CLACKMANNANSHIRE COUNCIL

Report to Resources and Audit Committee

 Date of Meeting: 18 June 2015

Subject: Resources and Governance Service Business Plan 2015/16

Report by: Head of Resources and Governance

1.0   Purpose

1.1.   This report presents the 2015-16 Business Plan for Resources and Governance.

2.0   Recommendations

2.1   It is recommended that the Committee endorses the 2015/16 Business Plan, comment on and challenge as appropriate, and agree the performance targets for scrutiny purposes over the next 12 months.

3.0   Considerations

3.1.   The Business Plan sets out the main priorities to be pursued and the outcomes to be achieved, taking account of factors such as delivering the key priorities of the Council's Budget, Making Clackmannanshire Better, the challenging financial environment and public sector reform.

3.2.   The Business Plan identifies key issues for the Service reflecting on the challenges and provides an overview of the approaches the Service plans to take in engaging with customers and stakeholders; supporting and developing staff and managing performance. Section 4 of the Plan details the Service's key actions, risks and performance indicators.

4.0   Sustainability Implications

4.1.   Resources and Governance will aim to deliver sustainable services to both internal and external customers. The Service will support the Council's duties relating to the environment and sustainable development.

5.0   Resource Implications

5.1.   Financial Details

5.2.   The report sets out the capital and revenue budget and approved savings for delivery by Resources and Governance.

5.3.   There are no new financial implications arising from the recommendations of this report.   Yes ☐

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

5.5.   Staffing

5.6.   There are no direct staffing implications resulting from the 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? Not applicable ☑

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   Appendix 1 - Resources and Governance Business Plan 2015/16

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 ☑

Author(s)

NAME	DESIGNATION	TEL NO / EXTENSION
Stephen Coulter	Head of Resources and Governance	Extension : 2022

Approved by

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

Resources & Governance

Business Plan 2015-16

Making Clackmannanshire Better

1 SERVICE OVERVIEW

1.1 SERVICE MISSION / PURPOSE & OBJECTIVES

Resources and Governance 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.

Resources and Governance Guiding Principles

- Continuous improvement

- Customer Service Excellence

- Engaged and motivated staff

- Effective governance and financial stewardship

- Transparency

- Sustainability

- Equality

Values and Behaviours

Resources and Governance will embrace the Council's core values

Commitment, trust and partnership

Openness and accountability

Respect and Dignity

Equality, fairness and Inclusion

The Resources and Governance service core functions include

- Accountancy (corporate accounting, management accounting, procurement and creditors)

- Human Resources and Payroll

- Governance (Legal Services, Health & Safety, Democracy & FOI, Internal Audit & Fraud)

- Information Technology

- Asset Management

Mission

Our mission is to provide high quality, professional, value adding proactive advice, services and support to enable chief officers, managers, elected members and staff to deliver successfully their strategic and operational objectives.

Priorities

Our priorities are:

- Good governance and financial stewardship

- Providing high quality 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 and maintaining them to provide an excellent service to the public
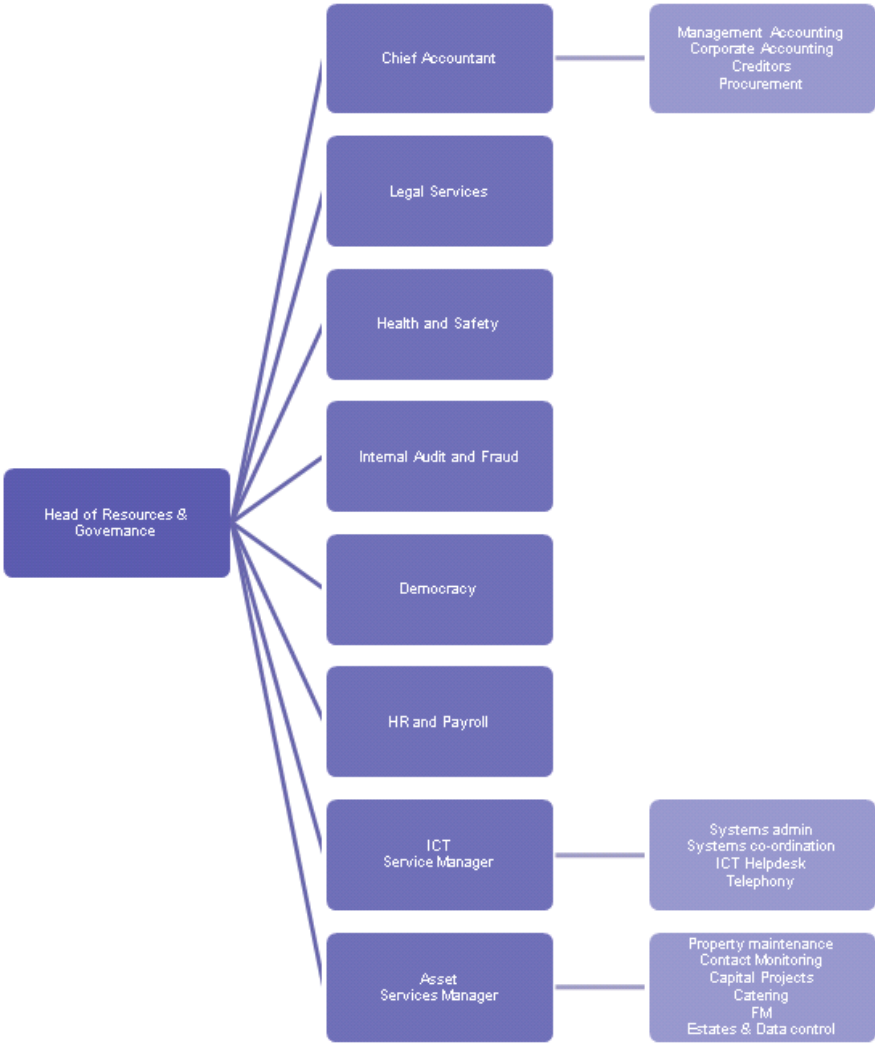
Service Objectives

In order to achieve our priorities 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 resources 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 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 business

1.2   SERVICE STRUCTURE

During 2015-16 service reviews will be taking place based on recommendations emerging from job families and workforce planning projects. The structure detailed below is an interim structure which will be subject to change during the year.

```
Head of Resources &
Governance
    ├── Chief Accountant ─── Management Accounting
    │                         Corporate Accounting
    │                         Creditors
    │                         Procurement
    ├── Legal Services
    ├── Health and Safety
    ├── Internal Audit and Fraud
    ├── Democracy
    ├── HR and Payroll
    ├── ICT
    │   Service Manager ─── Systems admin
    │                        Systems co-ordination
    │                        ICT Helpdesk
    │                        Telephony
    └── Asset
        Services Manager ─── Property maintenance
                              Contact Monitoring
                              Capital Projects
                              Catering
                              FM
                              Estates & Data control
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1.3   BUDGET

REVENUE BUDGET	£
Accountancy	1,388,130
Depute Chief Executive	119,628
Governance	1,853,843
Head of Service	93,470
IT	2,311,233
Assets	16,901,614
Total	22,667,918

CAPITAL BUDGET	£
Property	3,482,000
IT	1,420,000
Total	4,902,000

R&G have been targeted with approximately £300k of savings which will be delivered across the range of services. This will be in addition to leading on corporate-wide changes particularly in regard to staffing and ongoing work with the trade unions to identify reform to terms and conditions and generating new options for early release of staff.

The main vehicle for identifying R&G savings will be the R&G service reviews which will utilise both the job families and workforce planning projects to analyse the service offers and the range of staff required for future service delivery. Options for sharing services, particularly in the light of the Ernst Young business case on the lead authority model for education and social service will provide a particular focus. The introduction of new technologies and the better use of existing technologies both by R&G and more widely by other services will lead to process efficiencies that can translate into cash savings.

Ongoing pressure on discretionary budgets will continue and particular scrutiny will be applied to absence, overtime, energy usage, procurement and contract management to ensure that R&G activities and working practices represent best value.

The R&G elements of the Council's capital programme will utilise project management disciplines and will be overseen by relevant governance structures. The Council's Capital Investment scrutiny arrangements will be led by the Chief Accountant working closely with the Deputy Chief Executive. A specific R&G KPI will be developed for the monitoring of project progress.

2   KEY ISSUES FOR THE SERVICE

Financial
- Delivering identified savings and living within a reduced settlement.
- Identifying a sustainable model for the Resources and Governance service and undertaking the scoping and implementation of changes.

Staffing
- Ensuring that we have the staff required to deliver our mission and objectives. This is particularly sensitive given natural turnover, voluntary severance and the need to examine every opportunity to reduce headcount.
- Staff motivation and morale needs to be well understood and strategies to improve engagement need to be developed. The PDR process needs to be implemented consistently and managed on an ongoing basis as the underpinning of managing performance, setting expectations and identifying development needs.

Data Analysis
- The extraction of meaningful and reliable management information from corporate systems needs to be improved to provide an evidence base for strategic management both for R&G and more widely in the Council.

Shared Services &HSCI
- These two initiatives will require resources on an ongoing basis from R&G to properly scope and implement and are extremely likely to initiate changes in the way that R&G delivers its services and to whom.

Records Management and Data Protection
- Ownership for these corporate initiatives now formally rest with the Head of R&G. Identifying sufficient resource to take the work forward and embed a Records Management Plan needs immediate attention if the Council is to fulfil its statutory obligations.

Customers
- Customer Service Excellence re-accreditation was successfully achieved in late 2014 highlighting a positive customer service culture in R&G. However, as service re-design is taken forward it will be a challenge to change expectations of the services that R&G should be delivering. More services and transactions will be undertaken digitally and service users will need supported in being more self-sufficient.

Making Clackmannanshire Better
- The Head of R&G will be leading on the MCB initiatives "Making Our Organisation Better" and all R&G services will have responsibilities across all work streams in particular financial modelling, estate reviews and modernisation and the digitisation of Council services. MCB will present resourcing and governance challenges in ensuring that work is managed to appropriate project disciplines and suitably qualified staff are available to take part in projects and programmes.

Managing New IT Systems
- iTrent is a system with huge potential to support business change in particular HR transactional processes but difficulties are still being encountered with the pensions reporting which is undermining the delivery of the project benefits. The overall project will require to be re-scoped in the light of the difficulties encountered.
- A project to introduce a new finance system has been initiated which has the potential to deliver major operational and customer service benefits. The current finance system is unwieldy and out of date. The new system provides an opportunity to take advantage of new technologies such as cloud based computing and make a substantial step change in the quality and frequency of financial information.

UK Election
- The management of the UK election in May will be led by the Democracy team and requires input and support from across the Council as well as Perth and Kinross as the Chief Executive is the Returning Officer for the constituency of Ochill and South Perthshire. Planning may also be required, depending on the outcome of the UK election for a European referendum which could be as early as 2016.

Governance
- The Annual Governance Statement (AGS) requires an annual exercise to gather data and provide appropriate levels of assurance. Approaches will need to be explored to ensure that good governance is embedded as business as usual across the Council which will improve standards and require a less resource intensive period when the AGS is being prepared.
- Updating and reviewing key Governance documents including Financial Regulations, Contract Standing Orders and the Council's Scheme of Delegation.

Team Priorities

Each team or service is required to manage their own operational plan that sets out more detail of the actions they will be taking forward. The main priorities for each team or service are identified below.

ICT
- Develop a digital strategy to complement the existing ICT strategy and ICT asset management plan. Working with Strategy and Customer Service the digital strategy will shape the Council's approach to service transformation through ICT.
- Improve business efficiency by reviewing the use of our current ICT devices and contracts to ensure best value.

Assets
- Develop a business plan and options proposals for delivering greater revenues or efficiencies in front line services including catering and cleaning.
- Manage the successful delivery of the Assets operational plan which includes a range of capital infrastructure projects.

HR and Payroll
- Deliver further improvements to iTrent which will continue the process of automating and improving a number of HR and payroll transactions
- Lead on job families and work with the Trade Unions on the future structure of the framework of the council's terms and conditions.
- Embed and develop further the HR Business Partner Approach with the Services

Accountancy
- Exploit the opportunities presented by the introduction of a new finance system to re-structure processes and work more closely with service heads to improve budget management and business case development.

Procurement
- Revise contract standing orders to align with the introduction of new procurement legislation. The role of the Procurement Manager will need to be reviewed in the light of the new legislation to ensure that the Council is achieving best value from its procurement activities. Opportunities will also be identified for e-procurement based on the new finance system.

Internal Audit and Fraud
- Support the development of the new Single Fraud Investigation Service and will develop improvements in the way that internal audit actions points are monitored and completed throughout the council.

Democracy
- Scope out the planning requirements for a European referendum and Scottish elections and support the Head of R&G in developing and implementing a Records Management Palm.

Legal Services
- As shared services and HSCI develop, changes to the workload of the legal team will need to be assessed particularly in the light of any assumptions about increased social work workloads

Health and Safety
- Improve the management information and raising the profile of health and safety management within the council including at senior levels.

3 APPROACHES

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

- effective leadership and positive organisational culture
- positive relationships with internal and external stakeholders
- robust and effective risk management
- appropriate and effective internal controls
- sound business planning and robust performance management
- external compliance and accountability
- good information management
- effective monitoring and review

As the Council continues to make substantial organisational change the need for improved governance particularly compliance with existing policies and financial regulations and the management of projects and programmes is particularly pressing. As the service leading on governance, R&G will aim to exemplify best practice and will work with colleagues across the Council to improve project management arrangements and the realisation of project benefits plans.

3.1 CUSTOMER/STAKEHOLDER ENGAGEMENT

R&G 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 shape and improve service provision and delivery accordingly.

R&G has different mechanisms in place for engagement and feedback. 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)
- 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 is considered and where improvements are required, specific improvement action plans will be identified that will be built into business, operational and individual PRD plans.

Good communication is an integral element of effective information management. R&G will aim to be consistent and clear in our communications and will use a variety of channels 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 /policy documents/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 and local businesses through attendance at community events and forums
- direct engagement with customers through face to face meetings

3.2 SUPPORTING AND DEVELOPING STAFF

Engaged and motivated staff, equipped with knowledge, skills and experience play a crucial part in delivering high quality services to our customers.

The Personal Review and Development Process (PRD) provides clarity on staff member's particular roles, responsibilities and accountabilities and identifies development needs. It will be a key priority that each member of staff has an individual PRD meeting annually and has regular team and 1-1 meetings with their line managers throughout the year.

This business plan identifies R&G's business objectives which will 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.

A linked PRD process is key to supporting and developing staff to achieve the business objectives of the Council. 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 through further personal development. This exercise will inform future workforce planning across the organisation and align resource and development with corporate priorities. Work that will be taken forward on Workforce planning as part of Making Clackmannanshire Better should both guide and be informed by R&G's PRD activity

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.

R&G is committed to improving communication and engagement at all levels of the service and will be seeking new and innovative ways of providing meaningful and timely communications and seeking staff feedback.

3.3 MANAGING SERVICE PERFORMANCE

It is a core responsibility of staff to ensure that data relevant to their personal and where appropriate, service performance is collated and captured on the relevant 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. The Service Management Team will monitor and manage all aspects of performance, including risk management through service, team and one-to-one meetings. In 2015/16 the potential of the Covalent system as a reporting and management tool for R&G will be more formally considered, alongside other corporate systems such as iTrent to provide greater transparency and visibility of our service performance to key stakeholders.

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.

Our internal control systems must 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.

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

4   DELIVERY PLAN

R&G Indicators

Code	Description	2012/13	2013/14	2014/15	2015/16	Lead
		Value	Value	Value	Target	
ACC B01 RAG	Performance against phased budgeted spend - Resources and Governance	92.8%	98.3%	100.0%		Stephen Coulter;
RAG RAG 001	Proportion of R&G formal correspondence and enquiries responded to within timescale	No previous measure	No previous measure	No previous measure	100%	Stephen Coulter
GOV HAS RAG	Proportion of R&G Health and safety risk assessments reviewed and up to date	No previous measure	No previous measure	No previous measure	100%	Sarah Robertson
ITS CUS 001	Percentage of customers satisfied with ICT services	97.0%	98.2%	98.0%	98%	John Munro
ITS ITS 002	Percentage of available hours lost on ICT systems due to unplanned incidents	0.050%	0.035%	0.050%	0.05%	John Munro
RAG CUS 001	Percentage of R&G customers satisfied with the overall service they received	86.60%	64.00%	76.00%	80%	Stephen Coulter;
RAG PPL 003	Number of Resources and Governance staff recorded as having completed a PRD by 30th September	67.0%	88.4%	80%%	95%	Stephen Coulter;
RAG RAG 003	Percentage of Resources and Governance projects at Green	No previous measure	No previous measure	No previous measure	90%	Stephen Coulter
RAP AUD 001	Percentage of Internal Audit plan completed	100%	100%	100%	100%	Iain Burns

* R&G will also monitor and report to the R&A Committee its progress on Internal Audit actions, indicators relating to the Director of Finance KPIs and Local Government Benchmarking Framework

Corporate Indicators

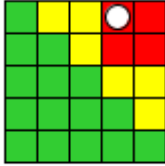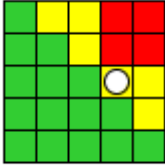| Code	Description	2012/13	2013/14	2014/15	2015/16	Lead
		Value	Value	Value	Target	
ACC ACC 009	Ratio of capital financing costs to the net revenue stream for General Fund	7.75%	6.59%	TBC	7.90%	Lindsay Sim
ACC ACC 010	Ratio of capital financing costs to the net revenue stream for Housing Revenue Account	18.50%	8.0%	TBC	18.50%	Lindsay Sim
ACC FNR COU	Target level of uncommitted financial reserves is achieved. (£3.6m)	£6.3m	£6.2m	TBC	£3.6m	Ashley MacGregor
GOV AB1 OTR	Average Days Sickness Absence (Other Local Government)	21.1 days	7.9 days	12.5 days	10.0 days	Chris Alliston
GOV FOI COU	Percentage of Council Freedom of Information requests dealt with within timescale	98.3%	96.0%	92.9%	100%	Andrew Hunter
GOV HAS 003	Percentage of Health and Safety Risk Assessment reviewed on time	75.0%	N/A	100.0%	100%	Sarah Robertson
GOV AB1 ED1	Average Days Sickness Absence (Teachers)	15.7 days	5.7 days	10.1 days	8.0 days	David Leng

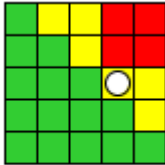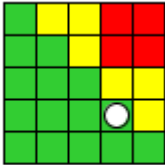| Covalent Code	ACTION	Links	Impact	By When	Lead
RAG 15 001	Develop a clear workforce strategy and revise supporting employment policies as appropriate	Budget Paper para 5.7. R&G Governance Improvement Plan CORP 2	A workforce strategy will clarify expectations of Council in regard to staff development and future recruitment. Strategy will support wider transformation in council services and should lead to reduced staff costs	31.3.16	Stephen Coulter
RAG 15 002	Review of options of PPP financing model and options for maximising use of current annual investment of £7.7m	Budget Paper para 5.7	Assets already deploy a full time resource in ensuring costs are recovered when contractor does not fulfil obligations. Further work will be taken forward to support the Deputy Chief Exec in ensuring contract represents best value, identifying any options for re-negotiation and fully exploiting the PPP assets	30.9.15	Eileen Turnbull
RAG 15 003	Options appraisal to review telephony and mobile devices with a view to increased cost efficiency	Budget Paper para 5.7	A number of contracts due to historical reasons are in existence. IT are looking to run down as many contracts as possible but will develop a wider strategy to ensure devices support user needs, are being used optimally and contractual arrangements represent best value. Cost savings will be identified	31.10.15	John Munro
RAG 15 004	Undertake full options appraisal of Resources and Governance service delivery models and structure	Budget Paper para 5.7. R&G Governance Improvement Plan SS1	R&G has undergone a number of senior management and structural changes. Reviews will identify how best R&G can support the rest of the Council's services cost efficiently and making best use of its staff resources. Opportunities afforded by technology to enable streamlined processes and reduction in administrative paper based tasks will also be within scope. The impact will be more focused support and assurance that R&G services represent best value	31.1.16	Stephen Coulter
RAG 15 005	Review options for increasing digital transactions	Budget Paper para 5.7	The future delivery of Council Services as articulated through the MCB Programme will rely heavily on improving our digital infrastructure and using modern delivery channels	31.3.16	John Munro
RAG 15 006	Prepare surplus asset statement and recommendations for disposal as appropriate	Budget Paper para 5.7	R&G will work with D&E on the preparation of this statement. The disposal of assets provides a capital receipt as well as freeing up revenue and staff resources required to maintain unused or unoccupied buildings	31.7.15	Eileen Turnbull
RAG 15 007	Options to be developed through consultation with Trade Unions to review and redefine the working week	Budget Paper para 5.7	Options for creating greater flexibility will reduce the complexity in the current set of terms and conditions and should enable better customer service	31.12.15	Stephen Coulter
RAG 15 008	Develop a records management plan and implement a records management policy	Budget Paper para 5.7. R&G Governance Improvement Plan CORP 3	The Council will be able to better manage its information resources and comply with statutory requirements to maintain a records management plan	31.3.16	Stephen Coulter
RAG 15 009	Identify and procure a new finance system and re-engineer finance business processes to	Budget Paper para 5.7. R&G Governance	The new finance system will improve budget management, e-transactions and streamline a number of heavy manual processes involving spreadsheets	31.3.16	Chief Accountant

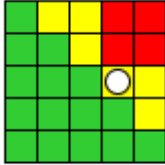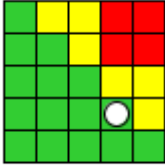| Covalent Code	ACTION	Links	Impact	By When	Lead
	support its introduction in 2016-17	Improvement Plan SS2			
RAG 15 010	Development of business cases in respect of community meal service and additional meal income	Budget Paper para 5.7	Building on an already successful catering service options to provide more meals to communities will be scoped to maximise the use of the catering facilities and generate new income	30.9.15	Eileen Turnbull
RAG 15 011	Improve procurement practice by identifying further development for Procurement Matters Group particularly the identification and delivery of savings and increasing use of framework agreements	R&G Governance Improvement Plan CORP 1	Risks relating to poor procurement practice include not maximising best value or in extremis legal challenge from unsuccessful suppliers. New Procurement legislation will also require a revision of contract standing orders to ensure compliance	31.12.15	Derek Barr
RAG 15 012	Re-institute a project management structure for the delivery of iTrent to exploit opportunities for automation of HR processes	R&G Governance Improvement Plan SS2	The delivery of Phase 1 of iTrent has suffered from poor supplier engagement and sub-optimal implementation. Phase 2 has delivered successful manager and employer self-service functionality. Phase 3 will require a coherent project structure to ensure successful delivery and reduce the risk of cost overruns	30.6.15	Chris Alliston

R&G Risk Register 2015-16

ID & Title	RAG CRR 008 Insufficient Financial Resilience		Approach	Treat	Status	🔴	Managed By	Stephen Coulter	Current Rating	25	Target Rating	20
Description	The Council does not have sufficient funds to meet its liabilities and cannot meet essential service demands or customer expectations, or respond to external agendas.											
Potential Effect	Reputational damage, legal implications and severe and extended loss of service provision. Possibility of Alliance partners also being affected contributes to the potential impact, given the interdependencies.											
Related Actions	COU EXA 001	Making Clackmannanshire Better – detailed benefits realisation planning			Internal Controls	Budget Challenge & Financial Monitoring						
	CRR RAG 005	Review of Financial Regulations & Contract Standing Orders				Invest to Save Principles & Processes						
	CRR RAG 006	Ongoing work between Accountancy team and all services to identify savings proposals				Making Clackmannanshire Better Programme						
	RAG 15 007	Prepare surplus asset statement and recommendations for disposal as appropriate										
	RAG 15 009	Identify and procure a new finance system and re-engineer finance business processes to support its introduction in 2016-17.										
Latest Note	As reported to Council on 24-Feb-15, the funding gap for the period to 2018/19 is forecast as £23.4m (£11.6m in 2016/17). Budget Strategy, Budget Challenge process and											

	MCB programme have been refocused and redesigned. Financial Regulations, Contract Standing Orders and savings proposals continue to be revised and developed.

ID & Title	RAG CRR 009	Poor Information & Knowledge Management	Approach	Treat	Status	🔴	Managed By	Stephen Coulter	Current Rating	20	Target Rating	12
Description	Organisational information and knowledge are not effectively managed due to poor information sharing, records and absence management and succession planning, increased dependence on IT systems and unrecorded knowledge held by staff members.											
Potential Effect	Increased difficulty and time to access information and loss of tacit information and knowledge when staff leave or are absent, resulting in duplication or non-completion of (possibly statutory) duties. Loss of productivity when systems do not operate effectively, causing frustration and impact on staff morale.											

Related Actions / **Internal Controls**

	-- enter action details here --		People Strategy
CRR RAG 007	2015/16 Internal Audit Plan		Information & Communication Technology Strategy
RAG 15 008	Develop a records management plan and implement a records management policy.	Internal Controls	Information Management Strategy
RAG 15 009	Identify and procure a new finance system and re-engineer finance business processes to support its introduction in 2016-17.		
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.		

Latest Note	Work ongoing in the areas of Freedom of Information and Data Protection, including targetted follow-up on internal audit of Information Governance, and Business Continuity Plans being revised in light of move to Kilncraigs. Likelihood of risk occurring has increased due to the contraction of the workforce and the associated loss of, sometimes extensive, service and organisational knowledge.

ID & Title	RAG CRR 012	Health & Safety Non-compliance	Approach	Treat	Status	🔺	Managed By	Stephen Coulter; Sarah Robertson	Current Rating	12	Target Rating	8
Description	A Health & Safety incident results in the injury to or death of a staff member or customer due to lack of awareness of or non-compliance with policies and procedures. Such incidents may also arise from the actions of third parties, whose activities may be outwith the direct control of the Council.											
Potential Effect	The effects on individuals and their families, financial penalties (including HSE intervention fees), criminal proceedings, adverse publicity, increased insurance or damage to Council assets.											

Related Actions / **Internal Controls**

	CRR RAG 004	Health & Safety Internal Audit Action Plan		Health & Safety Management System
			Internal Controls	Maximising Attendance & Employee Wellbeing Policy
				Potentially Violent Persons Register

Latest Note	This risk had previously been removed from the corporate log but some areas for improvement have been identified through an Internal Audit, conducted in advance of

	launching a new Health & Safety Management System. Actions have been identified in response to the audit findings, many of which relate to services not adhering to corporate H&S policies and procedures. These actions will be progressed and the Management System re-launched.

ID & Title	RAG CRR 033 Major Governance Failure	Approach	Treat	Status	⚠	Managed By	Stephen Coulter	Current Rating	12	Target Rating	8

Description	A significant failure of compliance with statutory duties due to a lack of awareness or understanding of corporate policies or codes of conduct, or through non-adherence, including through management or elected member override of controls of procedures.			
Potential Effect	Significant reputational damage, injury or loss of life, legal action, financial loss or disruption to service delivery.			
Related Actions			Internal Controls	Scheme of Delegation
				Resources & Audit Committee
				Governance & Audit Processes
Latest Note				

ID & Title	RAG RAG 001	R&G has weak impact on Corporate Governance	Approach	Treat	Status	⚠	Managed By	Stephen Coulter; John Munro	Current Rating	12	Target Rating	4
Description	Lack of corporate compliance with policies, procedures and processes designed by R&G specialists which enable efficient business processes and good governance											
Potential Effect	Council suffers reputational or financial loss and/or is unable to maximise best value or realise project benefits. Service has to change approach or objective to ensure corporate or legislative compliance. Dissatisfied customer.											
Related Actions	RAG 15 004	Undertake full options appraisal of Resources and Governance service delivery models and structure.			Internal Controls		Governance Panel					
							Governance Improvement Plans					
							Governance & Audit Processes					
Latest Note												

ID & Title	RAG RAG 008	Insufficient resources to support business plan and Council Projects	Approach	Treat	Status	⚠	Managed By	Stephen Coulter	Current Rating	12	Target Rating	4
Description	Internal R&G and other Corporate projects and activities requiring input from one or more R&G teams											
Potential Effect	Resource is diverted to projects resulting in fall in quality or delays in "business as usual" Projects fail											
Related Actions	RAG 15 004	Undertake full options appraisal of Resources and Governance service delivery models and structure.			Internal Controls		Business Planning Process					
Latest Note												

ID & Title	RAG RAG 009	R&G Service Reviews	Approach	Treat	Status	⚠	Managed By	Stephen Coulter	Current Rating	12	Target Rating	2
Description	R&G service reviews don't deliver savings or improved quality of service											
Potential Effect	R&G does not adapt to budget pressures Opportunities to capitalise on new technology are lost Job roles remain administrative/support rather than strategic and consultative											
Related Actions	RAG 15 004	Undertake full options appraisal of Resources and Governance service delivery models and structure.			Internal Controls							
	RAG 15 005	Review options for increasing digital transactions.										
	RAG 15 009	Identify and procure a new finance system and re-engineer finance business processes to support its introduction in 2016-17.										
Latest Note												

ID & Title	RAG RAG 006	Staff resilience	Approach		Status	⚠️	Managed By	Chris Alliston; Stephen Coulter; John Munro; Eileen Turnbull	Current Rating	12	Target Rating	3
Description	Changing job roles and uncertainty of Council's long term direction creates anxiety in staff											
Potential Effect	Stress on staff members leading to absenteeism Loss of engagement of team members and reduced effort Poor quality outcomes for the Council because of weaker central support services											
Related Actions	RAG 15 001	Develop a clear workforce strategy and revise supporting employment policies as appropriate.		**Internal Controls**	Staff Survey							
	RAG 15 008	Options to be developed through consultation with Trade Unions to review and redefine the working week.			Leadership Development Programme							
					Budget Strategy							
					Health & Safety Management System							
					Maximising Attendance & Employee Wellbeing Policy							
					Making Clackmannanshire Better Programme							
Latest Note												

ID & Title	RAG RAG 005	Failure of IT systems	Approach		Status	✅	Managed By	Stephen Coulter; John Munro	Current Rating	8	Target Rating	4
Description	A significant failure of secure ICT systems that has a major detrimental impact on council operations											
Potential Effect	Council cannot transact vital business. Financial transactions disrupted leading to a loss of council revenue or financial hardship to individuals Loss of confidence in the council Destruction of knowledge assets or costs to recover											
Related Actions	RAG 15 005	Review options for increasing digital transactions.		**Internal Controls**	Information & Communication Technology Strategy							
	RAG 15 009	Identify and procure a new finance system and re-engineer finance business processes to support its introduction in 2016-17.			Business Continuity Plans							
Latest Note												