



DUNEDIN CANMORE HOUSING

BOARD MEETING

Thursday 19th August 2021
New Mart Road, Edinburgh

AGENDA

1. Apologies for Absence
2. Declarations of Interest
3. Minute of meeting on 27 May 2021 and matters arising

Main Business Items

4. Business and Remobilisation update
5. Stronger Voices, Stronger Communities – an update on our engagement activity
6. Anti-Social Behaviour Framework 2021-2026
7. a) 2020/21 Financial Statements
b) Internal Audit Annual Report and Opinion 2020/21

Other Business Items

8. Finance Report
9. Delivery Plan 2021-22 Quarter 1
10. Governance update
11. AOCB

Report

To: Dunedin Canmore Housing Board

By: Hazel Young, Managing Director

Approved by: Olga Clayton, Group Director of Housing and Care

Subject: Business and Remobilisation update

Date of Meeting: 19 August 2021

1. Purpose

- 1.1 To provide the Board with a business update and an update on our current remobilisation position and to seek Board approval to consult our for proposed changes to our new operating model.

2. Authorising and strategic context

- 2.1 The Group CEO has responsibility for business operations across the Group. The pandemic has had a significant effect on these operations and to reflect this the Board previously agreed the principles of our approach for how we might continue to develop our service. This approach remained subject to the rate at which Scotland moved through the phases of Scottish Government's route map. The Board are being asked to approve consultation with customers regarding changes to the way we deliver services.
- 2.2 Under the group Authorise / Manage / Monitor matrix the Board has responsibility for authorising new operating /service delivery models in its area.

3. Risk appetite and assessment

- 3.1 Our risk appetite relating to laws and regulations is "averse"; defined as avoidance of risk and uncertainty is a key organisational objective. The strategic risk register identifies the particular risk associated with non-compliance with health and safety requirements.
- 3.2 Our priority throughout the pandemic has been protecting the health and safety of our customers, our staff and the other people they come into contact with. We continue to mitigate this risk by undertaking rigorous health and safety risk assessments as part of our remobilisation, including compliance with all relevant Scottish Government guidance.

4. Background

- 4.1 The Scottish Government has continued to progress through its strategic routemap to ease restrictions. All of Scotland is now at level zero and we have been able to remobilise services safely in line with Government advice.

5. Customer engagement

- 5.1 Our strategy has a very clear focus on enhancing our customer engagement and a significant element of co-development and co-design with our customers. As we have remobilised services we have been able to increase the levels of engagement. As part of the remobilisation we have been able to carry out neighbourhood walkabouts, home visits by Housing Officers, and provide a full repairs and Neighbourhood Environmental Team (NETs) service.
- 5.2 The Board has previously agreed the principles that set out our approach to deliver services in a way that takes the positive learning from the pandemic and delivers a much more agile and flexible service model that aims to give customers more choice and control of their services. This report is seeking approval to consult with customers on the new operating model. The consultation will seek customers views over a six-week period and will be reported back to the Board in November.

6. Discussion

- 6.1 In recent months we have continued to remobilise services where possible. We have largely been able to undertake the remobilisation plans previously outlined to Board (see table below). Our aim is still to fully remobilise by September but we have slightly flexed our plans to allow the phased reintroduction to continue to the end of September if necessary. This is due to the current situation which is more fragile than anticipated with rising numbers across much of the country. We will therefore need to continue our regular review of remobilisation plans and adapt these as required. It is possible that the situation will change relatively rapidly.

	End April	End May	June-August	September onwards
Repairs	Fully remobilised Customer comms plan launched		End August – lockdown backlog cleared	Fully remobilised
Investment	Non-complex internal investment commences		Internal investment scales up to full remobilisation	Fully remobilised
Compliance		Standalone electrical inspections, TMV maintenance and M&E works recommenced	Fully remobilised	Fully remobilised
Housing Officer	Increased patch-based activity	Increased visibility in patches and increasing visits	Fully remobilised	Fully remobilised
Income collection	Increased Doorstep visits	Increased home visits	Fully remobilised	Fully remobilised
Allocations/ Homelessness	Mutual exchanges resumed		Fully remobilised	Fully remobilised
Stair cleaning		Phased reintroduction	Fully remobilised	Fully remobilised
Environmental	Fully remobilised			
Anti-social Behaviour, Group Protection	Doorstep visits	Increased visibility in patches and increasing visits	Fully remobilised	Fully remobilised
Fire Safety Visits	Fully remobilised			
Care / support			Services remobilised with blended model for some outreach services	Fully remobilised
New Build	Fully remobilised			
Factoring/MMR/ PRS letting	Virtual viewing model retained – Repairs, Investment and Environmental services remobilised for Lowther (East) in line with Dunedin Canmore			Fully remobilised
Foundation	Emergency response Fund closed	Bursary programme launched Environmental apprentice recruitment	Fully remobilised	Fully remobilised

6.2 Our initial plans to complete the backlog of repairs noted during lockdown restrictions early in 2021 has progressed with the majority of the backlog of 444 repairs being completed by the end of June. The remaining 11 of the backlog were completed by 13 August – these were more complex jobs involving a sub-contractor. We have also experienced an increase in pent up demand for repairs reported since 26 April. This has meant that customers are having to wait slightly longer for an appointment but through very proactive resource management we have been able to keep this within our target timescales.

6.3 A more detailed update on the current position and future remobilisation of our services is set out below.

Housing Services

6.4 During the pandemic we have continued to operate the vast majority of our services with staff largely home based. The gradual easing of restrictions by the Scottish Government has now allowed us to be much more active and present in local communities. Housing officers are now carrying out daily patch visits and meeting customers in their neighbourhood.

Housing Officer role

- 6.5 For most of 2020 and all of 2021 housing officers have been based at home. We have provided invaluable support and contact to customers, primarily through the use of telephone and digital means. In line with restrictions, we have visited customers only where there has been an exceptional need.
- 6.6 As part of the phased move to our new operating model we have commenced neighbourhood walkabouts with customers to increase our visibility and to identify issues that would normally have been picked up by housing officers on their patch. These walkabouts are co-ordinated by the community engagement officer and generally include the housing officer for the patch, relevant NETs team leader and an investment officer. They consider the external condition of buildings, stairs and other communal areas and the neighbourhood environment. It also provides an informal opportunity for customers to meet our team in their local community to have a general discussion about issues that matter to them.
- 6.7 In line with our strategy and our community based approach, our new model will mean that customers do not need to come to an office. In most circumstances they will either use digital contact, or housing officers can come to them and meet them at their home. Under Level zero, housing officers have been able to undertake essential visits in customer homes. PPE and social distancing requirements are still very much in place in line with operating safety manuals already used by our repairs staff.

Income collection

- 6.8 Maintaining our rental income to fund our services and supporting our customers to pay their rent have been key priorities through the pandemic. As a result, we have maintained a sector leading arrears position and have out-performed the target for the first quarter of the financial year with gross rent arrears at 3.89% at the end of Q1.
- 6.9 Whilst much of our contact with customers in arrears remains via telephone and digital contacts we have been able to start visits for customers in their homes in relation to rent and associated support.
- 6.10 The 6-month notice period for Notice of Proceedings and evictions has been extended by the Scottish Government until 30 September 2021. The new escalation processes which we have developed to take account of this are now well embedded. This includes the potential to escalate to Notice of Proceedings where we are satisfied that the household 'won't pay' rather than 'can't pay'. This will only be done following a review of individual cases, including an assessment of any Covid-19 impact and any potential vulnerabilities.
- 6.11 As we have remobilised, we will continue to build on the innovation we have undertaken throughout the year. Our housing officers now have access to bespoke reporting through our PowerBI dashboards which distils complex information into easily readable visuals and data.

Allocations and Homelessness

- 6.12 Allocations have been remobilised since August 2020 and are operating in a business as usual mode with additional safe working procedures. Providing homes for homeless households and other priority households continues to be the priority and we have:
- Continued to focus on improving our void turnaround performance. As at end of quarter 1 our average relet time is 15.58 days; and
 - Let 70 homes between April and June, with 69% of these to homeless customers.

Dunedin Harbour

- 6.13 The team at Dunedin Harbour has continued their proactive Covid response to ensure service to their customers. To date no individuals supported within Dunedin Harbour has tested positive for Coronavirus. Remobilisation plans continue to be implemented in line with Scottish Government route map and accompanying guidance.
- 6.14 Improvement works in relation to fire safety have continued as planned with two clusters fully completed and a third expected to be finished by late September. It is taking approximately 3 months per cluster, so it is anticipated that all the accommodation parts of the building will be completed by the end of March. Project staff and customers are delighted with the quality of the finished works.
- 6.15 The management team at Dunedin Harbour created and submitted a proposal to City of Edinburgh Council (CEC) to seek match funding for a Community Resettlement Worker post. The request aligned with the funds that had been allocated from the DC Foundation from a legacy application previously submitted. Whilst there was some delay from CEC regarding this request, they have now confirmed that funding would be granted.
- 6.16 As part of Wheatley Care's quarterly leadership forum, the management team presented an overview of their service to colleagues, followed by planned virtual tours which were well received.

Wraparound support

- 6.17 In Q1, the Wheatley Foundation has supported over 400 people from our households and communities. Eat Well continues to support tenants who are going through periods of financial difficulty. Supermarket vouchers are sent to tenants phones or emails and allows them to choose items for their weekly shop. The value of the voucher provided depends on the number of people living in the household. This quarter, 95 of our households have been provided with vouchers to purchase food, to the value of £3940. 62% of our tenants supported by Eat Well have been for single person households and a quarter have been households with children.

- 6.18 Wheatley Works team have continued to support tenants get back into training and employment. There have been 11 opportunities created in quarter one for people living in our homes. Opportunities include Changing Lives trainees, Community Benefit job and training opportunities supported by the our Youth Projects.
- 6.19 Applications for Bursaries opened in April. 50 awards will be made each year by the Wheatley Foundation to tenants across Group, providing them with financial support as they study. This year, we received a total of 108 applications including 2 from our tenants. Applications will be assessed in Q2 and awards made shortly after.
- 6.20 The Emergency Response Fund, that was a significant support to customers across group throughout the pandemic, ended in quarter one. 21 of our tenants were supported before the fund closed in May. This takes the total to over 250 of our tenants supported by the fund, since it was created in March 2020 in response to the Pandemic.
- 6.21 The new Barony Support Fund (BSF) was then launched in June to support tenants in financial difficulty with one-off purchases. Items purchased in the 4 weeks of operation in quarter 1 include household items, mobile phones and white goods. In June 2021, 4 of our households have been supported by the BSF.
- 6.22 My Great Start has supported 66 of our tenants in Q1 with financial advice including support with benefits applications.
- 6.23 Dolly Parton Imagination Library delivered nearly 76 books to 26 children under five in living in our homes quarter one, continuing to support early-years literacy and children's introduction to books.
- 6.24 A £50k Creative Scotland grant is funding a Youth Arts Small Grants programme involving 150 young people in Wheatley communities. The Wheatley Foundation ran the grant application process and distributed small grants to independent artists to deliver engaging projects to young people in Q1, supporting new local activity, community partnerships and securing employment opportunities for artists. Projects have now begun across Wheatley RSLs including for us:
- Craftivism – Crafts meets Activism. Individual and collaborative based work to be displayed in their community in the Quarries.

Fire safety, Anti-social Behaviour, Group Protection

- 6.25 Fire safety visits for vulnerable households were recommenced last summer and continued through the second lockdown.
- 6.26 Our Home Safety, ASB and the Group Protection Teams are now well established in their new model. Contact with relevant agencies is almost entirely digital and has worked well throughout the pandemic. Officers will be able to undertake home visits from July onwards.

- 6.27 There continues to be particular concern for the victims of domestic abuse during this period who may have had less opportunity to seek out support. It is possible that there will be increased reporting of abuse as restrictions ease. Our staff are well trained on domestic abuse and this provides them with the knowledge, skills and experience to best support victims, connecting them to our services or to bespoke domestic abuse support. The Group Protection Team provide specialist knowledge and can guide staff dealing with complex cases.
- 6.28 A report on the new Group Anti-Social Behaviour Framework will be presented later on the agenda at this Board meeting.

NETs Service

- 6.29 Our NETs team have been engaging in Keep Scotland Beautiful (KSB) assessments during June. The NETs service has worked in partnership with Keep Scotland Beautiful since 2016 when they designed and developed an audit methodology and award scheme for assessing and reporting on environmental quality across all of our stock types and areas. Following the KSB audit / assessment an independent report is produced that provides a score and detailed feedback on each of the elements we audit. The final overall percentage score is then graded into one of four Wheatley award levels.
- 6.30 The four award levels for the Wheatley Group are as follows:
- Under 50% - no award;
 - between 50-60% - 3 Star;
 - between 60-80% - 4 star; and
 - over 80% - 5 Star.

- 6.31 At our first inspection in 2018 we achieved a 5 Star award. KSB carried out an assessment in June 2021 as phase 2 of our inspection programme and not only did we retain our 5 Star award we were able to supersede our score from the previous award.

Customer engagement

- 6.32 Our new customer engagement framework was approved by the Board in February 2021. It provides the basis for delivering our strategic aim of increased customer control. An update on our engagement activity is provided as a later agenda item at this Board meeting.

Repairs, Investment and Compliance

Repairs

- 6.33 During Quarter 1 of 2021/22 5,582 repairs have been completed to our customer homes. Emergency repairs continued to be delivered on average in 2.95 hours. The volume and nature of the repairs carried out have varied in line with changing government restrictions on undertaking works in and around homes and we are now carrying out higher number of non-emergency repairs. These are being completed within 2.86 days.

- 6.34 Since resuming the full repairs service we have noticed a significant pent up demand in new repairs reported. We delivered 5,582 reactive repairs in Quarter 1 of this year compared to 4,703 reactive repairs in Quarter 1 of 2019. (We have excluded Quarter 1 of 2020 due to the lockdown). This is an increase of 19%.

Handyperson service

- 6.35 The handyperson service has been suspended across the Group throughout the pandemic. With the effective roll out of vaccines to the initial priority groups and the Government's easing of restrictions we were able to re-introduce this service from May 2021.

Investment

- 6.36 The external investment workstreams which continued throughout the lockdown since January are progressing well. Internal workstreams previously suspended at the beginning of January have been remobilised in stages depending on the nature of the work to ensure the safety of our customers, contractors and staff.

- 6.37 We have now remobilised our internal investment programme. As at the end of July we are delivering new boilers, bathrooms and a programme of new windows.

- 6.38 Our customer engagement process for investment works has been implemented to support this and provide enhanced assurance to customers around our robust approach to health & safety when delivering improvement works in their homes.

- 6.39 Aids and Adaptations works have been prioritised based on both need and risk of our customer referrals. In 2021/22 33 adaptations have been carried out. We continue to prioritise customer needs and we have now been able to complete all adaptations which were approved by an Occupational Therapist prior to the end of March. We continue to have detailed engagement with customers to ensure that they understand the process for the adaptation installation and the procedures we will follow to keep them safe.

Compliance

- 6.40 Our compliance works include programs to meet our legal and regulatory obligations, as well as works we undertake as part of keeping our customers and assets safe. All programs to meet our legal and regulatory obligations are operational despite current restrictions including gas safety, legionella prevention and smoke and heat detector installations. The current status of each is as follows:

- 6.41 **Gas safety** – we remain 100% compliant in this area.

- 6.42 **Legionella testing/water management** – work is continuing as planned and all required works have been carried out.

- 6.43 **Smoke and Heat Detector Installation** –work in this area is continuing as it is considered essential under the guidelines for the restrictions introduced since January. Good progress has been made with 84% of installations carried out. We are on track to complete by the deadline of February 2022 set by Scottish Government.
- 6.44 **Periodic electrical inspections** – Good progress has been made with 56% of inspections carried out. We are on track to complete this by the deadline of March 2022.

Development

- 6.45 The Scottish Government has committed £3.5bn in the five-year period from 2021/22 to the delivery of affordable housing. This was one of the main pillars within the Scottish Government Housing to 2040 strategy launch.
- 6.46 Linked to this we have been participating, as one of the Scottish Federation of Housing Association representatives, as members in the Scottish Government's Affordable Housing Investment working group. We are represented by the Director of Development. This working group is tasked with bringing back recommendations to both the Cabinet Secretary for Social Justice, Housing and Local Government and to the COSLA Leadership on affordable housing Grant benchmarks for 2021/22 and beyond.
- 6.47 We have 7 projects on site at Newmills Phase 2, Longniddry, South Gilmerton, The Wisp 3C, Roslin Phase 1, Penicuik and Rowanbank. These developments provide 252 units in total. We also have two projects that have been approved by the Group Development Committee that are due to start on site shortly. These are Lanark Road (12 units) and Wallyford Area 7 (60 units). Legals for the projects are nearing conclusion and both projects are expected to start in October 2021.
- 6.48 Site wide infrastructure works are underway at the West Craigs development in Edinburgh. We purchased the first two plots providing 300 units in March 2021 and we are currently completing the procurement process for the main works contractor through the Wheatley Contractor Framework. A report on the main works contractor tender is expected to go to Group Development Committee on 23 September 2021.
- 6.49 Completions are programmed at Newmills Phase 2, Longniddry and South Gilmerton this financial year, providing 79 completed units in 2021/22. Progress on site has been good at Newmills and Longniddry; but delays in timber kit delivery and other materials have been experienced at South Gilmerton resulting in delays to the planned handover dates.

Staffing

- 6.50 The majority of our staff returned from furlough before the end of June. We only have 2 members of staff remaining on furlough, both linked to health reasons. We are experiencing higher levels of absence linked to a few cases of Covid in our staff and some trade operatives requiring to self-isolate due to contact tracing. Our sickness level at the end of Q1 is 3.94%, which is higher than the 3% we aim to achieve but we hope to improve on this through the year.

New Operating Model

- 6.51 The Board have previously supported the principles for a new operating model. The pandemic has accelerated changes to the way we deliver services and the way customers access services. Our new 2021-26 strategy, ***Your Home, Your Community, Your Future*** sets out an exciting new way of delivering services that gives more control and power to customers and uses a much more agile delivery model that increases access to services 24/7 through the use of technology whilst also ensuring we deliver face-to-face services in local communities.
- 6.52 We are yet to engage with customers in the implementation of model. The model has four key components:
- *Customer First Centre* – Our customers already have access to 24/7 service through the Group Customer Service Centre (CSC). However, we have ambitions to further improve the CSC where we anticipate resolving up to 95% of customer queries at the point of contact by basing housing experts in a new Customer First Centre. This will free up Housing Officers to spend more time out on their patches to deal with complex cases, support the most vulnerable customers and engage with their communities.
 - *More services in your home* - Enhancing the presence of Housing Officers in communities – the message is you do not need to come to us, we will come to you.
 - *Do more online* - Improved online self-service options to allow customers to do more for themselves at a time and place to suit them.
 - *Centres of Excellence* - If customers don't want to see us at their home, they can still choose to meet us at a convenient location, including our new Centre of Excellence at New Mart Road. The Centre of Excellence at New Mart Road will also be available for customers to use the internet, for wider community activities and as a learning centre.

Consultation

- 6.53 Under the Housing (Scotland) Act 2001 we have a statutory duty to formally consult all tenants on our new operating model and tenant participation strategy. An omni-channel approach to consultation will be the hallmark of this approach, using face-to-face, phone and digital methods. We have also produced a traditional printed booklet to be sent to all customers. We will utilise email, GIFs through WhatsApp and social media to promote this consultation and encourage customers to provide feedback.

- 6.54 The proposal is to consult with all of our customers on this innovative blended operating model. A copy of the proposed consultation document is included at Appendix 1.
- 6.55 Key dates in proposed consultation launch are:
- Proposal to the Board at this meeting - 19 August 2021;
 - Consultation runs from 30 August - 8 October;
 - Initiated through digital channels on 20 August;
 - Letter and consultation pack mailed to all tenants by end of August;
 - Dedicated website area and promotion via Online Services;
 - Sustained promotion through digital channels throughout consultation period;
 - Proactive calls to customers via the Customer First Centre and local housing staff; and
 - Consultation results presented to the Board on 25 November 2021.

Key issues and conclusions

- 6.56 The Scottish Government's current roadmap out of lockdown now provides more definitive timescales for changes. This has provided us with greater certainty in terms of our remobilisation plans than at any previous stage.
- 6.57 As indicated in the report, a key focus is how we clearly communicate our remobilisation of services to customers. An equally important element will include internal communication to staff, including ensuring our health and safety protocols and procedures continue to be well understood.
- 6.58 As we move towards implementation of our proposed new operating model it is important we engage with customers to get their views. This report sets out the proposed consultation with customers as we develop our new blended approach to service delivery. A copy of the proposed consultation document is included in Appendix 1.

7. Digital transformation alignment

- 7.1 The remobilisation of services is aligned with the use of new digital communications, rent payment methods and service delivery as part of our new agile operating model.

8. Financial and value for money implications

- 8.1 Our remobilisation plans are reflected in the 2021/22 budgets.

9. Legal, regulatory and charitable implications

- 9.1 A key focus will continue to be complying with the prevailing legal and regulatory restrictions at all stages of our remobilisation. We continue to update the Scottish Housing Regulator as appropriate on our remobilisation activities.

10. Equalities implications

- 10.1 We will continue to take special account of those who have underlying health conditions given the ongoing Covid situation. We have undertaken an initial Equalities Impact Assessment (“EIA”) in relation to tenants for our new operating model and engagement approach. The assessment did not identify any adverse implications for our tenants. Rather, the approach to enhancing our accessibility is expected to have a positive impact. In terms of diversity, the widening of our engagement structure will have a positive impact and broaden the range of customer segments who engage with us.

11. Environmental and sustainability implications

- 11.1 There are no environmental or sustainability implications arising from this report.

12. Recommendations

- 12.1 The Board is asked to:
- 1) Note the progress made towards fully remobilising services across the business; and
 - 2) Approve consultation with our customers for the new blended operating model.

List of Appendices

Appendix 1 – [redacted]



Report

To: Dunedin Canmore Housing Board

By: Hazel Young, Managing Director

Approved by: Olga Clayton, Group Director of Housing and Care

Subject: Stronger Voices, Stronger Communities – an update on our engagement activity

Date of Meeting: 19 August 2021

1. Purpose

- 1.1. This report presents an update on our implementation of the Wheatley Group engagement framework, which supports the ambition in ***Your Home, Your Community, Your Future*** to transform our engagement approach and shift the balance of power towards our customers.

2. Authorising and strategic context

- 2.1. The Group Board has responsibility for setting the overall Group frameworks within which each partner organisation will operate. The engagement framework is a new approach which supports the delivery of the 2021-26 strategy. The Dunedin Canmore Board is responsible for deciding and monitoring how this will be operationalised in the context of Dunedin Canmore.

3. Risk appetite and assessment

- 3.1. Our risk appetite for service improvement is “open”. This means we are prepared to take the risk of adopting the approach that is most likely to result in successful delivery of our service objectives.
- 3.2. Shifting the balance of power towards the customer brings some risk as we empower customers to take more decisions around priorities and resources. Creating an engagement plan to take this forward for our customers and ensuring this aligns with our strategic delivery plan to manage this transformation will help to mitigate any risks.

4. Background

- 4.1. Our 2021-26 strategy - ***Your Home, Your Community, Your Future*** – sets a clear ambition that *“customers will have increased control over their services, their communities, and their lives, with new opportunities for building skills and resilience”*.

- 4.2. Our engagement framework – ***Stronger Voices, Stronger Communities*** – has been developed to help support the delivery of this ambition, and this was discussed at the Board meeting in February this year. As we deploy this framework, we seek to ensure that our customers and communities will feel more in control of their personal and collective wellbeing, inspired to raise their aspiration and able to realise their potential.
- 4.3. We have developed a ***Stronger Voices Engagement Plan*** to help us implement the new framework. This is attached at Appendix 1. Initially we had hoped that by this time we would have been able to attend or hold some face-to-face events for customers, particularly the summer gala and pop-up events which our customers and their families enjoy. Due to the slower release of Covid restrictions this has not been possible but will certainly be included in the plans for next year.
- 4.4. We were however very keen to re-establish our visible presence in our communities as soon as we were able to. Throughout May and June we focused our engagement activity on neighbourhood walkabouts in our communities – inviting customers to join a small group of officers (Housing Officer, NETs team leader, Investment Officer) - to assess the neighbourhood and identify any issues and improvements which can either be resolved or taken forward in an improvement programme. These continue to be part of the engagement plan throughout the year. In February the Board identified an annual allowance in the business plan which would enable us to take forward a customer focused investment programme informed through our engagement programme. For the 2021/22 budget this was set at £943k.
- 4.5. Whilst ensuring that face-to-face engagement remains an important part of our engagement and our service provision, a key theme in the Stronger Voices engagement framework was to take advantage of the opportunities that a more digital environment can bring to our engagement approach in terms of accessibility and flexibility. In July a Group Stronger Voices Manager was appointed to lead on developing this digital engagement approach as well as ensuring that across Group our customers are involved in shaping the strategic agenda.
- 4.6. During August a group of customers drawn from the different subsidiaries in Group will be working in a co-creation group with officers to test and improve our repairs Web Self Service (WSS) customer journey. Repairs WSS was switched off at the beginning of the pandemic in March 2020 as we moved to an emergency repairs service. As we prepare to re-introduce this we want to ensure that our customer voice is influential in ensuring this service provides an excellent experience for our customers.
- 4.7. Customers will also be involved in a number of other strategic projects from the 2021/22 Group delivery plan in the next few months. These include:
- working with us to co-design what a Wheatley MyCommunity app would look like – this initially involves customers in communities in the South East of Glasgow;
 - customer journey mapping for rental income management;
 - customer journey mapping for allocations; and
 - customer research on review of Choice Based lettings systems.

5. Customer engagement

- 5.1. Our 2021/26 strategy ***Your Home, Your Community, Your Future*** has a very clear focus on enhancing our customer engagement and a significant element of co-development and co-design with our customers. This report discusses some of the activities underway to take forward the ***Stronger Voices, Stronger Communities*** framework which supports this.

6. Discussion

- 6.1. The engagement framework consists of 4 pillars which support our engagement with customers, as illustrated in Figure 1 below.

Figure 1 – The Stronger Voices, Stronger Communities framework



- 6.2. Since remobilisation at the beginning of May we have been able to increase our engagement activity. The ***Stronger Voices Engagement Plan*** at Appendix 1 gives more detail on both completed and planned engagement. Key activities from the plan are discussed further below grouped under the different pillars of engagement.

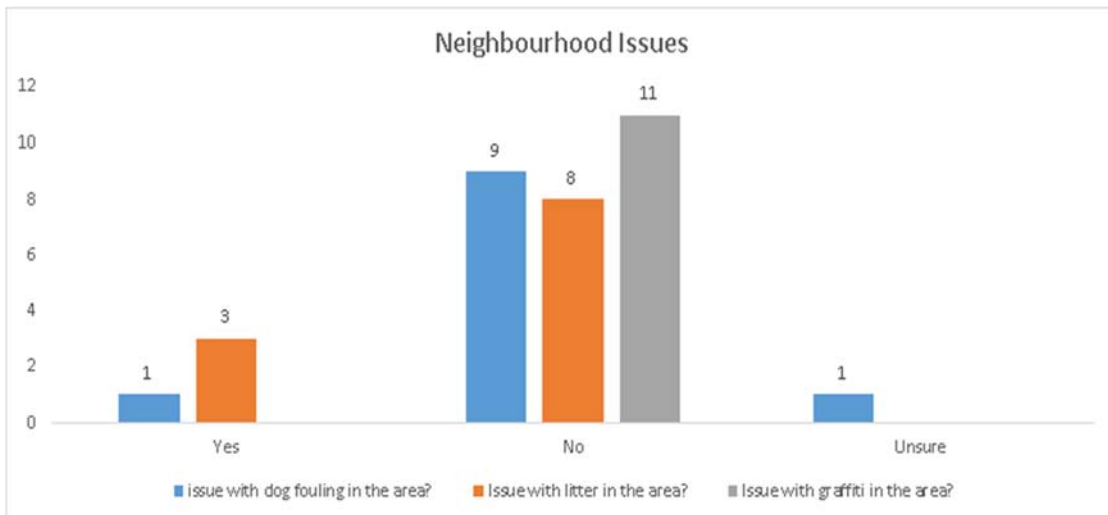
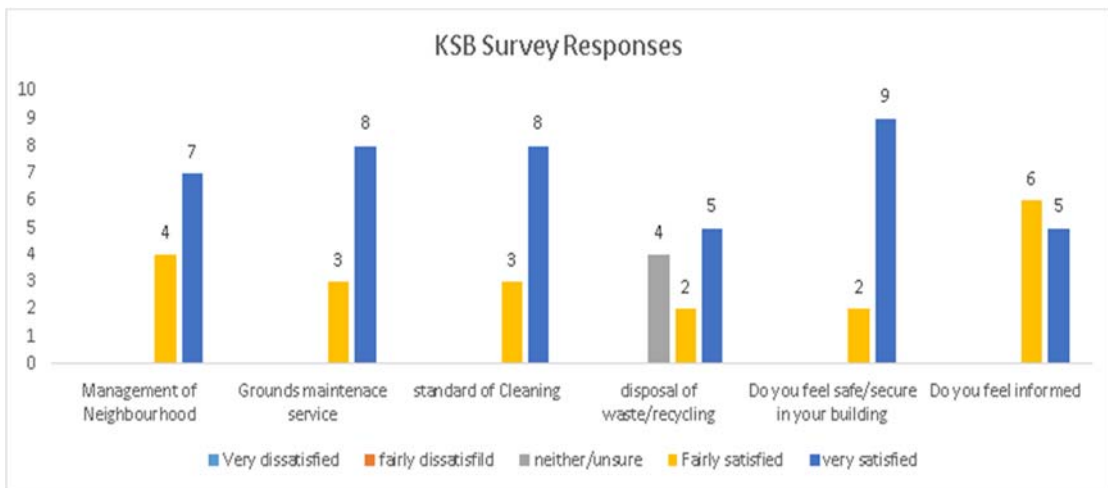
We Listen

- 6.3. ***Shared owners engagement*** – In July we sent out a newsletter and survey to all our Sharing Owners to help re-energise our engagement with them after remobilisation. We sent 220 by email and a further 123 paper copies. As of end of July we had received 11 responses from customers who have given us an average rating of 3.2 out of 5 for the service we provide. The key themes which we will look to address are:

- 1) Communication;
- 2) Investment plans; and
- 3) Car parking.

6.4 The newsletter has generated some correspondence with our Stronger Voices Officer and this has proved useful as she starts to build relationships with them. She is also working with Comms to re-vamp the Shared Ownership section of our website and we now have a dedicated email address for our Sharing Owner enquiries.

6.5 *Keep Scotland Beautiful (KSB) customer surveys* – as part of our KSB assessments our customers are surveyed by the assessor. Our customers have returned 11 feedback surveys to date, showing very positive results.



- 6.6 *Repairs focus groups* – whilst our customers will be involved in some Group-wide activity around repairs such as the developing the online customer journey, we would also like to discuss with our customers the experience they have of the repairs service delivered by Dunedin Canmore Property Services. We deliver this service directly to DC customers, but also to WLHP and Lowther customers. This would include exploring customer experience of the repairs service delivery including the quality of work undertaken and professionalism of the staff involved; our communication with customers on repairs; whether we are able to resolve issues at first visit; and anything they would want to see improved.
- 6.7 We plan to carry out the focus groups later in the autumn once customers have had some months to experience our fully mobilised repairs service.

We Co-create

- 6.8 *Neighbourhood walkabouts* – we have carried these out across 12 of our neighbourhoods to date and customers have been delighted to join us on these neighbourhood explorations. We have a further 58 scheduled for the remainder of 2021/22. Issues are wide ranging but themes that customers are happy with include the communal gardens maintenance and the staircleaning – customers have particularly noted how glad they are that the latter has restarted following restrictions on service during lockdown. Part of the purpose of these walkabouts is for customer to identify issues that they would like resolved and these are summarised in paragraph 6.12.
- 6.9 *New build design* – we know how important it is to design homes and environments that our customers want to live in. As Board are aware from previous discussions we have a large new build development at West Craigs which is currently at an early stage. We intend to recruit a small group of existing customers from both Dunedin Canmore and Lowther to work with the Development Officer to discuss design aspects for this site. This will help inform design not just for this site but for other future sites. This activity is planned for Q3 2021/22.
- 6.10 *Customer journey mapping* – 6 of our customers are involved in the Group-wide exercise during August to assess and improve the Repairs Web Self Service journey. We will also have customers involved in customer journey mapping for both rental income and allocations later in the year.
- 6.11 *Recruitment campaign for Customer Voices* – we are engaging with customers on an ongoing basis but in October we intend to create a recruitment drive which will focus on the strategic objective of improving diversity in the customer base we work with. We will work with the DC Customer Panel on this, and they are keen to help develop ways to get more customers involved. The current activities we are getting our customers involved with will help to illustrate the impact a strong customer voice can make and help to motivate others to become involved.

- 6.12 *Consultation on the operating model* – the business update report on this agenda proposes the consultation exercise to be carried out with customers to understand their views on our new operating model.

We Give Power

- 6.13 *Customer focused investment* – this budget has been identified to give customers control over parts of the investment programme which are not driven by lifecycle replacements or health and safety or structural issues. Requests and projects identified by our customers are being costed at the moment but we anticipate with the budget available we should be able to deliver on these. A variety of themes have been identified, these include:

- External painting;
- Improving bin store areas;
- Seating areas in communal garden space;
- Improving drying areas;
- Car parking and security issues;
- Lighting;
- Upgrading play parks;
- Replacing stair doors;
- Internal painting and flooring (communal stairs); and
- Fencing and walls.

- 6.14 *You Choose Challenge* – at our meeting in February Board considered the pilot of using this methodology to enable a community in Whitburn to take control of the decision on spending Community Benefit funding. This methodology uses digital as well as face-to-face engagement and co-creation methods with our customers and employs an online voting mechanism to find consensus on priorities. The outcome in Whitburn was the development of a community garden. There was also a spin-off from this engagement which led to a customer focused investment project to improve lighting and the common area in our sheltered complex at Brucefield House.

- 6.15 Working with Wheatley Foundation, we have identified Hyvots as a further area to carry out a You Choose Challenge in October/November 2021.

We Support

- 6.16 *Development Programme for Customer and Community Voices* – much of the work we do in our day to operations, and the activities of Wheatley Care and Wheatley Foundation, support this pillar which aims to develop capacity and resilience in our communities. Specifically, around engagement however, we intend to support the recruitment plan for Customer and Community Voices with a learning and development support programme. This will cover aspects such as providing Keep Scotland Beautiful assessment training for customers, but also support which will help break down the barriers which prevent some of our customers becoming involved such as language, disability, or confidence levels.

6.17 The new engagement framework *Stronger Voices, Stronger Communities* is designed to support the delivery of the ambition in *Your Home, Your Community, Your Future* and shift the balance of power and control towards our customers, empowering them to make their own choices about the services they want. Over the past few months we have been delivering a number of engagement activities which support the implementation of this framework.

6.18 The link between the engagement framework, budget setting and our strategic delivery plan will ensure that the voice of the customer is fully embedded in our plans and priorities, driving change and innovation throughout Wheatley. Through strong engagement with our customers we will support them to develop potential and build stronger communities. Our engagement plan at Appendix 1 helps us to structure this.

7. Digital transformation alignment

7.1. Proposals such as the MyCommunity app and the introduction of a digital tool to improve customer feedback on services are included in the Digital Transformation Programme.

8. Financial and value for money implications

8.1. The 2021/22 financial projections include a provision of £2.1m over the five-year period for customer directed investment. In 2021/22 alone investment priorities to be decided by tenants equate to 16% of the overall core programme allocation. Within the Wheatley Foundation, £0.8m of funding has been set aside to support the You Choose Challenge project across the Group's RSLs.

8.2. Ensuring that the customer voice is at the heart of our activities and our strategic planning will help to drive increased value for money.

9. Legal, regulatory and charitable implications

9.1. There are no legal implications arising from this report.

10. Equalities impact

10.1. The **Stronger Voices, Stronger Communities** framework seeks to expand the opportunities available to customers to engage with us. By adopting a blended digital/off-line approach and increasing accessibility and flexibility it is intended to increase the diversity of customers who are involved in providing feedback and shaping our services.

11. Environmental and sustainability implications

11.1. This report has no specific environmental or sustainability implications.

12. Recommendation

12.1. The Board is asked to note and make any comment on the programme of planned and completed engagement activity to date in 2021/22.

List of Appendices

Appendix 1 – Dunedin Canmore *Stronger Voices, Stronger Communities* Engagement Plan 2021/22

Dunedin Canmore Stronger Voices, Stronger Communities Engagement Plan 2021/22

Month	Activity	Outcome	Supporting pillar
April	Re-commencement of neighbourhood walkabouts programme. Involving Customers, Investment, Repairs, NETs, Housing & Community Engagement	New opportunities for Customer involvement. Estate management and environmental issues are jointly identified and resolved. Customer focused investment priorities are identified by customers.	You influence and co-design You decide
May	Neighbourhood walkabouts	New opportunities for Customer involvement. Possible way to recruit Customer and Community Voices.	You influence and co-design
June	Neighbourhood walkabouts	New opportunities for Customer involvement. Possible way to recruit Customer and Community Voices.	You influence and co-design
June	Keep Scotland Beautiful surveys	Customers feedback their views on their environment	You are heard
July	Neighbourhood walkabouts	New opportunities for Customer involvement. Possible way to recruit Customer and Community Voices.	You influence and co-design
July	Produce Shared Ownership Newsletter with survey attached. Update and expand the Shared Ownership section on DC website	Customers are up-to-date and informed Re-engage with Sharing owners. How are we doing? Identify customer priorities	You are heard
July/August	Programme for Customer and Community Voices is developed based on Board’s strategic delivery plan	New opportunities for Customer involvement	You influence and co-design

August	Neighbourhood Walkabouts	New opportunities for Customer involvement. Possible way to recruit Customer and Community Voices.	You influence and co-design
August	Customers assess and improve the user experience for Repairs Web Self Service	Customers are involved in design	You influence and co-design
September	Meet with DC Customer Panel to develop plan to recruit Customer and Community Voices	Customers are involved in design	You influence and co-design
September	Late summer gala days/outdoor events (if possible)	Publicise services, publicise feedback loop, community consultation, local investment priorities, apprenticeship programme	You are heard
September	Neighbourhood walkabouts	New opportunities for Customer involvement	You influence and co-design
October	Recruitment drive for Customer and Community Voices launches.	New opportunities for Customer involvement	You influence and co-design
October	Focus groups with customers on DC's repairs service – what do they like/not like?	Customers are involved in scrutiny and improvement ideas	You influence and co-design
October	Learning and development programme to support the Customer and Community Voices	Customers are supported to develop knowledge and skills	Your voice is stronger
October	Meet with Shared Ownership Panel (balanced with age and gender)	Customers are involved in scrutiny and improvement ideas	You are heard You influence and co-design
October	Newbuild design options (West Craigs) with Lowther East & DC Customers	New opportunities for Customer involvement to influence the design of new build development	You influence and co design
October	Neighbourhood walkabouts	New opportunities for Customer involvement	You influence and co-design

Oct/Nov	You Choose Challenge (Hyvots)	Customers decide on Community Benefit Project	You decide
November	Rent consultation <ul style="list-style-type: none"> • Face-to-face focus groups (balanced for age/gender) • Interactive email and Website feedback 	Consultation informs budget setting	You are heard
November	Neighbourhood walkabouts	New opportunities for Customer involvement	You influence and co-design
November	6 monthly performance is published on line and customer scrutiny invited	Customers are involved in scrutiny and improvement ideas	You are heard
November	Neighbourhood walkabouts	New opportunities for Customer involvement	You influence and co-design
December	Customer research to support CHR/CBL review	Consultation informs service review	You are heard
December	Neighbourhood walkabouts	New opportunities for Customer involvement	You influence and co-design
January	Occupancy Review Charge discussion with Sharing Owners forum	Consultation informs budget setting	You are heard
January	Neighbourhood walkabouts	New opportunities for Customer involvement	You influence and co-design

February	Neighbourhood walkabouts	New opportunities for Customer involvement	You influence and co-design
March	Neighbourhood walkabouts	New opportunities for Customer Involvement	You influence and co-design
April	Group Delivery plan approved	At least 50% of projects have specific milestones covering customer engagement – which helps develop the Customer and Community Voice programme for 2022/23	You influence and co-design
April	Customer and Community Voices annual Group conference – presenting their findings to senior staff, Boards and other stakeholders, including interested customers	Confidence building and skills development – showcasing achievement	Your voice is stronger

Report

To: Dunedin Canmore Housing Board

By: Hazel Young, Managing Director

Approved by: Olga Clayton, Group Director of Housing and Care

Subject: Anti-Social Behaviour Framework 2021-2026

Date of Meeting: 19 August 2021

1 Purpose

- 1.1 This report seeks adoption of the new Group Anti-Social Behaviour Framework, which supports the ambition in ***Your Home, Your Community, Your Future*** to create calm and peaceful communities where people are proud to live.

2 Authorising and strategic context

- 2.1 Our work on Anti-Social Behaviour (“ASB”) is a key part of our Group Strategy “Your Home, Your Community, Your Future”. It expands across all housing, care and foundation activities. Our approach to ASB and the broad services we deliver are strategic decisions.
- 2.2 Under the Group Authorising Framework, the approval of any Group wide frameworks is reserved to the Group Board. The Board is responsible for overseeing the implementation of our framework.
- 2.3 The ASB Framework is a strategic commitment directly linked to the ‘*Delivering peaceful and connected neighbourhoods*’ strategic outcome in our 2021-2026 strategy. Approval of the framework will mark an element of this strategic outcome having been achieved. It is also linked to the delivery of a number of strategic results. This strategic context is set out in more detail within this report.

3 Risk appetite and assessment

- 3.1 Our risk appetite for service improvement is “open”. This means we are prepared to take the risk of adopting the approach that is most likely to result in the successful delivery of our service objectives.
- 3.2 Shifting the balance of power towards the customer brings some risk as we empower customers to take more decisions around priorities and resources. A robust framework within which we can support customers and use our strategic delivery plan to manage this transformation will help to mitigate any risks.

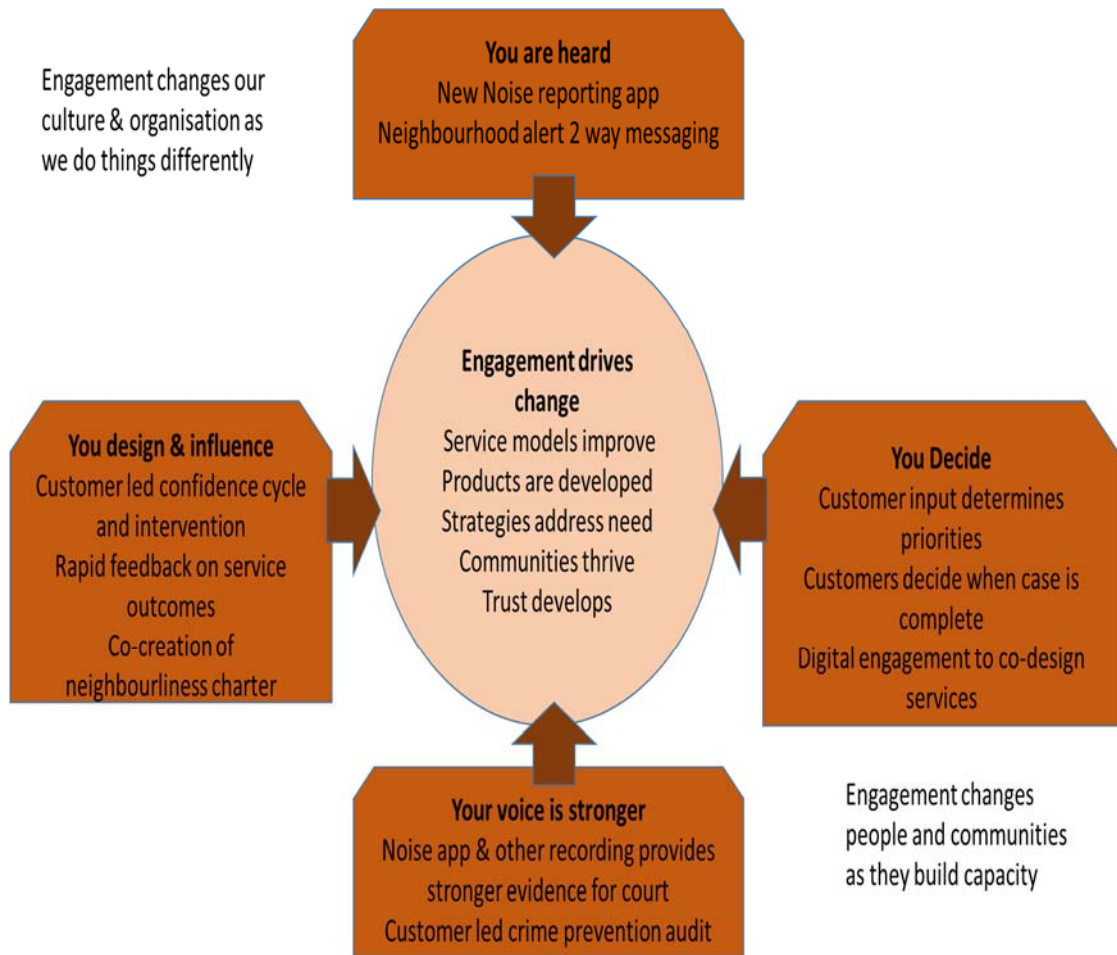
4 Background

- 4.1 Our Strategy highlights some key commitments which relate to ASB. The primary action is to utilise our Community Improvement Partnership approach to take communities from being merely safe to ones that are improving, peaceful and with high levels of satisfaction.
- 4.2 This will be based on building a confidence cycle with and for communities. The cycle will support communities to become more resilient through increased confidence to report crimes and other issues. In turn, this information will help Wheatley and our community partners to support those living there to make their communities stronger and more peaceful.
- 4.3 The ASB Framework sets out how we will deliver this and also supports a number of other key commitments in the strategy including:
- Customers should have control over their own lives and be able to direct the design of services.
 - Tenants should be helped to sustain their home including receiving understanding of trauma, adverse childhood experiences, substance abuse, mental health issues and the impacts of homelessness.
 - Work will be undertaken with communities to co-create a 'Wheatley Place Measure' that reflects the criteria our customers identify as crucial to a successful and resilient community.
 - Creation of a new community entrepreneurship and resilience programme, demonstrating our faith in people and our willingness to create opportunities for them to thrive.
 - Establishing a virtual network and leveraging our physical assets and spaces within communities, such as commercial units and corporate office footprint, empowering communities to come together in creative ways.
 - Putting the 'Neighbour' back into our neighbourhoods, creating a modern version of 'Neighbourliness' as a hallmark of our communities by 2026.
 - Creating digital neighbourhoods where our customers can connect virtually to further support each other and co-create local solutions to improve their community.
- 4.4 We know from our customers that anti-social behaviour plays a major part in whether they are happy in their home and neighbourhood, whether they feel safe as well as how satisfied they are with us as a landlord. We have found this to be true throughout the pandemic, whether it is high level crime or issues relating to factors such as living noise. Our priority will therefore always be to resolve and reduce anti-social behaviour so that our customers can live peacefully. We will use enforcement wherever necessary to achieve that aim. Our customers will be at the centre of helping us to identify the issues that matter to them and telling us when we have resolved them.

- 4.5 We already have a reputation for leading the sector and creating innovative approaches to anti-social behaviour. In the last few years we have recognised the necessity to draw down on the expertise from Community Improvement Partnership resource, which brings together our staff with colleagues in Police and Fire in each of our key geographic areas to provide a co-ordinated approach to issues. As such, we have recently been able analyse our 'data zones' and deploy CIP police resources to a 14 day tasking in the Gorgie area of Edinburgh. The data zone included 168 of our tenancies within and crime prevention activities such as 'stop and search' were carried out in the area. The impact of this deployment is being analysed and will be reported back to a future Board meeting.
- 4.6 Our "confidence cycle" approach encourages customers to become involved in resolving ASB and strengthening communities. This is based on strong data analytics which shows us the key issues and priority areas. We then work with customers to develop targeted plans to deal with the issues in their neighbourhoods.
- 4.7 Our innovation has led to a range of new policies and approaches which have already been approved by the Board including:
- Protecting people policy;
 - MAPPA policy;
 - Child protection policy;
 - Adult support and protection policy; and
 - Domestic abuse policy.
- 4.8 Our approaches have been widely recognised across the Country. This includes the Scottish Government's Divert & Deter, Serious and Organised Taskforce recognising the CIP operating model as best practice – resulting in a delegation from the Home Office visiting Wheatley.
- 4.9 Police Scotland's Partnerships Prevention & Wellbeing Division have recognised the CIP Operating Model and promote our approach to their other partners. They regularly bring visiting forces from across the world to showcase the work they do in partnership with Wheatley. Two recent examples are the visit of the Deputy Chief Officer from Toronto and of 20 Senior Officers from Beijing.

5 Customer engagement

- 5.1 Customer engagement and control is at the heart of this Framework. The diagram below shows how some of the key actions in this Framework also support our strategic priorities for customer control.



6 Discussion

Vision and Aims

6.1 In addition to supporting our Group strategic vision:

Customers have increased control over their services, their communities, and their lives, with new opportunities for building skills and resilience.

6.2 The ASB Framework sets out a vision and aims for this area of work:

Vision:

Our Antisocial Behaviour Prevention and Mitigation Framework will create calm, peaceful and sustainable communities where people are proud to live.

Aim:

To build on our sector leading anti-social behaviour work through embedding a strong prevention led approach across all our services which is directed by our customers and which is supported by strong digital services and robust enforcement where it is needed.

Our approach

6.3 There are five key strands to our approach going forward:



6.4 This structured approach to anti-social behaviour focuses on ensuring that our customers will be empowered to make their own choices about the services they want, be properly equipped to do things for themselves and involved in the design of products and services from start to finish. It will support digital provision of services where these are appropriate, recognising that it is important that “no-one is left behind”. In particular, we recognise that those who are living in socially deprived communities may have particular challenges in gaining access to or using digital services.

6.5 As seen through the close relationships we have developed with our customers throughout lockdown, success will be dependent on maintaining these relationships with our customers and communities. They must feel confident to report issues and information to us and our partners. Our ability to provide quality resolutions to issues and to respond to customer feedback will be vital to this.

6.6 Our “confidence cycle” will be an important element of this approach. This helps increase people’s willingness to provide information and report issues. In turn, the information we receive can be used to target crime, reducing incidence and creating a more peaceful community. This then further encourages the community to have confidence in sharing information with housing officers and police to create further benefit.



6.7 This Framework recognises that preventing ASB requires a partnership of many organisations. We will continue to support local authorities and Police Scotland in their statutory role to prevent anti-social behaviour. Our people are supported and trained to think innovatively, to think yes together with their customers and to provide leadership in digital transformation. We will use this innovative style to help provide thinking which challenges and encourages a new approach to services. We will work with partners across the country to share innovation and best practice to deliver our aims.

6.8 Excellence is embedded in our DNA, so we will build on the innovative approaches that we have used to date. We will continue to push towards outstanding service, challenging our performance and outcomes in each area. As part of our new relationship with customers, we will measure this in different and more stretching ways, looking to further improve the aspects of service which matter most to customers.

6.9 The actions within the Framework are aligned with our Group strategic themes. Some of the key actions are outlined in the diagram below:



Measuring Success

6.10 The key Group strategic target for this Framework is that **70% of our customers live in neighbourhoods categorised as peaceful**. However, the Framework also support a number of other strategic targets:

<p>Delivering exceptional customer experience:</p> <ul style="list-style-type: none"> ▪ Overall customer satisfaction is above 90% ▪ RSL tenant satisfaction with value for money is increased to 85% ▪ Overall satisfaction amongst households with children is improved to 90% ▪ 90% of customers feel they can participate in the landlord's decision making ▪ 95% of customers actively engaged in shaping services feel they participate in decision making
<p>Changing lives and communities</p> <ul style="list-style-type: none"> ▪ 4,000 jobs, training and apprenticeships delivered ▪ 250 customers have been supported to attend higher education and university through Wheatley bursaries ▪ 10,000 vulnerable children benefit from targeted Foundation programmes
<p>Enabling our ambitions</p> <ul style="list-style-type: none"> ▪ Over 50% of customers actively use their online account to make transactions with us

Context

6.11 Our extensive experience in dealing with anti-social behaviour, backed up by research in Scotland and elsewhere, has given us a greater understanding of underlying causes. This has shown that the prevalence and type of ASB are often directly linked to issues such as childhood adversity, poverty and vulnerability.

- 6.12 We will use this knowledge to deliver our early intervention and prevention approach. While this will reduce anti-social behaviour we will still use appropriate and proportionate enforcement action where it is needed. This will be the case where the issues are so severe that they need to be dealt with immediately or where other action is having no effect.
- 6.13 In some cases, we may need to move the perpetrator to protect the community. This Framework sets out how we will seek to do this through planned pathways wherever possible. Working with partners, we plan to establish alternative accommodation routes to break a cycle of anti-social behaviour and eviction.
- 6.14 Drug and alcohol misuse is a major issue across Scotland. We also know that drug and alcohol dependencies can increase the likelihood of anti-social behaviour which we actively dealing with in our central Edinburgh areas such as Gorgie/Dalry. Being able to support and treat customers to help them overcome or reduce use should be a key part of reducing ASB. Our employability and training options will also help to provide hope and purpose which can often help stabilise misuse or prevent a spiral of decline.
- 6.15 Mental health issues are growing in prevalence in society. It is likely that the Covid-19 pandemic will only increase this trend. Our experience is that issues can often arise where our customers have low level mental health issues and are experiencing social isolation.
- 6.16 These are often not sufficient for them to meet the criteria for specialist support. Despite this, our customers can struggle to live safely in a home and some will also behave in an anti-social way as a result. Using our care expertise and strong partnerships, we will seek to find ways to increase the support to these customers, such as tenancy support services and appropriate sign posting to partner agencies.
- 6.17 The nature of ASB is changing. Technology increasingly enables people to commit and hide crime. Fraud and organised crime are growing and often targeted at those who are vulnerable or poor. Child sexual abuse and exploitation remains at significant levels while reports of adult concern have risen in recent years. Stalking and harassment continue to be an issue and now often involves an element of online activity. In addition, “outing” of sex offenders has become much more prevalent, often using online forums. While the crime element of this trend is dealt with by the Police we increasingly have to support our communities and deal with the outcomes.

7 Digital transformation alignment

- 7.1 The digital element of work in this Framework aligns with two themes in the transformation plan: Providing better online services for our customers and transformation of our housing service delivery. The Framework commits us to providing digital delivery where that is appropriate to the service, while ensuring that no-one is left behind.

7.2 The key aspects of this will be the introduction of a new noise app which allows recording and digital reporting of noise and the rapport messaging system which provides 2-way communication for our customers. This has been considered for us as a resolution tool in some of the increasing cases of noise nuisance, which has been problematic to corroborate, even before the pandemic. In addition, we will use the new digital customer engagement tools that are in development to ensure customers are able to co-create and refine our services.

7.3 This work is already built into our transformation plan over the next two financial years.

8 Financial and value for money implications

8.1 There will be costs associated with a number of the proposals. As they are developed, they will be considered via business case assessment and reported to Board as appropriate. Most costs will be incorporated within the existing budgets.

9 Legal, regulatory, and charitable implications

9.1 The Antisocial Behaviour etc (Scotland) Act 2004 is the primary legislation for dealing with antisocial behaviour in Scotland. The Act sets out a range of responses made available to Local Authorities and Police Scotland. The legislative framework that governs how all Group RSLs currently interpret and manage antisocial behaviour is contained within *the Housing (Scotland) Act 2014* and *the Antisocial Behaviour etc. (Scotland) Act 2004*. The 2004 Act states that a person is engaging in antisocial behaviour if they:

- Act in a manner that causes or is likely to cause alarm and distress; or
- Pursue a course of conduct that causes or is likely to cause alarm or to distress to at least one person not of the same household as them.

9.2 The *Housing (Scotland) Act 2014* further enhanced the powers available to social landlords for the management of antisocial behaviour. This includes:

- Social landlords will have the power to convert an existing tenant's Scottish Secure Tenancy (SST) to a Short SST (SSST) or to grant a SSST to a new tenant in cases where there is evidence that the tenant, a member of their household, or a visitor, has been involved in antisocial behaviour in or near their home within the last three years;
- Simplifying the eviction process in cases involving serious antisocial behaviour by allowing social landlords to make use of an existing conviction as grounds for possession. The tenant must have been convicted within the last 12 months; and
- Clarifying that a social landlord can suspend an application for social housing under certain prescribed circumstances.

9.3 The Scottish Social Housing Charter was introduced by the Scottish Government to help improve the quality and value of the services that social landlords provide, and support the Government's long term aim of creating a safer and stronger Scotland.

Outcome 6 of the Scottish Social Housing Charter states that:

“Social landlords, working in partnership with other agencies, help to ensure that:

Tenants and other customers live in well-maintained neighbourhoods where they feel safe.”

9.4 This outcome covers a range of actions that social landlords can take on their own and in partnership with others. It covers action to enforce tenancy conditions on estate management and neighbour nuisance, to resolve neighbour disputes, and to arrange or provide tenancy support where it is needed. It also covers the role of landlords in working with others to tackle antisocial behaviour.

9.5 The Scottish Housing Regulator have developed the following indicators to assess how well housing associations and the Group are managing complaints of antisocial behaviour and our wider estates:

- **Indicator 13:** Percentage of tenants satisfied with the landlord's contribution to the management of the neighbourhood they live in; and
- **Indicator 15:** Percentage of antisocial behaviour cases in the last year which were resolved.

10 Equalities implications

10.1 A full Equality Impact Assessment has been carried out for this Policy. The assessment has reviewed the impact of actions against the protected characteristics identified in equalities legislation. This shows that the Framework will have a positive or neutral impact on all characteristics because it will reduce levels of anti-social behaviour, increase community resilience and provide support to vulnerable households.

11 Environmental and sustainability implications

11.1 The review has no direct environmental or sustainability implications. However, the aim to provide digital service wherever possible will limit unnecessary journeys and use of offices.

12 Recommendation

12.1 The Board is asked to adopt the Group Anti-Social Behaviour Framework.

List of Appendices

Appendix 1 - Group Anti-Social Behaviour Framework

Our Antisocial Behaviour Prevention Framework - Peaceful Places in Thriving Spaces 2021 - 2026

P REVENTION

E ARLY & EFFECTIVE INTERVENTION

A SSET BASED APPROACH

C HANGING LIVES

E NFORCEMENT

Our Journey from Excellent to Outstanding

CONTENTS

- 1. Introduction and background**
- 2. Our Organisation**
- 3. Building on Our Success**
- 4. Our Vision to end Anti-social behaviour**
- 5. Voice of the customer**
- 6. National and Group context**
- 7. Our Strategic and Operational Response**
- 8. Our Approach**
- 9. Investigating incidents and using our powers**
- 10. Legislation, planning and guidance**
- 11. Complaints**
- 12. Responsibilities**
- 13. Review**

Introduction and background

The Wheatley Group (The Group) is Scotland's leading housing, care and property management organisation. It comprises of five Registered Social Landlords (RSLs), one care organisation and one commercial organisation. In addition to these organisations, the Group also entered into a joint venture in April 2017 with City Building Glasgow.

As the largest and most diverse landlord in Scotland, we recognise the crucially important role we have in ensuring our communities are calm and peaceful places to live. **Your Home, Your Community, Your Future**, our 2021-26 five-year strategy, identifies that feeling safe and secure in their home and community is one of the most important priorities for our customers. All parts of the Group have a shared commitment to improving not just homes but the lives of those in our communities.

As a Group we are nationally and internationally recognised for defining excellence and have an outstanding track record in delivering sector leading standards of service and innovating in all fields in which we operate.

We are already regarded as sector leading in our approach to anti-social behaviour. Our Community Improvement Partnership (CIP) in Glasgow broke new ground in close and effective working between Wheatley staff, police and the fire service. The CIP has now been developed into a true Group wide resource that influences partner priorities and facilitates joint working and the sharing of data across the different organisations resulting in improved services for our communities. It covers a range of inter-related areas including homelessness, allocations and group protection as well as anti-social behaviour.

We have established a holistic approach to key services that our customers need through the creation of our Wheatley 360 service. It brings together housing, environmental and support staff with police to deliver a seamless personalised approach across a comprehensive range of 'wrap-around' services that provide a life-line for our customers.

We know from our customers that anti-social behaviour plays a major part in whether they are happy in their home and neighbourhood, whether they feel safe as well as how satisfied they are with us as a landlord. This can be true whether it is serious, high level crime or issues relating to factors such as noise. Our priority will therefore always be to resolve and reduce anti-social behaviour so that our customers can live peacefully. We will use enforcement wherever necessary to achieve that aim. Our customers will be at the centre of helping us to identify the issues that matter to them and telling us when we have resolved them.

Our experience shows us that there is a great deal of benefit to tackling some of the root causes of anti-social behaviour while continuing to use enforcement as required. This means working towards prevention wherever possible. This can be done in a variety of ways including early intervention before matters escalate, helping neighbours to understand one another and through an empathetic approach to the vulnerabilities and trauma many victims and perpetrators have already experienced in their lives. Developments we have already put in place include new and ground breaking policies

around domestic abuse, sex offenders, hate crime together with child and adult protection.

This approach helps us to avoid a repeat cycle of enforcement and intervention which does not resolve the problem. It provides a firm basis for robust enforcement action where our efforts to change behaviour do not work. Enforcement will continue to be a key resource, for example where the nature of the behaviour is very serious and having a significant impact on the community, where the perpetrator shows no inclination to engage with help or where that help does not succeed and the community is being detrimentally affected.

Our new Framework will take these developments to the next level, accelerating the creation of calm and peaceful communities where people are proud to live. We have set a challenging target that **by 2026 over 70% of our customers live in neighbourhoods we classify as peaceful**. It will also support many of the other key aims in the strategy. These include the increase in the number of homeless households we house – many of these are likely to be vulnerable or have suffered trauma so our approach will help ensure that these households settle while maintaining stable communities. It will also help support the increasing focus on preventing homelessness from occurring in the first place by supporting vulnerable households who might otherwise have become homeless as a result of either perpetrating or being impacted by ASB.

Customers will co-create our approaches and priorities using our new customer engagement framework “**Stronger voices, stronger communities**”. Our new operating model, developed to support our Group Strategy, is based on highly skilled staff who can empower customers to get the services and support they require. We will increasingly look to digital and easy access approaches so that people can quickly tell us what they want us to hear. In turn we can then respond effectively and quickly while ensuring that no-one is left behind where they don't have digital skills.

This Framework will embed our approach to anti-social behaviour across all areas of the Group. Our aim is that all our staff will have an understanding of anti-social behaviour and the skills to help customers take the first steps to resolution. We will work with our customer facing staff to ensure that they have the training they need to deliver this aim. Training will apply across all services including the customer service centre, housing officers, concierge and care staff so that they can respond well to anti-social behaviour and can understand underlying issues which may be relevant.

Our approach is laid out within this Framework under five distinct themes. These are:

Prevention;
Early and Effective Intervention;
Asset Based Approach;
Changing Lives and
Enforcement.

Our Organisation

Wheatley Group has a unique integrated Group value proposition that gives our customers unrivalled access to expertise and resources across housing, homelessness, care, support, advice, training, volunteering and employment. Our Subsidiaries are:



Glasgow Housing Association, Scotland's largest social landlord, has more than 42,000 affordable homes in Glasgow. GHA works closely with Glasgow Police Division and the Glasgow City Council Multi Agency Tasking & Coordinating Group to tackle anti-social behaviour. Wheatley Group are also represented on Glasgow's Strategic Community Planning and Safe Glasgow Groups.

Glasgow, as Scotland's largest city, has the highest proportion of our anti-social behaviour. The proportion of ASB incidents reported to us in GHA is broadly in line with its proportion of stock and accounts for almost 80% of our cases. This is often concentrated in areas of high deprivation – in 2019 nearly half of Glasgow's population lived in areas identified as amongst the 20% of most deprived communities in Scotland. Almost a quarter of the most deprived zones in Scotland are to be found in Glasgow.



Loretto Housing Association has more than 2,500 affordable homes across the central belt and works closely with a number of local authorities and police divisions to tackle anti-social behaviour. Our Loretto housing has a higher proportion of customers in supported or specialist accommodation where we work closely with care colleagues.



DGHP joined Wheatley Group in December 2019 with 10,300 affordable homes spread from Dumfries to Stranraer. It provides the majority of the social rented stock in the area. DGHP have well established links with their local police division to ensure a joined up and effective response is provided to all reports of anti-social behaviour. Outside Dumfries the area is largely rural with long distances between communities. One third of the population live in communities with less than 500 people. Approximately 10% of data zones in Dumfries and Galloway are amongst the 20% most deprived in Scotland. The nature of deprivation in such a rural area means that these areas tend to be highly concentrated and also suffer from poor connections – both physical and digital.



Dunedin Canmore provides over 5,000 homes in Edinburgh, the Lothians and Fife. DC works with 3 Police Scotland divisions (Edinburgh City, Lothian & Borders & Fife Division). Wheatley have 2 seconded police officers working with frontline staff in the east of Scotland to tackle antisocial behaviour. Edinburgh has just under 15% of its datazones in the most deprived 20%, while Fife has 20%.

West Lothian Housing Partnership, with over 700 affordable homes works closely with West Lothian Council and Police Division to tackle anti-social behaviour. Just over 15% of West Lothian's datazones are in the most deprived in the country.

Wheatley 360 is our wraparound support division changing lives from every angle. Its role is at the heart of making our communities safer and helping people to settle in their homes. It encompasses the Community Improvement Partnership who work with seconded officers from Police Scotland. This has demonstrated the effectiveness of joint working and knowledge sharing across housing, care and police. Our anti-social behaviour team work closely with communities and households impacted by or perpetrating anti-social behaviour to provide advice, support and resolution. Concierges and neighbourhood environmental teams provide a local and visible service. They keep our communities clean, tidy and provide a friendly face. Our Think Yes approach allows them to do much more – helping our customers where they most need assistance. W360 also includes the homelessness and allocations teams which will create an important synergy as we help people to settle in resilient neighbourhoods.

Wheatley Care provides services to approximately 7,000 customers each year. Wheatley Care's innovative Tenancy Support Service is integral to supporting vulnerable customers and works closely with Wheatley 360 resources to prevent, and respond effectively to, antisocial behaviour. Our wider care services provide support to customers in a whole range of areas including homelessness, alcohol abuse and other vulnerabilities. Some of our vulnerable customers will receive support from Wheatley Care. While the majority will receive care from other providers our expertise means we work to ensure our customers receive the services they need.

Wheatley Foundation invests over £3million annually on improving the life opportunities of disadvantaged people in Wheatley's communities which includes funding our Home Comforts and Eat Well services to customers experiencing poverty. It provides jobs, training and apprenticeship opportunities to many of our customers. These opportunities have given customers with some of the most challenging histories opportunities, optimism and better life chances.

Building on Our Success

Investing in our Futures, the Wheatley Group's first five-year strategy, delivered outstanding customer satisfaction and raised the bar in Scotland and beyond for performance results and business efficiency in housing, care and property management. Over the last five years we have worked with our customers and communities to ensure our neighbourhoods are places customer are proud to live.

The Community Improvement Partnership (CIP) was first established in 2010 by Glasgow Housing Association, Strathclyde Police and Strathclyde Fire and Rescue. In 2017 we undertook a strategic review of our CIP and created a brand new operating model.

As the CIP has developed the benefits of closer links with a range of services became clearer. It became apparent that there were overlaps in the knowledge and services required for some customers who were homeless, for those suffering from or perpetrating ASB and in relation to protection and safety issues such as domestic abuse and vulnerable adults.

As a result, in 2018 the Scottish Justice Secretary, Humza Yousaf, launched our new holistic approach - Wheatley 360. Its focus is to deliver a more seamless, personalised approach across a comprehensive range of 'wrap-around' services that provide a life-line for our customers whilst improving their safety, wellbeing and resilience. The CIP sits at the centre of this service providing core services and insight in relation to safety and vulnerability.

As part of the development of Wheatley 360 we have brought together housing, environmental and support staff from the Wheatley Group with our CIP police and fire officers to tackle everything from antisocial behaviour and fire safety to fly-tipping, graffiti and food and fuel poverty. Services are co-designed by our staff and our customers to address the underlying causal issues to ensure that vulnerable tenants are provided with sustainable solutions that enable them to live safely, whilst enjoying their homes and creating thriving and sustainable communities.

The following unique examples are just some of the ways we are currently tackling and preventing anti-social behaviour across the Group:

Dedicated Specialist Resources

We reviewed the way we deployed our seconded policing team using detailed analytics and feedback from our customers and staff. This led to the creation of a two shift police team increasing our coverage at critical times by almost 300%. This included the provision of 2 dedicated officers to support our customers and staff in DC & WLHP.

A new Police Information and Intelligence Support Unit was created to support the new two team operating model and to ensure our frontline staff received the most up to date police information that was critical to resolving their antisocial behaviour investigations. In the last twelve months this new team have managed more than 2,600 information

requests from front line staff, proactively disclosed over 600 incidents of ASB and have processed more than 1,300 community information and intelligence reports. In the past it could take up to four weeks to get disclosure information from local policing.

The CIP's high profile position within Police Scotland ensures that we are always in the fortunate position to recruit the most experienced and best qualified officers from across the country. For example, our current team of officers has the following skill sets: a hate crime champion, crime prevention & architectural liaison officer, community information and intelligence gathering specialists, community and youth engagement champions, domestic abuse investigators, public order specialists and behavioural detection trained officers. In addition, all our supervisors are trained police incident officers who are able to lead and manage serious incidents and complex investigations.

Our police officers' specialist knowledge is used every day across the Group to support both our customers and staff whether a crime prevention officer is assisting our new build CoE or our hate crime champion is advising our Group Protection Team. Our ability to deploy this specialist resource anywhere in the Group is a unique ability and has brought many successes including the arrest of 2 fire starters in Glasgow.

Partnership Links

The CIP have a unique relationship with Police Scotland through our seconded police team. The CIP Management Team meet monthly with Police Scotland's Partnership Development Manager who is part of the newly created Partnerships, Prevention & Community Well Being Division. This provides unparalleled access to additional support services and national resources. A recent example of this is the support the division are providing to develop a public health approach to drug deaths in DGHP. Dundee City are the sector leaders in this approach and are sharing their experiences and expertise through Police Scotland to the CIP who will tailor this approach for DGHP.

Innovation & New Technology

Our CIP Team are empowered to develop, test and deliver innovative and collaborative changes to suit emerging threats and provide the right mix of services to meet our customer's needs. A recent example of this was the Group's decision to purchase the Noise App, an innovative digital way for our customers to record and report noisy neighbours in a safe way that is compliant with data protection regulations. This will have a particularly positive impact on an issue that now represents more than 50% of customer complaints to our RSLs.

We are also at the forefront of working with a major software company to develop the optimum antisocial behaviour, domestic abuse and vulnerability case management platform that will revolutionise the way we record, report and resolve complex cases relating to antisocial behaviour and vulnerability.

The Group is collaborating with Police Scotland and the Scottish Community Safety Network to bring to Scotland for the first time an innovative, secure, digital platform 'Community View', This will enable the us to gain a real-time understanding of opinions

from customers about our deployments and the wrap around services we are providing. Local engagement has been critical to the success of the CIP and this and other similar developments will take our digital partnership with our customers to the next level.

Anti-social behaviour

Our Antisocial Behaviour Interventions & Preventions Team (ASBIP Team) consists of 15 members of staff who are all highly skilled and trained in effectively investigating and managing the groups most serious/complex and persistent types of antisocial behaviour across Group. The team utilise their skills in adopting a collaborative, problem solving approach to tackling antisocial behaviour, whilst engaging fully with all parties to understand and provide the most appropriate support and guidance.

The teams' primary focus is to work with colleagues and partners to deliver effective intervention and prevention focussed services that seek to support and address the causal factors of ASB, whilst also support those affected by it. The ASBIP Team also provide invaluable support to the Groups front-line teams, specifically our Housing Officers, in offering guidance and support to assist them in their day-to-day role in managing ASB.

Our ASBIP Officers are all highly skilled in preparing cases to be lodged into court where cases cannot be resolved and enforcement is required. They will lead evidence on behalf of the organisation, whilst representing our customers and communities.

Unique Approach to CIP Deployments

The creation of our CIP Operating Model (Customer REASSURES) has ensured that we have continued to develop our understanding of the issues that negatively impact on the safety and well-being of our customers and communities. We have adapted our approach in line with changes across the world and locally in our communities. This meant that, during the pandemic, we continued to be visible and accessible to our customers.

Our new approach involves operating in both the physical and virtual environments increasingly extending our presence into the digital world. It makes strong use of data analytics to inform priorities. For example, the data we now collect has shown us that the majority of complaints are around noise related issues and that this has been exacerbated during the Covid-19 restrictions. These complaints are a low priority for police but have a major impact on our customers. Our interventions are now designed to have a focus on noise issues, alongside other issues identified by our customers. In addition, our data shows us where there is high incidence of ASB, and the nature of it. This enables us to target intervention at communities suffering the most, or seeing a sudden increase in incidents, working with residents to tackle the issues that matter most to them. Our early work in this area has shown the major positive impact that can be achieved within our communities

Our approach to tackling and preventing antisocial behaviour has delivered sustained change and improvements in a number of communities across the Group as can be seen from some of the results achieved since the introduction of our new operating model:

- During a CIP deployment to a community in Dunedin Canmore our approach resulted in a 12.5% reduction in customer reported antisocial behaviour which increased to a 14% reduction after six months. The turn around and sustained improvements in this community led to very positive coverage in the Edinburgh Evening News and a walkabout and photo shoot with our Director of Housing and local MSP
- In Blairdardie, GHA a CIP deployment led to a 44% reduction in customer reported antisocial behaviour including a 51% reduction in noise, 62% reduction in violence and a 13% in disorder. Our 6-month review post deployment highlighted a further improved and sustained reduction of 32% in customer reported antisocial behaviour.
- Whilst in Govan a CIP deployment achieved similar overall results but also a particularly striking 60% reduction in youth related antisocial behaviour. This was one of our communities' top priorities. This performance resulted in the Govan Ward being removed from the City's, Multi Agency, Tasking and Coordinating Groups top priorities for the first time in three years. Our approach also received praise from the Scottish Justice Secretary Humza Yousaf and was subsequently awarded Cash Back for Communities funding which has been used to support much needed youth outreach work.
- Our most recent deployment to Wyndford achieved a 26% reduction in customer reported incidents of antisocial behaviour, a 30% reduction in disorder and a 54% reduction in violence. A focus on the customer priority of drug dealing led to 14 drug dealers being arrested with over 6kg of drugs in total recovered after 5 house searches. This is the first ever deployment that was based on our Group Strategic priority of creating '**Peaceful**' communities. The deployment continued until all five data zones incorporating our 1,500 homes had moved from being merely safe to calm and peaceful communities. The comments below were made by local customers and partners:

"It is this level of joined up working that will inspire and nurture connections within the community" - Head of Wyndford Nursery following CIP actions in relation to threats and ASB.

“The increased police presence can be felt, you can see the difference, it’s like back to when we first moved in and had community police officers” - Elderly Cube resident to Housing Officer.

“I now appreciate that my actions are unacceptable and I am trying my best to change my behaviour” – Anonymous perpetrator of noise, following package based CIP police interactions and warnings (no further calls to date)

“This is an excellent partnership which is having a great impact on the Wyndford area” - Local Councillor and Cube Resident, Chair of Safe Glasgow Group

“In what has been a challenging time, our colleagues at CIP have been an invaluable resource to the team. It’s great to see the benefits this partnership has brought to Wyndford.” - Head of Housing, Wheatley Housing Group

Our approaches to tackling crime and antisocial behaviour have been widely recognised across the Country. This includes the Scottish Government’s Divert & Deter, Serious and Organised Taskforce recognising the CIP operating model as best practice – resulting in a delegation from the Home Office visiting Wheatley. Police Scotland’s Partnerships Prevention & Wellbeing Division have recognised the CIP Operating Model and promote our approach to their other partners. They regularly bring visiting forces from across the world to showcase the work they do in partnership with Wheatley. Two recent examples are the visit of the Deputy Chief Officer from Toronto and of 20 Senior Officers from Beijing.

Our Vision to End Antisocial Behaviour

Strategic vision: Our Antisocial Behaviour Prevention and Mitigation Framework will create calm, peaceful and sustainable communities where people are proud to live.

Our aim: To build on our sector leading anti-social behaviour work through embedding a strong prevention led approach across all our services, directed by our customers and supported by strong digital services and robust enforcement where it is needed.

We will deliver this aim by successfully achieving the following five key outcomes:



This structured approach to anti-social behaviour focuses on ensuring that our customers will be empowered to make their own choices about the services they want, be properly equipped to do things for themselves and involved in the design of products and services from start to finish. It will support digital provision of services where these are appropriate, recognising that it is important that “no-one is left behind”. In particular, we recognise that those who are living in socially deprived communities may have particular challenges in gaining access to or using digital services.

Success will be dependent on strong relationships with our customers and communities. They must feel confident to report issues and information to us and our partners, knowing we will use it effectively for prevention and enforcement. Our ability to provide quality resolutions to issues and to respond to customer feedback will be vital to this.

Our “confidence cycle” will be an important element of this approach. This helps increase people’s willingness to provide information and report issues. In turn, the information we receive can be used to target crime, reducing incidence and creating a more peaceful community. This then further encourages the community to have confidence in sharing information with housing officers and police to create further benefit.



We have created a model to define communities as safe, calm and aiming to have 70% of our communities meeting the definition of “peaceful” as shown in the matrix below.

		Public Reported Incidents of ASB					
		Low Volume and Stable/Improving	Low Volume yet Emerging Deterioration	Low Volume yet Sustained/Progressive deterioration	High Volume yet Stable/Improving	High Volume yet Emerging Deterioration	High Volume yet Emerging Deterioration
Deprivation (SIMD)	Levels of affluence and Improving	Peaceful	Peaceful	Peaceful	Peaceful	Calm	Calm
	Levels of affluence yet Worsening	Peaceful	Peaceful	Peaceful	Calm	Calm	Safe
	Levels of deprivation yet Improving	Peaceful	Peaceful	Calm	Calm	Safe	Safe
	Levels of deprivation and Worsening	Peaceful	Peaceful	Calm	Calm	Safe	Safe

This Framework recognises that preventing antisocial behaviour requires a partnership of many organisations. We will continue to support local authorities and Police Scotland in their statutory role to prevent anti-social behaviour. Our people are supported and trained to think innovatively, to think yes together with their customers and to provide leadership in digital transformation. We will use this innovative style to help provide thinking which challenges and encourages a new approach to services. We will work with partners across the country to share innovation and best practice to deliver our aims.

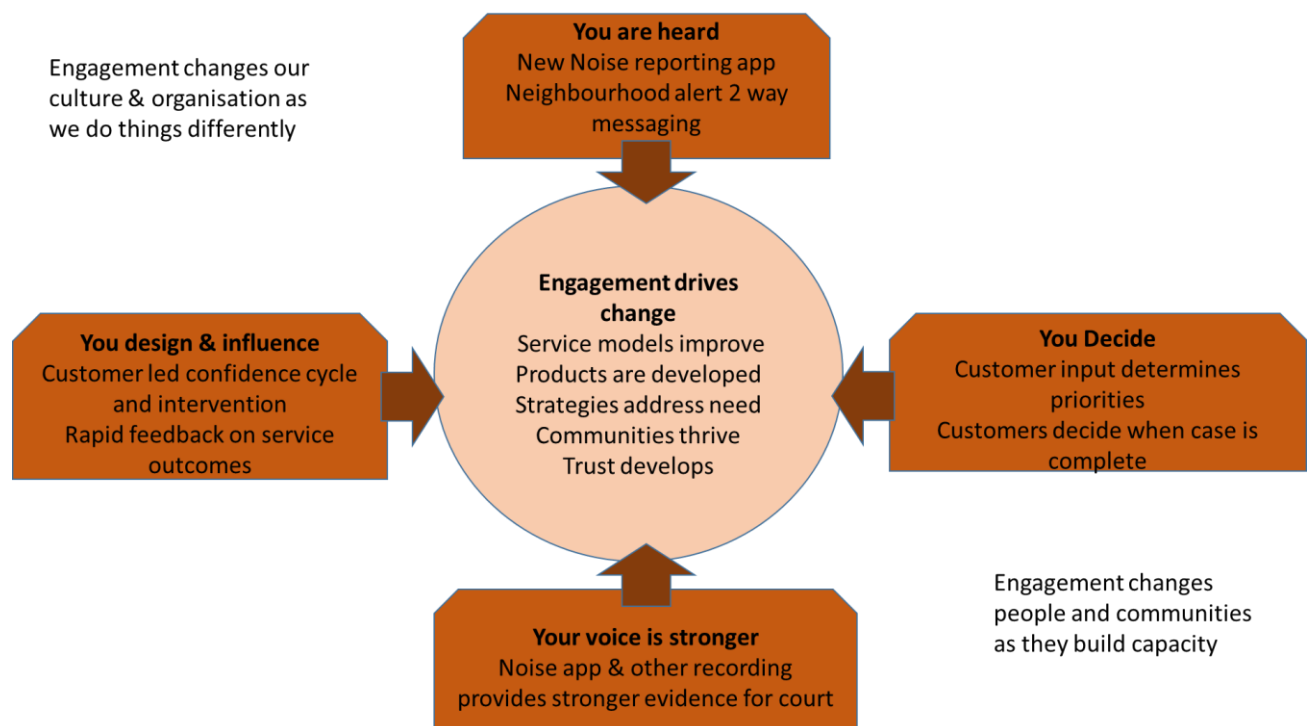
Excellence is embedded in the Wheatley DNA, so we will build on the innovative approaches that we have used to date. We will continue to push towards outstanding service, challenging our performance and outcomes in each area. As part of our new relationship with customers, we will measure this in different and more stretching ways, looking to further improve the aspects of service which matter most to customers.

Voice of the customer

In line with our Group Strategy, the process of refining and developing our services in relation to anti-social behaviour will be led by our customers. Wheatley customers already influence services through a wide range of engagement processes. Our new Engagement Framework “Stronger Voices, Stronger Communities” puts customers at the heart of decision making. This is particularly important for customers and communities experiencing anti-social behaviour where a sense of powerlessness to effect change can exacerbate the situation.

Our new approach ensures customers are at the heart of planning and decision making. This will help to replace that sense of powerlessness with confidence that change can be achieved. We know that this engagement will also have a powerful effect in building resilience in our communities.

The diagram below shows some examples of how this will work in relation to our anti-social behaviour services.



This Framework will take engagement to a new level for those customers who have experienced or are experiencing the impacts of anti-social behaviour. We recognise that our customers may have many issues in their lives and will ensure that our engagement approach makes it as easy as possible for people to talk to us and to become involved in directing service decisions. Our partners will also be working to engage with customers so we will work with them to ensure maximum joint benefit from each engagement. The diagram below sets out the key pillars of our approach.



Our engagement approach will mean that customers direct our approach across a range of areas. It will include:

- Identifying the priority issues in their own community;
- Develop the best ways to strengthen neighbourliness in their areas;
- Help empower their community and others around them to take control of situations and build capacity
- Engaging with us on the when, how and where of our anti-social behaviour work; and
- Directing support received from us so that it works best for the customer.

National & Group Context

In terms of national policy, the 'Promoting Positive Outcomes: Working Together to Prevent Antisocial Behaviour in Scotland' framework (published in 2009) remains the Scottish Government's most recent antisocial behaviour policy document. When developing antisocial behaviour strategies, and looking at new approaches to service design and interventions, it still provides the strategic direction for Local Authorities, Housing Associations and other statutory partners to follow.

Its' principal aim is to prevent antisocial behaviour from happening in the first place by:

- Encouraging agencies to work together more effectively;
- Involving communities more closely in developing local solutions; and
- By communicating positive, evidence-based messages about our people and places.

These aims are still relevant today and both our Group Strategy and this Framework are committed to prevention, community involvement, positive messaging and joint working. Our Framework builds on these by taking the next steps. These include developing customer control and real co-creation of services, not just consultation processes and seeking to influence our partner agencies to adopt a similar approach.

The Scottish Government recently commissioned the Scottish Community Safety Network to undertake some up to date research. This research, which was published in July 2020, aimed to provide an updated picture of antisocial behaviour in Scotland. Some of the key findings were:

- Levels of ASB have decreased over the past 10 years and the public have noticed this decline in their areas. 29% of adults in 2017/18 thought ASB was common in their area which is down from 46% in 2009/10;
- Those living in the most deprived areas, in socially rented housing and in large urban areas, as well as younger people, are more likely to perceive ASB issues in their area;
- While it is an improving picture, there is still a strong link between ASB and deprivation, possibly as a result of more densely populated communities and a lack of community facilities;
- Perceptions of ASB and who engages in it are often inaccurate and influenced by stereotypes;
- Court action for ASB has decreased over the last 10 years, reflecting a shift from treating ASB as an issue of law and order that requires sanctions to one of addressing perpetrator vulnerability to prevent ASB.

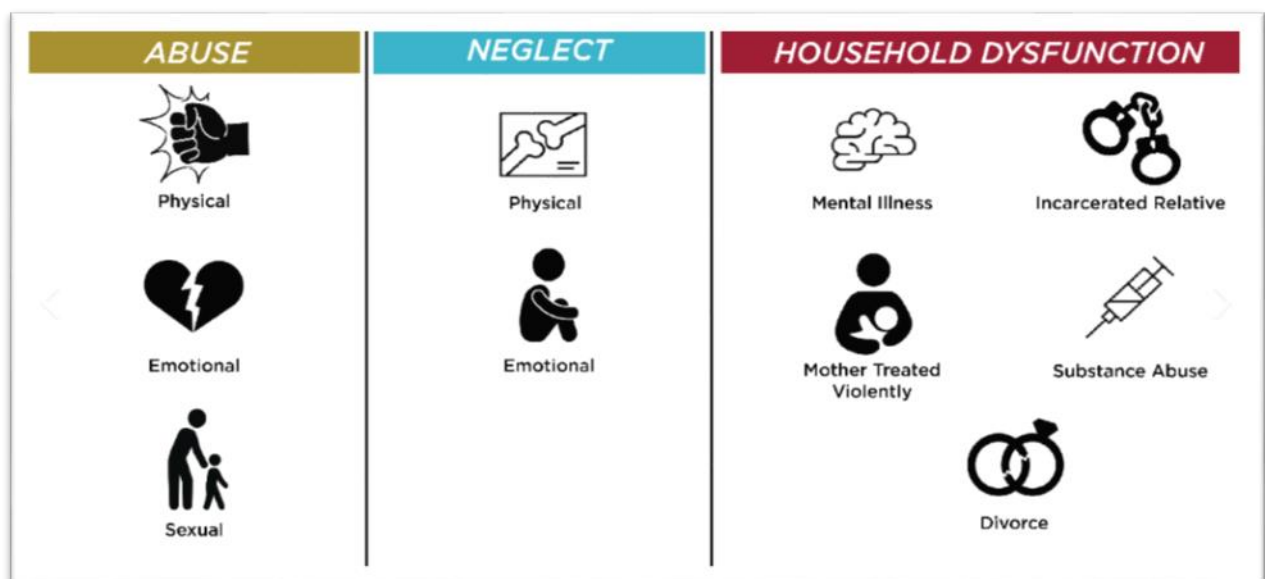
In recent years a growing body of research has directly linked the prevalence and type of antisocial behaviour in our communities to issues such as childhood adversity/victimisation and poverty.

International research has shown that a significant number of adult perpetrators of certain crimes and antisocial behaviour have experienced high levels of childhood trauma and

maltreatment. These are commonly known as Adverse Childhood Experiences or ACEs. This body of evidence is also reflected within Scottish statistics where we know that:

- 45% of adult prisoner survey respondents reported that they had been physically abused in their homes as a child;
- 61% of adult prisoner survey respondents had been bullied at school or somewhere else; and
- 56% of young people in custody said they had been sworn at, humiliated or put down by an adult in their own home.

The ten most commonly measured ACEs are categorized as follows:



Drug and alcohol misuse is a major issue across Scotland. Levels of misuse tend to be higher in areas of social deprivation but it is an issue in all our RSLs. We know that drug and alcohol dependencies can increase the likelihood of anti-social behaviour. Evidence suggests that in many cases the root cause of people becoming addicted to drugs and alcohol can be traced back to traumatic experiences in their childhood. Being able to support and treat customers to help them overcome or reduce use should be a key part of limiting ASB.

To do this we will need our customers to have quick and easy access to the support services they need, delivered by our partners in health and local authorities. We will help ensure that our customers' voices are heard by the organisations responsible for providing specialist support and we will work in partnership with those organisations to ensure that services are as seamless as possible. Our training and employability options form a key part of supporting customers with substance misuse issues. Providing hope and a purpose in life can help avoid a spiral of decline in misuse and help those recovering from addiction.

We have seen the impact that embedding specialists within our teams has delivered in areas such as domestic abuse and suicide prevention. We will expand this approach to

work with our local authority and health and social care partnership colleagues in relation to addictions. In addition, we will look to bring learning from substance abuse professionals into the training that we will give our staff.

Mental health issues are growing in prevalence in society. It is likely that the covid-19 pandemic will only increase this trend. Our experience is that issues can often arise where our customers have low level mental health issues. These are often not sufficient for them to meet the criteria for specialist support. Despite this, our customers can struggle to live safely in a home and some will also behave in an anti-social way as a result. Using our care expertise and strong partnerships, we will seek to find ways to increase the support to these customers.

Increasingly our partners are developing a similar approach and our joint objectives will support the achievement of the best results for customers. A key outcome for Police Scotland is “To protect people effectively, Police Scotland will evolve, sharpening its focus on keeping people safe from harm, whilst embracing innovative technologies and partnerships. Police Scotland will continue to be a key contributor to local joint planning and delivery, as well as to national cross-sectoral partnerships, helping drive a shift to prevention and early intervention across services.”

Similarly, the Scottish Fire and Rescue Service has a strategic outcome to “work in partnership with communities and others in the public, private and third sectors, on prevention, protection and response, to improve the safety and well-being of people throughout Scotland”.

Prevalence of crime and anti-social behaviour

For much of the last 10 years there has been a general decline in the number of recorded crimes in Scotland. Between 2018-19 and 2019-20, crimes recorded by the police in Scotland remained almost unchanged, increasing by less than 1% from 246,480 to 246,516. The 2019-20 figures include 1,681 new crimes recorded under the Domestic Abuse (Scotland) Act 2018, following its enactment on the 1st April 2019. The recording of crime remains at one of the lowest levels seen since 1974.

We know that ASB levels have increased significantly during the pandemic. The Police have recorded an increase in ASB issues of approximately 35% in Glasgow City. Across the Group, we have seen a slightly lower increase at 27%. Most of the increase has been related to noise and the impact of people being at home far more.

Our CIP has a well-established information sharing approach that provides us with detailed intelligence on all antisocial and violent behaviour in or around Wheatley properties. This information can be broken down by Subsidiary and then Local Housing Office or ‘patch’.

The data we now have has already allowed us to develop services which target key issues. For example, our increased understanding of domestic abuse issues has allowed us to create the Group Protection Framework with a range of increased supports for victims and actions against perpetrators. Our data has shown that noise

issues are the cause of the majority of complaints. These tend not to be a major focus for police work but do have a significant impact on our customers' wellbeing. We have developed a number of strategies to deal with noise issues which will be expanded during the course of this Framework.

The changing nature of crime

Serious and organised crime (SOC) affects more UK citizens, more often, than any other national security threat. It has a daily impact on citizens, public services, businesses, institutions, national reputation and infrastructure. SOC is estimated to cost the UK economy at least £37 billion a year, with this cost increasing year on year. This figure is highly likely to be a significant underestimate, particularly in relation to areas such as fraud.

The shifting demographic in Scotland has a major influence on how public services must work together to protect the most vulnerable people in our communities. Adult concern calls to Police Scotland have risen by 13.7% in the last two years, with a significant proportion of calls relating to vulnerability.

Advancing technology gives offenders new tools to commit and hide their crimes. Today's criminals can sell drugs, share indecent images of children, or hack into national infrastructure from anywhere in the world, communicating covertly through encrypted services and moving illicit finances at speed. Notable trends in the past year have related to the criminal use of encryption tools, the dark web and virtual currencies.

Advances in technology have also led to an increased threat of cybercrime, the use of technology in recorded cases of fraud has increased significantly in the past year, and 67% of stalking / harassment crimes now have an element of digital enablement.

Child sexual abuse and exploitation (CSAE) remains a high-volume offence, with recorded instances increasing across Scotland. It covers a range of crimes, from offending in the family context, to generation of indecent images, online grooming, blackmail and extortion.

These changes in digital and online behaviour have a significant effect on our communities. Disputes between neighbours can often be rapidly escalated via social media making it harder to resolve. The advent of social media has also vastly increased the incidence of outings of sexual offenders (accurately or otherwise), again causing disruption in our communities. While the crime element of this trend is dealt with by the Police we increasingly have to support our communities and deal with the outcomes.

Our approach will take account of these changing trends. It will seek to ensure that our communities are alert to new forms of crime and new methods of committing crime so that they can protect themselves from these. Our approaches will ensure that we take a whole community view, seeking to minimise the disruptive impact on our customers.

Our Strategic & Operational Response

Prevention

Our Aim:

Our collaborative and targeted prevention and protection activities are improving community safety and wellbeing and supporting the development of sustainable communities.

We know that feeling safe and secure in their home, and community, is extremely important to our customers and this in turn directly affects local demand and community stability. To successfully deliver this goal, customers must be at the centre of our work so that we are clear about what their concerns are and what they need. We must also build on our existing good relationships to work collaboratively with local authorities and other key partner organisations, such as Police Scotland, to develop sector leading antisocial behaviour prevention services. These services will protect, develop and support our communities to reach their full potential and become peaceful places where customers are proud to live. In addition to tackling and preventing crime and anti-social behaviour we will develop new and innovative ways to prevent, disrupt and respond to ever more challenging and complex problems by enhancing our use of digital tools and tactics.

Our four pillars of prevention are:

Community Prevention

We will focus on the causal factors of antisocial behaviour at a community level and introduce prevention focussed services designed to change the conditions that influence antisocial behaviour in our communities

Developmental Prevention

We will focus on interventions designed to inhibit the development of antisocial behaviour in individuals by targeting risk. Our support and other interventions will be designed to lower risks and provide life chances which increase a sense of community

Situational Prevention

We will focus on physical crime prevention and interventions designed to reduce the opportunities for antisocial behaviour and to increase the risk and difficulty of committing antisocial acts in the first place

Criminal Justice Prevention

If our prevention and early intervention approaches don't have the desired effect or where there is an imminent and serious risk to the community, we will use all legal measures to prevent individuals continuing to commit antisocial acts

Prevention – Our key measures

- Create a baseline for reporting in Streetwise post- covid to allow us to set informed targets for levels of reporting in each year.
- 100% of customers who request home safety and security consultations receive these
- 20% of priority neighbourhoods have a Wheatley community advocate by the end of the pilot process
- % of customers satisfied with the digital reporting system (baseline to be determined)

Prevention – case study

Our Home Safety Team work very closely with our CIP Police Team Crime Prevention Officer to improve the safety and security of some of our most vulnerable customers and their homes. A recent example involved a customer who was deaf and mute and lived in a street where there had been an increase in youth related antisocial behaviour. The customer's housing officer contacted the CIP for help. The next day the CIP were able to visit the customer and carry out a home/fire safety visit with an interpreter. During the visit the customer was provided with a range of home and personal safety products including the latest video doorbell. The customer was delighted with the service and has let their housing officer know how much safer they now feel. This approach to home safety and security has been provided to 170 customers this year alone. The demand for the service continues to grow.

Early Intervention

Our Aim:

Our focussed early and effective interventions will divert people away from being involved in antisocial behaviour.

We know that early and effective intervention has an important role to play in preventing crime and anti-social behaviour occurring in the first place.

The early identification of the characteristics that may lead to a customer or community becoming anti-social enables us to provide bespoke wrap around services. These can dovetail with our Wheatley Foundation work to reduce social exclusion and improve outcomes for disadvantaged communities. Characteristics we will particularly focus on include childhood trauma, vulnerability and current or previous drug and alcohol abuse.

We are developing predictive analytical approaches to identify communities that are susceptible to increased levels of crime and anti-social behaviour. Artificial intelligence will mine our rich data to support our frontline teams, spot trends and empower us to deliver personalised customer services where they are most needed. We will draw on our care expertise to mainstream effective tenancy support approaches into the skill sets of our customer facing staff, to help our tenants sustain their homes and lead their own lives, this will include experiential learning around the impacts of substance misuse, Adverse Childhood Experiences and mental health. We will work closely with our strategic

partners acknowledging that keeping people safe and promoting community wellbeing is a shared responsibility.

Our early intervention key measures

- Reduce the number of repeat complaints of ASB by 20%
- Reduce the number of noise nuisance calls customers make to Police by 25%
- 100% of customer facing staff are trauma informed and easily able to identify the characteristics associated with vulnerability
- Our Prosocial Behaviour media campaign is recognised as helpful by staff and customers across the Group

Early intervention – case study

An elderly couple in the North of Glasgow had lived peacefully for years in their end terraced house until the school at the rear of their home was closed. A path ran adjacent to their garden which formerly accessed the school. Over time, the path was not maintained and shrubs and trees began to grow over the path providing a canopy that could not be seen from the road. A group of youths began to congregate, drinking and playing loud music. This led to vandalism and broken bottles being thrown at the gable of our customer's home. After many calls to local police our CIP Team identified the pattern during their analysis of Group antisocial behaviour incidents.

Our customers were visited by the CIP who took time to listen to the concerns of the elderly customers before providing the reassurance that things would start to improve. Over the next few weeks visits and crime prevention surveys were carried out and partners engaged including the police and local authority. The CIP's recommendations were all progressed including removing the shrubbery, replacing broken street lighting, upgrading and repairing the customers fence, engaging with the local youths and providing positive alternatives. The CIP monitored police systems for any incidents at the property and called the couple once a week regardless. Our approach to antisocial behaviour prevention resulted in a heart-warming letter being received from the couple simply stating ***"Thank you! You have given us our lives back."***

Asset Based Approach

Our Aim:

We will focus on our customer and community assets and strengths in order to build more resilient individuals and communities, driving improvements from the inside out

Our Assets based approach is an integral part of our vision of creating calm and peaceful communities. It will encourage people and communities to come together to achieve positive change using their own knowledge, skills and lived experience of the issues they encounter in their own lives. The most important resource in dealing with anti-social behaviour will be our communities and the people in them. The focus will be on building people's skills and expertise to strengthen the sense of neighbourliness. Physical and

virtual locations that we and our partners have in our communities will help to support this.

We recognise that positive health and social outcomes will not be achieved by maintaining a 'doing to' culture and respect that meaningful social change will only occur when customers and communities have the opportunities and agency to control and manage their own futures. Our assets based approach recognises and builds on a combination of the human, social and physical capital that exists within our local communities.

We will take our award winning Think Yes culture to the next level to introduce Thinking Yes Together, improving the self-reliance of our customers and enhancing digital connectivity. Customers will be able to draw down many of our services easily and reliably at a time and place of their choosing.

Our Asset key measures

- 95% of customers actively engaged in shaping ASB services feel they have played a part in informing decision making
- Increase the number of customers who sign up for our neighbourhood alert system by 25%

Asset based approach – case study

During a recent CIP deployment in the South of Glasgow youth related antisocial behaviour and drunkenness was identified as a top customer priority. The CIP recruited some youth leaders to work with and engage with the local youths. The main focus was to establish what would divert them away from hanging about and causing antisocial behaviour.

The youths unanimously stated that a place to gather that was warm and safe and where they could play online games would be great. The CIP identified an abandoned shop that was still owned by the Group and applied for community pay back funding to upgrade the shop into a youth club. The local youths were brought into assist with the work.

Late night basketball was also requested. A local youth was trained up as an organiser, flood lights were borrowed from another Wheatley community and a local court was identified. These two projects had a significant positive impact on the local community. Youth related antisocial behaviour reduced by 60%.

Changing Lives

Our Aim:

We will provide our customers with better life choices and chances, creating better lives through education, training and employment opportunities.

By doing this we will build resilience and the ability to support their own communities. These life chances will also help to divert those who have committed or are at most risk of committing crime and antisocial behaviour into more positive pathways.

Almost half of Scotland's most deprived communities are within our neighbourhoods. Deprivation reduces life chances and makes life more difficult for households. At Wheatley, our mission is to make homes and lives better. We will make lives better through a comprehensive range of services. These include specific services such as tenancy support, fuel advice or money advice which help our customers manage in their homes. It also includes a range of opportunities that are uniquely available to Wheatley customers. As part of this Framework our customers will be given access to a range of training through Wheatley Academies. They can also be given additional help and support to ensure that they can get the most out of these opportunities.

Changing lives is not only about individuals but about communities. Our Group Strategy and this Framework set out our ambition to make communities stronger. The impact of the Covid-19 pandemic has shown just how much neighbours can help and support each other. We will work to develop this further by helping people to understand the issues that some members of the community face – whether as refugees, through mental health issues, addictions, homelessness or trauma.

Our ideal is that individuals and communities can take the lead in identifying issues and in developing local solutions. We will work to identify local community advocates who will help to support effective communities. The approach will be underpinned by a commitment to support people's ability to live life to the fullest as part of a strong, thriving sustainable community. Our customers will be at the forefront of the development of our services throughout the lifetime of this Framework. These actions will help to develop community resilience and voice, in turn creating neighbourhoods which work together to create strong communities.

Our Changing Lives key measures

- % of vulnerable customers who have tenancy star in place
- % of Wheatley Foundation opportunities taken up by those who have been referred as a result of being impacted by or perpetrating anti-social behaviour
- We will also develop a measure around the uptake of wraparound services

Changing Lives – case study

A young male who was part of a local gang and involved in drunkenness and antisocial behaviour was identified by one of our Environmental Team Leaders. The male was initially encouraged to get involved with the local five a side football game the Group organised.

This in turn led to an opportunity to enrol in our “Changing Lives” programme which provided him with training and ultimately a job. The male turned his life around and was even able to put down roots when he was offered a local house.

The young man is now providing W360 services in the very area where he was once a member of a youth gang.

Another great example of what Team Wheatley can deliver in changing chaotic lives into resilient, peaceful ones.

Enforcement

Our Aim:

In the event that our prevention and early intervention approaches have not impacted on antisocial behaviour we will enforce all appropriate and proportionate legal means at our disposal to stop antisocial behaviour occurring

We know that feeling safe and secure in their home, and community, is extremely important to our customers and this, in turn, directly affects community stability and the desire to live in an area. To successfully deliver this goal for our customers we need to work collaboratively with local authorities and other key partner organisations, such as Police Scotland, to develop sector leading antisocial behaviour services. These services will protect, develop and support our communities to reach their full potential and become great places to live.

Instances of antisocial or criminal behaviour, particularly where they become repeated or entrenched, can adversely affect our tenants’ feeling of safety, the quality of the environment and their ability to peacefully enjoy their homes.

We are committed to tackling all reports and forms of antisocial behaviour in an effective manner. Our early intervention and prevention approach, aligned to our Community Improvement Partnership confidence cycle will reduce anti-social behaviour but we will use appropriate and proportionate enforcement action where it is needed. This will be the case where the issues are so severe that they need to be dealt with immediately or where other action is having no effect.

In some cases, we may need to move the perpetrator in order to protect the community. This Framework sets out how we will seek to do this through planned pathways wherever possible. Working with partners, we plan to establish alternative accommodation routes to break a cycle of anti-social behaviour and eviction. This may involve the use of alternative supported or other specialist accommodation or it may simply require a

change of location to somewhere where there is more family support or where a fresh start can be made.

Our Enforcement key measures

- 50% increase in submission of community information and intelligence direct to our Police Information and Intelligence Unit

Enforcement – case study

Drug abuse and drug dealing are regularly in our customers' top priorities the CIP were recently asked to support a local housing office to gather information/intelligence that would support an application to evict a tenant who was a well-known drug dealer.

Our CIP Police & ASBIP Team worked tirelessly to try and find a customer willing to speak up to what was going on in their community. The drug dealer had convinced the courts that they had turned their life around and was now a model citizen.

The drug dealing customer was due to be moved into a brand new home.

The CIP Team were able to gather enough information and intelligence to secure three drug search warrants for houses related to the drug dealer.

The subsequent police operation involved over 60 specialist police officers and search dogs. The operation was a huge success with drugs, monies and stolen property being recovered and the drug dealer and associates arrested. The drug dealer was subsequently evicted.

The community leaders were hugely complimentary of the CIP's involvement in ridding their community of the Drug Dealer.

Our approach

Moving forward we aim to future proof and build on the outstanding achievements delivered to date through our new Framework. The Framework is also a key element in the delivery of our Group wide strategy. It sets a very clear benchmark for the standard of service our customers should expect over the next 5 years and beyond.

The Framework supports the Strategy in some of the following key ways:

- Creating the detailed approach to delivering peaceful neighbourhoods;
- Improving customer satisfaction with home and neighbourhood through reduced anti-social behaviour and increased resilience within communities;
- Creating the digital platforms for anti-social behaviour which allow customers to self-serve, to engage with us when and where they want and which help us work more efficiently;
- Working across the Group to ensure our programmes to build community resilience and increase neighbourliness reach out to those most vulnerable and most excluded; and
- Preventing homelessness by reducing the number of people who need to leave their home either because they perpetrate ASB or because of the impact of such behaviour.

Our approach will require effective partnership working at local community and subsidiary level. No one agency or organisation can tackle antisocial behaviour alone. We will work together with our customers, colleagues in Police Scotland, Scottish Fire and Rescue Service, Local Authorities, Health Authorities, Community Justice, Social Work and Education. Together we must develop shared outcomes based on joint priorities, local intelligence and customer insight.

The table below shows where the Antisocial Behaviour Framework has significant importance for the delivery of our strategic themes.

Strategic Themes				
Delivering Exceptional Customer Experience	Making the Most of our Homes and Assets	Changing Lives and Communities	Developing our Shared Capacity	Enabling our Ambitions
Key Outcomes				
<ul style="list-style-type: none"> • Enabling customers to Lead • Progressing from Excellent to Outstanding 	<ul style="list-style-type: none"> • Investing in existing homes and environments • Building community voice, engagement and resilience 	<ul style="list-style-type: none"> • Developing peaceful and connected neighbourhoods 	<ul style="list-style-type: none"> • W.E. Create - driving innovation • W.E. Work – strengthening the skills and agility of our staff 	<ul style="list-style-type: none"> • Influencing locally and nationally to benefit our communities

The following sections summarise the key actions we will undertake through this Framework.

Delivering exceptional customer experience

Progressing from excellent to outstanding

- Embedding our approach to ASB across all our services and staff so that customers receive a consistent and supportive response wherever they contact us
- Improving our customers' experience through:
 - Creation of a new Community Safety Solutions & Prevention Hub to enhance our dynamic response to anti-social behaviour
 - Using our sector leading approach to customer involvement and data analysis to influence our priorities and those of our partners in line with our customers' objectives (including our data analysis partnership with Brainwave)
- Develop the skills of our frontline staff including those in the CSC, housing officers, environmental staff and care staff, so that they can:
 - provide a first line response to ASB;
 - deliver a supportive space for customers to report or discuss concerns;
 - understand the traumas and vulnerabilities that may be relevant;
 - link customers to community networks;
 - understand some early resolution approaches and when they may be considered.
- Deliver customer informed digital approaches which make it easy to communicate with us and to receive information from us.
- Create a Group definition of vulnerability in relation to fire and anti-social behaviour to help support early intervention, prevention and understanding of our customers
- Develop the ability to record vulnerability characteristics, where appropriate and agreed by the customer, in order to provide pioneering products and services tailored to customers reducing the likelihood of them becoming a victim or perpetrator of anti-social behaviour in the future

Enabling customers to lead

- Support our customers to co-create a "Neighbourliness Charter" which defines what it means to be a good neighbour
- Conduct joint customer- led crime prevention audits in all of our communities currently categorised as safe in order to identify priorities
- Create new digital engagement processes which allow customers to co-create services with us
- Provide new, digital systems to allow customers to direct and engage with services including:
 - 24/7 digital reporting methods;
 - Increased use of "Rapport" messaging which provides 2-way communication for our most vulnerable customers; and
 - Development of crime and anti-social behaviour toolkits for customers with expert advice and guidance on spotting the early signs of crime & ASB, including what to do and expect if they become a victim of crime or ASB

- Develop integrated case management which ensures the customer can draw down the most appropriate resource to deal with their case at a time of their choosing.
- Extend the use of our innovative tenancy star for tenants with vulnerabilities. This will enable customers to direct their services to meet their priorities
- Develop learning from the fire safety “stay safe” campaign to develop communication campaigns in relation to ASB

Making the most of our homes and assets

Increasing the supply of new homes

- Use our expertise in anti-social behaviour and Community Improvement Partnerships to provide skills in 'Designing out Crime' to our Asset Team and New Build CoE

Investing in existing homes and environments

- Work with customers to develop home safety and security products which best meet their needs

Building community voice, engagement and resilience:

- Review the options to build community resilience and connectedness through volunteer community advocates/navigators, building on the experience of others in the community who may once have faced trauma or other issues, supporting communities and individuals to have a stronger voice and to create a greater sense of neighbourliness
- Co-create a '**Wheatley Place Measure**' that reflects the criteria our customers identify as the hallmarks of a successful and resilient community
- Ensure pathways into our new community entrepreneurship and resilience programme for our vulnerable customers
- Work with our customers to co-create community networks for those customers who do not receive additional support

Changing lives and communities

Shaping care services for the future

- Reshape our Tenancy Support Service to provide:
 - early assessment and support for at risk customers, particularly those who have been homeless or have vulnerabilities;
 - a focused approach to managing ASB;
 - Building resilience to cope with ASB; and
 - Effectively identifying pathways of specialist support where these are needed.
- Mainstream our effective tenancy support approaches into the skill set of all relevant customer facing staff to help our tenants sustain their homes
- Work with partners to develop clear pathways for care services, specialist services, risk management strategies, and protection plans for our customers, including services for low level mental health issues
- Work with partners to identify new pathways of support for those at risk of repeated homelessness through anti-social behaviour
- Ensure that our volunteering offer can have maximum benefit for customers with vulnerabilities, those experiencing and perpetrating ASB, wherever appropriate
- Develop new partnership approaches to tackle the harm caused by drug and alcohol abuse

Developing peaceful and connected neighbourhoods:

- Expand and develop our customer confidence cycle so that customers are at the heart of directing services and strengthening their communities
- Use our better lives focus to connect households to their neighbourhoods through support which encourages engagement including group activities, volunteering and other actions.
- Use our virtual spaces to create room for community discussion to help grow the understanding and support for newcomers but also to address the impacts or concerns existing tenants may have.
- Support work to use our facilities for the benefit of communities and creating neighbourliness
- Ensure our enforcement process builds on our understanding of root causes and is used rapidly and effectively where it has to be implemented
- Influence our strategic partners and the Scottish Community Safety Network with our unique and sector leading approach to reinventing neighbourliness and pro-social Behaviour
- Improve our strategic links with our approach to Group Protection for vulnerable people

- Work with Scottish Fire & Rescues' Prevent and Protect Team to change the behaviours of those customers involved in setting deliberate fires

Supporting economic resilience in our communities:

- Review our Wheatley Foundation and other wider services to maximise the employment, training and skill building opportunities available to customers who are vulnerable, have had adverse childhood experiences or who are at higher risk of being impacted by or perpetrating anti-social behaviour
- Use our proposed participatory budget events in our priority communities to increase confidence and resilience
- Further develop our sports for change programme to encourage young people to get active and involved.
- Work closely with Police Scotland's Cyber Crime 'Centre of Excellence' ensuring our customer receive the best possible advice and guidance on preventing them from becoming a victim of online exploitation or fraud

Developing our shared capability

W.E. Think – creating our “Thinking Yes Together” culture

- New, digital apps will be used to allow customers to direct and engage with services

W.E. Create – driving innovation

- Work with our partners to examine options for integrated commissioning of support across homelessness, addictions, mental health, criminal justice and general health budgets in order to achieve a comprehensive and effective service for our customers
- Enable customers to access online learning to build up Wheatley Credits for housing, care and property management that will be a recognised part of Wheatley’s Pathways into Work programme

W.E. Work – strengthening the skills and agility of our staff

- Train all customer facing staff in our approach to understanding trauma, preventing ASB and building community resilience, linking to the THRIVE model used by our Police Scotland colleagues
- Ensure all our staff are trained in our approach to ASB and knowledgeable about key factors which are relevant including trauma, vulnerability, addictions and mental health issues.
- Increase the skills of our frontline staff, including the customer service centre and housing officer teams to receive and respond to reports of ASB
- Increase our understanding of substance abuse issues through integrating the experience of our partners in drug and alcohol services into our training and processes
- Provide training for staff in negotiation and mediation skills to allow early intervention to de-escalate issues between neighbours quickly
- Customer facing staff trained in supporting community connections across all our services.
- Create a specialist digital qualification for frontline housing, care and other staff which develops an empowering approach to support and the skills to support customers through trauma and disruption. This will be complementary to the Scottish Government’s national trauma training programme led by NHS Education for Scotland.

Enabling our ambitions

Influencing locally and nationally to benefit our communities

- Work with Police Scotland's "Partnership, Prevention and Community Wellbeing division" co-creating innovative services to keep our customers safe and secure in their homes
- Gather and share information with Police Scotland and Scottish Fire & Rescue Service on anti-social behaviour to highlight emerging issues and target preventative measures
- Influence our neighbourhood organisations to support new residents

The key strategic measures

The key Group strategic target for this Framework is that **70% of our customers live in neighbourhoods categorised as peaceful**. However, the Framework also supports a number of other strategic targets:

Delivering exceptional customer experience:

- Overall customer satisfaction is above 90%
- RSL tenant satisfaction with value for money is increased to 85%
- Overall satisfaction amongst households with children is improved to 90%
- 90% of customers feel they can participate in the landlord's decision making
- 95% of customers actively engaged in shaping services feel they participate in decision making

Changing lives and communities

- 4,000 jobs, training and apprenticeships delivered
- 250 customers have been supported to attend higher education and university through Wheatley bursaries
- 10,000 vulnerable children benefit from targeted Foundation programmes

Enabling our ambitions

- Over 50% of customers actively use their online account to make transactions with us

Investigating incidents and using our powers

Customers can report antisocial behaviour by phone, e-mail, in writing or in person and will be advised, in all instances, to report criminal behaviour to Police Scotland. As part of this Framework reporting by digital methods will also be available. Whilst recognising that enforcement action needs to be appropriate, proportionate and timely the wellbeing and protection of our tenants and communities will always be at the forefront of our decision making process.

Our approach to the use of enforcement action will be informed by the type and severity of antisocial behaviour that has been reported. In the majority of cases this will have been when a preventative and supportive approach has failed to address the problem but we will move straight to enforcement action if it is deemed necessary for the protection of our tenants and communities.

When required our staff will utilise the various types of legislative powers available to RSLs within the Antisocial Behaviour etc. (Scotland) Act 2004, the Housing (Scotland) Act 2001 and the Housing (Scotland) Act 2014 to manage antisocial behaviour, and the perpetrators of such. This will include the use of:-

- Referrals for support;
- Acceptable Behaviour Contracts (ABC);
- Unacceptable Behaviour Notices (UBN);
- Mediation (non-legislative);
- Warning Letters (non-legislative);
- Interim Antisocial Behaviour Orders (Interim ASBO);
- Antisocial Behaviour Orders (ASBO);
- Notice of Proceeding for Recovery of Possession (NPRP);
- Eviction Orders; and
- Short Scottish Secure Tenancy.

When investigating cases of antisocial behaviour we will be fair and firm, remaining impartial and observing confidentiality at all times. We will take a customer focused approach to tackling antisocial behaviour, working with the complainer and the alleged perpetrator with a view to reaching agreed actions, timescales and ultimately closure. An antisocial behaviour toolkit has been developed for staff to refer to. The toolkit provides detailed guidance on how to manage the five key stages of an antisocial behaviour complaint, ensuring staff manage cases in a consistent and informed manner. These are:



The guiding principles of the toolkit are noted below:

- Listen to complaints and give complainers advice as to what they can do and what they can expect from us;
- Assess and monitor any risk;
- Keep to specified target response times for acknowledging and responding to reports of antisocial behaviour;

- Ensure the emergency and statutory services have been notified where there has been/is a risk to life or safety;
- Discuss the forward process with the complainant, being clear and realistic about potential outcomes and timescales involved;
- Choose from a range of different actions and take action proportionate to the type of antisocial behaviour reported;
- Refer customers to external agencies for support and advice as appropriate;
- Use the Streetwise system to note all reports of antisocial behaviour and manage the case in accordance with good practice and Scottish Social Housing Charter (SSHC) requirements; and
- Keep in regular contact with the complainant and advise how they can record any future incidents, for example using diary sheets.

Tenant Agreed Categories & Timescales

Following consultation with our tenants we have defined, categorised and grouped the different types of antisocial behaviour according to their level of seriousness. We have also agreed the following timescales for actioning and resolving complaints of antisocial behaviour.

Category	Definition	Timescales
A	<ul style="list-style-type: none"> • A conviction or criminal charges of drug dealing (supply or intent to supply) or production of a controlled drug. • Criminal charges relating to firearms. • Criminal behaviour involving serious incidents of violence or threats of violence towards any members of the public. • Serious assault. • Serious harassment. • Hate crimes (racial, sectarian, homophobic, religious, disability etc.). • Serious damage to property including wilful fire-raising. 	Action within 1 working day
		Resolve within 10 working days
B	<ul style="list-style-type: none"> • Aggressive / Abusive behaviour. • Drug / Solvent / Alcohol abuse. • Verbal / Written harassment. • Noise nuisance / Disturbances. • Vandalism. • Dog fouling • Graffiti. • Non-accidental Bin fires / Grass fires. 	Action within 3 working days
		Resolve within 10 working days

Legislation Planning and Guidance

National and Legal Context

As well as enabling our Group's strategic outcomes, our Antisocial Behaviour Prevention and Mitigation Framework also demonstrates and strengthens our contribution towards a number of the national outcomes contained within the Scottish Government's National Performance Framework. These include national outcomes such as:

- **Outcome 2** - We respect, protect and fulfil human rights and live free from discrimination
- **Outcome 5** - We live in communities that are inclusive, empowered, resilient and safe
- **Outcome 6** - We grow up loved, safe and respected so that we realise our full potential

The Legal Framework

The Antisocial Behaviour etc (Scotland) Act 2004 is the primary legislation for dealing with antisocial behaviour in Scotland. The Act sets out a range of responses made available to Local Authorities and Police Scotland ranging from the requirement of Local Authorities to jointly prepare and produce an antisocial behaviour strategy, to the dispersal of groups, closure of premises, dealing with noise nuisance and the environment as well as the application of Antisocial Behaviour Orders.

This Antisocial Behaviour Prevention and Mitigation Framework has been developed to ensure that we are not only meeting all the legislation and guidance that is pertinent to antisocial behaviour reduction and prevention but exceeding it and setting best practice approaches nationally.

There are a number of additional pieces of legislation which support responses to antisocial behaviour such as:

- Human Rights Act 1998;
- Regulation of Investigatory Powers (Scotland) Act 2000;
- Housing (Scotland) Act 2001;
- Equality Act 2010;
- Housing (Scotland) Act 2010;
- Housing (Scotland) Act 2014; and
- Data Protection Act 2018.

Registered Social Landlord Subsidiaries

The legislative framework that governs how all Group RSLs currently interpret and manage antisocial behaviour is contained within *the Housing (Scotland) Act 2014* and *the Antisocial Behaviour etc. (Scotland) Act 2004*. The 2004 Act states that a person is engaging in antisocial behaviour if they:

- Act in a manner that causes or is likely to cause alarm and distress.
- Pursue a course of conduct that causes or is likely to cause alarm or to distress to at least one person not of the same household as them.

The *Housing (Scotland) Act 2014* further enhanced the powers available to social landlords for the management of antisocial behaviour. This includes:

- Social landlords will have the power to convert an existing tenant's Scottish Secure Tenancy (SST) to a Short SST (SSST) or to grant a SSST to a new tenant in cases where there is evidence that the tenant, a member of their household, or a visitor, has been involved in antisocial behaviour in or near their home within the last three years;
- Simplifying the eviction process in cases involving serious antisocial behaviour by allowing social landlords to make use of an existing conviction as grounds for possession. The tenant must have been convicted within the last 12 months; and
- Clarifying that a social landlord can suspend an application for social housing under certain prescribed circumstances.

Scottish Social Housing Charter

The Scottish Social Housing Charter was introduced by the Scottish Government to help improve the quality and value of the services that social landlords provide, and support the Government's long term aim of creating a safer and stronger Scotland.

Outcome 6 of the Scottish Social Housing Charter states that:

“Social landlords, working in partnership with other agencies, help to ensure that:

- *Tenants and other customers live in well-maintained neighbourhoods where they feel safe.”*

This outcome covers a range of actions that social landlords can take on their own and in partnership with others. It covers action to enforce tenancy conditions on estate management and neighbour nuisance, to resolve neighbour disputes, and to arrange or provide tenancy support where it is needed. It also covers the role of landlords in working with others to tackle antisocial behaviour.

The Scottish Housing Regulator have developed the following indicators to assess how well housing associations and the Group are managing complaints of antisocial behaviour and our wider estates:

- **Indicator 13:** Percentage of tenants satisfied with the landlord's contribution to the management of the neighbourhood they live in; and
- **Indicator 15:** Percentage of antisocial behaviour cases in the last year which were resolved.

Complaints

Our aim is to get it right first time, however, where there is dissatisfaction with this Framework or its operation, customers can make a complaint. A summary of our Complaints Policy and Procedure is available on our website and in local offices.

Responsibilities

The Group Director of Housing and Care will have overall strategic responsibility and will oversee the successful implementation of the work plan.

Review and Consultation

Our framework will be reviewed regularly to ensure that it continues to be relevant and appropriate in achieving our aims. Partners remain committed to working together to critically review performance, to maintain or improve our current high standards of service delivery. Partners will also seek to develop services that are focused on early intervention and prevention and meet the differing needs of the various communities across Group.



Report

To:- Dunedin Canmore Housing Board

By:- Pauline Turnock, Director of Finance and Legal Services

Approved by:- Steven Henderson, Group Director of Finance

Subject:- 2020/21 Financial Statements

Date of Meeting:- 19 August 2021

1. Purpose

- 1.1 The purpose of this report is to provide the Board with an overview of the 2020/21 financial statements.
- 1.2 The Board should note that the financial statements have been reviewed by the Wheatley Group Audit Committee and recommended for approval at its meeting which was held on 4 August 2021.

2. Authorising and strategic context

- 2.1 Under the terms of the Intra-Group Agreement between Dunedin Canmore Housing and the Wheatley Group, as well as the Group Authorise, Manage, Monitor Matrix, the Board is responsible for the on-going monitoring of performance against agreed targets. This includes the on-going performance of its finances and the approval of the statutory financial statements.

3. Risk appetite and assessment

- 3.1 Our agreed risk appetite in relation to compliance with laws and regulation is averse. Averse is defined as "Avoidance of risk and uncertainty is a key organisational objective."

4. Background

- 4.1 This report provides the Board with the final statutory financial statements following the completion of the external audit by KPMG and a reconciliation of the final out-turn to Period 12 2020/21 management accounts.

5. Customer engagement

- 5.1 No implications.

6. Discussion

Summary of year-end financial results

- 6.1 The financial statements are now complete and have been audited. The financial results for the year are summarised below. They reflect the requirements of the 2014 Statement of Recommended Practice ("SORP 2014") for Social Housing Providers.

	Year ended 31.03.21 £'000	Year ended 31.03.20 £'000
Turnover	41,799	42,934
Operating Expenditure	(27,361)	(26,786)
Other gains (losses)	7,321	(2,705)
Operating (deficit)/surplus	21,759	13,443
Gain/ (loss) on disposal of fixed assets	1,768	403
Net finance costs	(10,803)	(7,523)
Property revaluation – housing properties	10,131	9,192
Property revaluation – office properties	409	109
Surplus for the year	23,264	15,624
Actuarial gain/(loss) in respect of pension schemes	(3,272)	1,253
Total comprehensive income for the year	19,992	16,877

Adjustments from 31 March management accounts

- 6.2. The finance reports submitted to the Board during the year formed the basis of these financial statements, and were updated to include a number of year end statutory adjustments:

	Income & Expenditure £'000	Net Assets £'000
March management accounts	5,194	202,839
Revaluation of Properties - Housing	10,131	10,131
Revaluation of Properties - Office	409	409
Revaluation of Properties - Investment	150	150
Barony HA gain on business combination	7,171	(13)
Pension adjustment	(2,433)	(2,433)
Depreciation and disposal adjustments	(648)	(648)
Other	18	18
DCH statutory accounts	19,992	210,453

- 6.3 Revaluation of Properties: Housing, office and investment properties were revalued at the year end by Jones Lang Lasalle. This resulted in an increase of £10,131k to the value of social housing properties and £409k to office properties. Investment properties include mid-market rent units and these have reported an increase in value £150k.
- 6.4 Barony Housing Association (BHA) gain on business combination: For management accounts purposes the gain as a result of the transfer of the ex-BHA assets and liabilities was reported in for management accounts purposes in net assets as an increase in reserves of £7,184k. For statutory accounts this requires to be shown through the statement of comprehensive income as a gain of an amount equal to the net assets transferred given there was no consideration payable to BHA. An adjustment of £13k was made to recognise additional depreciation on other fixed assets prior to the transfer and to agree the amounts to the final audited financial statements for Barony.
- 6.5 Pension valuation adjustments: The SHAPS defined benefit pension scheme is re-valued on an annual basis by independent actuaries. The 2020/21 valuation resulted in a credit to employee service costs of £847k, interest charge on pension obligations of £8k and an actuarial loss of £3,272k.
- 6.6 Depreciation and disposal adjustments: As part of the year end work, depreciation charges were calculated at individual component level and disposals processed. This resulted in an increase of £648k to the charge provided in the management accounts.
- 6.7 Other: This reflects other items finalised after the preparation of the year end management accounts including a review of invoices received after the year end and any resulting adjustment to accruals.

Audit summary

- 6.8 The external auditors, KPMG have completed their audit of the financial statements and have issued an unqualified audit opinion. No audit adjustments were identified during the course of the audit with respect to us.
- 6.9 As a standard part of the standard audit process, and in line with previous years, KPMG require the Board of each organisation in the Wheatley Group to sign a "letter of representation" in which the Board confirms certain matters in terms of disclosure and record-keeping. As in previous years, a letter from the Chief Executive has been provided to each Board to provide comfort that the officers have complied with the matters stated in this letter. Both these documents are provided along with this paper (Appendix 2 and 3 respectively).

- 6.10 The Board are asked to confirm in the letter of representation that the financial statements are prepared on a going concern basis. The assessment that the Association continues in business is based on the preparation and approval of the Association's 30-year business plan which includes cashflow forecasts, the certainty of revenue streams from rental income and the assessment of the availability of funding provided to us through the RSL borrower relationship with WFL1.
- 6.11 The accounts and letter of representation will be signed following the approval of the Wheatley Group accounts at the Group Board meeting on 26 August 2021.

7. Digital transformation alignment

- 7.1 No implications.

8. Financial and value for money implications

- 8.1 Ensuring financial performance remains in line with approved budget is a key element of continuing to demonstrate value for money. DC performed favourably to budget in 2020/21 ensuring the achievement of these targets. Any statutory accounts adjustments were non cash adjustments only and did not impact the achievement of these targets.

9. Legal, regulatory and charitable implications

- 9.1 Under Section 485 of the Companies Act we are required to appoint an auditor for each financial year. Under the Intra-Group Agreement with Wheatley Housing Group we are required to use the Group Auditors. We require to appoint KPMG LLP as the auditors for 2021/22 at the Annual General Meeting. The appointment will be subject to the Group confirming their reappointment at its Annual General Meeting.
- 9.2 Following approval and signing of the financial statements they require to be submitted to Companies House and the annual return made to the Scottish Housing Regulator.

10. Equalities implications

- 10.1 Not applicable.

11. Environmental and sustainability implications

- 11.1 Not applicable.

12. Recommendations

12.1 The Board is asked to:

- 1) Approve the 2020/21 financial statements;
- 2) Confirm the preparation of the financial statements using the going concern basis;
- 3) Delegate authority to the Chair and Group Director of Finance to approve any non-material changes to the accounts; and
- 4) Approve the letter of representation from the auditors, and note the related letter of comfort from the Chief Executive.

List of Appendices

Appendix 1 - Financial statements for the year ended 31 March 2021 [redacted] available online at https://www.wheatley-group.com/_data/assets/pdf_file/0014/131414/Dunedin-Canmore-Annual-Accounts-2021.pdf

Appendix 2 – [redacted]

Appendix 3 – [redacted]

Report

To: Dunedin Canmore Housing Board

By: Ranald Brown, Director of Assurance

Subject: Internal Audit Annual Report and Opinion 2020/21

Date of Meeting: 19 August 2021

1. Purpose

1.1 This paper provides the Board with an update for noting on the following matters:

- the Internal Audit Annual Report and Opinion 2020/21;
- the results of assurance work completed in Q4 2020/21; and
- the rolling 3-month Internal Audit Plan for 2021/22.

1.2 As the Internal Audit Annual Report and Opinion supports the 2020/21 year-end financial statements, we present this paper at the Board meeting as part of the overall Annual Accounts.

2. Authorising and strategic context

2.1 Under the Group Authorising Framework, the Board is responsible for managing and monitoring its compliance arrangements and operational performance. The activities undertaken by the Assurance Team provide the Board with independent assurance to support the Board in this role.

2.2 The Group Audit Committee is responsible for monitoring the Group's assurance activities. The Group Audit Committee has responsibility for instructing and keeping under review the long-term plan for internal audit within the Group, to approve the annual Group Assurance Plan and monitor results as presented in the annual internal audit report and assurance statement. The 2020/21 Annual Internal Audit Report and Assurance Statement was approved by the Group Audit Committee on 5 May 2021, as was the Internal Audit Plan 2021/22.

3. Risk appetite and assessment

3.1 The Board's risk appetite in relation to Governance is deemed "minimal" meaning the Board's preference is for ultra-safe business delivery options that have a low degree of inherent risk.

3.2 This report is designed to inform the Board members of specific risks arising from internal audit reviews, in order that members can make informed governance decisions.

4. Background

- 4.1 The Group's Internal Audit team operates in accordance with the Chartered Institute of Internal Auditors' International Professional Practices Framework (IPPF), which includes the International Standards for the Professional Practice of Internal Auditing (the Standards).
- 4.2 In line with the requirements of the Standards, Internal Audit provides the Group Audit Committee with an Annual Report and Opinion, which summarises the results of the Internal Audit team's work during the financial year and provides an opinion on the Group's internal control, governance, and risk management framework.
- 4.3 The Internal Audit Annual Report and Opinion 2020/21 was approved by the Group Audit Committee at its meeting on 5 May 2021. The Group's established position is that it only operates Committees at Group level. The Group Audit Committee's role and responsibilities are contained within its Terms of Reference. **Annex 3 of Appendix 1** sets out the core areas and further explanation of the respective roles and responsibilities of the Group Audit Committee and partner Boards. The Annual Report and Opinion is then reported to each partner Board alongside the annual accounts. The Statement on Internal Financial Control included within the statutory accounts sets out our conclusions.
- 4.4 In terms of our Assurance coverage, **sections 3 and 4 of Appendix 1** provide details of all the reviews and which Subsidiary they include. The reviews specifically relevant to us are detailed below:

Gas Safety	PPE Health & Safety	Fire Safety	Arears Management
NETs PPE	Allocations	Business Continuity Planning	Cybersecurity Healthcheck – IT operations
Cybersecurity Healthcheck – SaaS systems	Working from Home review	Payroll Data Analytics	Digital Strategy

- 4.5 The Annual Report refers to the results of work reported to the Group Audit Committee in May 2021, which has not previously been reported to the Board. A summary of the Internal Audit Plan for 2021-22 is set out in **Appendix 2 – Group Assurance Update**, along with key findings for the following reviews:
- Allocations;
 - Business Continuity Planning;
 - DGHP Transformation Programme;
 - Digital Strategy Interim report;
 - Wheatley Care self-assurance consultancy review;
 - Payroll Data Analytics; and
 - Follow-Up of Management Actions.

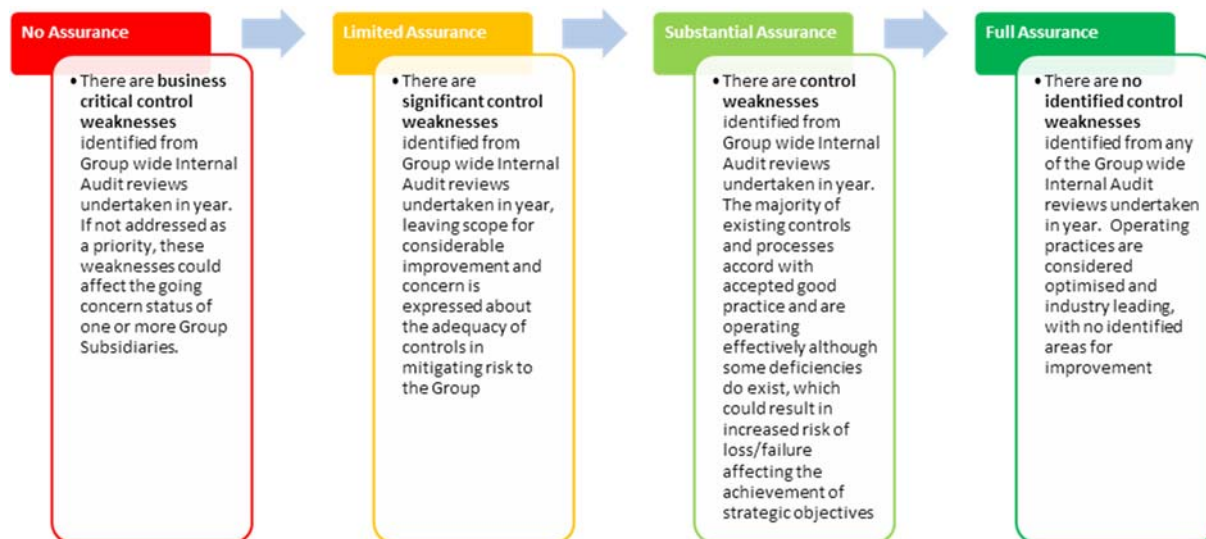
5. Customer engagement

5.1 There are no customer engagement implications arising directly from this report.

6. Discussion

Internal Audit Annual Report and Opinion 2020-21

6.1 A copy of the Annual Report and Opinion has been included at **Appendix 1**. The table below shows the different types of Internal Audit Opinion which may be given:



6.2 Following completion of our approved Internal Audit Plan, we can confirm that sufficient work has been undertaken to enable us to provide an opinion on the adequacy and effectiveness of the internal control environment in operation during 2020/21. In giving this opinion, it should be noted that assurance can never be absolute.

6.3 During the course of our work, we identified no critical weaknesses in the governance, risk management, or internal control environments that would put the achievement of subsidiary or Group strategic objectives at risk. Management has acted to address the findings we reported during the year, and thereby strengthen the control environment. The status of all audit actions will continue to be reported regularly to the Group Audit Committee. In addition, we gave a mid-year Assurance update to Partner Boards to highlight relevant audit findings.

Internal Audit Opinion 2020/21

Based on our Group-wide work undertaken in 2020/21 a substantial level of assurance can be given that there is a sound system of internal control, designed to support achievement of relevant organisational objectives. However, some weaknesses in the design and or consistent application of controls exist. Management has agreed to the improvements to the control environment and the progress of implementing these additional controls will be reported to the Group Audit Committee.

Group Assurance Update August 2021

- 6.4 The table below summarises the results of 2020/21 Annual Plan work reported to the Group Audit Committee in May 2021.

Review	Control objectives
Allocations	Green Green Yellow Green Green
Business Continuity Planning	Yellow Yellow Yellow Yellow
DGHP Transformation Programme	Green Green Green Green
Digital Strategy interim report	Not applicable for this review
Payroll analytics	Not applicable for this review

- 6.5 More detail on the key findings for each review are set out in the *Group Assurance Update* at **Appendix 2**. Full reports are available to all Board members upon request. In addition, we have provided consultancy support to Wheatley Care for the design and implementation of a self-assessment process to demonstrate compliance with the Care Inspectorate's Care Quality Framework.
- 6.6 The paper at **Appendix 2** also sets out identified areas for internal audit focus for 2021/22, which have been identified through review of Group and Subsidiary Board Strategies and Risk Registers, discussion with senior managers and consideration of the Assurance map. These areas of focus will be updated on a rolling basis throughout the financial year and will be used to identify the reviews to be prioritised each quarter. This plan was approved by the Group Audit Committee at its meeting on 5 May 2021.

7. Digital transformation alignment

- 7.1 The agreed actions within the Digital Strategy interim review will assist management to achieve the digital transformation required in order to successfully deliver the Group's strategic aims.
- 7.2 The good practice highlighted within the DGHP Transformation Programme would, if applied to the Digital Transformation Programme, provide management and the Group Audit Committee with additional assurance about whether the programme is delivering in line with expectations.

8. Financial and value for money implications

- 8.1 There are no financial or value for money implications arising directly from this report.

9. Legal, regulatory and charitable implications

- 9.1 There are no legal, regulatory or charitable implications arising directly from this report.

10. Equalities implications

- 10.1 This report does not require an equalities impact assessment.

11. Environmental and sustainability implications

- 11.1 There are no environmental or sustainability implications arising directly from this report.

12. Recommendation

- 12.1 The Board is asked to note the contents of this report, including the Annual Internal Audit opinion detailed in Section 6 above.

List of Appendices

- Appendix 1 – Internal Audit Annual Report and Opinion 2020-21
- Appendix 2 – Group Assurance Update August 2021

Internal Audit Annual Report and Opinion 2020/21

Ranald Brown
Director of Assurance
5 May 2021

1. Introduction

The purpose of this report is to provide our view on the adequacy and effectiveness of the Wheatley Group's ('the Group') system of governance, risk management and internal control, as assessed through delivery of our 2020/21 Annual Assurance Plan.

The 2020/21 Annual Assurance Approach and Plan was approved by the Group Audit Committee and progress against this plan has been reported to the Group Audit Committee throughout the financial year.

Our detailed findings from specific reviews have been reported to Management during the year, with a summary of these findings reported to the Group Audit Committee throughout 2020/21. Reporting to Subsidiary Boards and the Group Board has taken place where appropriate.

This Annual Report summarises the Internal Audit activity and therefore does not include all matters which came to our attention during the year. Such matters have been included within our detailed reports to Management and the Group Audit Committee during the year.

"Internal Audit is an independent, objective assurance and consulting activity designed to add value and improve an organisation's operations. It helps an organisation accomplish its objectives by bringing a systematic, disciplined approach to evaluate and improve the effectiveness of risk management, control and governance processes."

- *Section 3 – Definition of Auditing; Chartered Institute of Internal Auditors' International Professional Practices Framework*

Group Assurance Mission Statement

To enhance and protect the Wheatley Group by providing independent, risk based and objective, assurance, advice and insight

2. Annual Internal Audit Opinion

Scope

In line with the International Standards for the Professional Practice of Internal Auditing (“the Standards”), Internal Audit provides the Group Board, Audit Committee and Subsidiary Boards with an Annual Internal Audit Opinion, as a result of the work completed during 2020/21.

Our opinion is subject to the inherent limitations of Internal Audit (covering both the control environment and the assurance over controls) as set out in Appendix 1 (Limitations and Responsibilities).

In arriving at our Annual Internal Audit Opinion, we have taken the following matters into account:

- the results of all Internal Audit work undertaken (including any upheld instances of fraud or whistleblowing) during the year ended 31 March 2021;
- in accordance with the Wheatley Group City Building Glasgow Assurance approach, we have placed reliance on the internal audit work done by the Glasgow City Council’s Chief Internal Auditor in relation to City Building Glasgow;
- due to the COVID-19 pandemic, the Group followed UK Government advice and implemented virtual working arrangements while moving to an emergency service delivery model;
- the effects of any material changes in the Group’s objectives, activities or regulatory environment; and
- whether there have been any resource constraints imposed upon us which may have impinged on our ability to meet the Group’s Internal Audit needs.

Basis of Opinion

Sufficient work has been undertaken to enable us to provide an opinion on the adequacy and effectiveness of the internal control environment in operation during 2020/21. In giving this opinion, it should be noted that assurance can never be absolute.

During the delivery of our Internal Audit plan, we identified no critical weaknesses in the governance, risk management, or internal control arrangements which would put the achievement of Group objectives at risk.

As reported to the Group Audit Committee, Management has acted promptly to address the findings we reported during the year and thereby strengthen the controls in place. Implementing agreed actions is a priority and progress is regularly reported to the Directorate Management Teams, Executive Team, Subsidiary Boards, City Building Glasgow, Group Board and the Group Audit Committee.

Internal Audit Opinion 2020/21

Based on our Group-wide work undertaken in 2020/21 a **substantial level of assurance** can be given that there is a sound system of internal control, designed to support achievement of relevant organisational objectives. However, some weaknesses in the design and or consistent application of controls exist (See **Annex 2** for Assurance Opinion Definitions). Management has agreed to the improvements to the control environment and the progress of implementing these additional controls will be reported to the Group Audit Committee.

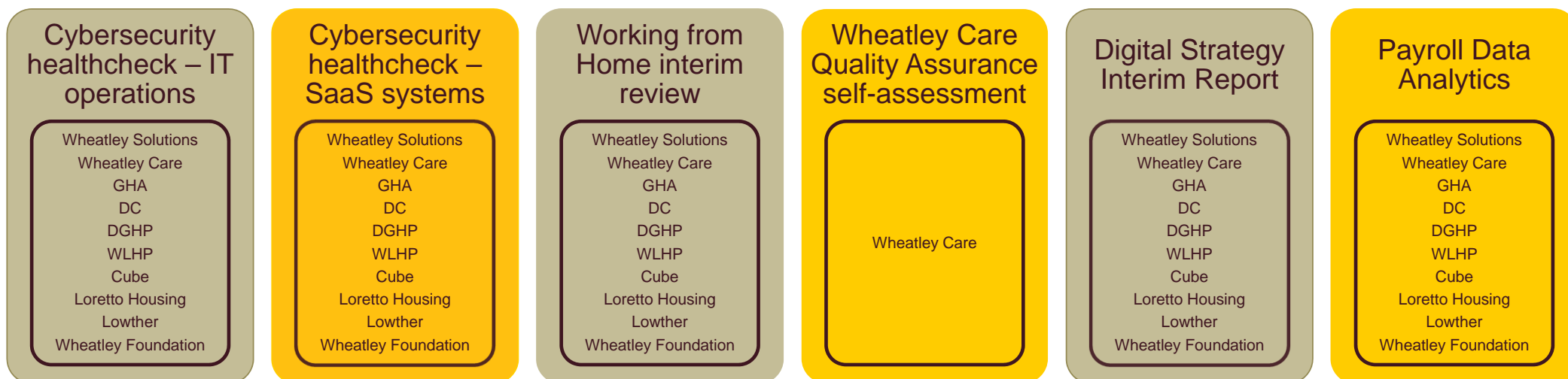
3. Summary of Findings

This section summarises the results of Internal Audit advisory reviews completed during 2020/21. Each of these reviews included an assessment of the extent to which the control objectives set out in the Terms of Reference were achieved, as reflected in the charts below.



4. Summary of other work performed

The Internal Audit team has also completed the following advisory and consultancy reviews, which did not include an assessment of the achievement of control objectives, due to the nature of the work performed.



Summaries of the findings of all the reviews conducted during 2020/21 have previously been reported to the Group Audit Committee and to Subsidiary Boards.

5. Follow Up of Management Actions

Internal Audit completes follow up activity to verify that management have implemented actions as agreed in our internal audit reports. During 2020/21, the Group Audit Committee approved a decision to pause routine follow up activity during 2020/21.

In order to resume follow up activity for 2021/22, we have completed an annual assessment of the status of all open actions.

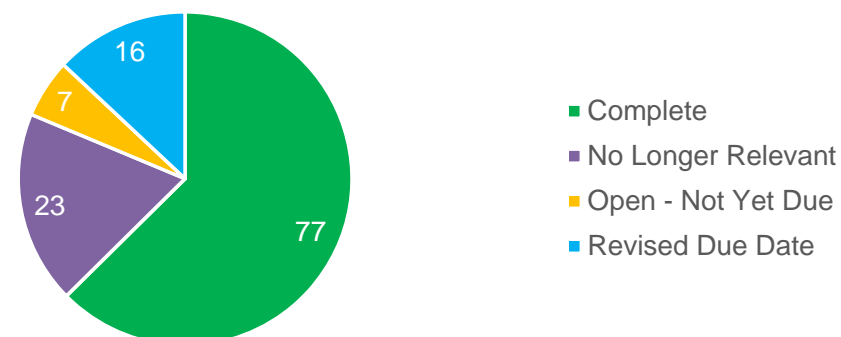
These comprise Wheatley Group actions brought forward from 2019/20, DGHP actions brought forward from 2019/20, and actions reported during 2020/21. Our assessment has included review of each action to determine whether:

- a) The action has been completed during 2020/21; or
- b) The action is no longer relevant or has been superseded by revised plans for the Group's new operating model.
- c) For those actions that remain open and relevant, we have discussed the current status with management and identified revised timescales for completion of the original actions.

Status	Actions
Actions brought forward from 29 Feb 2020	22
Q4 2019/20 actions added	16
Legacy DGHP actions added	52
New actions agreed during 2020/21	33
Total Actions followed up	123

The chart below summarises our assessment of the status of the 123 actions carried forward to 2021/22.

Status of Actions at 31 March 2021



6. IA Key Performance Indicators

The Internal Audit team’s performance against its agreed KPIs for 2020/21 is set out below:



Notes:

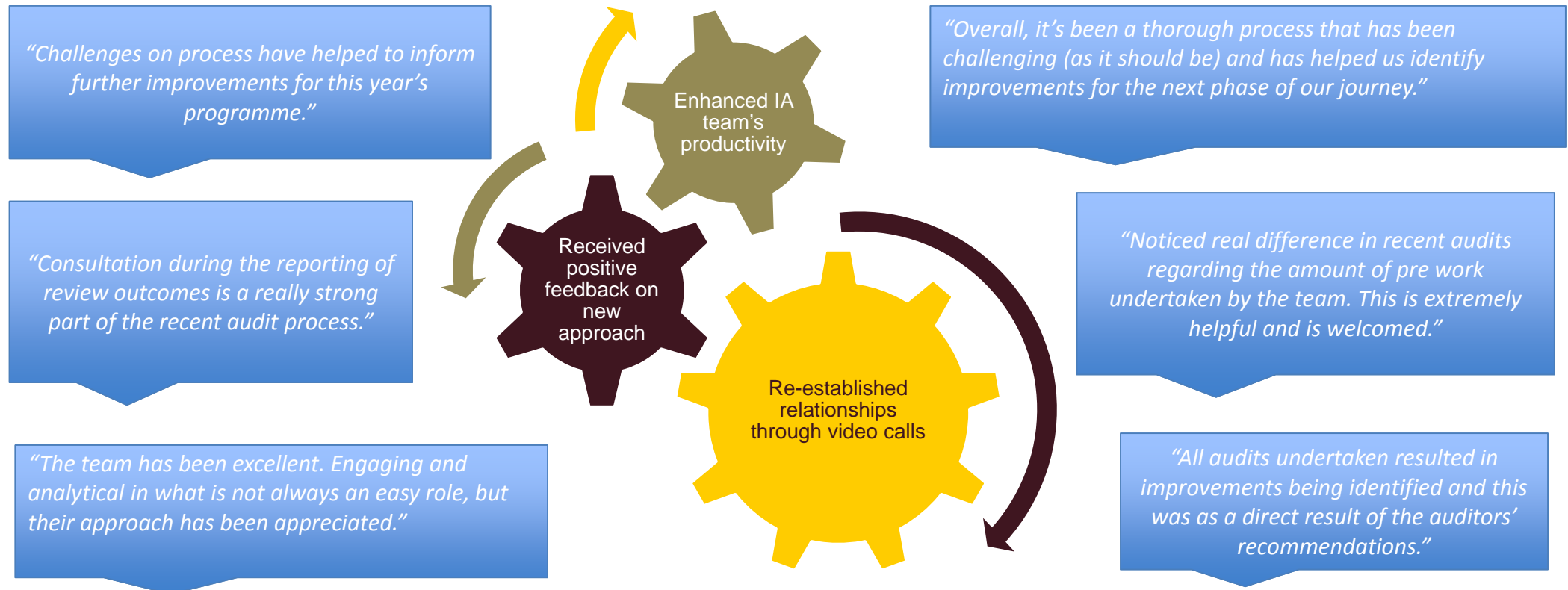
1. The 2020/21 Annual Plan was superseded following lockdown. The revised plan has been approved by the Group Audit Committee on a quarterly basis and delivered in line with proposed timescales.
2. The Internal Audit team was furloughed between April 2020 and September 2020. The team’s utilisation has therefore been measured based on 100 days for 2020/21, reflecting the period they were working.

Key:

Red	More than 15% away from target
Amber	Within 15% of target
Green	Target met / on track for year

7. IA 2020/21 Feedback

The Internal Audit team has received the following feedback since returning from furlough in September 2020/21 and changing the audit approach. The quotes are taken from 2020/21 review feedback forms received from Subsidiary Directors.



8. IA Compliance with Standards



Internal Audit compliance with professional standards

The Internal Audit team employs a risk-based approach to determine the audit needs of the Group at the start of each year, which is reviewed on a rolling three-month basis throughout the year. The team uses a risk-based methodology to plan and conduct our work, and all Internal Audit activity is performed in line with the International Standards for the Professional Practice of Internal Auditing and the Code of Professional Conduct (including Code of Ethics) promoted by the Chartered Institute of Internal Auditors.

Internal Audit independence

Each member of the Internal Audit team is required to confirm their independence annually. The Independence Statements were last collected in September 2020 and the exercise will be repeated in September 2021.

Conflicts of Interest

The Internal Audit team is led by the Director of Assurance, who reports directly to the Group Chief Executive and meets regularly with the Chair of the Group Audit Committee.

The Director of Assurance has other operational responsibilities. Consequently, the Group Audit Committee assesses the controls in place to maintain the Director's independence on an annual basis.

There have been no conflicts of interest during the year which have impacted on our independence or our ability to report our findings.

9. IA Quality Assurance and Improvement Programme

As part of the IA Team's Quality Assurance and Improvement Programme, we completed our internal quality assurance during 2020/21, comprising:

Ongoing monitoring

- Day-to-day supervision and review of IA team's work
- Key Performance Indicators (KPIs) monitoring and reporting

Annual CPE Completion

- Each IA team member completes training to meet the annual CPE requirement of their professional institute.

Annual self-assessment

- Completed using guidance issued by the CIIA
- Results reported within the Annual Report and Opinion

Annual Self-Assessment

The Internal Audit team completed the quality assessment template produced by the Chartered Institute of Internal Auditors (CIIA) and rated performance as:

Generally Conforms

- The evaluator has concluded that the relevant structures, policies, and procedures of the activity, as well as the processes by which they are applied, comply with the requirements of the individual Standard or element of the Code of Ethics in all material respects.

The results of the assessment, including identified improvement opportunities were reported separately to the Group Audit Committee.

Annex 1: Limitations and responsibilities



Limitations Inherent to the Internal Auditor's Work

We have prepared the Internal Audit Annual Report and undertaken the agreed programme of work as set out in the Annual Assurance Plan, subject to the limitations outlined below.

Opinion

The Annual Internal Audit Statement is based solely on the work undertaken as part of the agreed Annual Assurance Plan. The work addressed the control objectives agreed for each individual assignment as set out in our individual Terms of Reference. The matters raised in this report are only those which came to our attention during our Internal Audit work and are not necessarily a comprehensive statement of all the weaknesses that exist, or of all the improvements that may be required.

There might be weaknesses in the system of internal control that we are not aware of because they did not form part of our programme of work, were excluded from the scope of the individual review, or were not brought to our attention. Our audit plan is based on risk to capture the higher risk areas within the Group. As a consequence, Management and the Group Audit Committee should be aware that our opinion may have differed if our programme of work or scope for individual reviews was extended or other relevant matters were brought to our attention.

Internal Control

Internal control systems, no matter how well designed and operated, are affected by inherent limitations. These include the possibility of poor judgement in decision-making, human error, control processes being deliberately circumvented by employees and others, management overriding controls and the occurrence of unforeseeable circumstances.

Responsibilities of Management and Internal Audit

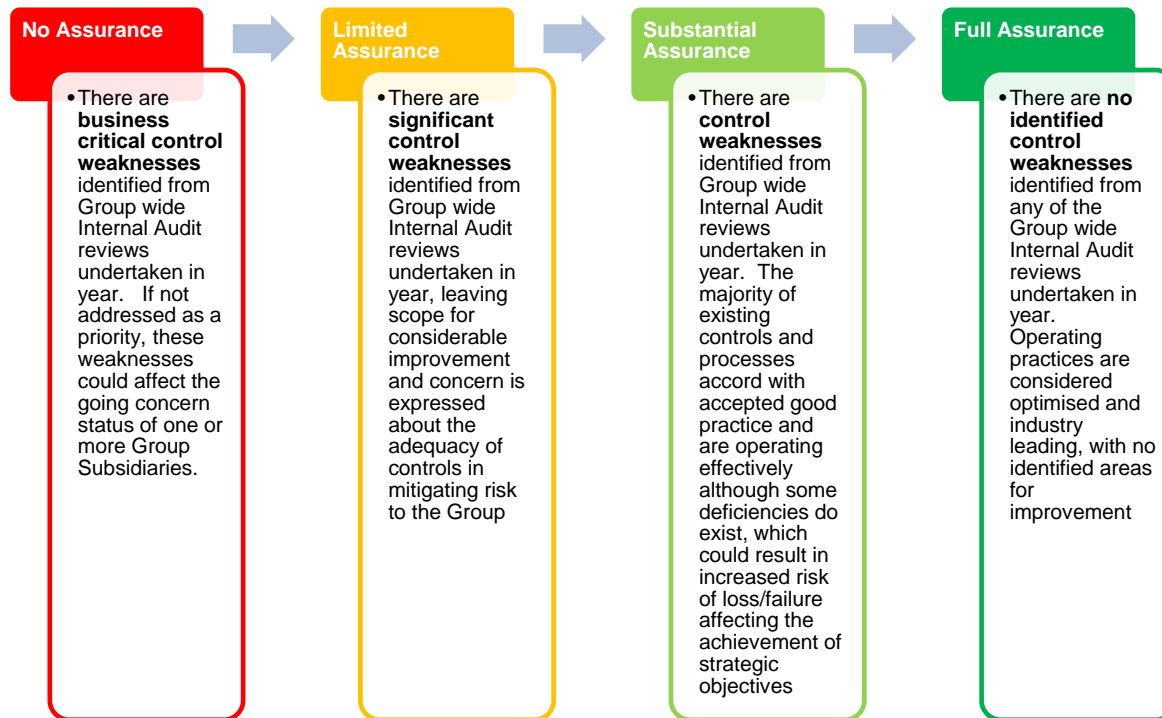
It is Management's responsibility to develop and maintain sound systems of risk management, internal control and governance to ensure the prevention and detection of irregularities and fraud. Internal Audit work should not be seen as a substitute for Management's responsibilities for the design and operation of these systems.

Internal Audit endeavour to plan work so that we have a reasonable expectation of detecting significant control weaknesses and if detected, we shall carry out additional work directed towards the identification of consequent fraud or other irregularities. Internal Audit procedures alone, even when carried out with due professional care, do not guarantee that fraud will be detected, and our examinations as Internal Auditors should not be relied upon to disclose all fraud, defalcations or other irregularities which may exist.

Annex 2: Assurance Opinion definitions

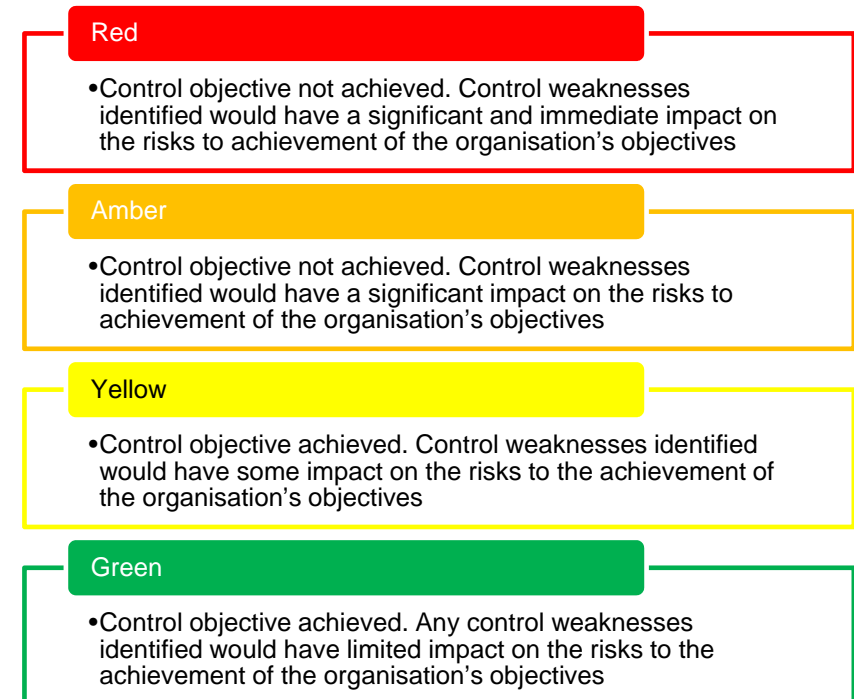
Annual Assurance Opinion Definitions

The table below details the different types of Internal Audit opinion which may be given:



Control Objective Classification

Each control objective is assigned a classification based on an assessment of the impact of individual findings within the report, as follows:



Annex 3: Respective roles of Group Audit Committee and Partner Boards



Core area	Group Audit Committee roles and responsibilities	Partner Board roles and responsibilities
Internal Audit	<ul style="list-style-type: none"> ▪ Approve annual assurance plan (all planned Internal Audit work for the year). ▪ Consider feedback from Group wide audits and inspections and monitor progress in implementing recommendations. ▪ Consider annual report and opinion for Group. ▪ Monitor effectiveness of Internal Audit. 	<ul style="list-style-type: none"> ▪ Note the Annual Plan and identify any potential areas to recommend to the Group Audit Committee for inclusion. ▪ Note feedback from Partner specific audits and inspections and monitor progress in implementing recommendations. ▪ Receive updates on Group-wide audits as part of bi-annual assurance update. ▪ Note Group annual report and opinion. ▪ Provide feedback, as appropriate, on Internal Audit to Group Audit Committee.
Risk, Fraud and Whistleblowing	<ul style="list-style-type: none"> ▪ Review and make recommendations to the Group Board on the Group's risk management framework and Corporate risk register (Subsidiaries and Joint Ventures). ▪ Group Audit Committee approves 'Fraud, Corruption and Bribery' and 'Whistleblowing' policies. 	<ul style="list-style-type: none"> ▪ Approve Subsidiaries risk appetite level and risk register. ▪ Partner Boards to monitor compliance with 'Fraud, Corruption and Bribery' and 'Whistleblowing' policies.
Financial Statements	<ul style="list-style-type: none"> ▪ Review the Group's accounting policies. ▪ Review financial statements of all group members. 	<ul style="list-style-type: none"> ▪ Approve individual financial statements and letters of representation.
External Audit	<ul style="list-style-type: none"> ▪ Approve annual audit plan. ▪ Recommend appointment/re-appointment of external auditors to Group Board. ▪ Set policy for award of non-audit work to external auditors. 	<ul style="list-style-type: none"> ▪ As required under individual constitution.
Policy	<ul style="list-style-type: none"> ▪ Recommend to Group Board and/or approve assurance related policies. 	<ul style="list-style-type: none"> ▪ Provide feedback on and implement Group assurance policies.

Appendix 2 - Group Assurance Update August 2021

Ranald Brown
Director of Assurance

1. IA Plan 2020/21 Status

Status of Reviews : This section summarises the results of Internal Audit activity completed during this period. We have completed the reviews approved by the Group Audit Committee at its February 2021 meeting.

<ul style="list-style-type: none"> • Wheatley Solutions • GHA • DC • DGHP • WLHP • Cube • Loretto Housing <p>Allocations (section 2)</p> 	<ul style="list-style-type: none"> • Wheatley Solutions • Wheatley Care • GHA • DC • DGHP • WLHP • Cube • Loretto Housing • Lowther • Wheatley Foundation <p>Business Continuity Planning (section 3)</p> 	<ul style="list-style-type: none"> • Wheatley Solutions • DGHP <p>DGHP Transformation Programme (section 4)</p> 
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Digital Strategy Interim Report (section 5)

- Wheatley Solutions
- Wheatley Care
- GHA
- DC
- DGHP
- WLHP
- Cube
- Loretto Housing
- Lowther
- Wheatley Foundation

Wheatley Care Quality Assurance self-assessment (section 6)

- Wheatley Care

Payroll Data Analytics (section 7)

- Wheatley Solutions
- Wheatley Care
- GHA
- DC
- DGHP
- WLHP
- Cube
- Loretto Housing
- Lowther
- Wheatley Foundation

Follow-Up (section 8)

- Wheatley Solutions
- Wheatley Care
- GHA
- DC
- DGHP
- WLHP
- Cube
- Loretto Housing
- Lowther
- Wheatley Foundation

Internal Audit Plan 2021-22 (section 9)

- Wheatley Solutions
- Wheatley Care
- GHA
- DC
- DGHP
- WLHP
- Loretto Housing
- Lowther
- Wheatley Foundation

1. IA Plan 2020/21 Status

Control Objective Classification:

Each control objective is assigned a classification based on an assessment of the impact of individual findings within the report, as follows:

Red	Amber	Yellow	Green
<ul style="list-style-type: none">• Control objective not achieved.• Control weaknesses identified would have a significant and immediate impact on the risks to achievement of the organisation's objectives.	<ul style="list-style-type: none">• Control objective not achieved.• Control weaknesses identified would have a significant impact on the risks to achievement of the organisation's objectives.	<ul style="list-style-type: none">• Control objective achieved.• Control weaknesses identified would have some impact on the risks to the achievement of the organisation's objectives.	<ul style="list-style-type: none">• Control objective achieved.• Any control weaknesses identified would have limited impact on the risks to the achievement of the organisation's objectives.

2. Allocations

Report Conclusion

The Group suspended allocations across its housing stock from the end of March 2020 in line with the Scottish Government's COVID-19 response. Management put temporary processes in place to manage customer expectations and ensure that staff could work safely once letting activity could resume. We reviewed the Allocations process developed during the COVID-19 lockdown and assessed plans for development of a post-COVID process for the new operating model. This included consideration of variations to Allocations processes followed across the MyHousing, EdIndex and Orchard systems.

We tested a sample of 25 allocations across all three systems and found that interim processes were applied correctly. We also reviewed all complaints received in the year to date and found no trends or cases that indicate any issues with the processes followed or information provided to customers.

There are ongoing reviews into aspects of the allocations systems, such as the use of digital signatures for tenancy agreements, and the outcome of these will impact on the way in which lessons learned during lockdown can be applied in a post-COVID process.

This report includes agreed management actions to progress the outcomes of this ongoing activity and consider how staff working across all three Allocation systems can share learning and opportunities for improvement.

Control Objective Classification



The Group's agreed COVID-19 response for allocations activity has been reviewed and amended as required during the pandemic period, in line with Scottish Government guidance.



Customer expectations have been managed throughout the lockdown period, with support provided to existing and new housing applicants as required.



The registration, selection and offer processes currently in use enable staff to work remotely, and in a COVID safe way.



Properties used for temporary accommodation during the pandemic will be returned or 'flipped' in a managed way which minimises void periods and supports the achievement of the Group's agreed COVID-19 response.



Lessons learned during lockdown will inform the development of a post-COVID allocations process for the new operating model.

2. Allocations

Areas of Good Practice

- ✓ The Group's Void and Allocation Recovery Plan has evolved in response to changing Scottish Government COVID guidance and priorities. The Executive Team received weekly updates and presentations on the Group's allocations response throughout lockdown.
- ✓ Specific guidance on managing our homes during COVID was created for Housing Officers. This includes Health and Safety procedures for conducting viewings and sign-ups safely.
- ✓ Voids and Allocations Forum has been established to track voids, review void performance and identify and reduce blockages across West RSLs. Forum leads attend the Allocations Community of Excellence (COE) where opportunities for improvement can be shared.
- ✓ COE Bulletins are published on WeConnect to keep staff informed of the work of the COE and ongoing activity.
- ✓ RSL websites contain clear information for customers on how to access housing or get support. Letters were sent to customers who had live offers or notes of interest in place at the time letting activity had to stop due to lockdown to reassure them that these would still be valid post-lockdown.
- ✓ MyHousing and Orchard Housing Management systems retain the details of each selection and offer, providing an online record and audit trail of which applicants were eligible at the time of selection and the rationale for each offer made.
- ✓ Opportunity to develop a matching process for section 5 applications has been trialled with Glasgow City Council. The results of a Vanguard review are still to be agreed and shared with the Executive Team, but it is expected that the proposed approach would reduce staff time spent reviewing referrals, reduce the likelihood of section 5 applications held in MyHousing becoming outdated and increase the likelihood of successful tenancies.
- ✓ Flat-flipping approach is being used where customers have settled well into a temporary property and community and would benefit from remaining in that home permanently.

2. Allocations

Opportunities to Improve - (Management had identified these areas prior to our review. They reflect work which is in progress and planned next steps.)

- Once approved, the Allocations Recovery Plan should form the basis of an action plan of approved changes to the Allocation systems, policies and procedures in place across the Group. The Allocations COE should manage the plan and ensure it reflects the outcomes of the Group Allocation systems review and Vanguard review.
- Management should review the EdIndex process and to identify any short-term solutions which could make the process more efficient while staff continue to work remotely. For example, the Sharepoint 'version history' function could remove the need for different versions of the same letting pack document to be retained.
- An Allocations Engagement Plan should be developed to set out what key messages the Group will communicate with customers, how and when. Management should also use the plan to identify key communications to staff to ensure they have the knowledge to manage customer queries and concerns about post-COVID allocations activity in a consistent and informed way.
- Service Innovation & Improvement Teams should resume compliance checks on samples of Allocations to confirm that selections and offers are being completed in line with policy. The new Voids and Allocations Forum will provide an opportunity to share learning from these checks with RSLs in the West. The Allocations COE should consider how staff in the East RSLs and DGHP can also work with this Forum to increase sharing of good practice at an operational level.
- Following the Executive Team's decision on the use of digital signatures on tenancy agreements, the Allocations COE should lead the development of revised procedures and guidance to support either the adoption of digital signatures, or a revised process for handling and storing tenancy agreement documents following sign-up.

3. Business Continuity Planning



Report Conclusion

The COVID-19 pandemic has demonstrated the importance of having a robust Business Continuity Management System (BCMS) in place. While the Group has a documented framework for business continuity in place, the Group's response to COVID-19 has deviated from the planned response in order to successfully manage a challenging situation.

Management was aware from the outset of this review that the Group's BCMS requires update (particularly to reflect the new operating model) and so this review assessed the existing documentation against the good practice outlined in ISO 22301:2019 and any lessons learned during 2020/21.

We have identified some areas of good practice to be continued and have highlighted opportunities for improvement, including the opportunity to revise the BCMS structure in light of the new operating model.

Control Objective Classification

Lessons learned and examples of good practice from local COVID-19 responses are being used to review and update the Group's BCP approach and individual BCPs.

BCP business owners review the content of their plans at least annually and as operational changes are implemented including responses to Scottish Government guidance.

Group BCP's include identification of key office bases, IT systems and any supply chain threats to the delivery of key services, including vendor solvency and implementation of supplier BCPs.

There is a list of prioritised BCPs that reflects the order in which services and IT systems would be restored if all became unavailable at the same time.

3. Business Continuity Planning

Areas of Good Practice

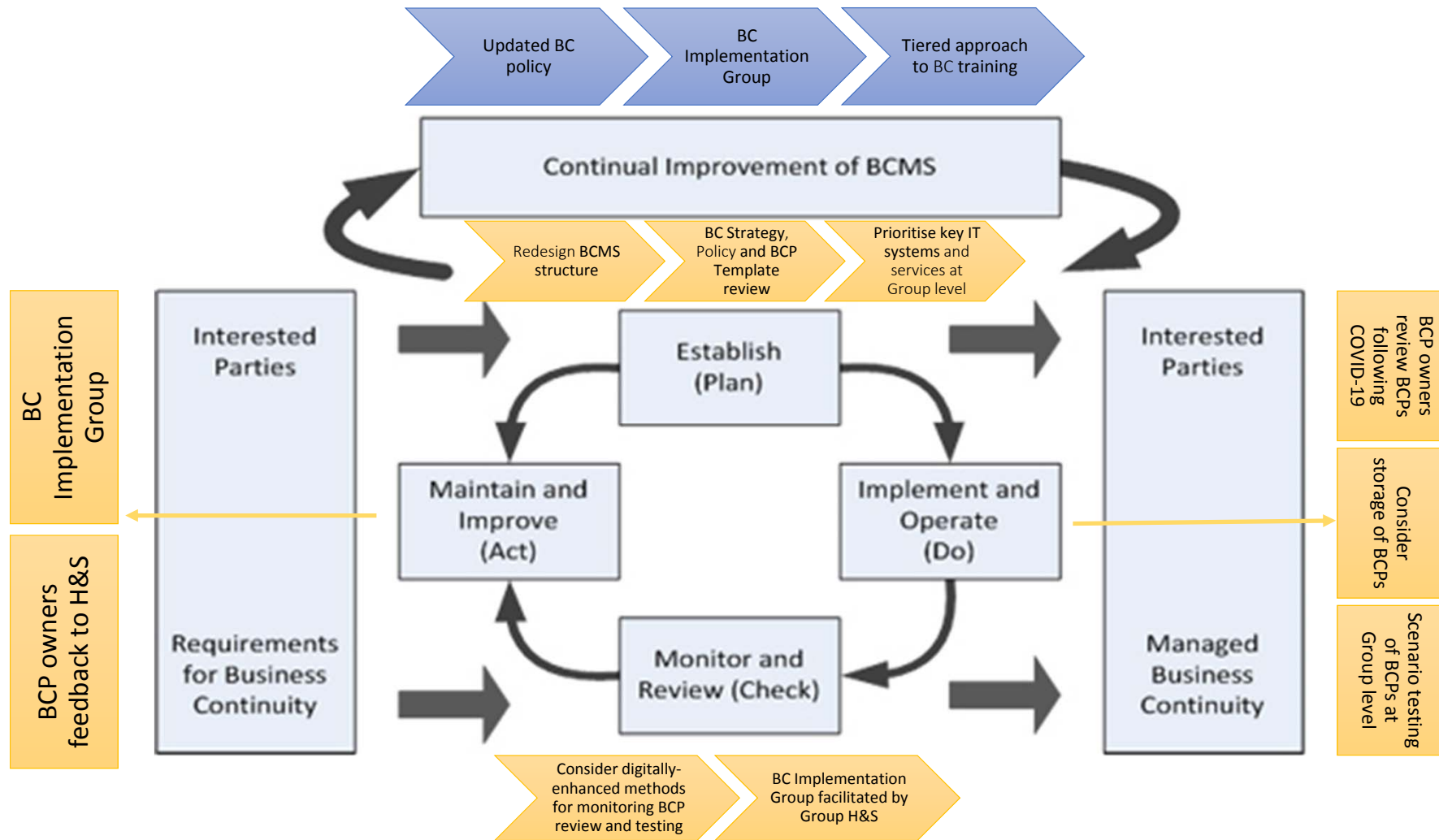
- ✓ At the start of lockdown, an Essential Services presentation to the Wheatley Group Board and Subsidiary Boards clearly set out who was in the initial response team, their responsibilities and the approach being taken.
- ✓ In response to COVID-19, Business Continuity (BC) was successfully directed and implemented by the Group Chief Executive and Executive Team through daily calls in the initial phase which allowed a consistent response to be implemented and consistent messaging to be relayed across Group.
- ✓ The uncertain return to full service delivery caused by COVID-19 was managed through regular business updates and remobilisation plans reported to Boards to allow scrutiny over business decisions. These accounted for a variety of possible scenarios depending on easing/tightening of restrictions (e.g. the impact of 10%/20%/30% loss of staff).
- ✓ The Group aligned its BC response to relevant legal/regulatory requirements (e.g. the Coronavirus (Scotland) Bill).
- ✓ Business Continuity is a risk on the Group's Strategic Risk Register which is regularly reviewed by senior management, Group Audit Committee and Boards.
- ✓ The Group Health and Safety Manager attends a Disaster Response Team meeting with representatives from the emergency services, Scottish Government and Local Authorities, which provides good practice examples that can be introduced to the Group BCMS.

3. Business Continuity Planning

Opportunities to Improve – including to reflect the new operating model

- Group Health and Safety should develop a proposed new BCMS, agreed by ET, which reflects the Group's new operating model. This should be documented to show which teams are responsible for different aspects of the BCMS and which teams should prepare BCPs.
- Group Health and Safety should establish a BC Implementation Group to oversee monitoring and review of BCPs, share lessons learned and good practice and to discuss and action improvements to the BCMS.
- The BC Implementation Group should review the BCMS (including BC strategy, BC policy and BCP templates) in line with the summarised improvement areas noted below and the redesigned Group BC structure.
- Group Health and Safety should review the BCP template and consider including assessment of the impact particular events might have on services over different time periods (e.g. a few hours, a day, a week) and the different levels of support that might be required from teams such as IT and Facilities Management in each case.
- The BC Implementation Group should develop and monitor a prioritised list of IT systems/networks across Group which considers the needs of business users and the order in which resources are made available during a BC event.
- Group Health and Safety/ the BC Implementation Group should consider digitally-enhanced methods (e.g. Teams/SharePoint/a BC apps) for storing BCPs and monitoring BCP review/exercise completion.
- Group Health and Safety/ the BC Implementation Group should review BC training, giving consideration to a tiered system of BC training across Group, depending on the individual's level of involvement and responsibility for BC. This would include review of the Group's current BCP e-learning module, which is available on MyAcademy.

3. Business Continuity Planning



4. DGHP Transformation Programme

Report Conclusion

This report reviewed the revised DGHP Transformation Programme, 'Time to Excel', to assess the processes in place to manage delivery of a large-scale change programme.

We found that the Programme is well-managed, has allowed for the impact of COVID-19 on the delivery of the individual projects and has made significant progress towards the full integration of DGHP into the Group. There has been strong communication with stakeholders and staff from both DGHP and Wheatley Solutions have commented positively on the joint working arrangements for the programme.

We noted some minor opportunities for continuous improvement that would facilitate delivery of the remainder of the programme.

Control Objective Classification



The transformation programme has been updated as the challenges of COVID-19 are managed.



Key stakeholders are informed of implementation progress and any changes due to COVID-19.



The Transformation Programme Group meets regularly to review plan progress and identify any emerging risks or issues to be escalated to the Executive Team and Boards as appropriate.



A process is in place to review and evaluate individual projects within the programme as they are completed to determine the extent to which success criteria have been delivered.

4. DGHP Transformation Programme

Areas of Good Practice

- ✓ The Transformation Programme Board meets every two weeks to review and assess progress of the outstanding projects within each of five workstreams. This includes review of workstream exception reports and status of previous meeting actions, which are formally documented.
- ✓ Detailed progress reports on the Transformation Programme status, including where the impact of COVID –19 has caused slippage to the original programme target dates, have regularly been provided to the Group's Executive Team (ET), the Group and DGHP Boards.
- ✓ Requests for amendments to timelines and changes to the Transformation Programme have been approved by ET and the Group Board, in line with the Group's Authorisation Framework.
- ✓ A detailed Communications and Engagement Plan has been developed and implemented by the Group and DGHP Communications teams to support delivery of the Transformation Programme.
- ✓ Members of the Transformation Programme Board have held regular internal and external stakeholder updates, including to the wider Dumfries and Galloway community, using different mediums such as, Zoom meetings, YouTube videos for staff, staff presentations, local press releases and customer newsletters.
- ✓ An independent evaluation is being commissioned by the Group to assess delivery of DGHP and Group Promises, which the programme was set up to deliver.

4. DGHP Transformation Programme

Opportunities to Improve: Continuous improvement actions

1. Recording of Meeting Actions - A master action log will be created to improve the Transformation Programme Board's ability to track open and ongoing actions.

2. Recording of Changes to the Transformation Programme - A change log will be created to record all future changes to the Transformation Programme, which will provide additional assurance over the completeness of amendments and provide clarity over any programme slippage.

3. Strategic Partnership Register - A Transformation Programme Strategic Partnership Register will be developed to ensure knowledge from partnership relationships is not lost due to staffing changes or remits.

4. Lesson Learned - A lesson learned /success log will be added to the key documents file of the Transformation Programme to record opportunities for future improvements to the management of projects and the overall Programme.

Members of the Transformation Programme Board will participate in a lessons learned session to assess delivery of the programme to date, with the outcomes from the session recorded in the lesson learned /success log.

5. Base-lining performance to allow measurement of project benefits - A review of "DGHP Promises" will be completed, to establish, where appropriate, agreed measures that will demonstrate delivery and achievement of benefits.

5. Digital Strategy Interim report



Work Performed: This interim review examined the status of the technology planning underway to support the delivery of the technology elements within the Wheatley Group Strategy 2021-26, the Wheatley Solutions Strategy 2021-2026, and the February 2021 Wheatley Solutions Board paper “Approach to developing our technology plan”.

Findings:

- There are linkages between the overall approved Group Strategy and the agreed Delivery Plan. This includes the key digital areas included within the Group’s Strategy.
- Managing Directors and Directors have taken ownership for delivery of the digital projects being implemented across the Group to reflect the ambition to have digital leaders throughout the organisation.
- Seven key focus areas have been identified to meet Wheatley’s Strategic Digital Outcomes. High level road maps have been created for each focus area outlining the activities planned over the next five years. Ongoing improvement and enhancement of projects has also been built into the road map.
- The Director of IT has taken on the role of the digital lead.
- The Digital Team has been created, which sits under the Director of IT & Digital Services’ remit. The Digital Team has three goals:
 1. Improve digital maturity across the 7 model competencies,
 2. Improve project delivery, and
 3. Promote digital adoption and digital ways of working. Work is ongoing to bring the appropriate skills and resources into the Digital Team.

Next Steps:

- Detailed planning will be reviewed through completion of Year 1 project scoping documents to detail dependencies, resources required, and key stakeholders.
- Consideration will be given to the programme governance structure to support delivery of the plans.
- A communications plan will be created by the Digital Team to ensure engagement for wider groups of staff during the programme delivery stages.

Further Action: *The IA team will work with Azets to bring an updated position to the Group Audit Committee in August 2021.*

6. Wheatley Care Quality Assurance Self-assessment



Work Performed: As part of Wheatley Care's project to update its quality assessment processes, Service Managers were asked to complete a pilot self-assessment based on Question 7 (Q7) of the Care Inspectorate's Quality Assurance Framework. Q7 was selected for the pilot because it relates to arrangements for the management of services during the COVID-19 pandemic. The pilot checklist was circulated to all services for completion, with managers initially asked to provide a "yes / no" response along with evidence to support the selected response. The Internal Audit team reviewed a sample of six Service responses to determine whether the process design provided assurance that there was sufficient evidence available to support each service's self-assessment.

Findings: Our initial assessment found that more evidence is required to support the services' self-assessments and we identified areas in which the process design could be improved to simplify the assessment process and to promote capture of the required evidence. For example, the Q7 checklist contains 60 statements against which service managers are asked to rate performance and provide evidence. This represents a significant administrative burden, especially when replicated across Questions 1 – 5 (Question 6 requires development of an action plan). In designing the process, further consideration should be given to balancing the level of assurance provided against the time taken to complete each exercise.

We also requested further evidence from each of the Services and completed virtual tours of each service to determine whether the evidence gaps in the self-assessments were due to lack of information or if processes were not followed. We found that, while additional evidence was provided, this did not fully evidence the statements in all cases. The volume of the evidence provided and the fact it was still insufficient to fully evidence the pilot checklist reinforced our conclusion that the design of the pilot process would be overly onerous and that there are more efficient ways of presenting the information.

Next Steps: *We have discussed options for improving the process design and will continue to work with Care management to implement the new process during 2021/22.*

7. Data Analytics- Payroll Review

Summary of work performed

There are no exceptions to highlight to the Group Audit Committee. The Internal Audit team has developed a planned approach to payroll testing that identifies those controls to be tested through development of continuous auditing and those where a periodic testing approach remains more appropriate. We have confirmed the operation of the controls through a walkthrough test and have started development of the continuous audit testing scripts.

Using the data available for 2020/21 we have used IDEA to confirm:

1. There are ***no duplicate employee numbers being used*** (across all payrolls)
2. We identified ***21 duplicate bank account numbers in use during the year*** (across all payrolls). These were matched to the staff establishment list and most are clearly joint accounts, with the remainder relating to a change in role or employment status.
3. Our testing confirmed that ***none of the duplicate bank accounts belong to Payroll staff*** .
4. There were 16 employees who received no Gross Pay in year. These are all Wheatley Care staff and we have confirmed with the payroll team that this is due to the nature of the contracts in place for these staff members.

7. Data Analytics- Payroll Review

Next Steps

- The payroll team will prepare reports so the IA team can test the IDEA approach and confirm all planned testing works as expected. This will include ongoing comparison of payroll data from Access (new name for Selima) to HR spreadsheet of:
 - New starts
 - Leavers
 - Salary changes
 - Changes to bank details.
- The payroll and IA teams will agree a schedule of reports to be provided at agreed points during the year.
- Following the introduction of the planned self-service approach for expenses and overtime, the IA team will complete walkthrough testing and update the IDEA testing approach (if required).
- The results of the continuous audit testing will be reported to each meeting of the Group Audit Committee during 2021/22.

8. Follow up

Follow Up Approach 2020/21

Internal Audit completes follow up activity to verify that management have implemented actions as agreed in our internal audit reports. Follow up activity is usually completed on an on-going basis, with quarterly updates reported to the Executive Team and Group Audit Committee. Our verification approach includes the following key steps:



In March 2020 in response to COVID-19, the Group implemented a reduced service delivery model. To support this and enable management to focus on the remobilisation of services, the Group Audit Committee approved a decision to pause routine follow up activity during 2020/21. In order to resume follow up activity for 2021/22, we have completed an annual assessment of the status of all open actions. These comprise Wheatley Group actions brought forward from 2019/20, DGHP actions brought forward from 2019/20, and actions reported during 2020/21. Our assessment has included review of each action to determine whether:

- a) The action has been completed during 2020/21; or
- b) The action is no longer relevant or has been superseded by revised plans for the Group's new operating model.
- c) For those actions that remain open and relevant, we have discussed the current status with management and identified revised timescales for completion of the original actions.

This report summarises the results of our assessment and the status of those actions carried forward to 2021/22.

8. Follow up

Group-wide action status at 31 March 2021

Overall there has been good progress in implementing actions during 2020/21, with 77 of the 123 actions followed up being confirmed by Internal Audit as complete. A further 23 have been closed as no longer relevant, due to changes arising from the Group's new Strategy or the Group's new operating model, leaving a total of 23 open actions.

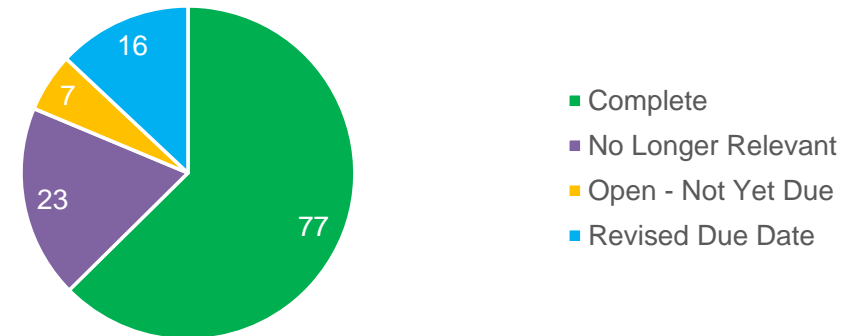
Sixteen of the open actions have been allocated revised due dates because of delays caused by resource availability and competing priorities during the COVID-19 lockdown meant actions were not completed in line with original timescales. These 16 actions are detailed in the following reports, and details of the current status of each action are set out in the rest of this report:

- External Stakeholder Engagement
- Assurance Statement
- Project Management
- Risk Management
- Talent Management
- Universal Credit Management
- Fire Safety
- WFH Readiness Health Check
- Cyber Security Health Check
- Wheatley Foundation Emergency Response Fund Expenditure

Status	Actions
Actions brought forward from 29 Feb 2020	22
Quarter 4 2019/20 actions added	16
Legacy DGHP actions added	52
New actions agreed during 2020/21	33
Total Actions followed up	123

The chart below summarises our assessment of the status of the 123 actions carried forward to 2021/22.

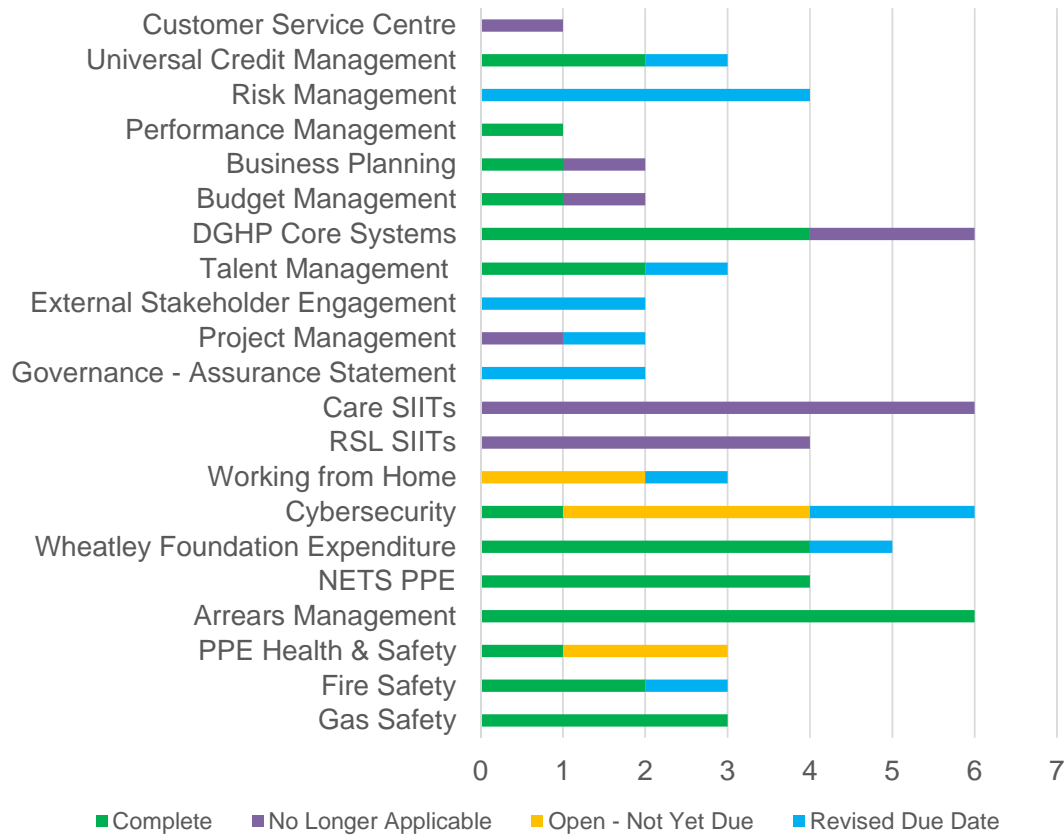
Status of Actions at 31 March 2021



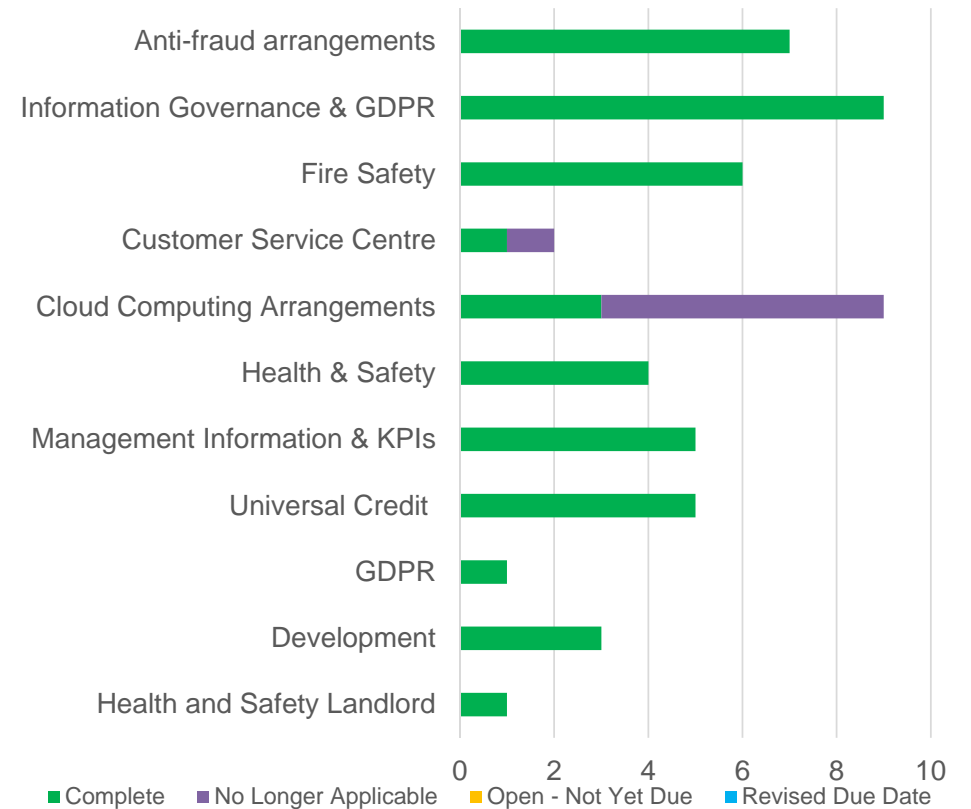
8. Follow up



Wheatley Group actions status



Legacy DGHP action status



9. IA Annual Plan 2021-22

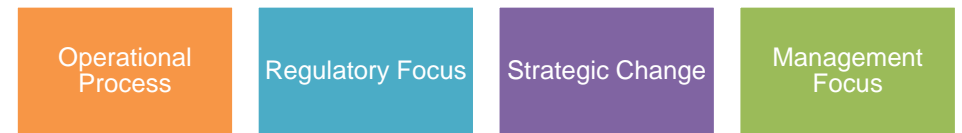
Identification of internal audit areas of focus

As previously agreed by the Group Internal Audit Committee, the Internal Audit team has re-introduced some aspects of annual planning for 2021-22, in order to provide assurance on the completeness of systems and processes considered when identifying reviews for the rolling 3-month plan.

This has resulted in identification of areas of audit focus over the next 12-month period (see next slide), from which reviews for the next 3 months have been prioritised, based on consideration of the following matters:



The areas of audit focus we have identified have been allocated to one the following four categories.



Assurance to Group and Subsidiary Boards

The Internal Audit team will also consider the extent to which the identified areas of focus for 2021-22 apply to Group and Subsidiary Boards, to confirm that an appropriate range of assurance is provided. This includes the following:

RSLs	Care	Commercial	Support
<ul style="list-style-type: none"> •GHA •DGHP •DC •Loretto Housing •WLHP •Cube (part year) 	<ul style="list-style-type: none"> •Wheatley Care 	<ul style="list-style-type: none"> •Lowther •City Building Glasgow (Joint Venture) 	<ul style="list-style-type: none"> •Wheatley Solutions •Wheatley Foundation •WGC •WLF1 •WLF2

9. Internal Audit Areas of Focus for 2021/22

The following details the identified areas of audit focus over the next 12 months to be monitored during 2021-22. This list (along with any new risk areas) will be used to identify reviews to be prioritised each quarter, for approval by Group Audit Committee. The areas of focus will also be reviewed quarterly. The areas highlighted in bold italics are proposed for the next three months.

Operational Process

- ***Accounts payable: Purchase Cards, Faster Payments***
- ***Payroll and expenses***
- ***Furlough scheme***
- Accounts payable: IPOS
- Complaints management
- Voids management
- Treasury & Cash management, including covenant reporting
- Lowther: Letting process
- Procurement: Use of Supplier Frameworks
- Home working follow up
- Care Appointee Accounts

Regulatory Focus

- ***SHR Annual Assurance Statement***
- ***Environmental, Social and Governance (ESG) reporting arrangements***
- ***Equalities & Human Rights reporting***
- Lowther: Factoring Code of Conduct process
- Implementation of Group Homelessness Framework
- Fire Risk Assessments
- Care quality assurance framework

Strategic Change

- ***Digital Strategy and Technology Roadmap follow up***
- CSC operating model
- Digital Maturity Assessment refresh
- New Build Programme- locality planning, development pipeline, portfolio additions
- Customer Engagement model
- DGHP Transformation Programme
- Repairs Transformation Project
- Capital Investment Programme

Management Focus

- Delivery of promises to Cube tenants
- Power BI reporting
- Group-wide review of repairs provision by geographic area
- MyAcademy
- New build programme – securitisation process
- Employee Performance Management system (MyContribution)
- User device / asset management
- Repairs end-to-end customer journey (with GCC to review CBG arrangements)




9. IA Plan Key Performance Indicators 2021/22

In line with previous years, the Internal Audit team will monitor and report on performance against agreed targets throughout 2021/22. The proposed targets are set out below, for approval by Group Audit Committee. These targets have been revised to provide a wider assessment of team performance.

<p>Customer Satisfaction: consultation and engagement</p> <ul style="list-style-type: none"> • <i>Target Average score: 8 out of 10</i> 	<p>Customer Satisfaction: delivery of review</p> <ul style="list-style-type: none"> • <i>Target Average score: 8 out of 10</i> 	<p>Customer Satisfaction: Added value of actions</p> <ul style="list-style-type: none"> • <i>Target Average score: 8 out of 10</i>
<p>Team utilisation on IA delivery (based on 200 days)</p> <ul style="list-style-type: none"> • <i>Target: 100% utilisation</i> 	<p>Team operates in accordance with IIA Standards</p> <ul style="list-style-type: none"> • <i>Target: "Generally Conforms" rating</i> 	<p>Team members meet CPD/ training requirements</p> <ul style="list-style-type: none"> • <i>Target: 100% of team</i>
<p>Annual workplan: completed to agreed timescale and budget</p> <ul style="list-style-type: none"> • <i>Target: 100% of audits</i> 		<p>Annual Report available for signing of Annual Accounts</p> <ul style="list-style-type: none"> • <i>Target: August Group Audit Committee</i>

The three customer satisfaction measures will be based on feedback forms completed by auditees following each review.

Performance against target will be allocated a Red, Amber or Green rating, as follows:

-  More than 15% away from target
-  Within 15% of target
-  Target met / on track for year





Report

To: Dunedin Canmore Housing Board

By: Pauline Turnock, Director of Financial and Legal Services

Approved by: Steven Henderson, Group Director of Finance

Subject: Finance report

Date of Meeting: 19 August 2021

1. Purpose

1.1 The purpose of this report is to provide the Board with:

- An overview of the management accounts for the period to 30 June 2021 including the latest forecast for 2021/22; and
- To provide an update on the SHAPS pension valuation at 30 September 2020.

2. Authorising and strategic context

2.1 Under the terms of the Intra-Group Agreement between Dunedin Canmore and the Wheatley Group, as well as the Group Authorising Monitor Matrix, the Board is responsible for the on-going monitoring of performance against agreed targets, including the on-going performance of its finances.

2.2 This report provides the Board with an update of performance to date to allow it to discharge its role in monitoring performance and agreeing any actions required.

3. Risk appetite and assessment

3.1 Our agreed risk appetite in Performance against Group is "Open". This level of risk tolerance is defined as "Prepared to invest for reward and minimise the possibility of financial loss by managing the risks to a tolerable level".

4. Customer engagement

4.1 No implications.

5. Discussion

- 5.1 This report outlines performance against budget for the period to 30 June 2021 with the appendix providing more detail on the financial results and provides an update on the SHAPS pension scheme.

Period to 30 June 2021

- 5.2 We have reported a statutory surplus of £186k for the period to 30 June 2021, which is £617k adverse to budget.
- 5.3 The key driver of the variance is in new build grant with no amounts yet recognised in the year against a budget of £721k. Units at South Gilmerton were expected to be completed in May, now delayed until later in the year.
- 5.4 Net rental income is broadly in line with budget. Gross rent is £2k adverse to budget, with void losses in line with budget. Other Income is £3k favourable to budget.
- 5.5 Total expenditure is £11k adverse to budget. Revenue repairs and maintenance costs are £101k adverse to budget driven by higher levels of reactive repairs as a result of higher demand and the carry forward of works postponed in Q4 2020/21 after Covid-19 restrictions have been eased.
- 5.6 Running costs are showing favourable variances to budget as staff continue to work from home which offsets the adverse repairs and maintenance variance.
- 5.7 Interest expenditure of £1,728k is £116K favourable to budget with the variance to budget driven by lower interest rates applied on our borrowings following the restructure of fixed rate loans.
- 5.8 We have reported net capital expenditure of £3,439k for the period to 30 June 2021, which is £475k lower than budget. Key points to note are:
- 5.9 New build spend of £3,302k is £1,431k lower than budget mainly as a result of the lower spend in South Gilmerton year to date. Grant income of £1,175k is £1,294k below budget mirroring the lower than expected spend in the year to date.
- 5.10 Core investment expenditure on existing properties is £274k lower than budget as the service moves toward full remobilisation and it is expected that spend will accelerate in the coming months.

Q1 2021/22 full year forecast

- 5.11 The Q1 forecast full year out-turn for 2021/22 reflects the results in the year to date as well as expected expenditure for the remaining 9 periods of the year. The forecast operating surplus of £12,407k is £129k higher than budget and the forecast statutory surplus of £5,520k is £517k favourable to budget.
- 5.12 Income is expected to be in line with budget and operating expenditure is expected to be £129k favourable to budget driven by lower than budgeted direct running costs and group recharges.

- 5.13 Interest costs are forecast to be £388k favourable to budget driven by lower than budgeted interest costs reflecting our expectation of full year savings following the loan restructure in March 2021.
- 5.14 Forecast net capital expenditure of £17,316k is £2,103k higher than budget. New build expenditure has been reprofile based on the most recent view of site progress and start dates and is forecast to be £3,681k below budget with grant income forecast to be £5,784k below budget with spend at Penicuik, MacMerry and Rowanbank delayed, with MacMerry taking longer to reach a stage for approval and Rowanbank now a golden brick site with spend moving into 22/23. Core programme and other capital expenditure are forecast to be in line with budget.

SHAPS pensions update

5.15 [redacted]

5.16 [redacted].

5.17 [redacted]

5.18 [redacted]

5.19 [redacted]

7. Digital transformation alignment

7.1 No implications.

8. Financial and value for money implications

8.1 The results for the period to 30 June report a statutory surplus of £186k which is £617k unfavourable to budget.

8.2 Underlying surplus after deducting major repairs and interest costs from EBITDA was £1,789k for the period to 30 June 2021 compared to budgeted underlying surplus of £1,410k, with the variance driven by lower levels of core programme expenditure and lower interest costs.

9. Legal, regulatory and charitable implications

9.1 No implications.

10. Equalities implications

10.1 Not applicable.

11. Environmental and sustainability implications

11.1 Not applicable.

12. Recommendations

12.1 The Board is requested to:

- 1) Note the management accounts for the year period to 30 June 2021 at Appendix 1; and
- 2) Note the SHAPS pension update.

List of Appendices

Appendix 1: Finance report - period to 30 June 2021



Period to 30 June 2021 Finance Report

1) Period 3 2021/22 YTD – Operating Statement

	Year to 30 June 2021			Full Year
	Actual £ks	Budget £ks	Variance £ks	Budget £ks
INCOME				
Rental Income	7,713	7,715	(2)	30,985
Void Losses	(94)	(94)	0	(376)
Net Rental Income	7,620	7,621	(2)	30,609
HAG Recognised in the Year	0	721	(721)	4,909
Other Income	715	712	3	3,158
TOTAL INCOME	8,335	9,055	(720)	38,676
EXPENDITURE				
Employee Costs - Direct	1,013	1,014	1	4,862
ER/VR	0	0	0	-
Employee Costs - Group Services	403	405	2	1,562
Direct Running Costs	908	941	34	3,210
Running Costs - Group Services	215	266	50	1,123
Revenue Repairs and Maintenance	1,083	982	(101)	4,438
Bad Debts	70	74	3	296
Depreciation	2,727	2,727	0	10,908
TOTAL EXPENDITURE	6,421	6,410	(11)	26,399
NET OPERATING SURPLUS / (DEFICIT)	1,914	2,645	(731)	12,278
<i>Net Operating Margin</i>	23%	29%	-6%	32%
Interest receivable	0	2	(1)	6
Interest payable	(1,728)	(1,844)	116	(7,280)
STATUTORY SURPLUS / (DEFICIT)	186	803	(617)	5,003

Key highlights year to date:

Net operating surplus of £1,914k is £731k adverse to budget. Statutory surplus for the period to 30 June is £186k, £617k adverse to budget.

- The main driver of the variance is in new build grant with no amounts yet recognised in the year against a budget of £721k. Units at South Gilmerton were expected to be completed in May, now delayed until later in the year.

- Net rental income is broadly in line with budget. Gross rent is £2k adverse to budget, with void losses in line with budget. Other Income is £3k favourable to budget.

- Total expenditure is £11k adverse to budget. Revenue repairs and maintenance costs are £101k adverse to budget driven by reactive repairs which are £110k adverse to budget as a result of high demand after covid restrictions have been eased. Cyclical repairs including compliance work are broadly in line with budget to June.

- Running costs are showing favourable variances to budget, due to savings generated in office running costs while staff remain working from home for both staff based at New Mart Road and Group services staff at Wheatley House.

- Interest expenditure of £1,728k is £116K favourable to budget with lower interest rates on borrowings following the fixed rate loan restructuring in March 2021.

	Year to 30 June 2021			Full Year
	Actual £ks	Budget £ks	Variance £ks	Budget £ks
INVESTMENT				
Total Capital Investment Income	1,175	2,468	(1,294)	14,315
Total Expenditure on Core Programme	1,124	1,397	274	6,944
New Build & Other Investment	3,302	4,733	1,431	21,576
Other Capital Expenditure	188	252	64	1,008
TOTAL CAPITAL EXPENDITURE	4,613	6,382	1,768	29,528
NET CAPITAL EXPENDITURE	3,439	3,913	475	15,213

- In Capital, grant income of £1,175k has been received in relation to claims for the Wisp 3C, Roslin and South Gilmerton.

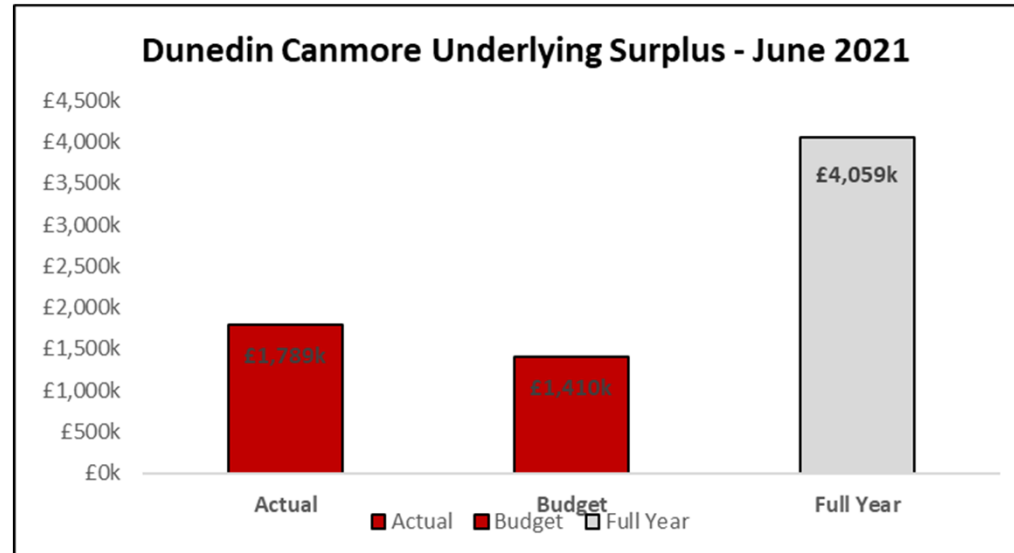
- Investment expenditure on existing properties is £274k lower than budget. This is largely as a result of the final stages of remobilisation. It is expected that spend will accelerate in the coming months.

- New build spend of £3,302k is £1,431k lower than budget mainly as a result of the lower spend at South Gilmerton year to date.

2) Underlying surplus – P3 June 2021

Key highlights:

- The Operating Statement (Income and Expenditure Account) on page 2 is prepared in accordance with the requirements of accounting standards (Financial Reporting Standard 102 and the social housing Statement of Recommended Practice 2014).
- However, the inclusion of grant income on new build developments creates volatility in the results and does not reflect the underlying cash surplus/deficit on our letting activity.
- The chart below therefore shows a measure of underlying surplus which adjusts our net operating surplus by excluding the accounting adjustments for the recognition of grant income and depreciation, including capital expenditure on our existing properties.
- In the first 3 months of the financial year, an underlying surplus of £1,789k has been generated using this measure which is £379k favourable to budget. The variance is driven by lower levels of core programme expenditure and lower interest costs. The full year budget reflects an underlying surplus of £4,059k.



3) Period 3 – Property Services Operating Statement



	Year to 30 June 2021			Full Year Budget £ks
	Actual £ks	Budget £ks	Variance £ks	
INCOME				
Internal Subsidiaries	2,983	3,059	(76)	13,873
External Customers	54	56	(2)	222
TOTAL INCOME	3,036	3,114	(78)	14,095
COST OF SALES				
Staff	852	944	92	3,777
Materials	541	637	97	3,271
Subcontractor & Other Costs	930	909	(21)	4,500
TOTAL COST OF SALES	2,324	2,491	167	11,547
GROSS PROFIT/(LOSS)	713	623	89	2,548
Margin %	0	0	3%	18%
Overheads	675	632	(43)	2,462
NET PROFIT/(LOSS)	38	(8)	46	86

Key highlights year to date:

- Dunedin Canmore Property Services provides in house repairs and maintenance services to Dunedin Canmore, West Lothian Housing Partnership and Lowther Homes. In the year to April 2021, DCPS is reporting a surplus of £38k, which is £46k favourable to budget.
- Income of £3,036k in the year is £78k adverse to budget. This is driven by marginally lower than budgeted demand from Dunedin Canmore.
- Correspondingly, cost of sales are reporting a £167k favourable variance to budget with some vacancies in the structure.
- Gross profit of £713k is £89k favourable to budget.
- Overhead expenditure includes vehicle rent and running costs, rates, insurance and other staff and office related costs. These are £43k adverse to budget for the year with the largest unfavourable variance relating to waste disposal costs.

4) Period 3 – Dunedin Canmore Harbour



Key highlights year to date:

	Year to 30 June 2021			Full Year
	Actual £ks	Budget £ks	Variance £ks	Budget £ks
INCOME				
Rental Income	209	209	0	837
Void Losses	(39)	(10)	(29)	(42)
Net Rental Income	170	199	(29)	795
Local Authority Contract Income	94	121	(27)	477
Other Income	2	1	1	13
TOTAL INCOME	267	321	(55)	1,286
EXPENDITURE				
Employee Costs	196	201	5	805
Direct running Costs	59	73	13	281
Revenue Repairs and Maintenance	7	9	2	37
Bad Debts and Depreciation	0	0	(0)	0
TOTAL EXPENDITURE	263	283	20	1,122
NET OPERATING SURPLUS / (DEFICIT)	4	38	(35)	163

- The service is reporting a surplus of £4k which is £35k adverse to budget.
- Net rental income of £170k is £29k adverse to budget in the year to date, due to void losses which are a result of fire mitigation works which require a whole floor at a time to be empty to allow the works to progress.
- Local authority income is £27k adverse to budget. This is due to ongoing discussion with City of Edinburgh Council regarding the revised contract.
- Employee costs of £196k are £5k favourable to budget. This is largely a result of the planned increase in staffing requirements to service the new contract with CEC not yet being required.
- Running costs of £59k include insurance, travel, safety equipment, printing, stationary and mobile costs. Costs are £13k favourable to budget in the year to date, again largely due to additional costs associated with the new contract not yet being incurred.
- Repairs and maintenance expenditure of £7k is £2k favourable to budget.

5) Management information – Repairs and investment

Key highlights year to date:

Repairs and maintenance	Year to 30 June 2021			Full Year
	Actual £ks	Budget £ks	Variance £ks	Budget £ks
Reactive	800	690	(110)	2,709
Cyclical	283	292	9	1,729
	1,083	982	(101)	4,438

Repairs and maintenance

- Reactive repairs spend in the year to 30 June is £800k against a budget of £690k, £110k adverse to budget, largely driven by high volumes of backlog repairs as the service remobilises.
- Cyclical repairs spend of £283k has been incurred in the YTD, £9k favourable to budget.

Investment	Year to 30 June 2021			Full Year
	Actual £ks	Budget £ks	Variance £ks	Budget £ks
Void	175	180	5	718
Major	761	1,050	289	5,557
Capitalised Staff	191	201	10	804
TOTAL	1,126	1,431	305	7,079

Investment

- Investment covers all areas of our properties and external environment.
- Major Repairs spend for the period to 30 June is £761k against a budget of £1,050k, a favourable variance of £289k. The variance reflects lower than budgeted spend against a number of work streams, as the service moves towards full remobilisation.
- Void costs of £175k have been incurred to the end of period 3 against a budget of £180k. This is £5k favourable to budget.
- Void costs, which include repairs and maintenance to extend the life of the properties, are capitalised in line with Group policy.

6) Management information – New Build Programme

Development Name	Year To Date (£'000)			FY Budget
	Actual	Budget	Variance	
CAMMO FIELDS	19	-	(19)	-
FOUNTAINBRIDGE	5	-	5	73
GREENDYKES	-	-	-	145
LANG LOAN	-	-	-	168
LONGNIDDRY	252	150	(102)	426
MACMERRY	-	-	0	2,366
NEWMILLS RD PH2	876	427	(448)	1,710
NURSERY EASTPH1	2	666	664	3,709
ROSLIN	950	600	(350)	2,400
ROWANBANK	0	250	250	2,500
SOUTH GILMERTON	325	1,648	1,323	2,032
WALLYFORD PH 2	3	-	3	2,205
WESTCRAIGS1	60	-	(60)	-
WESTCRAIGS2	46	-	(46)	-
WESTCRAIGS3	-	-	-	651
WISP 3C	684	900	216	2,828
Capitalised staff costs	91	91	(0)	363
Total Cost	3,302	4,733	1,431	21,576
Grant Income	1,175	2,468	(1,294)	14,315
Net New Build Costs	2,127	2,264	137	7,261

Key highlights year to date:

Capital Investment Income

- New Build Grant income reported within the capital budget represents the cash received in the year to date. It is only recognised in the Income and Expenditure (“I&E”) account upon completion of the properties.
- Grant income of £1,175k has been claimed and received in relation to the Wisp 3C, Roslin and South Gilmerton.
- In the year to 30 June, no new build grant has been recognised in the income against a budget of £721k. This variance relates to units at South Gilmerton which were budgeted to be completed in May which are now expected to be completed later in the year.

New Build

- Expenditure of £3,302k is £1,431k lower than budget with several sites reporting lower than budget expenditure, primarily South Gilmerton and Nursery East (Penicuik) . The variance at Nursery East is driven by slower than expected progress on site. It is now expected that spend will be £2m lower in 2021/22 than originally budgeted.

7) Balance sheet

	30 June 2021 £'000	31 March 2021 £'000
Fixed Assets		
Social Housing Properties	354,222	352,523
Other Fixed Assets	6,247	6,059
Investment Properties	<u>31,855</u>	<u>31,855</u>
	392,323	390,437
Current Assets		
Stock	523	505
Trade & Other Debtors	4,967	10,500
Cash & Cash Equivalents	<u>6,391</u>	<u>2,984</u>
	11,881	13,989
Creditors: within 1 year		
Trade Creditors	(309)	(804)
Accruals & Deferred Income	(19,027)	(20,491)
Prepayments of Rent and Service Charge	(1,388)	(1,341)
Other Creditors	(658)	(590)
Amounts due to Group Undertakings	<u>(8,399)</u>	<u>(7,100)</u>
	(29,782)	(30,326)
Net Current Liability	<u>(17,901)</u>	<u>(16,337)</u>
Long Term Creditors		
Loans	(33,768)	(33,632)
Amounts due to Group Undertakings	(126,831)	(126,831)
Pension Liability	(3,184)	(3,184)
Net Assets	<u>210,639</u>	<u>210,453</u>
Capital and Reserves		
Share Capital	-	-
Revenue Reserve	210,639	210,453
Association's funds	<u>210,639</u>	<u>210,453</u>
Classified as Public		

Key highlights year to date:

- The balance sheet reported reflects the 31 March 2021 year end statutory accounts position after completion of the audit. Year end adjustments applied include the revaluation of housing properties and actuarial valuation of the defined benefit pension scheme.
- The value of our **fixed assets** reflects additions in the year less depreciation.
- **Trade & other debtors** of £5.0m include prepayments and accrued income of £0.5m, an intercompany balance of £1.5m and net rent arrears of £0.3m (after bad debt provision) which has increased slightly from £0.2m at the end of 2020/21.
- **Cash at Bank** – At 30 June Dunedin Canmore had £6.4m in the bank and has access to draw down further funding from WFL1 as and when required.
- **Short-Term Creditors** – Amounts due within one year of £29.8m includes £8.4m due to other Wheatley entities and £19.0m in accruals and deferred income. The remaining balance includes rent received in advance from our tenants, trade and other creditors (factoring deposits and payroll creditors).
- **Loans** of £160.6m relate to funding drawn down from WFL1, and external funding of £33.8m due to THFC and Allia (inclusive of rolled up interest charges).

8) Quarter 1 Forecast to 31 March 2022

	2020/21 Budget £ks	Q3 Forecast £ks	Variance £ks
INCOME			
Rental Income	30,985	30,985	-
Void Losses	(376)	(376)	-
Net Rental Income	30,609	30,609	-
HAG Recognised in the Year	4,909	4,909	-
Other Income	3,158	3,158	-
TOTAL INCOME	38,676	38,676	0
EXPENDITURE			
Employee Costs - Direct	4,862	4,862	-
ER/VR	0	0	-
Employee Costs - Group Services	1,562	1,562	-
Direct Running Costs	3,210	3,146	64
Running Costs - Group Services	1,123	1,058	65
Revenue Repairs and Maintenance	4,438	4,438	-
Bad Debts	296	296	-
Depreciation	10,908	10,908	-
TOTAL EXPENDITURE	26,399	26,270	129
NET OPERATING SURPLUS / (DEFICIT)	12,278	12,407	129
<i>Net Operating Margin</i>	32%	32%	0%
Interest receivable	6	6	-
Interest payable	(7,280)	(6,892)	388
STATUTORY SURPLUS / (DEFICIT)	5,003	5,520	517

	2020/21 Budget £ks	Q3 Forecast £ks	Variance £ks
INVESTMENT			
Total Capital Investment Income	14,315	8,531	(5,784)
Total Expenditure on Core Programme	6,944	6,944	-
New Build & Other Investment	21,576	17,895	3,681
Other Capital Expenditure	1,008	1,008	-
TOTAL CAPITAL EXPENDITURE	29,528	25,847	3,681
NET CAPITAL EXPENDITURE	15,213	17,316	(2,103)

Comments

- This table shows the 2021/22 budget presented to the Board compared to the Q1 forecast for 2021/22. The forecast reflects the results in the year to date as well as expected expenditure for the remaining 9 periods of the year.
- The forecast statutory surplus of £5,520k is £517k favourable to budget, driven by lower than budgeted interest costs due to savings as a result of the restructure of fixed rate loan arrangements in March 2021.
- The forecast operating surplus of £12,407k is £129k higher than budget driven by lower than budgeted direct running costs and group running cost recharges, driven by savings forecast as staff continue to work from home model in both direct and group services running costs.
- Repairs and maintenance spend is expected to finish the year in line with budget which included an additional £100k repairs provision to help towards the costs of postponed works.
- Bad debt costs have prudently been forecast to also be in line with budget for the full year.
- New build expenditure and grant income as well as core investment programme expenditure have been updated to reflect the revised spend profile.
- New build expenditure is forecast to be £3.7m under budget. The key sites where there is expected to be lower than budgeted spend are Penicuik (£2.0m below budget) where progress is slower than expected, Rowanbank (£2.5m below budget) which is a golden brick site and the golden brick is now expected to be hit at the start of 2022/23 rather than the end of 2021/22 and MacMerry (£2.4m below budget) which is awaiting board approval and has taken longer than originally expected to get to this stage. These underspends are offset by a number of sites where spend is expected to be higher than budget mainly Westcraigs (£1.9m above budget) and Roslin (£1.2m above budget).
- Grant income is expected to be £5.8m below the original budget reflecting the lower than expected spend detailed above with the biggest variances at Rowanbank (£2.4m below budget) MacMerry (£2.4m below budget) and Penicuik (£2.0m below budget). The variance is offset by higher than expected grant income at a number of sites, mainly Roslin where the grant claimed is expected to be £1.0m higher than budget.

Report

To: Dunedin Canmore Housing Board

By: Hazel Young, Managing Director

Approved by: Olga Clayton, Group Director of Housing and Care

Subject: Delivery Plan 2021-22 Quarter 1

Date of Meeting: 19 August 2021

1 Purpose

- 1.1 This report provides the Board with an update for quarter 1 on the performance measures and projects in the performance framework and strategy. Appendix 1 contains the dashboard of Board Performance Measures and Appendix 2 provides a table of progress delivering Strategic Projects.

2 Authorising and strategic context

- 2.1 Under the terms of the Group Authorising Framework, the Group Board is responsible for setting the overall Group Performance Framework and approving the delivery plan for each year. Under the Group Authorise/Manage/Monitor Matrix, the Group Board has an ongoing role monitoring performance of subsidiaries across the Group against the key indicators agreed under the performance framework.
- 2.2 Under the terms of the Intra-Group Agreement between us and the Wheatley Group, as well as the Group Authorise, Manage, Monitor Matrix, our Board is responsible for approving regulatory returns including the Charter. It is also responsible for monitoring of performance against agreed targets. This includes the on-going performance of our services. In addition, the Group Authorising Framework states that our Board is responsible for approving any changes to their Service Delivery Model or arrangements which it may consider necessary to deliver the level of performance to achieve agreed targets.

3 Risk appetite and assessment

- 3.1 Our agreed Group risk appetite in relation to board governance is “cautious”. This level of risk tolerance is defined as “preference for safe delivery options that have a low degree of inherent risk”. We mitigate this risk by reserving the agreement of individual performance targets and strategic projects to Boards and providing the Board with regular updates in relation to progress against these targets and projects.

4 Background

- 4.1 The Board agreed the Strategy for 2021 to 2026, *Your Home, Your Community, Your Future*, in February 2021. At the same time, the Board also agreed the supporting Performance Framework, setting out the measures, targets and reporting arrangements that provide performance management and oversight of delivery for Boards and management.
- 4.2 This report outlines our performance against our Delivery Plan 2021/22, as at the end of quarter 1, with actions and updates where appropriate. Our key indicators that will be reported to the Scottish Housing Regulator as part of the Annual Return on the Charter are included within this report.

5 Customer engagement

- 5.1 A key theme throughout our strategy is our commitment to ensuring customers have greater power, control and choice regarding the services they receive. We have reflected this in our approach to developing our strategic projects, with over 50% incorporating an element of customer engagement activity. This is a key deliverable within our new engagement framework, Stronger Voices, Stronger Communities.
- 5.2 We engaged with the Group Scrutiny Panel about the proposed Group performance framework, in particular the strengthened focus on customer value. The Panel provided us feedback, which we have used to refine our approach.

6 Discussion

Part 1: Performance Update

- 6.1 This section outlines our performance as of the end of Quarter 1.
- 6.2 A range of measures and targets were reviewed in line with our 2021-26 strategy. Details are given in the Appendices and key points have been set out below.

Delivering exceptional customer experience

- 6.3 Responses to Stage 1 complaints continue to be completed well within our 5-day target, our Q1 results are 3.57 days. Stage 2 complaints result is 20.44 days against our 20 day target. In Q1 there were 37 Stage 1 and 7 Stage 2 complaints handled.

Making the most of our homes and assets

Repairs management

- 6.4 Average time taken to complete both emergency and non-emergency repairs continues to be within target, results for Q1 are;
Average time to complete Emergency repairs 2.95hrs and average time to complete non-emergency repairs 2.86hrs

Gas safety

- 6.5 We can see improved performance in the reducing number of expired gas safety certificates. The 122 reported to have expired during Covid restrictions in 2020/21 had reduced to 105 as at end of Q1, however reduced to zero from 21st July and we remain 100% compliant with CP12 valid certificate.

Development programme

- 6.6 Our new build completions are below target due to industry wide delays with materials, particularly timber frames and flooring. This has affected our handovers at South Gilmerton where we would have expected to have taken 10 handovers by the end of Quarter 1.

Changing lives and communities

Lets to homeless applicants

- 6.7 We continue to exceed target in Q1 for lets to homeless applicants and have achieved 69.9% as at end of Q1 against a target of 50%.

Anti-Social behaviour

- 6.8 Our target across Group is for over 70% of customers to live in neighbourhoods categorised as peaceful by 2025/26. We can report 69.9% of our customers are within this category against a 2021/22 target of 68%.

Fire safety

- 6.9 Fire Risk assessments in place at all relevant properties including housing with multiple occupancy (HMOs) remains at 100%. There were 3 reports of accidental dwelling fires in Q1, all recorded as minor incidents.

Developing our shared capacity

Sickness absence

- 6.10 We are experiencing higher levels of absence linked to a few cases of Covid in our staff and some trade operatives requiring to self-isolate due to contact tracing. Our sickness level at the end of Q1 is 3.94%, which is higher than the 3% we aim to achieve but we hope to improve on this through the year.

Enabling our ambitions

Gross rent arrears

- 6.11 Operational performance in managing rent arrears and income remains strong. Our Q1 result in Gross Rent Arrears (GRA) is 3.89% against a target of 4.29%, this is a reduction from the previous period of 0.10%. Housing Officers continue to place focus on customers who require wrap around assistance, especially so during the uncertainty of employment and supporting customers who require to apply for Universal Credit. We have been closely monitoring customers who have been furloughed during the pandemic; the number of customers has reduced significantly to no more than 2 customers within any operational patch, however we have seen an increase 71 new Universal Credit claims in Q1 taking our overall total of customers in receipt of Universal Credit to 1123.

Average time to re-let properties

- 6.12 Our Q1 result for reletting properties remains steady at 15.58 days against our Q1 target of 25 days. Housing Officers continue to work closely with DCPS repairs team leaders by way of weekly meetings to discuss property relet as well as tenancies on notice. This ensures appropriate resource planning for upcoming vacant properties.

Part 2: Delivery of strategic projects update

- 6.13 Appendix 2 outlines progress on the strategic projects in the Delivery Plan at the end of Quarter 1.
- 6.14 All projects, including those listed underneath, are on track to deliver on time:
- Implement new engagement framework - Phase 1;
 - Refine Repairs Delivery Model;
 - Wheatley Green Investment Plan;
 - Deliver a group wide Antisocial Behaviour Prevention & Mitigation Framework; (ASBPMF) that maps out our approach to preventing, managing and mitigating ASB – Complete in Quarter 1; and
 - Establish digital maturity approach and assessments.

Key issues and conclusions

- 6.15 This report outlines strong progress in meeting or exceeding performance targets and the delivery of projects, despite the challenges posed by the COVID-19 pandemic and an unprecedented year. Particularly strong performance in rent collection and reducing arrears means that the economic impact of the pandemic was mitigated by our response. Repairs, too, performed strongly under challenging service delivery circumstances. Key areas of focus as we continue into 2020/21 will be the continued support of customers who may be experiencing additional financial hardship and to manage our arrears, continued focus on letting properties and supporting our contribution to reducing homelessness, and delivery of safe and high-quality repairs and care services to our customers.

7 Digital transformation alignment

7.1 There are no digital transformation themes aligned to the content of this report.

8 Financial and value for money implications

8.1 The measures and projects included in this report were agreed as the strategy delivery plan for 2021/22. These items are intended to focus service improvement on the key priorities within the Strategy to make sure that financial and other resources are aligned with our priorities.

8.2 There are no direct financial implications arising from this report. Any financial requirements related to actions and projects within the report are subject to separate reporting and agreement.

9 Legal, regulatory and charitable implications

9.1 The Scottish Housing Regulator requires an Annual Return on the Charter from each Registered Social Landlord. Key indicators within the Return are included in quarterly performance reporting to boards, such as gross rent arrears and the average days to re-let properties. RSLs are also required to involve tenants in the scrutiny of performance, which the Group does through its Tenant Scrutiny Panel, and to report to tenants annually by October.

10 Equality implications

10.1 There are no proposals relating to our duties under equality legislation or that have an adverse impact on equality.

11. Environmental and sustainability implications

11.1 We have our own plans to increase the number of environmental and sustainability based measures in our performance framework. The Scottish Housing Regulator recently consulted on the on the indicators it will use to monitor landlord performance against the Energy Efficiency Standard for Scottish Social Housing (ESSH). The SHR is due to publish technical guidance to support landlords to make their first return under the new indicators on 31 May 2022.

12. Recommendation

12.1 The Board is asked to note the contents of this report.




List of Appendices

Appendix 1 - Board performance measures dashboard








Appendix 2 - Board strategic projects dashboard

Appendix 1 - Dunedin Canmore Board - Delivery Plan 21/22 - Strategic Measures











1. Delivering Exceptional Customer Experience

Measure	2020/21	YTD 2021/22		
	2020	2021		
	Value	Value	Target	Status
Average time for full response to all complaints (working days) - Stage 1	3.06	3.57	5	
Average time for full response to all complaints (working days) - Stage 2	18.1	20.44	20	
% new tenancies sustained for more than a year - overall	92.51%	90.28%	90%	


2. Making the Most of Our Homes and Assets

Measure	2020/21	YTD 2021/22		
	2020	2021		
	Value	Value	Target	Status
Number of gas safety checks not met	122	105	0	
Average time to complete approved applications for medical adaptations (calendar days)	10.48	8.28	35	
New build completions - Social Housing	58	0	10	
New build completions - Mid-market	35	0	0	
Reduce the volume of emergency repairs by 10% by 2025/26	Q1 19/20 – 1,517	1,744		
Average time taken to complete emergency repairs (hours) – make safe	2.65	2.95	3	
Average time taken to complete non-emergency repairs (working days)	3.14	2.86	5.5	
% reactive repairs completed right first time	96.69%	95.26%	95%	




3. Changing Lives and Communities

Measure	2020/21	YTD 2021/22		
	2020	2021		
	Value	Value	Target	Status
% lets to homeless applicants	72.8%	68.9%	50%	
% lets to homeless applicants (ARC)	61.6%	60.0%		
Number of lets to homeless applicants (contributes to 10,000 for Group by 2025/26)	226	48		
Group Result - Over 70% of customers live in neighbourhoods categorised as peaceful by 2025/26	69.4%	69.9%	68%	
% ASB resolved	100%	100%	98%	
Total number of jobs, training places or apprenticeships created including Wheatley Pledge	7	5	5	
Group Result - Increase the number of active users of MySavings to 5,000 as part of our commitment to reduce the cost of running a home		325		
Group Result - 100% of relevant properties have a current fire risk assessment in place	100%	100%	100%	
Group Result - The percentage of HMOs that have a current fire risk assessment in place	100%	100%	100%	
Group Result - Non-relevant properties with current fire risk assessment in place		23.03%	23%	
Number of accidental dwelling fires recorded by Scottish Fire and Rescue	9	3		

4. Developing Our Shared Capacity






Measure	2020/21	YTD 2021/22		
	2020	2021		
	Value	Value	Target	Status
Sickness Rate	1.45%	3.94%	3%	

5. Enabling Our Ambitions



Measure	2020/21	YTD 2021/22		
	2020	2021		
	Value	Value	Target	Status
% court actions initiated which resulted in eviction - overall	0%	No evictions	33%	
Average time to re-let properties (ARC)	52.6	15.58	25	
Gross rent arrears (all tenants) as a % of rent due	3.84%	3.89%	4.29%	
% lettable houses that became vacant	6.73%	7.06%	7.3%	

Appendix 2 - Dunedin Canmore Board - Delivery Plan 21/22 - Strategic Projects



01. Delivering Exceptional Customer Experience

Delivery Plan Project	Delivery Date	Status	% Progress
Implement new engagement framework - Phase 1	31-Mar-2022		<input type="text" value="0%"/>
Develop a Wheatley Whole Family approach	31-Mar-2022		<input type="text" value="0%"/>
Introduce new cloud based telephony system	31-Mar-2022		<input type="text" value="0%"/>
Develop new RSL online services model	31-Mar-2022		<input type="text" value="0%"/>
Refine Repairs Delivery Model	28-Feb-2022		<input type="text" value="33%"/>



02. Making the most of our Homes & Assets

Delivery Plan Project	Delivery Date	Status	% Progress
Implement Group corporate estate model - phase 1	31-Mar-2022		<input type="text" value="14%"/>
Wheatley Green Investment Plan	31-Dec-2021		<input type="text" value="50%"/>



03. Changing Lives & Communities

Delivery Plan Project	Delivery Date	Status	% Progress
Deliver a group wide Antisocial Behaviour Prevention & Mitigation Framework (ASBPMF) that maps out our approach to preventing, managing and mitigating ASB	30-Jun-2021		<input type="text" value="100%"/>
Review Group Fire Prevention & Mitigation Framework including digital solutions	31-Mar-2022		<input type="text" value="33%"/>

04. Developing our Shared Capability

Delivery Plan Project	Delivery Date	Status	% Progress
Develop new leadership development programme	31-Jul-2021		<div style="border: 1px solid black; width: 100px; height: 20px; background-color: #4f81bd; position: relative;"> 70% </div>
Strategic governance review	31-Oct-2021		<div style="border: 1px solid black; width: 100px; height: 20px; background-color: #4f81bd; position: relative;"> 25% </div>

05. Enabling our Ambitions

Delivery Plan Project	Delivery Date	Status	% Progress
Restructure funding syndicate	31-Dec-2021		<div style="border: 1px solid black; width: 100px; height: 20px; position: relative;"> 0% </div>
Establish digital maturity approach and assessments	28-Feb-2022		<div style="border: 1px solid black; width: 100px; height: 20px; background-color: #4f81bd; position: relative;"> 42% </div>

Report

To: Dunedin Canmore Housing Board

By: Anthony Allison, Director of Governance

Approved by: Steven Henderson, Group Director of Finance

Subject: Governance update

Date of Meeting: 19 August 2021

1. Purpose

- 1.1 To update the Board and, where applicable, seek Board approval on the following governance related matters:
- Final schedule of meetings for the remainder of the 2021 calendar year, including 2021 Annual General Meeting (“AGM”) arrangements;
 - Annual Secretary Report;
 - Board Appraisals and succession planning; and
 - 2022 schedule of meetings.

2. Authorising and strategic context

- 2.1 Under the Group Authorising Framework, the Group Board is responsible for the Group’s overall governance arrangements. As part of this role, the Group Board is responsible for the Group’s governance framework and agreement of any changes.
- 2.2 The Board is responsible for calling meetings, including General Meetings. All Board member appointments / re-appointments at the AGM require approval by the Parent under the Rules of the Association.
- 2.3 In relation to Board appraisals, under the Group Standing Orders the Group RAAG Committee is responsible for determining the approach each year and agreed to the approach used this year.

3. Risk appetite and assessment

- 3.1 Our agreed risk appetite for governance is “cautious”. This level of risk tolerance is defined as a “preference for safe delivery options that have a low degree of inherent risk and have only limited potential for reward”.

- 3.2 The Group strategic risk register contains the risk *“The governance structure is not clearly defined, is overly complex and lacks appropriate skills at Board and Committee levels to govern the Group effectively. Failure of corporate governance arrangements could lead to serious service and financial failures.”*
- 3.3 We seek to mitigate this risk by reviewing our governance structure on an ongoing basis, including the strategic governance review currently underway. In addition to this we review our succession planning arrangements formally as part of our annual appraisal process, including linking this to the wider Group board succession planning where it relates to Wheatley appointees.
- 3.4 The report sets out the up-to-date position following a review of our 3 year succession plan during the 2021 appraisal process.

4. Background

- 4.1 Our Rules set out certain requirements of the Secretary and the procedures for the Annual General Meeting (“AGM”) including for the business of the AGM, which includes the retirement and appointment of Board members and calling notices.
- 4.2 We carry out our annual Board appraisals in line with the AGM year. Board appraisals are a well-established practice within the Group both as a matter of good governance and to meet our Regulatory obligations. Given the pandemic, this year’s Board appraisal had a stronger focus on evaluating our response to the events.
- 4.3 We have used the appraisal process to inform our succession planning.

5. Customer engagement

- 5.1 As governance related matters, the content of the report is reserved to the Board and is of an internal focus and as such no customer engagement has been appropriate. We will however ensure that our AGM is as accessible as possible to our members.

6. Discussion

2021 meetings

- 6.1 We have two further Board meetings scheduled for this calendar year. One pre-AGM meeting which will be held on Thursday 23rd September and a further meeting which was previously scheduled for Thursday 25th November 2021 at 17.00pm but which will now be held on Thursday 11th November at 17.00pm (see 6.3). This would take us to the minimum requirement of 6 scheduled meetings for the calendar year.
- 6.2 It is proposed that we call our AGM on 23rd September 2021 at 19.00pm, following the Board meeting to be held at 17.00pm. This meeting will be held at our New Mart Road office. The meeting will be called in line with the requirements of our Rules.

- 6.3 It is proposed that the November meeting be brought forward to Wednesday 10th November at 14.00pm. This will allow us to:
- receive feedback from the consultation on our new operating and engagement model (subject to a separate agenda item);
 - agree the proposals for 2022 rent setting (for which the September meeting would be too early); and
 - formally agree the initiation of tenant consultation on our 2022 rent setting proposals.

Secretary's report

- 6.4 In advance of the AGM, Rule 68 states that:

“At the last Board meeting before the annual general meeting, the Secretary must confirm in writing to the Board that Rules 62 to 67 have been followed or, if they have not been followed, the reasons for this”.

- 6.5 The Secretary's report in relation to each Rule referred to in Rule 68 is as follows:

Rule	Secretary report
62	Minutes are update and are now being signed digitally via Docusign
63	The seal is not routinely used. It is kept at the registered office.
64 and 65	All registers have been checked and maintained throughout the year and are held at our registered office. Currently these are held in securely in our offices at Lipton House until renovation at Wheatley House are complete.
66	Our registered name is displayed at our registered office and at every office where our business is carried out. It is also clearly marked on business letters, notices, adverts, official publications and financial documents.
67	Our books of account, registers, securities and other documents are kept at our registered office or any other place the Board decides is secure. Currently these are held in securely in our offices at Lipton House until renovation at Wheatley House are complete.

Board appraisal

- 6.6 The Group RAAG Committee agreed our approach to appraisal that reflected the extraordinary circumstances of the previous year. This included the Chair meeting with members whose membership is non-nominated/appointed i.e. tenants and independent members.

- 6.7 This year's appraisal meetings were held virtually and facilitated by the Deputy Group Company Secretary. The following topics were covered:
- Board member reflections on last year including how the Board has operated;
 - Chair's reflection on Board member performance during last year;
 - Succession planning; and
 - Board CPD: these will be resuming this later in the year with initial sessions covering (i) equality and diversity; (ii) Group funding structure; and (iii) environment and sustainability.

Reflections on previous year

- 6.8 The extraordinary circumstances of the pandemic were recognised by all members, including the need for our governance arrangements to take this into account. The strongest theme of feedback was that members were pleased with the speed with which we had transitioned to virtual Board meetings and the information made available through the timeous issue of Board papers and the Chief Executive's weekly update.
- 6.9 Whilst it was noted that the streamlined approach to virtual Board meetings had been generally effective, particularly during the earlier stages of the pandemic, Board members were unanimous in the need to resume full in-person meetings once it is safe to do so. We anticipate that the Group Board will confirm at its August meeting the full remobilisation of our governance activity with immediate effect. This would commence with our AGM and board meeting in September.

Succession planning

- 6.10 Succession planning was discussed with each member based on the current, Board approved succession plan. As part of this, each member was asked to formally confirm their plans for over the rolling three-year period.
- 6.11 Following this feedback, we have revised the Board three year succession plan. The revised plan also takes into account the changes to the Group Board succession plan. A copy of the revised succession plan is attached at Appendix 1.
- 6.12 To provide stability as we re-mobilise our services and recover from the pandemic, the Group Board has agreed to appoint Mary Mulligan for a further one year term. Mary Mulligan will therefore continue on the Board and serve as Chair until 2022. In arriving at its decision, the Group Board assessed Mary's ongoing independence and effectiveness. In addition to this, Mark Keane and Ruth Kynoch are due to be considered for re-appointment to the Board. Following the appraisal process, it is recommended that they are nominated for re-appointment to the forthcoming AGM. In addition, Jane Menzies was appointed during the year and will require to be nominated for re-appointment at the AGM.

- 6.13 As the Board are aware, we are currently in the process of undertaking a wider strategic governance review. As part of this it is proposed that we undertake a wider Board member skills and experience mapping relative to our overall Board skills matrix.
- 6.14 Board members will be asked to undertake a self-assessment against the matrix. This will allow us to formally document the depth of skills and experience of members beyond just the core skills recorded in the succession plan. In addition to this, feedback will be sought on the current skills matrix. This will include the level/depth of skills and experience we require in each area and if there are any areas no longer of relevance/gaps in the existing skills matrix.
- 6.15 This will provide context for any future discussions post governance review on the future Board composition. A report will be brought back to the September meeting.

Board CPD

- 6.16 Board members supported the proposed re-introduction of the CPD programme and welcomed the three topics. In advance of COP 26, environmental/sustainability and funding will be prioritised.

2022 schedule

- 6.17 The proposed Board dates for 2022 are as follows:
- 1) Thursday 10 February at 17.00pm – Board meeting;
 - 2) Thursday 24 March at 17.00pm – Board meeting following stock tour;
 - 3) Thursday 26 May – Board meeting and strategy workshop – 10.00-17.00;
 - 4) Thursday 18 August 17.00pm – Board meeting;
 - 5) Thursday 22 September – Board meeting 17.00pm, AGM 19.00pm; and
 - 6) Thursday 24 November at 17.00pm – Board meeting.
- 6.18 The proposal is that we use the May date to hold a Board meeting in the morning and resume post lunch for a strategy workshop. Based on feedback from members that there is a strong preference to combine dates it is also proposed that the stock tour is scheduled for after the March Board meeting. We do however also anticipate scheduling a standalone risk workshop during the spring.
- 6.19 In addition to this, the following dates are proposed for the 2022 Board CPD/social sessions:
- 1) CPD - Wednesday 23 February at 13.30, Wheatley House;
 - 2) CPD – Wednesday 29 June at 13.30, Wheatley House;
 - 3) CPD – Wednesday 28 September 17.00, New Mart Road; and
 - 4) Social lunch (Group wide) - Wednesday 14 December at 13.00, Wheatley House.

New membership application

- 6.20 We have received an application for membership, attached at Appendix 2. The application has been reviewed and meets the membership criteria. Under Rule 7.3, the Board must therefore decide to accept or reject this application.

7. Digital transformation alignment

- 7.1 The contents of this report are not directly related to our digital transformation activities.

8. Finance and value for money implications

- 8.1 There are no finance and value for money implications contained within this report.

9. Legal, regulatory and charitable implications

- 9.1 The legal and regulatory requirements are set out in detail within the body of the report.

10. Equalities impact

- 10.1 There are no equalities implications arising from this report and as such no Equality Impact Assessment is required. As part on our Board CPD programme, an equality and diversity masterclass will be delivered to Board members by an external expert before the end of the year.

11. Environmental and sustainability implications

- 11.1 There are no direct environmental and sustainability implications arising from this report.

12. Recommendations

- 12.1 The Board is asked to:

- 1) Instruct the Secretary to call the Annual General Meeting for 23 September 2021 at 19.00;
- 2) Agree to reschedule the November meeting to Thursday 11th November;
- 3) Note the Secretary's report under Rule 68;
- 4) Note the Board's appraisal feedback;
- 5) Approve the updated Board 3-year succession plan;
- 6) Note the appointment of Mary Mulligan as Chair and Wheatley Appointee;
- 7) Recommend Mark Keane, Ruth Kynoch and Jane Menzies for re-appointment;
- 8) Note the schedule of meetings for 2022; and
- 9) Approve the new membership application.

List of Appendices

Appendix 1: Updated 3 Year succession plan

Appendix 2: [redacted]



Dunedin Canmore Housing

3 Year Succession Plan

1. Introduction

The Board is committed to succession planning as part of its overall approach to effective governance.

We recognise the importance of succession planning in having an effective Board, which has the appropriate balance of skills and experience. Succession planning plays a key role in achieving an appropriate level of renewal and refreshment on the Board, supporting the Board maintaining and developing the skills and experience it needs to discharge its duties and protect the interests of tenants.

The Board also has a regulatory duty, under the Scottish Housing Regulator's Regulatory Framework, to have a formal succession plan in place.

2. Background and context

Our succession planning arrangements are developed in line with the Group Succession Planning Policy. The Policy sets the parameters under which our succession plan has been developed, in particular the core requirements of the succession plan in relation to:

- maintaining an up to date record of directors & office holders length of service and retiral due dates;
- details of the core skills and experience each member contributes to the Board, in line with the agreed skills matrix; and
- having an understanding of expected future recruitment requirements

3. Current Board tenure and skills

The current tenure stages of each Board member, projected retirement dates and details of the core skills and experience they bring (relative to our agreed skills matrix) are set out below. Any reappointments beyond the span of this plan will be subject to previous tenure restrictions and Parent reapproval.

	Core skills and experience	9 Years	3 year position
Mary Mulligan (Chair)	<ul style="list-style-type: none"> ▪ Working with local authorities, or other government and statutory bodies ▪ Social and housing policy in Scotland and the wider UK ▪ Knowledge of other relevant sectors – health, charities, social enterprise, education, policing, or other 	2021*	2022
Ruth Kynoch	<ul style="list-style-type: none"> ▪ Accountancy and audit, knowledge of relevant statutory requirements ▪ Financial and treasury management, funding structures ▪ Project appraisal, management and financial modelling 	2025	2024
Bryan Pitbladdo (Tenant)	<ul style="list-style-type: none"> ▪ Knowledge of the areas, clients, tenants and communities served ▪ Project appraisal, management and financial modelling ▪ Housing management and maintenance of social housing 	2026	2024
Anne McGovern (Tenant)	<ul style="list-style-type: none"> ▪ Governance and working as one of a Board team to make good and timely decisions ▪ Knowledge of the areas, clients, tenants and communities served ▪ Working with local authorities, or other government and statutory bodies 	2026	2024
Jill Cronin	<ul style="list-style-type: none"> ▪ Housing management and maintenance of social housing ▪ Organisational strategy and policy development ▪ Involvement in planning/delivery of a Value for Money strategy, in a housing or similar organisation 	2027	2024
Jack Cadell	<ul style="list-style-type: none"> ▪ Funding, planning and development for housing and regeneration ▪ Property, asset management, development, regeneration, surveying etc. ▪ Strategic asset management 	2027	2024
Mark Keane (tenant)	<ul style="list-style-type: none"> ▪ Knowledge of the areas, clients, tenants and communities served ▪ Accountancy and audit, knowledge of relevant statutory requirements ▪ Knowledge of other relevant sectors – health, charities, social enterprise, education, policing, or other 	2028	2024

Alastair Murray	<ul style="list-style-type: none"> ▪ Accountancy and audit, knowledge of relevant statutory requirements ▪ Financial and treasury management, funding structures ▪ Knowledge of other relevant sectors – health, charities, social enterprise, education, policing, or other 	2029	2024
Helen Howden	<ul style="list-style-type: none"> ▪ Legal and governance ▪ Working as one of a Board team to make good and timely decisions ▪ General commercial business, financial & management skills 	2029	2024
Jane Menzies (tenant)	<ul style="list-style-type: none"> ▪ Knowledge of the areas, clients, tenants and communities served ▪ Governance and working as one of a Board team to make good and timely decisions 	2029	2024

*extended as agreed by Group Board

4. Succession Plan 2021-2024

The Annual General Meetings are the key stages in the plan, marking where directors will ordinarily retire and any new members will ordinarily be appointed. Planned retirements and appointments for the next 3 AGMs will be as follows:

2021

Jane Menzies, Ruth Kynoch and Mark Keane are due for re-appointment.

2022

Jill Cronin and Jack Caddell due for re-appointment

2023

Anne McGovern, Bryan Pitbladdo, Helen Howden, Alastair Murray due for re-appointment in 2023

5. Review

The succession plan shall be subject to annual refreshment as part of the Board Appraisal Process.