
Report to Resources & Audit Committee

Date of Meeting: 18 June 2015

Subject: Resources and Governance Performance Review 2014-15

Report by: Head of Resources and Governance

1.0 Purpose

- 1.1. This paper is a report to the Committee on the Resources and Governance Service performance for 2014/15.
- 1.2. The report includes financial performance with the aim of providing an overview of performance against budget for 2014/15.

2.0 Recommendations

- 2.1. The Committee is asked to note the report, comment on and challenge performance as appropriate.

3.0 Overview

- 3.1 During the year Resources and Governance (R&G) was established incorporating Assets and transferring Revenue and Payments to Housing and Community Safety.
- 3.2 The Service's vision is "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".
- 3.3 This vision requires excellence from each and every member of the R&G service at an individual, team and service level and a focus on how we can change to better support the Council and the other Services to help them meet the financial and service delivery challenges that they face.
- 3.4 The creation of R&G has provided an opportunity for the previous Support Service teams to benefit from new perspectives brought from the Assets team in regard to project management and the challenges

of front line customer service delivery. In turn the Assets team have also been at the forefront of adopting new ideas and have recently piloted cross cutting initiatives such as workforce planning.

- 3.5 After a year of structural change and leadership transition with the appointment of a new Head of Service, R&G is beginning to identify a new role for itself within the Council based on value adding partnership approaches and the full utilisation of new and existing technologies to drive process improvement and deliver efficiencies.

4.0 Cross Cutting achievements

4.1 Kilncraigs Move

- 4.1.1 R&G was instrumental in the Council's move to its newly refurbished HQ at Kilncraigs. Staff worked tirelessly to ensure a successful move and ensured that space planning, ICT and the logistics of the move were carried out professionally and minimised disruption to service delivery.

4.2 Customer Focus

- 4.2.1 R&G successfully gained Customer Service Excellence re-accreditation with a number of compliance plus awards for particular customer service practices. The R&G customer survey and ICT specific survey show improving levels of satisfaction with the services provided.

4.3 Shared Services

- 4.3.1 All Service Managers have been involved in meetings with Ernst Young in regard to the shared service business case. The Head of R&G is a member of the project board. Substantial work has been undertaken to provide data to the EY consultants.

4.4 Financial Performance

- 4.4.1 R&G, net of Assets, had a £39k revenue overspend relative to a £7.12m budget. Whilst no overspend is acceptable this very modest overspend reflects a number of areas of spend which were not anticipated. This includes:

- £68K Valuation of Assets in Accountancy.
- £52K Reduced DWP Admin Grant in Revenues.
- £96K unexpected fee from Sheriff Officers for outstanding cases being transferred to new contracted Sheriff Officers.
- £122K cost of Payroll staff and new HR/Payroll System team.
- £37K Occupational Health, Cognitive Behaviour Therapy and Physiotherapy costs.
- £105K Centralised IT (£45k of which was a one off Settlement Court Action charge for a cancelled contract).

4.4.2 Overspends were offset by the proactive management of vacancies and £42k of additional income through charging for services. A more detailed breakdown of the Service's financial performance is at Appendix 2.

4.5 Staff Management

4.5.1 R&G's performance in managing staff is improving. PDRs have not been consistently completed and greater use needs to be made of iTrent to manage absence but management action have been identified to address the gaps. A number of staff at Team Leader and Service Manager level have left the service through VS and resignation which will create opportunities to review services and develop a new culture. R&G's management team will continue to work to improve communication throughout the service.

4.6 Performance Management

4.6.1 The range of indicators, risks and actions used to monitor performance are detailed in the Covalent reports in Appendix 1. Generally, across the range of performance measures, R&G has demonstrated progress against most activities and performance has met or exceeded the performance indicators. Reports have been regularly submitted to the Resources and Audit Committee and areas of under performance have been discussed. A more relevant set of indicators, risks and actions does need to be developed and work will be ongoing through 2015/16 to ensure that measures are driving the appropriate behaviours and change.

4.7 Annual Governance Statements

4.7.1 The Council's Annual Governance process is managed jointly by a number of R&G teams. This process provides a logical framework of assurance statements aligning with CIPFA best practice guidelines. Senior management from each service are then questioned on governance issues relating to their service by R&G experts. Assurance statements are provided to the Chief Executive about good governance and areas for improvement. The Chief Executive uses the statements of assurance as the basis of her governance statement in the Annual Report and Accounts.

4.8 Health and Social Care Integration

4.8.1. The Governance Manager has been instrumental in working with other partners in developing the HSCI scheme for Stirling, Clackmannanshire and Forth Valley NHS Trust. The Accountancy team have also worked with the same partners to identify the appropriate financial model and the HR team have taken responsibility for the recruitment of the HSCI Joint Board's Chief Officer.

5.0 Team Achievements

5.1 HR and Payroll

- 5.1.1 During the year the HR team took on responsibility for the Payroll team. This has involved overseeing the completion of Phase 1 of the implementation of the Midland iTrent system which is both a payroll and HR management system. Phase 1 of the project was designed to provide a full payroll service. This element of the project went from design to implementation without the appropriate checks and balances and as a consequence the system has been under-performing and not delivering the anticipated benefits. This has created operational consequences for the Payroll team with manual processes having to be used to provide pension returns to our pension provider. Work is ongoing with Midland to review the system blueprint and provide a more robust product that can support the new career average pension arrangements that were introduced in April 2015.
- 5.1.2 Phase 2 of the iTrent project has been delivered enabling employee and managerial self-service which has the benefit of allowing managers to approve different categories of leave electronically, manage absence and review a range of performance reports. A pilot was also introduced for payslips to be provided electronically reducing the reliance on a manually intensive paper based process.
- 5.1.3 HR led the Voluntary Severance process and managed the policy and processes involved in Phase 5 of the current VS arrangements. Lessons have been learned from this process that will help shape future VS approaches.
- 5.1.4 HR professionals provided a range of support to Services in regard to recruitment, absence, capability and disciplinary processes.

5.2 Accountancy

- 5.2.1 The Accountancy teams have supported the Council by providing the systems and processes to manage the Council's budgeting and treasury functions. Regular reports are provided to the R&A Committee and Council in regards to financial performance. The team also managed the production of the 2014/15 Annual Report and Accounts.
- 5.2.2 Work was started work with ICT to procure a new financial ledger system which will provide a more flexible and accurate system for the management of the Council's financial processes and will enable Accountancy staff to re-focus their services and seek process efficiencies.

5.3 ICT

- 5.3.1 The ICT team are at the forefront of a number of business change initiatives as well as providing the day to day functionality for a range of business critical ICT applications. As reported in Appendix 1 the uptime statistics are an impressive reflection of a stable and reliable system. Particularly noteworthy projects include the establishment of the ICT infrastructure in Kilncraigs, work on developing the Clacks Kids App (a mobile application that allows users to access information about children's events and activities in Clackmannanshire) as part of a NESTA (National Endowment for Science Technology and the Arts) open data project working with 4 Scottish local authorities, the fit out of Redwell Primary School and Spiers Centre and the centralisation of IT budgets providing a council-wide view of all ICT spend which will help identify efficiencies for future years.
- 5.3.2 A major security project was completed successfully moving the Council from the GSX network to the Government's new PSN network with no downtime for users. In addition systems and processes were updated to comply with the change from the Government Protective Marking Scheme to the Security Classification Scheme.

5.4 Assets

- 5.4.1 The Assets team provide a broad range of services. This includes project managing a range of capital projects and maintaining property with the goal of improving the quality and utilisation of the council's property assets. A dedicated resource is deployed on ensuring compliance with the Council's PPP school's contracts and around £150k has been recovered due to under-performance. A project to capture all of the Council's building plans electronically is now well advanced.
- 5.4.2 Reviews were initiated looking at janitorial and cleaning services to drive up professional skills and value for money. Class Cuisine have delivered school meals across the Council's school estate. Take up of school meals in Clackmannanshire is the highest in Scotland. Class Cuisine also seamlessly managed the implementation of the Scottish Government's P1 to P3 free school meals initiative. Capacity in the catering facility has been increased and options for providing more meals in the community are being explored.

5.5 Governance

- 5.5.1 The Internal Audit and Fraud team delivered its programme of Audits and completed 17 reviews reporting regularly to the R&A Committee. Improvements have been made in tracking actions from audit reports. The Fraud team identified a significant number of suspected frauds relating to housing benefit and council tax and took action to secure

under-recovered payments to the council. Additionally the team's skills have been utilised in a number of complex internal investigations.

- 5.5.2 The Procurement Manger led improvements to procurement processes and an 8 percentage point improvement in the Council's procurement capability assessment was secured. An extensive report into the operation of procurement activity in the council was also presented to the R&A Committee. New procurement legislation will be introduced in 2015 and preparations are underway to re-develop the Council's Contract Standing Orders.
- 5.5.3 The Legal Services Team have worked particularly on clearing the backlog of social work cases as well as providing clerking services, conveyancing advice and other ad hoc legal support as required.
- 5.5.4 The Health and Safety team have focussed on the implementation of stress risk assessments and stress awareness tools. The team oversees and supports the completion of health and safety risk assessments and undertook a number of investigations into health and safety incidents. The team provides a crucial service in ensuring that the Council can meet its statutory obligations in regard to health and safety and relegated legislation.
- 5.5.5 The Democracy team successfully managed the Scottish referendum ensuring that Clackmannanshire took its place on the world stage as the first local authority to declare its results. Lessons learned from the referendum and the management of election nights were taken forward into the preparations for the UK elections in May 2015.

6.0 Conclusion

- 6.1 The R&G service was created in 2014/15 at a time of immense change in the Council as the pace of ongoing service transformation and financial pressures have increased. The prognosis for the next few years is that these pressures will increase even further. R&G has managed to deliver its business as usual services alongside a number of change initiatives to a good standard. However to meet its own internal service and financial challenges as well as supporting other council services R&G must continue to evolve and review how it delivers what it does, as well as ensuring the continuing relevance of those services to the Council and its service users.

7.0 Sustainability Implications

- 7.1 There are no sustainability implications.

8.0 Resource Implications

- 8.1 *Financial Details*

- 8.2 The full financial implications of the recommendations are set out in the report. This includes a reference to full life cycle costs where appropriate. No
- 8.3 Finance has been consulted and have agreed the financial implications as set out in the report. Yes

9.0 Exempt Reports

- 9.1 Is this report exempt? No

10.0 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)

Financial Regulations.

11.0 Equalities Impact

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

12.0 Legality

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

13.0 Appendices

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

Appendix 1 - Covalent report

14.0 Background Papers

14.1 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

Author(s)

NAME	DESIGNATION	TEL NO / EXTENSION
Stephen Coulter	Head of Resources & Governance	2022

Approved by

NAME	DESIGNATION	SIGNATURE
Stephen Coulter	Head of Resources and Governance	
Nikki Bridle	Depute Chief Executive	

Guide to symbols used in this report

ACTIONS		PIs			
Status		Long Term Trends		Short Term Trends	
	Overdue		Improving		Improving
	Completed		No Change		No Change
			Getting Worse		Getting Worse
			No comparison available - May be new indicator or data not yet available		









Summary of service performance by Corporate Priority Outcome

1 Resources & Governance KPIs									
	PIs		8		3		10		3

2 Corporate KPIs									
	PIs		3		1		1		4

3 Actions									
	Actions		2		2		5		0

Resources and Governance Performance Indicators 2014-2015

Code	Description	2012/13	2013/14	2014/15			Latest Note	Lead
		Value	Value	Target	Value	Long Trend		
ACC ACC 011	Percentage of service financial reports produced to monthly deadlines	N/A	100%	100%	TBC		Value to follow once outturn is confirmed.	Stephen Coulter
ACC B01 RAG	Performance against phased budgeted spend - Resources and Governance	92.8%	98.3%	100.0%	TBC		Value to follow once outturn is confirmed.	Stephen Coulter;
GOV AB2 RAG	Service sickness absence level (Resources & Governance)	6.61%	4.67%	3.25%	4.32%		Absence percentage is comparable with the overall Council values, however this value is high for 2014/15. Previous years calculations are based on Support Services structure. This year there have also been a number of long term sickness absence cases as well as higher than the R&G service average levels of absence coming from Assets.	Stephen Coulter;
GOV CNQ RAG	Percentage of Resources and Governance Councillor Enquiries dealt with within timescale	89.5%	87.7%	100.0%	83.8%		This is a disappointing slip and greater focus will be placed on monitoring timescales on formal correspondence in 2015-16	Stephen Coulter;
GOV FOI RAG	% FOI enquiries responded to within timescale: Resources & Governance	98.10%	97.20%	100.00%	92.03%		The number of enquiries responded to within timescale has reduced, however we are continuing to work with services to promote the importance of responding on time.	Stephen Coulter;
GOV HAS 003	Percentage of managers who have reviewed their Health and Safety Risk Assessment in the last 12 months	75.0%	N/A	100.0%	75.0%		Governance, IT and Assets are complete. Due to changes to the Accountancy Managerial structure there has been some slippage here, however advice has been provided and this will be completed in the coming weeks	Stephen Coulter;
ITS CUS 001	Percentage of customers satisfied with ICT services	97.0%	98.2%	98.0%	94.8%		Performance is below target, though it is still very high. A number of issues have impacted on customer service this year including staff absence and a high volume of project work	John Munro
ITS ITS 001	Percentage of users who can access the Council network remotely	20.0%	20.3%	40.0%	21.7%		Small increase in users with remote access. All requests for remote access have been satisfied. Likely that the target was aspirational, anticipating	John Munro









Code	Description	2012/13	2013/14	2014/15			Latest Note	Lead
		Value	Value	Target	Value	Long Trend		
							more mobile working with the move to Kilncraigs than has actually been required.	
ITS ITS 002	Percentage of available hours lost on ICT systems due to unplanned incidents	0.050%	0.035%	0.050%	0.060%	↓	Narrowly missed target by 0.01%. This represents an availability figure of 99.94 availability. Performance impacted badly by number of incidents in Q1 caused by faulty fibre optic cables installed in the new Kilncraigs building. Once this was resolved availability improved steadily throughout the year being above target in Q3 and Q4	John Munro
RAG CUS 001	Percentage of customers very or fairly satisfied with the overall service they received	86.60%	64.00%	90.00%	76.00%	↑	A survey was in the field for two weeks leading up to 22nd May 2015	Stephen Coulter;
RAG CUS 002	Percentage of customers very or fairly satisfied with the way the service handled any problems	84.50%	70.00%	90.00%	71.00%	↑	A survey was in the field for two weeks leading up to 22nd May 2015	Stephen Coulter;
RAG CUS 003	Percentage of customers very or fairly satisfied with the quality of information they received	86.00%	62.00%	90.00%	74.00%	↑	A survey was in the field for two weeks leading up to 22nd May 2015	Stephen Coulter;
RAG CUS 004	Number of formal complaints received for Resources and Governance	3	0	4	2	↓	Two complaints were resolved which completed within the Stage timescales.	Stephen Coulter;
RAG PPL 003	Number of Resources and Governance staff recorded as having completed a PRD	67.0%	88.4%	100.0%	80.0%	↑	With Assets transferring in to R&G an exact figure for PRD completion is not possible because the processes have not been adhered to consistently. An approximate completion rate of 80% is assumed from the returns that are available. Much closer monitoring of PRD completion will be undertaken in 2015/16 and it is a clear commitment that all staff irrespective of role or grade should expect to have a PRD completed,	Stephen Coulter;
RAG RAG 002	Percentage of Resources and Governance projects completed on time	82%	89%	95%	92%	↑	All ICT Capital projects completed within year; iTrent project is the key project running behind schedule which means that performance overall is running marginally behind target. Project management identified as priority area for standardisation of processes	Stephen Coulter; John Munro;


Code	Description	2012/13	2013/14	2014/15			Latest Note	Lead
		Value	Value	Target	Value	Long Trend		
RAG RAG 003	Percentage of Resources and Governance projects proceeding within agreed timescales	92.00%	82.00%	90.00%	83.00%	↓	All ICT Capital projects completed within year; iTrent project is the key project running behind schedule which means that performance overall is running marginally behind target.	Stephen Coulter; John Munro;
RAG RAG 013	Percentage of statutory returns submitted within deadlines (RTI, HMRC, NDR, CTR, DHP, VAT, LFR, Pobe, Capital Returns)	N/A	95%	100%	90%	↓	Seven of the financial statutory returns have been completed within deadline. Two are expected to be submitted with deadline. An issue with the iTrent system delayed the submission of the LGP return, however this has now been submitted.	Stephen Coulter;
RAP AUD 001	Percentage of Internal Audit plan completed	100%	100%	100%	100%	▬	Final or draft reports for all reviews from the 2014/15 Internal Audit and Fraud Plan have now been issued. Annual Assurance Statements presented to April R&A. Work on 15/16 plan has now commenced.	Iain Burns
RAP CRD 001	Payment of suppliers within agreed timescales (30 days)	82.9%	84.1%	92.0%	87.7%	↑	Remains constant but will be reviewed to improve supplier payment days	Derek Barr
RAP PAY 001	Accuracy of payroll information	99.60%	99.88%	99.90%	99.97%	↑	The PI is calculated on the number of daily payment vouchers generated after the main payroll has run and will need to be reviewed as the method of calculation does not demonstrate all areas of service failure. Based on the current methodology performance has remained consistent.	Chris Alliston
RAP PAY 002	Percentage of payroll queries resolved within 2 days	N/A	98.0%	98.0%	96.8%	↓	Due to visibility of payroll information on iTrent, there has been a reduction in the number of simple payroll queries received. Queries now tend to be more involved and of a more complex nature, which is reflective in the reduction in response times.	Chris Alliston

Housing and Community Safety - Revenues Performance Indicators 2014-2015 (Formerly RAG)





Code	Description	2012/13	2013/14	2014/15			Latest Note	Lead
		Value	Value	Target	Value	Long Trend		
RAP CTA 011	Sundry debt in year collection	83.62%	73.15%	90.00%	73.95%	↓	Slight improvement on 14/15. Work ongoing with services to streamline invoice processing to ensure that debt is recoverable.	Elizabeth Hutcheon
RAP CTA 007	NDR in year collection rate	98.00%	97.66%	98.00%	97.26%	↓	Collection is in line with previous year	Elizabeth Hutcheon
RAP CTA 014	Current rent as % of net debt	5.45%	6.58%	6.00%	7.40%	↓	This has been fairly constant through out the year peaking at 7.85% in November. Working closely with Vanguard to improve overall position.	Elizabeth Hutcheon
RAP CTA 019	Debt collection rates > 90 days	39.30%	37.01%	35.00%	33.46%	↑	Improvement on last year and lower than target. As reported above in CTA011 work is ongoing with services who have responsibility for the debt.	Elizabeth Hutcheon
RAP CTA 01a	Council tax collected within year (excluding reliefs & rebates)	95.32%	94.73%		94.97%	↓	Collection levels have been maintained. Work ongoing with our software supplier to improve reporting and allow vigorous recovery. Closer monitoring of new sheriff officer contract and closer working will see improved collections in 15-16	Elizabeth Hutcheon
RAP CTA 020	Number days taken on average to process new benefits claims	32	47	23	32	↑	Still above the Scottish average but significant improvement made on last years processing days of 47. Work ongoing with Vanguard to improve processing times	Elizabeth Hutcheon
RAP CTA 021	Number of days taken on average to process changes to benefits claims	9	15	8	12	▬	Still above the Scottish average but significant improvement made on last years processing days of 15. Work ongoing with Vanguard to improve processing times	Elizabeth Hutcheon
RAP CTA 022	Percentage of applications to Local Social Fund processed within 2 days (Crisis grants)	N/A	100.00%	100.00%	100.00%	▬	Applications are being processed within the stated times	Elizabeth Hutcheon
RAP CTA 023	Percentage of applications to Local Social Fund processed within 28 days (Community Care grants)	N/A	100.00%	100.00%	100.00%	▬	Performance remains consistent, with all applications being processed within the prescribed timescales.	Elizabeth Hutcheon

Resources and Governance Corporate Performance Indicators 2014-2015


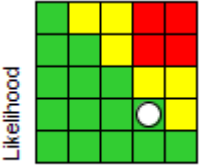
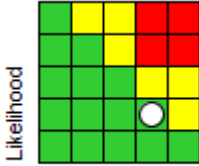

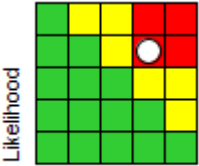
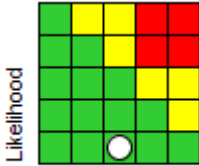
Code	Description	2012/13	2013/14	2014/15			Latest Note	Lead
		Value	Value	Target	Value	Long Trend		
ACC ACC 009	Ratio of capital financing costs to the net revenue stream for General Fund	7.75%	6.59%	7.90%	TBC		Value to follow once outturn is confirmed.	Lindsay Sim
ACC ACC 010	Ratio of capital financing costs to the net revenue stream for Housing Revenue Account	18.50%	8.00%	18.50%	TBC		Value to follow once outturn is confirmed.	Lindsay Sim
ACC B01 COU	Performance against phased budgeted spend - Council	N/A		100.0%	TBC		Value to follow once outturn is confirmed.	Ashley MacGregor
ACC FNR COU	Target level of uncommitted financial reserves is achieved. (£3.6m)	£6,300k		£3,500k	TBC		Value to follow once outturn is confirmed.	Lindsay Sim
GOV AB1 OTR	Average Days Sickness Absence (Other Local Government)	21.1 days	7.9 days	7.0 days	9.72 days		Absences have increased across the Council in 2014/2015, predominately this is a result of absences being of a longer term nature i.e. absences 28 days or over. With the introduction of iTrent absences are also more likely to be recorded by service areas, giving a more accurate picture.	Chris Alliston
GOV FOI COU	Percentage of Council Freedom of Information requests dealt with within timescale	98.3%	96.0%	100.0%	92.9%		The number of enquiries responded to within timescale has reduced, however we are continuing to work with services to promote the importance of responding on time.	Andrew Hunter
GOV HAS 003	Percentage of managers who have reviewed their Health and Safety Risk Assessment in the last 12 months	75.0%	N/A	100.0%	75.0%		Governance, IT and Assets are complete. Due to changes to the Accountancy Managerial structure there has been some slippage here, however advice has been provided and this will be completed in the coming weeks	Stephen Coulter;
GOV PRC 001	Percentage score in procurement capability assessment	31.0%	37.0%	40.0%	45.0%		There has been a significant improvement on the 2013/14 value, which has been the single largest improvement year on year in this PI. This is the final year of this assessment in its current form. A new assessment regime is being developed and will not be in place until 2016. There will not be an ability to compare the old assessment to the new one. The next assessment will therefore be a baseline figure.	Stephen Coulter;


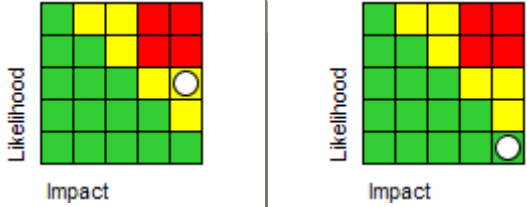

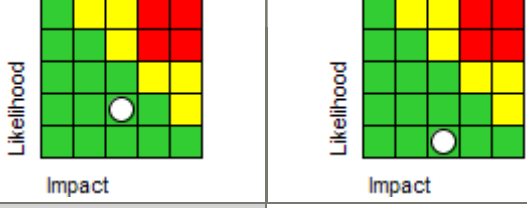
Code	Description	2012/13	2013/14	2014/15			Latest Note	Lead
		Value	Value	Target	Value	Long Trend		
GOV AB1 ED1	Average Days Sickness Absence (Teachers)	15.7 days	5.7 days	8.0 days	8.24 days		Absences have increased across the Council in 2014/2015, predominately this is a result of absences being of a longer term nature i.e. absences 28 days or over. With the introduction of iTrent absences are also more likely to be recorded by service areas, giving a more accurate picture.	David Leng


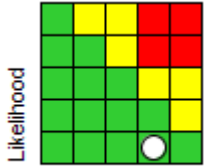
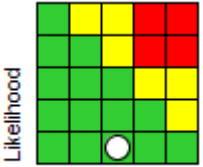
Resources and Governance Actions 2014-2015


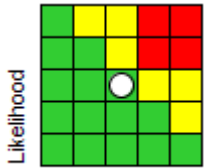
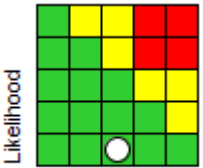
Covalent Code	ACTION	By When	Lead	Progress Bar	Expected Outcome	Latest Note
ACC ACC 001	Complete review of financial regulations and make proposals for amendments and change	31-Oct-2015	Stephen Coulter	<div style="width: 50%;"><div style="background-color: #4f81bd; height: 10px;"></div></div> 50%		Turnover in the role of Chief Accountant has delayed progress. New financial regulations will also need to reflect changing processes that will be instituted as part of the investment in a new Finance system. However the age of the current regulations means that the underlying principle need to be reviewed and a new set of regulations progresses as a matter of urgency for the new chief Accountant
GOV GOV 001	Implement relevant actions derived from revised People Strategy	31-Mar-2016	Stephen Coulter	<div style="width: 65%;"><div style="background-color: #4f81bd; height: 10px;"></div></div> 65%		This action will be superseded by organisational development work and other HR developments that will support MCB. In Q4 of 2014-15 workforce planning and job families projects were restarted and capital allocated to take forward phase 3 of the iTrent project
GOV GOV 002	Complete the job families project (single status) (Phase 1)	31-Dec-2014	Stephen Coulter	<div style="width: 60%;"><div style="background-color: #4f81bd; height: 10px;"></div></div> 60%		The job families project has been restarted and will form part of the revised approach to the workforce strands of MCB
GOV GOV 003	Deliver phase 2 of the HR / Payroll project. Identify opportunities for efficiencies and more effective working practices.	30-Jun-2014	Stephen Coulter	<div style="width: 100%;"><div style="background-color: #4f81bd; height: 10px;"></div></div> 100%		Phase 2 is complete. issues remain in signing off phase 1 in regard to payroll. Phase 3 which introduce H&S and L&D modules will commence in 2015-16
ITS ITS 001	Support the implementation of the SWIFT case management system for social services (childcare)(Phase 1)	31-Mar-2015	Derek Barr; Stephen Coulter; John Munro	<div style="width: 60%;"><div style="background-color: #4f81bd; height: 10px;"></div></div> 60%		All tasks assigned to R&G Staff have been completed within the required timescales. Ongoing work in connection with Data Migration and System Configuration
RAG RAG 001	Support the changes to enable new ways of working	31-Mar-2015	Stephen Coulter; John Munro	<div style="width: 100%;"><div style="background-color: #4f81bd; height: 10px;"></div></div> 100%		Hot Desking available throughout Kilncraigs. Wi-Fi available throughout Kilncraigs. Swipe card activated Printing and Scanning. IP telephony available throughout council buildings. Solutions in place which allow staff to work from any desk/location and access their computer, files and telephone
RAG RAG 002	Investigate how communication processes could be improved across Resources and Governance teams and take action to make improvements	31-Mar-2015	Stephen Coulter;	<div style="width: 100%;"><div style="background-color: #4f81bd; height: 10px;"></div></div> 100%		Improving communications is an ongoing priority and will be monitored as a business as usual activity
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.	31-Oct-2014	Stephen Coulter; John Munro	<div style="width: 100%;"><div style="background-color: #4f81bd; height: 10px;"></div></div> 100%		Learning and development is an ongoing priority and will be facilitated via PRDs and the workforce planning. managers in R&G will take part in corporate training on leadership as it becomes available
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.	31-Mar-2015	Stephen Coulter; John Munro	<div style="width: 100%;"><div style="background-color: #4f81bd; height: 10px;"></div></div> 100%		The MCB programme will be refreshed during 2015-16. New actions will be generated in support providing a more specific focus for measurement and tracking


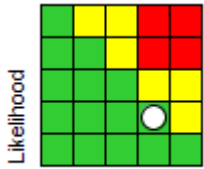
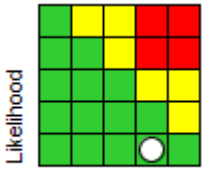
Resources and Governance Risk Register 2014-15


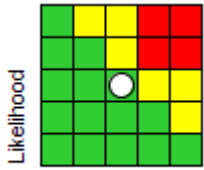
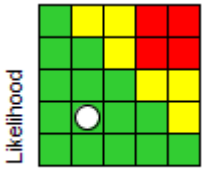
RISK	RAG RAG 001	Lack of corporate compliance with processes for legal, financial, technological and HR input into significant projects.	Status		Current Rating	8	Target Rating	8	
Managed By	Stephen Coulter; John Munro;								
Potential Effect	Council suffers reputational or financial loss and/or is unable to maximise best value as project outcome. Service has to change approach or objective to ensure corporate or legislative compliance. Dissatisfied customer.					Likelihood Impact		Likelihood Impact	
Related Actions					Internal Controls		Governance Panel Governance Improvement Plans Governance & Audit Processes		
Latest Note	Risk has reached its target rating. However, it will remain on the service Risk Register for monitoring purposes. No change as at 30.6.14								
RISK	RAG RAG 002	Services not aware of or not applying appropriate Council governance framework and strategy in practice.	Status		Current Rating	16	Target Rating	3	
Managed By	Stephen Coulter; John Munro								
Potential Effect	Council suffers reputational or financial loss and/or is unable to maximise best value.					Likelihood Impact		Likelihood Impact	
Related Actions					Internal Controls		Governance Panel Governance Improvement Plans Governance & Audit Processes		
Latest Note	January 2013 - likelihood reduced to 3 on review as improvements have been made in engaging with service management teams and through the introduction of the Governance panel. No further reduction in rating recommended as at 31.3.14.								

No change as at 30.6.14									
RISK	RAG RAG 003	R&G professional and technical guidance and advice is not followed.	Status		Current Rating	15	Target Rating	5	
Managed By	Stephen Coulter								
Potential Effect	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.								
Related Actions					Internal Controls				
Latest Note	No change to rating as at 31.3.14 as a result of review of 2013/14 and knowledge of instances where advice was not sought in a timely manner. No change as at 30.6.14, risk will be reviewed in September 2014								
RISK	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	Status		Current Rating	6	Target Rating	3	
Managed By	Stephen Coulter								
Potential Effect	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.								
Related Actions					Internal Controls		Making Clackmannanshire Better Programme		
Latest Note	The <i>Making Clackmannanshire Better</i> Programme (MCB) has assisted with the identification and rationalisation of projects across the Council by compiling a full list of corporate and service projects that will support the Council's transformation programme. These are being collated and prioritised to ensure they support delivery of the required changes in the future. Rating reduced to 2 after review in February 2014. Additional work commenced with the Senior Managers Forum that should result in this risk meeting its target rating by September 2014. Review will take place at this time.								

RISK	RAG RAG 005	Failure or unavailability of secure ICT systems.	Status		Current Rating	4	Target Rating	3	
Managed By	Stephen Coulter; John Munro								
Potential Effect	Impact on other services / remainder of Council / public					Likelihood		Impact	
Related Actions						Internal Controls		Information & Communication Technology Strategy	
								Business Continuity Plans	
Latest Note	Likelihood reduced to 1. PSN compliance achieved May 2015. Gcsx transition complete								

RISK	RAG RAG 006	Rising stress levels across wider support services teams and other services	Status		Current Rating	9	Target Rating	3	
Managed By	Stephen Coulter; John Munro;								
Potential Effect	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.					Likelihood		Impact	
Related Actions						Internal Controls		Health & Safety Management System	
								Maximising Attendance & Employee Wellbeing Policy	
Latest Note	Risk remains with rating unchanged as evidence suggests that the impact of on-going change will continue to result in stressful situations and associated reactions across the organisation. Methods of managing change as well as stress related absences are in place with objective and independent support available as required. Levels of absence due to stress being monitored with HR and H&S support for services and individuals affected. No change in rating as at 30.6.14.								

RISK	RAG RAG 007	Financial loss through system or process failure	Status		Current Rating	8	Target Rating	4
Managed By	Stephen Coulter							
Potential Effect	Unable to mitigate the risk of unrecovered income (debt); expenditure controls are ineffective due to lack of time, resource, external factors or system failure							
Related Actions			Internal Controls		Financial Regulations			
					Governance & Audit Processes			
Latest Note	<p>Introduced as a risk in January 2013 as part of review during business planning. Reviewed in January 2014 as part of business planning process. Rating unchanged in knowledge that the procurement of a new financial system will commence during 2014.</p> <p>Progress being made in the procurement of a new financial system. In the interim, current system upgraded to provide stability for short term. Debt recovery process reviewed on a regular basis. No change to rating as at 30.6.14.</p>							

RISK	RAG RAG 008	Number of Resources and Governance and Corporate projects requiring input from one or more Resources and Governance teams	Status		Current Rating	9	Target Rating	4
Managed By	Stephen Coulter;							
Potential Effect	Resource is diverted to projects resulting in fall in quality or delays in "business as usual"							
Related Actions			Internal Controls		Business Planning Process			
Latest Note	<p>Relates to issues raised during business planning process. Projects are only initiated once resource has been identified and allocated.</p> <p>Improved project management protocols and service project register contribute to this risk rating being reduced to 9. Further review to take place in September when the impact of the reduction in hours will be taken into account. The introduction of the Capital Investment Group where all Capital projects are considered also contributes to the reduction of this risk.</p>							

	Prior Year 12/13	Prior Year 13/14	Annual Budget 2014/15	Budget To 31/03/15	Actual To 31/03/15	Projected Outturn to 31/03/15	Variance Outturn v Budget	Variance Actual To Date v Bud To Date	Previous Outturn	Outturn Variance
DEPUTE CHIEF EXECUTIVE	113,013	116,518	118,350	118,350	117,143	117,903	(447)	(1,207)	117,903	0
ACCOUNTANCY	1,296,340	1,365,912	1,413,590	1,413,590	1,365,446	1,374,921	(38,669)	(48,144)	1,374,921	(0)
REVENUES & PAYMENTS	684,382	1,048,638	1,308,870	1,308,870	1,395,930	1,355,117	46,247	87,060	1,355,117	0
HEAD OF SUPPORT SERVICES	91,896	97,968	92,480	92,480	73,678	73,495	(18,985)	(18,802)	73,495	0
GOVERNANCE	1,674,813	1,811,057	1,884,350	1,884,350	1,873,088	1,938,337	53,987	(11,262)	1,938,337	0
CENTRALISED IT	0	0	617,160	617,160	722,691	716,972	99,812	105,531	713,667	3,304
IT	1,759,015	1,784,295	1,685,740	1,685,740	1,612,011	1,611,419	(74,321)	(73,729)	1,611,419	0
	5,619,460	6,224,388	7,120,540	7,120,540	7,159,988	7,188,164	67,624	39,448	7,184,860	3,304
Incurred as follows :										
Employee Related Expenditure	5,162,879	5,568,791	5,709,410	5,709,410	5,519,826	5,543,838	(165,572)	(189,584)	5,543,838	(0)
Premises Related Expenditure	0	2,327	0	0	0	0	0	0	0	0
Transport Related Expenditure	16,973	15,960	16,070	16,070	15,151	15,409	(661)	(919)	15,409	0
Supplies & Services	932,314	1,169,894	888,990	888,990	1,184,847	1,127,078	238,088	295,857	1,123,773	3,304
Third Party Payments	587,593	799,479	1,239,650	1,239,650	1,249,441	1,276,142	36,492	9,791	1,276,142	0
Transfer Payments	0	0	0	0	0	0	0	0	0	0
Support Services	0	0	0	0	0	0	0	0	0	0
Capital Financing Costs	0	0	0	0	0	0	0	0	0	0
	6,699,758	7,556,452	7,854,120	7,854,120	7,969,265	7,962,467	108,347	115,145	7,959,163	3,304
Income	-1,080,298	-1,332,064	(733,580)	(733,580)	(809,277)	(774,303)	(40,723)	(75,697)	(774,303)	0
Net Expenditure	5,619,460	6,224,388	7,120,540	7,120,540	7,159,988	7,188,164	67,624	39,448	7,184,860	3,304

