

Regulatory Delivery Plan

2016-17

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1. Overview & Profile

In 2015 the Senior Management structure of West Dunbartonshire Council was reviewed and a new smaller senior leadership team was created to drive the Council's priorities from April 2016. As part of that leadership team, eight Strategic Leads were created. Each Strategic Lead (formerly known as Heads of Service) has responsibility for a specific area covering a range of functions. In addition the Health and Social Care Partnership Chief Officer reports on progress across four additional strategic areas sitting within the partnership. The Council Strategic Leads are:

Resources

- Finance and Treasury
- Procurement
- Audit and Fraud
- Business Support
- Chief Finance Officer

People and Technology

- Human Resources
- Organisational Development and Change
- Health, Safety, Risk and Resilience
- ICT
- Transactional support

Education, Learning and Attainment

- Early Years: early learning and child care
- Primary, Secondary and Additional Support Need Schools
- Psychological Services
- Chief Education Officer

Housing and Employability

- Housing
- Working4U
- Working4Business
- Your Community, including community development and empowerment

Regulatory

- Legal
- Licensing
- Registration of Births, Deaths and Marriages
- Environmental Health and Trading Standards
- Planning and Building Standards
- Elections and Democratic Services
- Data Protection and Information
- Administrative Support
- Monitoring Officer

Communications, Culture and Communities

- Customer Services
- Policy, Planning and Performance
- Libraries and culture
- Communications, events and engagement

Environment and Neighbourhood

- Fleet and Waste
- Greenspace
- Roads and Transportation
- Leisure and Facilities Management

Regeneration

- Regeneration
- Capital Investment Programme
- Estates and Asset Management
- DLO

Profile

The regulatory strategic area includes the former Legal, Democratic and Regulatory Services alongside Planning and Building Standards.

Elections and Democratic Services

The Democratic Services Team provides a diverse range of services to internal and external customers and clients including Committee Services, Members' Services, Leadership Support, Admin Support and Registration of Birth, Deaths, Marriages and Civil Partnerships.

The team also makes a major contribution to the administration and management of all types of elections/referendums, including community councils.

Planning and Building Standards

This service comprises of four teams: Forward Planning, Development Management, Building Standards and Technical Support.

Forward Planning is responsible for the preparation of the Local Development Plan and the Strategic Development Plan.

Development Management is responsible for providing advice, negotiating and facilitating high quality development, determining planning applications, monitoring development and the use of enforcement powers when appropriate.

Building Standards provide advice, determine building warrant applications, issue Letters of Comfort, resolve matters relating to unauthorised work and respond to dangerous buildings.

The Technical Support Team manages and maintains the Geographic Information Systems and Corporate Address Gazetteer. The team also provides technical and administration support to the Service and assist in the processing of applications, warrants and enquiries.

Regulatory Services

The service offers a wide variety of statutory services to protect the public and businesses. The services cut across many different subject areas. The services provided by the team protect community health, the environment and the well-being of people who live, work and visit West Dunbartonshire.

The team has a wide ranging remit offering compliance guidance and advice on food hygiene, safety, accident prevention, licensing, environmental pollution, public health, consumer protection, animal health and fair trading. As well as the complimentary advice and guidance function for these areas, the team also has duties and responsibility for enforcement in these and other areas. Our enforcement role involves ensuring that those persons who must comply with the laws that we enforce do so.

In addition to the statutory services outlined the team offer services like pest control, education, advice and training.

Legal Services

The Legal Services team provide comprehensive advice, support, governance and regulation covering the full range of Council's Services and is itself responsible for the delivery of the Council's licensing functions.

It comprises three key functional areas:

- Legal- which provides advice, representation and transactional support to Officers and Members including Contracts, Conveyancing and Property, Employment law, Governance and Litigation;
- Licensing- fulfilling the Council's statutory duties in respect of the Liquor, Gambling and Civic Government Licensing;
- Records Management- Providing Advice and support on the Council's Records Management responsibilities, Data Protection and Freedom of Information.

Corporate Administration Support (CAS)

The CAS is a new function which aims to consolidate all clerical and administration functions across the organisation. The service will be delivered in phases with the first phase of the project covering the Regeneration, Environment & Growth teams and non-school Education team. Phase two will deliver on school administration and phase three will look to integrate the existing Admin Support Unit (ASU) and the Leadership Support unit (LSU) into this central team.

Performance Review

In 2015/16 the services delivered a number of key achievements on behalf of the Council:

- Secured planning permission in principle for the Queens Quay site. This is the result of extensive consultations, resolution of complex issues and high quality urban design
- Progressed key developments and concluded legal agreements for capital and regeneration projects. these include Queens Quay, Clydebank Leisure Centre, the new Balloch campus, replacement Kilpatrick School, Bellsmyre Primary Schools, Dumbarton Care Home, the new Council offices in Dumbarton town centre Our Lady & St Patrick's High School
- Implemented the action plans from the Clydebank and Dumbarton Rock and Castle Charrettes, setting up appropriate governance arrangements in order to secure future funding
- Ensured public safety through robust inspection of all high risk food businesses within timescales required by the statutory code of practice
- Worked closely with port authorities to prevent unsafe products reaching West Dunbartonshire, which would put residents at risk
- Launched a Gull control service
- Begun work on the first online counterfeit investigation

- Delivered joint interventions with key partners such as NHS Greater Glasgow & Clyde, Police Scotland, Trading Standards Scotland, Food Standards Scotland and the UK Border Agency
- Launched the Trusted Trader scheme
- Supported development of the governance structure for the new Integrated Joint Board for West Dunbartonshire Health and Social Care services
- Improved processes and reduced costs across a range of services
- Maintained high performance on key indicators across all services
 - planning application decision making timescales very favourable when compared with the national average
 - Good Building Standards performance achieved
- Provided support to regeneration of key development sites across the Council area including Mitchell Way, Alexandria and the former Exxon/Esso site in Bowling, the Council's city deal investment site
- Supported delivery of key council transformation projects
- Delivered a successful UK Government election in May 2015, producing an accurate result in which all interested parties had confidence

As a strategic area we recognise that there are also some challenges to delivery, which can delay progress and cause frustrations for employees and citizens. Some of the challenges faced over 2015/16 included

- Failure to adopt the emerging local development plan. The current local plan is now 6 years old and the Council have not yet adopted the emerging Local Development Plan due to an ongoing issue with a housing site
- Delays in achieving our accessible taxi target for the area
- Reduced access to services as a result of maintenance issues in buildings
- Delays in progress on key areas of work as a result of challenges with ICT systems and infrastructure
- Delays in wider restructure projects have had impact on key service processes
- Delays in implementing new working practices as a result of the speed and reliability of scanning
- Providing continuity of service during transition to new office accommodation

2. Strategic Assessment

The regulatory management team completed a detailed strategic assessment and performance review to determine the major influences on service delivery and strategic priorities going forward into 2016/17. As a result of this assessment the following factors were recognised as having a significant influence on the work of service in 2016/17:

Local Development Plan

Work will be required throughout 2016/17 on a new Local Development Plan for West Dunbartonshire. This will reflect the emerging plan that was not adopted by the Council. The new Local Plan will also reflect the ambitions as detailed through our extensive local charette programme.

Regeneration

While local regeneration sits within a separate strategic area for delivery, a range of supports for this work will be provided through the regulatory strategic area.

- The planning and building standards team will work to advise and assist on the applications for the infrastructure works and health quarter for the Queens Quay site in order to achieve high quality development and will also assist and advise on the Exxon /City Deal project.
- The environmental health team will also support these developments by providing compliance guidance in respect of contaminated land, air quality, noise pollution and other environmental factors.
- The legal team will continue to support the focus on regeneration projects through negotiation of appropriate contractual arrangements with a variety of interested parties.

The focus for this service area will be progressing and supporting high quality development on our key regeneration sites. Linked to this is a requirement to establish appropriate governance arrangements jointly with the National Park for the Balloch Charrette action plan, and continue implementation of the Bowling, Clydebank and Dumbarton charrette action plans.

Legislative Context

As the legal service for West Dunbartonshire Council, the service has an advisory role across all strategic areas in relation to the duties and implementation of new legislation. This is an ongoing function for the service, with year to year activity dependant on the programmes of the Scottish, UK and EU Governments. The input from the service varies in relation to the individual pieces of legislation. Over the coming year the service will work to support local implementation and response to key legislation such as the Community Empowerment Act, Community Justice Act, National Assistance Act and European derived regulation on Data Protection and Procurement.

The service area will also focus on raising awareness locally of the Scottish Regulators' Code and implementing the new West Dunbartonshire enforcement policy, approved early in 2016.

Service Development and Redesign

During 2016/17 the regulatory strategic area will focus on continuous improvement to ensure that they are fit for purpose and providing a best value service. This includes responding to a national strategic review of trading standards, implementing any local actions required from this, and a consolidation of the legal and licensing services to ensure a more integrated service with increased capacity.

Through these processes the individual services will take the opportunity to assess capacity across teams to ensure they are best able to meet the needs of those using their services and provide a best value service. This will also allow the teams to expand services where required, such as the pest control service, and respond to practice changes such as those related to animal feed enforcement.

The services are also looking for opportunities to increase income, such as that generated through the registration service. To support this there is a need to better use technology to market and advertise services available.

During 2016/17 the regulatory strategic area will assume responsibility for a newly established Corporate Administration Support Service. This transformation project will deliver a consistent, modern and responsive approach to administrative support across the organisation and will be delivered in phases beginning in August 2016.

Financial Management

The Strategic Lead and Managers are 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 and 2018/2019 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
- Monitor financial performance through 2016/17

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 2016/17 we will:

- Carry out Performance Development Plan's (PDPs) with all staff
- Apply in full the Council's Attendance Management Policy
- Progress improvement actions arising from the Employee Survey 2015
- Ensure that all employees have appropriate access to learning and training

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 have a PDP in place and supporting professional and personal development in their current role and for any future career plan.

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. One element of this is identification of successors at Strategic Lead level and ensuring that the relevant developments are in place across the organisation. A further example of this is the work with West College Scotland to build capacity, develop appropriate courses to fill our identified skills gaps and create a WDC ready workforce.

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 5 key areas and are embedded in the action plan for this strategic area.

Employees

The number of full time equivalent staff in each section is outlined in the table below. During 2016/17 110.6 FTE additional employees will join the strategic area as the Corporate Administration Support team is established.

	No. of staff 2016/17
Elections and democratic services	79.8
Planning and building standards	24
Regulatory services	27.9
Legal services	20.2
TOTAL	151.3

Finance

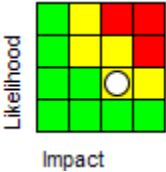

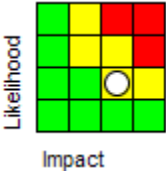

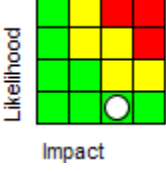
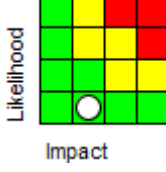
The 2016/17 revenue budget for the regulatory strategic area is £3,592,598. We will make the best use of the resources available to deliver on key priority areas and secure external/match funding where this is possible.

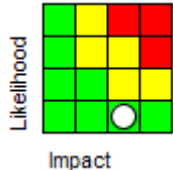
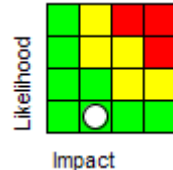
The resources to deliver on this in 2016/17 action plan for Regulatory are:-

Section	Gross Expenditure 2016/17	Gross Income 2016/17	Net Expenditure/ (Income) 2016/17
Corporate Administration Support	Will be confirmed in August 2016	Will be confirmed in August 2016	Will be confirmed in August 2016
Elections and democratic services	£1.797m	£0.325m	£1.472m
Planning and building standards	£1.053m	£0.637m	£0.416m
Regulatory services	£1.359m	£0.186m	£1.173m
Legal services	£0.990m	£0.458m	£0.532m
TOTAL	£5.199m	£1.606m	£3.593m

4. Risks

In carrying out a strategic assessment and planning for 2016/17 the strategic regulatory area has considered the council's strategic risks. It has identified those strategic risks that the various teams can help reduce and detailed these below along with additional service area specific risks.

Risk Title	Description	Initial Assessed risk score	Current 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 and licensing laws		
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. This will include controls in place to monitor the creation, maintenance, storage, movement, retention and destruction of personal data records.		

<p>Failure to successfully deliver the Scottish Parliament Election, European Referendum and any other polls</p>	<p>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</p>	 <p>A 4x4 risk matrix with 'Likelihood' on the vertical axis and 'Impact' on the horizontal axis. The grid is colored as follows: Row 1: Green, Yellow, Red, Red; Row 2: Green, Yellow, Yellow, Red; Row 3: Green, Green, Yellow, Yellow; Row 4: Green, Green, Green, Green. A white circle is located in the cell corresponding to (Likelihood: High, Impact: Medium-High).</p>	 <p>A 4x4 risk matrix with 'Likelihood' on the vertical axis and 'Impact' on the horizontal axis. The grid is colored as follows: Row 1: Green, Yellow, Red, Red; Row 2: Green, Yellow, Yellow, Red; Row 3: Green, Green, Yellow, Yellow; Row 4: Green, Green, Green, Green. A white circle is located in the cell corresponding to (Likelihood: Medium, Impact: Low).</p>
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Appendix 1 –Structure Chart

TRANSFORMATION & PUBLIC SERVICE REFORM

STRATEGIC LEADS



Appendix 2 - Action Plan 2016-17

Priority	Objective	Action	End Date	Assigned to
Social Mission	Improve local housing and environmentally sustainable infrastructure	Progress and support development on key Council regeneration sites (QQ, Dumbarton Waterfront, Exxon, Mitchell Way)	March 2017	Peter Hesselton
		Commence preparation of new Local Development Plan	March 2017	Pamela Clifford
		Successfully support delivery of transformational projects (Council wide)	March 2017	Alan Douglas
	Improve the wellbeing of communities and protect the welfare of vulnerable people	Develop a local response to recommendations from national strategic review of trading standards	March 2017	Graham Pollock
		Ensure environmental health and trading standards provide community focused services in line with current legislative and statutory guidance	March 2017	Graham Pollock
		Deliver a successful Scottish Parliamentary Election	May 2016	Peter Hesselton
		Deliver a successful European Referendum for the West Dunbartonshire area	July 2016	Peter Hesselton
		Develop a local response to implications on Land Reform and Asset Transfer resulting from Community Empowerment Act	March 2017	Alan Douglas
Organisational capabilities	Strong financial governance and sustainable budget management	Finalise Common Good Register for West Dunbartonshire	March 2017	Alan Douglas
	Strong corporate governance	ensure an appropriate corporate legal response to implementation of new legislation and policy directives	March 2017	Alan Douglas

		Plan for the effective implementation of a new Council and administration post Local Government Elections in May 2017	March 2017	George Hawthorn
		Deliver the new Corporate Administration Support function	March 2017	Arun Menon
	Fit for purpose estates and facilities	Support transition planning for move to new Dumbarton office	March 2017	Peter Hesselst
	Committed and dynamic workforce	Ensure service structures are fit for purpose	March 2017	Peter Hesselst
		Implement improvements arising from Staff Survey 2015	March 2017	Peter Hesselst