

Date of Meeting: 19 June 2014

Subject: Resource & Governance Business Plan 2014/15

Report by: Senior Support Services Manager

## 1.0 Purpose

- 1.1. This report presents the Resources & Governance Business Plan for 2014/15 to the Resource & Audit Committee for consideration and approval.

## 2.0 Recommendations

- 2.1. The Committee is asked to consider the content of the Resources & Governance Business Plan (**Appendix A**) for 2014/15 and comment on or challenge the content.
- 2.2. It is recommended that Committee approve the Performance Measures for scrutiny purposes over the next 12 months.

## 3.0 Considerations

- 3.1. The Resources & Governance Business Plan sets out the objectives and aims of the Support Services Management Team. It identifies how the service objectives contribute to the *Making Clackmannanshire Better* programme and other corporate strategies.
- 3.2. The Business Plan summarises the services operating within Support Services and includes service aims and objectives, the management structure, financial information and identified issues to be taken into account.
- 3.3. The Business Plan sets out in section three how the service continues to align its service delivery with the principles of good governance.
- 3.4. A suite of KPIs is included at section four of the Business Plan. These have been amended and developed based on customer feedback and consultation with service teams. A number of the KPIs are statutory and some are reported on a corporate basis.
- 3.5. There are no new KPIs proposed for 2014/15. Those introduced in 2013/14 will continue to be reported with the 2013/14 data forming a baseline to identify trends and improved or deteriorating performance. Performance against some of the Welfare reform KPIs has informed service planning for

2014/15. Regular reports of performance to the Resource & Audit Committee will ensure that members are kept informed of performance in all areas of the service.

The introduction of improved and more accurate Management Information available through the new HR and Payroll system has been used to inform KPIs relating to absence and turnover during 2013/14. As the new system matures, this management Information will be further refined to ensure the use of real time data as a intelligence source for all services.

Key actions for the service are included within this section and are detailed after the KPIs.

- 3.6. The final section of the Business Plan contains the service Risk Register. This was reviewed by the Service Management Team in preparation for the compilation of the Business Plan. Risks are scored according to the Council's risk matrix and reviewed at the monthly Service management team meeting. Input is also received through service and operational team meetings New risks can be added throughout the year and the service has an escalation route in place to the Council Management Team for occasions when an identified risk is deemed to require a corporate view and assessment.

#### **4.0 Sustainability Implications**

- 4.1. There are no sustainability implications associated with this report.

#### **5.0 Resource Implications**

##### *5.1. Financial Details*

- 5.2. The full financial implications of the recommendations are set out in the report. This includes a reference to full life cycle costs where appropriate. Yes

- 5.3. Finance have been consulted and have agreed the financial implications as set out in the report. Yes

##### *5.4. Staffing*

- 5.5. There are no staffing implications associated with this report.

#### **6.0 Exempt Reports**

- 6.1. Is this report exempt? Yes  (please detail the reasons for exemption below) No

#### **7.0 Declarations**

The recommendations contained within this report support or implement our Corporate Priorities and Council Policies.

- (1) **Our Priorities** (Please double click on the check box )

- The area has a positive image and attracts people and businesses
- Our communities are more cohesive and inclusive
- People are better skilled, trained and ready for learning and employment
- Our communities are safer
- Vulnerable people and families are supported
- Substance misuse and its effects are reduced
- Health is improving and health inequalities are reducing
- The environment is protected and enhanced for all
- The Council is effective, efficient and recognised for excellence

(2) **Council Policies** (Please detail)

**8.0 Equalities Impact**

8.1 Have you undertaken the required equalities impact assessment to ensure that no groups are adversely affected by the recommendations?  
 Yes  No  N/A

**9.0 Legality**

9.1 It has been confirmed that in adopting the recommendations contained in this report, the Council is acting within its legal powers. Yes

**10.0 Appendices**

10.1 Please list any appendices attached to this report. If there are no appendices, please state "none".

Appendix A - Resources & Governance Business Plan 2013/14

**11.0 Background Papers**

11.1 Have you used other documents to compile your report? (All documents must be kept available by the author for public inspection for four years from the date of meeting at which the report is considered)


Yes  (please list the documents below) No

**Corporate Plan 2013 - 2017**  
**Single Outcome Agreement (SOA)**

**Author(s)**

NAME	DESIGNATION	TEL NO / EXTENSION
Julie Burnett	Senior Support Services Manager	2022

**Approved by**

NAME	DESIGNATION	SIGNATURE
Julie Burnett	Senior Support Services Manager	

Nikki Bridle	Director of Finance & Corporate Services	
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# Resources and Governance

Business Plan 2014 - 15



***Making Clackmannanshire Better***

Version	1.0
Status	Final DRAFT
Date	4-6-14

## **1 SERVICE OVERVIEW**

### **1.1 SERVICE MISSION / PURPOSE & OBJECTIVES**

#### **Finance & Corporate Services Vision**

To achieve excellence in the delivery of corporate, support and customer services, recognised for our first class people, first class customer service and first class results.

#### **Finance & Corporate Services Guiding Principles**

- Continuous Improvement
- Customer Service Excellence
- Value our people
- Effective governance and financial stewardship
- Transparency
- Sustainability
- Equality

#### **Values and Behaviours**

The Resources and Governance service share the Council's values:

Commitment, Trust and Partnership  
Openness and Accountability  
Respect and Dignity  
Equality, Fairness and Inclusion

**The Resources and Governance Service** core functions include:

- Accountancy (budget management and financial accounting, creditors)
- Governance ( Human Resource Management, Payroll, Legal Services, Health & Safety, Democracy, Procurement, Internal Audit & Fraud)
- Information Technology
- Revenues and payments until such time as service portfolios are reconfigured
- Asset Management including "soft" FM services (exact date of change to be agreed)

Our vision is to ensure that our financial and human resources, our systems and processes are aligned to the strategic aims of the organisation to facilitate the delivery of the Council's corporate priorities in a legally compliant, cost efficient and effective way.

Our mission is to provide high quality, professional, value added proactive advice and support to enable senior officers, managers, elected members and staff in the delivery of their strategic and operational objectives.

## Our priorities are

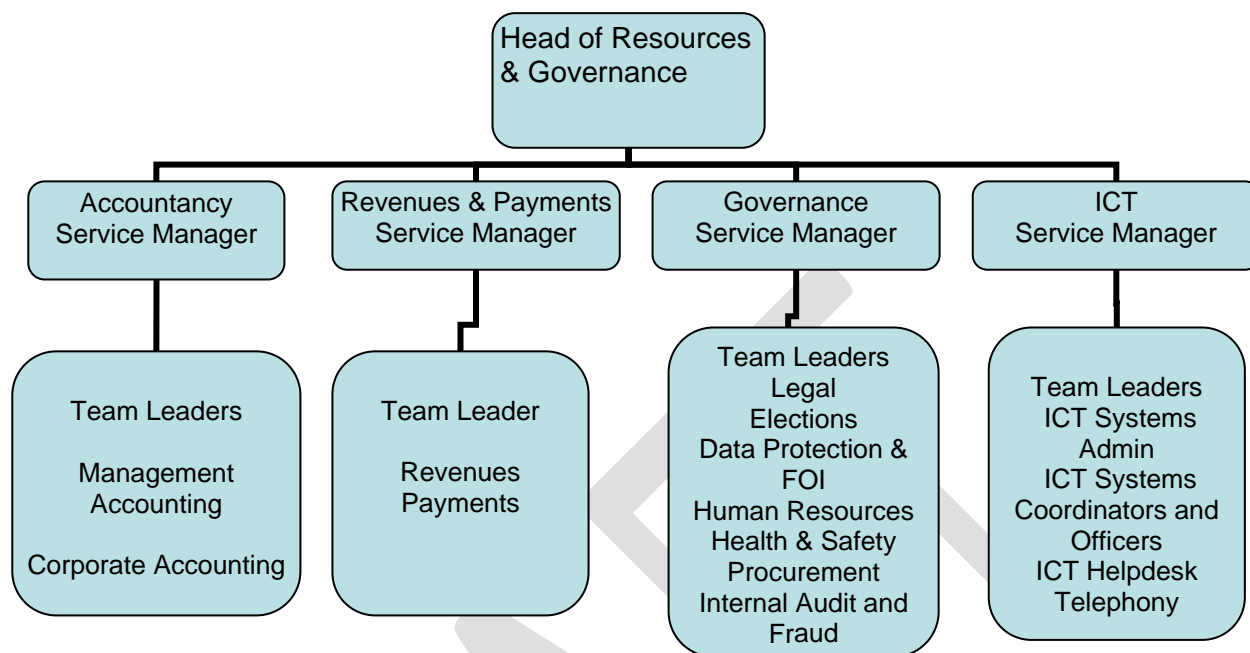
- Good governance and financial stewardship
- The provision of professional advice and support to other services
- Corporate capacity building that supports the aims and objectives of the Council
- The strategic management and use of Council assets, maintaining assets to provide an excellent service to the public.

## **Service Objectives**

In order to achieve this we will:-

- promote and implement good financial, technological and governance practices within the organisation
- provide high quality professional support services to officers and elected members to enable them to deliver their business objectives in an effective and cost efficient manner
- provide strategic financial and human resource management advice that will inform and shape future service delivery and ensure that the Council's workforce is aligned to achieving its corporate objectives
- provide proactive, professional and customer focussed Resources and Governance services
- continuously improve and support our staff in their professional and personal development to provide excellent customer service
- maintain and manage the Council's assets to the benefit of the public and local communities and businesses.

**1.2 SERVICE STRUCTURE (as at 31.3.14)**



**1.3 BUDGET**

REVENUE BUDGET	£000
Employee related expenditure	5,705,637
Transport related expenditure	16,070
Supplies and Services	665,410
Third Party Payments	968,270
Income	(809)
<b>Total Budget</b>	<b>6,546</b>

CAPITAL BUDGET	£000
ICT Strategy	1,012,522
Digital Broadband	200,000
Welfare Reform implementation	100,000
Replacement financial system*	0
Itrent	31,515
<b>Total**</b>	<b>1,344,037</b>

\* Capital allocated for 2015/16

\*\* Includes carry forward from 2013/14 of £400k

NB: Depending on changes in how services are configured and allocated to different portfolios, the budget shown above is subject to change.



## 2 KEY ISSUES FOR THE SERVICE

Work carried out to identify these issues includes:

- Review of support services business plan 2013/14
- Review of support services risk register 2013/14
- Business planning review session held in September 2013
- Business planning forward plan session held in January 2014
- Feedback from customers throughout the organisation
- Feedback from local communities and external customers
- CSE re-assessment outcome in November 2013
- The rationalisation of the Council's estate and the move to one location
- Analysis of key actions from Support Services Governance Improvement Plan
- Results from the 2012/13 and 2013/14 staff survey
- Finance & Corporate Services business planning session

Identified issues:

### Corporate

- Providing appropriate and effective professional support to facilitate continued service restructuring, service redesign and the introduction of different ways of working across the Council's services.
- Financial pressures resulting from reducing funding from central government for the next four years. The delivery of both service and corporate savings as agreed through the budget challenge process and set out in the 2014/15 budget.
- Achieving operational excellence making best use of the services' Governance Improvement plan, Clackmannanshire Improvement Model (CIM) and the feedback from the CSE assessment. Agreeing how to align different processes and develop one service improvement plan.
- The implementation of various aspects of Welfare Reform in 2014/15 and beyond, in particular the introduction of Universal Credit. Final arrangements for the local provision of the Scottish Welfare Fund are yet to be agreed. Welfare Reform could impact adversely on service delivery as a result of new systems and processes. There are also financial implications of the requirement to deliver additional duties and services within limited and reducing funding allocations.
- Shared services - the provision of appropriate support service infrastructure to facilitate joint working arrangements with Stirling Council in relation to our shared Education and Social Work Services. The consideration of options for the joint provision of services in the future including more opportunities for joint working with partner organisations.
- A corporate overview of Data Protection, information management, FOI requests and how to resource and manage required changes, some of which are legislative.

- Increased demand on legal and financial services as a result of different service initiatives such as compulsory purchase, a forecast increase in the number of childcare cases, procurement initiatives and the potential for debt recovery requirements to increase. Mitigation includes changes in structure to support and react to changes as they are presented plus additional, targeted resource.
- The impact of the Referendum vote
- The introduction and support of new ways of working in the context of a reducing workforce and financial settlements The impact of the planned integration of Health and Social Care on the elements of Corporate Resources and Governance that support those teams, both in the work required up to April 2015 and the potential reduction in support required after that date.

### Making Clackmannanshire Better

Supporting and helping to deliver the Councils business transformation programme, *Making Clackmannanshire Better* (MCB) through:

- Leading on workstream 5, Making our Organisation Stronger through the implementation of the People Strategy Action Plan and delivery of the Job Families project.
- Delivering and supporting changes in structure and working practices that align with the Target Operating Models.
- Supporting the delivery of Workstream 4, Making Best use of our Assets through the Capital Investment Group and Resource and Governance Asset Management Plans.

### Project

- The delivery of in excess of 60 Resources and Governance projects, including systems replacement, implementation of new systems; people and finance matters and aspects of Welfare Reform, that have the potential to impact on service delivery or corporate objectives.
- Involvement in the delivery of a range of corporate projects with expertise being called upon to support and advise project teams as required.
- The relocation of our own services to Kilncraigs. Supporting our own teams to change practice, work more flexibly and move to new Ways of Working

### Employment / People

- The implications of moving to a 35 hour week in the future. The reduction could result in reduced response times and potentially a reduced level of service. Consider ways in which cover can be maintained despite the reduction in

contracted hours. Manage customer expectations regarding changes in service delivery.

- The second stage of the integrated HR & payroll project continues and will provide self service for managers and employees in 2014/15. This will require further development and training for HR & Payroll teams as well as for customers and service users.

### Technology

- Review and revision of business continuity plans (particularly ICT) as a result of the move to one building.
- Public Sector Network (PSN) compliance was achieved in 2013 but Government requirements are likely to become more complex and onerous over the course of the next two to three year.

### Resources & Governance Service specific

- The requirement to identify opportunities for reducing expenditure and staffing levels when the opportunity is presented whilst maintaining required levels of support to Council services.
- How to improve communications with all Resources and Governance staff to ensure the service teams are aware of service and Council direction and decisions. To ensure that each employee understands how they contribute to the achievement of Council and community objectives.
- The impact of changes related to the Single Fraud Integrated Service (SFIS) and the transfer of some of this work to DWP.
- Making the necessary resources available to support improved community safety through the Local Community Planning Group

A continuous and planned cycle of review, monitoring and evaluation of planning and performance will assist with the management of the service issues outlined above. SMT meeting, FCS meetings, the corporate governance panel and service team meetings will provide the forum for these activities.

## **3 APPROACHES**

Our approach to service delivery is aligned with the key elements of the Governance Strategy namely:-

- 1 effective leadership and positive organisational culture
- 2 positive relationships with internal and external stakeholders
- 3 robust and effective risk management
- 4 appropriate and effective internal controls
- 5 sound business planning and robust performance management

- 6 external compliance and accountability
- 7 good information management
- 8 effective monitoring and review

A review of the 2013/14 business plan has resulted in the development of a two to three year action plan as part of the 2014/15 business plan. This reflects the reliance and involvement that the Resources and Governance teams have in supporting the delivery of plans and projects that are managed and led by other services. Timescales are outwith the control of the service and some projects are complex and will take time to be delivered.

### **3.1 Leadership and culture**

At an organisational level we shall provide the professional and technical advice and support to our Elected Members and senior managers to enable them to be effective in their leadership role. We shall ensure that the governance arrangements around the Council's decision making processes are effective and aligned to the business needs of the organisation.

We will provide leadership on corporate issues through the review, development and implementation of strategies relating to Governance, ICT, People and Information Management, Financial Management, Asset Management and related Government initiatives such as Welfare Reform.

At Service Level we shall continue to develop the leadership skills of our service, team and line managers to enable them to ensure that they and their staff demonstrate the behaviours necessary to promote a positive organisational culture based on innovation, mutual trust and respect

### **3.2 Customer and Stakeholder engagement**

The Resources and Governance service is committed to achieving and maintaining the highest standards of customer service in respect of all of our stakeholders and customers, both internal and external as evidenced by our Customer Service Excellence re-accreditation. Effective, proactive engagement with our customers and partners enables us to identify their needs and we recognise the importance of constructive customer feedback, whether that be positive or negative, in shaping service provision and improving service delivery.

We recognise that we need to have different mechanisms in place for engagement and feedback depending upon the subject matter. These include:-

- the formal process of presentation, challenge and approval of matters (such as the Service Business Plan and performance reports) at Council and Committees
- publication of information and feedback via Clacks Web and the intranet (Connect)
- annual customer satisfaction survey for the whole service

- internal and external customer satisfaction surveys by the different services
- consultation via the Senior Management Forum and Trade Unions
- attendance at service team meetings to present Management Information reports and offer advice and support to services as required.
- short term focus groups
- one to one meetings
- Engagement with customers through community hubs, community meetings and public information sessions.

All feedback will be considered and where we need to make improvements these will be built into our business, operational and individual PRD plans as required.

We recognise that good communication is an integral element of effective information management. As a service we shall be consistent and clear in our communications with staff and stakeholders.

We will use a variety of tools and mechanisms to ensure that our staff and stakeholders receive the information that they need to make decisions and achieve their aims and objectives. These will include;-

- verbal communication through regular service / team/ 1-1 meetings
- written communication in the form of briefings /memos/guidance notes
- written communication in electronic form via email
- the use of the Council's electronic information system and Clacks Web
- engagement with members of the public through attendance at community events and forum and through the Welfare Reform Working Group
- direct engagement with customers through face to face meetings (Revenues team)

We appreciate that effective communication is a two way process and we shall ensure that staff and stakeholders are given appropriate and adequate opportunities to provide feedback.

### **3.3 Risk Management**

It is essential that Services within the organisation adopt a consistent approach to risk management. We shall assess risk at an organisational, service, team and individual level as appropriate. Through training and development, staff will be encouraged to take a proactive approach to risk management. They will be equipped with the knowledge and confidence to identify and manage beneficial and tolerable risks with a clear escalation process in place from service teams to the Service Management Team.

We will embed Risk Management as a core component of our approach to service delivery and will apply professional standards and practices and deploy appropriate tools and systems to ensure that risks are captured and managed effectively.

The service Risk Register will be reviewed at the monthly Service Management Team meetings. Changes to existing risks and the identification of new risks will be considered with escalation procedures to CMT in place for identified risks that have a wider, corporate impact.

More formal review of the Service Risk Register will take place twice a year at the extended Resource & Governance team meeting and at the annual business planning session.

### **3.4 Internal Control**

We shall ensure that our internal controls in relation to the management of our financial, human, technological and information resources are adequate and effective and appropriately deployed within all services.

We shall review, and audit our control systems, processes, policies and procedures on a regular planned basis to ensure that they are fit for purpose and aligned to organisational objectives and our external compliance accountabilities.

We will refer to relevant internal and external Audit reports to identify gaps or failings and opportunities for improvement. Improvement plans will be developed and shared with customers.

Challenge relating to the service's internal controls and processes is received through the Annual Governance Panel. This provides additional scrutiny and the opportunity to identify areas for improvement.

### **3.5 Planning and Performance Management**

The Resources and Governance business plan will identify our service business objectives which will then determine individual service objectives. These in turn shall shape the respective team operational plans which should then be clearly linked to each individual employee's PRD process.

During 2014/15 we are aiming to involve those responsible for performance in each service to input performance data into the corporate system. This will provide accurate and timely performance management information. Performance reports will be considered at service management team meetings and action taken where required to improve performance.

We recognise that a linked PRD process is key to supporting and developing staff to achieve the business objectives of the organisation. To ensure that personal development is aligned to business needs, the outcomes of PRDs will be collated to identify those with skills, knowledge and ability that would benefit the organisation from personal development. This will inform future workforce planning across the organisation and align resource and development with corporate priorities.

Performance will be measured at every level. Current indicators will be reviewed on a regular basis to ensure that they are relevant, meaningful and aligned to improving outcomes.

We recognise the true value of our staff and are committed to ensuring that they are equipped with the knowledge, skills and experience to play their particular part in delivering high quality services to our customers.

To ensure this, we will use the Personal Review & Development Process (PRD) to provide our staff with clarity as to their particular roles, responsibilities and accountabilities and to identify any development or training needs required to enable them to deliver to the best of their ability. It is a priority of the Service to ensure that each member of staff has an individual PRD meeting annually and that they have regular team and 1-1 meetings with their line managers throughout the year.

We have a commitment to improve communication at all levels of our services and have tried a number of methods to improve communications over the past twelve months. Teams throughout Resources and Governance have been involved in planning the allocation of work and resources during 2013/4. This will be further refined during 2014/15.

The Resources and Audit Committee provides scrutiny and challenge of Resources and Governance performance on a quarterly basis. A range of KPIs are reported to this Committee and Committee members are invited to challenge performance and results.

### **3.6 Compliance and Accountability**

We shall align our internal control systems to enable us to demonstrate compliance with external requirements in terms of inspection, audit and review. We shall liaise and work in partnership with the relevant external agencies including our external auditors and government bodies to review practice and identify areas for improvement.

The Resource & Governance service is responsible for the delivery of the Internal Audit and Fraud annual plan and resulting reports. We will take a corporate view of any identified weaknesses in terms of internal control and work with services to make improvements as necessary.

### **3.7 Information Management**

We value information as a corporate asset. We will align our systems, resources and processes to ensure that we can produce good quality information and make it available to those who need it, when they need it. We shall share information effectively to achieve the best possible outcomes within the legal framework.

Using the Council's approved Information Strategy as the basis for change, we shall engage with our stakeholders and provide advice, systems and support to improve information management within the organisation.

### 3.8 Monitoring and Review

Resources and Governance will deliver these functions through:

Knowing how well our systems are performing and proactively monitoring and adapting our systems in response to developing needs.

Monitoring progress against published Strategies and Plans  
Using software tools to manage and monitor progress in project delivery

Making better use of Covalent to monitor progress against KPIs

We will engage with internal and external audit regimes to ensure areas of risk, non-compliance or poor practice are identified and actions put in place to mitigate, reduce or eradicate the risk.

The Service Management Team will monitor and manage all aspects of performance, including risk management through service, team and one-to-one meetings. We shall seek to make better use of the Covalent system as a reporting and management tool to gather a wider range of quality performance information to provide greater transparency and visibility of our service performance to key stakeholders.



## 4 DELIVERY PLAN

# Making Clackmannanshire Better

## Resources and Governance Business Plan 2014-15



The Council is effective, efficient and recognised for excellence; Vulnerable people and families are supported

### 1 Resources & Governance KPIs

Covalent Code	KPI	2011/12	2012/13	2013/14	2014/15	Lead
		Value	Value	Value	Target	
ACC ACC 011	Percentage of service financial reports produced to monthly deadlines	N/A	N/A	100%	100%	Liz Shaw
ACC B01 SUS	Performance against phased budgeted spend - Support Services	N/A	92.8%	98.3%	100.0%	Julie Burnett
GOV CNQ SUS	Percentage of Support Services Councillor Enquiries dealt with within timescale	100.0%	89.5%	87.7%	100.0%	Julie Burnett
GOV FOI SUS	Percentage of Support Services Freedom of Information requests dealt with within timescale	96.20%	98.10%	97.20%	100.00%	Julie Burnett
GOV HAS 003	Percentage of managers who have reviewed their Health and Safety Risk Assessment in the last 12 months	50.0%	75.0%	N/A	100.0%	Julie Burnett
GOV SAB SUS	Support Service sickness absence levels	3.47%	6.61%	4.67%	3.25%	Julie Burnett
ITS CUS 001	Percentage of customers satisfied with ICT services	97.0%	97.0%	98.2%	98.0%	John Munro
ITS ITS 001	Percentage of users who can access the Council network remotely	15.0%	20.0%	20.3%	40.0%	John Munro
ITS ITS 002	Percentage of available hours lost on ICT systems due to unplanned incidents	0.060%	0.050%	0.035%	0.050%	John Munro
RAP AUD 001	Percentage of Internal Audit plan completed	N/A	100%	100%	100%	Iain Burns
RAP CRD 001	Payment of suppliers within agreed timescales (30 days)	86.0%	82.9%	84.1%	92.0%	Susan Mackay
RAP CTA 001	Council Tax Collected Within Year	95.20%	95.30%	94.73%	96.00%	Susan Mackay
RAP CTA 007	NDR in year collection rate	96.80%	98.00%	97.66%	98.00%	Susan Mackay
RAP CTA 011	Sundry debt in year collection	83.73%	83.62%	73.15%	90.00%	Susan Mackay

Covalent Code	KPI	2011/12	2012/13	2013/14	2014/15	Lead
		Value	Value	Value	Target	
RAP CTA 014	Current rent as % of net debt	5.26%	5.45%	6.58%	6.00%	Susan Mackay
RAP CTA 019	Debt collection rates > 90 days	42.24%	39.30%	37.01%	35.00%	Susan Mackay
RAP CTA 020	Number days taken on average to process new benefits claims	26	32	47	23	Susan Mackay
RAP CTA 021	Number of days taken on average to process changes to benefits claims	8	9	15	8	Susan Mackay
RAP CTA 022	Percentage of applications to Local Social Fund processed within 2 days (Crisis grants)	N/A	N/A	100.00%	100.00%	Susan Mackay
RAP CTA 023	Percentage of applications to Local Social Fund processed within 28 days (Community Care grants)	N/A	N/A	100.00%	100.00%	Susan Mackay
RAP PAY 001	Accuracy of payroll information	99.71%	99.60%	99.88%	99.90%	Lisa Simpson
RAP PAY 002	Percentage of payroll queries resolved within 2 days	N/A	N/A	98.0%	98.0%	Lisa Simpson
SUS CUS 001	Percentage of customers very or fairly satisfied with the overall service they received	N/A	86.60%	64.00%	90.00%	Julie Burnett
SUS CUS 002	Percentage of customers very or fairly satisfied with the way the service handled any problems	N/A	84.50%	70.00%	90.00%	Julie Burnett
SUS CUS 003	Percentage of customers very or fairly satisfied with the quality of information they received	N/A	86.00%	62.00%	90.00%	Julie Burnett
SUS CUS 004	Number of formal complaints received for Support Services	6	3	0	4	Julie Burnett
SUS PPL 003	Number of Support Services staff recorded as having completed a PRD	N/A	67.0%	88.4%	100.0%	Julie Burnett
SUS SUS 002	Percentage of Support Services projects completed on time	N/A	82%	89%	95%	Julie Burnett
SUS SUS 003	Percentage of Support Services projects proceeding within agreed timescales	N/A	92.00%	82.00%	90.00%	Julie Burnett
SUS SUS 013	Percentage of statutory returns submitted within deadlines (RTI, HMRC, NDR, CTR, DHP, VAT, LFR, Pobe, Capital Returns)	N/A	N/A	95%	100%	Julie Burnett

## 2 Corporate KPIs



Covalent Code	KPI	2011/12	2012/13	2013/14	2014/15	Lead
		Value	Value	Value	Target	
ACC ACC 009	Ratio of capital financing costs to the net revenue stream for General Fund	7.93%	7.75%		7.90%	Liz Shaw
ACC ACC 010	Ratio of capital financing costs to the net revenue stream for Housing Revenue Account	20.63%	18.50%	18.50%	18.50%	Liz Shaw
ACC B01 COU	Performance against phased budgeted spend - Council	N/A	N/A		100.0%	Liz Shaw
ACC FNR COU	Target level of uncommitted financial reserves is achieved. (£3.6m)	£3,760k	£6,300k		£3,500k	Liz Shaw
GOV FOI COU	Percentage of Council Freedom of Information requests dealt with within timescale	97.4%	98.3%	96.0%	100.0%	Lisa Simpson
GOV HAS 003	Percentage of managers who have reviewed their Health and Safety Risk Assessment in the last 12 months	50.0%	75.0%	N/A	100.0%	Julie Burnett
GOV PRC 001	Percentage score in procurement capability assessment	31.0%	31.0%	37.0%	40.0%	Julie Burnett
GOV SAB 01c	Average Days Sickness Absence (Teachers)	6.9 days	15.7 days	5.7 days	8.0 days	Lisa Simpson
GOV SAB 01d	Average Days Sickness Absence (Other Local Government)	7.9 days	21.1 days	7.9 days	7.0 days	Lisa Simpson




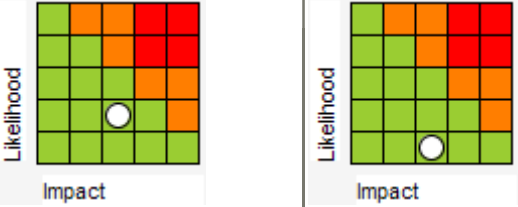

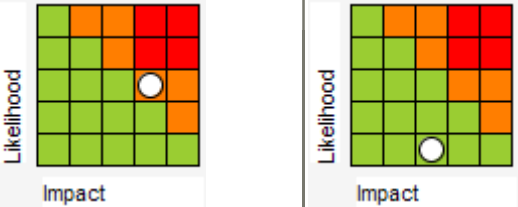
**3 Actions**


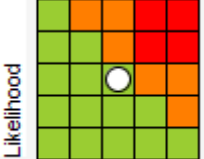
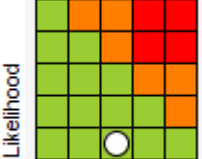

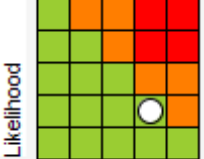
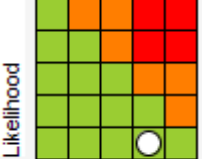

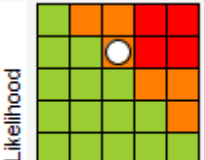
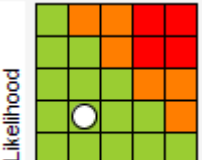
Covalent Code	ACTION	Impact	By When	Lead
ACC ACC 001	Complete review of financial regulations and make proposals for amendments and change	Council financial processes and transactions comply with legislative requirements and are fit for the Council's purpose	30-Sep-2014	Susan Mackay; Liz Shaw
GOV GOV 001	Implement relevant actions derived from revised People Strategy	The Council develops the workforce it needs to deliver services and functions in the future. Links with <i>Making Clackmannanshire Better</i> . (MBC)	31-Mar-2016	Lisa Simpson
GOV GOV 002	Complete the job families project (single status) (Phase 1)	Rationalisation of the number of job types across the Council's services. Delivers consistency and resolves the issues resulting from implementing the Living Wage. Links with <i>Making Clackmannanshire Better</i> . (MBC)	31-Mar-2016	Lisa Simpson
GOV GOV 003	Deliver phase 2 of the HR / Payroll project. Identify opportunities for efficiencies and more effective working practices.	Implementation of phase 2 will include H&S and L&D modules, making best use of new system and delivering efficiencies across the organisation.	30-Jun-2014	Susan Mackay; Lisa Simpson
ITS ITS 001	Support the implementation of the SWIFT case management system for social services (childcare)(Phase 1)	Childcare team able to access and work on same system as colleagues in Stirling	31-Mar-2015	Derek Barr; John Munro
RAG RAG 001	Support the changes to enable new ways of working	Provides employees with the technology required to carry out their work through more opportunities for remote access and flexible working practices.	31-Mar-2015	John Munro; Liz Shaw; Lisa Simpson
RAG RAG 002	Investigate how communication processes could be improved across Resources and Governance teams and take action to make improvements	A consistent approach to communication such as emails, team meetings and the sharing of information. Employees will develop an improved understanding of future plans and what is happening across the Council. Employees will be better informed and invited to provide constructive feedback. Feedback loops to be developed to confirm actions taken as a result of feedback.	31-Mar-2015	Julie Burnett
RAG RAG 003	Consider every opportunity to manage the contraction of numbers of employees through the provision of advice and support to other services. Ensure the same principles are applied to Resources and Governance opportunities - consider service redesign and different delivery methods.	Enables further savings to be made that contribute to the overall requirement savings target of £25m over four years.	31-Mar-2015	Chris Alliston

Covalent Code	ACTION	Impact	By When	Lead
RAG RAG 004	Develop existing team Leaders and Service managers to realise their potential to lead teams through the challenges facing the Council in the next four years. Each service to develop a succession plan and put in place a development plan that will support it. Build capacity of existing teams and individuals through identifying gaps in knowledge and skills and identifying appropriate training or learning required.	The services build in capacity and provide career progression for teams and individuals. Gaps in skills and knowledge are bridged resulting in more motivated teams and driving out further efficiencies.	31-Oct-2014	John Munro; Liz Shaw; Lisa Simpson
RAG RAG 005	Deliver actions and projects required to support the outcomes of the Making Clackmannanshire Better Programme. Particular focus on Workstream 5, making the Organisation Stronger.	The Council's transformation programme is delivered with improved outcomes for Clackmannanshire communities and efficiencies are generated leading to further savings.	31-Mar-2015	John Munro; Liz Shaw; Lisa Simpson

**Resources & Governance Risk Register 2014/15**

<b>RISK</b>	RAG RAG 001	Lack of corporate compliance with processes for legal, financial, technological and HR input into significant projects.	<b>Status</b>		<b>Current Rating</b>	8	<b>Target Rating</b>	8
<b>Managed By</b>	Julie Burnett; John Munro; Liz Shaw; Lisa Simpson							
<b>Potential Effect</b>	Council suffers reputational or financial loss and/or is unable to maximise best value as project outcome. Service has to change approach or objective to ensure corporate or legislative compliance. Dissatisfied customer.							
<b>Related Actions</b>					<b>Internal Controls</b>	Governance Panel Governance Improvement Plans Governance & Audit Processes		
<b>RISK</b>	RAG RAG 002	Services not aware of or not applying appropriate Council governance framework and strategy in practice.	<b>Status</b>		<b>Current Rating</b>	15	<b>Target Rating</b>	10
<b>Managed By</b>	John Munro; Liz Shaw; Lisa Simpson							
<b>Potential Effect</b>	Council suffers reputational or financial loss and/or is unable to maximise best value.							
<b>Related Actions</b>					<b>Internal Controls</b>	Governance Panel Governance Improvement Plans Governance & Audit Processes		

<b>RISK</b>	RAG RAG 003	Support service professional and technical guidance and advice is not followed.	<b>Status</b>		<b>Current Rating</b>	15	<b>Target Rating</b>	5
<b>Managed By</b>	Julie Burnett							
<b>Potential Effect</b>	Risk to council and corporate management team of increased financial commitment, poor practice and reputational damage. Negative publicity or potential to overspend. Reactive actions required to fix problems - resource is diverted from planned work.							
<b>Related Actions</b>					<b>Internal Controls</b>			
<b>RISK</b>	RAG RAG 004	No single information point that provides a complete view of corporate projects and corporate asset management plans. Require complete understanding of Business Transformation Process that will provide future direction for Council	<b>Status</b>		<b>Current Rating</b>	6	<b>Target Rating</b>	3
<b>Managed By</b>	Julie Burnett							
<b>Potential Effect</b>	Unable to provide effective and relevant advice when required. Unable to shape support services to ensure effective and efficient use of resources to support achievement of vision.							
<b>Related Actions</b>					<b>Internal Controls</b>	Making Clackmannanshire Better Programme		
<b>RISK</b>	RAG RAG 005	Failure or unavailability of secure ICT systems.	<b>Status</b>		<b>Current Rating</b>	12	<b>Target Rating</b>	3
<b>Managed By</b>	John Munro							
<b>Potential Effect</b>	Impact on other services / remainder of Council / public							
<b>Related Actions</b>					<b>Internal Controls</b>	Information & Communication Technology Strategy Business Continuity Plans		

<b>RISK</b>	RAG RAG 006	Rising stress levels across wider support services teams and other services	<b>Status</b>		<b>Current Rating</b>	9	<b>Target Rating</b>	3	
<b>Managed By</b>	Julie Burnett; John Munro; Liz Shaw; Lisa Simpson					 Likelihood Impact		 Likelihood Impact	
<b>Potential Effect</b>	Impact on teams, Managers and individuals is increased workloads leading to incidents of stress in some employees. Impact on service delivery - reduced level of service, increase in workload for remaining employees.								
<b>Related Actions</b>						<b>Internal Controls</b>	Health & Safety Management System Maximising Attendance & Employee Wellbeing Policy		
<b>RISK</b>	RAG RAG 007	Financial loss through system or process failure	<b>Status</b>		<b>Current Rating</b>	8	<b>Target Rating</b>	4	
<b>Managed By</b>	Susan Mackay; Liz Shaw					 Likelihood Impact		 Likelihood Impact	
<b>Potential Effect</b>	Unable to mitigate the risk of unrecovered income (debt); expenditure controls are ineffective due to lack of time, resource, external factors or system failure								
<b>Related Actions</b>						<b>Internal Controls</b>	Financial Regulations Governance & Audit Processes		
<b>RISK</b>	RAG RAG 008	Number of Resources and Governance and Corporate projects requiring input from one or more Resources and Governance teams	<b>Status</b>		<b>Current Rating</b>	12	<b>Target Rating</b>	4	
<b>Managed By</b>	Julie Burnett					 Likelihood Impact		 Likelihood Impact	
<b>Potential Effect</b>	Resource is diverted to projects resulting in fall in quality or delays in "business as usual"								
<b>Related Actions</b>						<b>Internal Controls</b>	Business Planning Process		