
Organisational Capabilities	Committed and dynamic workforce	Provision of HR support to inform and implement organisational change projects	Darren Paterson
		Undertake work with managers and trades union safety representatives to foster ownership and accountability at a service level in support of an organisational 'safety culture'.	John Duffy
		Employee Health & Well-being  Establish the Employee Wellbeing Group and develop and oversee the implementation of a Council strategy (and resulting implementation plans) which seeks to maximise employee health, safety and wellbeing and reduce sickness absence	Darren Paterson
		Ensure a consistent and robust approach to customer service improvement across the strategic area	Victoria Rogers

Priority	Outcomes	Actions	Assigned to
Organisational Capabilities	Committed and dynamic workforce	Continue to implement Figtree system in accordance with the agreed project plan	John Duffy
		Portfolio Management (Change Board) <ul style="list-style-type: none"> <li>• Investigate alternative approaches</li> <li>• Review Change Board Approach with a goal of streamlining reporting and improving governance.</li> <li>• Develop action plan towards improvements and improving maturity score. Benchmark against other LAs (where comparison data exists).</li> </ul>	Anne McFadden
		PMO (Peer Support) <ul style="list-style-type: none"> <li>• PMO function to offer project management support and consultancy to strategic and operational projects.</li> <li>• Review PMA approach to ensure alignment with corporate strategies such as Benefits Realisation</li> <li>• Investigate new PMA tools to assist project managers/teams.</li> <li>• Review PMA training (in line with TAP principles and standards).</li> </ul>	Anne McFadden

Priority	Outcomes	Actions	Assigned to
Organisational Capabilities	Innovative use of information technology	Support corporate and departmental transformation projects such as P2P, IHMS, Doc management, HR self-serve	James Gallacher
		Complete the MFD, MOB replacement project	Patricia Kerr
	Committed and dynamic workforce	Ensure a clear, robust and consistent approach to the development, approval, implementation and review of Health and Safety policies	John Duffy
		Implement the organisation's policy framework to ensure a clear, robust and consistent approach to the development, approval, implementation and review of employment policies	Darren Paterson
		Develop and implement a Health & Safety management audit system	John Duffy
	Innovative use of information technology	Support EDC to migrate their data centre to WDC	Andrew Cameron
		Review supplier contracts with view to shared contracts	Patricia Kerr
		Investigate shared infrastructure components	Brian Miller
		Supporting Office Rationalisation Projects NDO, municipal buildings projects Support depot, Balloch campus, care home, OLSP new build Project and relocation	Brian Miller
		Migrate ICT Data Centre from Garshake to Aurora	Andrew Cameron

Priority	Outcomes	Actions	Assigned to
Organisational Capabilities	Committed and dynamic workforce	Data Analysis <ul style="list-style-type: none"> <li>Identify data for Maturity Assessment in line with SFT's 13 factors.</li> <li>Develop Action Plan to improve rating.</li> <li>Develop system to monitor data (by project, building etc.) and identify trends and respond in terms of supporting workforce.</li> </ul>	Anne McFadden
		Document Strategy <ul style="list-style-type: none"> <li>Encourage clear out/new work practices</li> <li>Streamline Processes/ Promote digital working</li> <li>Ensure compliance with best practice models and legislation</li> </ul>	Eileen Dynowski
	Innovative use of information technology	Support business case development and financial planning associated with deploying technology into new service areas	James Gallacher
	Committed and dynamic workforce	Work with managers and trades union representatives to further embed a partnership approach to employment relations	Darren Paterson

Priority	Outcomes	Actions	Assigned to
Organisational Capabilities	Committed and dynamic workforce	<p><b>Management &amp; Leadership Development</b> – provide ongoing support and development for leaders and managers through reviewing and maintaining existing supports including:</p> <ul style="list-style-type: none"> <li>• Management Development programmes and ILP;</li> <li>• Elected Member Induction &amp; Development</li> <li>• SMN participation;</li> </ul> <p>And implementing additional programmes to include:</p> <ul style="list-style-type: none"> <li>• Leadership Framework and Competency review;</li> <li>• New Managers Induction forum;</li> <li>• Coaching &amp; Mentoring programme review and relaunch;</li> </ul> <p><b>Employees Development &amp; Support</b> – provide a wide range of supports for all employees through reviewing and updating existing provision, including:</p> <ul style="list-style-type: none"> <li>• Induction;</li> <li>• E-learn&amp; HR21</li> <li>• HR Partnership;</li> <li>• Financial Budget Monitoring for T&amp;PSR</li> </ul>	Lorraine Mair

Priority	Outcomes	Actions	Assigned to
Organisational Capabilities	Committed and dynamic workforce	Continue to develop and extend the programme implementing new opportunities, such as: <ul style="list-style-type: none"> <li>• 30 OD minutes;</li> <li>• PDP review, 1-2-1s &amp; Skills Passports;</li> <li>• Moodle;</li> <li>• Actions from Customer Service Feedback;</li> <li>• Digital Learning.</li> </ul>	Lorraine Mair
		Embed a process of workforce planning that sustains a committed workforce in support of the organisation's current and future needs (including addressing key objectives from an equality and diversity perspective)	Darren Paterson
		Development of the Strategic HR Team in line with its agreed purpose and operating principles, ensuring maximum added value to the organisation and individual Strategic Lead areas	Darren Paterson
		Development of the Health & Safety team, implementing the resulting action plan from the recent self-evaluation process, to ensure maximum added value to the organisation and individual Strategic Lead areas.	John Duffy
		Support implementation of Be the Best conversations through role modelling best practice, clear communications, and providing regular encouragement for all service areas to ensure Be the Best conversations are taking place for all employees.	A McBride

### Appendix 3: Performance Indicators 2017-18

The following performance indicators will be integrated in the Action Plan (Appendix 2) and monitored, managed and reported in accordance with the Performance Management Framework:

#### Strategic Plan PIs:

SCORP06a	Sickness absence days per teacher
SCORP06b	Sickness absence days per employee (excluding teachers)
CS/HROD/SP11/001	Remove entirely or replace with this. Evidence employees are participating with Be The Best Conversations
CS/ICT/SP001	Percentage of schools with optimal data communication network band width in operation
CS/ICT/SP002	Percentage of Council information technology desktop hardware that meets ICT's agreed minimum software specification

#### Local Government Benchmarking Framework PIs:

SCORP06a	Sickness absence days per teacher
SCORP06b	Sickness absence days per employee (excluding teachers)
SCORP03b	The percentage of the highest paid 5% employees who are women
SCORP03c	Gender pay gap

#### Local PIs:

CS/ICT/008	Percentage of ICT helpdesk calls fixed within half day of being logged.
CS/OD/003	Percentage of Council employees who agree or strongly agree that the Council recognises and values the work that they do

## Equality Outcomes

2.1	% of our workforce who have declared a disability
2.2	% of our workforce who have stated they are LGBT
2.3	% of our workforce who are from a Black Minority Ethnic group
3.1	Disability Pay Gap
4.1	Male Modern Apprenticeship starts in care programmes
4.2	Female Modern Apprenticeship starts in early trade programmes



## **Appendix 4: Workforce Plan 2017-18**

### **2017/18 People and Technology Workforce Plan**

#### **Introduction**

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

The plan also provides details of the current workforce profile of the Strategic Lead area, allowing for observations and assumptions to be drawn based upon workforce demographics and the impact this has in relation to resources and service delivery. Sickness absence information has also been included as reduction in this area is a key service priority for the council.

The plan is broken down as follows:

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

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

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

Priority/ Issues	Resource or Skill implication	Action required	Cost / Saving	Lead
P&T Area of Priority	Change and Continuous Improvement			
Channel shift – supporting transformation projects. Improves ICT processes and services through use of technology e.g. itext and jabber customer communication.	Technical expertise of existing employees	Skills Gap Analysis  Training / upskilling	n/a	J Gallacher
Supporting Change /Transformation Projects  Office Rationalisation Projects Channel Shift Care Homes IHMS Developing a WDC Change Monitoring Tool	Time resource  Client demand. Strategic Leads asked to identify and adequately provision change support.	Effective project and resource planning	n/a	A McBride

Priority/ Issues	Resource or Skill implication	Action required	Cost / Saving	Lead
Continue to implement HR Payroll transformation including manual processes, development of WMS, better integration with WMS and greater self service	Resilience plan to support WMS team.  Coaching for WMS users including skills development, guidance etc.	Identify contingency for WMS team  Manager / Employee upskill / buy in factored into implementation plans	n/a	A Menon
Implement Organisation Maturity Assessment/Self Evaluation  Develop a support programme for teams undergoing self-evaluation assessments  Develop an organisational maturity assessment tool	Insufficient short term resource to deliver project  Wider service and organisational skill and knowledge	Large change projects to factor in funding to resource OD&Change support.	n/a	A McFadden
Building workforce capability in Continuous Improvement:  Develop corporate approach to Continuous Improvement Develop toolkit to support approach. Design, develop and deliver training (in line with TAP principles and standards)	Time resource  Skills resource	Re-prioritisation of resources	n/a	A McFadden

Priority/ Issues	Resource or Skill implication	Action required	Cost / Saving	Lead
Undertake work with managers and trades union safety representatives to foster ownership and accountability at a service level in support of an organisational 'safety culture'.	Time resource  Short term re-direct of existing resource.  Directive support from Manager	Develop plan to transfer accountability and to embed safety culture.	n/a	J Duffy / D Patterson
Establish the Employee Wellbeing Group and develop and oversee the implementation of a Council strategy (and resulting implementation plans) which seeks to maximise employee health, safety and wellbeing and reduce sickness absence	Manager time resource  Availability of HR resource to support unknown level of activity	Realign HR resource to support co-ordination of this activity  Review resource requirements	n/a	D Patterson
Ensure a consistent and robust approach to customer service improvement across the strategic are	Availability of internal customer service training.	Develop internal customer service programme.	n/a	D Patterson

<b>Priority/ Issues</b>	<b>Resource or Skill implication</b>	<b>Action required</b>	<b>Cost / Saving</b>	<b>Lead</b>
P&T Area of Priority	Project Management	P&T Area of Priority	Project Management	P&T Area of Priority
<p>PMO (Peer Support)</p> <p>PMO function to offer project management support and consultancy to strategic and operational projects. Review PMA approach to ensure alignment with corporate strategies such as Benefits Realisation Investigate new PMA tools to assist project managers/teams. Review PMA training (in line with TAP principles and standards).</p>	<p>Team and organisational expertise.</p> <p>Time resource (research / review activity)</p>	Action Planning to prioritise resource	n/a	A McFadden
Support corporate and departmental transformation projects such as P2P, IHMS, Doc management, HR self-serve	Time resource	Appropriate project planning	n/a	J Gallacher
Ensure a clear, robust and consistent approach to the development, approval, implementation and review of Health and Safety policies	<p>Time resource</p> <p>Expertise in policy development</p> <p>Build resilience within the team</p>	<p>Skills Gap analysis</p> <p>Action plan to implement policy framework</p>	n/a	J Duffy

Priority/ Issues	Resource or Skill implication	Action required	Cost / Saving	Lead
Implement the organisation's policy framework to ensure a clear, robust and consistent approach to the development, approval, implementation and review of employment policies	HR projects team resource  Expertise in policy development  Build resilience within the team	Review of Strategic HR projects team workload and project alignment	n/a	D Patterson
Support EDC to migrate their data centre to WDC	External dependencies	Follow project plan accounting for external resource	n/a	A Cameron
Migrate ICT Data Centre from Garshake to Aurora	Time resource	Action Plan	n/a	A Cameron

Priority/ Issues	Resource or Skill implication	Action required	Cost / Saving	Lead
P&T Area of Priority	Workplace of the Future			
Document Strategy Encourage clear out/new work practices Streamline Processes/ Promote digital working Ensure compliance with best practice models and legislation	Time resource Dependency on internal stakeholders	Follow established project plan Review resource availability		E Dynowski
Support business case development and financial planning associated with deploying technology into new service areas (ICT)	Time resource Internal stakeholder dependency	Scheduling of activities	n/a	J Gallacher
P&T Area of Priority	Workforce Development			
Work with managers and trades union representatives to further embed a partnership approach to employment relations	Time resource Expertise of managers / trade unions	Coaching / Training	n/a	D Patterson

Priority/ Issues	Resource or Skill implication	Action required	Cost / Saving	Lead
Embed a process of workforce planning that sustains a committed workforce in support of the organisation's current and future needs (including addressing key objectives from an equality and diversity perspective)	Time resource Strategic HR development Organisational capability Dependency on internal partners	Training / Coaching Plan	n/a	D Patterson HRBPs
Development of the Strategic HR Team in line with its agreed purpose and operating principles, ensuring maximum added value to the organisation and individual Strategic Lead areas	Time resource Expertise (CIPD standards)	Review of new HR structure Customer feedback Skills gap analysis	n/a	D Patterson
Development of the Health & Safety team, implementing the resulting action plan from the recent self-evaluation process, to ensure maximum added value to the organisation and individual Strategic Lead areas.	Time resource Skill	Skills gap analysis Implement identified action plan	n/a	J Duffy



<b>Priority/ Issues</b>	<b>Resource or Skill implication</b>	<b>Action required</b>	<b>Cost / Saving</b>	<b>Lead</b>
Support implementation of Be the Best conversations through role modelling best practice, clear communications, and providing regular encouragement for all service areas to ensure Be the Best conversations are taking place for all employees.	Team resource and organisational capability.	Coaching / Training	n/a	A McBride
P&T Area of Priority	Review Structures HR/ICT/Health & Safety			
Complete a service review / restructure in line with technology changes including service hours requirements, centralising and sharig resources.	Time resource	Project planning and organisational change policy if required	n/a	D Paterson / P Kerr
P&T Area of Priority	Governance & Legislative Changes			
Deliver PSN / PCI Compliant Infrastructure	Time resource	Monitor changes to contracts (OOH)	n/a	A Cameron
Deliver Audit Compliance for IT Controls	Time Resource	Project planning	n/a	P Kerr

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

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

Period that priority will impact over	Priority/ Issues	Potential resource or skill implication	Potential actions required
2018-2020	SSSC Registration / Qualification	Large work areas under-resourced.	Review of resource risk
2017-2020	Exit from European Union	Removal of / changes to significant funding streams	Application of organisational change policy
2017-2018	Political uncertainty	Impact of political changes both locally and nationally	Continue to monitor changes and identify resulting risks
2017-2020	Pace of change	Capability to keep pace with change. Capacity to support continuous process improvement and change	Ongoing monitoring or resource availability

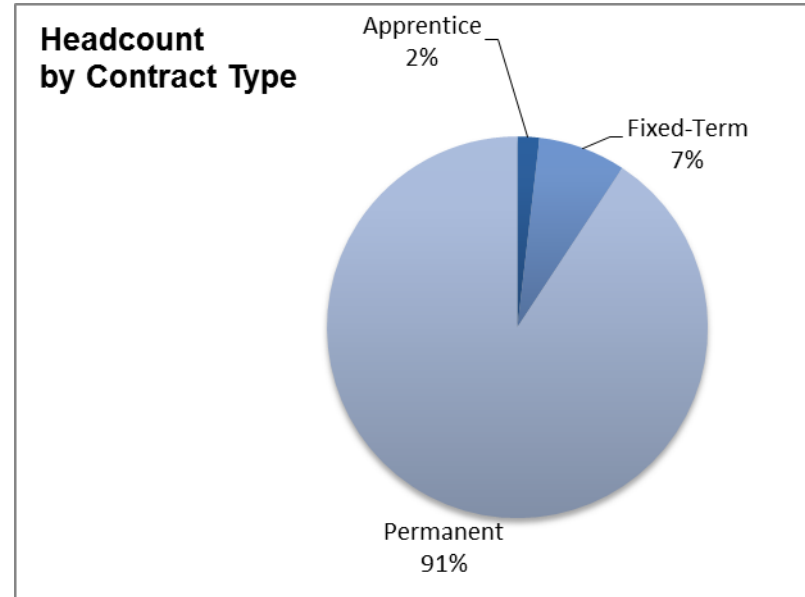
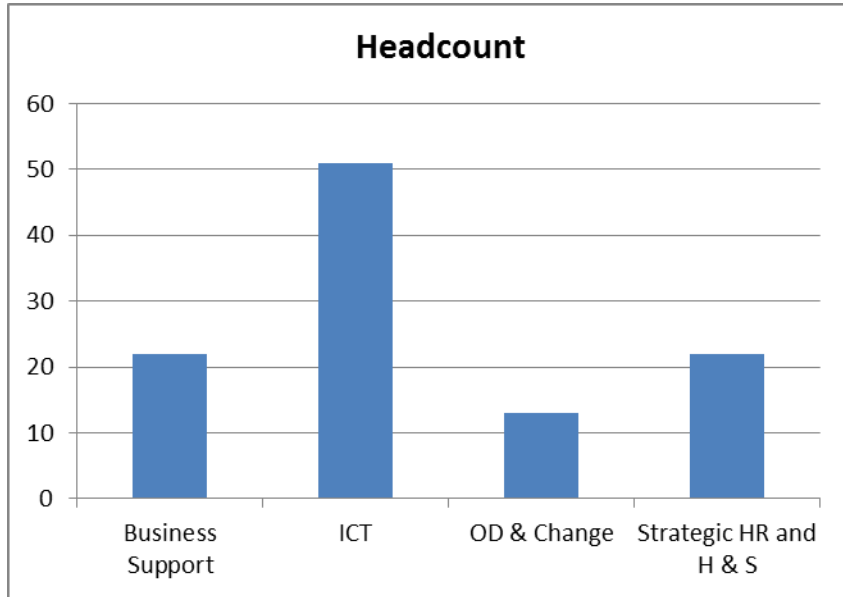
### 3. Establishment and Resource Information

The data listed below relates to the profile of the Strategic Lead area workforce as at 1<sup>st</sup> April 2017 and examines changes in that profile over time. Comparison is not provided in instances where new workforce profile information is being reported for the first time.

#### 1 Headcount

	Apprentice	Casual	Fixed-Term	Permanent	Total
Business Support	0	0	0	22	22
ICT	0	0	5	46	51
OD & Change	2	0	3	8	13
Strategic HR and H & S	0	0	0	22	22
<b>People &amp; Technology Total</b>	<b>2</b>	<b>0</b>	<b>8</b>	<b>98</b>	<b>108</b>

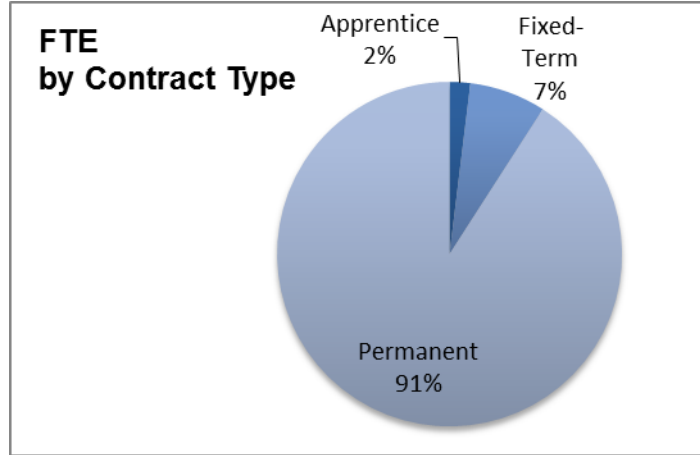
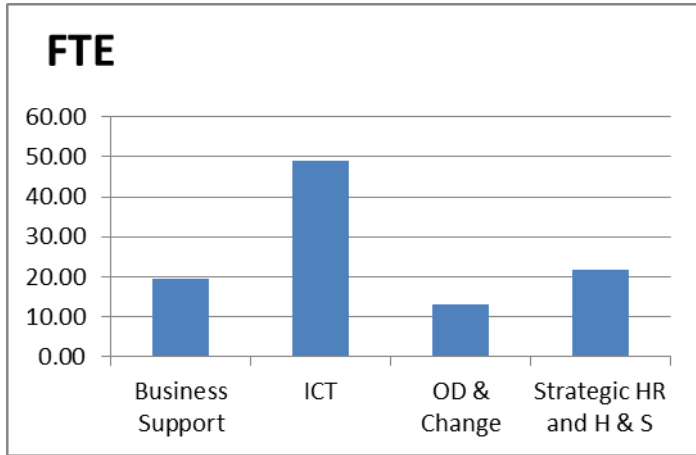
Overall, the headcount within People and Technology has reduced by 2. Business Support, ICT and Strategic HR and H&S saw reductions while OD & Change increased by 4. ICT employ the greatest number of employees. There are currently 2 apprentices within OD & Change.



## 2 Full Time Equivalent

	Apprentice	Fixed-Term	Permanent	Total
Business Support	0.00	0.00	19.50	19.50
ICT	0.00	4.40	44.73	49.13
OD & Change	2.00	3.00	8.00	13.00
Strategic HR and H & S	0.00	0.00	21.73	21.73
<b>People &amp; Technology Total</b>	<b>2.00</b>	<b>7.40</b>	<b>93.96</b>	<b>103.36</b>

In addition to the reduction in headcount, there has been a reduction in FTE employees within People and Technology during the course of last year, from 106.73 FTE to 103.36 FTE.



### 3 Fixed-term contracts

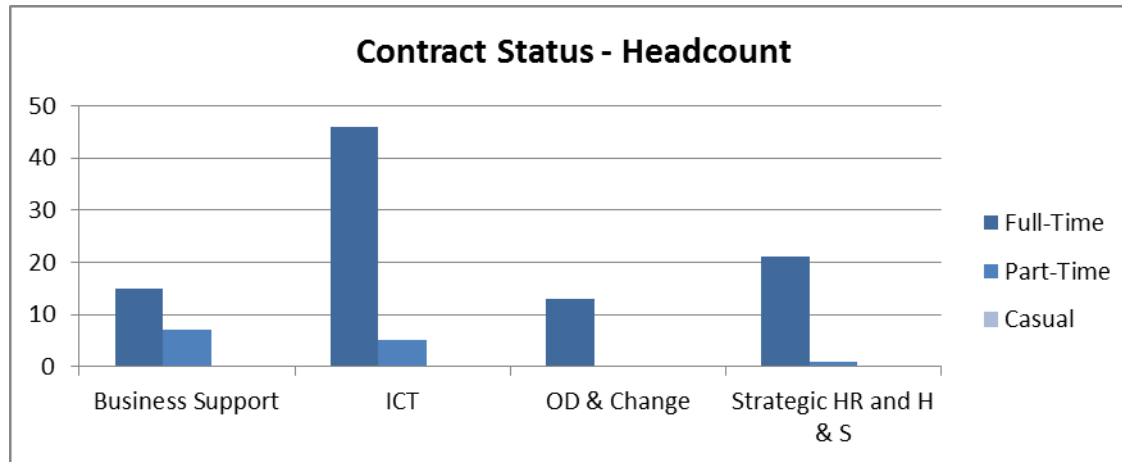
	FTCs Ending in Next 6 Months	FTCs Longer than 2 Years
Business Support	0	0
ICT	4	0
OD & Change	1	0
Strategic HR and H & S	0	0
<b>People &amp; Technology Total</b>	<b>5</b>	<b>0</b>

The majority of fixed term contracts ending within 6 months are within ICT and are as a result of short term project work. People and Technology currently have no employees who have been on fixed term contracts for longer than 2 years.

#### 4 Full-Time/Part-Time Split

	Full-Time	Part-Time
Business Support	15	7
ICT	46	5
OD & Change	13	0
Strategic HR and H & S	21	1
<b>People &amp; Technology Total</b>	<b>95</b>	<b>13</b>

A significant majority of People & Technology employees are Full Time, with only 12% on part time contracts. It should be noted that significant numbers of People & Technology employees are on flexible work patterns.



## 5 Grade Profile

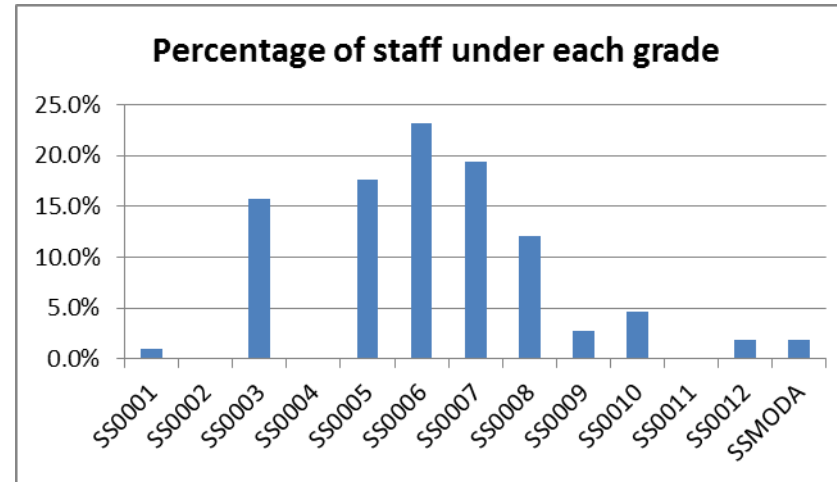
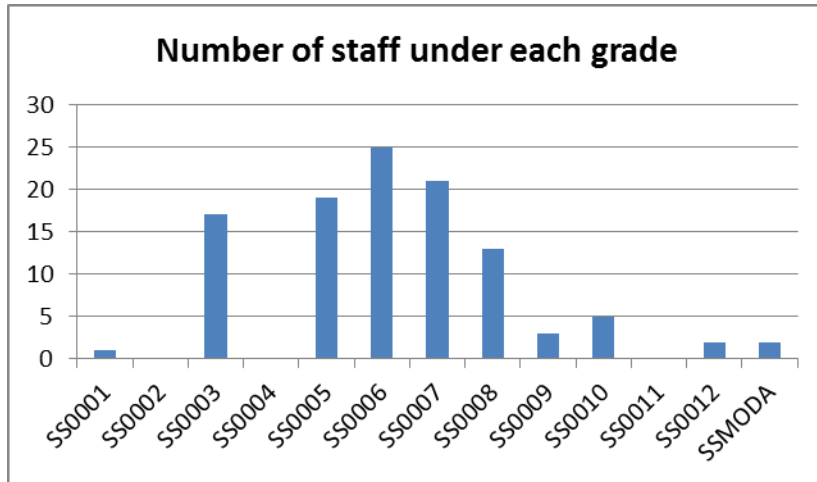
### Number of staff under each grade

	SS000 1	SS000 2	SS000 3	SS000 4	SS000 5	SS000 6	SS000 7	SS000 8	SS000 9	SS001 0	SS001 1	SS001 2	SSMOD A
Business Support	0	0	14	0	2	3	2	1	0	0	0	0	0
ICT	0	0	3	0	17	10	15	2	0	3	0	1	0
OD & Change	1	0	0	0	0	5	0	4	0	1	0	0	2
Strategic HR and H & S	0	0	0	0	0	7	4	6	3	1	0	1	0
<b>People &amp; Technology Total</b>	<b>1</b>	<b>0</b>	<b>17</b>	<b>0</b>	<b>19</b>	<b>25</b>	<b>21</b>	<b>13</b>	<b>3</b>	<b>5</b>	<b>0</b>	<b>2</b>	<b>2</b>

### Percentage of staff under each grade

	SS000 1	SS000 2	SS000 3	SS000 4	SS000 5	SS000 6	SS000 7	SS000 8	SS000 9	SS001 0	SS001 1	SS001 2	SSMOD A
Business Support	0.0%	0.0%	63.6%	0.0%	9.1%	13.6%	9.1%	4.5%	0.0%	0.0%	0.0%	0.0%	0.0%
ICT	0.0%	0.0%	5.9%	0.0%	33.3%	19.6%	29.4%	3.9%	0.0%	5.9%	0.0%	2.0%	0.0%
OD & Change	7.7%	0.0%	0.0%	0.0%	0.0%	38.5%	0.0%	30.8%	0.0%	7.7%	0.0%	0.0%	15.4%
Strategic HR and H & S	0.0%	0.0%	0.0%	0.0%	0.0%	31.8%	18.2%	27.3%	13.6%	4.5%	0.0%	4.5%	0.0%
<b>People &amp; Technology Total</b>	<b>0.9%</b>	<b>0.0%</b>	<b>15.7%</b>	<b>0.0%</b>	<b>17.6%</b>	<b>23.1%</b>	<b>19.4%</b>	<b>12.0%</b>	<b>2.8%</b>	<b>4.6%</b>	<b>0.0%</b>	<b>1.9%</b>	<b>1.9%</b>

The predominant grade within People & Technology is Grade 6, followed by Grade 7. This reflects the professional nature of many posts within the Strategic Lead area.

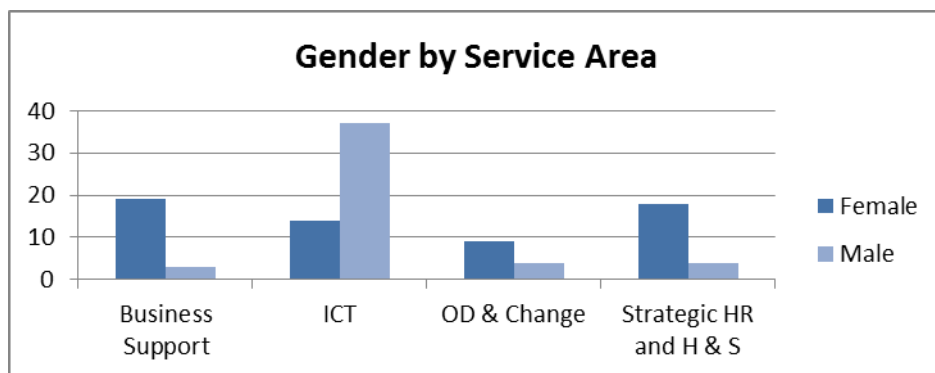


## 6 Gender Profile

	Female		Male	
	Headcount	Percentage	Headcount	Percentage
Business Support	19	86.4%	3	13.6%
ICT	14	27.5%	37	72.5%
OD & Change	9	69.2%	4	30.8%
Strategic HR and H & S	18	81.8%	4	18.2%
<b>People &amp; Technology Total</b>	<b>60</b>	<b>55.6%</b>	<b>48</b>	<b>44.4%</b>

Females are dominant within People & Technology with 56% of employees. However within ICT, males dominate with 73% of all employees.





## 7 Age Profile

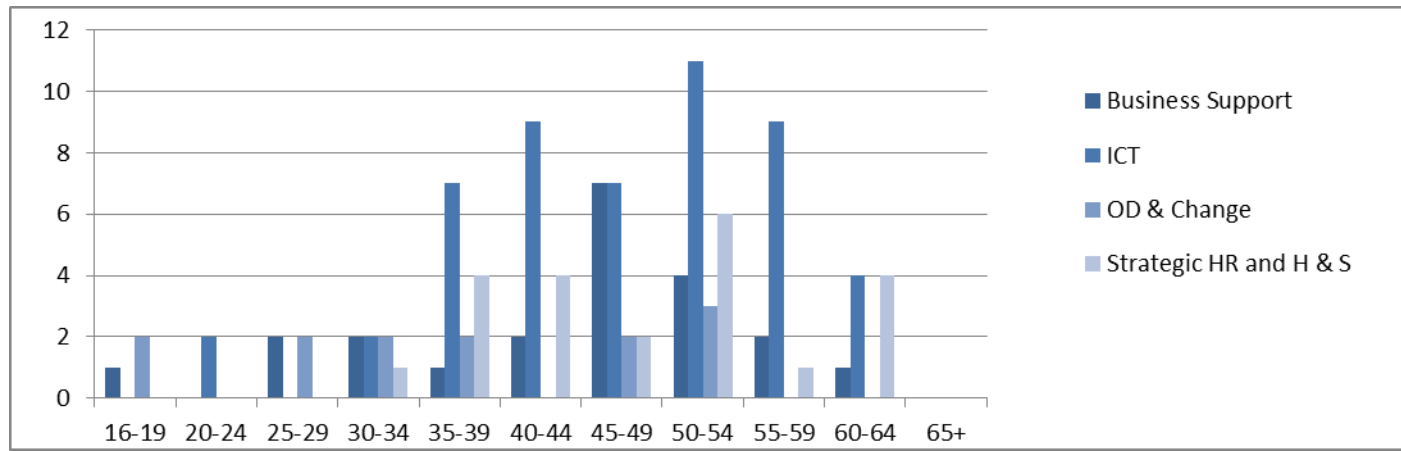
### Age Profile - Headcount

	16-19	20-24	25-29	30-34	35-39	40-44	45-49	50-54	55-59	60-64	65+
Business Support	1	0	2	2	1	2	7	4	2	1	0
ICT	0	2	0	2	7	9	7	11	9	4	0
OD & Change	2	0	2	2	2	0	2	3	0	0	0
Strategic HR and H & S	0	0	0	1	4	4	2	6	1	4	0
<b>People &amp; Technology Total</b>	<b>3</b>	<b>2</b>	<b>4</b>	<b>7</b>	<b>14</b>	<b>15</b>	<b>18</b>	<b>24</b>	<b>12</b>	<b>9</b>	<b>0</b>

### Age Profile - Percentage

	16-19	20-24	25-29	30-34	35-39	40-44	45-49	50-54	55-59	60-64	65+
Business Support	4.5%	0.0%	9.1%	9.1%	4.5%	9.1%	31.8%	18.2%	9.1%	4.5%	0.0%
ICT	0.0%	3.9%	0.0%	3.9%	13.7%	17.6%	13.7%	21.6%	17.6%	7.8%	0.0%
OD & Change	15.4%	0.0%	15.4%	15.4%	15.4%	0.0%	15.4%	23.1%	0.0%	0.0%	0.0%
Strategic HR and H & S	0.0%	0.0%	0.0%	4.5%	18.2%	18.2%	9.1%	27.3%	4.5%	18.2%	0.0%
<b>People &amp; Technology Total</b>	<b>2.8%</b>	<b>1.9%</b>	<b>3.7%</b>	<b>6.5%</b>	<b>13.0%</b>	<b>13.9%</b>	<b>16.7%</b>	<b>22.2%</b>	<b>11.1%</b>	<b>8.3%</b>	<b>0.0%</b>

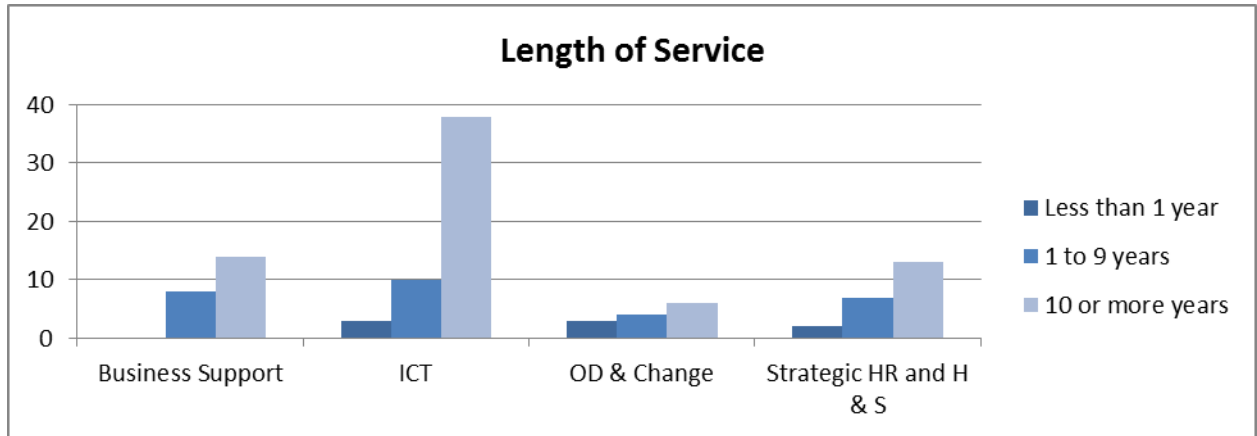
The predominant age range within People & Technology is 50-54 years, followed by 45-49 years. The chart below shows a trend towards older employees within the Strategic Lead area.



## 8 Length of service

	Less than 1 year		1 to 9 years		10 or more years	
	Headcount	Percentage	Headcount	Percentage	Headcount	Percentage
Business Support	0	0.0%	8	36.4%	14	63.6%
ICT	3	5.9%	10	19.6%	38	74.5%
OD & Change	3	23.1%	4	30.8%	6	46.2%
Strategic HR and H & S	2	9.1%	7	31.8%	13	59.1%
<b>People &amp; Technology Total</b>	<b>8</b>	<b>7.4%</b>	<b>29</b>	<b>26.9%</b>	<b>71</b>	<b>65.7%</b>

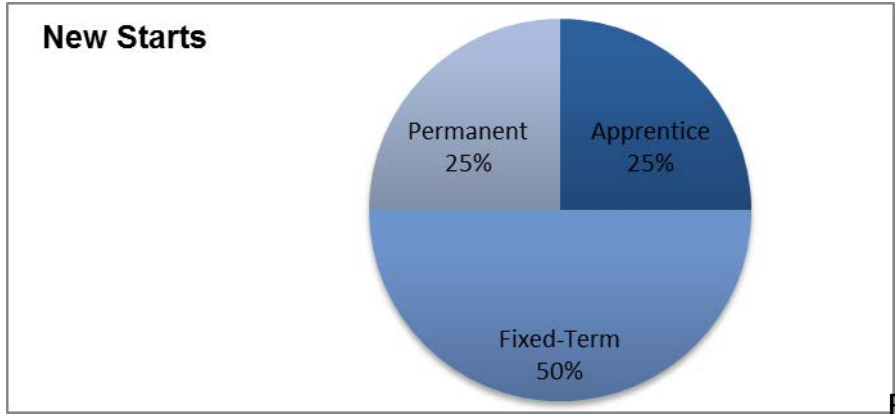
A significant majority of employees within People & Technology have been employed for 10 or more years and this is reported predominantly within ICT where 75% of all employees have 10 or more years' service.



## 9 New Start Employees

	Apprentice	Fixed-Term	Permanent
Business Support	0	0	0
ICT	0	3	0
OD & Change	2	1	0
Strategic HR and H & S	0	0	2
<b>People &amp; Technology Total</b>	<b>2</b>	<b>4</b>	<b>2</b>

Similar to last year, numbers of new start employees remain relatively low.



## 10 Turnover

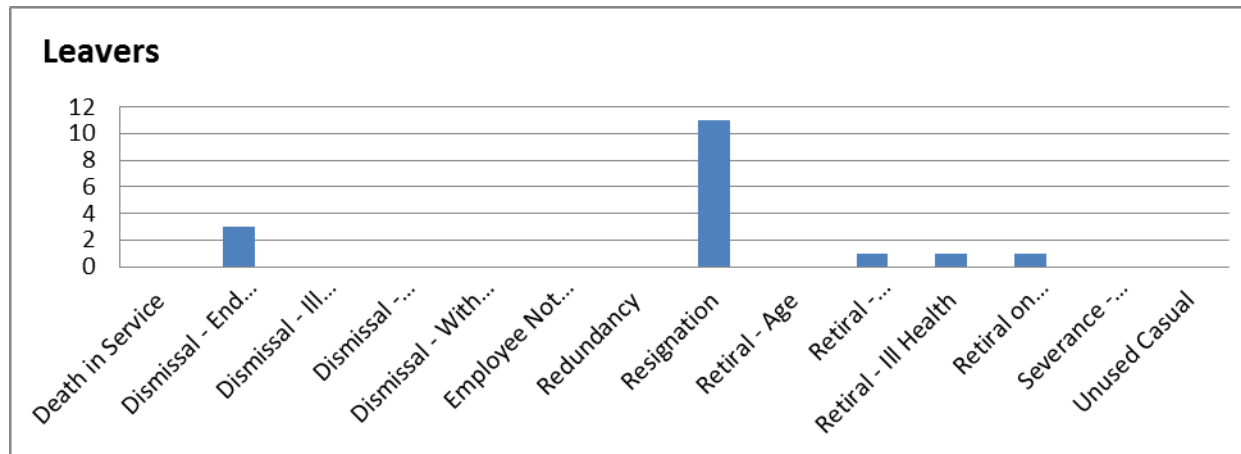
	Staff at 1 April 2016	Staff at 1 April 2017	Average	Leavers	Turnover %
Business Support	24	22	23	1	4.35%
ICT	53	51	52	10	19.23%
OD & Change	9	13	11	1	9.09%
Strategic HR and H & S	24	22	23	5	21.74%
<b>People &amp; Technology Total</b>	<b>110</b>	<b>108</b>	<b>109</b>	<b>17</b>	<b>15.60%</b>

Compared to last year, turnover has increased within People & Technology (from 10.53% in 2015/16 to 15.6% in 2016/17). Leavers increased from 12 in 2015/16 to 17 in 2016/17.

## 11 Leavers

	Death in Service	Dismissal - End of Cont	Dismissal - Ill Health	Dismissal - Summary	Dismissal - With Notice	Employee Not Started	Redundancy	Resignation	Retiral - Age	Retiral - Efficiency	Retiral - Ill Health	Retiral on Option (60+)	Severance - Efficiency	Total
Business Support	0	0	0	0	0	0	0	1	0	0	0	0	0	1
ICT	0	3	0	0	0	0	0	7	0	0	0	0	0	10
OD & Change	0	0	0	0	0	0	0	1	0	0	0	0	0	1
Strategic HR and H & S	0	0	0	0	0	0	0	2	0	1	1	1	0	5
<b>People &amp; Technology Total</b>	<b>0</b>	<b>3</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>11</b>	<b>0</b>	<b>1</b>	<b>1</b>	<b>1</b>	<b>0</b>	<b>17</b>

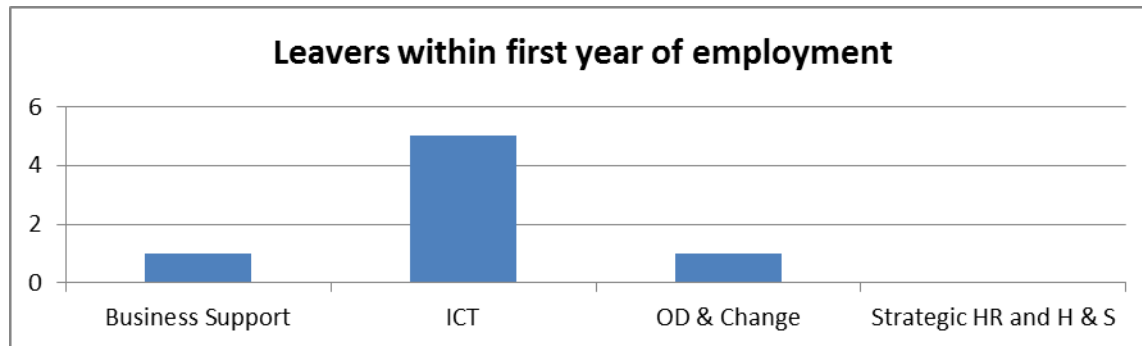
Of the 17 leavers within People & Technology, the majority were as a result of resignations.



#### Number of staff who left in their first year of employment with WDC

	Headcount
Business Support	1
ICT	5
OD & Change	1
Strategic HR and H & S	0
<b>People &amp; Technology Total</b>	<b>7</b>

The greatest number of leavers with less than one years' service was within ICT, which is consistent with recent short term project work.

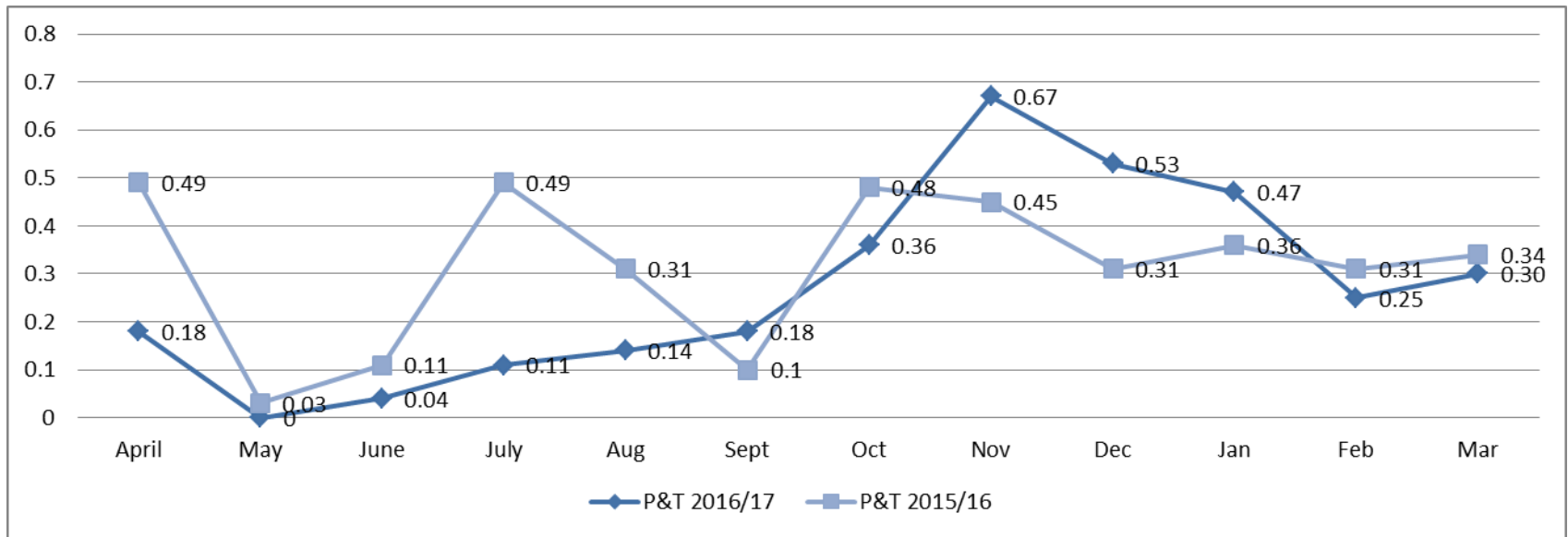


## 12 Maternity/Paternity Leave

	Maternity Leave	Paternity Leave	Total	% of employees
Business Support	0	0	0	0.0%
ICT	1	0	1	1.9%
OD & Change	0	1	1	9.1%
Strategic HR and H & S	0	0	0	0.0%
<b>People &amp; Technology Total</b>	<b>1</b>	<b>1</b>	<b>2</b>	<b>1.8%</b>

## 13 Sickness Absence

	April	May	June	July	Aug	Sept	Oct	Nov	Dec	Jan	Feb	Mar	Year End
2016/17	0.18	0.00	0.04	0.11	0.14	0.18	0.36	0.67	0.53	0.47	0.25	0.30	3.55
2015/16	0.49	0.03	0.11	0.49	0.31	0.1	0.48	0.45	0.31	0.36	0.31	0.34	3.78









Attendance improved in 2016/17 compared to last year with a 6% reduction in absence. People and Technology also achieved target of 4.5FTE days lost per employee by a margin of 21%. The graph above shows the monthly variation compared to last year.





















## Appendix 2: People and Technology Delivery Plan 2016/17 – End of Year Report

Objective Committed and dynamic workforce						
Action Code	Action Title	Status Icon	Status Progress Bar	Dates Due Date	Notes & History Latest Note	Ownership Assigned To
PT/16-17/HR/001	Develop innovative strategies and best practice to support employee attendance and reduce absence			31-Mar-2017	Year End Update - A significant body of work has been carried out relating to this Action - much in addition to the milestones listed within this action. During the course of this year, WDC consolidated its Exemplary position as a Carer Positive Organisation by enhancing carer support provision and developing plans for its inaugural Carers Conference in June 2017. The Council broke ground being the first local authority to introduce a Bereavement Leave Scheme following a successful pilot and continued with a suite of manager masterclasses to complement the employee charter introduced last year and to upskill managers in relation to people issues. In the latter half of the year plans commenced to enhance our standing as an employer of choice, working towards enhancement to the Flexible Working Policy to promote flexibility in recruitment, and to offer a guaranteed interview scheme for candidates returning from a break in employment (maternity / carers etc). This will work continue into 17/18 with additional initiatives being generated by the Council's Employee Wellbeing Group going forward.	Tracy Keenan







Action Code	Action Title	Status Icon	Status Progress Bar	Dates Due Date	Notes & History Latest Note	Ownership Assigned To
PT/16-17/HR/002	Develop and maintain a robust employment framework (policies, systems and processes) in accordance with emerging case, legislation and good practice			31-Mar-2017	There are 3 milestones in relation to this action, all of which are complete. The newly introduced Policy Framework will ensure a clear, robust and consistent approach to the development, approval, implementation and review of Council employment policies and schemes. It will additionally provide for greater involvement of local Trades Unions representatives in the policy development process, in line with our Partnership Agreement. It also provides a more holistic process, covering not only the process of policy development, but also incorporating the need for development and implementation of accompanying plans for communication and training, and monitoring and evaluation, to provide assurance that Council employment policies are fit for purpose and being implemented fairly and consistently, with a responsive mechanism in place to identify and address any evidence that this may not be the case.	Darren Paterson
PT/16-17/HR/003	Implement 3rd Edition of SJC JE Scheme ensuring related processes are reflective of best practice and meeting organisational needs			31-Mar-2017	There are 3 milestones in relation to this action, all of which are complete. The 3rd Edition of the SJC Job Evaluation Scheme was implemented within the Council in April 2016 (with corresponding actions to ensure compliance with the transitional protocol to allow implementation completed). A revised version of the Job Evaluation Policy and Procedure was approved in November 2016, with resulting changes communicated to all managers.	Darren Paterson



Action Code	Action Title	Status Icon	Status Progress Bar	Dates Due Date	Notes & History Latest Note	Ownership Assigned To
PT/16-17/HR/004	Develop a Council Workforce plan, reflective of revised organisational structure that sustains a committed workforce that supports the organisation's current and future needs			31-Mar-2017	The 2016/17 Council Workforce Plan was submitted to Corporate Services Committee in August 2016. Corresponding Strategic Lead Area Workforce Plans (reflecting the revised organisational structure) were developed at the time, and reported to the relevant Committee (alongside an update on progress in implementing associated actions) as part of the mid-year review of corresponding Delivery Plans. Recognising the need to improve longer-term workforce planning, a revised Workforce Planning Framework has been developed, which will be presented to PaMG in April 2017, before being presented to Corporate Services Committee (alongside the 2017/18 Workforce Plan) in June 2017.	Darren Paterson
PT/16-17/HR/005	Deliver corporate and service transformation projects/structural changes in accordance with project plans and service requirements			31-Mar-2017	Whilst the team have supported a range of organisational change projects over the course of 2016/17, the milestones here focus on the Strategic HR Team itself. Following initial realignment to the new Strategic Lead Area structure, it was necessary to reexamine the structure in order to ensure effective support to Council-wide projects and to realise required savings. A resulting new structure comes into effect from May 2017. A development process commenced in 17/18, focussed on developing a 'high-performance' culture, which has included creating our team purpose and operating principles, examination of how we currently compare, and identification of improvement actions required in order to maximise the value we offer to the organisation. This process will continue into 17/18.	Darren Paterson

Action Code	Action Title	Status Icon	Status Progress Bar	Dates Due Date	Notes & History Latest Note	Ownership Assigned To
PT/16-17/HR/006	Work collaboratively with Occupational Health provider to maximise employee wellbeing and support			31-Mar-2017	In 16/17 a performance scorecard was developed and implemented in relation to the OH contract which is completed on a quarterly basis in order to ensure that any issues are identified and resolved timeously. The OHIO online manager referral system is now fully implemented, albeit there was a significant delay resulting from issues of accuracy of workforce data. A new Employee Wellbeing Group was established in May 2017. A representative from OH is included in the membership, enabling them to provide a more proactive role in the development, implementation and evaluation of a Council Employee Wellbeing Strategy.	Darren Paterson
PT/16-17/ICT/004	Deliver robust ICT input to 2016-17 transformational change projects			31-Mar-2017	April 17. Support for key service transformation projects delivered for example IHMS tender, HR self serve, P2P interfacing and upgrades, case management. Several projects will continue in line with further departmental improvement plans	James Gallacher; Patricia Kerr
PT/16-17/OD/001	Promote a model of change and continuous improvement across the organisation			31-Mar-2017	4 milestones complete. Change Workshop will be attended by all SMN. WDC Approach to change used in all transformation projects. WDC have received external national award for the approach. End of year report completed	Alison McBride
PT/16-17/OD/002	Enhance leadership and management development			31-Mar-2017	4 milestones achieved. Training catalogue reviewed and booking process reviewed. Face to face Induction commenced. New leadership programme launched. Achieve values being embedded in recruitment process, induction and new leadership programme. PDP review complete and implementation underway with staff .	Alison McBride
PT/16-17/OD/003	Support and progress the Workplace of the Future programme			31-Mar-2017	4 milestones complete. Masterclasses for managers commenced with positive feedback from managers. The review of the AWG is complete and a new group Employee Wellbeing Group has been established. WotF is progressing with support currently being delivered in relation to Municipal, , Bridge St and New Dumbarton Office. Clydebank Town	Alison McBride





Action Code	Action Title	Status Icon	Status Progress Bar	Dates Due Date	Notes & History Latest Note	Ownership Assigned To
					Centre Office opened on the 5th December. Collaborating with Scottish Future Trust and 5 other councils in progressing data from this area. Flex Pilot has been successful and will now move to Aurora House. ,Managing in WOTF sites workshop has been developed and delivered alongside the change workshops/toolkit and website being available to all staff and teams.	
PT/16-17/OD/004	Ensure a corporate approach to project management			31-Mar-2017	4 milestones achieved. PM training running each month. Change Board governance monitored closely. Project clinics offered to support PMs. All paperwork is consistent and the compliance regime adhered to. Self evaluation of the PMO approach was completed and an action plan will be put in place to improve efficacy of the change board.	Alison McBride

**Objective** Fit for purpose estates and facilities





Action Code	Action Title	Status Icon	Status Progress Bar	Dates Due Date	Notes & History Latest Note	Ownership Assigned To
PT/16-17/BS/001	Implement statutory payroll changes			31-Mar-2017	Year end processed completed, HMRC and pension returns submitted on time	Graham Hawthorn
PT/16-17/BS/002	Continue to implement HR payroll transformation including manual processes, development of WMS, better integration with WMS, greater self-service			30-Dec-2017	National delays with the Frontier upgrade affecting all 7 Scottish Frontier users. Version 8.10.05 is being tested. The revised implementation date is August 2017. All the milestones below will be carried forward into 2017/18.	Stella Kinloch
PT/16-17/HS/001	Audit implementation of the Council's Health and Safety policies and arrangements			31-Mar-2017	There are five milestones associated with this action, 2 complete. Three are not complete due to resource issues and the need to develop an recognised in-house health and safety management system similar to BS18001. this action will be completed by December 2017	John Duffy





Action Code	Action Title	Status Icon	Status Progress Bar	Dates Due Date	Notes & History Latest Note	Ownership Assigned To
PT/16-17/ICT/001	Deliver ICT support to the Property and Resource optimisation projects			31-Mar-2017	April 17. Projects completed to time. Several projects span multiple years and carried to 2017-18 service plan.	Patricia Kerr; Brian Miller

**Objective** Innovative use of information technology

Action Code	Action Title	Status Icon	Status Progress Bar	Dates Due Date	Notes & History Latest Note	Ownership Assigned To
PT/16-17/ICT/002	Review the ICT structure and roles in line with changing departmental technology and service requirements			31-Mar-2017	April 17. Several resource improvements and changes implemented including delivery of 8am - 5pm service cover rota, additional contracted hours for planned maintenance work and realignment of support resources for workforce planning and staff development purposes.	Patricia Kerr
PT/16-17/ICT/003	Extend the services enabled by shared environments and services			31-Mar-2017	April 17. One for the seven milestones carried to new financial year due to other project dependencies.	Patricia Kerr

**Objective** Strong corporate governance

Action Code	Action Title	Status Icon	Status Progress Bar	Dates Due Date	Notes & History Latest Note	Ownership Assigned To
PT/16-17/HS/002	Ensure a robust approach to corporate health, safety and risk through process of audit, inspection and compliance checks			31-Mar-2017	There are eight milestones attached to this action, six are complete. The remaining two milestones are not complete due to resource issues and the need to develop an recognised in-house health and safety management system similar to BS18001. this action will be completed by December 2017. This action will be moved to 17-18.	John Duffy
PT/16-17/HS/003	Ensure the Council has robust fire risk assessments in place per detailed plan			31-Mar-2017	Six milestones associated with this action, five completed. The outstanding milestone cannot be completed due to Bridge Street going through internal refurbishment, but is scheduled for completion by 30 May 2017 when the refurbishment work is finished.	John Duffy

Action Code	Action Title	Status Icon	Status Progress Bar	Dates Due Date	Notes & History Latest Note	Ownership Assigned To
PT/16-17/HS/004	Implement the full functionality of the Council's Figtree system in conjunction with insurance team			31-Mar-2017	Three milestones associated with this action all are complete.	John Duffy
PT/16-17/HS/005	Ensure a robust approach to Council's resilience arrangements			31-Mar-2017	2 milestones now complete. Review undertaken following incidents, onsite working agreed and workplan in place to support WDC practices. CIO training scheduled and Nustar exercise planned and scheduled.	Vicki Rogers





**WEST DUNBARTONSHIRE COUNCIL****Report by Strategic Lead - Resources****Corporate Services Committee: 7 June 2017**

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**Subject: Accounts Commission Report: *A Review of Housing Benefit Fraud Investigation Liaison Arrangements in Scotland*****1. Purpose**

- 1.1** The report is to provide Members with information regarding a report recently published by the Accounts Commission and prepared by Audit Scotland.

**2. Recommendations**

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

**3. Background**

- 3.1** At the Audit and Performance Review Committee on 8<sup>th</sup> March 2017, the Committee agreed:–

*“that in view of concerns raised in the report and at the meeting, a report be remitted to a future meeting of the Corporate Services Committee, on current arrangements, in order to enable further consideration to take place”.*

- 3.2** The Accounts Commission set out to consider the impact of the introduction of the Department for Work and Pension’s (DWP) Single Fraud Investigation Service (SFIS).
- 3.3** SFIS saw the transfer of counter fraud work for Housing Benefit from Local Authorities (LA’S) to the Fraud and Error Service (FES).
- 3.4** In Scotland the transfer was complete by March 2016. West Dunbartonshire Council’s transfer date was March 2015.
- 3.5** The report is intended to highlight areas of good practice and look at any detrimental effect on performance as a counter fraud service.
- 3.6** The Accounts Commission report aims to assess the liaison arrangements between LA’s and FES and risk assess the procedure under the new regime and make any appropriate recommendations.
- 3.7** Since March 2015, WDC have submitted 146 referrals to FES and to date they have responded to only 6 referrals.

- 3.8** Considerable time and effort has been spent by WDC Fraud team pursuing these referrals to establish the status and outcome of the referrals.
- WDC made regular contact with the DWP to try and ascertain the status/progress/outcome of cases passed to them;
  - On most occasions there was no trace of case passed by WDC;
  - Further lists were passed to DWP on more than one occasion in an effort to assist them in their attempt to trace the missing cases;
  - In most cases WDC were advised that DWP were unable to trace the cases sent to them; and
  - This caused undue additional work for WDC.
- 3.9** The DWP have put the following change in place to try and reduce the number of cases lost during the referral process as follows:
- Since March 2017, all fraud referrals from LA's are sent to the same mail box address in Taunton.
- 3.10** The DWP pays LA's an amount resulting from the financial impact of the introduction of the Single Fraud Investigation Service (SFIS) Project. In 2017/18, WDC will receive £3,335 of additional burden monies.

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

- 4.1** The report highlights a number of key messages for Scottish LA's summarised below:
- DWP have acknowledged that current arrangements were not effective overall and had implemented a number of activities to help improve performance and procedure. Although these improvements have not been specified in the report, the DWP have implemented a change to the Local Authority exchange of information referral form;
  - Introduced quarterly DWP/LA Forum meetings; and
  - Plan to deliver fraud awareness training to LA benefit teams/Social work.
- 4.2** The report advises that Housing Benefit overpayments have increased since the responsibility for fraud investigation was transferred to FES.
- 4.3** Overpayments have increased from 5.3% of the Housing Benefit expenditure to 6% which in monetary terms sees a rise from £1.28 billion to £1.46 billion, the highest ever recorded.
- 4.4** Liaison between LA's and FES had been found to be generally good, where the LA previously employed the investigator, however:

- No standard approach for LA's internal IT systems or via DWP's Fraud Referral and Incident Management System (FRAIMS), to record and monitor the progress of fraud referrals sent to FES; and
  - Consequently there is a lack of management information nationally and locally.
- 4.5** As part of the review consideration was given to the number of cases referred to the Procurator Fiscal Service and the number of Administrative penalties offered to offenders, the results show the numbers have declined significantly since transfer to FES.
- 4.6** The UK fraud referral form should be reviewed to ensure a minimum level of information is provided to ensure DWP's Central Referral Service (CRS) can make an informed decision on appropriate action.
- 4.7** Scottish LA's were asked to complete a questionnaire on the relationship between them and DWP, the salient issues raised are:
- Cases were being closed or passed to DWP compliance teams without LA teams being informed;
  - Outcome of cases were not reported to LA's therefore, had no knowledge if cases had been sanctioned or not;
  - Lack of evidence provided to LA Decision Makers to allow robust overpayment decisions;
  - Unclear requests for information from LA's from FES officers
  - Lack of regular liaison meetings; and
  - Loss of referrals issued by LA's resulting in additional workload and cost for LA's.
- 4.8** Although 27 of the 32 Scottish LA's (includes WDC) recorded the number of referrals to FES, none had sufficient management information to determine LA or FES performance against all indicators. Likewise FES has advised that it is not possible for them to determine FES or LA performance against the indicators.
- 4.9** WDC have always kept comprehensive records of all referrals sent and received under SFIS and any outcomes recorded, however, the management information has not been routinely sought by the DWP and this almost certainly has led to the current situation where there is a lack of reliable management information.
- 4.10** In line with DWP's new burdens doctrine, LA's receive an agreed payment to help mitigate the financial impact of the administration involved with the transfer of counter-fraud work to FES.
- 4.11** When the funding data analysed in respect of the 27 local authorities that recorded referral data, for the period 1 July 2014 to 31 May 2016, the review found a disproportionate amount of funding was provided to local authorities per case referred.

- 4.12** As the current funding methodology does not take account of the number of cases referred, or the quality of referrals received by FES, the review considers that this approach is financially detrimental to LA's that are referring more cases, and could act as a disincentive, as the amount of resource required to manage the referral process would be significantly greater than in local authorities that refer fewer cases.
- 4.13** In order to encourage high quality referrals, and ensure that LA's are being appropriately funded, DWP should consider reviewing the funding methodology to take account of the actual number of referrals made per local authority that meet a pre-defined and agreed quality standard, that are subsequently accepted for compliance or investigation.
- 4.14** There should be an agreed minimum standard for fraud referrals between the two organisations
- 4.15** UK local agreement should be reviewed and updated to ensure key performance indicators are relevant and achievable
- 4.16** The WDC Corporate Fraud team carry out a number of good practice measures such as:
- Having a fraud officer review all the referrals that are referred to SFIS to ensure they contain the evidence for a viable case;
  - Give cognisance to the DWP tariff levels for prosecution cases of £5,000 and Admin Penalties between £3,000-£5,000, therefore if the case is unlikely to exceed £3000 the case will not be referred but any changes notified to the benefits team who will adjudicate and instigate overpayment recovery. This reduces the number of unsuitable cases for DWP; and
  - WDC will consider HB cases for prosecution if CTRS is also in payment and the DWP benefit is not a pass-ported one and the overpayment is less than £3,000.
- 4.17** Additionally WDC embarked on a joint working Pilot with the DWP, the only LA in Scotland to participate in joint investigations of HB and Council tax reduction, in November 2015. Initially this was for a six month period but the success of the Pilot has meant the arrangement has continued.
- 4.18** The objective of the pilot was to show that joint work can reduce time and money on investigative work, leading to sharing of evidence gathering duties and a single "Interview Under Caution" leading to better customer experience and joint submissions to the Procurator Fiscal.
- 4.19** The very nature of joint working links in with the report's recommendation for LA's and FES to work together and to an agreed quality standard. This is currently done by way of the Joint Investigation Process.

**4.20** The pilot was to be launched nationally in March 2017, however, there has been a delay due to legal issues, nevertheless can be considered a vital tool in good practice.

## **5. Personnel Implications**

**4.2** There are no personnel implications

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

**6.1** As advised above DWP are providing interim funding – through the additional burdens methodology - If this methodology is changed this may affect the amount of additional burden funding West Dunbartonshire Council receives in future years.

## **7. Risk Analysis**

**7.1** The report highlights the importance of getting the methodology of working between LA's and FES right to ensure maximum impact on fraudsters as currently, overpayments are on the increase and sanction action has dropped significantly. Failure to get this right will have a detrimental impact on the public purse and possible reputational damage for both organisations.

**7.2** It is the experience of WDC that the key points that have to be addressed to ensure the effective collaboration between DWP and LA's relies on:

- an overhaul of the DWP risk assessment process;
- additional training for fraud investigators on the complexity of housing benefit cases and the many factors that affect entitlement;
- a fit for purpose management reporting system that can identify and track referrals which will enable analysis of any failures in the system; and
- launch a publicity campaign to make the public aware the DWP are now responsible for investigating Housing Benefit as the public know that LA's no longer have that responsibility.

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

**8.1** An Equalities Impact Screening was carried out which revealed no relevant issues.

## **9. Consultation**

**9.1** The report has been subject to consultation with appropriate Strategic Leads.

## **10. Strategic Assessment**

- 10.1** This report relates to “Strong financial governance and sustainable budget management”.

**Stephen West**  
**Strategic Lead - Resources**  
**Date: 22 May 2017**

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**Appendix:** Appendix 1: Accounts Commission Report: *A Review of Housing Benefit Fraud Investigation Liaison Arrangements in Scotland*

**Background Papers:** None

**Wards Affected:** N/A

# A review of housing benefit fraud investigation liaison arrangements in Scotland

ACCOUNTS COMMISSION 

Prepared by Audit Scotland  
December 2016

**Audit Scotland is a statutory body set up in April 2000 under the Public Finance and Accountability (Scotland) Act 2000. We help the Auditor General for Scotland and the Accounts Commission check that organisations spending public money use it properly, efficiently and effectively.**



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# Executive summary

1. The Department for Work and Pensions (DWP) recently estimated that overpayments of housing benefit (HB) due to fraud and error increased between 2014/15 and 2015/16 from 5.3% to 6% of HB expenditure. This amounts to a rise in monetary terms from £1.28 billion to £1.46 billion, the highest rate recorded.
2. The prevention, detection and investigation of fraudulent HB claims are important aspects of a secure and effective benefit service. Counter-fraud activities help to protect public funds by ensuring that fraudulent claims are identified and sanctions are applied where appropriate.
3. Since November 2007, Scottish local authority HB counter-fraud arrangements have been reviewed as part of Audit Scotland's HB risk assessment process. This report provides the findings from a review of the efficacy of the arrangements between local authorities and DWP since the responsibility for HB counter-fraud work transferred from local authorities to DWP's Fraud and Error Service (FES).
4. This process commenced in July 2014 and concluded in March 2016, and our report is intended to highlight areas of good practice, while identifying issues affecting performance, and recommending where improvements could be made. The key messages from our review are as follows:
  - There is generally good liaison between local authorities and FES, particularly where the local authority previously employed the investigator.
  - There is a risk that the current process does not provide sufficient assurance that public funds administered by local authorities are being protected as:
    - potentially fraudulent claims are not always being dealt with appropriately
    - fraudulent claimants are not always being subject to sanction or prosecution action
    - fraudulent overpayments are not consistently being created and recovered, where appropriate.
  - Performance against the performance indicators contained within the UK 'Local agreement' is not being routinely recorded, monitored, and reported by FES or local authorities.
  - There is no standard approach for local authorities, using internal IT systems, or via DWP's Fraud Referral and Incident Management System (FRAIMS), to record and monitor the progress of fraud referrals sent to FES, and consequently there is a lack of management information nationally and locally that could be used to:
    - measure the outcomes from local authority fraud referrals
    - determine the effectiveness of the fraud referral process against UK performance indicators

- help identify and resolve recurring issues
- highlight good practice.
- As part of the review of management information, the effectiveness of the new arrangements in respect of the number of local authority referrals that result in a referral to the Procurator Fiscal should be undertaken. Analysis of the questionnaire data suggests that numbers have declined significantly since responsibility transferred to DWP.
- The UK fraud referral form should be reviewed and updated to ensure that it captures a minimum level of information to allow DWP's Central Referral Services (CRS) staff to make a fully informed decision on appropriate further action.
- Local authority decision makers need to provide clear guidance to FES on what information is required to allow an HB overpayment decision and calculation to be made.
- In order to encourage high quality referrals, and ensure that local authorities are being suitably funded, DWP should consider reviewing the funding methodology to take account of the number of referrals made that meet a pre-defined and agreed quality standard, that are subsequently accepted for compliance or investigation action.
- DWP and local authorities in Scotland are committed to delivering process improvements and changes to procedures, and to implementing a structured and regular approach to local liaison. These activities included the establishment of the HB Fraud Issues Progression Group (HBFIPG) as a forum to discuss, prioritise and resolve issues.
- In addition, a FES seminar was held for Scottish local authorities in July 2016 with a view to understanding and addressing the issues that were affecting performance, and developing a strategy for improved liaison and joint working.

## Background

5. The Local Government in Scotland Act 2003 introduced statutory duties relating to Best Value and Community Planning. The key objective of this review is to determine the extent to which benefit services are meeting their obligations to achieve continuous improvement in respect of HB counter fraud activities. Information for this review was gathered from officers in Scottish councils and the DWP.

### Development and pilots

6. In 2010, the joint DWP/HM Revenues and Customs (HMRC) fraud and error strategy proposed a Single Fraud Investigation Service (SFIS) to address fraud across all benefits and tax credits, whether administered by DWP, HMRC, or local authorities. The main objective of

the policy was to ensure that all types of social security benefit and tax credit fraud are investigated according to a single set of guidance and priorities.

7. In preparation for this change, in early 2013 a number of local authority pilots in the UK, which included Glasgow City Council, tested a variety of partnership approaches and a single set of policies and procedures in order to identify the best delivery model. The pilots also tested the different attributes of the service, including how SFIS worked in a Universal Credit environment, and how it worked as part of counter-fraud processes to help combat crime.
8. As a result of the success of these pilots, in the 2013 Autumn Statement, the Chancellor of the Exchequer formally announced the formation of SFIS (now FES), under the auspices of the DWP, with responsibility for investigating HB fraud and tax credit fraud. Previously, local authorities and HMRC were responsible for these investigations. The Crown Prosecution Service in England and Wales and the Procurator Fiscal in Scotland conduct prosecutions arising from fraud investigations.

## FES objectives

9. The main objectives of FES are to:
  - operate under a single policy and set of operational procedures for investigating all welfare benefit fraud
  - conduct single investigations covering all welfare benefit fraud
  - rationalise existing investigation and prosecution policies in order to create a more coherent investigation service that is joined up, efficient, and operates in a more consistent and fair manner, taking into account all offences that are committed
  - enhance closer working between DWP, HMRC and local authorities, and bringing together the combined expertise of all three services drawing on the best practices of each
  - support the fraud and error integrated strategy of preventing fraud and error getting into the benefit system by detecting and correcting fraud and punishing and deterring those who have committed fraud.
10. The transfer of counter-fraud work from local authorities commenced nationally in July 2014 and concluded in March 2016 (see *Appendix 1*). In total, over 70 local authority fraud investigation staff also transferred to DWP during this period, and since March 2016, FES has conducted single welfare benefit fraud investigations to one set of policies and procedures for all local authorities.

## Current arrangements

11. While local authorities have not been conducting HB fraud investigations since March 2016, there remains an ongoing need for close working with FES in respect of the exchange of data.

Local authorities can refer cases to FES for investigation and, when a case is accepted, will be required to provide FES with evidence, such as copies of claim forms and other supporting documentation.

12. When a fraud or error has been established, local authorities may also be asked to provide FES with details of the amount of overpayment that has arisen as a result, attend court if required, and take appropriate action to recover the HB overpayment.
13. In addition, FES are required to provide the local authority with information to allow them to monitor the progress of an investigation, and to take appropriate action as required, for example, to suspend a claim.
14. The requirements of the exchange of data are set out in the UK local agreement, which was agreed and signed by FES and local authorities as part of the transfer of responsibility for HB fraud investigations to DWP. The local agreement contains ten key performance indicators, the name of a single point of contact (SPOC) for each organisation, and details of the escalation route to address any issues.

## Funding

15. Local authorities receive subsidy payments from DWP at the end of each financial year in order to reclaim most of the HB paid to claimants. For overpayments of HB due to fraud or claimant error, local authorities receive 40% of the value paid. For overpayments due to local authority error, subsidy is paid at a rate between 0% and 100%.
16. In line with DWP's new burdens doctrine, local authorities receive an agreed payment to help mitigate the financial impact of the administration involved with the transfer of counter-fraud work to FES. In 2014/15, all Scottish local authorities where counter-fraud work transferred to FES between 1 July 2014 and 31 March 2015 were paid an amount dependant on the proportionate average size of the local authority HB caseload (based on the previous 12 months), and the number of months between the 'go live' date and the end of the financial year.
17. As 2014/15 was the first year of transfer, all local authorities that did not transfer during the year received a one off payment of £562 towards costs relating to human resource or other miscellaneous activity arising from the transfer project.
18. In 2015/16, payments to local authorities were based on the same methodology as the previous year, but also took into account DWP's expectation that 77,000 referrals would be made to FES from across the UK during the year.
19. In 2016/17, payments to local authorities were based on the same methodology as the previous year but also took account of FES management information for 2015/16 when 40,538 referrals were received by FES, from across the UK.

20. However, following discussions with local authority representatives, it was agreed that the number of referrals was lower than expected as local authorities adopted and became familiar with new processes. Consequently, the number of referrals used to calculate the new burdens payment for 2016/17 was increased to 45,000.
21. When we analysed the funding data in respect of the 27 local authorities that recorded referral data, for the period 1 July 2014 to 31 May 2016, we found a disproportionate amount of funding was provided to local authorities per case referred as detailed in Exhibit 1 below.

<b>Exhibit 1: New burdens payments 1 July 2014 to 31 May 2016</b>			
	<b>Number of cases referred</b>	<b>Amount of subsidy received</b>	<b>Subsidy per referral</b>
<b>All local authorities</b>	4,427	£297,324	£67
<b>Local authority A</b>	479	£9,772	£20
<b>Local authority B</b>	24	£2,417	£101
<b>Local authority C</b>	2	£2,525	£1,263

*Source: DWP subsidy circulars S9/2014, S8/2015 (revised), and S5/2016*

22. As the current funding methodology does not take account of the number of cases referred, or the quality of referrals received by FES, we consider that this approach is financially detrimental to authorities that are referring more cases, and could act as a disincentive, as the amount of resource required to manage the referral process would be significantly greater than in local authorities that refer fewer cases.
23. In order to encourage high quality referrals, and ensure that local authorities are being appropriately funded, DWP should consider reviewing the funding methodology to take account of the actual number of referrals made per local authority that meet a pre-defined and agreed quality standard, that are subsequently accepted for compliance or investigation action.

## Our work

24. In June 2016, Audit Scotland issued a questionnaire to each of the 32 Scottish local authorities in order to determine the effectiveness of the liaison arrangements. The questionnaire requested performance information, details of local good practice, local issues, and suggestions for improvement. To ensure a holistic approach, we also met with the FES Group Manager for Scotland and a FES Fraud team leader, and had discussions with senior officers from DWPs Housing Delivery Division.

25. Since we commenced our study, it is acknowledged that DWP had recognised that the current arrangements were not effective overall, had identified, and was working on a number of activities to address the issues in order to improve performance and procedures.
26. These activities included the establishment of the HB Fraud Issues Progression Group (HBFIPG) as a forum to discuss, prioritise and resolve issues, including changes and recommendations arising from previous reviews of the HB counter-fraud process, and commissioning its Performance Development Team (PDT) to produce reports on:
  - the issues associated with the rollout of FES
  - a review of the end-to-end fraud referral process.
27. In addition, a FES seminar was held for Scottish local authorities in July 2016 with a view to understanding and addressing the issues that were affecting performance, and developing a strategy for improved liaison and joint working.
28. As outcomes, the reports produced by the PDT provided a number of recommendations, which DWP are taking forward through the HBFIPG, and FES (Scotland) has established a programme of liaison meetings as the platform for raising issues and the sharing of good practice. As a minimum, a DWP and a local authority representative from each District (North, East, West and Central) will attend these meetings.
29. This report is therefore intended to complement and support the work of DWP and our findings and recommendations are set out below.

# Findings

## Good practices

30. A number of working practices, which have helped improve efficiency and effectiveness, have been introduced in some local authorities. These include:
  - Dundee City Council monitors and tracks the electronic local authority information exchange form (LAIEF) between the local authority and FES on their benefits workflow system. The council has also been working closely with FES officers, and has provided training to local FES staff in order to help improve FES and local authority processes.
  - A separate team in Glasgow City Council deal with all adjudications. This allows learning from previous adjudications that may be similar. This team also attend court, as required, and there is a dedicated administrator who works with the local authority's decision makers.
  - A senior HB officer at Inverclyde Council vets all referrals before submission to FES to ensure they would have reached the standard for investigation by the local authority.

- Aberdeen City Council fraud officers input the date the case was opened by FES on the LAIEF in order to monitor progress of an investigation.
- The Scottish Borders Council is considering providing access to the local authority benefits IT system for its ex-fraud officers that transferred to FES. This would allow these officers to gather evidence for investigations independently. The local authority is also setting up sessions for FES officers to provide local authority staff with fraud and compliance awareness training.

## Key issues and areas for improvement

31. A number of recurring issues and suggested improvements to the fraud referral process and the measurement of outcomes were identified during this review.
32. As previously mentioned, the FES (Scotland) seminar in July 2016, which was well attended by Scottish local authorities, was held in recognition of the need to improve the relationship between DWP and local authorities, and to identify areas for improvement in order to deliver a more cohesive investigation process across Scotland.
33. The types of issues raised in response to our questionnaire included:
  - cases being closed or transferred to DWP's compliance team for non-criminal action without local authorities being informed, and investigation outcomes not being provided resulting in local authorities not knowing if customers had been sanctioned or prosecuted
  - the lack of sufficient information provided to local authorities to allow adjudication officers to make robust overpayment decisions
  - issues when sending supporting documentation by e-mail as size restrictions mean that documentation cannot always be sent in one e-mail. This provides additional work for FES who need to ensure that separate emails in respect of the same referral are identified and collated
  - local authorities being asked to provide FES with all 'relevant' information when it is not clear what FES considers to be relevant
  - a lack of regular liaison meetings between local authorities and FES to discuss policy and operational matters
  - the LAIEF document does not include the space or functionality to allow local authorities to update relevant sections
  - referrals being lost by FES resulting in additional workloads and cost for local authorities to re-refer the case, and the potential increase in any resultant overpayment.
34. The following section looks in detail at the fraud referral process and the local agreement, which contains the key performance measures that set the parameters for joint working.



## The referral process

35. In order to ensure a consistent approach, FES and each local authority nominate a SPOC to manage the fraud referral and investigation process. In local authorities the SPOC is responsible for ensuring that a fraud referral and supporting evidence is submitted to FES in the prescribed manner, responding to FES enquiries, and ensuring that appropriate action is taken at the conclusion of investigation or compliance activity. In FES, the SPOC is the person that the local authority would contact if there was a query, or an issue to be resolved.
36. Generally, where there is an allegation that an HB claim is potentially fraudulent and the local authority has sufficient information to support an investigation, a standard fraud referral form is completed and e-mailed to a dedicated FES email account. When received by FES, the local authority receives an automated response from the FRAIMS system acknowledging receipt.
37. Once received, DWPs Central Referral Services (CRS) carries out checks on DWP systems to provide as much background information as possible to enhance the referral. These checks include:
  - establishing if the customer is in receipt of benefit
  - the value of any potential overpayment
  - whether there has been a previous fraud
  - details of the household composition.
38. As part of this process, CRS complete a 'routing minute', which contains the details of the allegation from the fraud referral form and background information from the referral enhancement checks of DWP systems. This process allows CRS officers to make a routing decision based on the potential value of the overpayment as follows:
  - Generally, where the potential overpayment is less than £2,000, the case is routed to the FES Compliance (non-criminal) team.
  - Where the potential overpayment is £2,000 or above, or less than £2,000 and where there is fraudulent intent and/or it is a repeat offence, the case is routed to FES Local Service Investigation (LSI) to conduct a criminal investigation.
  - Where there is insufficient information to support either criminal or non-criminal action, the case is closed on the FRAIMS system and removed after 14 weeks as part of a data cleansing routine.
39. Once the routing process is complete, the electronic LAIEF is used by FES to keep the local authority informed on the progress of a referral, to request further information, as appropriate, and to advise the local authority on the outcome at the conclusion of investigation or compliance activity. The LAIEF is also used by the local authority to provide FES with HB information throughout the course of an investigation.

## FES Local Service Compliance

40. FES Local Service Compliance teams carry out face-to-face interviews with customers where the level of potential fraud is less than £2,000, or there is insufficient evidence or extenuating circumstances that would not support a prosecution or administrative penalty.
41. The compliance interview is not a criminal investigation and therefore not carried out under caution. The purpose of the interview is to:
  - ensure that the customer is receiving the correct benefit entitlement
  - obtain the necessary information to enable a potential overpayment/underpayment to be calculated
  - establish the causes of the potential overpayment/underpayment
  - advise the customer how to stop any future overpayment/underpayment from recurring
  - explain the possible consequences of not complying in future, where appropriate.
42. Where it has been established following a compliance interview that there has been a failure to report a change of circumstances, where there is an HB implication, the information is referred to local authority decision makers, to create an overpayment and initiate recovery action, as appropriate.

## FES Local Service Investigations

43. Where the potential fraud is £2,000 or more, and/or where there is fraudulent intent, and/or it is a repeat offence, a fraud referral will be dealt with by FES local service investigation officers. These staff are highly trained in fraud investigation techniques and carry out interviews under caution. Where fraud is established a customer could be sanctioned or prosecuted.

### Recommendations for improvement

- |   |  |
|---|--|
| 1 | The fraud referral form should be reviewed and updated to ensure it captures all relevant information at the point of completion. This should include the name of the local authority sending the referral, the amount of the potential fraud, and the full contact details of the SPOC.   |
| 2 | Local authorities and FES should work together to define and agree a minimum quality standard for local authority fraud referrals, and to ensure that the SPOC is fully trained to deliver this standard. In addition, local authorities and FES should develop a programme of management checks to ensure that only high quality referrals are sent to FES. |
| 3 | Local authorities and FES should establish a more robust method for recording and monitoring referrals, the outcomes, and the exchange of information between both   |

### Recommendations for improvement

- |   |  |
|---|--|
| 4 | <p>organisations that provides for a complete audit trail of actions taken that is open to scrutiny.</p> <p>In HB only cases, where an overpayment is estimated to be less than £2,000, and the local authority has the required level of evidence to support this, in consultation with FES, consideration should be given as to whether the action to create and recover the overpayment is best placed with the local authority, therefore reducing the number of cases referred for compliance action.</p> |
|---|--|

## Local agreement

44. The local agreement has six key performance indicators for local authority activity that FES should be monitoring, and four key performance indicators for FES activity that local authorities should be monitoring.
45. The aim of these performance indicators, which cover the end-to-end investigation process, is to provide for an efficient and effective relationship between each organisation to ensure that investigation and compliance activity is conducted in a professional and timeous manner. Exhibit 2 sets out the performance indicators in detail.

### Exhibit 2: Local agreement performance indicators

Local authority performance indicators	Timescale
<b>Local authority</b> - CRS referral routing	Within five working days
<b>Local authority</b> - during case build, respond to requests for claim forms etc. prior to Interview Under Caution (IUC)	Within 10 working days
<b>Local authority</b> - during an investigation, where identified, inform FES of changes to entitlement to HB or council tax reduction	Within two working days
<b>Local authority</b> - following IUC, respond to requests for further information, for cases appropriate for prosecution action	Within 10 working days
<b>Local authority</b> - during an investigation, inform FES of the amount of any overpayment which will include any underlying entitlement	Within 10 working days
<b>Local authority</b> - consider offering an Administrative Penalty as an alternative to prosecution and advise FES of the decision	Within 10 working days
<b>FES performance indicators</b>	
<b>DWP</b> - FES investigator to inform local authority of decision to investigate	Within two working days

**Exhibit 2: Local agreement performance indicators**

<b>DWP</b> - FES to contact local authority for consideration of claim suspension	Within two working days of establishing factual evidence
<b>DWP</b> - FES to advise the local authority of the outcome of an Administrative Penalty offer	Within five working days
<b>DWP</b> - FES to notify the local authority of the outcome at the conclusion of the investigation	Within five working days

46. In order to monitor these performance indicators, local authorities and FES should have procedures and systems in place to ensure that the recording of referrals to FES is consistent and robust, and that regular monitoring is carried out to ensure compliance. However, from our analysis of the returned questionnaires from the 32 Scottish local authorities, and our discussions with FES (Scotland) senior management, it is clear that neither organisation is routinely recording or monitoring performance.
47. We were told by FES that the FRAIMS system is limited in respect of the management information that is available, and that it is not possible to determine FES or local authority performance against any of the performance indicators. In addition, although 27 of the 32 Scottish local authorities recorded the number of cases referred to FES, none had sufficient management information to determine local authority or FES performance against all of the indicators.
48. Consequently, our analysis is limited to the information provided by local authorities on our questionnaire in respect of the four performance indicators in the local agreement that FES should be meeting to keep them informed on the progress of a referral from receipt to outcome.

**Recommendation for improvement**

5	The UK local agreement should be reviewed and updated to ensure that performance indicators are relevant and achievable, and are recorded and routinely monitored to allow FES and local authorities to report on performance in a consistent and robust manner.
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**FES performance indicators**

49. It is acknowledged that our analysis provides an indication of performance from a local authority perspective and is not based on a complete dataset, as some local authorities did not capture the necessary performance information. However, as FES are currently unable to

provide any national MIS to challenge these figures, or provide performance from a FES perspective, we consider that our analysis is representative of the issues being experienced.

50. It also provides an opportunity for both organisations to learn and improve current processes and procedures to ensure that future performance management is robust, consistent and open to scrutiny. The recent recognition and significant work already carried out by DWP into the current arrangements supports these findings.

### FES investigator to inform the local authority of decision to investigate

51. The purpose of this performance indicator is to notify the local authority that an investigation has commenced which could lead to a sanction and/or overpayment. In notifying the local authority, it enables them to deal with any subsequent enquiries from the customer, and helps to ensure that a FES investigation is not compromised. In such cases, FES should send a LAIEF to the local authority within two working days of receiving the case.
52. In respect of the 32 local authorities that completed our questionnaire, a total of 4,427 referrals to FES were made between 1 July 2014 and 31 May 2016. Of these, we found that 16 local authorities were not fully capturing information in respect of this performance indicator and were unable to report on how many cases FES had advised of a decision to investigate within the required timeframe.
53. Details of performance against this indicator in respect of the 16 local authorities that recorded this information is provided at Exhibit 3 below.

**Exhibit 3: FES investigator to inform local authority of decision to investigate (within two working days from receipt of referral)**

	Number of cases	Number advised	Number advised within timescale
<b>2014/15</b>	1,599	191 (12%)	32 (17%)
<b>2015/16 (31 May 16)</b>	688	145 (21%)	17 (12%)
<b>Totals</b>	<b>2,287</b>	<b>336 (15%)</b>	<b>49 (15%)</b>

Source: Scottish local authorities

### FES to contact local authority for consideration of claim suspension

54. The purpose of this performance indicator is to request the local authority to suspend a claim under investigation within two working days of establishing factual evidence, to ensure that the local authority does not continue to pay HB where there is no entitlement. It is also important that FES provide the local authority with sufficient information in order to support a suspension request.

55. Details of performance against this indicator in respect of the five local authorities that recorded this information is provided at Exhibit 4 below.

**Exhibit 4: FES to contact local authority for consideration of claim suspension (within two working days of establishing factual evidence)**

	Number of cases	Number advised	Number advised within timescale
2014/15	Data not available	6	4 (67%)
2015/16 (31 May 2016)	Data not available	8	1 (13%)
<b>Totals</b>		<b>14</b>	<b>5 (36%)</b>

Source: Scottish local authorities

56. In the period 1 July 2014 to 31 May 2016, analysis of the questionnaire returns from the 32 Scottish local authorities showed that 4,427 cases had been referred to FES. It is therefore unlikely that in only 14 cases (0.3%) FES had contacted the local authority to suspend a claim.
57. However, as there is no record of the date that FES had established factual evidence on the LAIEF, and FES and local authorities are not routinely recording this information, this performance indicator cannot be accurately measured.

**FES to advise local authority of the outcome of an administrative penalty offer**

58. The purpose of this performance indicator is to provide the local authority with sufficient information to determine the impact on a customer's HB claim in the event that fraud has been established by FES. This is particularly important as the local authority is required to pursue any subsequent HB overpayment, and early intervention would help the local authority to initiate recovery action in respect of the fraudulent overpayment and the administrative penalty in a timely manner.
59. Full details of performance against this indicator in respect of the eight local authorities that recorded this information is provided at Exhibit 5 below.

**Exhibit 5: FES to advise the local authority of the outcome of an administrative penalty offer (within five working days)**

	Number of cases	Number advised	Number advised within timescale
2014/15	Data not available	98	41 (42%)
2015/16 (31 May 2016)	Data not available	8	4 (50%)

### Exhibit 5: FES to advise the local authority of the outcome of an administrative penalty offer (within five working days)

<b>Totals</b>		<b>106</b>	<b>45 (42%)</b>
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Source: Scottish local authorities

### FES to notify the local authority of the outcome at the conclusion of the case

60. This performance indicator provides the local authority with details of the outcome of an investigation in order for appropriate action to be taken. For example, to calculate and initiate the recovery of a fraudulent overpayment.
61. Full details of performance against this indicator in respect of the eight local authorities that recorded this information is provided at Exhibit 6 below.

### Exhibit 6: FES to notify local authority of the outcome at the conclusion of the investigation (within five working days)

	<b>Number of cases</b>	<b>Number advised</b>	<b>Number advised within timescale</b>
<b>2014/15</b>	Data not available	203	199 (98%)
<b>2015/16 (31 May 2016)</b>	Data not available	74	26 (35%)
<b>Totals</b>		<b>277</b>	<b>225 (81%)</b>

Source: Scottish local authorities

## Investigation outcomes

62. In order to compare the effect of the transfer of responsibility for HB counter-fraud work to FES in respect of fraud investigation outcomes, we asked each local authority to provide information on the number of cases referred to the Procurator Fiscal, and the number of administrative penalties offered in the last full financial year before responsibility transferred to FES. We also sought similar information from FES.
63. However, although the majority of local authorities provided this information, we were unable to establish the same details from FES and therefore a comparison was not possible. However, analysis of the questionnaire data suggests that numbers have declined significantly since responsibility transferred to FES.

### Recommendation for improvement

<b>6</b>	FES should seek to develop management information to determine the effectiveness of fraud investigations that it conducts on behalf of local authorities and consider
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**Recommendation for improvement**

reporting performance on a regular basis. Such information could include:

- the number and percentage of local authority referrals dealt with by Compliance that resulted in an overpayment
- the number and percentage of local authority referrals dealt with by Compliance that resulted in no further action
- the number and percentage of local authority referrals dealt with by Local Service Investigation that resulted in an administrative penalty
- the number and percentage of local authority referrals dealt with by Local Service Investigation that resulted in a prosecution.

# Endnotes

[Housing Benefit Good Practice Guide: Initiatives which deliver best value](#), Audit Scotland April 2016

[Benefit performance audit: Annual update 2015/16](#), Audit Scotland June 2016

[Review of housing benefit subsidy certification issues 2014/15](#), Audit Scotland January 2016

[Review of activity to reduce fraud and error in housing benefit](#), Audit Scotland September 2015

[Benefits performance audit: Annual Update 2014/15](#), Audit Scotland June 2015

[Review of auditors' housing benefit subsidy claim reported errors 2013/14](#), Audit Scotland, February 2015



# Appendix 1: Timetable of FES rollout in Scotland

64. The table below details the order that HB counter-fraud work was transferred from local authorities to FES.

Local authority	Date transferred
East Ayrshire	July 2014
Dumfries and Galloway	October 2014
South Ayrshire	October 2014
East Dunbartonshire	October 2014
North Lanarkshire	October 2014
Falkirk	October 2014
Glasgow	November 2014
South Lanarkshire	November 2014
Edinburgh	November 2014
East Lothian	November 2014
Fife	December 2014
North Ayrshire	February 2015
West Lothian	February 2015
Stirling	February 2015
Scottish Borders	March 2015
West Dunbartonshire	March 2015
Aberdeen City	April 2015
Aberdeenshire	May 2015
Angus	May 2015
Dundee	June 2015
Perth and Kinross	July 2015
Western Isles	July 2015

Local authority	Date transferred
Highland	August 2015
Moray	August 2015
Orkney	August 2015
Shetland	September 2015
Midlothian	October 2015
Argyll and Bute	October 2015
Clackmannanshire	October 2015
East Renfrewshire	December 2015
Inverclyde	February 2016
Renfrewshire	March 2016

**WEST DUNBARTONSHIRE COUNCIL****Report by Strategic Lead - Resources****Corporate Services Committee: 8 June 2017**

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**Subject: Update of Voluntary Grants 2016/17 and 2017/18****1. Purpose of Report**

- 1.1** The purpose of this report is to provide Members with an update as to of voluntary grants approved by WDCVS in 2016/17 in respect of Community Chest, Playscheme, Cultural, and Social Transport Support Funding Grants. The report also provides information on the position regarding the Trust Funds held by the Council, the Dumbarton Common Good Fund and the Provosts Fund.

**2. Recommendations**

- 2.1** The Committee is asked to:

- i) Note the position of the grants paid out by WDCVS and Dumbarton Common Good in 2016/17;
- ii) Agree the return to the Council of the £29,154 of unspent funding paid to WDCVS in 2016/17; and
- iii) Approve the transfer of £3,000 from the 2017/18 grants budget to the Provost's Fund to reinstate the level to £3,000.

**3. Background**

- 3.1** The Corporate Services Committee in March 2007 agreed that a report be brought to Committee after each year-end, giving information regarding the grants approved during the financial year.
- 3.2** Community Chest, Playscheme, Cultural and Social Transport Support Grants are administered by West Dunbartonshire Community Volunteer Service (WDCVS). The Council continues to administer grants for Community Councils, Dumbarton Common Good, Trust Funds, and the older peoples grant payments.
- 3.3** The Provosts Fund was established in 1953 as the Burgh of Clydebank Provost Fund and in November 1998 it was determined that the Fund may be used to cover the whole of West Dunbartonshire.
- 3.4** At the Community Health and Care Partnership Committee on the 15 May 2013, Members agreed that with effect from 1 September 2013 the Social Transport Support Grants should be administered by WDCVS.

3.5 During 2016/17, the total budgets available and the amounts paid out in grants are noted below:

<b>Group Type</b>	<b>Total Budget</b>	<b>Spend</b>
Community Chest/Cultural/Playscheme	£61,591	£60,916
Social Transport Support	£138,409	£109,930
Dumbarton Common Good	£166,931	£160,079
Provosts Fund	£3,000	£3,000
<b>Total</b>	<b>£369,931</b>	<b>£333,925</b>

3.6 This report summarises the output and benefits to the community on the grants allocated during 2016/17, the first five types of grant are administered by WDCVS throughout the year:

- Community Chest
- Cultural
- Playscheme
- Social Transport Support
- Dumbarton Common Good
- Trust Funds
- Provosts Fund

#### 4. Main Issues

##### 4.1 Community Chest/Cultural/Playscheme

Grants totalling £60,916 were awarded in 2016/17 as detailed and analysed in Appendix A by:

- Grant applicant/purpose of grant;
- Grants by group type;
- Council area in which the groups are primarily based;
- Grants by spend type; and
- Value of award.

4.2 The 2016/17 budget was set at £61,591 and was paid to WDCVS to administer. WDCVS has awarded £60,916 in grant funding to organisations as noted in Appendix A, leaving £675 unspent.

4.3 In addition to the above, a number of organisations submitted funding applications and were referred by WDCVS to other funders. As a result of this a further £214,855 of applications for funding was supported by WDCVS by re-routing applications to other sources as noted in Appendix B.

4.4 All applications received by WDCVS were granted funding from either Community Chest Grants or alternative funders (e.g. Awards for All, Voluntary Action Fund and Pastoral Care Trust).

#### **4.5 Social Transport Funding**

£138,409 of funding was passed to WDCVS to administer. 54 organisations received funding and grants totalling £109,930, leaving £28,479 unspent, as detailed in Appendix C.

#### **4.6 Dumbarton Common Good**

Eight organisations benefited from funding from the Dumbarton Common Good Fund totalling £160,079, as detailed in Appendix D.

#### **4.7 Trust Fund Grants**

Following approval at Council on 16 December 2015 and OSCR thereafter, governance arrangements for the trust funds have been updated. During 2016/17, two Trust funds were disbursed in full (totalling £18,005), as detailed in Appendix D, with all other Trust Funds being advertised requests for grant applications.

#### **4.8 Provosts Fund**

The balance on the Fund as at 31 March 2017 is nil, with £3,000 having been distributed in 2016/17 as listed in Appendix E. It is recommended that, based on previous practice, the balance on this fund should be reinstated to £3,000 with the £3,000 required being funded from the general grants budget thereby reducing the amount available to be administered by WDCVS for general grant allocation in 2017/18.

### **5. People Implications**

5.1 There are no people implications.

### **6. Financial implications**

6.1 WDCVS paid out grants totalling £170,846 (£60,916 on Community Chest grants, £109,930 on Social Transport) during 2016/17. The full 2016/17 budget was £200,000 which leaves a balance of £29,154 unspent. It is recommended that this underspend should be returned to the Council.

### **7. Risk Analysis**

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

### **8. Equalities Impact Assessment**

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

## **9. Strategic Assessment**

- 9.1** 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 Councils Strategic Plan.
- 9.2** Payment of voluntary grants contributes to improvements in life changes for children and young people, care for elderly and the wellbeing of communities.

**Stephen West**  
**Strategic Lead, Resources**  
**Date: 26 May 2017**

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**Person to Contact:** Jackie Allison, Finance Business Partner,  
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**Appendices:**

- Appendix A: Breakdown of Community Chest, Cultural & Playscheme Grants 2016/17
- Appendix B: Organisations Supported by WDCVS to attract external funding in 2016/17
- Appendix C: Breakdown of Social Transport Grants 2016/17
- Appendix D: Breakdown of Dumbaron Common Good Grants 2016/17 and Breakdown of trust Fund Grants 2016/17
- Appendix E: Provosts Fund Account for the period 1 April to 31 March 2017

**Background Papers:** Grant application summary information  
Individual group grant applications  
Equality Impact: Screening and Assessment Form

**Wards Affected:** All wards

**Community Chest Grant Scheme  
2016/17**

**Sum allocated by WDCVS Management £61,591**

	<i>Purpose</i>	<i>Award Made</i>
South Drumry Neighbourhood Ass	Community Facility	£13,320.00
Double L Centre	Community Facility	£6,500.00
Clydebank Group Holidays	Holiday provision	£2,510.00
Age Concern Dumbarton	Running Costs	£5,000.00
Crosslet Centre	Community Facility	£5,000.00
Women Moving On	Hall Rental	£460.00
Dumbarton & District Womens Aid	Playscheme	£1,130.00
DDDCF	Playscheme	£1,351.00
Bankie Talk	Running Costs	£3,742.00
WDEMA	Running Costs	£2,000.00
Gareloch Riding for the Disabled	Running Costs	£1,500.00
WD Community Care Forum	Running Costs	£400.00
Linnvale Lifelong Learners	Running Costs	£1,203.00
Dalmonach CC Group	Community Facility	£1,000.00
Dumbarton West Out of School Care	Running Costs	£5,000.00
Silver Sunday	Project	£450.00
WD Sports Council	Running Costs	£5,500.00
WD Epilepsy Support Group	Project	£300.00
Music in Hospitals	Running Costs	£500.00
Lomond & Clyde Care and Repair	Project	£1,800.00
Clydebank Blitz Memorial Group	Project	£2,000.00
Dumbarton Stations Improvement Trust	Running Costs	£250.00
		<b>£60,916.00</b>

**Grants By Category**

<b>Grants Given By Category</b>	<b>Amount</b>	<b>% of Total</b>
Disability/Care Organisations	£7,742	13%
Community Facilities	£25,820	42%
Older People	£5,950	10%
Playschemes/Childcare	£7,481	12%
Sport	£5,500	9%
Justice/Equalities	£4,970	8%
Leisure/Recreation	£3,453	6%
	<b>£60,916</b>	<b>100%</b>

**Grants Given By Area**

Dumbarton	£15,250	25%
Clydebank	£29,275	48%
Vale of Leven	£2,590	4%
Milton/Bowling/OK	£0	0%
WD wide	£13,801	23%
	<b>£60,916</b>	<b>100%</b>

**Grants by Purpose - Spend Type**

Community Facility	£25,820.00	42%
Hall Rental	£460.00	1%
Holiday provision	£2,510.00	4%
Playscheme	£2,481.00	4%
Project	£4,550.00	8%
Running Costs	£25,095.00	41%
	<b>£60,916.00</b>	<b>100%</b>

**Grants by Value of Award**

£5,000 and above	£40,320.00	66%
Between £500 and £4,999	£18,736.00	31%
Below £500	£1,860.00	3%
	<b>£60,916.00</b>	<b>100%</b>



**Potential Applications Re-routed to Alternative Funding**

**Applications By Category:**

Disability/Care Organisations	£34,110.00
Community Facilities	£16,750.00
Older People	£36,702.00
Playschemes/Childcare	£13,426.00
Sport	£22,196.00
Justice/Equalities	£8,450.00
Leisure/Recreation	£83,221.00
	<b>£214,855.00</b>

## Social Transport Grant Scheme Awards 2016/17

<b>Group Name</b>	<b>Amount</b>
3D Group	£3,500
Access Panel	£3,000
Clydebank Forum on Disability	£1,000
Clydebank Dis MS Society	£2,500
Clydebank Special NF	£8,000
Get Up and Go Youth Group	£5,750
St Eunans Disabled Club	£5,000
Vale of Leven Arthritis Club	£4,000
Clydebank Stroke Club	£5,500
Dumbarton & District MS	£3,000
Dumbarton & Vale Womens	£2,500
Manage Your Pain	£2,500
Open Door	£2,500
Phin Club	£7,000
Clyde Shopmobility	£2,500
Vipers	£1,200
50+ Walking Group	£1,000
130 Club	£500
Age Concern Vale of Leven/Dalmonach Caravan (W)	£3,000
Arthritis Care Clydebank	£750
Clydebank Seniors Forum	£1,000
Dalmonach Disabled Club	£5,000
Levenvale Older People	£600
Over 50s/60s	£1,250
Focus	£275
Parkhall Mondays	£2,500
Parkhall Wednesdays	£1,250
Rockvale Rebound	£1,250
St Peters Disabled Ass	£4,500
Alexandria Gardening Club	£2,250
Clydebank Mentally Disabled	£1,500
OHR Seniors Citizens	£500
DDDCF	£2,000
Unity Enterprise	£2,500
Silverthreads	£500
Oakbank	£500
Royal Voluntary Service	£1,500
St Eunans Sen Citz Club	£800
BIEN	£1,000
Enable - VoL branch	£150
Age Concern Dumbarton	£600

## Appendix C

Alexandria Diabetes Group	£700
v-Befriend	£4,000
WD Ethnic Womens Group	£1,500
Bellsmyre Development Trust	£500
Kinship Carers WD	£2,000
Faifley Art Group	£130
St Joseph's Seniors	£375
Age Concern Vale of Leven	£500
WDEMA	£1,000
WD Community Care Forum	£150
Old Kilpatrick Tuesday Club	£250
Tuesday-Friday Seniors	£2,500
WD Epilepsy Support Group	£200
	<b>£109,930</b>

<b>Dumbarton Common Good Fund</b>		<b>Amount</b>
Alcoholics Anonymous	Rent and Running Costs	£8,378
Alternatives	Rent Costs	£5,000
Bellsmyre Digital Project	Running Costs/Equipment	£38,101
Bellsmyre Schools Out	Running Costs	£6,000
Dumbarton Senior Citizens	Outings/ Events	£2,600
Rockvale Rebound - Rent	Running Costs	£10,000
Scottish Maritime Museum	Running Costs	£50,000
West Dunbartonshire Citizen's Advice Bureau	Running Costs	£40,000
		<b>£160,079</b>

#### **Trust Funds Disbursed in full 2016/17**

<b>Trust Funds and Purpose</b>	<b>Disbursement</b>	<b>Amount</b>
Halkett Trust for the advancement of art by supporting painting activities and competitions within primary schools in the area	Disbursed to schools	£2,653
War Memorial Dumbarton Renovation of War Memorials	Disbursed to WDC Greenspace	£15,352
		<b>£18,005</b>

**Provost Fund Awards 2016/17**

<b>Group name</b>	<b>Amount</b>
The Kiltwalk	100.00
Mummers Theatre Group	600.00
Kilpatrick School Fund	100.00
Duntocher West Church	250.00
Oor Art Group	240.00
Clydebank Men's Shed	150.00
Goldenhill PS Parent Council	97.80
Armed Forces Day	200.00
St Joseph's Primary School Parent Council	200.00
Kilbowie Primary School	100.00
Mr Peter Crowe	100.00
Mr & Mrs McGowan	100.00
Kathleen Stewart	100.00
Concord User Group	200.00
Dalmuir Barclay Church	100.00
CDC Allstars	181.10
Scott Avenue Community Garden	181.10
	<b>3,000.00</b>



**WEST DUNBARTONSHIRE COUNCIL****Report by Strategic Lead – People and Technology****Corporate Services Committee: 7<sup>th</sup> June 2017**

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

- 1.1** The purpose of this report is to advise the Committee of the Council's workforce planning activity for 2017/18.

**2. Recommendations**

- 2.1** The Committee is asked to:

- Approve the Council Workforce Plan for 2017/18; and
- Note that the development of the Council Workforce Plan for 2017-22 will be developed in conjunction with the Council's Strategic Priorities for the same period. A report will be remitted to a future meeting of this committee.

**3. Background****3.1 Revised Strategic Workforce Planning Framework**

- 3.1.1** Following our commitment when presenting the 2016/17 Workforce Plan in July 2016, a review was undertaken to assess the Council's existing Workforce Planning Strategy and Framework and its implementation, covering the processes of developing, implementing and evaluating Workforce Plans in overall terms, and focussing, in particular, on improving the extent to which the Council fulfils the critical need of planning its workforce in the medium to long-term.
- 3.1.2** A revised Strategic Workforce Planning Framework has been developed which seeks to provide a mechanism whereby the Council can effectively undertake longer-term workforce planning in the face of future uncertainty, whilst ensuring an iterative process which allows those plans to be adapted over time if and when circumstances change.
- 3.1.3** The Framework is also being presented to this Committee for approval and it is intended that, following development of the Council's Strategic Plan for the period 2017-2022, it will be implemented in full to enable development of a Council-wide Workforce Plan (and accompanying Strategic Lead area plans) aligned to the same period.

### **3.2** 2016 Organisational Restructure

**3.2.1** Following the 2016 organisational restructure, the Council's workforce planning process is now integrated with the Strategic Lead area service planning process, with detailed workforce plans forming part of overall Strategic Lead area Delivery Plans.

Information captured last year provided a benchmark allowing comparison to be provided from this year onwards.

## **4. Main Issues**

**4.1** The Council Workforce Plan, attached at Appendix 1, links together many ongoing strategies and policies that impact on the number, make-up and skills profile of our workforce.

### **4.2** Workforce Plan Summary

The 2017/18 plan outlines the following:

- A description of the vision for our future workforce (see section 3 of the Plan);
- Current progress against key workforce priorities and issues identified within the 2016/17 Plan (as well as significant developments which have subsequently arisen), alongside current and proposed future actions in support of the vision for our future workforce (see section 4);
- A summary of the key actions to be progressed, at a Council-wide level, over the course of 2017/18 (see section 5);
- Information on the profile of the Council workforce as at 1<sup>st</sup> April 2017 and evidence of key changes in the workforce compared to the previous year. Actions will be taken forward in response to those changes which present an actual or potential future risk to the organisation (see Appendix A); and
- A high-level summary of the key priorities/issues and resource implications for each of the Strategic Lead areas (extracted from individual Strategic Lead area workforce plans) (see Appendix B).

### **4.3** Summary of Key Future Actions

- Implement the revised Strategic Workforce Planning Framework, producing a 5 year Workforce Plan, and resulting annual action plans, which ensure the provision of the right number of employees, with the right skills, to meet the organisation's current and longer-term future needs.
- Progress actions in relation to newly identified Council equality outcomes as related to the workforce, and following completion of the recent Equal Pay Audit.
- Finalise and implement the Employee Wellbeing Strategy.
- Deliver the 2017 Employee Survey and progress resulting improvement actions.



- Progress the succession planning process through further development of the pathway for internal talent management.
- Embed Be the Best Conversations in relation to workforce development.
- Develop and launch the New Manager's Induction programme.
- Review the Leadership Competencies.
- Launch an approach to Continuous Improvement.
- Maximise the learning and development budget to ensure value for money is directed at the Council's key priority areas.
- Support the Digital Transformation Strategy.
- Implement the Policy Development Framework, ensuring prioritised development and review of fit for purpose and fairly and consistently implemented policies and schemes.
- Continue to implement HR/Payroll transformation, including replacement of manual processes, development of the workforce management system (WMS), and greater self-service.
- Continue to contribute to national developments across a number of workforce streams.

#### 4.4 Workforce Profile

Where trend analysis is not provided below, the information is being reported for the first time.

- The workforce by headcount and full-time equivalent (excluding casual workers) has decreased when compared to 1<sup>st</sup> April 2016 (by 29 people and 109 FTE respectively).
- The Council has seen a decrease in total headcount by approximately 1% year on year since 2014. In terms of FTE, there was a 2% decrease in compared to 1<sup>st</sup> April 2016 (compared to a 1% decrease year on year since 2014).
- Whilst headcount and FTE has changed compared to 1<sup>st</sup> April 2016 as described above, there has been no significant change in the composition of the workforce by contract type (i.e. the proportion of the workforce employed on a permanent or fixed-term basis or as apprentices) since 2014 (when considered by headcount or FTE), remaining broadly the same as at 1<sup>st</sup> April 2016.
- The contracts of 71% of those employed on a fixed-term basis have an expiry date within the next 6 months, whilst 17% have been contracted on a fixed-term basis for more than 2 years.
- 47% of the workforce is employed on a part-time basis.
- The most populated grades amongst Local Government employees are Grade 3, followed by Grade 5. Main Grade Teacher is the most populated grade amongst Teachers.
- The gender balance remains broadly static in overall terms at (71.4% female and 28.6% male), with no change for Local Government employees and a slight increase in the proportion of female Teachers. As detailed in the Workforce Plan, actions are being identified to address gender (occupational) segregation in relation to particular roles.

- The composition of the workforce by age remains broadly unchanged compared to 1<sup>st</sup> April 2016. However, it is acknowledged that, in the longer-term, action will be required to address the challenge of an ageing workforce and the potential future risk of significant numbers of retirements.
- The Council has a retention rate for 2016/17 of 92% (93% for Local Government employees and 91% for Teachers).
- Crude turnover (based on all leavers) for 2016/17 was 8.6% (8.3% for Local Government employees and 9.8% for Teachers). Turnover is fairly static, with a 0.1% reduction in overall terms compared to 2015/16 (a 0.3% reduction for Local Government employees, and a 1.0% increase for Teachers).
- Whilst there has been a slight decrease in 2016/17, the number of employees leaving Council has been broadly consistent from 2013/14 onwards. In terms of the breakdown of leavers by reason, this is broadly comparable between 2016/17 and 2015/16.
- Whilst there was a slight increase in 2016/17, the number of employees joining the Council has been broadly consistent from 2013/14 onwards. In terms of the breakdown of new employees by contract type, this is broadly comparable between 2016/17 and 2015/16.
- 26% of the 252 employees who resigned during 2016/17 did so during their first year of employment (comprising 25% of resignations of Local Government employees and 30% of those amongst Teachers).

#### **4.5 Review and Future Development of Workforce Issues**

In line with the revised Strategic Workforce Planning Framework, Workforce Plans subsequently developed in line with the Council Strategic Plan for 2017-2022 (and corresponding action plans) will be subject to ongoing monitoring and evaluation to ensure that they are effective in delivering required outcomes and that they are responsive to any changes in circumstances which subsequently arise.

### **5. People Implications**

- 5.1** Integration of workforce planning within wider organisational planning processes ensures that workforce issues are effectively identified and addressed. This supports the Council's commitment to its employees in relation to all aspects of their employment, ensuring that employees' needs are met and that efficient and modern services are effectively delivered both now and in the future.

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

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

### **7. Risk Analysis**

- 7.1** A robust approach to workforce planning ensures that the Council identifies current and future needs in relation to the composition and development of

the workforce. This allows strategies and policies to be developed that ensure the continued delivery of best value services and meet External Audit requirements. Embedding workforce planning within the planning process for Strategic Lead areas and incorporating best employment practice will ensure that key issues affecting the workforce are identified at the earliest stage.

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

- 8.1** A full EIA is not required in relation to the Council Workforce Plan as individual assessments will be undertaken in relation to each area of work referred to in the Plan as it is progressed.

## **9. Consultation**

- 9.1** Trades Unions were consulted on the draft Council Workforce Plan through the 16<sup>th</sup> May 2017 meeting of the Employee Liaison Group. The draft Workforce Plan was also presented to the Performance & Monitoring Review Group for consultation on 23<sup>rd</sup> May 2017.

## **10. Strategic Assessment**

- 10.1** This report directly supports the Council's Strategic Priorities and Audit Improvement Plan.

### **Victoria Rogers**

Strategic Lead for People & Technology

Date: 17<sup>th</sup> May 2017

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<b>Person to Contact:</b>	Darren Paterson, Strategic HR Manager, Council Offices, Garshake Road, Dumbarton. Tel: 01389 737645. Email: <a href="mailto:darren.paterson@west-dunbarton.gov.uk">darren.paterson@west-dunbarton.gov.uk</a>
<b>Appendices:</b>	Appendix 1 – Council Workforce Plan
<b>Background Papers:</b>	Strategic Workforce Planning Framework Strategic Lead Delivery Plans (and incorporated Workforce Plans)
<b>Wards Affected:</b>	None





# **WORKFORCE PLAN**

**2017/18**

## 1. Introduction

The Council's current Strategic Plan outlines the key priorities during the period 2012 - 2017. The Strategic plan is supported by Delivery Plans for each Strategic Lead area detailing how they will contribute to the delivery of the Council's key priorities in the coming year. Outcomes are only achieved through the performance of employees. It is imperative, therefore, that the Council has the right people with the right skills in place.

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

This Council-wide Workforce Plan (and accompanying Strategic Lead area plans) has been produced pending further development of the Council's Strategic Plan for the period 2017-2022, at which point the newly revised Strategic Workforce Planning Framework will be implemented in full to develop a Council-wide Workforce Plan for 2017-22 (and accompanying Strategic Lead area plans).

## 2. Overview of Council

### 2.1 Functions and Remit

West Dunbartonshire Council provides a wide range of services to residents and communities. The Council is structured into three directorates:

- **Transformation & Public Sector Reform**, comprising the following Strategic Lead areas:
  - Communications, Culture & Communities –Libraries and Culture; Customer Services; Policy, Planning and Performance; and Corporate Communications.
  - Education, Learning & Attainment –comprises Early Learning, Primary, Secondary and ASN schools; Children's Services; Raising Attainment; Performance and Improvement; Workforce and Professional Learning; and Psychological Services.
  - People & Technology – Strategic HR; HR and Payroll transactional support; Organisational Development & Change; ICT; Health & Safety and Risk; and Organisational Resilience.
  - Regulatory – Legal Services; Democratic Services; Environmental Health and Trading Standards Services; Planning and Building Standards; and the Corporate Administration Service.
  - Resources – provides a range of services to both external and internal customers, including Accountancy; Treasury Management; Procurement; Business Support (including Revenues and Benefits Administration); and Internal Audit and Fraud.

- **Regeneration, Environment & Growth**, comprising the following Strategic Lead areas:
  - Environment & Neighbourhood –: Roads and Transportation; Fleet and Waste; Greenspace (including street cleansing); and Leisure and Facilities Management.
  - Housing & Employability – includes Housing and Community Safety; Working4U Service and the Communities Team.
  - Regeneration –Regeneration and Business Development; Corporate Asset Management; Capital Investment; Housing Maintenance and Repairs and Housing Capital Investment Programme.
- **West Dunbartonshire Health & Social Care Partnership** leads and manages a substantial range of NHS and Council Services bringing together both health and local authority responsibilities for community based health and social care services.

## 2.2 Council Structure

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

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

The services provided by the Council are diverse with some being statutorily required while others are discretionary. In addition, multi-agency partnership delivery of services is provided through the integrated Health and Social Care Partnership and the Council has a leadership role through the local Community Planning Partnership.

## 3. Our Future Workforce

### 3.1 Future Workforce Supply and Demand

Through the Strategic Workforce Planning Framework, we will ensure that our workforce is designed to meet current and future service need – planning for the long term in the face of uncertainty, while being alert and responsive to resulting previously unforeseen developments.

Recognising the anticipated funding gap over the period to 2021, and the fact that over half of general fund expenditure relates to our workforce, workforce-related savings will be unavoidable if gaps are to be closed. Where reductions in staffing levels are unavoidable, a planned approach is essential to ensure that we retain key knowledge and skills required to meet service needs. A fundamental precursor to any reduction is a systems review to eliminate duplication and unnecessary bureaucracy in processes.

With an anticipated future change in the age demographic of the workforce, we will reflect on role design and internal career pathways, particularly in relation to more physically demanding roles. We will ensure that we take action to improve availability of required talent within the local labour market, particularly in terms of attracting younger workers. This will include continuing to link with further and higher education partners, as well as continuing to provide apprenticeship programmes and internship placements linked to identified workforce planning requirements.

In order to compete for talent in the labour market, we will effectively promote the work that we do, and the strong public service ethos present amongst our workforce. In addition, we will seek to grow talent from within, wherever possible, adopting a process of succession planning, particularly in relation to 'critical roles'. We will ensure that we are able to retain key talent, being creative in providing rewarding career development opportunities.

We will also continue to explore opportunities to share workforce resources across organisations, to improve organisational resilience, efficiency and generate income.

### **3.2 Future Competency Requirements**

We need to continue to foster skills in:

- Creative problem solving, quality improvement, project and programme management and managing change;
- Synthesising skills (sorting evidence, analysis, making judgements, offering critique and being creative);
- Interpersonal skills (facilitation, empathy, political astuteness);
- Collaboration, 'boundary spanning', team working and peer review;
- Working co-productively with service users;
- Commerciality linked to better value for money and more effective contract management; and
- Use of new technologies.

We also need to continue to foster organisational citizenship behaviours, embedding a public service ethos across the workforce:

- Engaging with service users in a way that expresses their shared humanity;
- Adopting a solution-focussed, service user centric approach, being open and responsive, adaptable and flexible, and meeting unexpected situations with quick thinking and resourcefulness; and
- Being resilient, able to still behave with compassion in high-stress environments and to cope with emotional labour.

We will continue to develop our workforce through a range of learning approaches in addition to traditional face-to-face training (including coaching/mentoring, secondments, shadowing, action learning, eLearning, reflective practice etc.).

We will ensure that regular, effective 'Be the Best Conversations' become the norm, and that they form part of our wider talent management process. We will ensure that managers have a holistic understanding of their teams' development needs, workload and wellbeing; that people have clear, achievable performance objectives which include a focus on demonstration of both technical and behavioural competencies; and that managers provide regular feedback on performance, both recognising work well done, as well as having the confidence and competence to have 'difficult conversations' where these are required.



### **3.3 Future Leaders and Managers**

We need effective leaders and managers, who are appropriately selected, given the tools and authority to lead and manage, and held to account, in relation to both achievement of outcomes as well as application of the necessary skills and behaviours.

We require leaders who:

- Are able to 'navigate ambiguity to create a meaningful vision and strategy and to articulate this clearly to others in a way that creates followership';
- Are self-aware, emotionally intelligent, and possessed of a strong value base;
- Adopt a 'coaching approach', being prepared to give up some control and enable others to be effective; and
- Whilst risk aware, embrace change, 'balancing commercial awareness and financial acumen with a drive to keep residents at the heart of what they do'.

In addition to succession planning in relation to future leaders, we will focus on the development of those in existing positions of leadership recognising that people were often historically appointed to such roles on the basis of effectiveness within their particular professional discipline, rather than demonstration of leadership competency.

### **3.4 Future Ways of Working**

We will continue to explore improvements in the efficiency and effectiveness of service provision through better use of technology and new ways of working.

As part of our 'Workplace of the Future' strategy, we will continue to foster opportunities for flexible and mobile working styles, recognising the mutual benefit this presents to both the Council and its workforce. Effective implementation of these new working styles will require a high level of trust amongst managers, as well as new skills in managing a 'virtual team'.

We will ensure that new technology is introduced appropriately, particularly in terms of training, if it is to be used to maximum effect. We will also ensure that we take action to improve access to IT equipment and to support IT literacy.

### **3.5 Our Future Organisation**

We will ensure clear, effective and stable organisational structures, adopting a systems-based approach whereby the organisation is designed in a way that satisfies the needs of our citizens (rather than our own professional boundaries).

We will seek to foster increased commitment to a 'public service ethos' amongst our workforce, particularly amongst those in direct contact with our community. We want our workforce to feel like 'citizens of West Dunbartonshire' (and not just officers of the Council), empowered to 'get out of their professional silos' to fully resolve service user requirements wherever possible.

We will continue to encourage distributed leadership, empowering employees with greater opportunity to take initiative and make decisions in relation to the way they work. We recognise that all levels of the workforce can have positive ideas and contributions to make, and we will regularly engage with them and use their feedback to inform change. We will ensure that we reinforce and support the development of effective team working, recognising that this extends to working collaboratively across teams both internally and across partner organisations, communicating openly and honestly, acknowledging and addressing genuine pressures.

We will create the time and space required to enable a focus on continuous improvement and shared learning, to achieve the levels of transformational change required to effectively meet current and future challenges.

We recognise the importance of a healthy, engaged workforce, and the causal link with organisational performance. We will ensure that leaders acknowledge and embrace the critical role which they have in this regard. It is critical that change is managed effectively, ensuring that employees feel supported to adjust to the pace of change, including new skills and ways of working.

Our leaders will need to model and drive forward the changes required to achieve this desired culture, and we will need to embed our organisational values in everything we do.

## **4. Ensuring Our Future Workforce**

### **4.1 Council Objectives**

The Council's Strategic Plan 2012-2017 and supporting Strategic Lead area Delivery Plans set out our key priorities.

### **4.2 Workforce Issues**

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

Appendix B provides a summary of the key service priorities which have resource implications for the Council workforce. These priorities are detailed within individual Strategic Lead area workforce plans together with the actions which are planned or have been put in place to meet the delivery of Strategic Lead area key priorities. The following section details corporate and cross cutting initiatives that impact on the needs of the Council workforce and in the changing requirements of services.

### **4.3 Strategic Workforce Planning Framework**

It is recognised that a longer term approach is needed if the Council is to ensure not only that the organisation is equipped to meet immediate service needs, but also to proactively plan to meet future changing priorities and avoid the need for a reactive, crisis management approach.

The Strategic Workforce Planning Framework provides a mechanism whereby the Council can effectively undertake longer-term workforce planning in the face of future uncertainty, whilst ensuring an iterative process which allows those plans to be adapted over time if and when circumstances change.

As stated above, the Framework will be implemented following development of the Council's Strategic Plan for 2017-2022, to produce a revised Council-wide Workforce Plan (and resulting Strategic Lead area Plans) covering the same period. Those Plans (and corresponding initial action plans) will be subject to ongoing monitoring and evaluation to ensure that they are effective in delivering required outcomes and that they are responsive to any changes in circumstances which subsequently arise. Thereafter, an annual reporting mechanism will operate to allow progress to date to be reported, and for presentation of revised action plans for the forthcoming year.

#### **4.4 'Be the Best Conversations'**

The Council introduced the PDP framework to all employees in April 2011 with an agreement that the system would be reviewed after 5 years. By the end of 2016/17, 99.5% of employees had a PDP in place.

A qualitative review of PDP was undertaken during the last quarter of 2015/16, followed by focus groups and surveys during 2016/17. As a result, from April 2017 the Council replaced the existing PDP framework with 'Be the Best Conversations'.

The aim is to simplify and personalise a continuous cycle of 1-2-1s for all employees with their line manager, removing bureaucracy, end of year assessment markings, fixed timelines, set paperwork and 'box ticking'.

The new approach encourages regular 1-2-1s which fit with service delivery and the needs of individuals, supporting development and improvement, recognising achievements and addressing challenges on an ongoing basis.

#### **4.6 Workforce Development**

The Council continues to invest in e-learning, currently exploring opportunities to improve user experience and allow training histories and reporting to be available.

Face-to-face training continues to be delivered to support the strategic aims of the organisation. Induction allows a clear message of the Council's vision and aims to be reinforced as employees join the Council. The Influential Leader Programme supports middle managers and creates peer supported learning, whilst building on both practical and soft skills. We have introduced masterclasses to cover topics that managers have highlighted as areas of difficulty such as managing attendance and having difficult conversations.

In the coming year, the focus will be on building capability in new managers, middle managers, supporting change, new ways of working and project management. A 'New Managers' Induction Programme will be developed this year, providing a comprehensive development route for all new managers in the organisation.

We have also launched 'skills passports' and developed a clear visual support on the training available for employees at all levels, To support our employees and their busy work schedules we have introduced new 30 OD minute sessions which sees bite size learning sessions delivered across different locations, every day of every week. Leadership development will continue to be a focus and a review of the leadership competencies will be carried out later in the year. We will also continue to work on developing our coaching and mentoring culture and currently have a number of employees undergoing a programme to become qualified coaches. We have also had a number of employees benefit from coaching via wider partners, such as the Coaching Collaborative and Peer Coaching programmes

Training budgets have now been centralised, enabling us to ensure that the Council optimises its purchasing capability and achieves economies of scale.

In recognition of the current and predicted future age profile of the workforce, we are looking to improve our monitoring process in relation to the impact and return on investment achieved through our work experience and internship programmes.

#### **4.7 Succession Planning**

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

#### **4.8 Change Management Strategy**

The Change Management Framework should ensure that the Council is better equipped and skilled to respond to the challenge of modernisation and change.

We are continuing to focus on Continuous Improvement, developing a new framework to complement the Change Management framework. The corporate Project Management Approach will also be reviewed and improved to ensure that Change, Project Management and Continuous Improvement are corporately aligned.

#### **4.9 Workplace of the Future**

The 'Workplace of the Future' (WOTF) programme aims to support employees and managers working in a new, open, and modern working environment and to help them explore some of the ways in which people can work more flexibly to deliver improved services. In particular, we want to discover new ways in which we can make better use of space, work styles, working practices, and technology, to help develop a highly knowledgeable, networked, and mobile workforce for the future.

A key element of the WOTF Programme is the supporting Document Strategy project, with advice, guidance and support being provided to managers and their teams to enable them to physically clear out paper documentation and consider electronic alternatives and fostering changed behaviours in relation to improved information management practices. Moving forward, we will support the management of risk associated with changing to a more digital approach and what processes need to be considered and reviewed as we progress with this transformation.

#### **4.10 Attendance Management**

Attendance at work continues to have a significant impact on the resources available to deliver services and places additional financial pressures on the Council where cover requires to be provided. However, Council-wide absence in 2016/17 reduced by 11.3% compared to last year. In addition, whilst recognising variation across individual Strategic Lead areas, we continue to see a reduction, in overall terms, in the proportion of absence which is long-term in nature.

The Attendance Working Group, through effective partnership working with our trades unions, has supported the development of a range of initiatives to encourage collective ownership of the attendance agenda, the introduction of new or revised areas of

employment policy and practice, and the delivery of a number of employee/manager engagement and upskilling activities. The group has since been succeeded by the Employee Wellbeing Group (see below).

2016/17 also saw the introduction of new, local attendance targets, specific to Strategic Lead areas, designed to reflect historical performance in different occupational groups and to continue to promote improvement.

#### **4.11 Overtime**

Significant work has been underway to reduce the cost of overtime incurred across services, but there is a continued need for services to explore opportunities to reduce it further.

Overtime expenditure is reported on a quarterly basis, by Strategic Lead area, to both the Performance and Monitoring Review Group and Employee Liaison Group, allowing scrutiny around the appropriateness of its use.

#### **4.12 Employee Wellbeing**

In order to embed a culture of health and wellbeing, and to build upon the excellent work that is already in place, an Employee Wellbeing Strategy is being developed which aims to support employees to achieve and maintain a state of health – with a particular focus on ensuring that our workforce experiences the Council as providing a healthy workplace. This will be achieved by:

- Creating and maintaining a safe and healthy working environment;
- Improving the physical and mental wellbeing of the workforce;
- Encouraging and supporting employees to develop and maintain a healthy lifestyle;
- Supporting employees with health conditions to remain at (or return as soon as possible to) work;
- Removing barriers that prevent employees with health conditions from entering employment with the Council and achieving their potential at work thereafter; and
- Achieving and maintaining high levels of employee engagement, recognising the research link to lower sickness absence.

The Strategy is being developed by the Employee Wellbeing Group which will subsequently oversee the corresponding development, implementation and evaluation of annual action plans, at both a Council-wide and individual Strategic Lead area level, ensuring our approach is informed by a comprehensive assessment of need.

#### **4.13 Employee Survey**

Linked to the above, the Council is committed to developing a positive working environment through employee feedback. We undertake a survey every two years which helps us to highlight those areas that require further support to ensure that employees are engaged and that the Council is continuously improving.

In response to the 2015 survey results, the Council developed an organisational plan, aligned to the Council's 'Be the Best' strategy, to facilitate a range of improvement activities

targeted on the lowest scoring areas. Good progress has been made across the five key improvement areas - providing strategic and visible leadership; working with our teams to improve and change; embracing new and flexible ways of working; supporting our teams with challenging workloads and helping employees feel valued. This progress is regularly reported through the Performance and Monitoring Review Group, Employee Liaison Group and Joint Consultative Forum, and via ongoing communication with the wider workforce.

Our approach to the employee survey has been revised for 2017 to enable improved strategic analysis; provision of team reports; evaluation of the local impact of change initiatives; and for services to develop improvement activity that will impact directly on their service delivery.

#### **4.14 Equality Duties**

The Council is committed to building workforce diversity that better represents the people and communities we serve. The Council adopted equality outcomes in relation in 2013, a number of which relate to the Council workforce. Progress against those earlier outcomes, as well as further details of revised outcomes (and associated improvement targets) identified for 2017-21 ('increase diversity in the Council workforce', 'reduce the disability pay gap' and 'decrease occupational segregation'), are set out in the published [Equalities Mainstreaming and Outcomes Report: 2017-21](#).

The Council additionally undertook a further Equal Pay Audit during 2016/17 (examining the period 2015/16), the findings of which were encouraging, it not having highlighted any significant pay gaps that are directly linked to work rated as equivalent. However, it has illustrated that the pay gaps are influenced with regards to full-time employment, career development and occupational segregation. This is evident through the analysis of base pay and gross pay across the protected groups. The findings of the Audit have informed the Council's Equality Outcomes for 2017-21, related to the workforce, as set out above, and resulting improvement actions will be developed.

#### **4.15 Employment Policy and Practice**

In line with our Partnership Agreement, the Policy Development Framework provides for greater involvement of local trades union representatives in the policy development process. It also sets out a more holistic process, covering not only the process of policy development, but also incorporating the need for development and implementation of accompanying plans for communication and training, and monitoring and evaluation, to provide assurance that Council employment policies are fit for purpose and being implemented fairly and consistently, with a responsive mechanism in place to identify and address any evidence that this may not be the case.

#### **4.16 Management of Workforce Reductions**

##### SWITCH

Our SWITCH Policy continues to provide a proactive approach which is responsive to the changing needs of the organisation, whilst at the same time is in keeping with the Council's aim of avoiding compulsory redundancy. By supporting displaced employees with opportunities to develop into new roles, employees are able to remain gainfully employed, whilst the Council retains key knowledge, skills and experience.

### Advance Notification of Redundancy

The organisation is statutorily required to provide advance notice to the Insolvency Service where 20 or more redundancies may occur within a 90 day period. This includes voluntary severance. Whilst we will review the position on a quarterly basis, analysis at 1<sup>st</sup> April 2017 identified a potential impact on 10 employees over the subsequent 90 day period and as such, no reporting is required at this time.

## **5. Summary of Key Future Actions**

The following key Council-wide actions will be progressed over the coming year:

- Implement the revised Strategic Workforce Planning Framework, producing a 5 year Workforce Plan (and resulting annual action plans) which ensure the provision of the right number of employees, with the right skills, to meet the organisation's current and longer-term future needs.
- Progress actions in relation to newly identified Council equality outcomes as related to the workforce, and following completion of the recent Equal Pay Audit.
- Finalise and implement the Employee Wellbeing Strategy (and associated Council-wide and local Strategic Lead area-specific action plans).
- Deliver the 2017 Employee Survey and progress resulting improvement actions.
- Progress succession planning process through the further development of the pathway for internal talent management.
- Embed Be the Best Conversations in relation to workforce development.
- Develop and launch the New Manager's Induction programme.
- Review the Leadership Competencies.
- Launch an approach to Continuous Improvement.
- Maximise the learning and development budget to ensure value for money is directed at the Council's key priority areas.
- Support the Digital Transformation Strategy.
- Implement the Policy Development Framework, ensuring prioritised development and review of fit for purpose and fairly and consistently implemented policies and schemes.
- Continue to implement HR/Payroll transformation, including replacement of manual processes, development of the workforce management system (WMS), and greater self-service.
- Continue to contribute to national developments across a number of workforce streams.



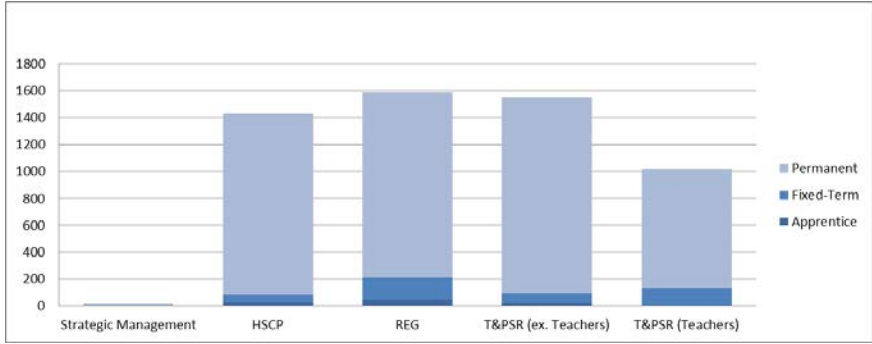
## Appendix A

### West Dunbartonshire Council Workforce Profile - 1 April 2017

The data listed below relates to the profile of the organisation's workforce as at 1<sup>st</sup> April 2017 and examines changes in that profile over time. Comparison is not provided in instances where new workforce profile information is being reported for the first time.

#### 1. Headcount

Headcount	Apprentice	Casual	Fixed-Term	Permanent	Total
<b>Strategic Management</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>13</b>	<b>13</b>
Child Health Care & Criminal Justice	1	25	12	243	281
Community Health & Care	19	69	39	907	1034
Finance & Resources	0	0	1	4	5
Mental Health Addiction & Learning Disabilities	6	0	3	167	176
Strategy, Planning & Health Improvement	1	0	0	27	28
<b>Health &amp; Social Care Partnership</b>	<b>27</b>	<b>94</b>	<b>55</b>	<b>1348</b>	<b>1524</b>
Environment & Neighbourhood	21	37	13	872	943
Housing & Employability	0	8	29	229	266
Regeneration	25	0	126	275	426
<b>Regeneration, Environment &amp; Growth</b>	<b>46</b>	<b>45</b>	<b>168</b>	<b>1376</b>	<b>1635</b>
Communications, Culture & Communities	5	32	3	175	215
Education, Learning & Attainment	9	112	47	768	936
People & Technology	2	0	8	98	108
Regulatory	6	0	8	224	238
Resources	0	0	5	193	198
<b>Transformation &amp; Public Service Reform (Excl. Teachers)</b>	<b>22</b>	<b>144</b>	<b>71</b>	<b>1458</b>	<b>1695</b>
<b>Local Government Employees Total</b>	<b>95</b>	<b>283</b>	<b>294</b>	<b>4195</b>	<b>4867</b>
Transformation & Public Service Reform (Teachers)	0	237	132	887	1256
<b>Council Wide Total</b>	<b>95</b>	<b>520</b>	<b>426</b>	<b>5082</b>	<b>6123</b>



Headcount Variance (01/04/17 vs 01/04/16)	Apprentice		Fixed-Term		Permanent		Total	
	No.	%	No.	%	No.	%	No.	%
<b>Strategic Management</b>	<b>0</b>	<b>0%</b>	<b>0</b>	<b>0%</b>	<b>1</b>	<b>8%</b>	<b>1</b>	<b>8%</b>
Child Health Care & Criminal Justice	0	0%	2	20%	0	0%	2	-6%
Community Health & Care	9	90%	-1	-3%	-14	-2%	-6	-1%
Finance & Resources	0	n/a	1	n/a	4	n/a	5	n/a
Mental Health Addiction & Learning Disabilities	5	500%	-2	-40%	0	0%	3	1%
Strategy, Planning & Health Improvement	-1	-50%	-1	-100%	-2	-7%	-4	-13%
<b>Health &amp; Social Care Partnership</b>	<b>13</b>	<b>93%</b>	<b>-1</b>	<b>-2%</b>	<b>-12</b>	<b>-1%</b>	<b>0</b>	<b>-1%</b>
Environment & Neighbourhood	2	11%	-28	-68%	-28	-3%	-54	-3%
Housing & Employability	-2	-100%	7	32%	-20	-8%	-15	-3%
Regeneration	-7	-22%	36	40%	-50	-15%	-21	-5%
<b>Regeneration, Environment &amp; Growth</b>	<b>-7</b>	<b>-13%</b>	<b>15</b>	<b>10%</b>	<b>-96</b>	<b>-7%</b>	<b>-88</b>	<b>-3%</b>
Communications, Culture & Communities	0	0%	-4	-57%	-9	-5%	-13	-9%
Education, Learning & Attainment	-6	-40%	8	21%	-21	-3%	-19	-6%
People & Technology	0	0%	3	60%	-5	-5%	-2	-2%
Regulatory	4	200%	6	300%	87	64%	97	69%
Resources	-1	-100%	-13	-72%	3	2%	-11	-5%
<b>Transformation &amp; Public Service Reform (Excl. Teachers)</b>	<b>-3</b>	<b>-12%</b>	<b>0</b>	<b>0%</b>	<b>53</b>	<b>4%</b>	<b>50</b>	<b>0%</b>
<b>Local Government Employees Total</b>	<b>3</b>	<b>3%</b>	<b>14</b>	<b>5%</b>	<b>-54</b>	<b>-1%</b>	<b>-37</b>	<b>-2%</b>
Transformation & Public Service Reform (Teachers)	0	0%	9	7%	-1	0%	8	-3%
<b>Council Wide Total</b>	<b>3</b>	<b>3%</b>	<b>23</b>	<b>6%</b>	<b>-55</b>	<b>-1%</b>	<b>-29</b>	<b>-2%</b>

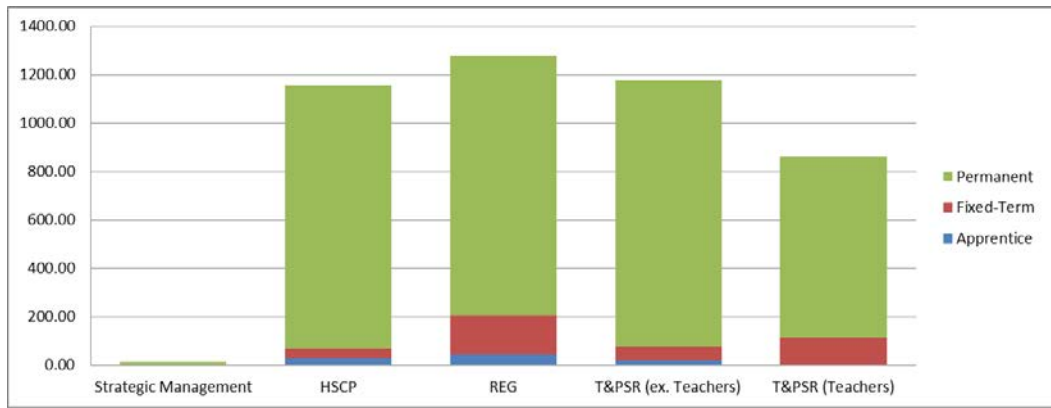
Overall Headcount Variance (01/04/14 to 01/04/17)	Apprentice			Fixed-Term			Permanent			Total	
	No.	%age of Total	Yearly Variation	No.	%age of Total	Yearly Variation	No.	%age of Total	Yearly Variation	No.	Yearly Variation
01/04/2014	118	2%		435	8%		5207	90%		5760	
01/04/2015	84	1%	-29%	420	7%	-3%	5192	91%	0%	5696	-1%
01/04/2016	92	2%	10%	403	7%	-4%	5137	91%	-1%	5632	-1%
01/04/2017	95	2%	3%	426	8%	6%	5082	91%	-1%	5603	-1%

Whilst there has been a decrease in total headcount by approximately 1% year on year since 2014, the breakdown of employees by contract type has remained broadly consistent over the same period.

Please note that this information relates to employees in post on 1<sup>st</sup> April 2017, and not to workforce establishments. As such, it does not reflect current, unfilled vacancies on that date.

## 2. Full time equivalent

Full Time Equivalent	Apprentice	Fixed-Term	Permanent	Total
<b>Strategic Management</b>	<b>0.00</b>	<b>0.00</b>	<b>13.00</b>	<b>13.00</b>
Child Health Care & Criminal Justice	1.00	9.06	224.26	234.31
Community Health & Care	19.00	29.85	700.62	749.46
Finance & Resources	0.00	1.00	3.40	4.40
Mental Health Addiction & Learning Disabilities	6.00	2.35	134.53	142.88
Strategy, Planning & Health Improvement	1.00	0.00	24.61	25.61
<b>Health &amp; Social Care Partnership</b>	<b>27.00</b>	<b>42.26</b>	<b>1087.41</b>	<b>1156.67</b>
Environment & Neighbourhood	20.95	11.58	582.93	615.47
Housing & Employability	0.00	22.26	219.26	241.53
Regeneration	25.00	125.42	269.88	420.30
<b>Regeneration, Environment &amp; Growth</b>	<b>45.95</b>	<b>159.27</b>	<b>1072.07</b>	<b>1277.29</b>
Communications, Culture & Communities	5.00	2.00	143.67	150.67
Education, Learning & Attainment	9.00	29.67	498.15	536.82
People & Technology	2.00	7.40	93.96	103.36
Regulatory	6.50	7.50	199.12	213.12
Resources	0.00	5.00	166.45	171.45
<b>Transformation &amp; Public Service Reform (Excl. Teachers)</b>	<b>22.50</b>	<b>51.57</b>	<b>1101.34</b>	<b>1175.41</b>
<b>Local Government Employees Total</b>	<b>95.45</b>	<b>253.10</b>	<b>3273.83</b>	<b>3622.37</b>
Transformation & Public Service Reform (Teachers)	0.00	111.21	751.33	862.54
<b>Council Wide Total</b>	<b>95.45</b>	<b>364.30</b>	<b>4025.16</b>	<b>4484.91</b>



FTE Variance (01/04/17 vs 01/04/16)	Apprentice		Fixed-Term		Permanent		Total	
	No.	%	No.	%	No.	%	No.	%
<b>Strategic Management</b>	<b>0</b>	<b>0%</b>	<b>0</b>	<b>0%</b>	<b>1</b>	<b>8%</b>	<b>1</b>	<b>8%</b>
Child Health Care & Criminal Justice	0	0%	2	28%	-2	-1%	0	0%
Community Health & Care	9	90%	0	-1%	-10	-1%	-1	0%
Finance & Resources	n/a	n/a	n/a	n/a	n/a	n/a	4	n/a
Mental Health Addiction & Learning Disabilities	5	500%	-2	-45%	-2	-1%	2	1%
Strategy, Planning & Health Improvement	-1	-50%	-1	-100%	-1	-5%	-3	-11%
<b>Health &amp; Social Care Partnership</b>	<b>13</b>	<b>93%</b>	<b>0</b>	<b>-1%</b>	<b>-11</b>	<b>-1%</b>	<b>2</b>	<b>0%</b>
Environment & Neighbourhood	2	11%	-28	-70%	-25	-4%	-50	-8%
Housing & Employability	-2	-100%	7	46%	-15	-7%	-10	-4%
Regeneration	-7	-22%	36	40%	-45	-14%	-16	-4%
<b>Regeneration, Environment &amp; Growth</b>	<b>-7</b>	<b>-13%</b>	<b>15</b>	<b>11%</b>	<b>-83</b>	<b>-7%</b>	<b>-74</b>	<b>-5%</b>
Communications, Culture & Communities	1	11%	-4	-64%	-9	-6%	-12	-8%
Education, Learning & Attainment	-6	-40%	6	27%	-16	-3%	-16	-3%
People & Technology	0	0%	2	48%	-6	-6%	-3	-3%
Regulatory	5	225%	6	400%	76	62%	86	68%
Resources	-1	-100%	-12	-70%	2	1%	-10	-6%
<b>Transformation &amp; Public Service Reform (Excl. Teachers)</b>	<b>-2</b>	<b>-8%</b>	<b>0</b>	<b>0%</b>	<b>46</b>	<b>4%</b>	<b>44</b>	<b>4%</b>
<b>Local Government Employees Total</b>	<b>4</b>	<b>4%</b>	<b>15</b>	<b>6%</b>	<b>-47</b>	<b>-1%</b>	<b>-28</b>	<b>-1%</b>
Transformation & Public Service Reform (Teachers)	0	0%	-3	-2%	-79	-10%	-81	-9%
<b>Council Wide Total</b>	<b>4</b>	<b>4%</b>	<b>13</b>	<b>4%</b>	<b>-126</b>	<b>-3%</b>	<b>-109</b>	<b>-2%</b>

Overall FTE Variance (01/04/14 to 01/04/17)	Apprentice			Fixed-Term			Permanent			Total	
	No.	%age of Total	Yearly Variation	No.	%age of Total	Yearly Variation	No.	%age of Total	Yearly Variation	No.	Yearly Variation
01/04/2014	118	3%		379	8%		4198	89%		4695	
01/04/2015	84	2%	-29%	362	8%	-4%	4180	90%	0%	4625	-1%
01/04/2016	91	2%	9%	351	8%	-3%	4151	90%	-1%	4594	-1%
01/04/2017	95	2%	4%	364	8%	4%	4025	90%	-3%	4485	-2%

There was a 2% decrease in FTE compared to 2016 (compared to a 1% decrease year on year since 2014). Again, the FTE breakdown of employees by contract type has remained broadly consistent over the above period

As above, please note that this information relates to employees in post, and not to workforce establishments.



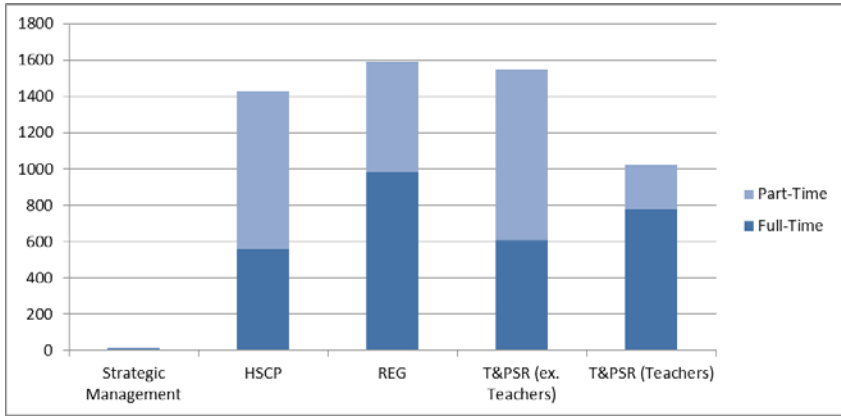
### 3. Fixed-Term Contract

	FTCs Ending in Next 6 Months	FTCs Longer than 2 Years
<b>Strategic Management</b>	<b>0</b>	<b>0</b>
Child Health Care & Criminal Justice	5	2
Community Health & Care	14	6
Finance & Resources	0	1
Mental Health Addiction & Learning Disabilities	1	2
Strategy, Planning & Health Improvement	0	0
<b>Health &amp; Social Care Partnership</b>	<b>20</b>	<b>11</b>
Environment & Neighbourhood	7	4
Housing & Employability	15	4
Regeneration	92	44
<b>Regeneration, Environment &amp; Growth</b>	<b>114</b>	<b>52</b>
Communications, Culture & Communities	1	1
Education, Learning & Attainment	30	6
People & Technology	5	0
Regulatory	5	0
Resources	2	0
<b>Transformation &amp; Public Service Reform (Excl. Teachers)</b>	<b>43</b>	<b>7</b>
<b>Local Government Employees Total</b>	<b>177</b>	<b>70</b>
Transformation & Public Service Reform (Teachers)	129	5
<b>Council Wide Total</b>	<b>306</b>	<b>75</b>

In overall terms, 71% of those working on a FTC basis as at 1<sup>st</sup> April 2017 have a contract end date within the following 6 month period. Additionally, 17% of those working on a FTC basis have been contracted for more than 2 years.

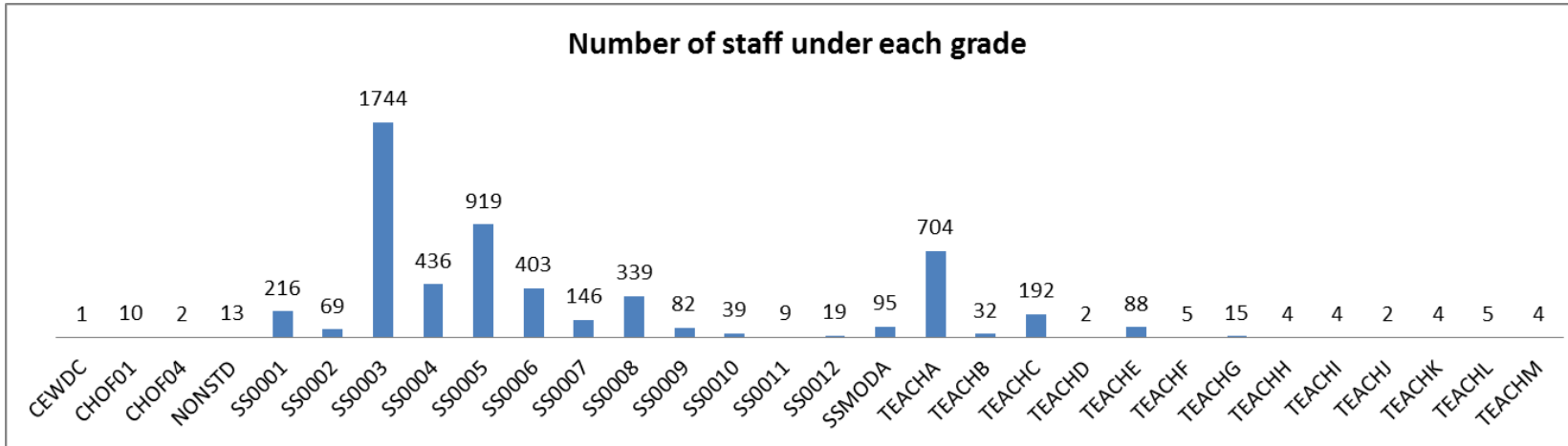
#### 4. Full-Time/Part-Time Split

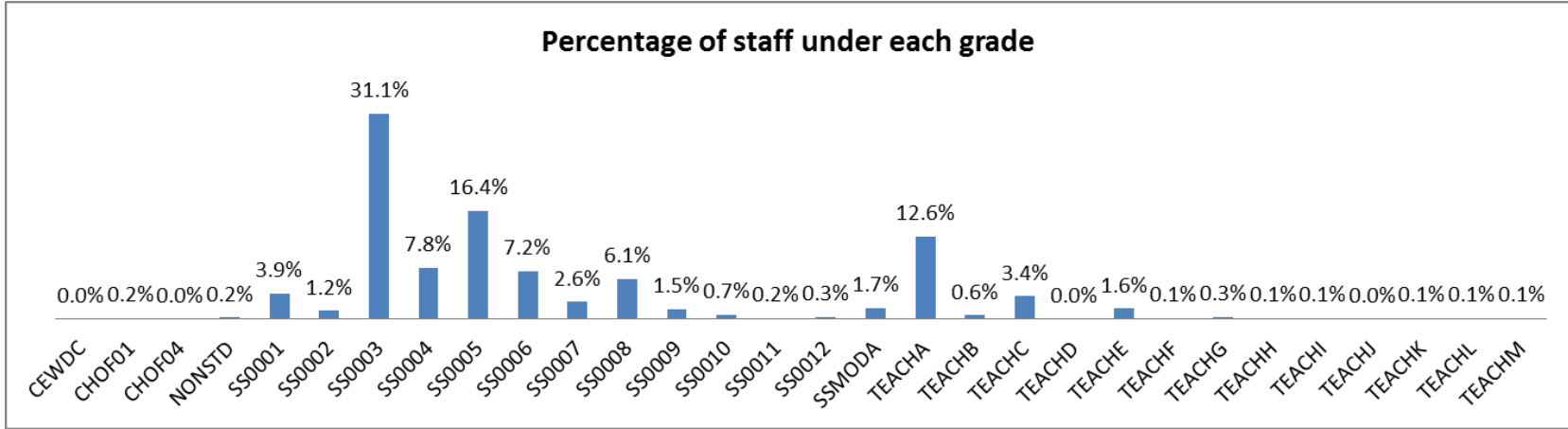
	Full-Time	Part-Time
<b>Strategic Management</b>	<b>13</b>	<b>0</b>
Child Health Care & Criminal Justice	199	56
Community Health & Care	258	707
Finance & Resources	2	3
Mental Health Addiction & Learning Disabilities	81	95
Strategy, Planning & Health Improvement	19	9
<b>Health &amp; Social Care Partnership</b>	<b>559</b>	<b>870</b>
Environment & Neighbourhood	363	543
Housing & Employability	213	45
Regeneration	405	21
<b>Regeneration, Environment &amp; Growth</b>	<b>981</b>	<b>609</b>
Communications, Culture & Communities	94	89
Education, Learning & Attainment	128	696
People & Technology	95	13
Regulatory	166	72
Resources	122	76
<b>Transformation &amp; Public Service Reform (Excl. Teachers)</b>	<b>605</b>	<b>946</b>
<b>Local Government Employees Total</b>	<b>2158</b>	<b>2425</b>
Transformation & Public Service Reform (Teachers)	777	242
<b>Council Wide Total</b>	<b>2935</b>	<b>2667</b>



As shown, 47% of our workforce is employed on a part-time basis.

## 5. Grade Profile





As shown above, the most populated grades amongst Local Government employees are Grade 3, followed by Grade 5. For Teachers, the most populated grade is Main Grade Teacher.

## 6. Gender Profile

	01/04/2017		01/04/2016	
	Female	Male	Female	Male
<b>Strategic Management</b>	46.2%	53.8%	41.7%	58.3%
Child Health Care & Criminal Justice	76.6%	23.4%	76.4%	23.6%
Community Health & Care	88.8%	11.2%	89.3%	10.7%
Finance & Resources	100.0%	0.0%	n/a	n/a
Mental Health Addiction & Learning Disabilities	70.5%	29.5%	72.3%	27.7%
Strategy, Planning & Health Improvement	92.9%	7.1%	93.8%	6.3%
<b>Health &amp; Social Care Partnership</b>	84.5%	15.5%	85.0%	15.0%
Environment & Neighbourhood	54.3%	45.7%	53.4%	46.6%
Housing & Employability	53.1%	46.9%	52.8%	47.2%
Regeneration	12.4%	87.6%	19.5%	80.5%
<b>Regeneration, Environment &amp; Growth</b>	42.9%	57.1%	44.3%	55.7%
Communications, Culture & Communities	66.7%	33.3%	68.0%	32.0%
Education, Learning & Attainment	93.8%	6.2%	92.8%	7.2%
People & Technology	55.6%	44.4%	56.4%	43.6%
Regulatory	70.6%	29.4%	65.5%	34.5%
Resources	80.8%	19.2%	79.4%	20.6%
<b>Transformation &amp; Public Service Reform (Excl. Teachers)</b>	82.7%	17.3%	82.4%	17.6%
<b>Local Government Employees Total</b>	<b>69.3%</b>	<b>30.7%</b>	<b>69.3%</b>	<b>30.7%</b>
Transformation & Public Service Reform (Teachers)	80.4%	19.6%	79.9%	20.1%
<b>Council Wide Total</b>	<b>71.4%</b>	<b>28.6%</b>	<b>71.2%</b>	<b>28.8%</b>

The overall gender balance of the Council is largely unchanged from last year, with no change for local government employees and a 0.5% increase in the proportion of teachers who are female.

## 7. Age Profile

	01/04/2017						01/04/2016					
	16-24	25-34	35-44	45-54	55-64	65+	16-24	25-34	35-44	45-54	55-64	65+
<b>Strategic Management</b>	0.0%	0.0%	15.4%	61.5%	23.1%	0.0%	0.0%	0.0%	16.7%	58.3%	25.0%	0.0%
Child Health Care & Criminal Justice	2.3%	17.2%	25.0%	29.7%	23.8%	2.0%	2.8%	16.5%	26.0%	30.3%	22.4%	2.0%
Community Health & Care	4.7%	9.9%	14.6%	32.8%	34.2%	3.7%	4.1%	10.2%	14.1%	33.4%	33.9%	4.3%
Finance & Resources	0.0%	0.0%	20.0%	80.0%	0.0%	0.0%	n/a	n/a	n/a	n/a	n/a	n/a
Mental Health Addiction & Learning Disabilities	4.5%	13.6%	23.3%	34.1%	21.6%	2.8%	2.9%	15.6%	21.4%	38.2%	19.1%	2.9%
Strategy, Planning & Health Improvement	3.6%	17.9%	28.6%	35.7%	14.3%	0.0%	6.3%	15.6%	25.0%	43.8%	9.4%	0.0%
<b>Health &amp; Social Care Partnership</b>	4.2%	11.8%	17.8%	32.7%	30.3%	3.2%	3.8%	12.1%	17.3%	33.6%	29.5%	3.6%
Environment & Neighbourhood	3.4%	7.4%	14.9%	31.6%	36.1%	6.6%	4.1%	8.3%	15.2%	32.4%	33.5%	6.5%
Housing & Employability	2.3%	12.8%	20.2%	42.2%	20.9%	1.6%	2.2%	13.3%	21.8%	42.8%	18.5%	1.5%
Regeneration	8.9%	18.8%	17.6%	32.6%	20.9%	1.2%	10.3%	16.6%	18.3%	31.5%	22.1%	1.1%
<b>Regeneration, Environment &amp; Growth</b>	4.7%	11.3%	16.5%	33.6%	29.6%	4.3%	5.4%	11.3%	17.1%	33.8%	28.1%	4.2%
Communications, Culture & Communities	4.9%	13.7%	23.5%	29.0%	27.3%	1.6%	6.6%	15.7%	23.9%	29.9%	22.8%	1.0%
Education, Learning & Attainment	4.7%	9.8%	20.3%	35.8%	27.5%	1.8%	4.6%	10.9%	17.9%	38.9%	25.4%	2.3%
People & Technology	4.6%	10.2%	26.9%	38.9%	19.4%	0.0%	3.6%	14.5%	24.5%	38.2%	19.1%	0.0%
Regulatory	9.7%	16.0%	21.0%	32.8%	18.1%	2.5%	4.9%	15.5%	24.6%	34.5%	18.3%	2.1%
Resources	5.1%	12.6%	27.3%	38.4%	16.7%	0.0%	9.1%	12.0%	27.8%	37.3%	13.9%	0.0%
<b>Transformation &amp; Public Service Reform (Excl. Teachers)</b>	5.5%	11.6%	22.1%	35.1%	24.1%	1.5%	5.5%	12.4%	21.2%	37.0%	22.3%	1.6%
<b>Local Government Employees Total</b>	<b>4.8%</b>	<b>11.5%</b>	<b>18.8%</b>	<b>33.9%</b>	<b>27.9%</b>	<b>3.0%</b>	<b>4.9%</b>	<b>11.9%</b>	<b>18.5%</b>	<b>34.9%</b>	<b>26.6%</b>	<b>3.2%</b>
Transformation & Public Service Reform (Teachers)	4.9%	31.0%	25.6%	22.2%	15.4%	0.9%	4.9%	28.1%	25.1%	23.1%	17.9%	0.8%
<b>Council Wide Total</b>	<b>4.8%</b>	<b>15.1%</b>	<b>20.0%</b>	<b>31.8%</b>	<b>25.6%</b>	<b>2.6%</b>	<b>4.9%</b>	<b>14.8%</b>	<b>19.7%</b>	<b>32.8%</b>	<b>25.1%</b>	<b>2.8%</b>

<b>% of Headcount Eligible to Retire within next 5 Years</b>	<b>60-64</b>	<b>65+</b>
<b>Strategic Management</b>	<b>0.0%</b>	<b>0.0%</b>
Child Health Care & Criminal Justice	9.0%	2.0%
Community Health & Care	14.8%	3.7%
Finance & Resources	0.0%	0.0%
Mental Health Addiction & Learning Disabilities	9.1%	2.8%
Strategy, Planning & Health Improvement	3.6%	0.0%
<b>Health &amp; Social Care Partnership</b>	<b>12.8%</b>	<b>3.2%</b>
Environment & Neighbourhood	13.2%	6.6%
Housing & Employability	7.0%	1.6%
Regeneration	8.7%	1.2%
<b>Regeneration, Environment &amp; Growth</b>	<b>11.0%</b>	<b>4.3%</b>
Communications, Culture & Communities	7.1%	1.6%
Education, Learning & Attainment	9.7%	1.8%
People & Technology	8.3%	0.0%
Regulatory	7.6%	2.5%
Resources	2.5%	0.0%
<b>Transformation &amp; Public Service Reform (Excl. Teachers)</b>	<b>8.1%</b>	<b>1.5%</b>
<b>Local Government Employees Total</b>	<b>10.5%</b>	<b>3.0%</b>
Transformation & Public Service Reform (Teachers)	5.6%	0.9%
<b>Council Wide Total</b>	<b>9.6%</b>	<b>2.6%</b>

The composition of the workforce by age, again, remains broadly unchanged compared to 1<sup>st</sup> April 2016. The above table shows the percentage of employees by area and overall who are either already able or will be eligible to retire within the next 5 years.

## 8. Length of Service with WDC

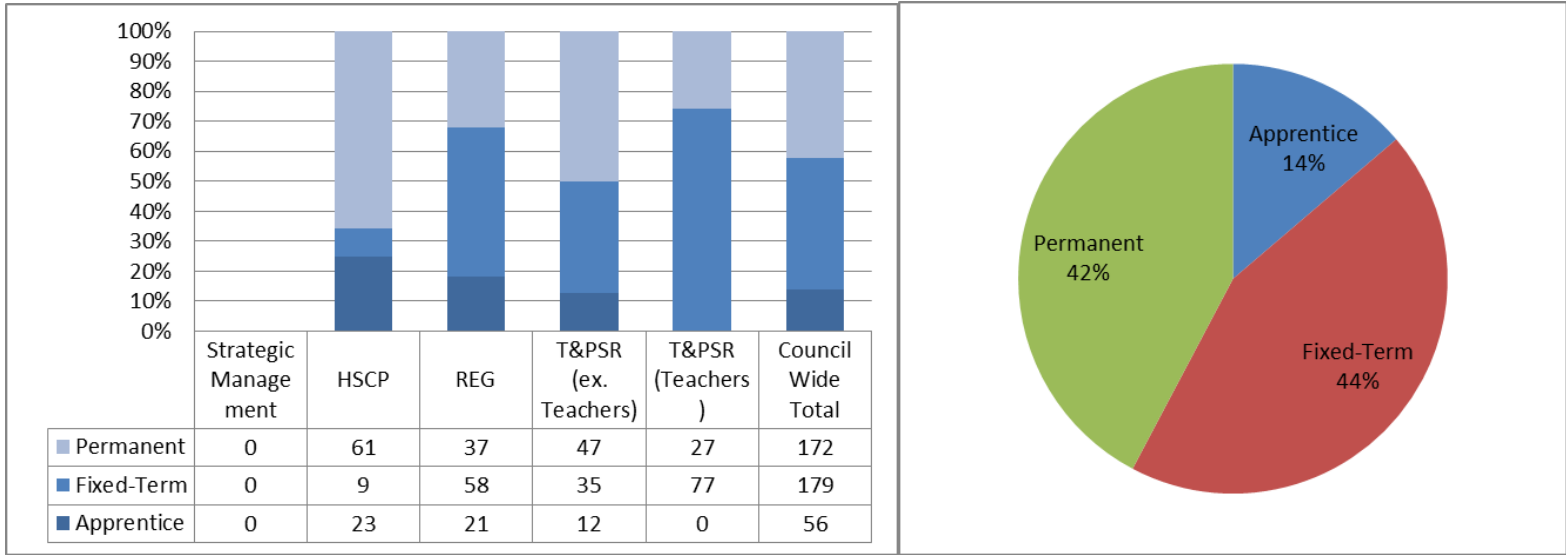
	Less than 1 year		1 to 9 years		10 or more years	
	Headcount	Percentage	Headcount	Percentage	Headcount	Percentage
<b>Strategic Management</b>	<b>0</b>	<b>0.0%</b>	<b>11</b>	<b>84.6%</b>	<b>2</b>	<b>15.4%</b>
Child Health Care & Criminal Justice	9	3.5%	87	34.0%	160	62.5%
Community Health & Care	73	7.6%	369	38.2%	523	54.2%
Finance & Resources	0	0.0%	3	60.0%	2	40.0%
Mental Health Addiction & Learning Disabilities	11	6.3%	75	42.6%	90	51.1%
Strategy, Planning & Health Improvement	0	0.0%	5	17.9%	23	82.1%
<b>HSCP</b>	<b>93</b>	<b>6.5%</b>	<b>539</b>	<b>37.7%</b>	<b>798</b>	<b>55.8%</b>
Environment & Neighbourhood	50	5.5%	259	28.6%	597	65.9%
Housing & Employability	17	6.6%	100	38.8%	141	54.7%
Regeneration	49	11.5%	162	38.0%	215	50.5%
<b>REG</b>	<b>116</b>	<b>7.3%</b>	<b>521</b>	<b>32.8%</b>	<b>953</b>	<b>59.9%</b>
Communications, Culture & Communities	9	4.9%	74	40.4%	100	54.6%
Education, Learning & Attainment	56	6.8%	204	24.8%	564	68.4%
People & Technology	8	7.4%	29	26.9%	71	65.7%
Regulatory	10	4.2%	68	28.6%	160	67.2%
Resources	11	5.6%	57	28.8%	130	65.7%
<b>T&amp;PSR (ex. Teachers)</b>	<b>94</b>	<b>6.1%</b>	<b>432</b>	<b>27.9%</b>	<b>1025</b>	<b>66.1%</b>
<b>Local Government Employees Total</b>	<b>303</b>	<b>6.6%</b>	<b>1503</b>	<b>32.8%</b>	<b>2778</b>	<b>60.6%</b>
T&PSR (Teachers)	104	10.2%	478	46.9%	437	42.9%
<b>Council Wide Total</b>	<b>407</b>	<b>7.3%</b>	<b>1981</b>	<b>35.4%</b>	<b>3215</b>	<b>57.4%</b>

Based on the above information, the Council has a retention rate of 92% (93% for Local Government employees and 91% for Teachers).



## 9. New Start Employees

	Apprentice	Fixed-Term	Permanent	Total
<b>Strategic Management</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>
Child Health Care & Criminal Justice	1	4	4	9
Community Health & Care	19	4	50	73
Finance & Resources	0	0	0	0
Mental Health Addiction & Learning Disabilities	3	1	7	11
Strategy, Planning & Health Improvement	0	0	0	0
<b>Health &amp; Social Care Partnership</b>	<b>23</b>	<b>9</b>	<b>61</b>	<b>93</b>
Environment & Neighbourhood	16	3	31	50
Housing & Employability	0	12	5	17
Regeneration	5	43	1	49
<b>Regeneration, Environment &amp; Growth</b>	<b>21</b>	<b>58</b>	<b>37</b>	<b>116</b>
Communications, Culture & Communities	2	0	7	9
Education, Learning & Attainment	4	26	26	56
People & Technology	2	4	2	8
Regulatory	4	2	4	10
Resources	0	3	8	11
<b>Transformation &amp; Public Service Reform (Excl. Teachers)</b>	<b>12</b>	<b>35</b>	<b>47</b>	<b>94</b>
<b>Local Government Employees Total</b>	<b>56</b>	<b>102</b>	<b>145</b>	<b>303</b>
Transformation & Public Service Reform (Teachers)	0	77	27	104
<b>Council Wide Total</b>	<b>56</b>	<b>179</b>	<b>172</b>	<b>407</b>



407 new employees joined the Council in 2016/17 (compared to 379 in 2015/16, 380 in 2014/15 and 412 in 2013/14). The above information shows the percentage split of new start employees by contract type. It is broadly similar to the split for 2015/16 (38% permanent, 47% FTC and 15% apprentice).

## 10. Turnover

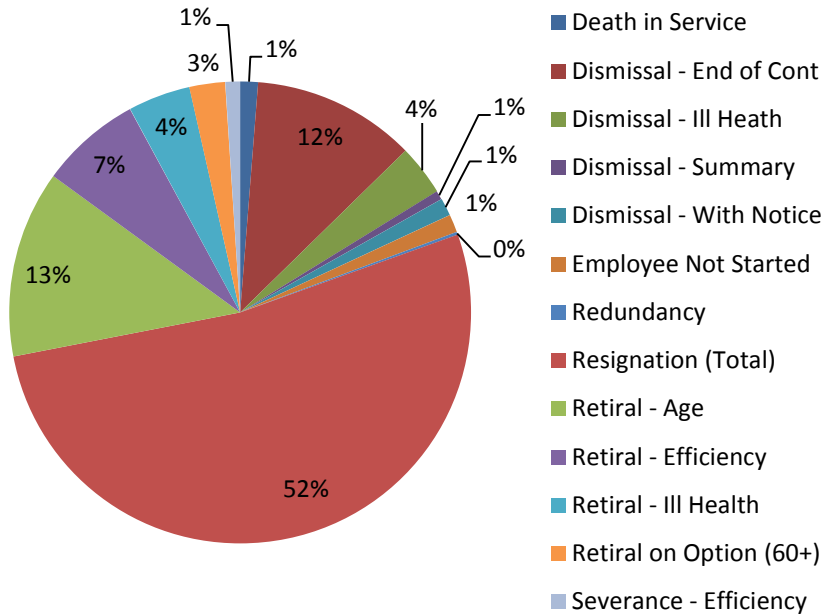
	No. Employees at 1 April 2016	No. Employees at 1 April 2017	Average	Leavers in Last 12 Months	Turnover %
<b>Strategic Management</b>	<b>12</b>	<b>13</b>	<b>13</b>	<b>0</b>	<b>0.0%</b>
Child Health Care & Criminal Justice	254	256	255	13	5.1%
Community Health & Care	971	965	968	83	8.6%
Finance & Resources	0	5	3	0	0.0%
Mental Health Addiction & Learning Disabilities	173	176	175	9	5.1%
Strategy, Planning & Health Improvement	32	28	30	3	10.0%
<b>Health &amp; Social Care Partnership</b>	<b>1430</b>	<b>1430</b>	<b>1430</b>	<b>108</b>	<b>7.6%</b>
Environment & Neighbourhood	960	906	933	73	7.8%
Housing & Employability	273	258	266	28	10.5%
Regeneration	447	426	437	32	7.3%
<b>Regeneration, Environment &amp; Growth</b>	<b>1678</b>	<b>1590</b>	<b>1634</b>	<b>133</b>	<b>8.1%</b>
Communications, Culture & Communities	196	183	190	14	7.4%
Education, Learning & Attainment	843	824	834	77	9.2%
People & Technology	110	108	109	17	15.6%
Regulatory	141	238	190	13	6.8%
Resources	209	198	204	20	9.8%
<b>Transformation &amp; Public Service Reform (Excl. Teachers)</b>	<b>1501</b>	<b>1551</b>	<b>1526</b>	<b>141</b>	<b>9.2%</b>
<b>Local Government Employees Total</b>	<b>4621</b>	<b>4584</b>	<b>4603</b>	<b>382</b>	<b>8.3%</b>
Transformation & Public Service Reform (Teachers)	1011	1019	1015	99	9.8%
<b>Council Wide Total</b>	<b>5632</b>	<b>5603</b>	<b>5618</b>	<b>481</b>	<b>8.6%</b>

The above information presents crude turnover (i.e. based on all leavers). It is not possible to provide comparison by Strategic Lead area for last year, due to the different structure which existed as at 1<sup>st</sup> April 2015. However, in overall terms there has been a slight reduction in turnover from 8.7% in 2015/16 (based on a reduction for local government employees from 8.6% and an increase for Teachers from 8.8%).

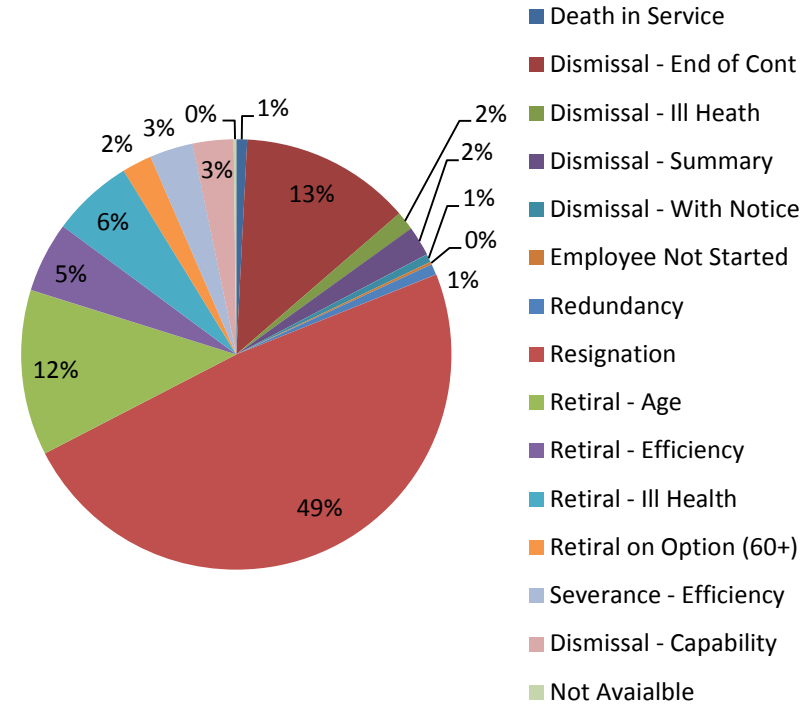
## 11. Leavers

	Death in Service	Dismissal - End of Cont	Dismissal - Ill Health	Dismissal - Summary	Dismissal - With Notice	Employee Not Started	Redundancy	Resignation (Total)	Resignation (During Yr 1)	Retiral - Age	Retiral - Efficiency	Retiral - Ill Health	Retiral on Option (60+)	Severance - Efficiency	Total (ex casual)
<b>Strategic Management</b>	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
Child Health Care & Criminal Justice	0	0	1	0	1	0	0	7	4	2	0	0	2	0	13
Community Health & Care	1	2	4	2	3	2	0	47	14	12	1	8	1	0	83
Finance & Resources	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
Mental Health Addiction & Learning Disabilities	0	1	0	0	0	0	0	8	0	0	0	0	0	0	9
Strategy, Planning & Health Improvement	0	0	0	0	0	0	0	0	0	0	0	1	1	1	3
<b>Health &amp; Social Care Partnership</b>	1	3	5	2	4	2	0	62	18	14	1	9	4	1	108
Environment & Neighbourhood	2	11	7	0	2	1	0	37	11	7	2	3	1	0	73
Housing & Employability	1	0	1	1	0	0	1	15	2	0	7	0	0	2	28
Regeneration	1	1	0	0	0	1	0	17	2	6	0	3	3	0	32
<b>Regeneration, Environment &amp; Growth</b>	4	12	8	1	2	2	1	69	15	13	9	6	4	2	133
Communications, Culture & Communities	0	2	0	0	0	0	0	11	4	0	1	0	0	0	14
Education, Learning & Attainment	1	12	2	0	0	0	0	44	8	13	0	4	0	1	77
People & Technology	0	3	0	0	0	0	0	11	4	0	1	1	1	0	17
Regulatory	0	0	1	0	0	0	0	5	2	3	2	0	1	1	13
Resources	0	3	0	0	0	0	0	7	1	1	9	0	0	0	20
<b>Transformation &amp; Public Service Reform (Excl. Teachers)</b>	1	20	3	0	0	0	0	78	19	17	13	5	2	2	141
<b>Local Government Employees Total</b>	6	35	16	3	6	4	1	209	52	44	23	20	10	5	382
Transformation & Public Service Reform (Teachers)	0	20	1	0	0	2	0	43	13	19	11	1	2	0	99
<b>Council Wide Total</b>	6	55	17	3	6	6	1	252	65	63	34	21	12	5	481

## Leavers



## cf. 2015/16



The number of leavers in 2016/17 was 481 (compared to 491 in 2015/16 – 401 and 90 respectively for local government employees and teachers). The split of leavers by reason is broadly unchanged compared to last year. Whilst there has been a slight increase in the proportion of total leavers who resigned, this accounts for a difference of only 14 employees against last year. It should also be noted that 26% of the 252 employees who resigned did so during their first year with the Council (25% of resignations of local government employee resignations and 30% of teacher resignations).

## 12. Apprentices

	Level 2	Level 3	Total
<b>Strategic Management</b>	<b>0</b>	<b>0</b>	<b>0</b>
Child Health Care & Criminal Justice	0	1	1
Community Health & Care	15	4	19
Finance & Resources	0	0	0
Mental Health Addiction & Learning Disabilities	1	5	6
Strategy, Planning & Health Improvement	0	1	1
<b>Health &amp; Social Care Partnership</b>	<b>16</b>	<b>11</b>	<b>27</b>
Environment & Neighbourhood	14	7	21
Housing & Employability	0	0	0
Regeneration	0	25	25
<b>Regeneration, Environment &amp; Growth</b>	<b>14</b>	<b>32</b>	<b>46</b>
Communications, Culture & Communities	0	5	5
Education, Learning & Attainment	4	5	9
People & Technology	0	2	2
Regulatory	0	6	6
Resources	0	0	0
<b>Transformation &amp; Public Service Reform (Excl. Teachers)</b>	<b>4</b>	<b>18</b>	<b>22</b>
<b>Local Government Employees Total</b>	<b>34</b>	<b>61</b>	<b>95</b>
Transformation & Public Service Reform (Teachers)	0	0	0
<b>Council Wide Total</b>	<b>34</b>	<b>61</b>	<b>95</b>

There has been an increase of 3 apprentices, in total, compared to last year (9 more Level 2, but 6 less Level 3) (which in turn was 8 higher than the previous year).

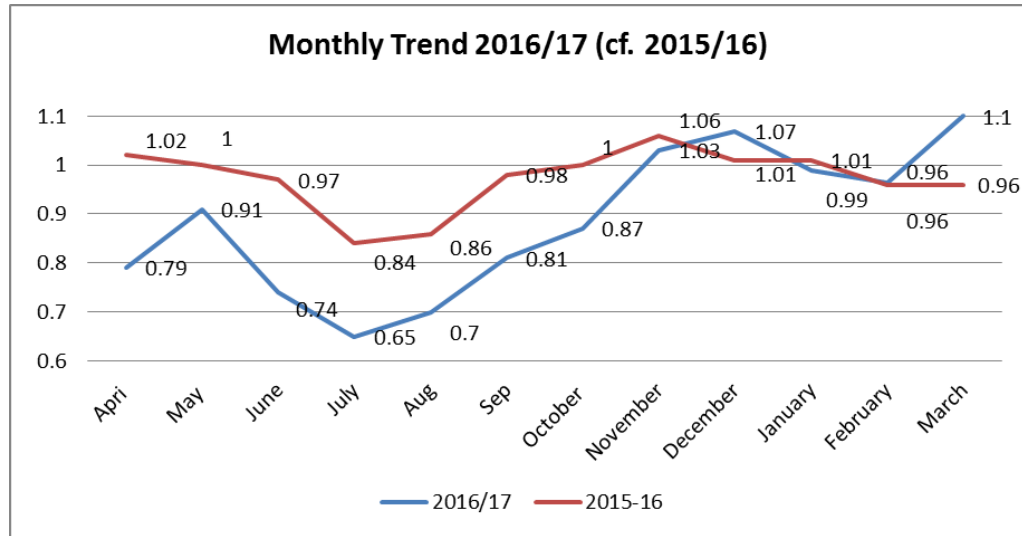
### 13. Maternity/Paternity Leave

	Maternity Leave		Paternity Leave	
	Headcount	Percentage	Headcount	Percentage
<b>Strategic Management</b>	<b>0</b>	<b>0.00%</b>	<b>0</b>	<b>0.00%</b>
Child Health Care & Criminal Justice	13	4.68%	0	0.00%
Community Health & Care	9	0.90%	3	0.30%
Finance & Resources	0	0.00%	0	0.00%
Mental Health Addiction & Learning Disabilities	2	1.14%	1	0.57%
Strategy, Planning & Health Improvement	0	0.00%	0	0.00%
<b>Health &amp; Social Care Partnership</b>	<b>24</b>	<b>1.61%</b>	<b>4</b>	<b>0.27%</b>
Environment & Neighbourhood	7	0.75%	0	0.00%
Housing & Employability	4	1.51%	3	1.13%
Regeneration	2	0.46%	5	1.15%
<b>Regeneration, Environment &amp; Growth</b>	<b>13</b>	<b>0.79%</b>	<b>8</b>	<b>0.49%</b>
Communications, Culture & Communities	4	1.90%	2	0.95%
Education, Learning & Attainment	22	2.41%	0	0.00%
People & Technology	1	0.92%	1	0.92%
Regulatory	9	4.74%	0	0.00%
Resources	10	4.91%	0	0.00%
<b>Transformation &amp; Public Service Reform (Excl. Teachers)</b>	<b>46</b>	<b>2.83%</b>	<b>3</b>	<b>0.18%</b>
<b>Local Government Employees Total</b>	<b>83</b>	<b>1.74%</b>	<b>15</b>	<b>0.31%</b>
Transformation & Public Service Reform (Teachers)	68	5.88%	7	0.61%
<b>Council Wide Total</b>	<b>151</b>	<b>2.55%</b>	<b>22</b>	<b>0.37%</b>

Fewer employees took maternity leave compared to last year (164 employees taking maternity leave and 26 employees taking paternity leave).

## 14. Sickness Absence

Council-wide absence in 2016/17 reduced by 11.3% compared to last year. At 10.47 FTE days lost on average per employee, however, this result was 50% higher than our target of 7 FTE days.



As shown above, there has been a generally improving trend in absence across the Council in 2016/17 as compared to the previous year. However, it can be seen that the first six months of the year performed significantly better than the latter half of the year.



Strategic Lead	Target	Actual	Variance
<b>Council Wide</b>	<b>7</b>	<b>10.47</b>	<b>50%</b>
Child Health Care & Criminal Justice	9	13.26	47%
Community Health & Care	10.5	18.77	79%
Mental Health Addiction & Learning Disabilities	8.5	14.21	67%
Strategy, Planning & Health Improvement	4.5	6.14	36%
Resources	7	9.63	38%
People & Technology	4.5	3.55	-21%
Regulatory	6	6.23	4%
Communications, Culture & Communities	6.5	4.70	-28%
Education, Learning & Attainment (Support)	8.5	9.22	8%
Education, Learning & Attainment (Teachers)	5	5.77	15%
Environment & Neighbourhood	8	10.73	34%
Housing & Employability	6.5	8.86	36%
Regeneration	8.5	11.19	32%

Due to the organisational restructure in April 2016, it is not possible to provide Strategic Lead area results for last year, by way of comparison. In relation to the newly introduced Strategic Lead area-specific targets, only two areas achieved their targets for the 2016/17.

Absence Reason	2016/17		cf. 2015/16	
	Working Days Lost	% of Lost Days	Working Days Lost	% of Lost Days
Minor Illness	15802.5	26.82%	16886.5	25.50%
Back Pain	2453.0	4.16%	2876.5	4.34%
Musculo-skeletal Injuries	9730.5	16.52%	10533.0	15.91%
Stress – Personal	7226.0	12.26%	*11348.0	*17.14%
Recurring Medical Conditions	4109.5	6.97%	4075.0	6.15%
Non Work Related Accidents / Injuries	1314.5	2.23%	1127.0	1.70%
Work Related Accidents / Injuries	916.5	1.56%	729.0	1.10%
Mental Health	3023.5	5.13%	4491.0	6.78%
Acute Medical Conditions	10432.0	17.71%	12185.0	18.40%
Pregnancy Related Absence	848.0	1.44%	951.5	1.44%
Drink or Drug Rel. Condition	101.0	0.17%	111.0	0.17%
Stress – Work Related	2425.5	4.12%		
Reason Not Disclosed	535.5	0.91%	897.0	1.35%

\*In 2015/16 Personal and Work Related Stress reported as combined figure

Strategic Lead Area	Top 3 Reasons for Absence		
	1	2	3
Child Healthcare & Criminal Justice	Minor Illness	Acute Medical Conditions	Musculo-skeletal Injuries
Community Health & Care	Musculo-skeletal Injuries	Acute Medical Conditions	Stress - Personal
Finance & Resources	Non Work Related Accident / Injuries	n/a	n/a
Mental Health, Addictions & Learning Disability	Minor Illness	Musculo-skeletal Injuries	Stress - Personal
Strategy, Planning & Health Improvement	Minor Illness	Recurring Medical Conditions	Stress - Personal / Acute Medical Conditions
Environment & Neighbourhood	Minor Illness	Musculo-skeletal Injuries	Acute Medical Conditions
Housing & Employability	Minor Illness	Acute Medical Conditions	Stress - Personal
Regeneration	Musculo-skeletal Injuries	Minor Illness	Acute Medical Conditions
Communications, Culture & Communities	Minor Illness	Acute Medical Conditions	Recurring Medical Conditions
People & Technology	Acute Medical Conditions	Minor Illness	Recurring Medical Conditions
Regulatory	Minor Illness	Acute Medical Conditions	Musculo-skeletal Injuries
Resources	Acute Medical Conditions	Minor Illness	Mental Health
Education Learning & Attainment (Support Staff)	Minor Illness	Acute Medical Conditions	Stress - Personal
Education Learning & Attainment (Teachers)	Minor Illness	Acute Medical Conditions	Stress - Personal

The absence reason profile for 2016/17 is broadly similar to last year, although it should be noted that the profile can vary significantly from month to month and across Strategic Lead areas.

	Absence Duration	
	Short Term	Long Term (20 days+)
2016/2017	49%	51%
2015/2016	46%	54%

In terms of absence duration, there has been a continued reduction in days lost over 20 days (in 2014/15, long term absence accounted for 70% of days lost), with short-term absence of under 20 days now becoming the focus.

## Appendix B

### Summary of Key Priorities/Issues and Resource Implications by Strategic Lead Area

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

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

### Transformation & Public Sector Reform

#### Communications, Culture & Communities

- Lead our Customer Services Digital Transformation agenda;
- Develop a fit for future Libraries and Cultural Service;
- Lead our Customer Services Digital Transformation agenda;
- Introduce communication standards across the Council; and
- Implement an online approach to consultation and engagement.

#### Education, Learning & Attainment

- Scottish Attainment Challenge;
- Ongoing review of all Services and Improvement;
- Developing the Young Workforce;
- Review of ASN and Early Years provision;
- Attendance Management;
- Leadership Development and Recruitment; and
- Schools Estate Program.

## **People & Technology**

- Supporting Change and Continuous Improvement across the Council;
- Providing PMO function, offering project management consultancy to strategic and operational projects; and
- Support Workforce Development across the organisation.

## **Regulatory**

- Implement Phase 2 of the Corporate Review of Administrative Support;
- Student placements in Planning and Environmental Health;
- Supporting change and continuous improvement across the service; and
- Improve Attendance.

## **Resources**

- Development of Agresso financial systems to improve functionality and efficiency of the accountancy systems and associated processes;
- Implementing legislative changes relating to Welfare Reform which is expected to change the role of staff involved and reduce the numbers of staff required;
- Improve attendance levels;
- Provision of financial and procurement support to a number of key strategic investments; and
- Implementation of phase 2 Purchase to Pay (P2P) Project to improve systems used in the P2P cycle and associated processes.

## **Regeneration, Environment & Growth**

### **Environment & Neighbourhood**

- Progression of the Shared Services Initiative;
- Review staffing levels within facilities management and catering to implement expansion of early learning and childcare initiatives within Education;
- Review staffing levels within facilities management to address changes with implementation of Office Rationalisation;
- Improvement in attendance within Neighbourhood services; and

- Implement Be the Best Conversations within Neighbourhood services.

### **Housing & Employability**

- Improve the wellbeing of communities and protect the welfare of vulnerable people;
- Improve economic growth and employability;
- Develop a Housing Options framework; and
- Ensure a consistent and robust approach to customer service improvement across the strategic area.

### **Regeneration**

- Modernisation and Commercialisation of HRA Capital and Building Services operations;
- The Regeneration of Queens Quay;
- Continue to deliver the 10 year Capital Investment Programme;
- Secure the ownership of Exxon and get our Final Business Case approved; and
- Deliver the Maintenance, Repair and Upgrade plan to ensure the Council's operational buildings are fit for purpose.

## **Health & Social Care Partnership**

The Chief Officer agreed to develop a joint Workforce Development and Organisational Development Strategy in relation to staff delivering integrated services and which covers the totality of employees working within the Health and Social Care Partnership (HSCP). This was prepared within the first year of operation of the Partnership, as described in the agreed Integration Scheme, and delivers key actions in support of the overall Strategic Plan for the Partnership.

The Strategy, which covers the period 2015-2018, was approved by the Partnership Board in November 2015. An annual Support Plan is developed as part of the Strategy which describes the key workforce and organisational development activities that will be undertaken, across and within service areas, which are of particular relevance to the delivery of the Strategic Plan. The last update on the Support Plan was presented to the Partnership Board in November 2016.

The next annual update on the Support Plan for 2016/17, along with refreshed actions for 2017/18, will be presented to the Partnership Board in November 2017. Whilst the priority areas for 2017/18 are currently under discussion with Strategic Leads, some of the areas which are anticipated to be carried forward into 2017/18 are as follows:

- Implement effective talent management and succession planning within the workforce to mitigate the impact of future skills loss associated with an ageing workforce profile;
- Ensure workforce changes associated with service redesigns are undertaken in compliance with HR policies and procedures;
- Update the Staff Governance and Practice Framework;
- Implement iMatter for all HSCP staff;
- Support employees' personal development through the Council's "Be the Best Conversations" Framework;
- Monitor and support registration of staff;
- Scope out requirements for registration of Care at Home employees and appropriate supports to achieve registration requirements; and
- Implement actions arising from the Employee Wellbeing Group to support employees' attendance at work.





**WEST DUNBARTONSHIRE COUNCIL****Report by Strategic Lead – People & Technology****Corporate Services Committee: 7<sup>th</sup> June 2017**

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**Subject: Strategic Workforce Planning Framework****1. Purpose**

- 1.1** To present a revised Strategic Workforce Planning Framework supporting a more robust, longer-term approach to workforce planning across the Council.

**2. Recommendations**

- 2.1** The Committee is asked to:

- Approve the revised Strategic Workforce Planning Framework;
- Note that, whilst the planning cycle within the Health & Social Care Partnership operates over a different period, the Framework clarifies the relationship between the Council-wide workforce planning process and workforce planning within the Partnership in relation to Council employees; and
- Note the development of a Council-wide Workforce Plan for 2017/2022 (and accompanying Strategic Lead area plans), implementing the revised Strategic Workforce Planning Framework in full, following development of the Council's Strategic Plan for the same period. The 5 year Workforce Plan will be developed in summer/autumn 2017 and presented at the next available meeting of the Corporate Services Committee.

**3. Background**

- 3.1** Strategic workforce planning is a proactive approach which seeks to enable delivery of strategic objectives by identifying and implementing strategies to ensure the provision of:

- The right number of employees;
- With the right skill sets;
- In the right location;
- At the right time; and,
- At the right cost.

- 3.2** In November 2013, Corporate Services Committee approved the existing Workforce Planning Strategy and Framework. Whilst covering the key phases of workforce planning, resulting workforce plans (both at a Council-wide and Strategic Lead area level) have continued to focus, in the main, on addressing issues of short-term need. However, a longer term approach is needed if the

Council is not only to ensure that the organisation is equipped to meet immediate service needs, but also to proactively plan to meet future changing priorities and avoid the need for a reactive, crisis management approach. Indeed, the Council's Strategic Risk Register recognises the need to develop a more effective, longer-term approach to workforce planning.

- 3.3 The Council is not alone in terms of the challenge of undertaking longer-term workforce planning, as evidenced by recent reports by Audit Scotland. It is recognised that local government faces particular challenges in terms of being able to undertake longer-term planning generally, given uncertainties resulting from current electoral cycles and short-term financial settlements. This revised Strategic Workforce Planning Framework, however, seeks to provide a mechanism whereby the Council can effectively undertake longer-term workforce planning in the face of these uncertainties, whilst ensuring an iterative process which allows those plans to be adapted over time if and when circumstances change.

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

- 4.1 The revised Strategic Workforce Planning Framework (see Appendix 1) is based on a review of existing good practice in relation to workforce planning, including Audit Scotland's 'Scotland's public sector workforce – Good practice guide' (2014). It sets out a logical process whereby Workforce Plans, and resulting action plans, should be developed, detailing key information to be obtained and resulting key considerations at each stage of the process.
- 4.2 The Framework places workforce planning, at both a Council-wide and Strategic Lead area level, in terms of the Council's wider planning context, in order to ensure that service, financial and workforce plans are appropriately integrated to enable an appropriately resourced workforce in place to meet organisational need across the planning period.
- 4.3 It describes two levels of workforce planning and how they interact. At a Council-wide level, workforce planning will focus on system-wide issues and strategies to support the Council's strategic plan, to address external workforce factors that affect the entire organisation, to maintain organisational capacity and to mitigate risk exposure. At a Strategic Lead area level, planning will focus on how to implement action plans resulting from the Council-wide workforce plan, as well as responding to workforce factors that impact the particular Strategic Lead area. The process is not one-way, however, with a need for Council-wide plans to be responsive to any system-wide issues, not previously identified, which are highlighted by the local workforce planning process.
- 4.4 The Framework describes the roles of key stakeholders to the workforce planning process, recognising particularly the need for input to and ownership of the process beyond HR, as well as the benefits of wider workforce engagement.

- 4.5 Whilst a Council-wide Workforce Plan and local Strategic Lead area-specific Workforce Plans have been developed for presentation to Committee in June 2017, it is intended that, moving forward, revised Plans are developed in line with the Framework (at both levels) to cover a 5 year period, aligned to same period covered by the Council's Strategic Plan.
- 4.6 Thereafter, Workforce Plans (and corresponding actions plans) will be subject to ongoing monitoring and evaluation to ensure that they are effective in delivering required outcomes and that they are responsive to any changes in circumstances which subsequently arise. As such, following approval of Workforce Plans (and initial action plans), an annual reporting mechanism will be in place to allow progress to date to be reported, as well as presentation of revised action plans for the forthcoming year.
- 4.7 Whilst the planning cycle within the Health & Social Care Partnership operates over a different period, the Framework describes the relationship between the Council-wide workforce planning process and workforce planning within HSCP in relation to Council employees.
- 4.8 The Framework sets out the key steps to be followed in the workforce planning process (irrespective of level), as follows:
- Environmental analysis
  - Workforce modelling
  - Action planning
  - Monitoring and evaluation
- 4.9 Critically, the environmental analysis stage takes horizon scanning beyond traditional PESTLE and SWOT analysis, to include a process of scenario planning. This involves consideration of critical uncertainties identified through the initial analysis, in order to develop a range of plausible futures. These will in turn be used to help model and plan future workforce requirements during the remainder of the workforce planning process in terms of demand and supply forecasting across different scenarios and in risk assessing action planning options. The scenarios can then be revisited during the monitoring and evaluation process, in order to allow for timeous identification of the unfolding of a particular scenario and adaptation of plans, if required.

## **5. People Implications**

- 5.1 Implementation of the revised Framework will ensure that workforce planning is integrated within the Council's wider planning processes, adopting a proactive approach to ensure that the required workforce is in place to meet organisational need across the planning period, both now and in the longer-term.

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

- 6.1** There are no financial and/or procurement implications associated with this report.

## **7. Risk Analysis**

- 7.1** It was not necessary to carry out a risk assessment. However, implementation of the revised Framework will serve to manage strategic risk SR108 ('lack of strategy / plans / vision to ensure a committed and dynamic workforce'), which identifies a risk of failure to develop and implement a flexible, strategic structured approach to workforce and capacity planning. It will also serve to satisfy External Audit requirements.

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

- 8.1** Implementation of the Framework will have a positive impact, insofar as it will ensure that workforce plans identify and address any issues of under-representation within the workforce across protected characteristics.

## **9. Consultation**

- 9.1** The Framework was presented to the Performance & Monitoring Review Group for consultation on 25<sup>th</sup> April 2017.

Following implementation of the revised Framework, draft Workforce Plans (and resulting action plans) will be subject to consultation with trades union partners via the Joint Consultative Forum (in the case of the Council-wide plan) and Joint Consultative Committees (in the case of Strategic Lead area plans) prior to their being submitted to the relevant Council Committee for final approval

## **10. Strategic Assessment**

- 10.1** Implementation of the Framework will enable action to ensure that the 'committed and dynamic' workforce, required to meet organisational need in achieving the Council's strategic priorities, is in place.

### **Victoria Rogers**

Strategic Lead – People & Technology

Date: 17<sup>th</sup> May 2017

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#### **Appendices:**

Appendix 1 – Strategic Workforce Planning Framework.

**Background Papers:** Equalities Impact Assessment (EIA)

**Wards Affected:** n/a



HR Employment Policy & Procedures

# Strategic Workforce Planning Framework

Implementation Date: tbc

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>	Strategic Workforce Planning Framework	HRP/066	
<b>Version Number &amp; Date</b>	Draft 1.1	20/03/2017	
<b>Title, Version Number &amp; Date of Superseded Version (if applicable)</b>	Workforce Planning Strategy & Framework	Version 1.0	November 2013
<b>Rationale for introduction/Driver for change</b>	Review of the existing Framework with a particular focus on improving medium to long-term planning and action plan implementation.		
<b>Summary of Substantive Changes (if applicable)</b>			
<b>Summary of Technical Changes (if applicable)</b>			
<b>Lead Officer</b>	Darren Paterson		
<b>Final Trades Union Position</b>			
<b>Consultation &amp; Approval Process</b>	<i>Committee</i>	<i>Date</i>	
	ELG		
	JCF (if applicable)		
	C. S. Committee (if applicable)		
<b>Accompanying Documentation (incl. EIA)</b>			
<b>Linked Policy, Schemes and Procedures</b>			



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## 1. Introduction

1.1. This framework details the approach to be adopted within West Dunbartonshire Council to the process of strategic workforce planning. It is based on a review of existing good practice, including Audit Scotland's 'Scotland's public sector workforce – Good practice guide' (2014).

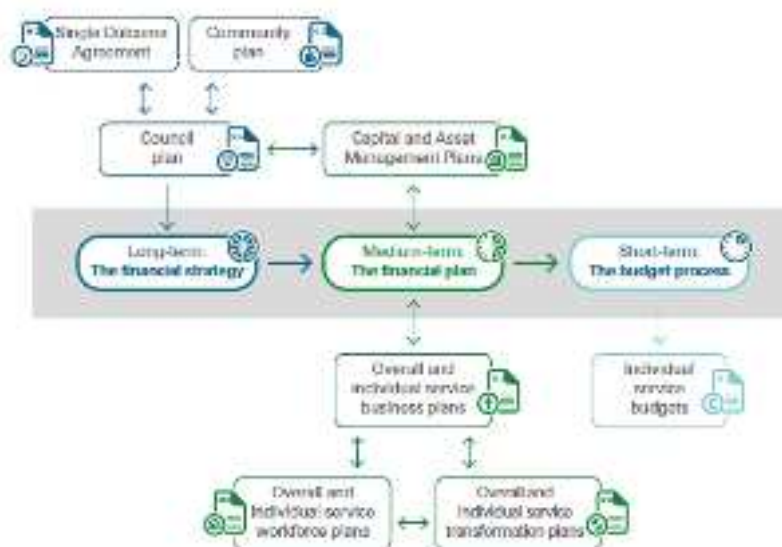
1.2. Strategic workforce planning is a proactive approach which seeks to enable delivery of strategic objectives by identifying and implementing strategies to ensure the provision of:

- The right number of employees;
- With the right skill sets;
- In the right location;
- At the right time; and,
- At the right cost.

1.3. Effective workforce planning is informed by:

- An organisation's current and future objectives;
- The needs of its service users (and of potential service users within the planning period);
- The amount and sources of funding available; and,
- The wider policy and legislative environment in which the organisation operates.

## 2. Workforce Planning Context



- 2.1.** The above diagram (contained within the Audit Scotland report 'Local government in Scotland: Performance and challenges 2017') sets out the main elements of a Council's planning process and recommendations on how these should interact. It is important to note the two-way process which needs to exist in terms of how workforce plans (at both a Council-wide and Strategic Lead area level) need to be informed by, but in turn inform, wider organisational plans thereby ensuring that service, financial and workforce plans are appropriately integrated to enable an appropriately resourced workforce in place to meet organisational need across the planning period. It should also be noted that, in advance of the workforce planning process, it is important that HR is involved in the wider planning process, in order to consider the workforce implications of resulting plans and to influence their content by drawing attention to ways in which employees could be developed and deployed more effectively to further the achievement of organisational or service-specific goals.
- 2.2.** The resulting workforce planning process will take place at a Council-wide level and at the level of individual Strategic Lead areas.
- 2.3.** Workforce planning at a Council-wide level looks at system-wide issues and strategies to support the Council's strategic plan, to address external workforce factors that affect the entire organisation, to maintain organisational capacity and to mitigate risk exposure. Workforce planning at this level will be undertaken with the Strategic Leadership Group and facilitated by the Strategic HR Manager. Again as a two-way process, it may be that the workforce planning process at a Strategic Lead area level highlights additional system-wide issues not previously identified. As an iterative process, it is therefore important that resulting Council-wide actions plans are responsive to any such need highlighted by the local workforce planning process.
- 2.4.** Workforce planning at a Strategic Lead area level involves the Strategic Lead and their management teams, facilitated by HR Business Partners, and will involve implementation of action plans resulting from the Council-wide workforce plan, as well as responding to workforce factors that impact the particular Strategic Lead area.
- 2.5.** Whilst the decision-makers in relation to workforce planning are as described above, it is important to involve wider key stakeholders in the process, including employees and trades unions, in order to inform and test the outputs of the Environmental Analysis and Action Planning stages.
- 2.6.** A long-term approach to workforce planning will be adopted, with Council-Council-wide and Strategic Lead Area plans aligned to the 5-year period

covered by the Council's Strategic Plan. The process to be followed in each case is as described below. Resulting draft workforce plans will be subject to formal consultation via the Joint Consultative Forum (in the case of the Council-wide plan) and Joint Consultative Committees (in the case of Strategic Lead area plans) prior to their being submitted to the relevant Council Committee for final approval. Thereafter, workforce plans (and resulting action plans) will be subject to ongoing monitoring and evaluation as described below to ensure that they are effective in delivering required outcomes and that they are responsive to any changes in circumstances which subsequently arise. Resulting reports will be provided through the above consultation and approval process on an annual basis outlining progress to date and details of the action plans to be progressed in the year ahead.

**2.7.** West Dunbartonshire Health & Social Care Partnership is statutorily required to produce a 3-year Strategic Plan. A corresponding 3-year Workforce & Organisational Development Strategy is produced and, as above, it is delivered through a series of annual support plans approved by the Integrated Joint Board. Whilst separate planning processes exist, it will still be important to ensure that there is appropriate linkage with the Council-wide Workforce Plan and resulting action plans insofar as they relate specifically to Council employees working within HSCP.

### **3. Roles & Responsibilities**

**3.1.** The process of workforce planning cannot, and should not, be seen as the sole responsibility of any one Strategic Lead/Director. It requires the vision, knowledge and experience of senior management, along with support and expertise from HR and other relevant functions such as, but not restricted to, Finance.

**3.2.** Ownership of and accountability for the following will be critical in ensuring that the framework is effective in meeting the Council's workforce planning needs:

- Elected members and the chief executive should:
  - Set the strategic direction of the plan; and
  - Ensure the plan is delivered.
  
- Service managers should:
  - Identify the internal and external factors which may affect the future operation of the organisation and its ability to achieve its corporate objectives;

- Develop the strategies to deal with any issues and gaps that are identified; and
  - Regularly review progress against the plan, identifying risks and report on these, as needed.
- HR should:
    - Facilitate the development of the workforce plan through employee engagement and by providing information to help develop the plan; and
    - Work with Strategic Leads to ensure that business requirements are adequately provisioned.
- Employees and trades unions should:
    - Be consulted when undertaking the workforce planning process to ensure that it is appropriately informed and that resulting plans are acceptable and workable.

#### 4. Framework Overview




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#### 4.1. Workforce planning involves the following key steps:

##### 4.1.1. Environmental analysis

This step involves identifying and understanding the internal and external factors which may affect the organisation, both now and in the future, and considering how these may inform the likely future of the organisation and, consequently, its workforce.

#### **4.1.2. Workforce Modelling**

This step involves:

- Demand forecasting - estimating numbers and types of employees likely to be needed by the organisation in the future (based on the environmental analysis).
- Supply forecasting - an analysis of data relating to the current workforce and any historical trends (and, where appropriate, the environmental analysis), in order to estimate the number and types of employees likely to be available to the organisation in the future.
- Gap analysis - identification of any critical gaps between forecast supply and demand. It will also identify any gaps otherwise identified through the environmental analysis between the current workforce profile and forecast future requirements.

#### **4.1.3. Action Planning**

This step involves the identification of action plans to address any identified gaps.

#### **4.1.4. Monitoring and evaluation**

This step involves monitoring the implementation of action plans and evaluating their effectiveness in supporting future workforce requirements, as well as ensuring that they are responsive to any unanticipated developments which impact earlier workforce planning assumptions.

### **5. Environmental Analysis**

**5.1.** Environmental analysis involves a systematic exploration of the potential challenges, opportunities and likely future developments that could influence workforce requirements over the planning period. The scope will be either the organisation as a whole (for the Council workforce plan) or Strategic Lead areas (for their respective local workforce plans). To ensure a structured approach in which all relevant information is considered, a PESTLE and SWOT Analysis should be undertaken, as described below. This should be undertaken individually by identified key stakeholders through either structured interview or questionnaire, in order to maximise candour and encourage 'maverick' views. Thereafter, a facilitated group scenario planning exercise should be undertaken, as described below, involving a range of key stakeholders and using the collated outputs of the earlier analysis as the basis for that discussion.

**5.2.** Whilst an earlier environmental analysis should already have been undertaken in the development of the Strategic Plan and resulting Delivery

Plans, further analysis will still be required as part of the workforce planning process. This is in order to consider the workforce implications of factors identified during that earlier analysis, as well as to consider any additional factors specifically relating to workforce not already identified.

**5.3.** When undertaking environmental analysis, the resulting actual or potential impact on the workforce (in terms of both future demand and corresponding risks, which will need to be controlled, mitigated and managed) should be considered in respect of the following:

- The number and nature of job roles;
- The profile of the workforce;
- The skills and behaviours required;
- Use of technology and new ways of working;
- The way employees are managed and led;
- The way teams work; and
- The location and environment in which employees work.

**5.4.** Such analysis should consider quantities or facts (such as the number of people employed) that describe the system under investigation, or they may be subjective qualitative measures (such as 'happiness').

**5.5.** It should be noted that factors identified will be linked to each other through complex cause-and-effect relationships, meaning that a change to one fact may influence others within the system. Furthermore, the impact of a change may not be felt immediately; there may be significant delays before there is an eventual impact on workforce demand and supply.

**5.6.** Consideration should be given to those factors which we can control, those which we can influence and, critically, those driving forces which cannot be easily controlled as they are not within the organisation's sphere of influence. In terms of driving forces, these can be classified as:

- Constant – structural factors that are unlikely to change over the planning period
- Predetermined – change in these forces, for example demographics and population growth rates, is largely predictable and can be forecast with reasonable accuracy. Consequently, the future outcomes and probabilities are known
- Uncertain – these are fundamental uncertainties that might result in a range of plausible future outcomes. Consequently, the probability of specific outcomes is not known

## **5.7. PESTLE Analysis**

**5.7.1.** This tool should be used to help organise and promote thinking about current and future external developments and key drivers of change facing the service/organisation over the planning period, and the resulting workforce implications. See 'PESTLE Analysis' template (Appendix B).

## **5.8. SWOT Analysis**

**5.8.1.** This tool should be used to help organise and promote thinking about the strengths, weaknesses, opportunities and threats that are facing service/organisation over the planning period, and the resulting workforce implications. The external drivers will be derived from the PESTLE Analysis outputs. See 'SWOT Analysis' template (Appendix B). The internal drivers will be derived from Council-wide and Strategic Lead area service and financial plans, the Council's Workforce Strategy, and analysis of workforce profile information (see Appendix C).

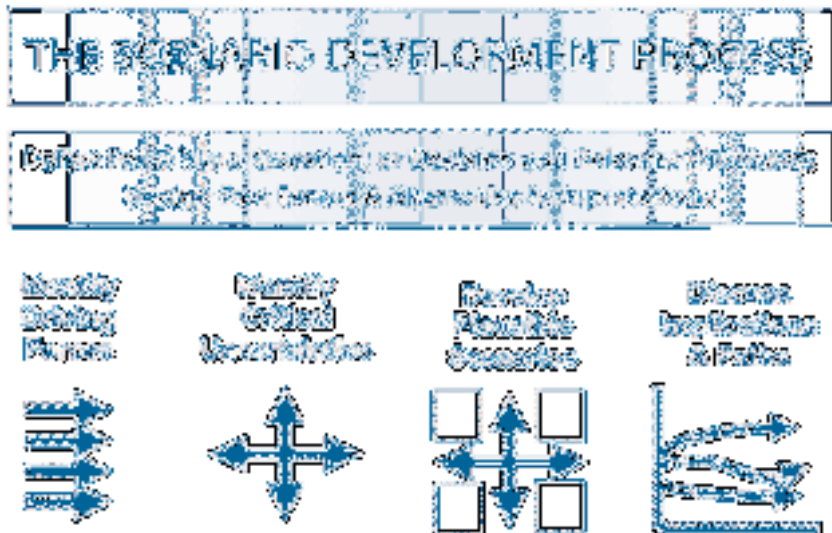
## **5.9. Scenario Planning**

**5.9.1.** The outcome of this step is to identify plausible scenarios (internally consistent views of what the future might turn out to be) which will be used to help model and plan future workforce requirements during the remainder of the planning process.

**5.9.2.** Scenario planning is a tool used for making better decisions in relation to possible uncertainties, in that alternative futures (both favourable and unfavourable) are thought through, with strategic options subsequently being evaluated against those futures.

**5.9.3.** Scenarios are essential for workforce planning, since it is not possible to predict the future accurately. In a workforce planning context, the range of plausible futures generated will enable demand and supply projections to be made against each. Workforce plans can then be assessed against the scenarios for robustness.





**5.9.4. Scenario planning should be undertaken as follows:**

- Identify driving forces
  - i.e. the outputs of the PESTLE and SWOT analysis
- Clustering (if necessary)
  - Clustering reduces the number of driving forces into more manageable chunks, grouped around a higher-level factor.
  - Clusters need to describe the causal connections between driving forces, so it is useful to spend some time discussing cause and effect, and how these influences are mapped.
  - Clusters that strongly overlap should be combined. However, clusters should contain no more than 10-15 driving forces so that they remain focused on a clear theme.
  - For each cluster, two extreme outcomes should be identified (in terms of potential effects of driving forces at the start of the cluster on resulting linked forces).
- Identify critical uncertainties
  - Select the two most critical uncertainties in relation to workforce (i.e. high impact, high uncertainty).
- Develop plausible scenarios
  - Build a scenario matrix with the two critical uncertainties as axes.
  - Depending on what direction each of the uncertainties will take, develop four possible scenarios for the future
  - High impact, low uncertainty 'predetermined elements (or trends)' should be present in every scenario. Other predetermined elements can also be present
  - Judgement should be exercised in relation to whether to include other elements (i.e. those of either 'high impact and moderate uncertainty' or 'moderate impact and high uncertainty'), particularly if it is considered that they will be significant in the future.

- Discuss implications and paths
  - Discuss the various implications and impacts of each scenario and develop a strategy that will stand the test of all scenarios (i.e. the service/organisation response, including corresponding future workforce requirements). See 'Scenario Planning Outputs' template (Appendix B).

## **6. Workforce Modelling**

**6.1.** The purpose of workforce modeling is to project demand and supply for a range of plausible futures, as described by the scenarios. Further modeling is then conducted to determine the robustness of strategy options for achieving a sustainable balance of demand and supply. It can be undertaken at a variety of different levels (i.e. Council, Strategic Lead area, individual service area or job role).

**6.2.** For both demand and supply there are several kinds of input:

- Facts we know
- Assumptions we make
- Parameters we can control
- Uncertainties we can quantify

### **6.3. Demand Forecasting**

**6.3.1.** This step involves consideration of the workforce that will be required (in terms of headcount and competencies) to accomplish future functional requirements and meet future strategic objectives.

**6.3.2.** Demand forecasting involves determination of future employee requirements over the projection period based on the scenario/s developed earlier. Forecasts at 1 to 3 years should plan for the shorter term, operational needs, whilst at the same time establishing the direction toward the 5-year forecast (recognising that the longer the planning timeframe, the less accurate the forecasts will be). See 'Demand Forecast' and corresponding 'Demand Forecast – Comments' templates (Appendix B).

### **6.4. Supply Forecasting**

**6.4.1.** This step involves an analysis of data relating to the current workforce and any historical trends (and where appropriate the outputs of the environmental analysis), in order to estimate the number and types of employees likely to be available to the organisation in the future.

**6.4.2.** The following information should be collected and monitored over a standard frequency (e.g. annually at the start of the new financial year):

- Employment status
- Salary grades
- Equality Issues
- Age Profile and Length of Service
- Leavers
- Recruitment

**6.4.3.** This information should then be compared against previous years in order to identify relevant trends. The retrospective comparison should look at a period equivalent to the planning period. See 'Net Supply' template (Appendix B).

**6.4.4.** In examining historical information, be alert to any significant events which occurred in the past which may have impacted the workforce (or have the potential to do so in the future).

**6.4.5.** Appendix C sets out the key information which should be captured within the workforce profile, as well as a series of questions to be considered in its interpretation.

## **6.5. Gap Analysis**

**6.5.1.** The purpose of this step is to analyse gaps (whether deficit or surplus) between the information identified in the earlier two steps (i.e. between forecast supply and demand). This analysis should be undertaken in relation to both headcount and competencies (technical or behavioural). Where different scenarios exist due to uncertainties, these will have been modelled to predict different possible futures in terms of both supply and demand. These should in turn translate to possible future gaps, during this step, based on the modelled scenario data. See 'Headcount Gap', 'Competency Gap' and 'Gap Analysis' templates (Appendix B).

**6.5.2.** Once gaps are identified, the underlying reasons should be considered and understood before subsequently producing a prioritised list, based on potential impact if the gap is not addressed.

## **7. Action Planning**

**7.1.** In the prior step (as well as during the environment analysis step), areas were identified where the organisation may have a gap between anticipated future supply and demand, or otherwise between current and future workforce requirements.

**7.2.** In this step, the organisation develops an action plan by prioritising the most critical gaps and determining strategies and specific action items to address the same. Strategies are broad categorical statements, whereas action items are specific approaches and steps that have measurable objectives. See 'Action Plan' template (Appendix B).

**7.3.** In identifying critical gaps, particular focus should be given to identifying any 'roles of interest' (and underlying role competencies). See 'Identification of Roles of Interest' template (Appendix B). These roles are defined as those where all of the following conditions are met:

- The post is critical to the smooth operation of the organisation;
- In order to fulfill the demands of the post, the postholder requires to have a qualification or training period of at least 2-3 years; and
- Gap analysis has indicated a potential significant shortfall in supply when compared to the future demand.

**7.4.** For each critical gap identified there are likely to be a number of different ways in which you might achieve the desired aim. When deciding which strategies (and corresponding actions) to implement, and to ensure those selected are realistic, consideration should be given to:

- Who will need to be involved and who will take ownership;
- Approximate timescales to reach the intended outcome (recognising that some will have an immediate effect whilst others may take years to be realised);
- What the associated costs are (versus likely impact);
- What the associated risks are of (as well as to) implementation (considering likelihood and impact of scenarios developed); and
- How the strategy will be measured and evaluated.

**7.5.** It should be noted that there may be some strategies which lead to favourable outcomes across all futures, and others where the outcome is less clear. In these situations, the relative probability of scenarios may need to be assessed, and scans made for signals that might indicate a particular scenario unfolding (with actions then being taken to mitigate any problems).

## **8. Monitoring and Evaluation**

**8.1.** The final step in the workforce planning cycle is monitoring and evaluation. Successful workforce planning is an active and continuous process which requires on-going monitoring and evaluation.

**8.2.** Action plans should be reviewed, at least quarterly, by Strategic Leads in discussion with their HR Business Partner (and by the Strategic Lead – People & Technology in discussion with their management team, in the case of the Council-wide plan), to ensure the appropriate level of progress is being made and that the required outcomes are being met in addressing workforce gaps identified through the workforce planning process. Plans should be adjusted, as appropriate, if they are not having the desired impact or if circumstances change.

**8.3.** Formal evaluation of workforce plans should be undertaken annually as part of the workforce planning cycle. In addition, as described at Section 2, above, a report on progress against previous plans (local and Council-wide) will be made to the relevant Committee when presenting revised annual action plans for approval.

**8.4.** When evaluating progress, the following should be considered:

- Are the identified strategies being implemented in accordance with the action plan?
- Have the strategies delivered against the required outcomes?
- Have the conditions (internal or external) changed?
- Are the estimates and assumptions of supply and demand still valid?
- Are there any other factors preventing achievement required outcomes?
- Is there a need to modify the strategies?

**8.5.** It is also important to capture any learning resulting from monitoring and evaluation, in order to understand how effective the workforce planning process is and inform future areas for improvement.

## **Appendix A - Workforce Plan Structure**

The Council's workforce plan (and corresponding Strategic Lead area-specific plans) should be consistently structured as follows:

- Contextual information on the key services and priorities over the planning period
- Details of how the workforce plan was developed (including details of consultation with relevant stakeholders), including a statement that, whilst an analysis of the whole workforce has been undertaken, only data of relevance and importance is reported within the plan.
- A summary of planned future service provision, outlining any assumptions made through the scenario planning process and the effect on the organisation's service delivery, workforce and finances.
- Forecast workforce numbers and skills needs, the expected shape of the workforce and costs, over the planning period.
- An analysis of the current workforce profile, identifying any gaps between anticipated future supply and demand (or between the current and required future workforce profile) which require priority attention.
- Details of action plans developed in order to achieve the required future workforce profile.
- Details of the process for monitoring and evaluation of the workforce plan and associated action plans.
- An analysis of where partnership working is needed to deliver priorities, what support the organisation needs from others and how these arrangements will work.

## Appendix B – Workforce Planning Templates

### Identification of Roles of Interest Template

	<b>Category 1: Business Objectives</b> What are the key business objectives for the next 3-5 years?	<b>Category 2: Current Strengths</b> What strengths do we have that we need to protect?	<b>Category 3: Future Strengths</b> What new strengths do we need to establish?
<b>Role Identification</b>	Which roles are involved in executing the business objectives?	Which roles are associated with the strengths we need to protect?	Which new roles need to be in place to establish the new strengths identified?
<b>Role List</b>	• • • •	• • • •	• • • •
Of the roles identified, which (if any) develop strategy?			
Of the roles identified, where will a shortage of employees impact strategic execution the most?			

### PESTLE Analysis Template

<b>Key Driver</b>	<b>Impact</b>	<b>Level of Uncertainty</b>	<b>Level of Impact</b>
	<i>How will the key drivers impact upon your service area (and, as a result, on the workforce)?</i>	<i>Low Uncertainty</i> <i>Moderate Uncertainty</i> <i>High Uncertainty</i>	<i>Low Impact</i> <i>Moderate Impact</i> <i>High Impact</i>
<b>Political</b>			
<b>Economic</b>			
<b>Social</b>			
<b>Technological</b>			
<b>Legal</b>			
<b>Environmental</b>			

**SWOT Analysis Template**

Key Driver	Impact	Level of Uncertainty	Level of Impact
	<i>How will the key drivers impact upon your service area (and, as a result, on the workforce)?</i>	<i>Low Uncertainty Moderate Uncertainty High Uncertainty</i>	<i>Low Impact Moderate Impact High Impact</i>
<b>Strengths (internal)</b>			
<b>Weaknesses (internal)</b>			
<b>Opportunities (external)</b>			
<b>Threats (external)</b>			

**Scenario Planning Outputs Template**

Key Driver	Likely Scenario	Impacts Upon			
		Employee Numbers	Job Roles	Employee Locations	Skills / Competencies

**Demand Forecast Template**

Area of Forecast	Rate	FTE						HC					
		Current	2018	2019	2020	2021	2022	Current	2018	2019	2020	2021	2022

**Demand Forecast – Comments Template**

Area of Forecast	Year	Change		Comment
		FTE	HC	
		From to	From to	



**Net Supply Template**

Based on anticipated turnover and assuming no recruitment to replace leavers.

Area of Forecast	Rate	FTE						HC					
		Current	2018	2019	2020	2021	2022	Current	2018	2019	2020	2021	2022

**Headcount Gap Template**

Area of Forecast	Rate	FTE					HC				
		2018	2019	2020	2021	2022	2018	2019	2020	2021	2022

**Competency Gap Template**

Strategic Objective	Competency Needed	Covered by Current Employees (Y/N)

**Gap Analysis Template**

Key Priority No.	Description	Impact Description	Impact
			High Medium Low

**Action Plan Template**

<p><b>Mission Challenges</b> (Define the issue)</p>				
<p><b>Strategy</b> (Define the broad category of planned action)</p>				
<p><b>Expected Outcome</b> (What do you want as a result of the strategy?)</p>				
<p><b>Measure of Success</b> (How will successful completion of strategy be measured?)</p>				
<p><b>Action Items</b> (What steps will be taken to achieve strategy?)</p>	<p><b>Person(s) Responsible</b> (Who is accountable?)</p>	<p><b>Resources Needed</b> (What do you need to get it done?)</p>	<p><b>“Complete By” Date</b> (When will each step be completed?)</p>	<p><b>Monitoring Method</b></p>

## Appendix C – Workforce Profile Data and Prompt Questions

Topic	Data to Gather	Questions to consider
Employment Status	<ul style="list-style-type: none"> <li>• Total number of employees</li> <li>• Number of employees with permanent contracts</li> <li>• Number of people on temp contracts</li> <li>• Number of employees in specific apprenticeship posts</li> <li>• Number of casual/supply workers</li> <li>• Number of employees on a fixed-term contract for longer than 2 years</li> <li>• Number of full-time employees</li> <li>• Number of part-time/job share employees</li> </ul>	<ul style="list-style-type: none"> <li>• Has your workforce grown or reduced?</li> <li>• Does this change match with your plans or did something unexpected happen?</li> <li>• Is there a trend towards part-time working?</li> <li>• Is it at all levels or only certain grades?</li> <li>• Are there levels of employees which are more likely to work part-time?</li> <li>• Does this mix of full and part-time staff affect shift arrangements?</li> <li>• Has your use of temporary employees increased or decreased over the review period?</li> <li>• Has your use of casual/supply workers increased or decreased over the review period?</li> <li>• Has your use of overtime increased or decreased?</li> <li>• Have you examined the reasons for overtime working?</li> </ul>
Salary Grades	<ul style="list-style-type: none"> <li>• Percentage and number by grade</li> </ul>	<ul style="list-style-type: none"> <li>• Is the distribution appropriate for service delivery?</li> <li>• Is there a relationship between salary band and gender?</li> </ul>
Equality Issues	<ul style="list-style-type: none"> <li>• Percentage of employees from BME Communities within the service</li> <li>• Percentage of employees from Black and Ethnic Minority Communities within West Dunbartonshire Council</li> <li>• Percentage of West Dunbartonshire population from BME Communities (from most recent census)</li> <li>• Percentage of Female employees within the service</li> <li>• Percentage of Female employees within West Dunbartonshire Council</li> <li>• Percentage of Females within West Dunbartonshire (from most recent census)</li> <li>• Percentage of disabled employees within the service</li> <li>• Percentage of disabled employees within West</li> </ul>	<ul style="list-style-type: none"> <li>• Is this mix appropriate – does it match your local population?</li> <li>• Have you analysed your ethnic mix by grade/level and by training uptake to ensure equality of opportunity for all your employees?</li> </ul>

	<p>Dunbartonshire Council</p> <ul style="list-style-type: none"> <li>Equality Monitoring Questionnaire return rate across West Dunbartonshire Council</li> </ul>	
Age Profile and Length of Service	<ul style="list-style-type: none"> <li>Percentage and number by age range</li> <li>Employees who will reach their normal retirement age in the next 5 years</li> <li>Percentage of employees with 10 or more years' service</li> <li>Percentage of employees with 1 to 9 years' service</li> <li>Percentage of employees with less than 1 years' service</li> </ul>	<ul style="list-style-type: none"> <li>Have you tried to match the age profile with the length of service patterns to see how this is contributing to your retention issues?</li> <li>Have you used this to inform your succession and development plans?</li> <li>Can you use this information to estimate likely turnover?</li> <li>Are there clusters of retirements at certain ages or in certain groups?</li> <li>When forecasting retirements, have you allowed for the residual early retirement rights of certain groups of employees (e.g. SPPA scheme)?</li> <li>Have you discussed with your HR Business Partner flexible working options for employees nearing retirement?</li> <li>What are the key skills and knowledge you will be losing when these people retire?</li> <li>Have you looked at how to replace these skills?</li> </ul>
Leavers	<ul style="list-style-type: none"> <li>Turnover rate for the service area (12 months to date)</li> <li>Turnover rate for West Dunbartonshire Council (12 months to date)</li> <li>Number of employees leaving employment due to the non-renewal of a fixed-term contract</li> <li>Number of employees on fixed term contracts nearing completion in the next 6 months</li> <li>Number of employees who left in the last 12 months (Not incl. Contract Expired)</li> <li>Number of employees who left in their first year (Not incl. Contract Expired)</li> <li>Number of employees leaving by reason</li> </ul>	<ul style="list-style-type: none"> <li>Is the rate unusual? If so, can you explain why?</li> <li>Is your turnover rate consistently high or low?</li> <li>Does this vary by employee group or by grade?</li> <li>Is there a trend building up?</li> <li>Have you analysed the reasons why employees are leaving? Is there a particular labour market issue involved here (e.g. new employers in the area offering more competitive terms and conditions)</li> <li>Can you see a relationship with high levels of recruitment, vacancies, age etc.?</li> <li>Is there too much stability in some areas?</li> </ul>
Recruitment	<ul style="list-style-type: none"> <li>Total number of posts advertised</li> <li>Total number of posts advertised externally</li> <li>Total number of posts advertised internally only</li> <li>Average length of time taken to fill a post (days)</li> </ul>	<ul style="list-style-type: none"> <li>Is the vacancy situation unusual - if so, why?</li> <li>Which posts are particularly hard to fill?</li> <li>Has the recruitment effort been redirected to address the problem areas?</li> <li>What other strategies are being explored to reduce vacancies?</li> <li>Is your actual recruitment reflecting your equal opportunity targets?</li> <li>Have you looked at the labour market for other forms of recruitment and</li> </ul>

		<p>other sources of recruits?</p> <ul style="list-style-type: none"><li>• Have you been able to recruit enough new qualifiers?</li><li>• Have you had skills issues with the new qualifiers? Has this been followed up?</li><li>• Are employees aware of opportunities and possible career pathways?</li><li>• Has additional training been required to up skill employees?</li><li>• Do you support employees to pursue necessary qualifications (i.e. appropriate study leave etc.)?</li></ul>
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## **Appendix D – Key sources of Workforce Information and Labour Market Intelligence**

- Chartered Institute of Personnel and Development (CIPD)
  - The CIPD produce a quarterly labour market trends publication which is available free of charge through their website.
  - [www.cipd.co.uk/onlineinfodocuments/surveys.htm](http://www.cipd.co.uk/onlineinfodocuments/surveys.htm)
- Labour Market in Scotland (Scottish Government)
  - Publications and economic profiles which relate specifically to the labour market in Scotland are produced regularly. Reports available include all the latest information on unemployment, employment, economic inactivity, earnings, public sector employment and other labour market based statistics. Data are available at a variety of geographies: UK, Scotland, Local Authority areas and Parliamentary Constituency areas.
  - [www.gov.scot/Topics/Statistics/Browse/Labour-Market](http://www.gov.scot/Topics/Statistics/Browse/Labour-Market)

# WEST DUNBARTONSHIRE COUNCIL

## Report by the Strategic Lead People and Technology

Corporate Services Committee: 8 June 2017

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**Subject: Creating a Flexible Workforce**

### 1. Purpose

- 1.1 The purpose of this report is to request approval of revisions made to the Flexible Working and the Recruitment and Selection Policies in relation to new initiatives aimed at improving the flexibility of the Council's workforce.
- 1.2 This report will identify the specific policy changes required, and will explain how revised processes to support the changes will be introduced.

### 2. Recommendations

2.1 The Committee is asked to approve:

- Revisions to the Flexible Working Policy to:
  - remove the qualifying period for application (currently 26 weeks in employment with West Dunbartonshire Council) and to permit requests every 6 months (currently restricted to one request per year); and
  - include provisions for **every** Council post (subject to justifiable exclusions) to be advertised as suitable for flexible working, and to encourage prospective candidates to indicate a preference for a flexible working pattern at the application stage.
- An addition to the Recruitment and Selection policy (by way of an appendix) to include a guaranteed interview scheme for carers returning to the workplace following a break from employment. This could be as a result of providing child or adult care (e.g. maternity, elderly care).

### 3. Background

- 3.1 The Council aims to develop a committed and dynamic workforce and to continually improving its' credentials as a family friendly employer. In March 2017, West Dunbartonshire Council was recognised for its' achievements by Family Friendly Working Scotland, and was awarded Best Public Sector Employer in a competitive field. The Council will continue to develop creative and innovative people solutions to build a strong and dynamic workforce of the future, complementing strategic ambitions.
- 3.2 Prioritising employees and families has a tangible business benefit. The world of work is changing fast and the social demands and lives of our employees are changing with it. Creating a workplace that supports employees and family life is both the right thing to do and economically

advantageous. Employees are more productive, engaged and motivated when they have control over their home and work lives. Recent studies have found:

- 65% of employers report family friendly and flexible working has a positive effect upon recruitment and retention (FFWS);
- 70% of employers note flexible working offers some or significant improvement in employee loyalty (Flexible Working Taskforce);
- Flexible working reduces time and cost spent on recruitment and training (Business Insider);
- Recruiting flexibly widens your talent pool: 47% of the workforce has a preference for a flexible role, yet only 6.2% of quality jobs are advertised flexibly (Joseph Rowntree Foundation); and
- The estimated cost of under-utilising women's skills is £15-23 billion, or 1.3% – 2% of GDP (CIPD).

**3.3** Flexible and family friendly working comes in many different shapes and sizes, depending upon the business and its employees. Traditionally, it has been mothers seeking flexible work arrangements. However, an increasing number of employees, both those with and without caring responsibilities, are seeking to work flexibly for a variety of reasons. Millennials say that personal development and work-life balance rank higher than financial reward, with flexible working coming second (PWC, 'Millennials at Work'). Over one million men in the UK choose to work part-time and almost two thirds of homeworkers are male (ONS).

## **4. Main Issues**

### Flexible Working

**4.1** As previously discussed, flexible working arrangements are both varied and variable. Commonly requested arrangements include:

- Part time (anything less than full time equivalent hours)
- Shift working
- Term time
- Compressed hours (e.g. 9 day fortnight)
- Staggered hours
- Late start / early finish
- Homeworking
- Flexible hours

All of these types of flexible working requests can be accommodated to a greater or lesser extent in **any** role within the Council. Some roles will be limited in the range of flexible working options available, but managers are



obliged to be open minded when considering requests, identifying alternatives or offering compromises where possible.

#### Flexible Working Policy – Qualifying Period / Frequency of requests

- 4.2** The current Flexible Working policy has a qualifying period of 26 weeks in employment with West Dunbartonshire. Further, the policy only permits one request (regardless of whether or not it is granted) every year. It is proposed that the qualifying period is removed and the policy is changed to allow requests every 6 months in light of the rapidly changing needs of both individual and the business.

#### Flexible Recruitment

- 4.3** The Flexible Working Policy will now also include a section dealing with flexible working at the recruitment stage. In line with the removal of the qualifying period of 26 weeks, we are also seeking to attract candidates who require, or would prefer a flexible working pattern from day one of their employment.
- 4.4** All advertised posts will now indicate that they are suitable for flexible working. The recruitment approval request form (Achieve Form) will automatically indicate that the post is suitable for flexible working unless this is 'unticked' by the recruiting manager. In these circumstances the recruiting manager will require to provide business justification for refusing flexible working, and this must be agreed by the HR Business Partner who will confirm / reject during the vacancy approval process. Posts deemed unsuitable for flexible working will be reported monthly to allow for monitoring and trend analysis.
- 4.5** Post will be advertised using the usual channels and will indicate that they are suitable for flexible working (subject to exclusions discussed above). 'My Job Scotland' webpage will give the examples of flexible working described in 4.1 above. When completing the application form, candidates will be asked:
- Would you like to work flexibly? (Yes / No)
  - Please indicate the work pattern you would prefer

Only once candidates are shortlisted for interview should recruiting managers give consideration to these responses. Discussion should take place at interview to explore the request from the candidate. When the preferred candidate has been selected, a more comprehensive discussion should take place regarding the agreed flexible working arrangements which will be reflected in the contract of employment.

#### Carers Guaranteed Interview Scheme

- 4.6** There exists a strong body of evidence indicating that women are under-utilised in terms of their qualification and experience in the UK. In many cases this is due to the challenge of balancing work and family commitments,

which often results in women taking low paid, part time jobs for which they are over-qualified. It is anticipated that our flexible recruitment measures will go some way to mitigate this, but there continues to be a significant number of carers, men and women, who encounter barriers to a return to work following a prolonged break from employment due to caring responsibilities.

- 4.7 The Council has already demonstrated its commitment to employee carers through our “We Care That You Care” strategy and supporting policies, and it is proposed that we extend this commitment to prospective employees.
- 4.8 The Council will introduce a guaranteed interview scheme for candidates who meet the essential criteria for a role and who can demonstrate that they are returning to work following a break from employment due to caring. It is anticipated that this will have a greater impact upon women, who dominate domestic caring roles, but as an inclusive employer, this scheme will extend to all prospective candidates.
- 4.9 Similar to the Disability Positive scheme (formerly Double Tick scheme), candidates will be asked if they are returning to employment following a break from employment due to caring. If they tick yes, they will be guaranteed an interview, provided they meet the essential criteria for the role.
- 4.10 The Council’s My Job Scotland page will be update to reflect the required criteria under the scheme along with different examples of a ‘carer’.

## **5. People Implications**

- 5.1 A committed and dynamic workforce, and a good work-life balance is proven to have a positive impact upon employee engagement, retention and attendance.

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

- 6.1 There are no financial implications.
- 6.2 There are no procurement implications.

## **7. Risk Analysis**

- 7.1 There are no risk implications

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

- 8.1 An Equalities Impact Assessment was conducted and can be found at appendix 3. The Impact Assessment identified no adverse impact upon any protected characteristic resulting in no further action required.

## **9. Consultation**

**9.1** Consultation with trade unions took place at the Employee Liaison Group on 31 March 2017. This proposal was also considered and approved by PMRG on 25 April 2017. Suggested revisions have been adopted and the proposed changes have been welcomed by our trade unions.

## **10. Strategic Assessment**

10.1 Creating a flexible workforce puts the Council in a strong position to respond to internal and external challenges impacting upon our workforce planning. A strong commitment to flexible work is proven to improve productivity, retention and employee loyalty and will position West Dunbartonshire Council as an employer of choice allowing us to attract the very best talent to our organisation.

---

**Victoria Rogers**  
**Strategic Lead People and Technology**  
**Date:** 8 May 2017

**Person to Contact:** Tracy Keenan, HR Business Partner  
Garshake Road, Dumbarton  
Tel: 01389 737537  
Email: [tracy.keenan@west-dunbarton.gov.uk](mailto:tracy.keenan@west-dunbarton.gov.uk).

**Appendices:** Appendix 1 – Revised Flexible Working Policy  
Appendix 2 – Appendix to Recruitment & Selection Policy  
Appendix 3 – Equality Impact Assessment

**Background Papers:** None

**Wards Affected:** None



HR Employment Policy & Procedures

## Flexible Working Policy

Implementation Date: tbc

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



**Quick Reference - Associated Documents and Version Control**

<b>Title</b>	Flexible Working Policy
<b>Version</b>	3.0
<b>Responsible</b>	Strategic HR Manager
<b>Committee approval date:</b>	7 June 2017 (to be confirmed)
<b>Date reported to JCF:</b>	
<b>Consultation with trades unions:</b>	
<b>Supersedes Version</b>	2
<b>Driver for change</b>	<b>The Council's commitment to positive worklife balance for all employees and its aim to continue as a top employer for working families</b>
<b>Legislative Context</b>	Introduction of Children and Families Act 2014 has extended the statutory right for all employees with 26 weeks continuous service to be able to make an application for flexible working.
<b>Date for Review</b>	The Policy will be updated to incorporate any relevant change to legislation or best practice as required.

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# Flexible Working

## 1. INTRODUCTION

1.1 The Council is committed to providing the opportunity for employees to achieve a positive work life balance through effective and productive ways of working that meet both business and employee needs. An increasing number of employees – both those with and without caring responsibilities – are seeking to work flexibly for a variety of reasons.

1.2 On 30 June 2014, the Flexible Working Regulations were amended. The changes mean that the right to request flexible working has been extended to cover all employees after 26 weeks' service, rather than only those with children under the age of 17 (or 18 if the child is disabled) and certain carers.

The Council aims to attract and retain the best available talent and offers an opportunity for prospective employees to talk to us about flexible working at the recruitment stage.

## 2. SCOPE

2.1 This document applies to all current and prospective employees of West Dunbartonshire Council.

## 3. KEY PRINCIPLES

3.1 Under the Children and Families Act 2014, all employees with 26 weeks continuous service have the statutory right to request flexible working irrespective of caring responsibilities.

3.2 The Council adopts a “reason neutral” policy with no qualifying criteria with regards to flexible working requests and therefore extends the statutory provisions to all current and prospective employees.

3.3 In order to minimise operational impact, employees are restricted to one application every six months.

3.4 Some examples of flexible working arrangements are listed below;

- part time
- job share
- shift working
- change in hours
- homeworking
- flexible hours
- staggered hours
- compressed hours



## 4.0 APPLICATION OF POLICY AND PROCEDURE

- 4.1 Prior to making an application for flexible working the employee should give careful consideration to any financial implications the change to working pattern may have on them it might have on them. Consideration should also be given to any effects it will have on service delivery, the department and/or work colleagues.
- 4.2 Approved applications will normally mean a **permanent** change to the employee's contractual terms and conditions of employment. However, in some circumstances a permanent change to an employee's contract may not be the best solution. It may be possible to agree a temporary change of contract for a trial period to assess the demands for care. For example, when caring for a terminally ill person or for a person whose care needs fluctuate. At the end of this period a review should be undertaken to confirm or alter the arrangement as appropriate.
- 4.3 The employee will be required to make an application for flexible working in writing to their Manager. The Request for Flexible Working Achieve Form can be found on the Council's Intranet.
- 4.4 The Manager will arrange to meet with the employee within 28 days of receipt of the application, to discuss the practical implications of the desired working pattern and how best it might be accommodated. The meeting may also provide an opportunity to consider alternative working patterns should there be challenges in accommodating the requested work pattern.
- 4.5 The employee may be accompanied to the meeting by a Trades Union representative or work colleague.
- 4.6 The Manager will confirm to the employee, in writing, within 14 days of the meeting either:
- (a) agreement on the new work pattern and start date, or,
  - (b) that the request has been refused and provide clear business reasons for this decision, which must be derived from one or more of the following:
    - Burden of additional costs
    - Detrimental effect on the ability to meet customer demand
    - Inability to reorganise work among existing staff
    - Inability to recruit additional staff
    - Detrimental impact on quality
    - Detrimental impact on performance
    - Insufficient work during the periods the employee proposes to work
    - Planned structural changes

## **5. APPEALS PROCEDURE**

- 5.1** The employee will have the right to appeal any decision taken to the next level of manager and should do so within 14 days.
- 5.2** Should an employee be dissatisfied with the outcome from the meeting with the next level of manager, , employees will have a final right of appeal which will be heard by their Executive Director or delegated senior manager. Appeals must be submitted within 14 days of the outcome from the meeting with the first appeal manager.
- 5.3** Appeals must be in writing and the standard Flexible Working Notification of Appeal Achieve Form (Appendix 2) can be found on the Council's Intranet.
- 5.5** The employee will be notified within 5 days of the date on which the Appeal form was received advising of the arrangements for the Appeal. The Hearing will be heard by the next level manager / Executive Director or nominated Senior Officer. The employee has the right to be accompanied by their Trades Union representative or colleague to this meeting.
- 5.6** The employee will be notified in writing of the decision within 5 days of the date of the concluded Appeal Hearing.

## **6 REVIEW AND MONITORING**

- 6.1** The policy and procedure will be reviewed in line with employment legislation and employment practice. Any amendments to the policy will be implemented after full consultation with the trades unions.

## **Appendix 2 – Carers Guaranteed Interview Scheme**

### **1. INTRODUCTION**

- 1.1** A significant body of research exists which shows that workers who are obliged to take time out from their working lives / careers due to caring responsibilities, face significant barriers to returning to work, returning to role with a positive work life balance, and returning to a role suitable for their knowledge and qualification. Research shows that women face the greatest disadvantage, but barriers can also extend to working fathers.

### **2. SCOPE**

- 2.1** This document applies to all prospective employees of West Dunbartonshire Council.

### **3. KEY PRINCIPLES**

- 3.1** The Council aims to attract the best available talent and is committed to providing the opportunity for prospective employees to re-enter the workplace following a break from employment where the reason for that break relates to a need to provide care. This can be care of a child / children, or of an adult.
- 3.2** Subject to the specified criteria, all vacancies advertised by West Dunbartonshire Council will offer a guaranteed interview for candidates returning from a break from employment following a period of providing care.
- 3.3** The following criteria must be met to guarantee an interview for an advertised vacancy:
- The candidate must meet the essential criteria for the role
  - The candidate must have had a break from their employment
  - The break from employment must be as a result of a caring responsibility

### **4.0 APPLICATION OF THE SCHEME**

- 4.1** The Council's vacancy application online form will ask the following questions:
- Are you currently, or have you been a carer?
  - Are you currently on a break from employment as a result of your caring responsibilities?

If the candidate answers yes to both of these questions they will receive XX points in the online recruitment portal. This will indicate to the recruiting manager that the employee's application should be given preference. In addition, HR Connect will alert recruiting managers that should the candidate meet the essential criteria, they will be interviewed for the post.

- 4.2 Candidates will then be invited to attend for interview in the usual way and the procedures specified in the Recruitment and Selection policy should be followed.

## **5 REVIEW AND MONITORING**

- 5.1 The scheme will be reviewed in line with employment legislation and employment practice. Any amendments to the policy will be implemented after full consultation with the trades unions.

DRAFT

**EQUALITY IMPACT: SCREENING AND ASSESSMENT FORM**

**This form is to be used in conjunction with the Equality Impact Assessment Guidelines. Please refer to these before starting; if you require further guidance contact [community.planning@west-dunbarton.gov.uk](mailto:community.planning@west-dunbarton.gov.uk)**

<b>Section 1: Policy/Function/Decision (PFD) Details</b>	
A <b>PFD</b> is understood in the broad sense including the full range of functions, activities and decisions the council is responsible for.	
Name of PFD:	Creating a Flexible Workforce
Lead Strategic Area & other departments/ partners involved:	People and Technology
Responsible Officer	Tracy Keenen, HR Business Partner
Impact Assessment Team	Tracy Keenan, HR Business Partner Melissa Connor, HR Adviser
Is this a new or existing PFD?	Existing
Start date of EIA: 07/04/2017	End date of EIA: 18/04/17
Who are the main target groups/ Who will be affected by the <b>PFD</b> ?	All Employees
Is the PFD Relevant to the General duty to eliminate discrimination, promote equal opportunities or foster good relations? Please enter brief detail	Yes
<b>Yes:</b>	If yes, complete all sections, 2-8
<b>No:</b>	If no, complete only sections 1 and 8
	If don't know, complete sections 2 & 3 to help assess relevance

## Section 2: Evidence

Please list the available evidence used to assess the impact of this PFD, including the sources listed below. Please also identify any gaps in evidence and what will be done to address this.

### Available evidence:

Consultation/ Involvement with community, including individuals or groups or staff as relevant	Consultation with trade unions took place at the Employee Liaison Group on 31 March 2017. Suggested revisions have been adopted and the proposed changes have been welcomed by our trade unions.
Research and relevant information	<p>Creating a flexible workforce puts the Council in a strong position to respond to internal and internal challenges impacting upon our workforce planning. A strong commitment to flexible work is proven to improve productivity, retention and employee loyalty and will position West Dunbartonshire Council as an employer of choice allowing us to attract the very best talent to our organisation.</p> <p>Prioritising employees and families has a tangible business benefit. The world of work is changing fast and the social demands and lives of our employees are changing with it. Creating a workplace that supports employees and family life isn't just the right thing to do, it is economically advantageous. Employees are more productive, engaged and motivated when they have control over their home and work life. Recent studies have found:</p> <ul style="list-style-type: none"><li>• 65% of employers report family friendly and flexible working has a positive effect upon recruitment and retention (FFWS)</li><li>• 70% of employers note that flexible working offers some or significant improvement in employee loyalty (Flexible Working Taskforce)</li><li>• Flexible working reduces time and cost spent on recruitment and training. (Business Insider)</li><li>• Recruiting flexibly widens your talent pool: 47% of the workforce has a preference for a flexible role, yet only 6.2% of quality jobs are advertised flexibly (Joseph Rowntree Foundation)</li></ul>

	<ul style="list-style-type: none"> <li>The estimated cost of under-utilising women's skills is 15-23 billion pounds, or 1.3% – 2% of GDP (CIPD)</li> </ul> <p>Lack of flexible working is one of the key causes of the gender pay gap. Women are more likely to have caring responsibilities for children, sick relatives, disabled people, or older people, and are therefore keen to secure flexible working in order to balance work with caring responsibilities. However, many women are afraid of what will happen to their career path if they try to work part-time, or ask to work flexibly, because they see few role models at senior levels doing this. There is also a perception that part-time workers are seen as uncommitted, unambitious, and unproductive. In many sectors, and for most job roles, it is extremely rare for jobs to be advertised on a part-time basis. This can act as a barrier to women seeking progression and promotion, and to applying for jobs in specific fields for which they are skilled.</p>
Officer knowledge	HR professionals
Equality Monitoring information – including service and employee monitoring	The organisation has a predominantly female workforce and this trend is likely to continue. This is reflective of the public sector.
Feedback from service users, partner or other organisation as relevant	
Other	
<b>Are there any gaps in evidence?</b> Please indicate how these will be addressed	
Gaps identified	
Measure to address these	

*Note: Link to Section 6 below Action Plan to address any gaps in evidence*

**Section 3: Involvement and Consultation**

Include involvement and consultation relevant to this PFD, including what has already been done and what is required to be done, how this will be taken and results of the consultation.

Please outline details of any involvement or consultation, including dates carried out, protected characteristics. Also include involvement or consultation to be carried out as part of the developing and implementing the policy.

Details of consultations	Dates	Findings	Characteristics
Consultation with trade unions took place at the Employee Liaison Group. Suggested revisions have been adopted and the proposed changes have been welcomed by our trade unions.	31 March 2017		Race
			Sex
			Gender Reassignment
			Disability
			Age
			Religion/ Belief
			Sexual Orientation



			Civil Partnership/ Marriage
			Pregnancy/ Maternity
			Cross cutting

*Note: Link to Section 6 below Action Plan*

#### **Section 4: Analysis of positive and Negative Impacts**

<b>Protected Characteristic</b>	<b>Positive Impact</b>	<b>Negative Impact</b>	<b>No impact</b>
Race	Females in certain cultures are more likely to have main caring responsibilities and these measures supports females to remain in or return to employment.	No negative impact	
Sex	Females are more likely to have main caring responsibilities and these measures supports females to	No negative impact	

	<p>remain in or return to employment.</p> <p>Females are more likely to take career breaks due to caring responsibilities and the guaranteed interview provision will support females to return to employment.</p>		
Gender Re-assignment	No direct impact	No negative impact	
Disability	These measures will support disabled individuals and those supporting disabled individuals to remain in or return to employment by supporting work/life balance pressures and creating reasonable adjustments at the outset.	No negative impact	
Age	Older individuals tend to have more complex caring responsibilities and these measures will enable older	No negative impact	

	people to remain in or return to employment.		
Religion/ Belief	No direct impact	No negative impact	
Sexual Orientation	No direct impact	No negative impact	
Pregnancy/ Maternity	Females are more likely to have main caring responsibilities and these measures supports females to remain in or return to employment.		
Civil Partnership/ Marriage; this PC is not listed as relevant for Specific Duties; however under the General Duty we are required to eliminate any discrimination for this PC.	These measures support individuals to remain in or return to work and due to the positive financial impact this is likely to reduce marital stress.	No negative impact	
<i>Note: Link to Section 6 below Action Plan in terms of addressing impacts</i>			
<b>Section 5: Addressing impacts</b> Select which of the following apply (use can choose more than one) and give a brief explanation – to be expanded in Section 6: Action Plan			

1. No major change	
2. Continue the PFD	X
3. Adjust the PFD	
4. Stop and remove the PFD	
Give reasons:	
<i>Note: Link to Section 6 below Action Plan</i>	

<b>Section 6: Action Plan</b> describe action which will be taken following the assessment in order to; reduce or remove any negative impacts, promote any positive impacts, or gather further information or evidence or further consultation				
<b>Action</b>	<b>Responsible person</b>	<b>Intended outcome</b>	<b>Date</b>	<b>Protected Characteristic</b>
Promotion of approved changes.	Tracy Keenan/HR team	Success in attracting and retaining a dedicated and skilled workforce.	Ongoing	Disability
Monitoring of approved changes.				Gender
				Gender Reassignment
				Race
				Age
				Religion/ Belief
				Sexual Orientation
				Civil Partnership/ Marriage Pregnancy/ Maternity

				Cross cutting
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**Are there any negative impacts which cannot be reduced or removed?** please outline the reasons for continuing the PFD

No.

**Section 6a: Procurement Actions, Record of Equality issues for Procurement.**

Complete this section if there is any procurement involved in this Policy which may require action to eliminate discrimination, advancing equality or fostering good relations: **If there is no procurement involved go straight to section 7.**

**Confirm that you have read the WDC guidance on equality and procurement if relevant. Y/N**

Question	Measure	Specification
What attitudes / skills should staff have to meet needs of the range of people from equality groups		
What measures are required to ensure that the supplies, services or works are accessible for to people from equality groups (this includes physical access and access to information/ communication)		
What arrangements are required to ensure that the supplies, services or works respond to particular religious or cultural requirements?		
What arrangements are required to ensure that the supplies, services or works meet the needs of equality groups		

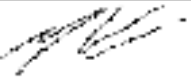
Any other equality issues that should be taken into account in the contract specification:

**Section 7: Monitoring and review**  
Please detail the arrangements for review and monitoring of the policy

How will the PFD be monitored? What equalities monitoring will be put in place?	Monitoring will be carried out through HR systems.
When will the PFD be reviewed?	In line with WDC Policy Framework
Is there any procurement involved in this PFD? If yes please confirm that you have read the WDC Equality and Diversity guidance on procurement	<b>No</b>

**Section 8: Signatures**

The following signatures are required:

Lead/ Responsible Officer:	Signature: <i>Tracy Keenan</i>	Date: 18/4/17
EIA Trained Officer: Melissa Connor	Signature: 	Date: 18/04/2017

**WEST DUNBARTONSHIRE COUNCIL****Report by Strategic Lead People and Technology****Corporate Services Committee: 7<sup>th</sup> June 2017**

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**Subject: Launch of Be the Best Conversations (replacing Performance and Development Planning (PDP) Policy & Procedure)****1. Purpose**

**1.1** This report outlines the rationale for replacing the PDP Policy & Procedure with 'Be the Best Conversations'.

**2. Recommendations**

**2.1** The Committee is asked to:

- Agree to replace the PDP Policy and Procedure;
- Note the introduction of Be the Best Conversations from April 2017 as a replacement mechanism in encouraging positive employee conversations; and,
- Approve the revised People Management Framework (appended to this report).

**3. Background**

**3.1** Over the last year, research has been undertaken into the effectiveness, quality and experience of the PDP process. Various measures were used including focus groups, internal survey, qualitative review and anecdotal evidence, gathered through feedback from workshops and engagement events. Input was received from employees, managers and Trade Unions colleagues resulting in the emergence of key themes, as outlined below:

- Many viewed PDP as 'pointless', 'a waste of time' and a 'tick box exercise' – PDP rated only 2 out of 5 in the survey;
- There were pockets of good practice where the process appeared to be working well, but many areas where it was not;
- Many did not connect having 1-2-1 meetings/supervision with the PDP process and often this was seen as two different and completely separate things hence the feeling of tick box bureaucracy;
- The qualitative survey highlighted that there was disparity between the physical completion of the form and the quality of completion and only **15%** of the sample complied with the SMART format of objectives;
- Evidence and feedback from the focus groups evidenced the aspects most valued which included the opportunity to discuss their development needs, time to talk to their manager/employees and clarity of role objectives;

- The areas that needed improved included reducing the bureaucracy, ensuring more flexibility and less form/process focused, ensuring that the discussions added value; and
- Overall PDP was viewed fairly negatively and completion of the process viewed as a chore by all parties. This has a resulting negative impact on performance and commitment to actively participate in the process.

#### 4. Main Issues

##### The Changes

- 4.1 The evidence indicated a need for change. A new approach enables a more personal and regular approach to 1-2-1 conversations as the organisation becomes more flexible and adaptive in the delivery of services.
- 4.2 Table 1 below shows the key differences between the previous PDP process and the new Be the Best conversations approach.

Table 1 – PDP and Be the Best Conversations

<b>PDP</b>	<b>Be the Best Conversations</b>
<ul style="list-style-type: none"> <li>• Annual cycle, April – March with 3 key touch points, start, mid-year and end of year</li> </ul>	<ul style="list-style-type: none"> <li>• Continuous, regular 1-2-1s (as already exist across many occupational groups)</li> </ul>
<ul style="list-style-type: none"> <li>• End of year assessment ratings</li> </ul>	<ul style="list-style-type: none"> <li>• Continuous dialogue allowing praise/issues to be immediate (no ratings)</li> </ul>
<ul style="list-style-type: none"> <li>• Mandatory paperwork</li> </ul>	<ul style="list-style-type: none"> <li>• Optional templates for use</li> </ul>
<ul style="list-style-type: none"> <li>• Must update HR21 once PDPs completed</li> </ul>	<ul style="list-style-type: none"> <li>• No formal PDP therefore no HR21 updating required</li> </ul>
<ul style="list-style-type: none"> <li>• Central co-ordination of statistics collated from HR21</li> </ul>	<ul style="list-style-type: none"> <li>• Not required as no formal rating</li> </ul>
<ul style="list-style-type: none"> <li>• Limited flexibility</li> </ul>	<ul style="list-style-type: none"> <li>• Fully flexible</li> </ul>
<ul style="list-style-type: none"> <li>• SMART objectives required</li> </ul>	<ul style="list-style-type: none"> <li>• Aims/goals/expectations (SMART optional)</li> </ul>
<ul style="list-style-type: none"> <li>• Performance indicator was the only measurement</li> </ul>	<ul style="list-style-type: none"> <li>• Multiple measurements – see paragraph 4.5</li> </ul>

##### Be the Best Conversations

- 4.3 Be the Best conversations are regular and continuous 1-2-1s for all employees enabling discussion of key aims and goals, achievements and challenges, development needs and aspirations, behaviours and expectations. The definition of 'regular' is flexible to fit with the needs of the service and work group, however, research shows that monthly 1-2-1s are most effective where this is possible.



- 4.4** Regular Be the Best conversations with employees will lead to increased understanding of expectations and by reviewing development needs on a regular basis, skills gaps can be readily identified and addressed. This in turn can lead to improved service delivery.

#### Measuring Effectiveness

- 4.5** The new approach will take time to embed and measurement of effectiveness and impact will be undertaken in a number of ways including:

- Focus groups, representing all strategic lead areas including managers, employees, Trades unions, HR Business Partners and key stakeholder groups;
- Monitoring of in-house training requests being requested and accessed;
- Employee survey outcomes;
- Strategic leads will actively seek feedback during back to the floor visits; and
- The implementation of the approach will be discussed at senior management meetings.

These measures will enable engagement with managers on their approach, and with the workforce on their experience and help to identify any gaps.

- 4.6** Supporting the launch and embedding of the new approach, there are a variety of activities in progress including presentations to Senior Management Teams, Masterclasses for G5-9 managers and 30 OD minute sessions for employees. These sessions can also be provided at team meetings on request, there are intranet resources available and monthly OD & Change clinics.

- 4.7** The Council is keen to demonstrate to employees that they are valued, with an emphasis on personal improvement leading to productivity and performance increases. The new approach aims to motivate and empower employees to take the initiative to seek development opportunities, improve their skills, receive feedback and discuss solutions and ideas to help achieve Being the Best in their roles.

- 4.8** Be the Best Conversations completely replace the previous Performance and Development Planning Policy and Procedure.

- 4.9** The existing People Management Framework which sets out expected behaviours of managers has been updated to reflect the expectations in relation to Be the Best Conversations and is shown at Appendix 1

## **5. People Implications**

- 5.1** Removing the mandatory paperwork and data input will free up time to enable Be the Best conversations for all employees. Regular discussions aim to positively impact employee morale, increase the numbers of employees

feeling valued and ensure the opportunity to discuss work and development, supporting them to be their best.

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

**6.1** There are no direct financial or procurement implications.

## **7. Risk Analysis**

**7.1** Widening the parameters and allowing services to proceed with the best approach for them may lead to non-participation. To mitigate this we intend to undertake surveys, focus groups, cold calling and collect anecdotal evidence and employee survey results regarding employee morale and performance. We will also consult with Trades Unions, HR Business Partners and the Performance Team to identify areas where it appears that regular conversations are not taking place, or there is evidence that manager practice is impacting on employee or service performance.

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

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

## **9. Consultation**

**9.1** Initial consultation has been undertaken with Trade Unions, HR Business Partners, focus groups (employees and managers), survey, those with responsibility for training within services to assess the requirement for managers and employees. Further consultation will be undertaken with services to confirm the applied transfer, embed the process, co-ordinate participation, and explore areas for further review.

## **11. Strategic Assessment**

**11.1** This report does not directly impact on the Council's strategic priorities however it is a key element of assuring the Council's success factor of 'a committed and dynamic workforce' and developing a positive organisational culture.

### **Victoria Rogers**

Strategic Lead People and Technology

Date: 3<sup>rd</sup> May 2017

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#### **Person to Contact:**

Alison McBride

Manager of Organisational Development & Change

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Telephone: 01389 737520

**Appendices:** Appendix 1 - People Management Framework

**Background Papers:** Performance & Development Planning Policy &  
Procedure  
Joint Consultative Forum: 12<sup>th</sup> March 2015 – People  
Management Framework

**Wards Affected:** N/A



# People Management Framework

As a manager of people, your role is critical in ensuring that services and objectives are delivered effectively and efficiently, while supporting, motivating and developing individuals within your teams to build capacity and capability to secure sustainable delivery of services for the future.

## What we expect of managers

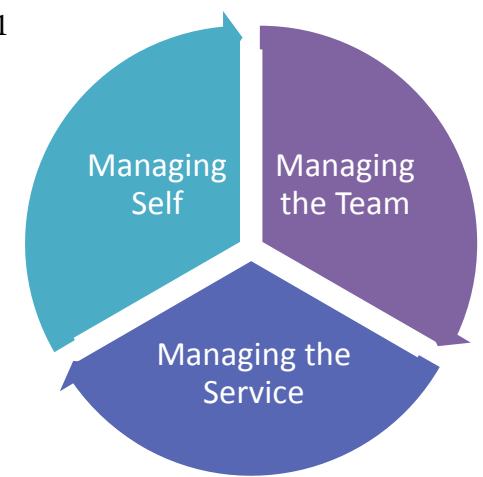
We expect our managers to be role models for others; to 'live' our ACHIEVE Values, which are recognised, supported and valued by the organisation for all employees.




We expect managers to have *regular* **Be the Best conversations** with all employees providing support and recognition, discussing development and challenges, and enabling and empowering individuals to **Be their Best**.

Managers will also demonstrate key behaviours in 3 areas:

- **Managing Self** – the focus is on encouraging self-awareness and reflection; self-development and finding ways to demonstrate desired management and leadership behaviours appropriate to the role
- **Managing the Team** – the focus is on managing individuals and the collective team to work together to achieve the agreed objectives for the service in a way that meets the expectations of the customers.
- **Managing the Service** – the emphasis is on the delivery and continuous improvement of the service.

This model is aligned with the Leadership Framework and also links into the three main themes of the **Be the Best** strategy.



 <b>Managing Self</b> We will continuously develop ourselves as employees	 <b>Managing the Team</b> We will provide excellent customer services	 <b>Managing the Service</b> We will continuously improve our services
<ul style="list-style-type: none"> <li>• Be respectful towards others; be approachable, encouraging positive working relationships with your team and colleagues;</li> <li>• Be accountable for your actions and behaviours; be aware of the impact these can have on others; lead by example; participate in regular Be the Best conversations with your own manager;</li> <li>• Demonstrate ACHIEVE values in all communications; think of your audience, select the 'right' format and tone to deliver your message effectively;</li> <li>• In-keeping with <i>Be the Best</i>, take responsibility for your own learning – identify your strengths and development areas; seek opportunities for support;</li> <li>• Value opportunities to work with a wide variety of colleagues, share learning, experience and build expertise;</li> <li>• Balance your responsibilities effectively to ensure smooth delivery of service and achievement of your individual and service objectives;</li> </ul>	<ul style="list-style-type: none"> <li>• Through regular Be the Best Conversations, provide feedback and encourage discussion on progress, achievement and opportunities for development;</li> <li>• Harness the teams' collective skills and expertise, providing support and guidance to ensure motivation is achieved and maintained;</li> <li>• Recognise and celebrate contribution, achievement and success of individuals and the team;</li> <li>• Provide fair and equitable management through applying policy and procedure effectively, actively demonstrating ACHIEVE behaviours;</li> <li>• Manage performance gaps effectively and provide support to enable improvement;</li> <li>• Manage difficult situations and challenging behaviours constructively and in a timely manner, keeping focus on resolution;</li> <li>• Support your team to Be the Best through implementation of Corporate strategies and initiatives;</li> </ul> <p style="text-align: center;"><b>Page 381</b></p>	<ul style="list-style-type: none"> <li>• Support and encourage staff to provide the best quality service for customers, in accordance with the Customer Charter;</li> <li>• Be aware of the council's priorities at all times and ensure that the team are aware of how your service contributes to the achievement of these;</li> <li>• Regularly review team performance against all agreed targets, adjust as required, and ensure results are delivered to agreed timelines;</li> <li>• Continually review and challenge accepted ways of working to maximise efficiency and effectiveness;</li> <li>• Encourage team contribution to discussions on how things could be done differently/better and ensure that ideas are progressed as appropriate;</li> <li>• Ensure customer feedback is built in to the service model and used effectively to improve service delivery;</li> <li>• Identify opportunities to improve service by working in partnership with other areas/organisations;</li> </ul>



**WEST DUNBARTONSHIRE COUNCIL****Report by Strategic Lead – People and Technology****Corporate Services Committee: 8 June 2017**

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**Subject: Working Well Together - Attendance Management: Annual Performance 2016/17****1. Purpose**

- 1.1** The purpose of this report is to advise Committee on attendance levels across the Council for 2016/17. The report provides a breakdown of absence performance by Strategic Lead area.

**2. Recommendations**

- 2.1** It is recommended that the Committee note the content of the report and the attendance results for 2016/17, namely a decrease of 5111 FTE days lost (11.3%) compared to the same period last year.
- 2.2** The Committee is further directed to Appendices 1-4 which provides a breakdown of results for the Strategic Lead area(s) covered by this Committee.
- 2.3** The Committee is also asked to note the supporting verbal commentary from the Director in respect of pertinent points / actions to note for the service areas within the locus of this Committee.

**3. Background**

- 3.1** Improving attendance at work is a key strategic priority for the Council requiring commitment from elected members, Strategic Leadership Group, Trades Unions, individual managers and employees.
- 3.2** The Council has made a commitment to improving attendance levels by setting ambitious targets of reducing days lost for Local Government Employees to 7 FTE days lost per employee by 2017, and 5 FTE days lost for Teachers. Table 1 below shows individual targets by Strategic Lead and compares to the annual result for each area in 2016/17. The areas highlighted are those covered by this committee.

Table 1 – Strategic Lead Targets (FTE days lost per employee)

Strategic Lead	2016/2017	Year End 16/17	% Var
<b>Council Wide</b>	<b>7</b>	<b>10.47</b>	<b>50</b>
CH&CJustice	9	13.26	47
CH&Care	10.5	18.77	79
MHA&LD	8.5	14.21	67
SP&HI	4.5	6.14	36
Resources	7	9.63	38
P&T	4.5	3.55	-21
Regulatory	6	6.23	4
CCC	6.5	4.70	-28
Ed Support	8.5	9.22	8
Ed T	5	5.77	15
Env & N Services	8	10.73	34
H & E	6.5	8.86	36
Regeneration	8.5	11.19	32

## Main Issues

### Annual Performance

- 4.1 Council Wide Absence was reported as 10.47 FTE days lost per employee representing an 11.3% improvement on last year. Chart 1 below shows the monthly trend for the last 12 months (April 2016 – March 2017) and compares with the same period last year. The results show that absence followed the usual seasonal trend and there was a month on month improvement until October 2016. Thereafter, improvements moderated towards the end of the year.

Chart 1 – Absence Trend – Rolling Year

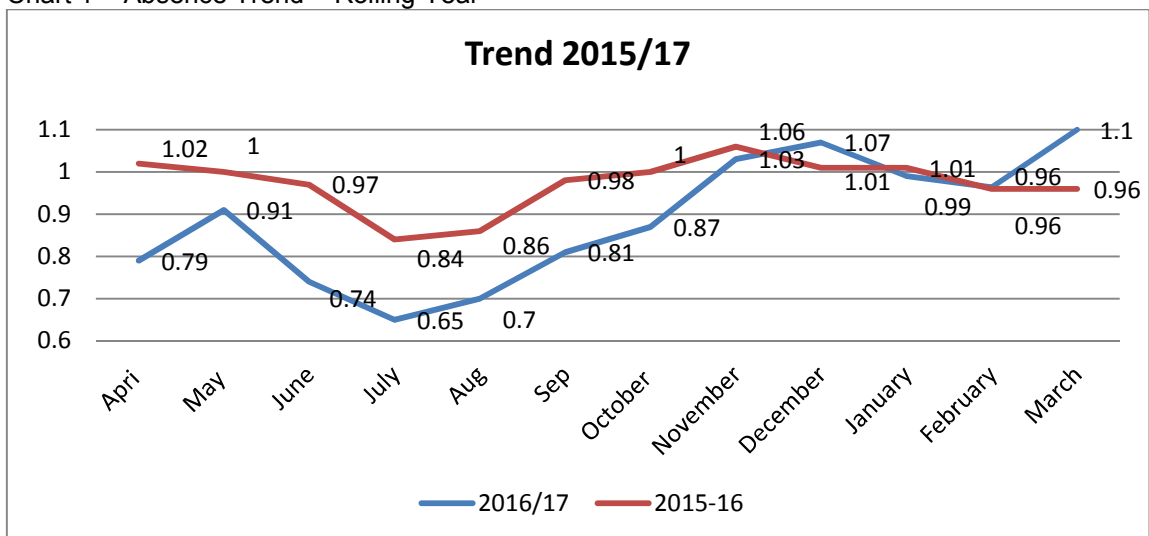




Table 2 shows the service breakdown across the Council. The results highlighted are those strategic lead areas whose absence was above the Council average of 10.47 FTE days lost per employee.

Table 2 – Strategic Breakdown Annual 2016/17

<b>Strategic Lead Area</b>	<b>No of FTE e/ees</b>	<b>Days Lost FTE* (2016/17)</b>
Council Wide	<b>4479.13</b>	<b>10.47</b>
Child Healthcare & Criminal Justice	233.02	13.26
Community Health & Care	746.44	18.77
Mental Health, Addiction & Learning Disabilities	144.45	14.21
Strategy, Planning & Health Improvement	27.15	6.14
Environment & Neighbourhood	653.24	10.73
Housing & Employability	241.98	8.86
Regeneration	419.77	11.19
Communications, Culture & Communities	156.37	4.70
Education – Support	534.03	9.22
People & Technology	109.36	3.55
Regulatory	161.28	6.23
Resources	176.67	9.63
Education - Teachers	861.84	5.77

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

### Absence Duration

- 4.2** Table 3 shows the duration breakdown for 2016/17 and compares to last year. Long term absence has reduced overall and we are now seeing a more balanced picture, with long term absence accounting for 51% of days lost. This is consistent with the significant reduction in days lost due to Acute Medical Conditions and Stress, which tend to be long term in nature. The duration profile varies across the strategic lead areas, for example, within Communications, Culture & Communities, long term absence accounted for 30% of all employees, whilst in HSCP, long term absence accounted for 56% of all days lost.

Table 3 – Absence Duration – Council Wide

<b>Annual</b>	<b>2016/17</b>	<b>2015/16</b>
Short Term (under 20 days)	49%	46%
Long Term (over 20 days)	51%	54%

### Absence Reasons

- 4.3** Table 4 shows the reasons for absence recorded this year and last year. The top 3 reasons in each year are highlighted. As last year, Minor Illness accounted for most days lost in the year, however days lost fell overall by 6.4%. Stress absence fell significantly compared to last year (15%) as did Acute Medical Conditions (14% reduction in days lost). Non Work Related

and Work Related Accidents have risen in the year, and this is predominantly within HSCP.

Table 4 – Reasons analysis

Annual Absence Reason	2016/17		2015/16	
	Working Days Lost	% of Lost Days	Working Days Lost	% of Lost Days
Minor Illness	15,802.5	26.82%	16,886.5	25.50%
Back Pain	2,453.0	4.16%	2,876.5	4.34%
Musculo-skeletal Injuries	9,730.5	16.52%	10,533.0	15.91%
Stress – Personal	7,226.0	12.26%	*11,348.0	*17.14%
Recurring Medical Conditions	4,109.5	6.97%	4,075.0	6.15%
Non Work Related Accidents / Injuries	1,314.5	2.23%	1,127.0	1.70%
Work Related Accidents / Injuries	916.5	1.56%	729.0	1.10%
Mental Health	3,023.5	5.13%	4,491.0	6.78%
Acute Medical Conditions	10,432.0	17.71%	12,185.0	18.40%
Pregnancy Related Absence	848.0	1.44%	951.5	1.44%
Drink or Drug Rel. Condition	101.0	0.17%	111.0	0.17%
Stress – Work Related	2,425.5	4.12%		
Reason Not Disclosed	535.5	0.91%	897.0	1.35%

\*In 2015/16 Personal and Work Related Stress reported as combined figure

### Employee Wellbeing Group

- 4.4** The new Employee Wellbeing Group met for the first time on 21<sup>st</sup> March 2017. The group considered draft terms of reference, as well as suggested key elements to inform development of a Council Employee Wellbeing Strategy. A workshop process then enabled discussion on the development and potential content of proposed Council-wide workstream action plans, following which the group reflected on possible areas of local need to be considered in the development of individual Strategic Lead area action plans.

Next steps will be for the group to agree their terms of reference and a draft Employee Wellbeing Strategy to be submitted for final approval. Thereafter, membership of the council-wide workstreams will be identified and the outputs of the workshop will be shared in order that Council-wide and Strategic Lead area action plans can then be developed.

## **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 16/17 indicate an improvement in attendance which will have a positive impact upon morale, engagement and the workload of colleagues.

## **6. Financial Implications**

- 6.1** Annual results show the Council lost a total of 46915 FTE days to sickness absence in 16/17 and based upon the above estimates, the overall cost of absence this year was £5.77m.

## **7. Risk Analysis**

- 7.1** This year, the Council has reported an 11.3% improvement in attendance levels, but there are some areas of the organisation that are showing limited signs of improvement. Without maintaining and continuing to improve attendance there continues to be a potential risk of loss of productivity, reduced team performance and detrimental impact to service delivery.

## **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 Trade unions through the ELG, JCF and JCCs to identify and address attendance issues.
- 9.2** Strategic Leads continued to be consulted through regular meetings with HR Business Partners.

## **10. Strategic Assessment**

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

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**Victoria Rogers**  
**Strategic Lead, People and Technology**  
**Date: 2 May 2017**

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**Appendices:** Appendix 1 – 2016/17 – P&T Absence

Appendix 2 – 2016/17 – Resources  
Appendix 3 – 2016/17 – Regulatory  
Appendix 4 – 2016/17 – Communications, Culture and  
Communities

**Background Papers:** None

**Wards Affected:** None

## Appendix 1 - WDC Absence Statistics

Strategic Area: People & Technology  
Period: Annual - 2016/17



TABLE 1 - Days Lost per Employee

Strategic Area	FTE Employees	Intermittent (1-3 days)		Short Term (4-5 days)		Medium Term (6 days - 4 weeks)		Long Term (over 4 weeks)		Total Working Days Lost	Total FTE Days Lost	Total FTE Days Lost by FTE Employees
		Working Days Lost	% of Total Days Lost	Working Days Lost	% of Total Days Lost	Working Days Lost	% of Total Days Lost	Working Days Lost	% of Total Days Lost			
HR Service Centre	11.78	3	21.43%	0	0.00%	11	78.57%	0	0.00%	14	13.50	1.15
Pay & Remuneration	8.46	5	45.45%	0	0.00%	6	54.55%	0	0.00%	11	10.72	1.27
<b>Business Support Total</b>	<b>20.24</b>	<b>8</b>	<b>32.00%</b>	<b>0</b>	<b>0.00%</b>	<b>17</b>	<b>68.00%</b>	<b>0</b>	<b>0.00%</b>	<b>25</b>	<b>24.22</b>	<b>1.20</b>
ICT Connect	38.43	37	15.98%	22	9.50%	87.5	37.80%	85	36.72%	231.5	224.90	5.85
ICT Infrastructure Development	12.17	3	25.00%	0	0.00%	9	75.00%	0	0.00%	12	12.00	0.99
ICT Management	4.00	0	0.00%	0	0.00%	0	0.00%	0	0.00%	0	0.00	0.00
<b>ICT Total</b>	<b>54.60</b>	<b>40</b>	<b>16.43%</b>	<b>22</b>	<b>9.03%</b>	<b>96.5</b>	<b>39.63%</b>	<b>85</b>	<b>34.91%</b>	<b>243.5</b>	<b>236.90</b>	<b>4.34</b>
Organisational Development	12.08	16	48.48%	0	0.00%	17	51.52%	0	0.00%	33	33.00	2.73
<b>Organisational Development &amp; Change Total</b>	<b>12.08</b>	<b>16</b>	<b>48.48%</b>	<b>0</b>	<b>0.00%</b>	<b>17</b>	<b>51.52%</b>	<b>0</b>	<b>0.00%</b>	<b>33</b>	<b>33.00</b>	<b>2.73</b>
Health & Safety	5.04	3	3.57%	0	0.00%	16	19.05%	65	77.38%	84	84.00	16.67
Strategic HR	17.40	8	61.54%	5	38.46%	0	0.00%	0	0.00%	13	12.73	0.73
<b>Strategic HR Total</b>	<b>22.44</b>	<b>11</b>	<b>11.34%</b>	<b>5</b>	<b>5.15%</b>	<b>16</b>	<b>16.49%</b>	<b>65</b>	<b>67.01%</b>	<b>97</b>	<b>96.73</b>	<b>4.31</b>
<b>People &amp; Technology TOTAL</b>	<b>109.36</b>	<b>75</b>	<b>18.82%</b>	<b>27</b>	<b>6.78%</b>	<b>146.5</b>	<b>36.76%</b>	<b>150</b>	<b>37.64%</b>	<b>398.5</b>	<b>390.85</b>	<b>3.57</b>

TABLE 2 - Breakdown of Days Lost by Duration Category

Duration	Working Days Lost	Percentage of Lost Days
Intermittent (1-3 days)	75.0	18.82%
Short Term (4-5 days)	27.0	6.78%
Medium Term (6 days-4 weeks)	146.5	36.76%
Long Term (over 4 weeks)	150.0	37.64%
<b>TOTAL</b>	<b>398.5</b>	<b>100%</b>

TABLE 3 - Absence Reasons

Strategic Area	FTE Employees	Minor Illness	Back Pain	Musculo-skeletal Injuries	Stress	Recurring Medical Conditions	Non Work Related Accident / Injuries	Work Related Accidents / Injuries	Mental Health	Acute Medical Conditions	Pregnancy Related Absence	Drink or Drug Related Condition	Stress - Work Related	Reason Not Disclosed	Total Working Days Lost	FTE Days Lost	Total FTE Days Lost by FTE Employee
HR Service Centre	11.78	3	0	0	0	0	0	0	11	0	0	0	0	0	14	13.50	1.15
Pay & Remuneration	8.46	5	0	0	0	0	0	0	0	6	0	0	0	0	11	10.72	1.27
<b>Business Support Total</b>	<b>20.24</b>	<b>8</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>11</b>	<b>6</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>25</b>	<b>24.22</b>	<b>1.20</b>
ICT Connect	38.43	89	9	2	0	41	3	0	0	82.5	0	0	5	0	231.5	224.90	5.85
ICT Infrastructure Development	12.17	12	0	0	0	0	0	0	0	0	0	0	0	0	12	12.00	0.99
ICT Management	4.00	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0.00	0.00
<b>ICT Total</b>	<b>54.60</b>	<b>101</b>	<b>9</b>	<b>2</b>	<b>0</b>	<b>41</b>	<b>3</b>	<b>0</b>	<b>0</b>	<b>82.5</b>	<b>0</b>	<b>0</b>	<b>5</b>	<b>0</b>	<b>243.5</b>	<b>236.90</b>	<b>4.34</b>
Organisational Development	12.08	32	0	0	1	0	0	0	0	0	0	0	0	0	33	33.00	2.73
<b>Organisational Development &amp; Change Total</b>	<b>12.08</b>	<b>32</b>	<b>0</b>	<b>0</b>	<b>1</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>33</b>	<b>33.00</b>	<b>2.73</b>
Health & Safety	5.04	3	0	0	0	0	0	0	0	81	0	0	0	0	84	84.00	16.67
Strategic HR	17.40	13	0	0	0	0	0	0	0	0	0	0	0	0	13	12.73	0.73
<b>Strategic HR Total</b>	<b>22.44</b>	<b>16</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>81</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>97</b>	<b>96.73</b>	<b>4.31</b>
<b>People &amp; Technology TOTAL</b>	<b>109.36</b>	<b>157</b>	<b>9</b>	<b>2</b>	<b>1</b>	<b>41</b>	<b>3</b>	<b>0</b>	<b>11</b>	<b>169.5</b>	<b>0</b>	<b>0</b>	<b>5</b>	<b>0</b>	<b>398.5</b>	<b>390.85</b>	<b>3.57</b>

TABLE 4 - Days Lost by Absence Category

Absence Reason	Working Days Lost	Percentage of Lost Days
Minor Illness	157.0	39.40%
Back Pain	9.0	2.26%
Musculo-skeletal Injuries	2.0	0.50%
Stress	1.0	0.25%
Recurring Medical Conditions	41.0	10.29%
Non Work Related Accidents / Injuries	3.0	0.75%
Work Related Accidents / Injuries	0.0	0.00%
Mental Health	11.0	2.76%
Acute Medical Conditions	169.5	42.53%
Pregnancy Related Absence	0.0	0.00%
Drink or Drug Related Condition	0.0	0.00%
Stress - Work Related	5.0	1.25%
Reason Not Disclosed	0.0	0.00%
<b>TOTAL</b>	<b>398.5</b>	<b>100%</b>



## Appendix 2 - WDC Absence Statistics

Strategic Area: Resources  
Period: Annual - 2016/17



TABLE 1 - Days Lost per Employee

Strategic Area	FTE Employees	Intermittent (1-3 days)		Short Term (4-5 days)		Medium Term (6 days - 4 weeks)		Long Term (over 4 weeks)		Total Working Days Lost	Total FTE Days Lost	Total FTE Days Lost by FTE Employees
		Working Days Lost	% of Total Days Lost	Working Days Lost	% of Total Days Lost	Working Days Lost	% of Total Days Lost	Working Days Lost	% of Total Days Lost			
Audit & Fraud	10.39	8	15.69%	5	9.80%	26	50.98%	12	23.53%	51	45.70	4.40
<b>Audit &amp; Fraud Total</b>	<b>10.39</b>	<b>8</b>	<b>15.69%</b>	<b>5</b>	<b>9.80%</b>	<b>26</b>	<b>50.98%</b>	<b>12</b>	<b>23.53%</b>	<b>51</b>	<b>45.70</b>	<b>4.40</b>
Benefits	21.02	25	5.34%	14	2.99%	195	41.67%	234	50.00%	468	439.96	20.93
Business Support	3.00	0	0.00%	0	0.00%	0	0.00%	0	0.00%	0	0.00	0.00
Corporate Debt Team	45.95	76.5	13.62%	13	2.32%	235	41.85%	237	42.21%	561.5	514.25	11.19
Council Tax	13.36	14	9.72%	5	3.47%	83	57.64%	42	29.17%	144	122.82	9.19
Council Tax & Benefits	1.13	0	0.00%	0	0.00%	0	0.00%	0	0.00%	0	0.00	0.00
Creditors	3.61	0	0.00%	0	0.00%	3	3.41%	85	96.59%	88	88.00	24.38
Debtors	7.71	13.5	100.00%	0	0.00%	0	0.00%	0	0.00%	13.5	9.99	1.30
Revenues & Benefits	2.00	0	0.00%	0	0.00%	30	100.00%	0	0.00%	30	30.00	15.00
Support/Cont Development	5.83	0	0.00%	9	100.00%	0	0.00%	0	0.00%	9	9.00	1.54
<b>Business Support Total</b>	<b>103.61</b>	<b>129</b>	<b>9.82%</b>	<b>41</b>	<b>3.12%</b>	<b>546</b>	<b>41.55%</b>	<b>598</b>	<b>45.51%</b>	<b>1,314</b>	<b>1214.02</b>	<b>11.72</b>
Capital Projects	1.00	0	0.00%	0	0.00%	0	0.00%	0	0.00%	0	0.00	0.00
Cash & Banking	5.76	4	100.00%	0	0.00%	0	0.00%	0	0.00%	4	4.00	0.69
HSCP Finance	3.18	0	0.00%	0	0.00%	0	0.00%	0	0.00%	0	0.00	0.00
Corporate Finance	7.06	11	9.02%	8	6.56%	33	27.05%	70	57.38%	122	100.51	14.24
Development & Support	2.49	0	0.00%	0	0.00%	0	0.00%	0	0.00%	0	0.00	0.00
Education Finance	8.15	2.5	2.66%	0	0.00%	49.5	52.66%	42	44.68%	94	88.45	10.85
Finance & Treasury Management	2.00	0	0.00%	0	0.00%	0	0.00%	0	0.00%	0	0.00	0.00
Governance	0.25	0	0.00%	0	0.00%	0	0.00%	0	0.00%	0	0.00	0.00
HEED Finance	7.18	10	18.18%	14	25.45%	6	10.91%	25	45.45%	55	36.00	5.01
Insurance	2.00	0	0.00%	0	0.00%	0	0.00%	0	0.00%	0	0.00	0.00
Reconciliations	2.70	0	0.00%	0	0.00%	0	0.00%	0	0.00%	0	0.00	0.00
<b>Finance &amp; Treasury Total</b>	<b>41.77</b>	<b>27.5</b>	<b>10.00%</b>	<b>22</b>	<b>8.00%</b>	<b>88.5</b>	<b>32.18%</b>	<b>137</b>	<b>49.82%</b>	<b>275</b>	<b>228.96</b>	<b>5.48</b>
Procurement	20.92	5	2.36%	4	1.89%	34	16.04%	169	79.72%	212	212.00	10.13
<b>Procurement Total</b>	<b>20.92</b>	<b>5</b>	<b>2.36%</b>	<b>4</b>	<b>1.89%</b>	<b>34</b>	<b>16.04%</b>	<b>169</b>	<b>79.72%</b>	<b>212</b>	<b>212.00</b>	<b>10.13</b>
<b>Resources TOTAL</b>	<b>176.69</b>	<b>169.5</b>	<b>9.15%</b>	<b>72</b>	<b>3.89%</b>	<b>694.5</b>	<b>37.50%</b>	<b>916</b>	<b>49.46%</b>	<b>1,852</b>	<b>1700.68</b>	<b>9.63</b>

TABLE 2 - Breakdown of Days Lost by Duration Category

Duration	Working Days Lost	Percentage of Lost Days
Intermittent (1-3 days)	169.5	9.15%
Short Term (4-5 days)	72.0	3.89%
Medium Term (6 days-4 weeks)	694.5	37.50%
Long Term (over 4 weeks)	916.0	49.46%
<b>TOTAL</b>	<b>1,852.0</b>	<b>100%</b>

**TABLE 3 - Absence Reasons**

Strategic Area	FTE Employees	Minor Illness	Back Pain	Musculo-skeletal Injuries	Stress	Recurring Medical Conditions	Non Work Related Accident / Injuries	Work Related Accidents / Injuries	Mental Health	Acute Medical Conditions	Pregnancy Related Absence	Drink or Drug Related Condition	Stress - Work Related	Reason Not Disclosed	Total Working Days Lost	FTE Days Lost	Total FTE Days Lost by FTE Employee
Audit & Fraud	10.39	6	0	7	0	0	0	0	0	26	12	0	0	0	51	45.70	4.40
<b>Audit &amp; Fraud Total</b>	<b>10.39</b>	<b>6</b>	<b>0</b>	<b>7</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>26</b>	<b>12</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>51</b>	<b>45.70</b>	<b>4.40</b>
Benefits	21.02	155	0	0	5	38	5	0	131	121	0	0	13	0	468	439.96	20.93
Business Support	3.00	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0.00	0.00
Corporate Debt Team	45.95	103.5	13	37	95	28	11	0	193	81	0	0	0	0	561.5	514.25	11.19
Council Tax	13.36	32	37	0	24	0	0	0	0	51	0	0	0	0	144	122.82	9.19
Council Tax & Benefits	1.13	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0.00	0.00
Creditors	3.61	0	0	88	0	0	0	0	0	0	0	0	0	0	88	88.00	24.38
Debtors	7.71	13.5	0	0	0	0	0	0	0	0	0	0	0	0	13.5	9.99	1.30
Revenues & Benefits	2.00	0	0	0	30	0	0	0	0	0	0	0	0	0	30	30.00	15.00
Support/Cont Development	5.83	9	0	0	0	0	0	0	0	0	0	0	0	0	9	9.00	1.54
<b>Business Support Total</b>	<b>103.61</b>	<b>313</b>	<b>50</b>	<b>125</b>	<b>154</b>	<b>66</b>	<b>16</b>	<b>0</b>	<b>324</b>	<b>253</b>	<b>0</b>	<b>0</b>	<b>13</b>	<b>0</b>	<b>1,314</b>	<b>1,214.02</b>	<b>11.72</b>
Capital Projects	1.00	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0.00	0.00
Cash & Banking	5.76	2	0	2	0	0	0	0	0	0	0	0	0	0	4	4.00	0.69
HSCP Finance	3.18	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0.00	0.00
Corporate Finance	7.06	13	0	0	4	102	0	0	0	3	0	0	0	0	122	100.51	14.24
Development & Support	2.49	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0.00	0.00
Education Finance	8.15	2.5	8	0	0	0	3.5	0	0	80	0	0	0	0	94	88.45	10.85
Finance & Treasury Management	2.00	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0.00	0.00
Governance	0.25	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0.00	0.00
HEED Finance	7.18	21	0	0	25	0	4	0	0	0	5	0	0	0	55	36.00	5.01
Insurance	2.00	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0.00	0.00
Reconciliations	2.70	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0.00	0.00
<b>Finance &amp; Treasury Total</b>	<b>41.77</b>	<b>38.5</b>	<b>8</b>	<b>2</b>	<b>29</b>	<b>102</b>	<b>7.5</b>	<b>0</b>	<b>0</b>	<b>83</b>	<b>5</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>275</b>	<b>228.96</b>	<b>5.48</b>
Procurement	20.92	9	0	0	0	0	0	0	0	179	24	0	0	0	212	212.00	10.13
<b>Procurement Total</b>	<b>20.92</b>	<b>9</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>179</b>	<b>24</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>212</b>	<b>212.00</b>	<b>10.13</b>
<b>Resources TOTAL</b>	<b>176.69</b>	<b>366.5</b>	<b>58</b>	<b>134</b>	<b>183</b>	<b>168</b>	<b>23.5</b>	<b>0</b>	<b>324</b>	<b>541</b>	<b>41</b>	<b>0</b>	<b>13</b>	<b>0</b>	<b>1,852</b>	<b>1,700.68</b>	<b>9.63</b>

**TABLE 4 - Days Lost by Absence Category**

Absence Reason	Working Days Lost	Percentage of Lost Days
Minor Illness	366.5	19.79%
Back Pain	58.0	3.13%
Musculo-skeletal Injuries	134.0	7.24%
Stress	183.0	9.88%
Recurring Medical Conditions	168.0	9.07%
Non Work Related Accidents / Injuries	23.5	1.27%
Work Related Accidents / Injuries	0.0	0.00%
Mental Health	324.0	17.49%
Acute Medical Conditions	541.0	29.21%
Pregnancy Related Absence	41.0	2.21%
Drink or Drug Related Condition	0.0	0.00%
Stress - Work Related	13.0	0.70%
Reason Not Disclosed	0.0	0.00%
<b>TOTAL</b>	<b>1,852.0</b>	<b>100%</b>



## Appendix 3 - WDC Absence Statistics

Strategic Area: Regulatory  
Period: Annual - 2016/17



TABLE 1 - Days Lost per Employee

Strategic Area	FTE Employees	Intermittent (1-3 days)		Short Term (4-5 days)		Medium Term (6 days - 4 weeks)		Long Term (over 4 weeks)		Total Working Days Lost	Total FTE Days Lost	Total FTE Days Lost by FTE Employees
		Working Days Lost	% of Total Days Lost	Working Days Lost	% of Total Days Lost	Working Days Lost	% of Total Days Lost	Working Days Lost	% of Total Days Lost			
Corporate Admin Support	32.02	50.5	21.44%	9	3.82%	70	29.72%	106	45.01%	235.5	196.87	6.15
<b>Business Support Total</b>	<b>32.02</b>	<b>50.5</b>	<b>21.44%</b>	<b>9</b>	<b>3.82%</b>	<b>70</b>	<b>29.72%</b>	<b>106</b>	<b>45.01%</b>	<b>235.5</b>	<b>196.87</b>	<b>6.15</b>
Admin Support Unit	38.42	42.5	7.64%	19	3.41%	198	35.58%	297	53.37%	556.5	458.31	11.93
Democratic Services	7.34	6	7.59%	0	0.00%	57	72.15%	16	20.25%	79	71.57	9.75
Leadership Support Team	6.71	3	4.48%	0	0.00%	22	32.84%	42	62.69%	67	67.00	9.99
Registration	7.67	2	11.11%	5	27.78%	11	61.11%	0	0.00%	18	9.50	1.24
<b>Democratic Services Total</b>	<b>60.14</b>	<b>53.5</b>	<b>7.43%</b>	<b>24</b>	<b>3.33%</b>	<b>288</b>	<b>39.97%</b>	<b>355</b>	<b>49.27%</b>	<b>720.5</b>	<b>606.38</b>	<b>10.08</b>
Community Health Protection	7.71	12	100.00%	0	0.00%	0	0.00%	0	0.00%	12	12.00	1.56
Environmental Pollution	5.80	12	31.58%	0	0.00%	26	68.42%	0	0.00%	38	38.00	6.55
Food & Business	6.25	3	25.00%	0	0.00%	9	75.00%	0	0.00%	12	10.00	1.60
Trading Standards	7.00	3	4.23%	4	5.63%	21	29.58%	43	60.56%	71	71.00	10.14
<b>Environmental Health &amp; Trading Standards Total</b>	<b>26.76</b>	<b>30</b>	<b>22.56%</b>	<b>4</b>	<b>3.01%</b>	<b>56</b>	<b>42.11%</b>	<b>43</b>	<b>32.33%</b>	<b>133</b>	<b>131.00</b>	<b>4.90</b>
Contracts & Property	6.96	2	7.69%	0	0.00%	24	92.31%	0	0.00%	26	26.00	3.74
Licensing	6.00	1	100.00%	0	0.00%	0	0.00%	0	0.00%	1	1.00	0.17
Litigation & Support	3.76	0	0.00%	0	0.00%	0	0.00%	0	0.00%	0	0.00	0.00
Records Management	2.00	0	0.00%	0	0.00%	0	0.00%	0	0.00%	0	0.00	0.00
<b>Legal, Licensing &amp; Registration Total</b>	<b>18.72</b>	<b>3</b>	<b>11.11%</b>	<b>0</b>	<b>0.00%</b>	<b>24</b>	<b>88.89%</b>	<b>0</b>	<b>0.00%</b>	<b>27</b>	<b>27.00</b>	<b>1.44</b>
Building Standards	4.29	0	0.00%	0	0.00%	9	45.00%	11	55.00%	20	10.00	2.33
Development Management	4.72	3.5	41.18%	5	58.82%	0	0.00%	0	0.00%	8.5	8.50	1.80
Forward Planning	4.05	1	8.33%	0	0.00%	11	91.67%	0	0.00%	12	12.00	2.96
Planning & Building Control Management	1.00	2	100.00%	0	0.00%	0	0.00%	0	0.00%	2	2.00	2.00
Technical Support Team	6.58	11	100.00%	0	0.00%	0	0.00%	0	0.00%	11	11.00	1.67
<b>Planning &amp; Building Control Total</b>	<b>20.64</b>	<b>17.5</b>	<b>32.71%</b>	<b>5</b>	<b>9.35%</b>	<b>20</b>	<b>37.38%</b>	<b>11</b>	<b>20.56%</b>	<b>53.5</b>	<b>43.50</b>	<b>2.11</b>
Regulatory Management	3.00	0	0.00%	0	0.00%	0	0.00%	0	0.00%	0	0.00	0.00
<b>Regulatory TOTAL</b>	<b>161.28</b>	<b>154.5</b>	<b>13.21%</b>	<b>42</b>	<b>3.59%</b>	<b>458</b>	<b>39.16%</b>	<b>515</b>	<b>44.04%</b>	<b>1169.5</b>	<b>1004.75</b>	<b>6.23</b>

TABLE 2 - Breakdown of Days Lost by Duration Category

Duration	Working Days Lost	Percentage of Lost Days
Intermittent (1-3 days)	154.5	13.21%
Short Term (4-5 days)	42.0	3.59%
Medium Term (6 days-4 weeks)	458.0	39.16%
Long Term (over 4 weeks)	515.0	44.04%
<b>TOTAL</b>	<b>1,169.5</b>	<b>100%</b>

**TABLE 3 - Absence Reasons**

Strategic Area	FTE Employees	Minor Illness	Back Pain	Musculo-skeletal Injuries	Stress	Recurring Medical Conditions	Non Work Related Accident / Injuries	Work Related Accidents / Injuries	Mental Health	Acute Medical Conditions	Pregnancy Related Absence	Drink or Drug Related Condition	Stress - Work Related	Reason Not Disclosed	Total Working Days Lost	FTE Days Lost	Total FTE Days Lost by FTE Employee
Corporate Admin Support	32.02	130.5	0	0	72	0	5	0	0	28	0	0	0	0	235.5	196.87	6.15
<b>Business Support Total</b>	<b>32.02</b>	<b>130.5</b>	<b>0</b>	<b>0</b>	<b>72</b>	<b>0</b>	<b>5</b>	<b>0</b>	<b>0</b>	<b>28</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>235.5</b>	<b>196.87</b>	<b>6.15</b>
Admin Support Unit	38.42	146	0	14	0	0	16	0	0	262	39.5	0	79	0	556.5	458.31	11.93
Democratic Services	7.34	5	0	19	0	0	0	0	35	20	0	0	0	0	79	71.57	9.75
Leadership Support Team	6.71	12	0	55	0	0	0	0	0	0	0	0	0	0	67	67.00	9.99
Registration	7.67	7	0	0	11	0	0	0	0	0	0	0	0	0	18	9.50	1.24
<b>Democratic Services Total</b>	<b>60.14</b>	<b>170</b>	<b>0</b>	<b>88</b>	<b>11</b>	<b>0</b>	<b>16</b>	<b>0</b>	<b>35</b>	<b>282</b>	<b>39.5</b>	<b>0</b>	<b>79</b>	<b>0</b>	<b>720.5</b>	<b>606.38</b>	<b>10.08</b>
Community Health Protection	7.71	11	0	0	0	0	0	1	0	0	0	0	0	0	12	12.00	1.56
Environmental Pollution	5.80	7	0	9	20	0	0	0	0	0	2	0	0	0	38	38.00	6.55
Food & Business	6.25	7	5	0	0	0	0	0	0	0	0	0	0	0	12	10.00	1.60
Trading Standards	7.00	7	0	28	0	0	36	0	0	0	0	0	0	0	71	71.00	10.14
<b>Environmental Health &amp; Trading Standards Total</b>	<b>26.76</b>	<b>32</b>	<b>5</b>	<b>37</b>	<b>20</b>	<b>0</b>	<b>36</b>	<b>1</b>	<b>0</b>	<b>0</b>	<b>2</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>133</b>	<b>131.00</b>	<b>4.90</b>
Contracts & Property	6.96	18	0	0	0	0	0	0	8	0	0	0	0	0	26	26.00	3.74
Licensing	6.00	1	0	0	0	0	0	0	0	0	0	0	0	0	1	1.00	0.17
Litigation & Support	3.76	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0.00	0.00
Records Management	2.00	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0.00	0.00
<b>Legal, Licensing &amp; Registration Total</b>	<b>18.72</b>	<b>19</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>8</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>27</b>	<b>27.00</b>	<b>1.44</b>
Building Standards	4.29	6	0	14	0	0	0	0	0	0	0	0	0	0	20	10.00	2.33
Development Management	4.72	8.5	0	0	0	0	0	0	0	0	0	0	0	0	8.5	8.50	1.80
Forward Planning	4.05	5	0	0	0	0	0	0	0	0	7	0	0	0	12	12.00	2.96
Planning & Building Control Management	1.00	2	0	0	0	0	0	0	0	0	0	0	0	0	2	2.00	2.00
Technical Support Team	6.58	11	0	0	0	0	0	0	0	0	0	0	0	0	11	11.00	1.67
<b>Planning &amp; Building Control Total</b>	<b>20.64</b>	<b>32.5</b>	<b>0</b>	<b>14</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>7</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>53.5</b>	<b>43.50</b>	<b>2.11</b>
Regulatory Management	3.00	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0.00	0.00
<b>Regulatory TOTAL</b>	<b>161.28</b>	<b>384</b>	<b>5</b>	<b>139</b>	<b>103</b>	<b>0</b>	<b>57</b>	<b>1</b>	<b>43</b>	<b>310</b>	<b>48.5</b>	<b>0</b>	<b>79</b>	<b>0</b>	<b>1169.5</b>	<b>1,004.75</b>	<b>6.23</b>

**TABLE 4 - Days Lost by Absence Category**

Absence Reason	Working Days Lost	Percentage of Lost Days
Minor Illness	384.0	32.83%
Back Pain	5.0	0.43%
Musculo-skeletal Injuries	139.0	11.89%
Stress	103.0	8.81%
Recurring Medical Conditions	0.0	0.00%
Non Work Related Accidents / Injuries	57.0	4.87%
Work Related Accidents / Injuries	1.0	0.09%
Mental Health	43.0	3.68%
Acute Medical Conditions	310.0	26.51%
Pregnancy Related Absence	48.5	4.15%
Drink or Drug Related Condition	0.0	0.00%
Stress - Work Related	79.0	6.76%
Reason Not Disclosed	0.0	0.00%
<b>TOTAL</b>	<b>1,169.5</b>	<b>100%</b>

## Appendix 4 - WDC Absence Statistics

Strategic Area: Communications, Culture & Communities  
Period: Annual - 2016/17



TABLE 1 - Days Lost per Employee

Strategic Area	FTE Employees	Intermittent (1-3 days)		Short Term (4-5 days)		Medium Term (6 days - 4 weeks)		Long Term (over 4 weeks)		Total Working Days Lost	Total FTE Days Lost	Total FTE Days Lost by FTE Employees
		Working Days Lost	% of Total Days Lost	Working Days Lost	% of Total Days Lost	Working Days Lost	% of Total Days Lost	Working Days Lost	% of Total Days Lost			
Communications, Events & Engagement	7.28	4	16.00%	8	32.00%	13	52.00%	0	0.00%	25	20.90	2.87
Customer Services	40.57	25	10.35%	27	11.18%	84.5	34.99%	105	43.48%	241.5	211.01	5.20
Libraries & Cultural	91.66	129	23.58%	16	2.93%	245	44.79%	157	28.70%	547	431.54	4.71
Strat Org Pol & Perform	16.86	6	7.23%	5	6.02%	63	75.90%	9	10.84%	83	70.84	4.20
<b>Communications, Culture &amp; Communities TOTAL</b>	<b>156.37</b>	<b>164</b>	<b>18.29%</b>	<b>56</b>	<b>6.25%</b>	<b>405.5</b>	<b>45.23%</b>	<b>271</b>	<b>30.23%</b>	<b>896.5</b>	<b>734.29</b>	<b>4.70</b>

TABLE 2 - Breakdown of Days Lost by Duration Category

Duration	Working Days Lost	Percentage of Lost Days
Intermittent (1-3 days)	164.0	18.29%
Short Term (4-5 days)	56.0	6.25%
Medium Term (6 days-4 weeks)	405.5	45.23%
Long Term (over 4 weeks)	271.0	30.23%
<b>TOTAL</b>	<b>896.5</b>	<b>100%</b>

TABLE 3 - Absence Reasons

Strategic Area	FTE Employees	Minor Illness	Back Pain	Musculo-skeletal Injuries	Stress	Recurring Medical Conditions	Non Work Related Accident / Injuries	Work Related Accidents / Injuries	Mental Health	Acute Medical Conditions	Pregnancy Related Absence	Drink or Drug Related Condition	Stress - Work Related	Reason Not Disclosed	Total Working Days Lost	FTE Days Lost	Total FTE Days Lost by FTE Employee
Communications, Events & Engagement	7.28	25	0	0	0	0	0	0	0	0	0	0	0	0	25	20.90	2.87
Customer Services	40.57	91.5	0	0	7	0	0	0	0	23	35	0	85	0	241.5	211.01	5.20
Libraries & Cultural	91.66	200	2	1	51	127	3	0	61	86	2	0	14	0	547	431.54	4.71
Strat Org Pol & Perform	16.86	23	0	0	9	0	0	0	0	51	0	0	0	0	83	70.84	4.20
<b>Communications, Culture &amp; Communities TOTAL</b>	<b>156.37</b>	<b>339.5</b>	<b>2</b>	<b>1</b>	<b>67</b>	<b>127</b>	<b>3</b>	<b>0</b>	<b>61</b>	<b>160</b>	<b>37</b>	<b>0</b>	<b>99</b>	<b>0</b>	<b>896.5</b>	<b>734.29</b>	<b>4.70</b>

TABLE 4 - Days Lost by Absence Category

Absence Reason	Working Days Lost	Percentage of Lost Days
Minor Illness	339.5	37.87%
Back Pain	2.0	0.22%
Musculo-skeletal Injuries	1.0	0.11%
Stress	67.0	7.47%
Recurring Medical Conditions	127.0	14.17%
Non Work Related Accidents / Injuries	3.0	0.33%
Work Related Accidents / Injuries	0.0	0.00%
Mental Health	61.0	6.80%
Acute Medical Conditions	160.0	17.85%
Pregnancy Related Absence	37.0	4.13%
Drink or Drug Related Condition	0.0	0.00%
Stress - Work Related	99.0	11.04%
Reason Not Disclosed	0.0	0.00%
<b>TOTAL</b>	<b>896.5</b>	<b>100%</b>



## WEST DUNBARTONSHIRE COUNCIL

### Report by Strategic Lead – People and Technology

**Corporate Services Committee: 7 June 2017**

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**Subject: Bi-Annual Workforce Monitoring Report**

#### 1. Purpose

- 1.1 The purpose of this report is to provide employment information relating to the period 1 October 2016 to 31 March 2017, including a comparison with the same period in the previous year.

#### 2. Recommendations

- 2.1 Committee is asked to note the following employment information for the period 1 October 2016 to 31 March 2017:

- Attendance statistics
- Occupational health and employee counselling
- Accidents/incidents
- Discipline and Grievance
- Employee development
- Recruitment monitoring
- Staffing watch

#### 3. Background

- 3.1 This report allows the Committee to monitor trends and consider the key areas impacting on the workforce.

#### 4. Main Issues

##### 4.1 Attendance Statistics

- 4.1 Information on absence statistics for 1 October 2016 April to 31 March 2017 is detailed below:

	2106/17 Days lost per e/ee*	Total Days Lost	2015/16 Days lost per e/ee*	Total Days Lost
LGE	6.52	23549	6.62	23753
Teachers	3.93	3403	4.05	3223
Total	6.02	26952	6	26976

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

- In 2016/17 the target for Local Government Employees is 7 FTE days lost per FTE employee.

- In 2016/17 the target for Teaching Employees is 5 FTE days lost per FTE employee.
- In the period, for Local Government Employees, the total number of days lost fell, as did the number of days lost per employee.
- In the period, for Teaching Employees, the total number of days lost increased, however the days lost per employee fell.

## 4.2 Occupational Health and Counselling

4.2.1 Information on the use of Occupational Health for the period is detailed below. Management information is produced by our OH provider, People Asset Management:

	1 <sup>st</sup> October 2016 – 31 <sup>st</sup> March 2017	1 <sup>st</sup> October 2015 – 31 <sup>st</sup> March 2016
Medical Referrals	591	673
Physiotherapy	365	515

There was a decrease of 82 medical referrals and a decrease of 150 physiotherapy referrals in the period compared to the same period the previous year. The reason for this drop is that the OHIO online system which enables managers to make referrals directly was introduced during the period 1<sup>st</sup> October 2015 – 31<sup>st</sup> March 2016 and due to this, there was a spike in the number of referrals. The figures for the period are comparable with the previous 6 months where 542 medical referrals and 315 physiotherapy referrals were made.

4.2.2. Information on the use of Employee Counselling for the period detailed below. Management information is produced by our provider Time for Talking.

	1 <sup>st</sup> October 2016 – 31 <sup>st</sup> March 2017	1 <sup>st</sup> October 2015 – 31 <sup>st</sup> March 2016
Counselling Appointments	49	71
Telephone Sessions	5	3

The number of appointments reduced by 22 from the same period last year and the number of telephone sessions increased by 2. The largest decrease was in February 2017. There were 15 less appointments held that month compared to the same period the year before. The employee counselling service contract was subject to a procurement exercise at that time which may have resulted in fewer appointments being scheduled that month. The number of appointments returned to the same trend in March 2017 compared to March 2016.

## 4.3 Accidents/Incidents

Information on the accident/incident statistics for the period is detailed below. As previously reported, the significant increase to the numbers reported from the same period the previous year are as a result of the successful implementation of online reporting. This has resulted in information being

recorded more accurately and in order to allow for comparative analysis the figures from the previous 6 months have been used.

	1 <sup>st</sup> October 2016 – 31 <sup>st</sup> March 2017	1st April 2016 – 30th September 2016	1 <sup>st</sup> October 2015 – 31 <sup>st</sup> March 2016
Reported accidents and incidents	200	201	32
Accidents and incidents reported under RIDDOR	17	26	9
Accidents and incidents resulting in over 7 days absence	14	14	9
Major accidents and incidents	0	0	0

- There has been a decrease of 1 in reported accidents and incidents when compared to the previous 6 months.
- For accidents and incidents reported under RIDDOR there has been a decrease of 9 when compared to the previous 6 months.
- Accidents and incidents resulting in absence over 7 days have remained static at 14 when compared to the previous 6 months.
- Over the last 18 months there were no major accidents/incidents.

#### 4.4 Discipline and Grievance

Information on Disciplinary and Grievance Hearings for the period is detailed below:

Details of Disciplinary Action	1 <sup>st</sup> October 2016 – 31 <sup>st</sup> March 2017	1 <sup>st</sup> October 2015 – 31 <sup>st</sup> March 2016
Disciplinary Investigations	42	46
Disciplinary Hearings	18	23
Disciplinary Hearing Outcome – Dismissed with Notice	-	1
Disciplinary Hearing Outcome – Summary Dismissal	2	1
Disciplinary Hearing Outcome – Final Written Warning	2	2
Disciplinary Hearing Outcome – First Written Warning	9	10
Disciplinary Hearing Outcome – Verbal Warning	1*	5
Disciplinary Hearing Outcome – Informal Action	4	2
Disciplinary Hearing Outcome – No further action	-	2
No further action at Investigatory Stage	15	5
Investigations on-going	7	13
Awaiting a hearing date	2	2

Appeals	1 <sup>st</sup> October 2016 – 31 <sup>st</sup> March 2017	1 <sup>st</sup> October 2015 – 31 <sup>st</sup> March 2016
Appeals submitted to Corporate Services Appeals Panel	5	3
Appeals submitted to Educational Services Grievance and Disciplinary Appeals Sub-Committee	-	1

- During the period there was 1 disciplinary dismissal appeal submitted; this is a reduction of 2 when compared to the same period the previous year. The disciplinary appeal was not upheld.
- There were 4 capability dismissals submitted during the period; an increase of 3 when compared to the same period the previous year.
- All appeals are now heard by the Corporate Services appeals panel therefore, no further figures will be reported for the Educational Services grievance and disciplinary appeals sub-committee.

Grievances	1 <sup>st</sup> October 2016 – 31 <sup>st</sup> March 2017	1 <sup>st</sup> October 2015 – 31 <sup>st</sup> March 2016
Grievances raised	10	7
Grievance Outcomes – Not Upheld	1	2
Grievance Outcomes – Partially Upheld	1	1
Grievance Outcomes – Upheld	1	-
Informal Resolution	2	2
Investigation On-going	2	1
Awaiting a Hearing Date	2	-
Employee Resigned prior to Hearing	1	1

- Overall there were 10 grievances raised during the period. This is an increase of 3 grievances when compared to the same period the previous year.

	1 <sup>st</sup> October 2016 – 31 <sup>st</sup> March 2017	1 <sup>st</sup> October 2015 – 31 <sup>st</sup> March 2016
<b>Mediation Referrals</b>	<b>5</b>	<b>1</b>
Mediation Outcome – Agreement Reached	4	1
Mediation Outcome – No Agreement Reached	1	0

- Referrals to the mediation service increased by 4 when compared to the same period the previous year.
- The use of mediation is actively promoted in cases where this would be of value and positive outcomes are being achieved year on year. Successful mediation reduces the need to continue with formal procedures and limits any potential damage to employment relationships



#### 4.5 Employee Development

Course	1 <sup>st</sup> October 2016 – 31 <sup>st</sup> March 2017		16/17 Total
	No. of Sessions	No. of Attendees	
Approach to Change	8	153	204
Be the Best at Managing People	3	15	31
Be the Best' at Managing People Day 2	3	15	31
CMI Level 3: Successfully Managing/Leading People	1	12	25
CMI Level 3: Successfully Managing/Leading People Day 2	1	12	25
CMI Level 3: Successfully Managing/Leading People Day 3	1	12	25
CMI Level 3: Successfully Managing/Leading People Day 4	1	12	25
CMI Level 3: Successfully Managing/Leading People Day 5	1	12	25
CMI Level 3: Successfully Managing/Leading People Day 6	1	12	25
CMI Level 3: Successfully Managing/Leading People Day 7	1	12	25
CMI Level 3: Successfully Managing/Leading People Day 8	1	12	25
CMI Level 3: Successfully Managing/Leading People Day 9	1	12	25
CMI Level 3: Successfully Managing/Leading People Day 10	1	12	25
Data Protection, ICT Security and Fraud Awareness	2	14	31
Equality and Diversity	2	8	26
Equality Impact Assessment Training	2	7	7
Focus, Engage & Deliver Change Workshop	2	8	8
Handling Difficult Situations	5	57	57
Inspiring Leaders - Core Module 1	2	20	32
Inspiring Leaders - Core Module 2	2	21	21
Inspiring Leaders - Core Module 3	1	11	11
Interview Skills	3	14	20
Investigations Training for Managers	1	14	14
Masterclass - Be the Best Conversations	3	43	43
Planning a Positive Retirement	2	34	34
Practical PDP	3	26	40
Presentation Skills	1	6	6
PREVENT Awareness Session	1	10	10
Problem Solving Workshop	3	18	33
Project Management Approach	5	31	59
Stress Management Workshop	1	7	20
SULF Dyslexia Awareness Session	1	6	6
SULF Mental Health Awareness	4	37	37
VAW: Domestic Abuse the Impact on Children	1	5	5
Welcome Induction	3	93	110
Wellbeing Masterclass - The Power of Conversation	16	177	177
<b>Total</b>	<b>90</b>	<b>970</b>	<b>1543</b>

- During the period, 90 courses and training events were available and 1543 employees attended. This is an increase of 26 courses from the same period last year and an increase of 868 employees attending training.
- During the period, the service has also introduced 30 OD minute drop-in sessions offering tasters on subjects such as, Change, Project Management and Time Management. 7 sessions have been delivered with 20 employees attending. The development and promotion of this facility is ongoing.
- During the period, e-learn was accessed on 4,079 occasions. A total of 279 available resources were accessed by 1,010 employees. This is an increase of 295 employees from the same period last year. Introduction to Data Protection is the most accessed resource, which was accessed 841 times (21% of users completed this resource).

#### 4.6 Recruitment Monitoring

The table below shows recruitment Equal Opportunities Monitoring for the period compared to the same period the previous year. It shows the number of applicants identified by their protected characteristic and the number of those applicants who were appointed. The information is based upon equalities monitoring questionnaires voluntarily completed by applicants. Applicants who did not disclose information are excluded from any analysis.

In order to provide meaningful comparisons for each selected protected characteristics, the success rates for each under represented group has been measured against the success rate of its comparator. A success rate measures the percentage of the group that were successful in gaining employment and is a more accurate way to establish potential barriers to employment.

Protected Characteristic	1 <sup>st</sup> October 2016 – 31 <sup>st</sup> March 2017			1 <sup>st</sup> October 2015 – 31 <sup>st</sup> March 2016		
	No of applicants in group*	No of applicants successful in gaining employment in group	Success Rate of group	No of applicants in group	No of applicants successful in gaining employment in group	Success Rate of group
Female	4666	307	6.58	3482	288	8.27
Male	1750	132	7.54	1334	101	7.57
BME	263	10	3.80	168	6	3.57
White	6103	427	7.00	4617	378	8.19
LGBT	124	11	8.87	131	10	7.63
Heterosexual	6028	421	6.98	4524	368	8.13

Disability	288	17	5.90	208	11	5.29
No-disability	6073	421	6.93	4579	376	8.21
Non-Christian	262	16	6.11	159	7	4.40
Christian	3108	245	7.88	2363	213	9.01

All of the success rates for the selected protected groups have increased from the same period last year and supports the Council's equality outcome to increase the diversity of the workforce. Recruitment monitoring has played a significant role in developing the employment equality outcomes which will be taken forward as part of the action plan supporting the Council's Mainstreaming Report 2017-21.

- The gender split of applicants remains reflective of the Council's workforce profile with 72% of applications received from females and 27% from males. The success rate for men is higher than females from the same period last year; this is reflective of occupational segregation trends as a number of craft roles were recruited to in this period. The Council has committed, through its equality outcomes, to achieve a reduction in occupational segregation in the workforce through the recruitment of modern apprentices and the review of the role of allowances in these gender dominant areas
- The percentage of BME applicants rose from 3.44% to 4.07% when compared to the same period last year. This is a positive result as only 1.5% of the West Dunbartonshire Population and 4% of the Scottish Population are from BME groups (Census 2011). The success rate for BME applicants has increased by 0.23% when compared to the same period last year. Despite this positive result the success rate for BME applicants still remains below that of White applicants however, the gap in success rates has reduced from the same period last year. The Local Government Benchmarking Framework (LGBF) Equalities group continues to work in partnership to address the barriers to employment for BME groups.
- The percentage of LGBT applicants has decreased by 0.76% compared to the same period last year however; a greater number of LGBT individuals were appointed and this has inflated the success rate for LGBT applicants beyond the heterosexual success rate by 1.89%. Despite this positive outcome the number of applications from LGBT individuals remains low. The Council continues to promote the organisation as an inclusive employer through events such as the raising of the LGBT flag and the promotion of diversity which aims to increase this figure.
- The percentage of applicants identifying as disabled has increased from 4.25% to 4.46% compared to the same period last year. This is an increase of 0.21%. The success rate for applicants identifying as disabled

has increased by 0.61% however; the success rate for applicants identifying as disabled still remains below that of applicants who do not identify as disabled. Despite this, the gap in success rates has reduced from the same period last year. The Council continues to support disabled applicants into employment through its commitment to guaranteed interviews for disabled applicants who meet the essential criteria and the use of tailored adjustment agreements.

- The success rate for non-Christian applicants has increased by 1.71% compared to the same period last year. The percentage of applicants from non-Christian groups has increased from 3.25% to 4.06% compared to the same period last year. This is a positive reflection of the image of the Council as an inclusive employer.

#### **4.7 Staffing Watch**

The most recent staffing watch completed in March 2017 reported that there were 5758 employees (headcount) in post compared to 5786 employees in post at March 2016. This is a decrease of 28. From April 2016 to March 2017, 38 employees were released through voluntary early retirement and voluntary severance which has contributed to this reduction. The recruitment campaign to increase the number of craft workers is reflected in the March 2017 headcount.

The staffing watch completed in December 2016 reported 5754 employees in post. This illustrates that the workforce remained stable for the period and reinforces the Council's commitment to maintaining employment for its employees in times of Organisational Change.

The Joint Staffing Watch includes casual staff that are estimated to have worked on the requested snapshot date for the organisation. The workforce plan counts all casual staff listed on the workforce management system whether they have worked or not.

### **5. People Implications**

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

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

- 6.1** Financial – No direct financial implications.

### **7. Risk Analysis**

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

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

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

## **9. Consultation**

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

## **10. Strategic Assessment**

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

**Victoria Rogers**

**Strategic Lead – People and Technology**

Date: 7 June 2017

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**Appendices:** None

**Background Papers:** None

**Wards Affected:** None



## WEST DUNBARTONSHIRE COUNCIL

### Report by the Strategic Lead – People & Technology

**Corporate Services Committee: 7 June 2017**

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**Subject: Early Retirement, Voluntary Severance and Redeployment –  
Period 1 October 2016 – 31 March 2017 and Annual Update**

#### **1. Purpose**

- 1.1** The purpose of this report is to advise Committee on early retirements, voluntary severance, and re-deployments during the 6 month period from 1 October 2016 to 31 March 2017 and to provide a summary of the 12 month period 1 April 2016 to 31 March 2017.

#### **2. Recommendations**

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

#### **3. Background**

- 3.1** The Council analyses the number of employees being released through early retirement and voluntary severance, and all of the associated costs. This forms part of the ongoing monitoring process derived from the Audit Scotland Report “Bye now pay later?”
- 3.2** This report provides information on the Council’s position for the 6 month period 1 October 2016 to 31 March 2017. The report also provides trend analysis for the 12 month period from 1 April 2016 to 31 March 2017.

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

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

- 4.1** During the 6 month period, 11 employees were granted early retirement on the grounds of efficiency of the service, redundancy or voluntary severance as shown in Table 1 overleaf.
- 4.2** Voluntary severance is dealt with by way of a discretionary payment that can be granted in situations where an employee is not eligible to retire under the Local Government Pension Scheme regulations due to their age or length of service; is not a member of the LGPS, or where, an employee has reached retirement age and where a severance payment would be more beneficial than the award of Compensatory Added Years (although this will be used in exceptional circumstances only).

Table 1 – Voluntary Early Retirement/Severance (1 October 2016 – 31 March 17)

<b>Strategic Directorate</b>	<b>No. of Employees</b>	<b>*One-Off Costs</b>	<b>Recurring Annual Costs</b>	<b>Recurring Net Annual Savings</b>
HSCP, Regeneration, Environment & Growth and Transformation & Public Service Reform (Teachers) **	3	£23,790	£3,232	£45,109
Transformation & Public Service Reform	8	£351,147	£7,913	£182,617
<b>TOTALS</b>	<b>11</b>	<b>£374,937</b>	<b>£11,145</b>	<b>£227,726</b>

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

### Trend Analysis

- 4.3** During the 6 month period, 8 employees were granted early retirement on efficiency grounds, 2 on redundancy grounds and 1 employee was granted voluntary severance. A comparison has been made against the previous years (Table 2). The number of employees being released through voluntary early retirement/severance has decreased slightly in comparison with the previous year but remains significantly higher than in 13/14 and 14/15. This is attributable to the continuation of the targeted approach to early release in line with service requirements. Posts have been deleted as part of workforce structure changes. The number of teachers being released has increased slightly when compared to previous year but is in line with the years 13/14 and 14/15.

Table 2 – Comparison to Previous Years

<b>Annual Period</b>	<b>01/04/13-31/03/14</b>	<b>01/04/14-31/03/15</b>	<b>01/04/15-31/03/16</b>	<b>01/04/16-31/03/17</b>
No of employees released through early retirement/voluntary severance	6	9	37	28
No. of employees released through early retirement - STSS (Teachers)	10	10	8	11*
<b>TOTAL</b>	<b>16</b>	<b>19</b>	<b>45</b>	<b>39</b>

\* One additional VER employee omitted from 01 April to 30 September 2016 report in error now included



### Early Retirements - Ill-health

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

Table 3A – Ill Health Retirements (1 October 2016 – 31 March 17)

<b>Strategic Directorate</b>	<b>No. of Employees</b>
HSCP	5
Regeneration, Environment & Growth and Transformation & Public Service Reform*	5
<b>TOTAL</b>	<b>10</b>

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

- 4.5 Table 3B contains details of the summary for the 12 month period ending 31 March 2017.

Table 3B – Ill Health Retirements (1 April 2016 – 31 March 17)

<b>Strategic Directorate</b>	<b>No. of Employees</b>
HSCP	9
Regeneration, Environment & Growth	6
Transformation & Public Service Reform	7
<b>TOTAL</b>	<b>22</b>

- 4.6 The LGPS regulations allow for 2 tiers of ill-health retirement in situations where the member's ill-health or infirmity of mind or body renders them permanently incapable of discharging efficiently the duties of their current employment. Tier 1 relates to members with no reasonable prospect of obtaining gainful employment before the age of 65. Tier 2 relates to members with a reasonable prospect of obtaining gainful employment before the age of 65.
- 4.7 During the 12 month period one employee was awarded exceptional ill health, 14 employees were awarded Tier 1 and 7 employees were awarded Tier 2. No appeals against the decisions were received.

### Trend Analysis - Ill-health Retirement

- 4.8 A comparison has been made against the previous years (Table 4). During the 12 month period the number of ill health retirements granted decreased slightly when compared to the previous year however is still significantly higher than any of the years between 10/11 and 14/15. This demonstrates that absence is continuing to be managed effectively and that the levels of

award indicate the seriousness of the conditions being dealt with as part of our absence management. Although not reported, the overall increase in the number of ill health retirements correlates to the reduction in the number of deaths in service. This results in a better financial provision for employees and their families.

Table 4

<b>Annual Period</b>	<b>01/04/13-31/03/14</b>	<b>01/04/14-31/03/15</b>	<b>01/04/15-31/03/16</b>	<b>01/04/16-31/03/17</b>
No of employees granted ill-health retirement	10	14	29	22

### Redeployment

- 4.9** Redeployment is monitored 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; alternative employment can also be sought through the SWITCH process for employees whose post is evaluated lower than the current grade. Within the 6 month period, a total of 4 employees were permanently redeployed to suitable alternative posts within the Council – 2 of these employees were placed in lower graded jobs so remain on the SWITCH register. Two employees were redeployed on a temporary basis but remained on the SWITCH register. Details of the number of employees on the redeployment register are shown below -

Table 5A – Employees on redeployment register by reason by month (1 October 2016 – 31 March 2017)

<b>Month</b>	<b>No. of Employees (Ill-health)</b>	<b>No. of employees (Displaced)</b>	<b>No. of Employees (Job Evaluation)</b>	<b>Total no of employees on redeployment register</b>
October	1	15	5	<b>21</b>
November	1	15	4	<b>20</b>
December	1	15	4	<b>20</b>
January	1	33	4	<b>38</b>
February	1	33	4	<b>38</b>
March	1	37	4	<b>42</b>

- 4.10** Table 5B contains details of the summary for the full 12 month period to 31 March 2017.

Table 5B – Employees on redeployment register by reason by month (1 April 2016 – 31 March 2017)

Month	No. of Employees (Ill-health)	No. of employees (Displaced)	No. of Employees (Job Evaluation)	Total no of employees on redeployment register
April	0	3	6	9
May	0	4	6	10
June	0	4	6	10
July	0	3	6	9
August	1	3	6	10
September	1	18	5	24
October	1	15	5	21
November	1	15	4	20
December	1	15	4	20
January	1	33	4	38
February	1	33	4	38
March	1	37	4	42

- 4.11** The approval and introduction of the Switch Policy on 13<sup>th</sup> August 2014 extended the scope of the register and provided clear guidance on the categorisation of employees on the register as the reasons for requiring redeployment can vary and are prioritised in relation to access to opportunities.
- 4.12** As demonstrated in Table 5B there has been a significant increase in the number of employees being placed on the SWITCH register. This increase is attributable to the number of large scale restructures recently undertaken such as the CAS review and the opening of the new Dumbarton Care Home.

#### Flexible Retirement

- 4.13** The approval of those employees granted flexible retirement is monitored by the Strategic Lead - People & Technology and the Strategic Lead - Resources. During the 6 month period, a total of 12 requests were approved as detailed below, with no cost to the Council.

Table 6A – Flexible Retirements (1 October 2016 – 31 March 2017)

Strategic Directorate	No. of employees
HSCP, Transformation & Public Service Reform*	6
Regeneration, Environment & Growth	6
<b>TOTALS</b>	<b>12</b>

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

**4.14** Table 6B contains details of the summary for the full 12 month period to 31 March 2017

Table 6B – Flexible Retirements (1 April 2016 – 31 March 2017)

<b>Strategic Directorate</b>	<b>No. of employees</b>
HSCP	7
Regeneration, Environment & Growth	9
Transformation & Public Service Reform	6
<b>TOTALS</b>	<b>22</b>

Trend Analysis – Flexible Retirement

**4.15** The number of employees granted flexible retirement has increased in comparison to the previous year as 9 employees were granted flexible retirement in 2015-2016 (Table 6C) . During the period the average age of employees granted flexible retirement was 62 years – this is the same as the previous year. Flexible requests are monitored centrally within HR and during the period 1 request was declined.

Table 6C – Comparison to Previous Years

<b>Annual Period</b>	<b>01/04/13-31/03/14</b>	<b>01/04/14-31/03/15</b>	<b>01/04/15-31/03/16</b>	<b>01/04/16-31/03/17</b>
No of employees granted flexible retirement	13	17	9	22

**5. People Implications**

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

## 6. Financial Implications

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

## 7. Risk Analysis

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

## 8. Equalities Impact Assessment (EIA)

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

## 9. Consultation

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

## 10. Strategic Assessment

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

*.Electronic Signature*

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Victoria Rogers  
Strategic Lead – People and Technology  
Date: 8<sup>th</sup> May 2017

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**Appendices:** None

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

**Wards Affected:** None