
Report to Resources and Audit Committee

Date of Meeting: 24 September 2015

Subject: Council Financial Performance 2015/16

Report by: Acting Chief Accountant

1.0 Purpose

- 1.1 This paper provides an update on the financial performance of the Council to date in respect of both revenue and capital spend for the current financial year, 2015/16. Projected outturns up to March 2016 are set out in the report.

2.0 Recommendations

- 2.1. The Committee is asked to note:
- 2.2. The forecast general fund revenue underspend for the year of £0.654m.
- 2.3. Work in hand to prepare a Social Services financial recovery plan and the review of Residential School placements to ensure the appropriateness of placements and to agree exit strategies for each young person.
- 2.4. Progress on delivering 73% of the planned savings in the year.
- 2.5. The favourable outturn of £6k forecast on the Housing Revenue Account
- 2.6. The underspend in General Services capital of £1.117m of which £0.400m are savings in delivery of programme with remainder carried forward to 2016/17.
- 2.7. The underspend on HRA capital of £0.719m of which £0.679m are saving in delivery of programme with the remainder carried forward to 2016/17.

3.0 Background

- 3.1. This overall report summarises the financial position of the Council and complements the more detailed service reporting arrangements. Given that this report consolidates all of the detailed service financial data, it is intended that the Resources and Audit Committee focuses on the corporate financial position.
- 3.2. Outturn positions reflected in this report are based on rigorous reviews of service spending activity by accountants and service managers which have

been reinforced through ongoing budget challenge sessions conducted by the Executive Group.

4.0 General Fund Revenue

- 4.1 Appendix A to this paper sets out the revised estimate for each service area. Projected outturns for the full year have been prepared following discussions with Service Managers based on the information available at June.
- 4.2 Overall the Council's net expenditure this year is expected to record an underspend of £0.655m by the end of March, primarily due to close management of service delivery costs and maximising the value of vacancy management where this is deemed possible.
- 4.3 Although the overall position is favourable there is an overspend in Social Services of £1.146m. This is mainly due to an overspend in the Residential Schools budget where 8 additional high cost placements were made in June. Social Services and Education are currently reviewing all placements to ensure the appropriate level of placement is in place and agreeing exit strategies for each young person.
- 4.4 In addition, at this stage, no request for additional resourcing is to be made to Council. The Social Services Service Management Team (SSSMT) is preparing a financial recovery plan for the service which will set out its planned actions for bringing expenditure back in line with budget. This will be reported to Housing, Health and Care Committee and it is anticipated that by the next committee cycle, there will be greater clarity over the extent to which the service has/ is able to positively impact the current forecast position.
- 4.5 Table 1 below provides an overview of the Council's outturn position within each Service Expenditure area. The commentary aims to flag the **key** reasons for material variances from the approved budget.

Table 1 Summary of Service Budget Variances

Service	Annual Budget	Projected 31.03.16 (under)/over	Commentary
Resources & Governance	£23.731m	(£409K)	The main reason for the underspend in Resources & Governance are the vacancies (£320k) across all service areas due to time taken to fill vacancies. Gas and Electricity costs (£138k) are also projecting a saving in line with current costs and usage projections.
Strategy and Customer Services	£6.746m	(£143k)	Underspend due to staff turnover and timing of recruitment (£253k). Income generated by Scottish certificates continues to grow and has already exceeded the projected income target (£90k). Leisure service has moved to Strategy and Customer services a review is underway to reduce the income deficit in line with full cost recovery model and required opening hours currently overspent by £203k.

Service	Annual Budget	Projected 31.03.16 (under)/over	Commentary
Development & Environment Services	£11.597m	(£492k)	<p>Underspends attributable to:-</p> <p>Sustainability & Implementation, (£64k) reduction in professional fees associated with LDP.</p> <p>Economic Services, (£48k) savings in payments to voluntary organisations and income received for trainees placements through employability fund.</p> <p>Waste management (£342k) related to staffing vacancies and waste disposal costs lower due to higher volumes of recyclate and less landfill.</p> <p>Streetcare (£59k) related to staffing vacancies and reduction in external maintenance work being carried out internally by Fleet.</p> <p>OLP project is drawing to an end the saving (£44k) relates to a vacant post.</p> <p>This is off-set by overspends in the following service areas :-</p> <p>Planning £14k & Building Standards £66k due to projected income being lower than budgeted.</p>
Social Services	£27.659m	£1.146K	<p>Overspends attributable to :-</p> <p>Residential Schools £1,133k due to 8 new high cost placements. Placements are agreed though the Clackmannanshire & Stirling Authority Girfec Group. All placements are being reviewed to ensure that appropriate exit plans are in place, and/or whether an alternative resource can be used.</p> <p>Placements can also be made through the Children's Hearing decision's which can be against the local authorities recommendation to accommodate.</p> <p>Adult Provisions £111k due to difficulty in recruiting staff, agency staff have been used to maintain service levels, and there has also been loss of income as client numbers have reduced since charges introduced.</p> <p>Elderly & Physical Disability Care Management £218k mainly due to placements costs this is offset by demographic growth within the corporate budget.</p> <p>This is partly off-set by an underspend in Child Care due to a reduction in external foster care placements as placements available in Stirling council £54k, and staffing vacancies in Alloa Family Centre £183k, the manager and depute manager posts are both vacant and are currently being covered by Early Years Team Leader. .</p>

Service	Annual Budget	Projected 31.03.16 (under)/over	Commentary
Education	£35.479m	(£220k)	<p>Underspend attributable to:-</p> <p>Early years (£73k) due to vacancies which have been difficult to recruit, and less demand on relief budgets.</p> <p>Primary (£180k) related to employee costs mainly teachers, budgets still to be finalised in August once requirements confirmed, further savings many be identified.</p> <p>Youth Services (£13k) due to part year vacancy.</p> <p>This is partially off-set by the following overspends:-</p> <p>Service Management £31k, due to additional staffing costs related to teachers seconded to shared services for specific projects.</p> <p>ASN £17k, due to difficulty in recruitment post has been filled by a member of staff at a higher grade.</p>
Housing	£3.043m	(£277K)	<p>Underspend mainly attributable to rent rebates and rent allowances (£257k) due to additional DHP allocation from DWP. Accountancy are working with the service to review the budget provision and ensure the budget reflect current requirements.</p> <p>Vacancies across the service total (£81k).</p> <p>This is partial offset by overspends:</p> <p>Homeless Accommodation £54k, due to higher than expected occupancy levels.</p> <p>Billing & Assessment £23k for court expenses recovered due to change in contract terms.</p>
Corporate Adjustments	£1.477m	(£259K)	<p>Corporate adjustments reflect corporate savings and provision for possible areas of demand in the year currently all savings are expected to be achieved, and pressures are required. The saving relates to social services demographic growth (£330k) which is projected within the service but the budget is held corporately to fully quantify the need. Currently expect full demographic allocation to be required. Also Education have been allocated a saving for changes in the leisure services budget £71k they have reflected the cost but the budget has still to be allocated.</p>
Non Distributed Costs	£1.213	(£1k)	<p>Annual pension costs (additional years) outturned on budget. VS saving will be achieved. In the year to date £211k realised.</p>
Total	£110.945m	(£0.655m)	

4.6 Appendix A also highlights a number of non-service expenditure and income areas of the Council budget. Currently all areas are expected to be on budget.

4.7 The 2015/16 budget incorporated approved savings of £3.018m. At this point in the year we are able to report that 73% have been achieved to date with

expectation that further progress will be made in the remainder of the year. Table 2 below sets this out for each council service portfolio.

Table 2 Budgeted 2015/16 savings progress

Department	Savings full year 15-16 £000	Progress to Date 15-16 £000	Projected full Year Saving £000	Comments
Resources & Governance	291	286	291	All saving expected to be achieved.
Strategy and Customer	226	161	226	All savings expected to be achieved. Consultation underway on changes to service opening hours.
Development & Environment	872	711	872	Many of the saving have already been implemented with business cases being reviewed and detailed work on how savings will be achieved ongoing for the remaining savings.
Social Policy	275	170	275	Work is ongoing to achieve approved saving.
Education	302	80	295	All savings expected to be realised with the exception of £7k for Swimming Programme charges, Easter free swimming delivered, as contract was already in place. Will stop in future years.
Housing	469	399	455	Saving expected to be achieved. Part of the saving on staffing restructure £14k is unlikely to be achieved in the year due to the need for Homeless standby payments. The service are reviewing options to minimise the impact.
Corporate	583	394	583	Work is ongoing for review of working week and savings achievable to be confirmed. VS and income and charging savings achieved.
Total	3,018	2,201	2,991	

5.0 Housing Revenue Account

5.1 Appendix B to this paper sets out the summary budget for the Housing Revenue Account for this year in accordance with its Business Plan. It is forecast that the Service will achieve a surplus in the year of £4.908m which is £6k greater than budgeted.

5.2 Staffing costs are recording an underspend of £188k, due to vacancies which are currently being reviewed in line with the structure. This underspend is offset by additional costs for central support charge £79k, Loan charges £70k due to higher pool rate than predicted in the Business Plan, and a reduction in rental income £ 43k due to a delay in the new build programme.

6.0 Capital

6.1 General Services

6.2 Appendix C to this paper details the General Services capital programme for the current year where individual projects are listed within the various asset management plans. The budget for the year adjusted for projects carried

forward from 2014/15 results in an adjusted gross budget for 2015/16 of £9.895m compared to the sum of £9.475m reported to Council at the Special meeting on 24th February. After allowing for the General Government Grant, the revised net capital financing requirement in the year is £3.484m.

- 6.3 The Capital Investment Group has been reconvened and met on 1st September where they agreed an updated remit. This includes taking forward work on capital budget preparation as a priority and seeking to align village and small towns and hub development options. The group will also identify key projects from 2014/15 and 2015/16 capital programmes for post implementation review.
- 6.4 Overall, the General Services capital programme is expected to record an underspend of £1.117m against the revised gross budget, of the underspend £717k is expected to be carried forward to 16/17 due to timing of project expenditure. The significant projects that contribute to the underspend position are detailed in Table 3 below and comments are also recorded in Appendix C:

Table 3 General Services Capital Budget Variances

Project	Variance (£000)	Comments
Safer Routes to School	(100)	No spend in 2015/16 project to be aligned to MCB project. Will be carried forward.
3-12 School Development	(417)	Programming of work has been realigned to 2016/17 in line with the School Estate Management Plan agreed with Education. Will be carried forward.
Clearing of Claremont Site	(120)	Budget no longer required as property has been sold.
Cemeteries Strategy	(200)	Land won't be ready for use until 2016/17. Will be carried forward.
Financial Ledger System	(250)	Capital costs less than originally estimated.

Housing Revenue Account

- 6.5 Appendix D to this paper details the HRA capital programme for the current year where individual projects are listed within the various asset management plans. The budget for the year adjusted for projects carried forward from 2014/15 results in an adjusted gross budget for 2015/16 of £11.646m compared to the sum of £8.529m reported to Council at the Special meeting on 24th February.
- 6.6 Overall, the HRA capital programme is projecting an underspend of £0.719m. Of this £40k will be required to be carried forward. £734k has also been requested to the Housing Health and Care Committee on 3rd September 2015, to be vired from the HRA Capital programme to Off the Shelf Purchases to ensure that the Scottish Government Affordable Housing Supply Grant is maximised for the Council.

6.7 The significant projects that contribute to the underspend position are detailed in Table 4 below and comments are also recorded in Appendix D:

Table 4 HRA Capital Budget Variances

Project	Variance (£000)	Comments
Kitchen Renewal	(500)	Programme identified and many refusals. £100k of this underspend has been requested to be vired to Capital Bathroom Renewals, recommended for approval by the Housing, Health and Care Committee on 3 rd September 2015.
New Build Tillicoultry Community Centre Phase 1a and 1b	(142)	Contract now in place and savings expected.
Housing Business Management System	(103)	Underspend in line with work required in the year. Will be carried forward.

7.0 Conclusions

7.1 General Services revenue spend is anticipated to record an underspend of £0.655m.

7.2 There is good progress in delivering the approved savings of £3.018m.

7.3 The Housing Revenue Account is anticipating an underspend of £6k.

7.4 The current review of the capital programme indicates that underspends (and savings) of £1.117m on General Services Capital, the specific projects involved are detailed within the report.

7.5 The HRA Capital Programme indicates an underspend (and savings) of £0.719m as detailed above.

8.0 Sustainability Implications

8.1 None

9.0 Resource Implications

9.1 Financial Details

9.2 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

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

9.4 Staffing

9.5 None

10.0 Exempt Reports

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

11.0 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)

12.0 Equalities Impact

12.1 Have you undertaken the required equalities impact assessment to ensure that no groups are adversely affected by the recommendations?

Yes No

13.0 Legality

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

14.0 Appendices

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

Appendix A Council summary of expenditure

Appendix B HRA Revenues

Appendix C General Services Capital

Appendix D HRA Capital

15.0 Background Papers

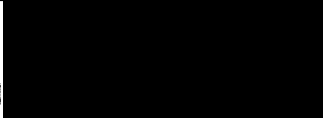
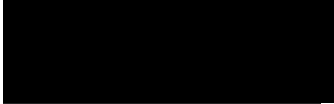
15.1 Have you used other documents to compile your report? (All documents must be kept available by the author for public inspection for four years from the date of meeting at which the report is considered)

Yes (please list the documents below) No

Author(s)

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Approved by

NAME	DESIGNATION	SIGNATURE
Stephen Coulter	Head of Resources & Governance	
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Clackmannanshire Council Summary
Jun-15

	Annual Budget 2015/16	Outturn to March 16	Variance Budget v Outturn
Service			
Resources & Governance	23,731	23,322	(409)
Strategy & Customer Services	6,746	6,603	(143)
	<u>30,477</u>	<u>29,925</u>	<u>(552)</u>
less Allocated to Non General Fund	(1,544)	(1,544)	0
	<u>28,933</u>	<u>28,381</u>	<u>(552)</u>
			0
Social Policy	27,659	28,805	1,146
Education	35,479	35,259	(220)
Housing	3,043	2,766	(277)
Development & Environmental Services	11,597	11,105	(492)
Corporate Adjustments	1,477	1,218	(259)
Misc Services - Non Distributed Costs	1,213	1,212	(1)
Service Expenditure	<u>109,400</u>	<u>108,746</u>	<u>(655)</u>
Add Requisitions from Joint Boards			
Central Scotland Valuation	351	351	0
	<u>109,751</u>	<u>109,097</u>	<u>(655)</u>
Add / (Deduct)			
Interest on Revenue Balances	(52)	(52)	0
Loan Charges	9,401	9,401	0
Contribution to Bad Debt Provision	200	200	0
	<u>119,300</u>	<u>118,646</u>	<u>(655)</u>
Sources of Funding			
General Revenue Funding/Non-Domestic Rates	(93,717)	(93,717)	0
Council Tax	(18,278)	(18,278)	0
Council Tax Reduction Scheme	(3,588)	(3,588)	
Contribution from Reserves	(1,781)	(1,781)	0
Application of unapplied Capital receipt	(1,936)	(1,936)	0
Contribution from Earmarked Reserves			0
	<u>(119,300)</u>	<u>(119,300)</u>	<u>0</u>
Projected (Surplus) / Shortfall	<u><u>0</u></u>	<u><u>(654)</u></u>	<u><u>(655)</u></u>

HRA Budget v Outturn**As at June 2015**

This is the second financial year of the Property Contracts being included within the Housing Revenue Account. The net costs of the Property Contracts are included as a cost of the Repairs and Maintenance of the Council Housing Stock.

The Service has the ambition to become one of Scotland's leading providers of local authority housing. To help achieve this Vanguard consultants have been engaged as part of the housing business management system improvement project to work with staff to redesign work. The aim is to transform the service by involving people in the organisation in the redesign of the process.

	Budget 15-16 £'000	Outturn 15-16 £'000	Variance 15-16 £'000
HRA	-4,903	-4,908	-6
Private Contractors -Small underspend anticipated.	355	353	-2
Void Houses - Small underspend after allowing for net share of Property Contracts costs	1,313	1,310	-3
General Maintenance - Small underspend in respect of income from rechargeable repairs after including net cost of Property Contracts	2,319	2,309	-10
Cyclical Maintenance - Share of Property Contracts	740	740	0
Property Factors -Income now generated charging for common repairs	0	-22	-22
Gas Contract - Share of Property Contracts	481	481	0
Minor SW Repairs - Share of Property Contracts	43	43	0
Service Manager - Increased costs for Central Support from that included in original budget	1,355	1,434	79

	Budget 15-16 £'000	Outturn 15-16 £'000	Variance 15-16 £'000
Tenancy & Estate Management - Saving within Staffing as a result of job share	778	746	-32
Housing Business Management - Current staff vacancies that are being reviewed as part of restructure (£78k). The costs of Vanguard of £63k are included here whereas the original budget was included as Capital.	323	308	-15
Housing Options - Postholder taken Voluntary Severance post not filled.	458	445	-13
HRA General Staff - Rates Refund for previous years processed.	229	217	-13
Housing Investment Team - Current staff vacancies that are being reviewed as part of restructure	359	294	-64
Investments Team - Small underspend on cost transfer from other Service	32	29	-3
Community Engagement	49	49	0
Housing Capital - Updated to reflect latest projections. Increase in pool Rate Interest from budget accounts for increase.	3,101	3,170	70
Tenancy Overheads - Overspend on Void Rent Loss of £36k based on current levels. Offset by anticipated reduced costs required as contribution to Bad Debt Provision of £77k.	943	902	-41
Garden Aid - Anticipated to spend budget this year.	96	97	1
Special Uplifts - Overspend predicted on current costs this year.	110	128	18
Pest Control - Overspend predicted on current costs this year.	13	15	3

Rents - Delay in the New Build programme from that included in the Business Plan has resulted in shortfall.

Budget 15-16 £'000	Outturn 15-16 £'000	Variance 15-16 £'000
-17,999	-17,957	43
<u>-4,903</u>	<u>-4,908</u>	<u>-6</u>

General Services Capital Programme Budget 2015/16	Annual Budget 2015/16	Actual Expenditure to 30/06/15	Actual Income to 30/06/15	Net Expenditure to 30/06/15	Projected Out- turn 31.03.16	Variance Projected v Budget	Comments	Savings in 15/16	C/Fwd to future years	Total underspend / overspend
Service / Project Name										
Corporate Asset Management Plan										
Towns Centre Initiative Tillicoultry	20,000	0	0	0	20,000	0	Preparatory Works in 15/16 only			
Village / Town Centre Initiative (Phase 1: Sauchie	114,100	52,757	0	52,757	114,100	0	Projected to be on budget for 15/16			
Village and Small Towns Initiative Phase 2(Tullibody)	334,950	1,756	0	1,756	334,950	0	Awaiting housing approval for contribution from Private Sector Housing Grant. Possible redesign of the proposed plan. Current delay of 4-6 weeks. No spend in 15/16. To be aligned with the Making Clackmannanshire Better Project.			
Safer Routes To Communities	100,000	0	0	0	0	(100,000)			(100,000)	(100,000)
Street Lighting Improvements	40,000	0	0	0	40,000	0				
Tullibody - Install Table at TronCour	20,000	0	0	0	20,000	0				
Parks, Play Areas & Open Spaces	50,000	0	0	0	50,000	0				
Community Grants	75,000	2,429	0	2,429	75,000	0				
Corporate Asset Management Plan Total	754,050	56,943	0	56,943	654,050			0	(100,000)	(100,000)
Property Asset Management Plan										
3-12 SCHOOL DEVELOPMENT	1,298,190	41,924	0	41,924	880,990	(417,200)	From detailed Feasibility and Surveys, it has been agreed with education to move works to 2016/17 with a view of a full plan being prepared to undertake a complete major project while schools are occupied.		(417,200)	(417,200)
2YR OLD SCHOOL DEVELOPMENT	440,920	7,768	0	7,768	440,920	0				
ADDITIONAL 3-4 YRS	30,000	0	0	0	0	(30,000)	Adaptations previously planned no longer required	(30,000)		(30,000)
Free School Meals Equipment	45,250	0	0	0	45,250	0				
Childrens Residential Unit	250,000	0	0	0	250,000	0			0	0
Alva Autism Unit	8,400	(10,099)	0	(10,099)	8,400	0				
Lornshill Academy - Floodlights	0	0	(151,178)	(151,178)	0	0				
Alloa Town Centre Regeneration: Speirs Centre	0	(92,847)	0	(92,847)	0	0				
Redwell	0	(121,905)	0	(121,905)	0	0				
Tillicoultry Asset Plan: Redevelop existing CAP/Library to housing	0	(3,982)	0	(3,982)	0	0				
Property Asset Management Improvements - Kelliebank	226,000	83,924	0	83,924	226,000	0				
Demolition of Alva Pool	150,000	674	0	674	150,000	0				
Heritage Centre Improvements	371,700	(7,339)	0	(7,339)	371,700	0				
Clearing of Claremont Site	120,000	0	0	0	0	(120,000)	Budget not required. Property Sold	(120,000)		(120,000)
Alloa Town Hall	72,960	1,400	0	1,400	72,960	0				
Football Pitch & Running Track	0	(19,500)	0	(19,500)	0	0				
TOTAL PROPERTY ASSET MGT	1,244,310	(169,673)	(151,178)	(320,851)	1,124,310					
Property Asset Management Plan Total	3,013,420	(119,981)	(151,178)	(271,159)	2,446,220	(567,200)		(150,000)	(417,200)	(567,200)
Roads Asset Management Plan										
Bridge Strengthening	96,000	0	0	0	96,000	0				
Flood Prevention	108,000	0	0	0	108,000	0				
Road & Footway Improvements (SRMCS), including town centres	1,601,000	186,582	0	186,582	1,601,000	0				
Accident Prevention, CWSS, Traffic Management Schemes	145,000	16,769	0	16,769	145,000	0	Planned works increased to £598K. Grants of £453K being received in 15/16.			
National Cycle Route	175,000	0	0	0	175,000	0				
Street Lighting	295,400	23,324	0	23,324	295,400	0				
Plugged in Places	0	8,633	0	8,633	0	0				
Integrating Rail to Alloa	0	0	(67,433)	(67,433)	0	0				
B9140 Realignment of Bends	614,600	7,559	0	7,559	614,600	0				

General Services Capital Programme Budget 2015/16	Annual Budget 2015/16	Actual Expenditure to 30/06/15	Actual Income to 30/06/15	Net Expenditure to 30/06/15	Projected Out- turn 31.03.16	Variance Projected v Budget	Comments	Savings in 15/16	C/Fwd to future years	Total underspend / overspend
Service / Project Name										
Roads Asset Management Plan Total	3,035,000	242,867	(67,433)	175,434	3,035,000	0				
Land Asset Management Plan						0				
Cemeteries Strategy	200,000	0	0	0	0	(200,000)	Preparatory works not completed. Land not ready for use until 16/17.		(200,000)	(200,000)
Keilarsbrae Skatepark	0	(3,083)	0	(3,083)	0	0				
Footpath, Mill Glen, Tillicoultry	300,000	0	0	0	300,000	0				
Wheeled/Litter Bins / Strategic Waste Fund	43,000	0	0	0	43,000	0				
Drainage	50,000	0	0	0	50,000	0				
Bowmar Area Enhancements	108,570	0	0	0	108,570	0				
Land Asset Management Plan Total	701,570	(3,083)	0	(3,083)	501,570	(200,000)		0	(200,000)	(200,000)
Fleet Asset Management Plan						0				
Vehicle Replacement Programme	1,071,000	0	(9,145)	(9,145)	1,071,000	0				
Fleet Asset Management Plan Total	1,071,000	0	(9,145)	(9,145)	1,071,000	0				
IT Asset Management Plan						0				
Additional IT funding for major core systems(Payroll)	100,000	15,300	0	15,300	100,000	0				
Network Infrastructure	35,000	6,112	0	6,112	35,000	0				
Servers & Storage	35,000	42,939	0	42,939	35,000	0				
Security Systems	70,000	2,663	0	2,663	70,000	0				
Telephony (Provision of telephony services)	0	89	0	89	0	0				
Schools (maintenance & upgrade)	240,000	17,290	0	17,290	240,000	0				
Desktop Replacement Programme	30,000	2,364	0	2,364	30,000	0				
Software (replacements & upgrades)	60,000	990	0	990	60,000	0				
Business Continuity	30,000	4,090	0	4,090	30,000	0				
Contingency (essential replacement)	0	573	0	573	0	0				
Social Work Integrated System	145,000	0	0	0	145,000	0				
New Financial Ledger	500,000	10,102	0	10,102	250,000	(250,000)	Capital Project cost less than original estimate	(250,000)		(250,000)
Telecare	75,000	24,933	0	24,933	75,000	0				
IT Asset Management Plan Total	1,320,000	127,445	0	127,445	1,070,000	(250,000)		(250,000)	0	(250,000)
Total Capital Programme	9,895,040	304,191	(227,756)	76,436	8,777,840	(1,117,200)		(400,000)	(717,200)	(1,117,200)
General Capital Grant						0				
General Capital Grant	(6,411,400)	0	(1,602,849)	(1,602,849)	(6,411,400)	0				
Total Capital Programme	3,483,640	304,191	(1,830,605)	(1,526,413)	2,366,440	(1,117,200)		(400,000)	(717,200)	(1,117,200)

Housing Capital Programme 2015/16 Period to June 2015 update	15-16 Net Budget	Gross Expenditure to 30/06/15	Income to 30/06/15	Net Expenditure to 30/06/15	Projected Outturn 31.05.14	Variance Budget v Projected	Comment	Carry Forward to 2016-17
SCOTTISH HOUSING QUALITY STANDARD								
TACKLING SERIOUS DISREPAIR								
PRIMARY BUILDING ELEMENTS								
Structural Works	150,000	9,662	30	9,692	150,000	0	The testing and removal programmes this year in respect of Asbestos in Council Houses is at present anticipated to spend on budget. It may be that later on in the year we may be able to reduce this as the Capital Programme this year is reducing the spend on the Bathrooms.	0
SECONDARY BUILDING ELEMENTS								
Damp/Rot	244,500	9,679	0	9,679	244,500	0	Programme in place expected to spend to budget.	0
Roofs / Rainwater / External Walls	1,032,500	71,051	0	71,051	1,032,500	0	The new 2014-17 programme is now in place and started on 13th July. There is a four year programme planned starting in Tullibody and Sauchie.	0
Window & Doors - External Doors	521,700	0	0	0	521,700	0	Contract going through LHC. Pilot programme currently at procurement	0
ENERGY EFFICIENCY								
Full/Efficient Central Heating	2,397,000	525,813	0	525,813	2,397,000	0	The Bowmar CESP contract has now entered the Latent Defects stage. The Council may instruct the remedial action to be carried out and then take legal action to recover some or all of these costs. A decision has still to be taken to confirm this.	0
MODERN FACILITIES & SERVICES								
Kitchen Renewal	800,000	(2,366)	0	(2,366)	300,000	(500,000)	This programme has identified that there are a lot of refusals coming forward. It is proposed that some of this underspend is transferred to bathrooms to allow the PCU to pick up the Void bathrooms.	
Bathrooms	750,000	277,099	0	277,099	766,908	16,908	Bathroom replacement continuing Mitie on site. Looking to finish programme early in this financial year.	
HEALTHY, SAFE & SECURE								

Housing Capital Programme 2015/16 Period to June 2015 update	15-16 Net Budget	Gross Expenditure to 30/06/15	Income to 30/06/15	Net Expenditure to 30/06/15	Projected Outturn 31.05.14	Variance Budget v Projected	Comment	Carry Forward to 2016-17
Safe Electrical Systems/ CO Detectors	298,000	52,593	0	52,593	298,000	0	With the Testing contract last year being cancelled due to poor performance the Testing and Rewiring contract is now being run under one contractor.	0
Communal Areas (Environmentals)	433,000	132,805	0	132,805	433,000	0	Scotshield are now progressing with the main contract. The issue that still requires to be resolved is the engagement of the Private Tenants in the completion of the programme.	0
NON-SHS ELEMENTS PARTICULAR NEEDS HOUSING (CITC)								
Conversions & Upgradings	150,000	6,663	0	6,663	156,665	6,665	It has been agreed to transfer £30,000 from here to help fund the new build disabled bungalow at Redwell Place in Alloa.	0
Disabled Adaptations	50,000	11,748	0	11,748	50,000	0	PCU currently working on programme. This programme is operated on a demand led basis.	
Water Supply Pipe Replacement	0	0	0	0	0	0		0
Demolitions	114,600	0	0	0	114,600	0	The demolition at The Orchard will commence and complete shortly.	
Environmental & Footpath Improvement/Feasibility Work	732,000	62,471	0	62,471	732,000	0	Low expenditure at present but still expecting to spend budget at this stage.	0
	1,046,600	80,882	0	80,882	1,053,265	6,665		
Council New Build Housing (Transforming)								
Hallpark New Build	50,000	0	0	0	50,000	0	Project completed and handover now actioned with retention due in 2015-16.	
Fairfield New Build	1,255,000	0	0	0	1,255,000	0	The project has been delayed as a result of design requirements. Expected to be on site immediately with expenditure expected to be complete by the end of the financial year.	
Tillicoultry Community Centre Phase 1a	1,301,000	21,332	0	21,332	1,235,860	(65,140)	Contract now signed for the new build of the 21 properties for phases 1a & 1b. It is expected that there will be a saving on this project. Requested to vire underspend to OTSP to ensure that the Scottish Government Affordable Housing Supply Grant is maximised for Clackmannanshire.	
Tillicoultry Community Centre Phase 1b	306,000	0	0	0	228,760	(77,240)	This is part of the above project and the underspend may increase if we are able to claim more Government Grant than expected. Underspend requested to vire to OTSP as above.	

Housing Capital Programme 2015/16 Period to June 2015 update	15-16 Net Budget	Gross Expenditure to 30/06/15	Income to 30/06/15	Net Expenditure to 30/06/15	Projected Outturn 31.05.14	Variance Budget v Projected	Comment	Carry Forward to 2016-17
Tillicoultry Community Centre Phase 2	612,000	0	0	0	612,000	0	Kingdom will take this project forward rather than the Council. It has been requested that this budget be vired to OTSP in line with the underspend on Phase !.	
The Orchard	828,000	0	0	0	828,000	0		
Off The Shelf Purchase	54,000	66,361	(30,000)	36,361	56,500	2,500		
Off The Shelf Refurbishment	176,200	102,940	0	102,940	176,200	0		
Council New Build Housing (Transforming Communities)	4,582,200	190,633	(30,000)	160,633	4,442,320	(139,880)		
Other Costs / Housing Business Management System	110,400	7,500	0	7,500	7,500	(102,900)	Work undertaken by Northgate, Vanguard work now transferred to Revenue. Balance of underspend required to be carried forward to fund remaining workstreams.	39,900
TOTAL CAPITAL EXPENDITURE	12,365,900	1,355,352	(29,970)	1,325,382	11,646,693	(719,207)		39,900
SALE OF COUNCIL PROPERTY	(720,000)	(596)	(125,100)	(125,696)	(720,000)	0		
NET EXPENDITURE	11,645,900	1,354,756	(155,070)	1,199,686.07	10,926,693	(719,207)		

Report to **Resources & Audit Committee**

Date of Meeting: 24th September 2015

Subject: **Corporate Plan 2012-17 Progress Report**

Report by: **Head of Strategy & Customer Services**

1.0 Purpose

- 1.1. The purpose of this report is to provide the Resources and Audit Committee with a progress update on the Council's Corporate Plan 2012-17; Taking Clackmannanshire Forward. Appendix A presents a summary of progress against each priority action set out in the Corporate Plan (excluding those reported as complete in previous years).

2.0 Recommendations

- 2.1. It is recommended that Committee notes the report, commenting and challenging as appropriate.

3.0 Considerations

Summary

- 3.1. Clackmannanshire Council's Corporate Plan 2012-17 was approved by Council in October 2012. This plan set out the Council's vision for Taking Clackmannanshire Forward through focussing on Better Services, Better Opportunities and Better Communities. Priority actions were identified to address each of these areas.
- 3.2. At the end of the 2014/15 financial year, 3 years of plan's 5 year life-cycle have passed and 44 of the 70 actions have been completed (63%). Actions completed in 2012/13 (20 actions, 29%) and 2013/14 (14 actions, 20%) have not been included in Appendix A. Taking into account progress made on actions that are still in progress, the overall plan is 87% complete.
- 3.3. A plan of this nature and timescale will inevitably become more complex to report on as time passes. The Council must be adaptive and flexible, learn from best practice and respond to internal and external changes, and options appraisals often demonstrate that alternatives may be more effective. Some actions may, therefore, be expanded, superseded or de-prioritised as the change programme, Making Clackmannanshire Better (MCB), progresses.

Better Services

- 3.4. Excellent Services and a great environment are vital in improving the quality of life for people in Clackmannanshire. The vision of the Corporate Plan sets out the need for integrated and efficient public services which are responsive to local circumstances and need. Collaborative working to make the best use of all resources, particularly focussing on prevention (including preventative spend) and transparent and accountable service delivery is also key.
- 3.5. Of the 21 actions in this section of the plan, 16 have already been reported to Resources & Audit Committee as complete and a further 2 actions were completed in 2014/15. The 3 remaining actions are each at least 60% complete and those regarding investment cannot be marked as complete until budgets for the final year of the plan are known.
- 3.6. We continue to improve both Council and partnership service provision through a range of MCB and Alliance initiatives, e.g. process improvement with Vanguard Scotland, and the Early Years Collaborative. Major partnership projects such as Shared Services and Health & Care Integration, as well as leadership development and local government benchmarking are also improving awareness of best practice, efficiency and integration.
- 3.7. Clacks 1000 survey respondents agreeing that 'Public Services work well together in Clackmannanshire' has increased from 14% to 42% in the last 5 years. Over the same time period, respondents who rate public services overall as fairly or very good has also increased from 73% to 93%.
- 3.8. Audit Scotland's scrutiny activity is formed on the basis of risks and concerns highlighted by the Local Area Network (LAN) of audit and inspection bodies. The Local Scrutiny Plan for Clackmannanshire Council in 2015/16 states that:

"In the 2014-17 Assurance and Improvement Plan (AIP) the LAN did not identify any specific areas where scrutiny was required."

Better Opportunities

- 3.9. Clackmannanshire provides great potential for residents and businesses and the Council is keen to maximise this potential. We want to help improve life chances for individuals and families and create a more positive environment for local businesses. The Corporate Plan also identifies key areas of focus including early intervention and parenting initiatives to ensure that all young people have the best start in life and that vulnerable residents are supported.
- 3.10. 12 of the 27 actions in this section of the plan have been reported as completed in previous years, and a further 7 were completed in 2014/15. Of the 8 actions that remain In Progress, most represent ongoing strategic goals where work will continue for the foreseeable future, and certainly beyond the current Corporate Plan's life-cycle. Many are closely inter-related and are being progressed through grouped MCB workstreams and business cases to ensure comprehensive solutions are implemented.
- 3.11. Early intervention and prevention are vital to this section of the plan, with key actions involving children's services, caring and homelessness. The Council

also continues to support businesses, tourism and employability for the benefit of individuals, employers and the local economy.

- 3.12. The Council's Economic Development team supported 249 businesses in 2014/15, and 37 of the 44 business start-ups supported were still trading at the 12 month point. Tourism revenue has increased from £14.56m to £16.11m over the last 4 years. A range of homelessness indicators are monitored and, though we are marginally below target on some, work with Vanguard has focussed efforts on providing a single point of contact for applicants.
- 3.13. Clacks 1000 respondents stating their quality of life as 'good' or 'very good' increased from 69% to 92% over 4 surveys. School leavers progressing to 'positive destinations' increased from 85% to 93% over 4 years and in 2013/14 (latest available), we improved substantially from worst in Scotland (32nd) to within the top half of Councils (15th) in a single year. Further attention is being focussed on ensuring all groups are aware of available support so opportunities can be taken up at the earliest stage possible.

Better Communities

- 3.14. Clackmannanshire's towns and villages are the heart of the County and ensuring they are maintained appropriately has enormous benefit. Working with communities, businesses and property owners to enhance the area is a key Corporate Plan vision. Actions involve how we engage and work in partnership with communities to address issues around community safety, use of open spaces and protecting our natural and built heritage.
- 3.15. In this section of the Corporate Plan, 6 actions have already been reported as complete and another 1 was completed in 2014/15. Again, many of these actions are close to completion, involve longer-term projects and programmes and/or are encompassed in MCB business cases.
- 3.16. As shown in Appendix A, work has been conducted around Community Access Points and hubs, as well as other halls and facilities to improve provision and use. Community action plans and initiatives continue to be developed and implemented, as do town centre improvement initiatives. Our key focus on environmental factors such as litter, recycling and energy efficiency is also maintained through MCB business case development.
- 3.17. 93% of Clacks 1000 survey respondents are 'fairly' or 'very' satisfied with their neighbourhood as a place to stay and, over 5 surveys, respondents agreeing that 'the area has a strong sense of community' increased from 25% to 58%. Over the same period there was an improvement from 14% to 35% in satisfaction with opportunities for participation in local decision-making
- 3.18. Streets assessed through audits as having 'acceptable' cleanliness levels rose from 94% in 2012/13 to 97% in 2014/15. Over 5 years, our recycling rate has increased from 47% to 60% and in 2014 we achieved the national target for 2020. Due to being ranked best in Scotland for many years in this areas of work, Clackmannanshire is also now leading a 'family group' as part of the Local Government Benchmarking Framework to share best practice.

Conclusions

- 3.19. At the end of the 3rd year of Clackmannanshire Council's 5-year Corporate Plan, significant progress can be demonstrated on actions and initiatives that are Taking Clackmannanshire Forward. Though the Council continues to address significant financial challenges, Services, Opportunities and Communities continue to improve, as demonstrated through performance indicators, community perceptions and inspection findings.

4.0 Sustainability Implications

- 4.1. *There are no sustainability implications arising directly from 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
There are no financial implications arising directly from this report.

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

- 5.4. Staffing - *There are no staffing implications arising directly from 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

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 - Corporate Plan 2012-17 Action Progress


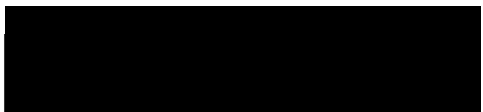
11.0 Background Papers

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
Judi Richardson	Performance & Information Adviser	2105

Approved by

NAME	DESIGNATION	SIGNATURE
Stuart Crickmar	Head of Strategy & Customer Services	
Elaine McPherson	Chief Executive	

Appendix A - Corporate Plan 2012-17 Action Progress

2014-15 end of year progress report on actions from Clackmannanshire Council's 2012-17 Corporate Plan



Clackmannanshire
Council

www.clacksweb.org.uk

Better Services		
Code	Action	Progress
COU CPN 001	Pursue initiatives that create integrated public services within Clackmannanshire against a context of always recognising the need for a strong, independent Clackmannanshire Council	Approaches have been developed and options set out in MCB business cases, including further proposals for consultation in September 2015.
COU CPN 008	Address the challenges of Social Housing and changes in legislation by promoting efficient and integrated services in and out with the Council	PCU added to Housing Service March 2014, Revenues added in August 2014. Number of service managers reduced from 4 to 2 and savings continued to be made across the integrated service. Service levels / KPIs in most areas improving. Work with Vanguard consultants ongoing.
COU CPN 009	Deliver more funding to tackle homelessness	<p>On site Projects</p> <p><u>Delph Road, Tullibody</u> is being developed by Kingdom Housing Association. There was some under spend on the site in 2014/15 and the remaining £912k will be spent out during 2015/16 with 27 units due for completion in March 2016.</p> <p><u>Ann Street, Tillicoultry (former community centre)</u>. Being built as a result of a successful challenge fund bid. Kingdom is managing the development of this site using the HubCo framework and will be on site by the end of May, with 21 completed units by March 2016. In addition to the town centre funding of £782k, there will be a grant allocation of £232k.</p> <p><u>Fairfield, Sauchie</u>. The 17 units being built by Marshalls through Hubco are due for completion by the end of the financial year.</p> <p>Pipeline Projects</p> <p><u>Redwell Place, Alloa</u>. This former garage site is being redeveloped by Kingdom for a single, adapted bungalow. The tender for this project is currently with the Scottish Government for approval and, pending their decision, should attract a grant of around £170k. (As this is over 'benchmark' funding, particular scrutiny is applied to ensure value for money is achieved).</p> <p><u>The Orchard, Tullibody</u> is due for demolition by early July 2015, costs associated with demolition and fees will mean a spend of at least £100k. The site will provide 12 new council properties for rent.</p> <p><u>Primrose Place, Alloa</u>, bought by Kingdom Housing Association, is programmed in for a site start in October 2015. The plot requires demolition and site investigation prior to development and Kingdom have advised that there will be substantial spend prior to April 2016.</p> <p><u>Former Alva Academy Site</u>. Work is expected to start in August on the 48 'greener homes' being built by Link and Paragon Housing Associations.</p>

Code	Action	Progress
		Primrose Street, Alloa acquired by Clacks Council in March 2015 for future development. It should be noted however that the Council has little control over delivering funding for homelessness.
COU CPN 015	Invest to ensure our IT and fleet infrastructure are fit for purpose	ICT Asset Management Plan has been developed and approved by Council. Investment ongoing to maintain and modernise ICT assets in line with ICT Strategy. Desktop Replacement plan in progress; Additional Capital identified to resource ICT replacements in schools; Major systems being replaced eg ne Finance System. A Fleet Asset Management Plan has been approved and a Fleet Capital replacement programme is also approved to maintain the Council's Fleet in a fit for purpose state.
COU CPN 020	Consult upon and, working with relevant partners, introduce a Choice Based Lettings system for Council Housing	System now implemented. It is not used on every void as it was found this would generate significant failure demand.

Better Opportunities

Code	Action	Progress
COU CPN 023	Continue to embed a policy of Early Intervention and Raising Attainment within Clackmannanshire's Schools	<p>The Education Service Strategic plan sets out very clear and ambitious targets around Early Intervention and Raising Attainment. Key actions and measures have been identified which will support the Service in ensuring that it effectively monitors progress on the impact of improvement priorities.</p> <p>Early Intervention – The implementation of Phase 1 of 600 hours of Early Learning and Childcare which provided all 3 and 4 year olds, and entitled 2 year olds increased access to quality learning and care is complete. As part of this, 2 nursery classes have piloted offering 600 hours of Early Learning and Childcare in a more flexible model. Following on from the feedback and success of this, Phase 2 of 600 hours is now underway and a further 3 nursery classes will offer flexible hours next session. 4 nurseries offered places to entitled 2 year old children during the session 2014/2015. Following on from the success of this, a further 2 nursery classes will offer places to entitled 2 year olds next session.</p> <p>Raising Attainment – A Raising Attainment Strategy was approved at the Education, Sport and Leisure Committee in November 2014. The six key drivers to raise attainment identified within the strategy are: enabled leadership; family and community; excellent learning and teaching; literacy and</p>

Code	Action	Progress
		numeracy; and data analysis. The Education Service submitted a bid to the Scottish Government as part of the Scottish Attainment Challenge in May 2015. The Service has secured £718k for 14/15 from the Scottish Government to support raising attainment developments. This will be used to support developments in all primary schools to raise attainment. Updates will be given to the Education, Sport and Leisure Committee within Quarterly Reporting.
COU CPN 024	Ensuring the best attainable start in life by early implementation of the Getting It Right for Every Child principles and practices	Following the recent Children's Services inspection a multi-agency action plan has been developed. All schools and establishments have embedded the use of the GIRFEC National Practice Model and the accompanying assessment, planning and evaluation suite of paperwork. A programme of quality assurance both by Education and by the multi-agency partnership supports that implementation. In addition a cycle of multi-agency training modules, has been planned with date up to August 2017 in place. Guidance for education staff has been updated for the 2015 – 2016 session, to reflect the results of quality assurance, Children's Services Inspection findings and the changes introduced by the Children and Young People (Scotland) Act 2014. Regular updates on progress will be provided to the Education Sport and Leisure committee as part of the Quarterly reporting cycle.
COU CPN 025	Providing additional funding to improve resourcing provision within Clackmannanshire	All nursery classes will continue to have a nursery teacher next session. Work is continuing to develop a continuum of support for children and young people with autism in Clackmannanshire. Growth has continued in the primary and secondary autism provisions, with increases in staffing being achieved from existing funds. Space required for these provisions has also increased in the host schools for both. A wide range of Education staff have been closely involved in the development of the Local Autism Strategy and are represented in each of the working groups.
COU CPN 027	Implement policies and initiatives to encourage local employers to take on local 19 to 24 year olds	The Youth Employment Scotland (YES) funding finished at end of June 2015. It provided a recruitment incentive for local employers to create 120 employment opportunities for young people over a 2 year period from June 2013. In July 2015, Scotland's Employer Recruitment Incentive replaced YES and 28 funding places have been allocated to Clackmannanshire to help local businesses with the additional costs of recruiting young people in employment, including Modern Apprentices. The new Incentive funding will be delivered by the Council's Economic Development service who also deliver a range of employability programmes, including the Employability Fund and Modern Apprenticeships, which specifically target young people. Other Economic Development programmes such as the new Clackmannanshire Works ESF project will provide employability support to local residents, including young people.
COU CPN 028	Continue to support a multi agency approach to deliver the best training and development opportunities for Clackmannanshire residents	The new Employability Strategy for Clackmannanshire was endorsed by the Clackmannanshire Alliance in December 2014. The strategy highlights priority actions for the Local Employability Partners over a 3 year period. Key priorities include driving the strategic

Code	Action	Progress
	in Clackmannanshire	approach by fully realising the potential employability role of all front line staff who engage with unemployed clients, working at a wider scale to support local people to take up jobs locally and further afield, and placing employability in the context of business growth by developing an even stronger focus on the needs of employers.
COU CPN 029	Implement an employability initiative for care leavers, in which Looked After Children leaving school are offered employment/training for one year at Clackmannanshire Council	All processes and procedures in place. Criteria changed employment/training for minimum of three months extending to six months depending on needs of client. This service is well established now and is working currently with 18 young people in placement.
COU CPN 031	Maintain, embed and increase payments to Kinship Carers by a minimum of 1% per annum	A working group is looking at ensuring we have consistent approaches to this across the shared service with financial assessments being completed for all Kinship Carers and income maximisation this will pave the way for the payment of the new allowances which will be backdated where appropriate.
COU CPN 032	Support Clackmannanshire Credit Union and seek ways in which the Council can work to maximise uptake of membership within Clackmannanshire	Support has been provided to the Credit Union through provision of premises and also publicising through The View and on Clacksweb.
COU CPN 033	Support the Scottish Government's Small Business Bonus Scheme	We currently have 52.84% uptake of SBB against properties. This is a 7.17% increase on September 14. There were 827 accounts with a value of £1,419,294.19 at September. Support will continue on an ongoing basis to increase awareness and uptake.
COU CPN 034	Work proactively to attract new businesses and supporting existing businesses through continuing to adopt integrated, 'can do' approaches where appropriate	The Council continues to work in partnership with Clackmannanshire Business, Business Gateway, Skills Development Scotland, VisitScotland and Scottish Enterprise to support new and existing businesses in Clackmannanshire. This has included bespoke business support, working with employers to address training and recruitment needs, networking opportunities, showcase events for local businesses, training workshops and Meet the Buyer events through work with the Supplier Development Programme. Activities under this Action are now fully integrated with employability initiatives.
COU CPN 035	Continue to actively encourage businesses to relocate to Clackmannanshire by maintaining a business-friendly and "can-do" approach to promote Clackmannanshire as a prime business location	The Council works through Clackmannanshire Business and other partner organisations to promote the area and attract businesses to relocate and start-up. A regional marketing and media campaign commenced and is ongoing and subject to review.
COU CPN 036	Continue to support, encourage and protect the vital work carried out by Voluntary, Community and Social Enterprise organisations reflecting their commitment to communities and acknowledging the important	We continue to work closely with CTSI to support a wide range of community and voluntary organisations. We have jointly developed options on the Third Sector with CTSI through our MCB review. These options will be consulted on in September 2015.

Code	Action	Progress
	role they play in the economic revival of Clackmannanshire	
COU CPN 038	Work with all partners and stakeholders to secure as much additional external funding for Clackmannanshire, as possible	Approaches for maximising external funding are explored in MCB business case on review of Third Sector funding consultation in September 2015.
COU CPN 039	Work with local businesses and employers to continue to promote Clackmannanshire's Tourism potential locally, nationally and internationally	The Clackmannanshire Business tourism sub-group has been formed as a opportunity for the existing 'Discover Clackmannanshire' industry tourism group to work more effectively, collaborate across business networks, drive the local tourism agenda and to support tourism development. The group meets bimonthly and achievements this year have included an industry survey, the development of an event strategy and the delivery of a Whisky Event in May 2015 to raise the profile of Clackmannanshire's Whisky Heritage. The group are working with VisitScotland and EventScotland to maximise on the opportunities for funding and marketing through the 2015 Scotland's Year of Food & Drink, and to develop plans for maximising on the opportunities of scheduled future theme years.
COU CPN 043	Work with the Scottish Government for the retention of the concessionary bus pass and extending it to Dial-a-journey services	Action 1 - The Scottish Government intends to retain the concessionary bus pass (National Entitlement Card) and progress on this part is 100% complete. Action 2 - Extending the NEC to Dial-a-Journey services is unaffordable and the Scottish Government have no plans to extend it, therefore this part of the action will not be completed.

Better Communities

Code	Action	Progress
COU CPN 049	Retain and develop existing Community Access Points within existing settlements based on the Community Hub model, extending the range of services accessible locally to communities. As a first step, provide a Tillicoultry Community Hub in consultation and partnership with the Community.	Speirs Centre opened in October 2014. Work ongoing as part of MCB Programme to develop community hubs in other settlements.
COU CPN 050	Continue to work with Local Traders and property owners to revitalise our high streets through innovative and flexible use of shop units and upper premises and support the ongoing town centre redevelopment and improvement of Alloa Town Centre	A number of initiatives are progressing which aims to revitalise our high streets and Alloa Town Centre. This work includes collaborating with partners on the Alloa Town Centre BID. Work to implement an annual Town Centre health check for Alloa is underway with a roll out for other town centre health checks.

Code	Action	Progress
COU CPN 051	Continue to operate in partnership with all community councils, tenants and residents associations in order to maximise the community benefit of Council activities, noting initiatives to encourage local democracy. For example Youth Councils facilitated by Local Community Councils and involvement in the Scottish Parliament's Community Council Working Group	All communities have in place or are actively working towards developing community action plans and in many cases we are engaged with them to support delivery of action plans. We have developed options on how best to support community organisations through MCB Third Sector review. These options will be consulted on in September.
COU CPN 052	Recycle the proceeds of Council Investment Property Sales to create a Capital Investment Fund to stimulate intervention on vacant, derelict and underused premises within Clackmannanshire in order to benefit local businesses and communities	To progress this action it was intended that the proceeds of investment property sales at Dumyat and Pavilions Business Parks would be essentially "recycled" to stimulate further business development opportunities. To date the emphasis has been on securing property sales at both business parks and various sales on both parks including sales to Speyside Cooperage, Oakwood Foundation and Ceteris have now been achieved through the Joint Venture Company in which the Council is a shareholder. Discussions are ongoing on the disposal of further sites
COU CPN 054	Ensure Clackmannanshire Council halls and facilities are utilised to maximum benefit	A service review of the leisure service is underway to improve customer experience/reduce operating costs. Usage figures for each leisure facility are now being closely monitored. This will be reported as part of a wider leisure project to control costs and maximise use of PPP schools.
COU CPN 055	Support community-led initiatives to, where appropriate, manage and maintain local halls and facilities	A review of leisure provision in local halls is being progressed, following the transfer of the leisure ops service into Customer Services from Jan 2015. Options for future delivery of local halls and facilities is being undertaken in consultation with JCCF/Community Councils and as part of developments arising from the Community Empowerment Act.
COU CPN 056	Continue to take a robust approach to anti-social behaviour and drug-dealing within Clackmannanshire through cross service and Government agency working and where practical adopt and pilot new approaches to tackling drug dependency	The MATAC process continues to develop and the Council continues to deploy the national Deter Strategy as part of the work of the Forth Valley Serious Organisation Crime group. A number of processes have been strengthened, including procurement processes to assist in cutting off the oxygen supply of drug dealers, which is often laundered money.
COU CPN 057	Adopt a proactive approach to reducing litter, fly tipping and dog fouling by thorough use of existing legislation, increased staff training, patrolling and enforcement	Review of approach to enforcement approved at Special Council meeting in February 2015. Review has commenced but still currently on going. Business case to be developed by August 2015
COU CPN 059	Maximise opportunities and investment to further develop energy efficiency initiatives	Agreed to create a new team to concentrate energy efficiency efforts and build expertise. A number of significant initiatives currently being pursued actively, and various bids for

Code	Action	Progress
	within Clackmannanshire as part of a greater move to mitigate fuel poverty in the area	additional funding have been successful or are currently being considered.
COU CPN 061	Seek to re-market and utilise the following surplus Council sites in a way that maximises benefit to the local communities, including:- Former Tullis Site, Tullibody Former Alva Academy Site, Alva; and Former Community Centre, Tillicoultry	The Council approved an Annual Property Review 2015/16 report on 14th May 2015 which advised of the proposed disposal plan for 2015/16. There is a target income (including potential savings) of £1.9 million. To date, £932,000 is already expected from disposal/agreed sales and a further five properties are subject to current marketing/interest: Former St. John's School; Former Glenochil Nursery; Ground at Alexandra Street, Devonside; Former Alva Academy (west); Former Tullis site (North). The report also identified all completed disposals from June 2013 and March 2015 including the former Community Centre, Tillicoultry.
COU CPN 064	Continue to promote green energy schemes and improve recycling rates, with the objective of saving money as well as helping the environment	Home Energy Efficiency Programme Area Based Schemes (HEEPS: ABS) 2015/16 The bid for Home Energy Efficiency Programme: Area Based Schemes (HEEPS:ABS) 2015/16 was approved by the Scottish Government in June 2015. The Council has been awarded £794,777 to install energy efficiency measures to 664 traditional and non traditional homes. The scheme will incorporate the provision of external wall insulation on 114 non traditional houses (31 Council and 83 owners) located in Alva, Coalsnaughton and Tullibody and the installation of loft insulation and cavity wall insulation into 540 home owners properties located in areas of identified fuel poverty. The value of this programme is estimated at £2,155,724, with the bulk of the funding coming from Scottish Government HEEPS programme (£794,776) and Energy Company Obligation (ECO) monies (£790,371). The Council has committed £356,000 in the Housing Revenue Account, from underspend in the 2014/15 programme, to be carried forward to pay for work to Council owned properties. Home owners, including registered private landlords, can apply for a Scottish Government HEEPS loan if required.
COU CPN 065	Promote energy efficiency and a sustainable environment for our citizens through the early adoption of good practice and pilot projects to demonstrate and examine the best fit of these measures for Clackmannanshire	The Council has been offered two grants from the Local Energy Challenge Fund: to carry out financial and legal explorations into the viability of recovering waste heat from the O-I glass works and using it in a district heating network; and to investigate the feasibility of combining water-source heat pumps and pico-scale hydroelectric generation in the Hillfoots. The Modified Local Development Plan has been approved by Council and Scottish Ministers have now given their authority to the Council to adopt the plan (19 August 2015).
COU CPN 067	Undertake a review of all public toilet provision in Clackmannanshire	This has now been incorporated as part of the current review of the Council's whole Asset structure.
COU CPN 068	Promote and support village/small town centre initiatives, designed to enhance village and	The programme is in the final stages of construction working in Sauchie whilst proposals in Tullibody are dependant on the conditions for the use of £40,000 from private sector housing

Code	Action	Progress
	small town centres throughout Clackmannanshire	funds, which will be determined at August Council. This has caused a 4-6 weeks delay. If agreed proposals will be finalised and presented to the MCB board with an expected start date for works to be October. If this is not agreed a redesign of the proposed plan will have to be undertaken.
COU CPN 069	Continue to support the Ochil Landscape Partnership to secure long term improvements	Ochils Landscape Partnership. The initiative comes to a formal end on 31st August 2015. A variety of funding sources has been used to deliver projects including funds delivered through a Section 75 Agreement between the Council and developers of the Burnfoot Hill Windfarm. A report to the Council on 25th June described the progress made on delivering the agreed 22 projects as well as work being done on developing a successor organisation to take forward and further develop the work of the Partnership. It was agreed to put in place transition arrangements using the Section 75 funding to maintain projects as well as to fund a post to oversee maintenance and further develop Business Plan proposals for a successor organisation.
COU CPN 070	Repair and reopen the footpath at Mill Glen, Tillicoultry	The Council have committed additional funding for Tillicoultry Glen this financial year. Design proposals have been prepared, and put out to tender. Options are being considered.

CLACKMANNANSHIRE COUNCIL

Report to: Resources & Audit Committee

Date of Meeting: 24 September 2015

Subject: Annual Report - Health and Safety Performance

Report by: Head of Resources & Governance

1 PURPOSE

- 1.1. This report provides the Committee with an annual report on the performance of the Health & Safety (H&S) Management System for the period 2014 - 15. The primary objective of this report is to monitor performance and to provide assurance that statutory objectives are being met.

2 RECOMMENDATIONS

- 2.1. The Committee is asked to note, comment on and challenge the H&S Annual Report.

3 CONSIDERATIONS

- 3.1. H&S is a key risk area for the Council. It is a fundamental part of the efficient and effective delivery of local authority services. In order to manage H&S effectively, it is essential to carry out and report on periodic reviews of H&S performance. This report aims to allow Members and Senior Managers insight into the deployment of H&S across the Council in order to assess performance.
- 3.2. The compilation and consideration of this annual report satisfies the statutory requirement under regulation 5 of the Management of Health and Safety at Work Regulations 1999, that requires employers to plan, organise, control, *monitor and review* their H&S arrangements.
- 3.3. The report also summarises information on key H&S risks and any enforcement action / Health and Safety Executive involvement where the effectiveness of internal controls and H&S risk management have not achieved their aim.
- 3.4. Information relating to the use and performance of the Occupational Health Service, Physiotherapy and also the Employee Counselling Service is also considered.

4 CONCLUSION

4.1. Satisfactory performance has been achieved in 2014/15, with reasonable assurance that legal H&S duties have been met. During 2014/15, no prosecutions relating to statutory H&S breaches were undertaken against the Council and internal and external peer review audit results on the H&S Management System provide assurance that compliance was being achieved.

5 SUSTAINABILITY IMPLICATIONS

5.1. None.

6 RESOURCE IMPLICATIONS

6.1. *Financial Details*

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

6.3. Finance have been consulted and have agreed the financial implications as set out in the report. N/A Yes

6.4. *Staffing*

6.5. N/A

7.0 EXEMPT REPORTS

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

8.0 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)

N/A

9.0 Equalities Impact

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

10.0 Legality

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

11.0 Appendices

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

11.2 Appendix 1 - Health & Safety Annual Report 2014/15.

12.0 Background Papers


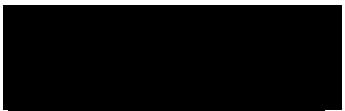
12.1 Have you used other documents to compile your report? (All documents must be kept available by the author for public inspection for four years from the date of meeting at which the report is considered)

Yes (please list the documents below) No

Author(s)

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Approved by

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



Clackmannanshire Council

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HEALTH AND SAFETY

ANNUAL REPORT

2014 - 15

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1. INTRODUCTION

1.1 Aims and Objectives

In order to manage Health and Safety (H&S) effectively, it is essential to carry out and report on periodic reviews of H&S performance. This report aims to allow senior management and Elected Members insight into the deployment of H&S across the Council in order to assess performance. Management information is included for the period between 1st April 2014 and 31st March 2015. Information relating to the use and performance of the Occupational Health Service, Physiotherapy and also the Employee Counselling Service is also considered.

The report will also provide information on H&S risks and any enforcement action / Health and Safety Executive (HSE) involvement where the effectiveness of internal controls and H&S risk management have not achieved their aim.

The ultimate objective of this report is to monitor performance and to provide assurance that statutory objectives are being met.

1.2 H&S Mission & H&S Team

The H&S Team aims to ensure, as far as is reasonably practicable, that Council business is conducted and services are delivered without causing harm or ill health to our staff, or any others affected by our activities. The management of H&S will be reasonable, proportionate to the level of risk and benchmarked with similar organisations. The H&S team also aims to support the delivery of Council services without breaching relevant H&S legislation. The team also manages and operates the Council Occupational Health Service Contract (including statutory staff Health Surveillance), Physiotherapy, Employee Counselling Service and Healthy Working Lives Awards programme. The H&S service contributes to maintaining a healthy workforce, improving efficiency, reducing costs and claims, managing risk and reducing absence.

The central H&S Team also satisfies the statutory requirement to appoint an adequate number of competent persons to assist the Council to comply with its legal duties.

1.3 H&S Hazards & Regulations

The Council delivers a wide range of services across Clackmannanshire. This corresponds with a wide range of hazards and statutory duties which have to be met. Table 1 in Appendix 1 summarises the broad statutory H&S framework applicable across the Council.

2. HIGHLIGHTS

Highlights from the broad range of work undertaken from the period 2014-15 include the completion of a full H&S risk assessment for the Commonwealth Baton Relay and evening event; the procurement and coordination of an externally provided fire risk assessment programme for complex buildings; detailed risk assessment of the use of Kilncraigs reception / Housing Options Shop interview rooms; the provision of OH referral workshops; team level stress risk assessments; introduction and coordination of a new stress

management working group and H&S inspections of the newly refurbished Speirs Centre. All of the above support the Council in achieving statutory compliance and enhancing the health, safety and wellbeing of all staff.

3 PERFORMANCE - H&S MANAGEMENT SYSTEM

3.1 Statutory Breaches & Enforcement Action

The provision of swift and accurate H&S advice and the successful operation of the Council H&S Management System across the Council resulted in no statutory breaches or HSE prosecutions during 2014/15.

Due to the follow up work carried out by the H&S and Assets Teams, the Council narrowly avoided enforcement action from the Fire Service following an out of hours fire alarm activation in Kilncraigs on 27 August 2014 that highlighted an absence of the necessary fire safety protocols, outwith office hours.

3.2 Significant Incidents/Accidents

During 2014/15 there were 2 full HSE investigations following the reporting of accidents under the RIDDOR¹ Regulations as follows.

3.3 Cable Strike Investigation - Roads Contracts

On 9 July 2014 a Scottish Power cable was struck by a Roads Operative. This resulted in an explosion and burns requiring hospital treatment. A full HSE investigation was carried out, along with an internal investigation and subsequent report by the H&S Adviser. The HSE investigation confirmed there were no material statutory breaches, therefore 'Fees for Intervention' did not apply. No enforcement action was necessary.

3.4 Fall at Ludgate House - Adult Care

An HSE accident investigation was triggered following a fall at Ludgate House on 8 June 2014. A respite resident fell, breaking her hip and arm. The HSE investigation confirmed there were no material statutory breaches, therefore Fees for Intervention did not apply. No enforcement action was necessary.

3.5 Other Significant Accidents

An investigation was completed by the H&S team following a report of a fatality in Menstrie House on 21 October 2014. A resident fell, did not recover consciousness and later passed away. An investigation was conducted by the Police, CID and HSE. The outcome of these initial investigations was that medical reasons caused the fall. No further action was required or taken by HSE, therefore Fees for Intervention did not apply. No enforcement action was necessary.

On 3 October 2014, a needlestick injury was sustained in a domestic property by a contractor during the bathroom replacement programme. The incident occurred despite a needle sweep being carried out prior to the work commencing. The occupant of the property was confirmed to have a Blood Borne Virus. A claim is ongoing for this incident.

¹ Reporting of Injuries, Diseases and Dangerous Occurrences Regulations 2013

A staff member sustained minor injuries on 27 August 2014 when the floor panel he was standing on in the IT Server Room in Kilncraigs collapsed. This accident was investigated by the H&S Adviser with a full report and recommendations submitted in order to reduce the risk of reoccurrence.

The H&S team also investigated an accident involving a primary school pupil who was hit in the eye by a skipping rope handle in the playground on 27 August 2014. His retina was detached by the impact. A full report with recommendations was submitted in order to reduce the risk of reoccurrence.

3.6 Accident Data

Table 2 in Appendix 2 summarises the accident data for the financial year 2014/15. 2013/14 is also included for comparison. (The Council restructure must be considered when comparing data between the two time periods).

The above statistics highlight a slight decrease in the total number of accidents reported from 2013/14 (**1031**) to 2014/15 (**1024**). Staff accident reports decreased from 308 to 230 whereas non staff accidents increased from 723 to 794. The increase in accident reports for non staff reflects the work carried out in Education to improve the reporting of accidents involving school pupils.

3.7 Accidents reportable to the HSE under the Reporting of Injuries, Diseases and Dangerous Occurrences Regulations (RIDDOR) 2013

Some more serious incidents, including accidents resulting in significant injury and staff absence from work, must be reported to the HSE under the above regulations. The total number of RIDDOR reportable accidents was **21** in 2013/14 and **23** in 2014/15. 18 and 20 of these related to staff respectively, 3 and 3 respectively related to non staff. (These figures have remained fairly static over recent years).

3.8 Accident Incidence Rate (AIR) - Staff RIDDOR reports

The number of RIDDOR reports for staff are benchmarked with 11 other Scottish LA's using the Accident Incidence Rate (AIR). The staff RIDDOR AIR for 2013/14 was **837** (RIDDOR reports per 100,000 FTE) and **984** in 2014/15. This increase reflects an increase of only 2 reports, with an overall reduction in the FTE number of staff employed.

3.9 Accidents by Directorate

Table 3a and 3b in Appendix 2 shows the number of staff accidents by Directorate for 2013/14 and 2014/15 respectively. In order to meaningfully compare this information across Directorates, the size of the departments must be taken into account. When the head count is considered for 2014/15, these results show that the highest rate of incidents per thousand staff occurs in what was previously known as 'Services to Communities' (125.93 per 1,000 staff), followed by 'Services to People' (89.27) then 'Finance and Corporate Services' (5.96). These figures reflect the physical nature of the work carried out within Services to Communities.

All accident reports are scrutinised by the H&S team and action taken where required in the identification of trends and the provision of recommendations in order to prevent a reoccurrence.

3.10 Accident Types

Figure 1a below displays a summary of the accident types for staff and non-staff during 2014/15. The top three accident types for 2014/15 were slips trips and falls at 46% (slight increase from previous year), sports injury 23% (again increased since previous year) and physical assault 16% (same as the previous year).

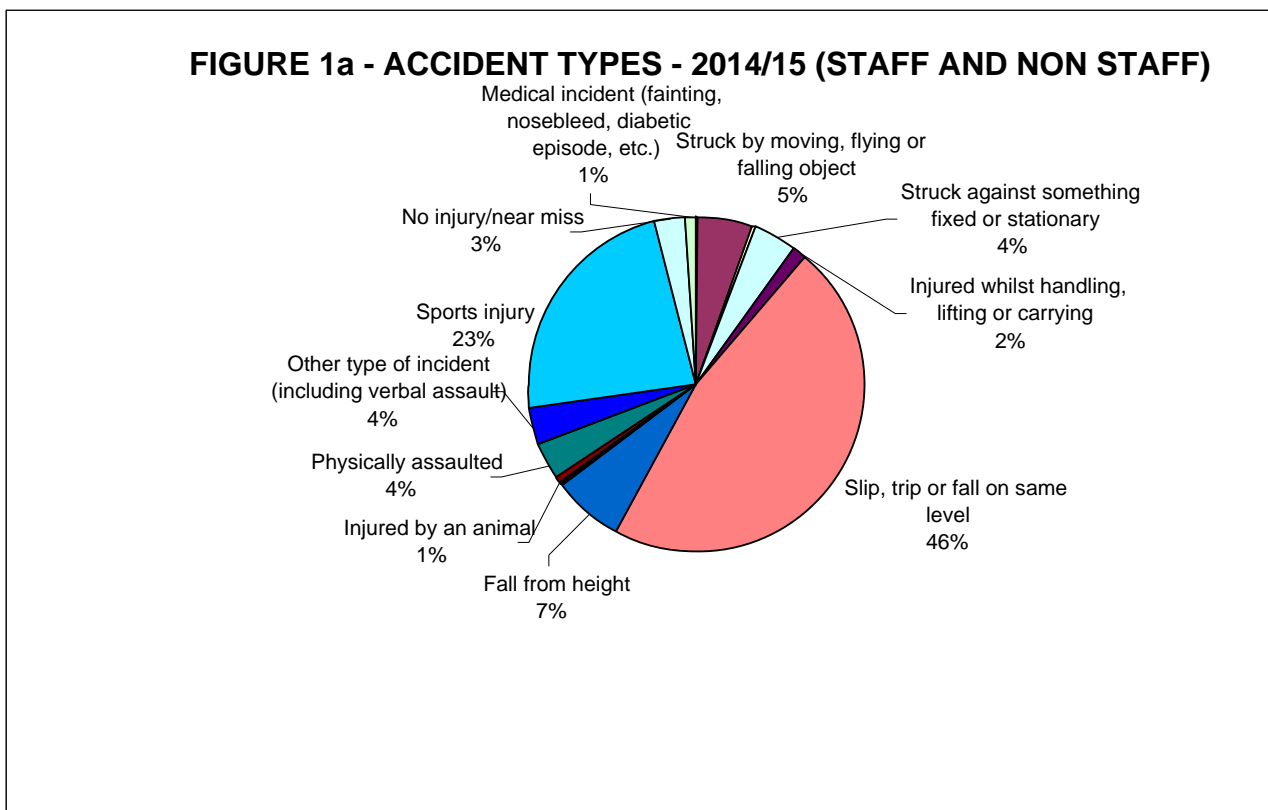


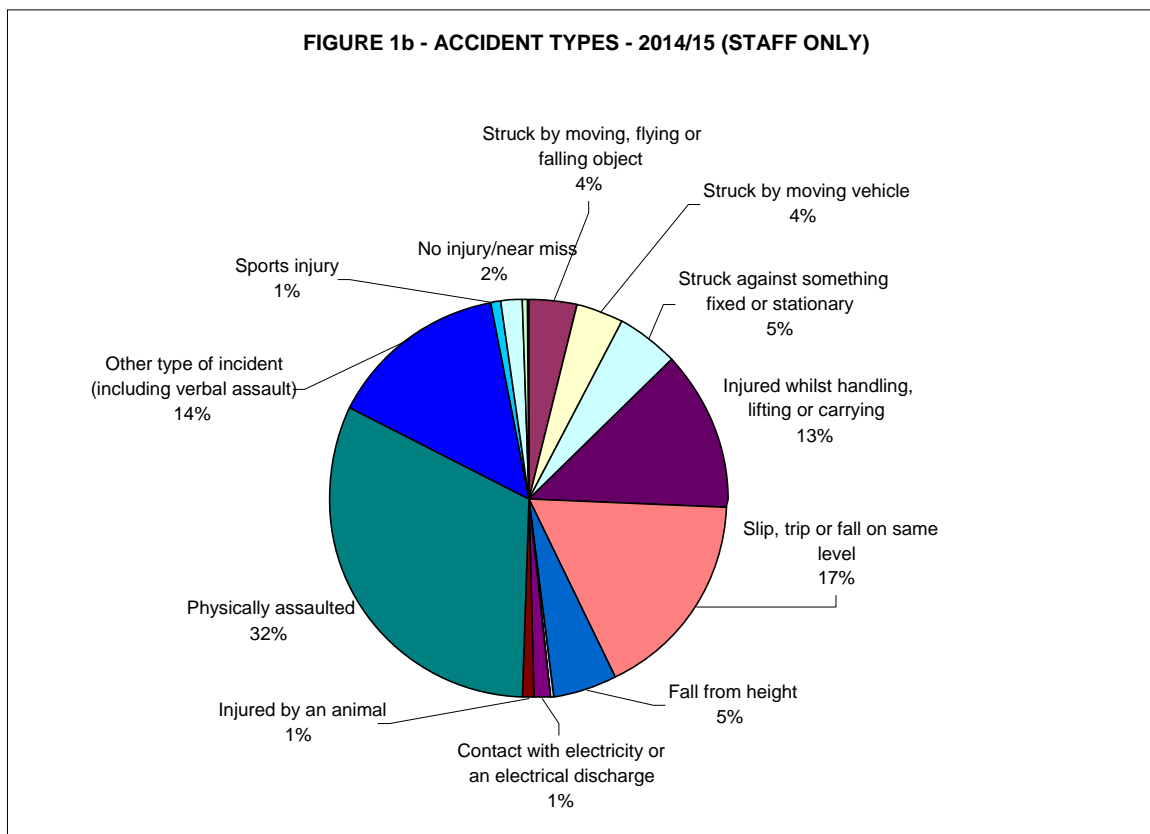
Figure 1b below displays the annual summary of accident type for staff only across the Council in 2014/15.

In 2014/15, the top three accident types for staff only were physical assault at **32%** (46% last year), followed by slips trips and falls at **17%** (12% last year) and 'other', at **14%** (12% last year).

Further breakdown of the Physical Assault data above (**73** reports in total - figures for 2013/14 were **143**) shows that **61** incidents were within Education, **11** were Social Services and **1** was in Facilities Management. Within the school incident reports, the figures can include several incident reports involving the same pupil. Also some singular incidents generate 3 or 4 reports if several members of staff were involved. This increases the overall totals significantly.

Violence and Aggression reports (as with all incident reports) are monitored closely by the H&S team, with most of the reports followed up for additional information on a case by case basis. As detailed above many of the reports can relate to one pupil. The approach to managing these risks is a line management responsibility; with the school staff using their expertise to manage pupils with behavioural issues and the H&S team providing risk

management advice where required. Control measures include risk assessment, staff training (breakaway techniques / de-escalation / safe restraint); rotation of staff working with difficult pupils; identifying behavioural and emotional triggers, identifying environmental factors, meeting with parents, social work involvement, transfer to ASN Units, timetable alterations, reduced attendance and ultimately exclusion. The latter is balanced against the Educational policy of inclusion of pupils with additional support needs.



Accident types are displayed for Services to People and Services to Communities, as they were named in 2014/15, in Appendix 2 - Figures 1c - 1f. (The figures for Finance & Corporate Services were too low to display - only four staff accidents and two for non staff).

3.11 Claims - Insurance payments for industrial ill health / accidents

Claims and insurance payouts for H&S reasons provides an additional indicator of H&S performance. The number of claims received in 2014/15 for H&S (industrial illness and accidents) is **Six** (two more than the previous year). These claims have not been paid out yet so their value is not known. Two of these were cross Council claims for asbestosis. One related to injuries sustained following a cable strike, two were falls and one was for a head injury sustained by falling PE equipment.

In 2014/15 the Council paid out one cross Council claim for £31,054 in relation to a claim received in 2013/14 for mesothelioma. This is approximately half (£29,399.49 less) when compared with the previous year.

3.12 Audits

Clackmannanshire Council is a member of the Authorities Benchmarking Club (ABC). This involves benchmarking with 11 other Scottish local authorities. Part of this membership includes involvement in a regular Peer Review H&S Management System Audit every three years. In 2014, a Peer Review Audit was conducted by East Renfrewshire Council on Clackmannanshire Council. The scores for this are detailed in Table 4 in Appendix 3. (Previous scores from the peer review audit by Perth & Kinross in 2010 are included for comparison).

Scores have improved in the categories examining **Occupational Health Provision** and the **Provision of H&S advice**. One category score decreased (Audit & Inspection) and the remaining categories scored the same. These scores reflect the high operational demand for H&S advice and the corresponding pressure on resources available for more proactive work, i.e. audits. A reciprocal peer review of the H&S Management System in Scottish Borders Council was also carried out in 2014 by the Clackmannanshire H&S team.

The Internal Audit Service carried out a review of H&S compliance across the Council in September 2014. Reasonable Assurance was provided that Services were compliant with statutory H&S requirements. However, some areas of the Council did not complete the audit questionnaires. These areas, as detailed below, were subsequently audited by the H&S Team.

3.13 Audits completed by the H&S Team

Six audits were carried out by the H&S Team in 2014/15. These included a nursery, three Primary Schools and one Social Work department. In May 2014 a previous audit from 2012 on the Criminal Justice Service Workshops was also reviewed. All premises / departments were provided with guidance on areas of non compliance and recommendations for improvement. The absence of accident reporting and recommendations relating to risk assessment were the significant findings identified for the schools.

3.14 Training

H&S training plays a significant role in reducing overall H&S risk, within the Council H&S Management System. Table 5 in Appendix 4 details the attendance at H&S Training courses organised by the central H&S Team during the financial year 2014/15. 2013/14 figures are included for comparison. In 2014/15 871 staff attended the centrally organised courses. This figure was 308 in 2013/14.

An e learning module on Basic Fire Safety Awareness was compiled by the H&S Team in 2014. This will generate significant financial savings for the Council by removing the need to buy in this training for ALL staff every three years. However, staff without a citrix login will still require face to face training, as will fire wardens and those who require extinguisher training. A Display Screen Equipment awareness e learning course has also now been compiled and launched.

In 2014, 39 Team Leaders attended the H&S for Managers course as part of the 'Developing Leadership' programme. 13 Senior Managers also attended the Executive H&S course as part of the 'Leading The Way' programme.

4 OCCUPATIONAL HEALTH PROVISION

The Occupational Health Provision (OHP) is a significant risk and absence management tool, allowing the Council to optimise productivity whilst reducing costs related to health issues. OHP's perform the following functions:

- Identification of the legacy of impairment/disease in new employees and the establishment of a 'baseline' of health.
- Pre employment health assessment.
- Advising on adjustments as required to comply with the Equality Act 2010.
- Identification of work-related disease and defence in the event of legal challenge.
- Provision of advice on preventing/minimising work-related illness.
- Compliance with statutory health surveillance requirements.
- Assessment of fitness for work during and after illness/disease onset and recommending adjustments and restrictions to reduce absence costs.

The OHP is currently delivered by Optima Health at an annual cost of £67,000, subject to variation depending on the requirement for additional services including Cognitive Behaviour Therapy and GP/specialist reports etc.

4.1 Number of referrals

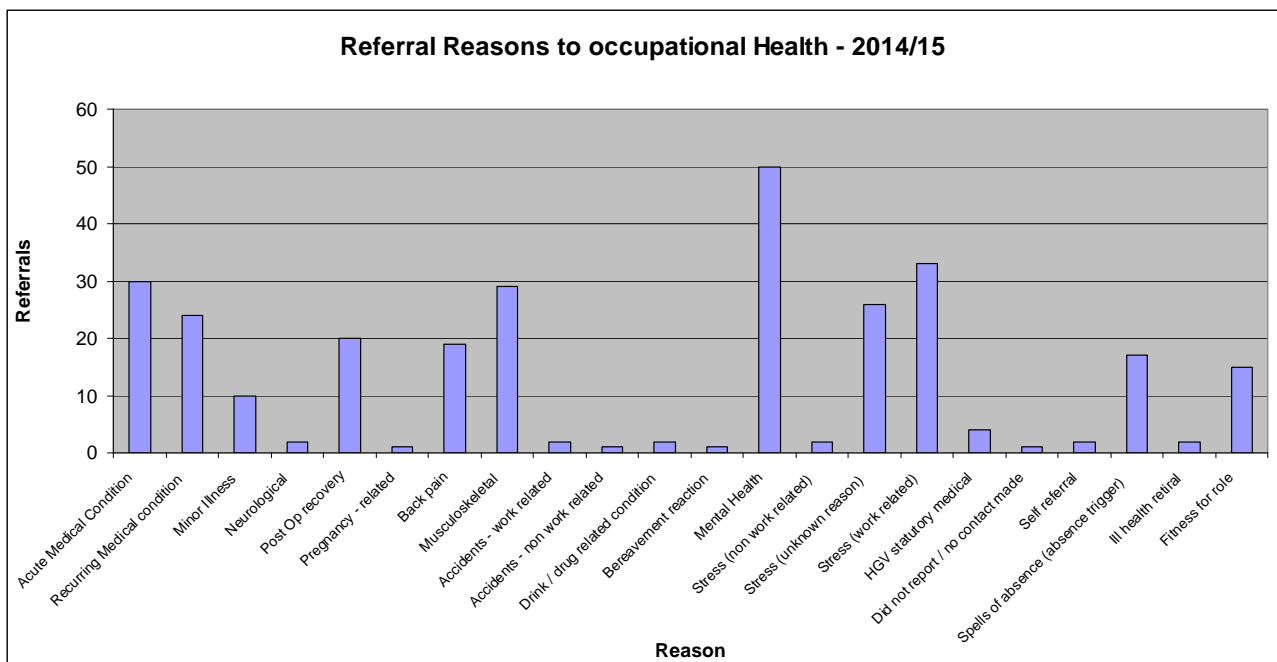
Table 6 in Appendix 5 shows the number of referrals made to our OHP and the numbers of staff receiving statutory health surveillance checks. These checks include:

- Noise Induced Hearing Loss;
- Hand Arm Vibration Syndrome;
- Occupational Asthma / lung function checks;
- Occupational Dermatitis (skin checks);
- Night worker medicals;
- Forklift Truck Driver medicals.

The total number of referrals to Occupational Health (OH) in 2014/15 was **293** (an increase from **225** in the previous year). **302** pre-employment screening questionnaires were assessed (an increase from **259** in the previous year). The number of staff attending OH for statutory health surveillance is lower than in previous years; partly due to the cyclical nature of these checks (some are required every 3 years) and also due to the suspension of the programme following a management buy out of the OHP and subsequent procedural adjustment.

4.2 Referral reasons

Table 7 in Appendix 5 summarises the reasons for referrals to OH. This information is displayed on Figure 2 below which shows that in 2014/15, the primary reasons for referral to OH are **mental health issues** (anxiety, depression, nervous debility etc.) - **50**, **work related stress** - **33** and **acute medical conditions** (stroke, heart problems, cancer etc.) - **30**. It is noteworthy that 111 of the 293 referrals were due to a combination of mental wellbeing and stress (work related, non work related and unknown reasons).



4.3 OHP contract performance

The KPI's for the OHP are detailed in Table 8 in Appendix 5. This information shows that the OH Provider has not met the contract KPI's in 2014/15 particularly in the availability of appointment times with the OH Adviser (OH Nurse). The reason for this is that the KPI's were set up at the commencement of the existing contract; at a time when Clackmannanshire tendered for OH provision in collaboration with Falkirk and Stirling Councils. This partnership generated economies of scale, which meant that the prospective providers, at the outset, were able to allocate five full days of staffing resources to the contract. However, this partnership was dissolved when one of the other Councils retreated from the arrangement when perceived deficiencies were identified with the top ranking supplier in the procurement exercise. The Council that left the partnership opted for the supplier ranked second. (This provider would have proved to be more expensive for Clackmannanshire Council if we had followed suit).

As a result of the above, the size of our contract now only warrants 2 full days of staffing per week (the set days are Tuesday and/or Wednesday for the OH Nurse and Thursday for the OH Doctor). The days can vary with the contract requirements and annual leave etc. It is therefore not possible for the provider to meet the original KPI's. Investigations are currently underway to review the KPI's and re-set them at a realistic and achievable level.

5 FLU VACCINATION PROGRAMME

The H&S team coordinates the annual flu vaccination programme. The aim of this is to ensure that we take action to reduce the risk of contracting flu as a result of work as far as is reasonably practicable; to maintain essential front line services by reducing the likelihood of staff absence during flu season and to safeguard vulnerable service users as far as is reasonably practicable.

In 2014, the programme was extended further to include Education staff. Vaccinations were initially requested by Services for **653** staff. **409** appointments were made with **380** staff attending. The total cost in 2014 was **£3,272**.

In 2013, **223** staff were initially offered the vaccination. **141** staff were vaccinated at a cost of **£1,200**. A wider range of departments than previously were included in 2013 i.e. Waste Services and the Criminal Justice Service.

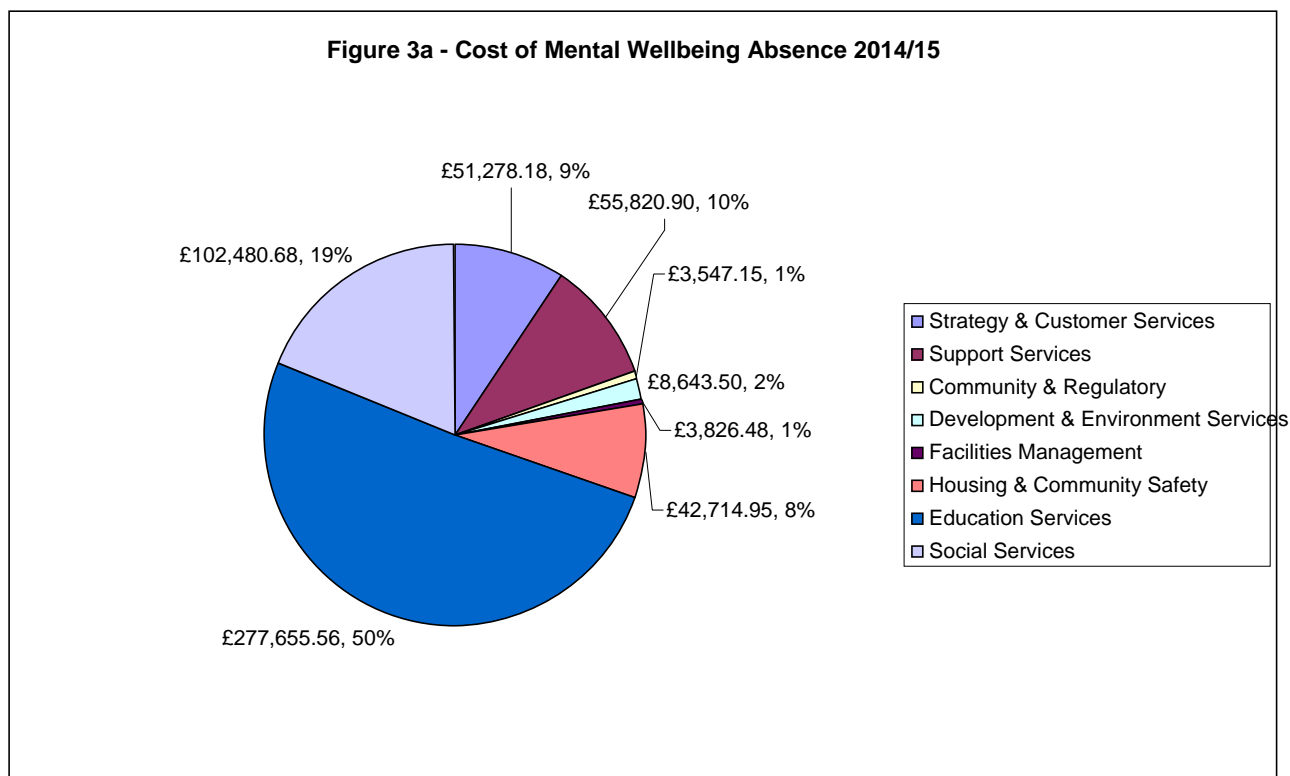
Future changes to i-Trent will allow the flu absence figures to be separately reported in order to determine, where possible, the impact of the flu vaccination programme.

6 STRESS MANAGEMENT, ABSENCE & EMPLOYEE WELLBEING

6.1 Absence

Table 9 & 10 in Appendix 6 detail the distribution of absence relating to Employee Wellbeing across the Council in 2013/14 (for comparison) and 2014/15.

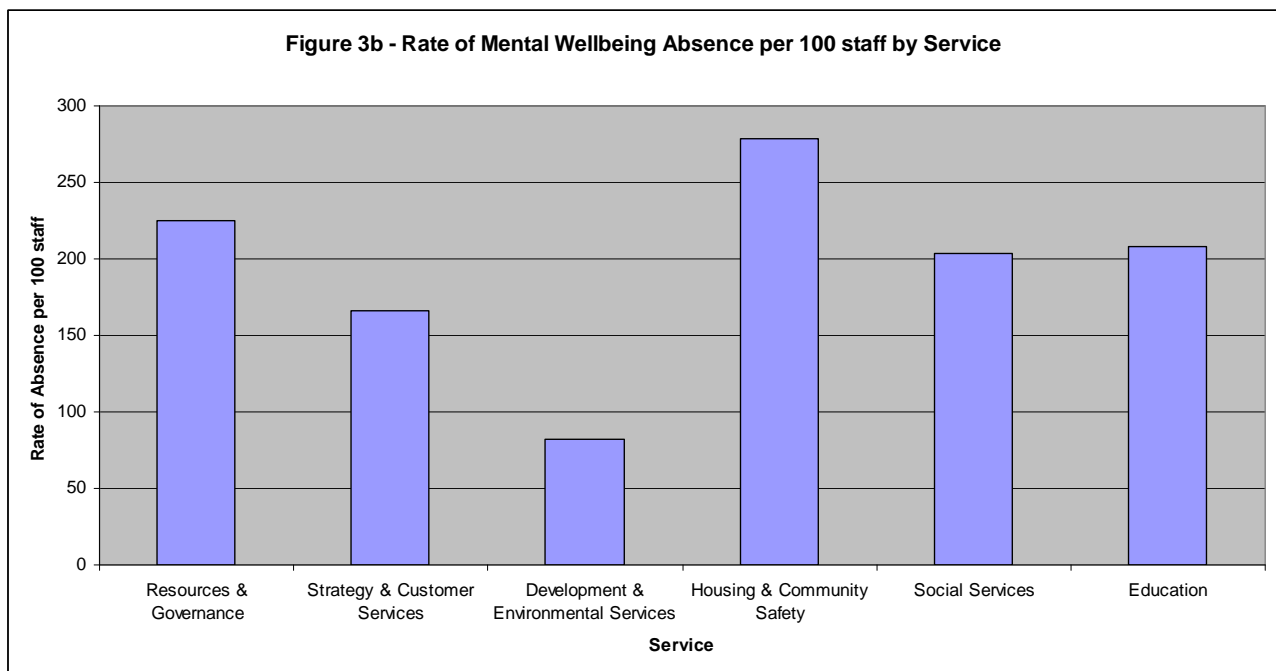
During 2014/15, **5451.5** working days were lost due to mental wellbeing reasons at a cost to the Council of **£545,967.41**. This is **86.5** days more than the previous year with an increase in direct cost of **£6,739.82**. Figure 3a below displays this information in a visual format. 69% of the cost of the days lost were within Education and Social Services. The latter was also the case in the previous year (70%).



In response to the figures above, targeted proactive measures are currently being rolled out to Education staff (stress control training).

However, in order to meaningfully compare the days lost across Services of different sizes, the days lost per 100 staff have been calculated. In Figure 3b below, the rate of days lost

per 100 staff show that the three areas with a greater prevalence of stress / mental wellbeing absence in 2014/15 were **Housing & Community Safety, Resources & Governance** and **Education**.



Comparing this information from the previous financial year is not possible due to significant restructuring. However, in 2013/14, the 3 areas with the greatest prevalence of stress / mental wellbeing absence were **Social Services, Strategy and Customer Services and Community and Regulatory Services**.

6.2 Causes of mental wellbeing absence

I-trent has now (in 2015) been modified in order to allow the recording of stress / mental wellbeing absence to include a determination of whether or not it is work related, or personal, or both. This will be included in future reports.

In the interim, an indirect indicator of whether the incidences of stress are work related can be obtained from the OH referrals. Table 11 in Appendix 6 details the broad reason for psychological / mental wellbeing (MWB) referrals to Occupational Health in 2014/15. 2013/14 data are included for comparison.

These figures show that in 2014/15 the number of MWB referrals had increased to **111** from **60** in the previous financial year. 33% of these were for work related reasons.

6.3 Remedial Measures - Stress Management

The Council currently has in place a suite of control measures aiming to reduce the risk of stress-related ill health and subsequent absence. These include a stress policy, bullying and harassment procedures, a stress risk assessment process for individuals and teams, OH Provision and, until May 2015, an Employee Counselling Service².

² An Employee Counselling Service is currently being re-tendered.

A community - based stress control training programme has also been re-shaped for delivery to Council staff by the Integrated Mental Health Team. A Stress Working Group has also been set up under the Healthy Working Lives banner in order to track the relevant statistics and coordinate control measures.

In response to the figures above, the stress control training will also be rolled out to all Team Leaders.

6.4 Stress Risk Assessments

In 2014/15, **20** stress risk assessments (SRA's) were carried out by the H&S team on individual staff members. Two SRA's were also conducted at a team level. Table 12 in Appendix 6 summarises the demand for SRA's from each Service. The greatest demand was from Housing and Community Safety (including Revenues). This reflects the information in Figure 3b above, highlighting Housing and Community Safety as the Service with the highest rate of mental wellbeing absence per 100 staff.

6.5 Employee Assistance Programme (EAP)

EAP's (providing counselling services) are intended to help employees deal with personal and work related problems that might adversely impact on their work performance, health and well-being. Until May 2015 this was provided by the 'Employee Counselling Service' (ECS). The service included management referrals, self referrals, face to face counselling and also a confidential 24 hour telephone advice service. The annual expenditure on the ECS in both 2013/14 and 2014/15 was £6,800. Following notification that ECS went into receivership in May 2015, the service is currently being re-tendered.

Table 14 in Appendix 6 details the usage of this service in 2013/14 and 2014/15. In 2014/15 the usage of the ECS was **131** contacts in total. This includes referrals for face to face counselling and contact made to the helpline. This has increased by **16** on the previous year.

For the 131 total contacts (face to face and telephone helpline) in 2014/15, the total contract expenditure equates to £51 cost per contact. (For 2013/14 - 115 total contacts equates to £59 per contact).

6.6 ECS referral reasons

Referral reasons to ECS in 2014/15 were **79** total contacts for **personal reasons** and **34** for **work related reasons**. In 2013/14 the referral reasons were 66 for personal reasons and 28 for work related reasons. This information is displayed in Table 13 in Appendix 6.

6.7 ECS contract performance

No performance issues arose for the ECS contract in 2014/15. The KPIs for the contract are in Table 14 in Appendix 6. Self referrals appointment times cannot be monitored due to the confidential nature of the programme. Management referrals to the ECS are very rare, there were only three made in 2014/15. In all management referral cases the KPIs for appointment time and receipt of report were met in full.

There were no known interruptions to the availability of the telephone helpline during 2014/15.

7. PHYSIOTHERAPY PROVISION

The primary purpose of the Physiotherapy Service is to either prevent absence or to facilitate a return to work as a result of a musculo-skeletal injury or illness. The Service was set up as part of the Council's absence management toolkit, with the aim being to provide faster access to physiotherapy as staff could wait eight to twelve weeks for NHS provision.

The physiotherapy provision is delivered by 'Frameworks Clinics' at a value of £21,886 in 2014/15.

7.1 Referrals

The number of referrals in 2013/14 was **97** and **85** in 2014/15.

7.2 Performance - physiotherapy provision

No performance issues arose in relation to the physiotherapy provision during 2013/14 or 2014/15. Furthermore, a survey carried out on users of the provision highlighted a large amount of very positive feedback; with many stating they felt they had recovered quicker and with less absence than if they had not attended.

8 STAFF SURVEY RESULTS (H&S)

The annual staff survey contains questions asking staff how they feel about the Council's management of their health, safety and wellbeing. Table 15 in Appendix 7 details the responses to the H&S questions in 2013. Previous years data are included for comparison.

The above results show a downward trend in the responses with less staff stating that they feel their working environment is safe. Also less staff feel they are receiving relevant H&S information and less staff feel the Council provides support in maintaining a good work life balance. The reason for this has been considered by the H&S team in order to determine the reason for these trends. It is possible that resource pressures are causing H&S to be perceived to be a lower priority in some areas.

9. HEALTHY WORKING LIVES (HWL) AWARD PROGRAMME

The HWL Programme is run by the NHS. It aims to support employers to create a safer, healthier and more motivated workforce. The programme focuses on the premise that healthier staff make for a healthier organisation with improved health, safety and wellbeing generating efficiencies overall.

The H&S Team achieved the HWL Silver Award for the Council in February 2013. This is valid for 3 years. Regular campaigns are required on an ongoing basis to maintain the award. During 2014/15, the H&S team coordinated 9 health promotion campaigns across the Council under the HWL banner. The campaign topics were:

- May 14 Mental Health Awareness
- May 14 Dental Health
- June 14 Pedometer Challenge

- Sept 14 Suicide Prevention Week
- Oct 14 Stress Control
- Nov 14 'Movember' (Men's Health)
- Dec 14 Festive Facts, Winter Driving
- Feb 15 Heart Health
- March 15 No Smoking

Maintaining the award status requires the coordination and collating of information on health promoting activities across the Council. A HWL working group is currently in place, with representatives attending from different service areas.

10. RISKS

The range of services provided by the Council are highly varied, with a broad range of subsequent statutory requirements as detailed in Appendix 1. The hazards affecting each service are very different, ranging from working with chemicals in one area to possible violent attacks from Service Users in others. In all instances, the H&S hazards must be subject to suitable and sufficient risk assessment with the necessary control measures being fully implemented - **in a proportionate manner**.

In general terms the main H&S risks facing the Council are:

- injury and/or ill health affecting staff members (and others) arising from our activities;
- statutory breaches leading to prosecution (& fines);
- costs incurred during HSE investigations under Fees for Intervention;
- injury claims and impact on insurance costs;
- interruption to service delivery (following significant accidents / absence);
- damage to assets following significant accidents;
- adverse publicity and reduced morale in the event of significant incidents.

In addition to the above, further financial pressures leading to reduced resources overall could result in a reduction in H&S compliance and also impact adversely on employee wellbeing/stress. These in turn could increase absence rates and impact on service delivery. This will be monitored on an ongoing basis by the H&S Team. Measures are already underway to streamline the H&S Management System and provide clearer guidance for managers on hazard identification and risk assessment.

The impact of Shared Services will also be closely monitored in order to determine whether ambiguities in terms of liability are introduced.

11 PRIORITIES FOR 2015/16

Priority areas of work for the H&S team for the coming year include:

- completion of a H&S handbook for line managers to simplify and clarify their H&S responsibilities;
- ongoing review of the Council H&S Management System including the standardisation and streamlining of H&S documentation;
- the compilation of hazard matrices for each service area;
- assisting Council services to achieve compliance with the new Construction, Design and Management Regulations 2015 (including policy and guidance formulation);

- and compilation of a policy and guidance document on the management of Legionella risk.

Completion of all of the above is subject to operational demands on the H&S Team.

12 CONCLUSIONS

The aim of this report was to monitor performance and to provide assurance that statutory requirements are being met. Satisfactory performance has been achieved in 2014/15, with reasonable assurance that legal H&S duties have been met. During 2014/15, no prosecutions relating to statutory H&S breaches were undertaken against the Council; despite the involvement of the HSE in three significant accident investigations. Internal and external peer review audit results on the H&S Management System for 2014/15 provide assurance that compliance was being achieved. The external peer review audit scores had also improved in two categories (provision of OH and also delivery of H&S advice). A primary focus of the H&S team is on customer service and ensuring staff have rapid access to the required advice in order to allow them to deliver services without breaching H&S law. This is reflected in these audit scores, which clearly show the focus on reactive rather than proactive work.

Accident reports decreased slightly overall in comparison with the previous year, though accidents involving non staff increased. It is likely that accident figures will continue to increase over the coming years as work continues to ensure all accidents and near misses are reported. Hazard identification and risk assessment continue to be a priority area of work for the H&S Team in order to reduce the likelihood of significant accidents as far as possible. However, it is noteworthy that the likelihood of significant accidents and non compliances occurring is also heavily influenced by several other factors, including:

- leadership in relation to H&S - staff will follow the example set by their management chain;
- ownership of H&S responsibilities by all those with managerial responsibility for staff;
- the general level of compliance with statutory requirements, H&S policies, guidance and training within departments;
- and the level of resourcing allocated to achieving H&S compliance.

The H&S Team will closely monitor and work towards reducing the key risks facing the Council as detailed above; adjusting priorities as required in order to safeguard the health, safety and wellbeing of staff, as far as is reasonably practicable.

TABLE 1 - H&S REGULATORY FRAMEWORK
Health and Safety at Work etc. Act 1974
Management of Health and Safety at Work Regulations 1999.
RIDDOR - Reporting of Injuries, Diseases and Dangerous Occurrences Regulations 2013
Road Traffic Act 1988 and the Transport and Works Act 1992.
Misuse of Drugs Act 1971
Control of Asbestos Regulations 2012
The Control of Substances Hazardous to Health Regulations 2002
The Carriage of Dangerous Goods and Use of Transportable Pressure Equipment Regulations 2009
The Confined Spaces Regulations 1997
The Construction (Design and Management) Regulations 2007 (CDM)
European Regulation (EC) No 1272/2008 on classification, labelling and packaging of substances and mixtures
Health and Safety (Display Screen Equipment) Regulations 1992
Electricity at Work Regulations 1989.
Health and Safety (Display Screen Equipment) Regulations 1992
Fire (Scotland) Act 2005
Fire Safety (Scotland) Regulations 2006.
Health and Safety (First Aid) Regulations 1981
Control of Vibration at Work Regulations 2005
Control of Lead at Work Regulations 2002
Management of Health and Safety at Work Regulations 1999.
The Dangerous Substances and Explosive Atmospheres Regulations 2002
The Work at Height Regulations 2005
Manual Handling Operations Regulations 1992
Control of Noise at Work Regulations 2005
Personal Protective Equipment at Work Regulations 1992
The Workplace (Health, Safety and Welfare) Regulations 1992
Prohibition of Smoking in Certain Premises (Scotland) Regulations 2006
Provision and Use of Work Equipment Regulations 1998 (PUWER)
Lifting Operations and Lifting Equipment Regulations 1998 (LOLER)
Road Vehicles (Construction and Use) Regulations 1986, Road Traffic Act 1988
The Pressure Systems Safety Regulations 2000
The Provision and Use of Work Equipment Regulations 1998
The Gas Safety (Installation and Use) Regulations 1998
The Personal Protective Equipment Regulations 1992
Health and Safety (Fees) Regulations 2012
Corporate Homicide Act 2007

Appendix 2 - ACCIDENT DATA

TABLE 2 - COUNCIL ACCIDENT STATISTICS - 2013/14 & 2014/15		
	Number of accident reports - 2013/14	Number of accident reports - 2014/15
Total number PT1s	1031	1024
Staff	308	230
Non staff	723	794
RIDDOR (HSE) reportable accidents	21	23
Staff	18	20
Non staff	3	3
Accident incidence rate (AIR)	18 x 100000 / 2150 = 837	20 x 100000 / 2135 = 937
Total riddor reportable x 100,000 / FTE no. of employees.		

TABLE 3a - COUNCIL STAFF ACCIDENT STATISTICS - 2013/14 by Directorate			
	Number of staff accident reports - 2013/14	Staff head count	AIR Number of PT1s x 1,000 / headcount
F & CS	14	409	34
StC	62	809	77
StP	241	1642	147
TABLE 3b - COUNCIL STAFF ACCIDENT STATISTICS - 2014/15 by Directorate			
	Number of staff accident reports - 2014/15	Staff head count*	AIR Number of PT1s x 1,000 / headcount
F & CS	4	671	5.96
StC	68	540	125.93
StP	158	1770	89.27

* Due to significant restructures, the staff head counts for 2014/15 were estimated by adding together Resources and Governance with Strategy and Performance (to equate with 'F & CS' from the previous year; Development and Housing & Community Safety (to equate with 'Services to Communities') and Social Services & Education (to equate with Services to People'). These AIR figures can only be used as a guide. The accident recording system will be updated with the new names from 2015 onwards.

Figure 1c - Accident Type - Services to People, Non Staff 2014/15

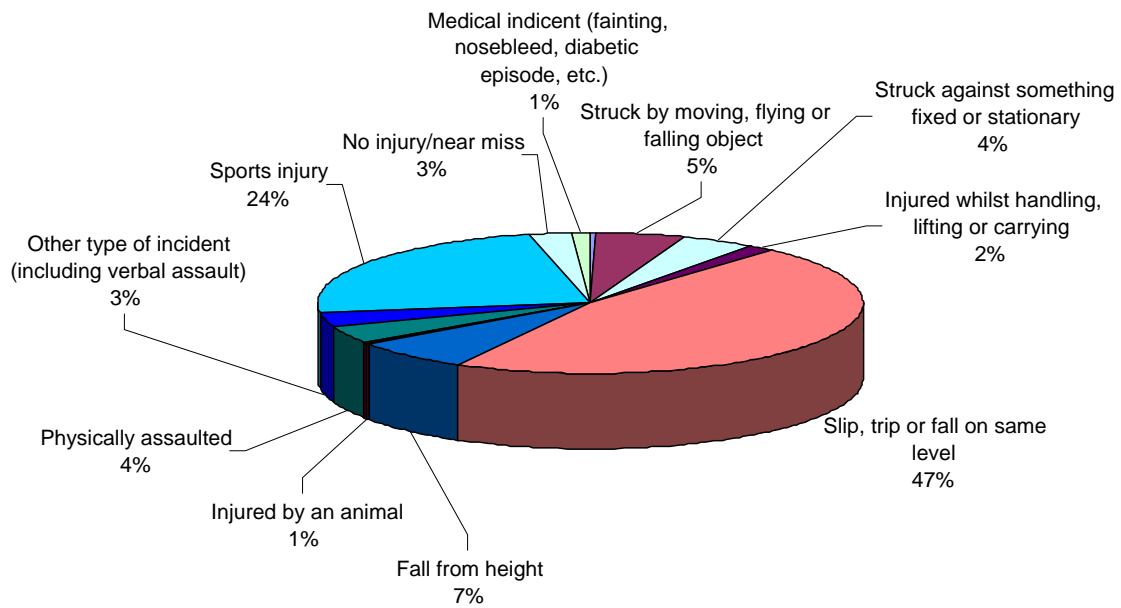


Figure 1d - Accident Type - Services to People, Staff only 2014/15

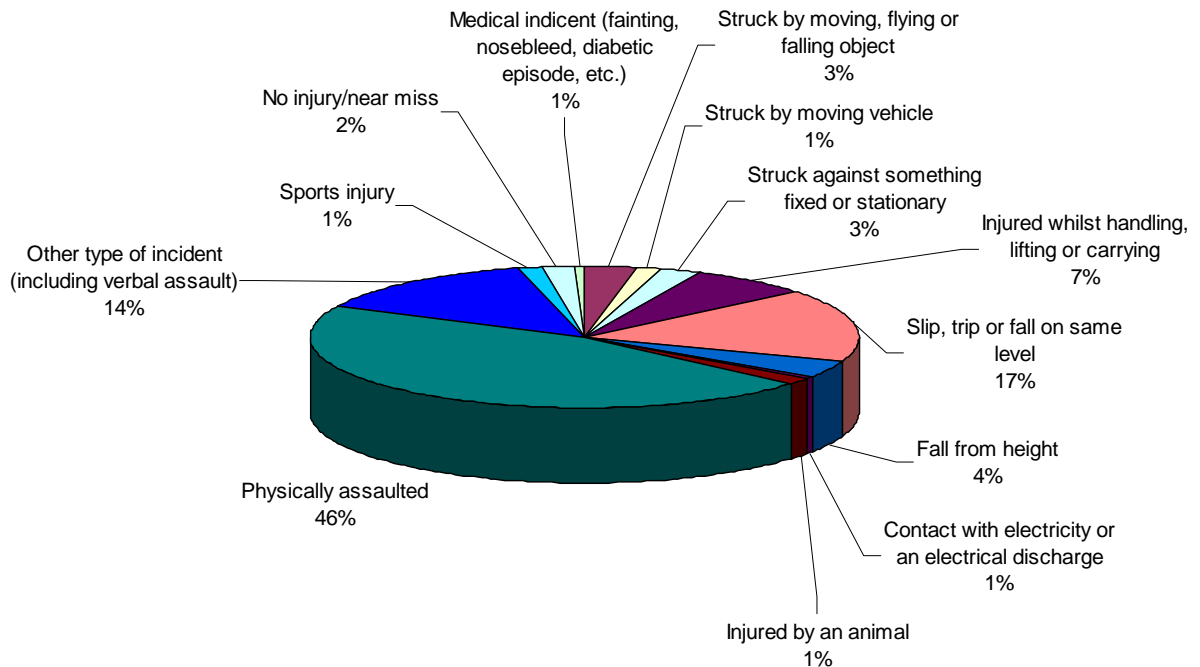


Figure 1e - Accident Type, Services to Communities, Non Staff 2014/15

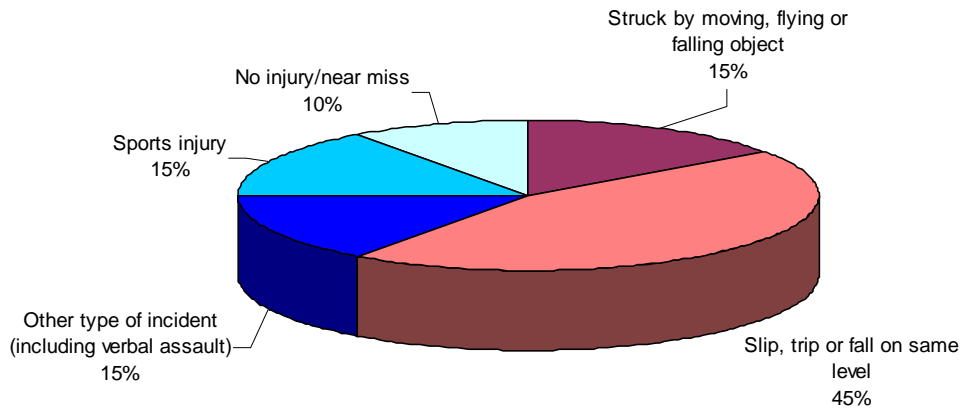
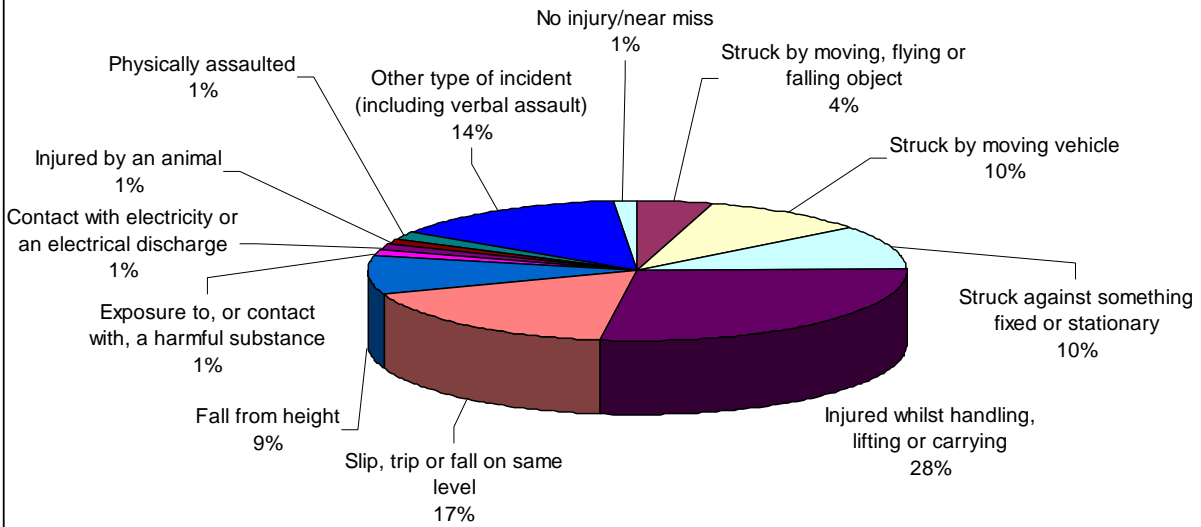


Figure 1f - Accident Type, Services to Communities, Staff only 2014/15



Appendix 3 - BENCHMARKING
TABLE 4 - ABC BENCHMARKING GROUP PEER REVIEW AUDIT SCORES

	Key Activity	Score Dialogue	Score 2010	Score 2014
1	Health and Safety Policy/Guidance	<p>Minimum standard evident</p> <p>To move up - all 'CAT A' policies need to be written and implemented (CDM, Legionella etc.). However, policy work is often reprioritised in favour of more urgent reactive work customer enquiries and stress risk assessments etc.</p>	3	3
2	Implementation of Corporate Health and Safety plan	<p>Minimum standard evident</p> <p>To move up - the plan needs to set objectives over a longer timescale ie 3 or 5 years. However the reactive nature of the team is not conducive to the setting of and achievement of such targets.</p>	3	3
3	Provision of Health and Safety advice	<p>Better practice evident</p> <p>Evidence that reactive advice is decreasing over time would be required for further progression within the better practice range.</p>	7	8
4	Health and safety audit and inspection	<p>Good practice evident</p> <p>Progression would require evidence that audits are completed within planned timescales. However, during very busy periods, proactive work is always reprioritised. This can cause a reduction in audits carried out and longer timescales for processing and reporting on the results. The lower score is a reflection of how much reactive work this team carries out.</p>	6	5
5	Undertaking Risk Assessments	<p>Better practice evident</p> <p>Progression into the better practice range requires completion of risk assessments across all services and implementation of appropriate controls.</p> <p>The proposed new H&S Management System may help to increase risk assessment uptake across the Council. ABC audit evidence will need to include more risk assessment evidence - including review - in future.</p>	6	6
6	Provision of Health and Safety Training	<p>Good practice evident</p> <p>In order to progress within the better practice range a mechanism to assess delegates knowledge following training would be required.</p> <p>Likewise a method for monitoring the effectiveness of training and subsequent behaviour change would be needed.</p>	6	6
7	Incident Investigation & Recording	<p>Good practice evident</p> <p>Development of systems to establish the cost of accidents and subsequent target setting for reduction in costs would allow for progression to the 'better practice' range. Likewise demonstration of a reduction in accident rates would be needed. Costs may be available through itrent for industrial absence.</p>	6	6

8	Health and Safety Committees	Better practice evident In order to progress within the better practice range the chief executive/corporate management team would be required to participate in the committee as would elected members.	7	7
9	Health and Safety Communications	Better practice evident In order to progress within the better practice range services would be required to produce an annual health and safety report with a plan for improvement. Promotion of health and safety by a range of measures would also be required and evidence that information conveyed has been understood by the target audience.	7	7
10	Managing Performance of H&S Section	Good practice evident Although there are elements of better practice in place currently there is no indicator for the speed of response for dealing with requests for health and safety advice. If a time indicator was provided the score would move to within the better practice range.	5	5
11	Occupational Health Provision	Better practice evident Progression within better practice would require the provision of all category 'C' items.	3	8

[Highest score available = 9]

TABLE 5 - Corporate H&S training - 13 / 14 & 14/15		
Course title	Number of staff trained* 2013/14	Number of staff trained 2014/15
Clinical Waste	31	99
Manual handling	60	105
Accident Reporting and Investigation	10	9
Risk Assessment	8	33
Basic Asbestos Awareness	13	-
Fire Warden	26	38
Fire Safety for Catering Staff	-	90
Basic Fire Safety (e-learning)	154	439
Stress risk assessment	6	-
Display Screen Assessor	-	9
Defibrillator	-	5
Construction Design & Management (CDM) Regulation Changes	-	18
Occupational Health Referral Workshops	-	26
Total	308	871

*the above includes only the H&S courses organised by the Corporate H&S team. Other courses are organised at service level including first aid and other topic specific courses i.e. ladder safety etc.

Appendix 5 - OCCUPATIONAL HEALTH PROVISION

TABLE 6 - REFERRALS TO OCCUPATIONAL HEALTH SERVICE					
Referral Type	Number of referrals - 2013/14		Number of referrals - 2014/15		
Management referrals	225		293		
Pre employment screening	259		302		
Case conferences	2 (1 in 12/13 and 2 in 11/12)		0 recorded		
Health Surveillance* * Health surveillance checks are cyclical, some of which take place on a 3 year rotation. These figures highlight the usage of the contract and are not performance indicators.	Appointments attended	2011/12	2012/13	2013/14	2014/15
	HAVs	79	39	20	6
	Audiometry	89	37	17	29
	Skin checks	140	63	31	25
	Lung checks	146	58	24	25
	Night worker assessments	9	0	10	0
	Forklift truck driver assessments	8	1	0	0

TABLE 7 - REFERRAL REASONS TO OCCUPATIONAL HEALTH SERVICE - 2014/15	
Referral Reason	Referrals
Acute Medical Condition (stroke, heart problems, cancer etc.)	30
Recurring Medical condition (angina, asthma, allergies)	24
Minor Illness (colds, flu, stomach upset)	10
Neurological (headaches, migraine)	2
Post Op recovery	20
Pregnancy - related	1
Back pain (including sciatica)	19
Musculoskeletal (other than back)	29
Accidents - work related injuries	2
Accidents - non work related injuries	1
Drink / drug related condition	2
Bereavement reaction	1
Mental Health (depression & anxiety, nervous debility etc.)	50
Stress (non work related)	2
Stress (unknown reason)	26
Stress (work related)	33
HGV statutory medical	4
Did not report / no contact made	1
Self referral	2
Spells of absence (hitting absence trigger)	17
Ill health retiral	2
Fitness for role	15
Total	293

TABLE 8 - KPI's - OCCUPATIONAL HEALTH PROVISION 2014/15		
	KPI	Performance
Routine OH appts with OH Adviser (Nurse)	Should be available within a maximum of 5 working days	15% (target 90%)
Routine OH appts with OH Practitioner (Doctor)	Should be available within a maximum of 10 working days	77% (target 90%)
Reports following appointments with OHA	Should be available to the designated contact within 2 working days of the appointment, unless the employee is exercising their right to view the report.	61% (target 90%)
Reports following appointments with OHP	Should be available to the designated contact within 3 working days of the appointment, unless the employee is exercising their right to view the report.	73% (target 90%)
Pre employment screening	Timescale for turnaround should be 2 days.	51.6% (target 90%)

Appendix 6 - STRESS / MENTAL WELLBEING

Service	Days Lost	Rate (days lost x 1,000 / headcount)	Cost of Absence	Number of Staff Absent
Strategy & Customer Services	711	2788	£60,674.71	15
Support Services	62	395	£6,026.60	4
Community & Regulatory Service	215	1720	£20,093.86	9
Facilities Management	653	1547	£49,402.45	24
Housing & Community Safety	235	900	£22,938.44	8
Education Services	2116.5	1718	£223,841.20	53
Social Services	1372.5	3291	£156,250.33	32
Total	5365	-	£539,227.59	145

Service	Days Lost		Rate (days lost x 1,000 / headcount)	Cost of Absence	Number of Staff Absent	
Strategy & Customer Services	563.5		1865	£51,278.18	12	
Support Services (now R&G)	477		1325	£55,820.90	8	
Community & Regulatory Service	39			£3,547.15	3	
D & E	129			£8,643.50	9	
Facilities Management	52			£3,826.48	5	
Housing & Community Safety	479		1657	£42,714.95	10	
Education Services	2691		2086	£277,655.56	45	
Social Services	1021		2284	£102,480.68	30	
Total	5451.5			£545,967.41	122	

Key	
	Increased since 2013/14
	Decreased since 2013/14
	Restructure - no comparable figure from 2013/14

Note: Above data is affected by restructuring - D & E was separated out as a stand alone Service in 2014/15 from Community and Regulatory. Also Support Services (now R & G) now includes a number of additional staff from Assets / Soft FM.

TABLE 11 - MENTAL WELLBEING OCCUPATIONAL HEALTH REFERRALS 2013/14 & 2014 / 15		
TOTAL MWB REFERRALS 13/14	60	Work Related - 21* - 35% of MWB referrals Non Work Related - 2 - 3.3% of MWB referrals Undetermined causes - 37 - 61.6%
Work related causes		* The top 3 reasons for the work related referrals were 7 were related to work relationships, 5 related to role, and 4 were demands, (from the HSE stress management standards categories).
TOTAL MWB REFERRALS 14/15	111	Work Related - 33* - 29.7% of MWB referrals Non Work Related - 2 - 1.8% of MWB referrals Undetermined causes - 26 - 23.4% of MWB referrals
Work related causes		* The top 3 reasons for the work related referrals were 6 for work relationships, 6 related to role, and 11 were demands, (from the HSE stress management standards categories).

TABLE 12 - DEMAND FOR STRESS RISK ASSESSMENT BY SERVICE 2014/15	
Housing & Community Safety (& Revenues)	9
Social Work	3 individual and 1 team
Education	1 individual and 1 team
Finance	1
D&E	1
S & P	2
R&G	2
Assessors	1

TABLE 13 - REFERRALS TO EMPLOYEE ASSISTANCE PROGRAMME		
Service Type	Number of referrals - 2013/14	Number of referrals - 2014/15
Face to face counselling	43 referrals (30 personal, 13 work related)	48 referrals (34 personal, 14 work related)
Helpline	72 contacts (36 personal, 15 work related, 14 enquiries about face to face counselling, 7 general support / information)	83 contacts (45 personal, 20 work related, 11 enquiries about face to face counselling, 7 general support / information)
Total contacts	115	131

TABLE 14 - ECS CONTRACT PERFORMANCE - KPI's	
Management Referral appointment	Meeting with employee to take place within a maximum of 10 working days of telephone referral
Report following referral (management or occupational health referral)	Report to be received within a maximum of 5 working days of meeting
Telephone helpline	To be available 24 hours per day

Appendix 7 - STAFF SURVEY RESULTS

TABLE 15 - STAFF SURVEY RESULTS 2010 - 2013

Corporate Results of the 2013 Employee Survey - proportion (%) of strongly agree/agree responses: 2010 – 2013

Statement	2010	2011	2012	2013	Change 2012-13	Benchmark
I feel that my working environment is safe	72.7	76.7	77.1	74.6	-2.5	
I get health and safety information which is relevant to me and my work (e.g. fire evacuation procedures, risk assessment, health and safety policies)	69.7	72.8	76.0	73.3	-2.7	
The Council provides good support to help me balance work and home responsibilities	43.4	47.1	44.9	44	-0.9	

Report to Resources & Audit Committee

Date of Meeting: 24 September 2015

Subject: Strategy & Customer Services Performance Report, 1st Quarter, 2015/16

Report by: Head of Strategy & Customer Services

1.0 Purpose

- 1.1. This report updates committee on the performance and finance position for Strategy & Customer Services for the 1st Quarter 2015/16.

2.0 Recommendations

- 2.1. It is recommended that Committee notes the report, commenting and challenging as appropriate.

3.0 Service Activity - Key Issues

- 3.1. Strategy and Customer Services has a broad remit which is both strategic and operational and corporate and service-specific. Strategy and Customer Services supports the vision of Finance and Corporate Services to;

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

The main objectives of the Service, in supporting this vision, are to;

- Support the strategic positioning of the Council;
- Enhance corporate performance and service delivery; and
- Deliver excellent services in local communities.

A full performance report from the Covalent system is attached at Appendix 1, however, key service activity in the 1st Quarter is outlined below.

- 3.2 Civic Events - A number of civic events were facilitated over this period, these included:

Workers Memorial Day in April and Armed Forces Day in June.

- 3.3 Customer Services - Customer satisfaction with the Community Access Points (98.8% satisfied/very satisfied) and Contact Centre (95.1%) remains very high. The number of visitors to the Speirs Centre has increased from around 6,500 per month (October to December 2014) to around 7,500 per month (since April 2015).
- 3.4 Scottishcertificates.org.uk - the income target of £46,000 set for 2015/16 will be significantly exceeded, based on Quarter 1 results to date.
- 3.5 Efficiency - Strategy and Customer Services continue to review vacancies and ways of working to be as efficient as possible. This has included stopping some work completely so that resources can be focussed on priority areas of work. Managing the demands on the service at a time when resources are stretched and further savings are needed is becoming even more challenging and resource intensive for managers.
- 3.6 Community Planning - We continue to provide Council lead on Community Planning and Partnership Working. Over much of the past year the Alliance Executive group and its partnership subsidiaries have reviewed CPP structures, governance, reporting and scrutiny arrangements in light of the Government's Statement of Ambition and the various expectations placed on CPPs through public sector reform. This led to agreement at the June meeting of the Clackmannanshire Alliance to a number of proposals including the creation of a non-executive Board to be established by the end of the financial year.
- 3.7 Community Engagement - The Service has been engaged with a number of communities in Quarter 1 to consider options for local community planning and shaping local services. This has included support provided to communities on developing local plans and where appropriate on implementing local plans. Specific engagement has taken place with Dollar and Clackmannan communities, as well as ongoing dialogue with the Joint Community Council Forum.
- 3.8 Making Clackmannanshire Better - The Service supports administration of the programme as well as progressing three Change Proposals/Business Cases over the early part of 2015/16. This has involved significant work including research and data analysis over the reporting quarter. Good progress has been made on implementing online payment for secondary school meals, which is being project managed by Business Support. There is significant support from schools and parents for this channel shift, which will take a lot of manual administration and cash handling out of the process. It remains on course for implementation in October 2015.
- 3.9 Communications - Throughout the first quarter of 2015/16 the service has reviewed content and re-branded Clackswab to provide a more useable interface for customers. This work has involved removing over 300 pages from the site and ensuring that it is more efficient to navigate for customers. This also involved a cross service review of all Clackswab content. The Service has recently achieved an improved audit index score for its Corporate website which indicates an improvement across the range of indicators used by SOCITM.

The Council has also reached some notable Social Media milestones in the first quarter of 2015/16 with over 5000 Facebook friends and over 6000 Twitter followers communicating with us via these methods. As newspaper readership declines markedly, investing in this channel shift is a key part of our overall efficiency drive and in improving of the customer experience, with more and more customers contacting us through digital means for service provision.

- 3.10 Community Consultation & Engagement - The Service has assisted Education on the 21st Century Learning Consultation which has incorporated more than 500 responses in total. Citizen Space is now very well established and used in the Council and Services have been trained to do their own consultations which enables us to support Corporate consultations. The 12th survey of the Clacks 1000 was carried out in the reporting quarter with a healthy response rate of 66% achieved.
- 3.11 Corporate Leadership and Development - The Service has led the design and development of the Council's Corporate Leadership Programme, and Corporate and Service training bids for 2015/16. Elements of the Leadership Programme are still running, but the Service has been developing future elements based on evaluation and feedback from staff, participants and managers.
- 3.12 Counter Terrorism and Serious and Organised Crime - The Service is the Corporate lead for this work which is now a statutory requirement for Local Authorities. A Local Implementation Partnership has been established at Forth Valley level to take forward implementation of a National Action plan on both Counter Terrorism (CONTEST) and Serious and Organised Crime (SOC). A local working group has been established in Clackmannanshire and a local action plan which is being progressed by members. Early work has already been achieved in delivering training to staff who routinely handle mail. Further training/awareness sessions are in the pipeline.
- 3.13 Emergency Planning - Training was undertaken for the Incident Assistance Team in June with regard to a Humanitarian Assistance Centre and other Care for People related activities. On 27 June, Council staff responded to an incident relating to the water supply in the Menstrie area
- 3.14 Leisure Services - Leisure operations transferred to Strategy and Customer Services in January 2015. The service has undertaken a review of Leisure and a number of management actions are now being taken forward to bring operational leisure services expenditure within budget at the year end. These include removing special/historical booking arrangements and subsidies, implementing agreed internal charging policies, clustering bookings and reducing staff operating costs through improved scheduling where possible. As part of our MCB effort we have commenced a review of the leisure booking system. The current system is inefficient and lacks the level of functionality customers now expect, leading to ongoing dissatisfaction.

4.0 Financial Performance

- 4.1. This element of report is intended to complement Corporate reporting arrangements. When considered in conjunction with the regular service performance reports, it is the aim that Elected Members will gain a greater understanding and awareness of Service activities, which in turn will facilitate more effective scrutiny and the maximisation of the use of resources.
- 4.2. The undernoted table outlines the financial position as at end of June 2015 comparing the projected expenditure for this period with the profiled budgeted expenditure. A detailed analysis of variances in each service area is attached at Appendix 2.

	Annual Budget	Projected Outturn	Variance
	£'000	£'000	£'000
Business Support	2,462,540	2,341,624	(120,916)
CEO	189,240	185,420	(3,820)
Comms & Marketing	283,360	289,757	6,397
Customer Services & Libraries	1,512,510	1,392,475	(120,035)
Head of Strategy & Customer Services	93,220	91,600	(1,620)
Member Services	419,320	402,928	(16,392)
Performance & Business Change	1,231,790	1,142,585	(89,205)
Leisure Services (Customer Services)	225,220	428,192	202,972
TOTAL	6,746,000	6,603,383	(142,617)

- 4.3. Overall, Strategy and Customer Services is currently predicted to be underspent by £143,000 at the end of the financial year.
- 4.4. The variances, summarised in the table above, are mainly attributable to staffing underspends as a result of vacancies, combined with ongoing recruitment scrutiny and review, as well as above-forecast income. These are already being factored into proposals for future budgetary savings.
- 4.5. Progress with Savings - The Service have implemented £200,000 of the approved £225,000 savings for 2015/16. The final component is the approved reduction in CAP opening hours totalling a saving of £25,000 this year, with a further £25,000 next year. This has required a significant engagement process with a range of stakeholders, including staff and trade unions,

however, it is on track for implementation by the scheduled date of 1 October 2015.

5.0 Business Performance

5.1. Strategy and Customer services performance contributes to the overall achievement of corporate priority outcomes, but is primarily focussed on;

- Our communities are more cohesive and inclusive; and
- The Council is effective, efficient and recognised for excellence.

6.0 Achievements

6.1. Business Support - A Long Service Award was presented to a member of Business Support following 25 years of service.

7.0 Opportunities, Challenges & Risks

7.1. The service management team reviews risk on a regular basis. The service risk register, which is recorded on the Covalent performance management system, is contained within Appendix 1.

8.0 Sustainability Implications

8.1. There are no direct sustainability implications arising from this report.

9.0 Resource Implications

9.1. *Financial Details*

9.2. 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

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

9.4. *Staffing*

9.5. There are no staffing implications associated with this report.

10.0 Exempt Reports

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

11.0 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 | <input type="checkbox"/> |
| Our communities are more cohesive and inclusive | <input checked="" type="checkbox"/> |
| People are better skilled, trained and ready for learning and employment | <input type="checkbox"/> |
| Our communities are safer | <input type="checkbox"/> |
| Vulnerable people and families are supported | <input type="checkbox"/> |
| Substance misuse and its effects are reduced | <input type="checkbox"/> |
| Health is improving and health inequalities are reducing | <input type="checkbox"/> |
| The environment is protected and enhanced for all | <input type="checkbox"/> |
| The Council is effective, efficient and recognised for excellence | <input checked="" type="checkbox"/> |

(2) Council Policies (Please detail)

12.0 Equalities Impact

12.1 Have you undertaken the required equalities impact assessment to ensure that no groups are adversely affected by the recommendations?

Yes No not applicable.

13.0 Legality

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

14.0 Appendices

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

Appendix 1: Covalent Performance Report

Appendix 2: Financial Performance

15.0 Background Papers

15.1 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

Strategy & Customer Services Business Plan 2014/15

Author(s)



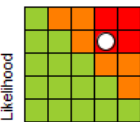








NAME	DESIGNATION	TEL NO / EXTENSION
Alison Bryce	Business Support Manager	2435

Approved by

NAME	DESIGNATION	SIGNATURE
Stuart Crickmar	Head of Strategy & Customer Services	
Elaine McPherson	Chief Executive	




Quarter 1 Progress Report

KEY TO SYMBOLS

PIs		ACTIONS		RISKS	
Short Trend Compares this quarter's performance with last quarter		Expected Outcome		Current Rating Likelihood x Impact (1 - 5)	Status
	Performance has improved		Meet target/complete within target dates		 Rating 16 and above
	Performance has remained the same		Will complete, but outwith target		 Rating 10 to 15
	Performance has declined		Fail to complete or cancelled		 Rating 9 and below
	No comparison available - May be new indicator or data not yet available			The likelihood of a risk occurring, and the impact if it does occur are each scored on a scale of 1 to 5, with 1 being the least likely or the least significant impact. Detailed guidance on scoring is provided in the Risk Management Policy and guidance.	


MCB1 Having Clear Policy Priorities



Covalent Code	ACTION	By When	Progress	Expected Outcome	Latest Note	Lead	Priority Outcome
SCS 15 001	Support the Provost to plan & deliver a sustainable programme of civic events in 2015/16 within budget	31-Mar-2016	15%	✓	Civic events in Q1 have included Workers Memorial Day on 28th April and Armed Forces Day on 2nd June.	Alison Bryce	2
SCS 15 002	Provide support for elections in 2015/16	31-Mar-2016	50%	✓	Business Support provided support at all the postal vote sessions for the UK Parliamentary General Election on 7th May. Staff were also involved working on the day of the Election in Polling Stations and at the Count at Alloa Town Hall.	Alison Bryce	2
SCS 15 003	Support consultations on major priorities: . MCB/budget process . significant corporate strategies	31-Mar-2016	30%	✓	The service continues to support corporate consultations. This quarter we have supported the 21st learning consultation and the Shared Services business case consultation.	Cherie Jarvie	2
SCS 15 005	Deliver an approved business case that defines settlement hubs in Clackmannanshire	31-Dec-2015	20%	✓	Business Case currently being finalised for discussion at Executive Team and thereafter will be open to consultation.	Stuart Crickmar	2
SCS 15 008	Complete transfer of Museum & Archive local collections from Mar Street within approved budget	30-Sep-2015	50%	⚠	Option appraisal exercise was undertaken earlier this year to assess options for creating a Local Archives & Local Collections facility. The Lesser Speirs Hall was identified as the preferred location. Currently awaiting completion of a structural survey. Project unlikely to be achieved within timescale.	Brian Forbes	9

Covalent Code	ACTION	By When	Progress	Expected Outcome	Latest Note	Lead	Priority Outcome
SCS 15 013	Introduce Leisure pricing strategy that ensures future sustainability, including full cost recovery model	30-Sep-2015	<input type="text" value="33%"/>		Management review of leisure services is currently underway to address historical budget shortfall. Key principles of leisure charging policy are being taken forward, for example reviewing all historical special arrangements, removal of 'free' lets for internal and external customers. It has been agreed to implement a series of management actions to reduce operating costs before considering options such as further price increases. Project unlikely to be achieved within the planned timescale, given the structural changes required.	Brian Forbes	9
SCS 15 016	Refresh Single Outcome Agreement	31-Dec-2015	<input type="text" value="10%"/>		The Single Outcome Agreement will be refreshed in line light of public sector reform; governance and changes to partnership structures and the impact of new legislation ie Community Empowerment and Renewal Bill.	Cherie Jarvie	9
SCS 15 017	Implement People Strategy actions in support of MCB programme	31-Mar-2016	<input type="text" value="50%"/>		<p>Delivery of pathways 1 & 2 of the Leadership Development Programme are close to completion and a programme for a third tier, aspiring managers, has been formulated and is currently being considered as part of the corporate training programme for 2015 onwards.</p> <p>A Strategic Workforce Plan has been drafted and is with Resource and Governance Services for comment. A Workforce Planning Toolkit has been drafted for use by managers as part of the Business Planning process. More detailed workforce forecasting is in progress to support the MCB programme in terms of the patterns and trends of workforce movement in the next few years.</p> <p>Data relating to Equality and Diversity within our workforce was published on Clacksweb in April 2015, as required by the Equality Act 2010.</p>	Cherie Jarvie	9






Covalent Code	ACTION	By When	Progress	Expected Outcome	Latest Note	Lead	Priority Outcome
SCS 15 018	Implement Communications & Marketing Strategy actions in support of the MCB programme	31-Mar-2016	<div style="width: 50%;"><div style="background-color: #4f81bd; height: 10px; width: 50%;"></div></div> 50%		The service continues to implement the Communications and Marketing Strategy action plan approved in 2014. In this reporting quarter the comms and marketing team have strengthened mechanisms for pro-active media management including regular meetings/contact with the Council Leader, all Heads of Service and the editor from the local newspaper. The Councils staff newsletter has moved to an online publication, and circulation of the Councils newspaper reduced and copies provided in key areas for residents to access (ie doctors surgeries/libraries). A review of Clacksweb site functions and navigation has taken place with a new-look streamlined Clacksweb site which is more customer and top-task focussed. The Council has achieved new Social Media milestones in the qtr with over 5000 Facebook followers and over 6000 Twitter followers.	Cherie Jarvie	9
SCS 15 019	Implement Information, Library & Learning Strategy actions in support of MCB programme	31-Mar-2016	<div style="width: 80%;"><div style="background-color: #4f81bd; height: 10px; width: 80%;"></div></div> 80%		Significant progress has been made with the strategy actions over the last 2 years re Speirs Centre, programme of events and activities, new library management system, computing classes and 1-1s support to jobseekers applying online. A staff training programme has also been completed to increase their digital skills - thereby enabling them to help customers.	Brian Forbes	9
SCS 15 022	Report annual reviews	31-Dec-2015	<div style="width: 12%;"><div style="background-color: #4f81bd; height: 10px; width: 12%;"></div></div> 12%		Early work has commenced on annual reviews.	Cherie Jarvie	9


Code	Sub-Action	By When	Progress	Expected Outcome	Latest Note	Lead
SCS 15 022-1	SOA	31-Dec-2015	<div style="width: 10%;"><div style="background-color: #4f81bd; height: 10px; width: 10%;"></div></div> 10%		SOA review has commenced.	Cherie Jarvie
SCS 15 022-2	SPI Direction	30-Sep-2015	<div style="width: 15%;"><div style="background-color: #4f81bd; height: 10px; width: 15%;"></div></div> 15%		Report on SPI direction will be presented to R&A in February 2016.	Cherie Jarvie

Covalent Code	ACTION	By When	Progress	Expected Outcome	Latest Note	Lead	Priority Outcome
SCS 15 023	Scrutiny Improvement	31-Mar-2016	<div style="width: 90%;"><div style="background-color: #4f81bd; color: white; padding: 2px;">90%</div></div>		See comments below.	Stuart Crickmar	9

Code	Sub-Action	By When	Progress	Expected Outcome	Latest Note	Lead
SCS 15 023-1	Implement plan approved Feb 2015	31-Mar-2016	<div style="width: 100%;"><div style="background-color: #4f81bd; color: white; padding: 2px;">100%</div></div>		The R&A workshop completed the implementation plan.	Stuart Crickmar
SCS 15 023-2	Undertake risk-based assessment with R&A Committee	30-Jun-2015	<div style="width: 80%;"><div style="background-color: #4f81bd; color: white; padding: 2px;">80%</div></div>		A workshop was convened in June 2015, with an agreed actions resulting.	Stuart Crickmar


MCB2 Increasing Income & Savings



Code	Description	2012/13	2013/14	2014/15	2015/16	Q1 2015/16		Latest Note	Lead	Priority Outcome
		Value	Value	Value	Target	Value	Short Trend			
GOV AB1 SCS	Average FTE Days Sickness Absence (Strategy & Customer Services)		9.1 days	11.3 days	7.0 days	3.3 days		There has been an improvement in sickness absence. This is in part due to staff returning from long term sick leave and staff leaving through voluntary severance.	Alison Bryce; Stuart Crickmar; Brian Forbes; Cherie Jarvie	9
GOV AB1 SCS-1	Average FTE Days Sickness Absence (Business Support)			8.8 days	7.0 days	3.9 days		Sickness absence has declined in quarter 1 compared to last year (3.5 days). This is in part due to staff on long-term absence. Managers continue to monitor absence on a regular basis with monthly discussions at management teams/1-1's.	Alison Bryce	9
GOV AB1 SCS-2	Average FTE Days Sickness Absence (Customer Services)			18.1 days	7.0 days	3.3 days		There has been an improvement in sickness absence figures. This is partly due to staff returning from long term sick leave as well as staff leaving on voluntary severance.	Brian Forbes	9
GOV AB1 SCS-3	Average FTE Days Sickness Absence (Strategy & Performance)			8.9 days	7.0 days	0.4 days		Absence figures for the Service have improved in this quarter. We continue to manage absence and implement Council policy through consistent monitoring at management meetings and through 121s.	Cherie Jarvie	9
SCS SCS BUD	Budget savings (£000)	N/A	272.83	310.00	225.85	200.85		Budget savings are on target. Most savings identified have been implemented.	Alison Bryce; Brian Forbes; Cherie Jarvie	9

Covalent Code	ACTION	By When	Progress	Expected Outcome	Latest Note	Lead	Priority Outcome
SCS 15 006	Deliver an approved business case that defines redesign of engagement and partnership with voluntary sector	31-Dec-2015	<div style="border: 1px solid black; width: 50px; height: 15px; background-color: #e0e0e0; display: flex; align-items: center; justify-content: center;">20%</div>		Business Case currently being finalised for discussion at Executive Team and thereafter consultation with the public.	Stuart Crickmar	2

MCB3 Making Efficiencies


Code	Description	2012/13	2013/14	2014/15	2015/16	Q1 2015/16		Latest Note	Lead	Priority Outcome
		Value	Value	Value	Target	Value	Short Trend			
BUS BUS 002	Customer satisfaction with overall experience of Business Support	94.1%	85.2%	100.0%	95.0%	100.0%		Services to Communities are currently being surveyed. No surveys carried out in Quarter 1.	Alison Bryce	9
BUS CNQ SCS	% of Councillor Enquiries dealt with by Strategy & Customer Services within timescale		69.2%	72.6%	100.0%	100.0%		Two enquiries received and dealt within timescale.	Stuart Crickmar	9
BUS MPQ SCS	% MP/MSP enquiries dealt with by Strategy & Customer Services within timescale		53.8%	55.5%	100.0%	50.0%		Two MP enquiries were received in Quarter 1. 1 enquiry was responded to outwith timescale due to consultation with other Services.	Stuart Crickmar	9
CUS C01 SCS	Number of formal complaints received about service	9	14	12	9	6		S&CS continues to review feedback and learn from complaints, as appropriate.	Brian Forbes	9
CUS C02 SCS	% formal complaints dealt with by Strategy & Customer Services within timescale		92.9%	75%	100%	100%		All complaints resolved within target timescale.	Brian Forbes	9
CUS C03 SCS	% formal complaints upheld/partially upheld Strategy & Customer Services		64.3%	92%	100%	83%		Five out of the six complaints were partially upheld/upheld. Further training to be arranged for new staff and customer services training to be reviewed.	Brian Forbes	9
CUS CAP 001	Satisfaction with overall experience of Community Access Points	97.8%	97.6%	98.5%	100.0%	98.8%		Very high levels of satisfaction continue to be achieved.	Brian Forbes	9
CUS CTC 003	Satisfaction with overall experience of the Contact Centre	87.0%	90.4%	89.8%	92.0%	95.1%		Customer satisfaction levels for Q1 for the Contact Centre are very high. This levels exceeds the industry standard.	Brian Forbes	9
CUS LIB 005	% of population who regularly use the library (i.e. borrow books)	12.10%	12.10%	8.90%	12.00%	7.89%		The figure for borrowing has declined in this quarter. Further analysis to be undertaken to determine trends/patterns.	Brian Forbes	9
GOV FOI SCS	% FOI enquiries responded to within timescale: Strategy & Customer Services		85.7%	97.1%	100.0%	88.9%		9 FOI's received in Quarter 1. One FOI was responded to outwith the response period. This was a cross-service enquiry relating to IT contracts.	Brian Forbes	9


Covalent Code	ACTION	By When	Progress	Expected Outcome	Latest Note	Lead	Priority Outcome
SCS 15 011	Strategy & Customer Services will demonstrate high standards of people management	31-Mar-2016	66%		Regular team meetings are being held across all areas of Strategy & Customer Services. Line managers have been tasked with ensuring all PRDs are completed timeously, regular 1-1s are carried out and support and guidance provided to staff, where required. Refresher sessions have been run for line managers (Customer Services) on managing performance, supporting and coaching staff, absence management and the managing change process. Council and service updates are communicated via 1-1s and via the council's agreed cascade process. HR advisers regularly attend Management Meetings and Team Meetings.	Alison Bryce; Stuart Crickmar; Brian Forbes; Cherie Jarvie	9

Code	Sub-Action	By When	Progress	Expected Outcome	Latest Note	Lead
SCS 15 011-1	Develop, with staff involvement, clear service L&D priorities linked to objectives, risk and opportunities	31-Aug-2015	100%		All PRDs have been completed. Managers have submitted essential training bids relating to Learning and Development priorities linked to objectives.	Alison Bryce; Stuart Crickmar; Brian Forbes; Cherie Jarvie
SCS 15 011-2	Sample assess 10% PRDs to ensure all are done and high standards are maintained	31-Aug-2015	33%		Business Support - A sample assessment of PRD's was undertaken on 3rd July, 2015 and 100% of PRD's had been completed.	Alison Bryce; Stuart Crickmar; Brian Forbes; Cherie Jarvie


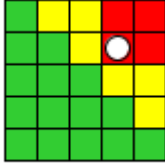
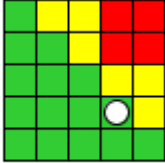

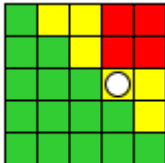
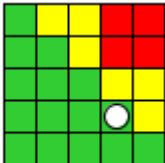
Covalent Code	ACTION	By When	Progress	Expected Outcome	Latest Note	Lead	Priority Outcome
SCS 15 015	Ensure that Strategy & Customer Services operates to very highest standards of Governance	31-Mar-2016	33%	✓	See comments below.	Alison Bryce; Brian Forbes; Cherie Jarvie	9

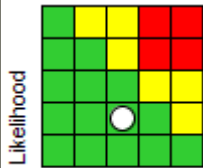
Code	Sub-Action	By When	Progress	Expected Outcome	Latest Note	Lead
SCS 15 015-1	Review service information management, including data security and anti-fraud processes & improve staff awareness & development	31-Oct-2015	33%	✓	Service continues to review information management needs and requirements. The service is also linking in, and contributing to the development of a Council-wide Records Management Plan based on good practice from elsewhere.	Alison Bryce; Brian Forbes; Cherie Jarvie
SCS 15 015-2	Review workforce planning arrangements in light of rapid service contraction	31-Mar-2016	33%	✓	Management reviews have been completed in each part of S&CS. These reviews include details of the priority services to be delivered going forward, and skills required from staff. Workforce planning issues are also being address as part of the 3rd Sector Commissioning review.	Alison Bryce; Brian Forbes; Cherie Jarvie
SCS 15 015-3	Review staff and stakeholder engagement processes and systems, in light of rapid change	31-Mar-2016	33%	✓	A programme of PRDs and regular 1-1s are undertaken across the service to ensure effective staff engagement. Regular team meetings and service-wide meetings are being held involving all Team Leaders to ensure staff are fully involved and engaged. Specific service-wide consultations are being held on managing change processes, including the change in CAP opening hours from October 2015.	Alison Bryce; Brian Forbes; Cherie Jarvie
SCS 15 015-4	Review business continuity arrangements	31-Mar-2016	33%	✓	Business Continuity continues to be assessed on a regular basis, supported by the Council's Emergency Planning Officer. A review of current Business Continuity plans will be completed prior to Winter 2015 to assess risks and agree mitigation actions.	Alison Bryce; Brian Forbes; Cherie Jarvie


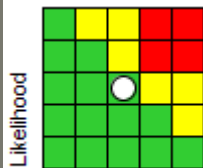
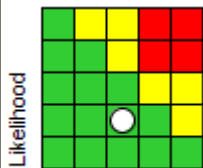
Code	Sub-Action	By When	Progress	Expected Outcome	Latest Note	Lead
SCS 15 015-6	Review and improve service approaches to project management	31-Mar-2016	<div style="border: 1px solid black; width: 100px; height: 15px; background-color: #e0e0e0; display: flex; align-items: center; justify-content: center;">33%</div>		A review of project management resource in Strategy and Performance has been carried out in support of the MCB programme. Training has been included in the Corporate training bid to support capacity building of staff who are working on projects. All team leaders and service managers have received basic training on project management through the Leadership Programme.	Cherie Jarvie

Covalent Code	ACTION	By When	Progress	Expected Outcome	Latest Note	Lead	Priority Outcome
SCS 15 021	Design & implement sustainable improvement framework	31-Mar-2016	<div style="border: 1px solid black; width: 100px; height: 15px; background-color: #e0e0e0; display: flex; align-items: center; justify-content: center;">70%</div>		A model self assessment process has been developed which satisfies both the requirement under Best Value for comprehensive self assessment and the requirement for an Annual Governance Statement conforming to the CIPFA/ SOLACE Framework. It is intended that a final version, approved by Resource and Governance, is implemented in the third quarter of 2015, providing a more resource efficient process than the previous separate CIM and AGS models.	Cherie Jarvie	9

Risk Register 2015-16

ID & Title	SCS 15 006 Loss of key skills, knowledge or capacity	Approach	Treat	Status		Managed By	Alison Bryce; Stuart Crickmar; Brian Forbes; Cherie Jarvie	Current Rating	16	Target Rating	8
Description	Loss of key skills, knowledge or capacity due to contraction of service and staff base							 Likelihood	Impact	 Likelihood	Impact
Potential Effect	Decline in service provision; tasks not delivered; decline in staff moral; customer dissatisfaction										
Related Actions	SCS 15 011-1	Develop, with staff involvement, clear service L&D priorities linked to objectives, risk and opportunities	Internal Controls	Workforce Planning Process							
Latest Note	The service endeavours to take a managed contraction approach to reducing budgets and staffing levels. This work includes workforce planning and succession planning over the short and medium term. Despite these approaches, this remains a significant risk to the Service.										
ID & Title	SCS 15 001 Corporate Governance non-adherence	Approach	Treat	Status		Managed By	Alison Bryce; Brian Forbes; Cherie Jarvie	Current Rating	12	Target Rating	8
Description	Corporate governance requirements not adhered to							 Likelihood	Impact	 Likelihood	Impact
Potential Effect	Reputational damage; loss of confidence, legal action										
Related Actions	SCS 15 015	Ensure that Strategy & Customer Services operates to very highest standards of Governance	Internal Controls	Governance Strategy Staff induction and development							
Latest Note	All managers and team leaders have attended training on specific areas of governance through the Corporate Leadership Programme. In addition the Service has held awareness sessions for managers and team leaders on key governance risk areas such as health and safety and EQIAs. These sessions will continue to be held with managers and team leaders from Strategy and Customer Services in 2015/16.										

ID & Title	SCS 15 007	Failure to ensure effective partnership working	Approach	Treat	Status		Managed By	Cherie Jarvie	Current Rating	12	Target Rating	6
Description	Failure to ensure effective partnership working to support Community Planning											
Potential Effect	SOA objectives not met Breakdown in trust and reputational damage Loss of confidence Lack of joined up services and budget savings not met											
Related Actions	SCS 15 007	Deliver an approved business case that defines joint resourcing and service redesign by Clackmannanshire Alliance			Internal Controls	Community Engagement Process Single Outcome Agreement						
Latest Note	The CPP has over the last 12 months conducted a review on its partnership structures, governance and reporting and scrutiny arrangements to ensure we are fit for purpose in taking forward the Scottish Governments Statement of Ambition and programme of public sector reform. This has led to agreed changes which will strengthen governance and scrutiny of community planning and its partner and if which we are in the process of implementing. Despite this there remains risk with partners commitment to Community Planning given contraction of all partner organisations in Clackmannanshire.											

ID & Title	SCS 15 002	Community engagement/communications failures	Approach	Treat	Status		Managed By	Cherie Jarvie	Current Rating	9	Target Rating	6
Description	Community engagement/communications failures											
Potential Effect	Breakdown in trust Lack of buy-in Decisions not aligned with community aspiration Reputational damage Loss of confidence											
Related Actions	SCS 15 005	Deliver an approved business case that defines settlement hubs in Clackmannanshire			Internal Controls	Community Engagement Process Single Outcome Agreement						
Latest Note	SCS 15 015-3	Review staff and stakeholder engagement processes and systems, in light of rapid change										
Latest Note	We have in place an engagement/communication interface for consulting and sharing information with communities. We have also developed a detailed consultation toolkit on engaging and consulting with communities. Through MCB work the service is currently looking at mechanisms for ensuring that we engage and consult with communities in a way that can genuinely influence local service design and local decision making. We are seeing small year on year improvements through Clacks 1000 results, however clearly more work is required to meet the targets set for 2015/16. As such, the current risk rating is being maintained.											

ID & Title	SCS 15 003 Failures of communication with staff	Approach	Treat	Status		Managed By	Alison Bryce; Stuart Crickmar; Brian Forbes; Cherie Jarvie	Current Rating	9	Target Rating	6
Description	Failures of communication with staff										
Potential Effect	Loss of morale Loss of efficiency										
Related Actions	SCS 15 015-3 Review staff and stakeholder engagement processes and systems, in light of rapid change			Internal Controls	Communications Strategy						
Latest Note	A number of communication tools have been implemented in the Service including formal cascade, use of teamroom, extended management meetings and regular team meetings in each service area with agreed standing agenda items. Ongoing work is required, however, particularly in relation to budget challenges and corporate change.										
ID & Title	SCS 15 004 Failure to meet required budget savings	Approach		Status		Managed By	Alison Bryce; Stuart Crickmar; Brian Forbes; Cherie Jarvie	Current Rating	4	Target Rating	4
Description	Failure to meet required budget savings										
Potential Effect	Financial loss; Reputational damage										
Related Actions				Internal Controls	Budget Challenge & Financial Monitoring						
Latest Note	The service has prepared business cases on 3 key areas for budget savings over the next years through the Making Clackmannanshire Better Programme. These will be consulted on throughout September 2015.										

APPENDIX 2

Strategy & Customer Services Budget v Outturn

JUNE OUTTURN

	Budget 15-16	Outturn 15-16	Variance 15-16
	£'000	£'000	£'000
STRATEGY & CUSTOMER SERVICES	6,746	6,603	(143)
Business Support			
Staff turnaround, and no authority given to fill posts in Education			(82)
Holiday Buy Back (3 employees)			(1)
Mail budget continues to show underspends in recharges to departments - continue to monitor and look at ways to reduce this underspend			(27)
Children's Panel - Agreement has changed to admin charge only, no expenses			(9)
Other - Supplies & Services			(3)
Underspend relates to efficiencies in postage costs due to departments using franking, will continue to monitor to reduce underspend. Staffing costs continue to be underspend due to high turnover of staff and the restrictions on recruiting to vacant posts. Small savings on supplies and services.	2,463	2,342	(121)
CEO			
Assume no costs to professional fees, this budget has been used in the past for specific projects, last year wasn't used, and no plans to be used in 15/16.			(10)
Increased cost for COSLA - demand pressure approved for 1% increase, but increase has been 17.915%			6
Assume no professional fees this year as last year (has been used in the past for specific projects). COSLA charge has been increased by 17.915%, where demand pressure was only for 1% increase.	189	185	(4)
Comms & Marketing			
Unachievable income target for adverts placed in the corporate Newspaper			2
Subscriptions - Social Media Dashboard not budgeted for			1
Supplies and Services			3
Overspends due to advert space not being sold in publications issued. Subscriptions to Social Media Dashboard, PRCA and Newspaper Licensing agency.	283	290	6
Community Chest			
This scheme ended on 31st March 2015	0	0	0

Strategy & Customer Services Budget v Outturn**JUNE OUTTURN**

	Budget 15-16 £'000	Outturn 15-16 £'000	Variance 15-16 £'000
STRATEGY & CUSTOMER SERVICES	6,746	6,603	(143)
Corporate Training			
Projected on budget until BIDS have been approved and allocated to services	<u>329</u>	<u>329</u>	<u>0</u>
Customer Services & Libraries			
Staffing underspends due to closure of receptions at Lime Tree House, Greenfield and Sauchie Hospital. Plus awaiting approval of Management Review to fill permanent posts (currently staff are acting up and on temp contracts). Vacant hours in CAP offices not being filled as full review of service is being carried out. Includes saving of £25K for reduced opening hours to CAPs			(46)
Income generate from Scottish Certificates as demand continues to grow. Underspend is net of salary costs, postages and a few supplies and services to run the service.			(90)
Shortfall in registrars in line with last few years level of charges			9
Overspend in supplies and services due to photocopying increases (many of the machines were never charged for on the previous contract)			7
Income generated from Scottish Certificates website, £46K income target given has been exceeded as demand has continued to grow, however pressure on the staffing has meant the employment of 1.5fte to cope with demand, variance after staffing costs is £90k. Staffing underspends throughout Customer Services due to staff leaving through VS and temp contracts in place fro acting up and posts being filled until management review is approved.	<u>1,513</u>	<u>1,392</u>	<u>(120)</u>
Head of Strategy			
Supplies and services underspends, as per previous years	<u>93</u>	<u>92</u>	<u>(1)</u>
Members Services			
Reduction in payments to elected members, plus budget built up for 1.5% inflation, only 1% given and 1 less senior member.	<u>419</u>	<u>403</u>	<u>(16)</u>

Strategy & Customer Services Budget v Outturn**JUNE OUTTURN**

	Budget 15-16 £'000	Outturn 15-16 £'000	Variance 15-16 £'000
STRATEGY & CUSTOMER SERVICES	6,746	6,603	(143)
Performance Business & Strategy			
Performance & Partnership Team Leader left and will not be replaced. Performance & Information Officer transferred to HRA, and balance of budget after post removed through VS Holiday Buy Back Scheme for 1 employee			(76)
Supplies and services and payment to other agencies (budget is sometimes used for budget consultation or Options Appraisals, but nothing is planned at the moment)			(1)
			(12)
Underspends from staffing due to Team Leader leaving and not being replaced, post transferring to HRA and removal of post through VS. Underspend in payments to other agencies as this budget is used for options appraisals and budget consultation which there are not plans for at the moment.	<u>1,232</u>	<u>1,143</u>	<u>(89)</u>
Leisure (Customer Services)			
Historic price increases never implemented following policy decision. Savings were based on 11/12 usage; figures in 12/13 and 13/14 show reduction in numbers			95
Staffing overspend (long-term legacy letting agreements are not covering costs, particularly for Alloa Town Hall, Firpark Ski & Academies review underway)			35
Overtime budget not used - staff not working enough hours to claim overtime, additional hours processed through Gross Pay			(12)
Leisure Income review still to be completed. Remaining shortfall on Lets and Charges			81
Supplies & Services			4
Review to be completed to reduce the gap between income received and costs for covering each let. Full cost recovery model to be looked at also. Review will look at opening hours, staffing contracted hours and fees being charged for each let.	<u>225</u>	<u>428</u>	<u>203</u>
STRATEGY & CUSTOMER SERVICES TOTAL	<u>6,746</u>	<u>6,603</u>	<u>(143)</u>

Staffing underspends in Business Support due to posts not being given approval to be replaced. Mail income from recharges to departments generating an underspend. Customer Services awaiting a review of their management structure due to temp contracts being in place to cover staff that have left through VS. Scottish Certificates demand continues to grow and income is now funding 1.5FTE staff to help with the demand, while still generating further underspends. Vacancies in Performance and Strategy not being replaced, Team Leader left and post transferred to Housing. Leisure overspends due to shortfall in income, high staffing costs and an unachievable saving. Review being carried out to look at full cost recovery, while also looking at opening hours, staff contracted hours and charges for lets.

Report to Resources & Audit Committee

Date of Meeting: 24 September 2015

**Subject: Resources and Governance Finance and Performance report
1.04.15 - 30.06.15**

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 the first quarter of 2015/16.
- 1.2. The report highlights service activity, achievements and performance between April and June 2015. It also identifies future challenges, opportunities and risks.
- 1.3. The report includes financial performance with the aim of providing an overview of performance against budget for the first three months of 2015/16 and a projection of expected out-turn to 31 March 2016.

2.0 Recommendations

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

3.0 Service Activity - key issues

3.1 Introduction

- 3.1.1 The Resources and Governance Service's mission as set out in the service business plan is "to provide high quality, professional, value adding proactive advice and support to enable senior officers, managers, elected members and staff in the delivery of their strategic and operational objectives" This includes advice and support to manage resources whether they are physical assets, human, technological or financial.

3.2 Service Activity - Cross Service Activities

- 3.2.1 The major cross service work has been the creation of business cases and scopes for the Making Clackmannanshire Better programme. All services have been involved in reviewing their own service structures and current work loads as well as supporting other services in the Council. The Accountancy Team for example is providing support to Services during the budget process,

with the compilation of business cases and the identification of resulting savings, budget challenge sessions and also the development of spend to save initiatives.

3.3 Service Activity - HR & Payroll system (iTrent).

3.3.1 The HR team continues to actively support corporate changes taking place as a result of internal and external demands on the Council.

3.3.2 Internal changes include implementation of revised recruitment protocols, working with trade unions regarding budget savings which impact on staff, implementing shared parental leave policy and managing Voluntary Severance.

3.3.3 External factors included Shared Services and Health and Social Care Integration which continue to feature heavily on the HR agenda. The Clackmannanshire/Stirling and NHS partnership now has in place its Chief Officer and recruitment has taken place for the Chief Finance Officer.

3.3.4 The HR team work closely with Trade Union colleagues liaising on Employee Relations issue, TU/Management Meetings, Working Together agenda and policy development. In partnership with our Union colleagues Dignity at Work and the Council's LGPS Discretionary Policy were agreed. Work still continues on updating the following policies: Disciplinary, Grievance, Capability, Recruitment, Maternity/Paternity/Adoption/Shared Parental Leave, Alcohol and Drugs, Casual Workers, Flexible retirement, PVG and VS (Phase 6).

3.3.5 The iTrent system has been updated to take account of the new LGPS2015 and SPPA2015 Schemes. A successful pilot of e-payslips will be rolled out Council Wide and developments for the current financial year include automation of travel, expenses and overtime claims and development of the H&S and O/D functionality.

3.3.6 A range of additional MI reports have been developed and continue to be refined to ensure meaningful and accurate information is available to services. Briefing sessions were delivered by the HR team in relation to Maximising Attendance with similar sessions to be developed from Dignity at Work.

3.3.7 14 new employee relations cases were raised which require the support of HR comprising grievances (2), Dignity at Work (1) , capability (3), absence management (3) and other cases (5).

3.3.8 A number of posts (existing and new) have been evaluated through the job evaluation system during the previous financial year. The Scottish Councils' JE Scheme has been updated to a 3rd edition that complies with legislative changes to ensure that it remains 'fit for purpose'. As a consequence local application of the Scheme is to be reviewed to ensure compliance.

3.4 Service Activity - Accountancy Team

3.4.1 The draft financial statements for the Council, the Valuation Joint Board and the Sundry Trust Funds were completed and submitted for audit by the 30th

June deadline. The external audit process is underway and is progressing well. This will be concluded in September with the final financial statements for the Council and the Sundry Trust Funds being submitted to Resources and Audit Committee and the Valuation Joint Board in September.

- 3.4.2 The team have been involved in the procurement of the new financial system, attending demonstrations and developing the specification and requirements. This work will intensify with several staff members being seconded to the project team on a part time basis during the implementation phase commencing 1st September 2015.
- 3.4.3 The Service is actively supporting the formation of the Social Health Care Integration's Strategic Plan for the Council's partnership with Stirling and Forth Valley NHS. The Service are also participating in the partnerships Finance and Governance workstreams and carrying out due diligence surrounding the calculation of the budget transfer.
- 3.4.4 The Council's Insurance and Claims Handling was concluded in May 2015 with the new contract commencing from 1st June 2016. The Council's previous insurers, RMP, were successful and significant savings across the contract term have been achieved.
- 3.4.5 The contract for the Council's banking services is due to expire on 31st March 2016. The tender process for a new contract is underway with the award to be made in November to allow sufficient time for the integration of a potential new supplier if required.

3.5 **Service Activity - Democracy Team**

- 3.5.1 The UK election was successfully delivered and all post election work, bar the accounts, is now complete. Work has started on the accounts, which require to be submitted to the Scotland Office by 9 November.
- 3.5.2 Planning has already started for the Scottish Parliamentary Elections in 2016 as has a review of the postal vote service. The aims of the review are to make improvements on the process and to reduce the burden on council resources.
- 3.5.3 The Senior Governance Officer is assisting the Head of R&G with the implementation of the Records Management Plan in line with the Public Records (Scotland) Act.
- 3.5.4 The team provide advice and support to services in responding to FOIs, carry out reviews of FOIs, when requested, and respond to appeals made to the Scottish Information Commissioner.

Table 1 : FOI Received in Q1

Service	FOIs/EIRs received	Reviews	Appeals to Scottish Information Commissioner
Development & Environment	58	0	0
Education	22	0	0
Housing & Community	45	0	0
Resources & Governance	51	0	0
Social Services	39	0	0
Strategy & Customer Services	9	0	0
Totals	224	0	0

3.6 **Service Activity - Internal Audit & Fraud Team**

3.6.1 Work is progressing well on reviews from the 2015/16 plan, with seven draft reports being issued and a further four reviews currently in progress. Approaching the end of the second quarter 58% of the annual plan is either completed or at an advanced stage. Further progress has been made on implementing and addressing recommendations from previous reports.

3.6.2 Progress on completion of the Assurance element of the Annual Plan 2015/16, is summarised in the table below.

Table 2 : Audit Plan Status

Status of Audits		%
To be Commenced	8	42%
Onsite/On going	4	21%
Draft Report Issued	7	37%
Final Report Issued	0	0%
Total	19	100%

3.6.3 The Internal Audit and Fraud Team have undertaken a number of short term projects using the contingency budget in the plan. Investigators have conducted and reported on other investigations on behalf of senior management into matters ranging from suspected serious health and safety breaches to allegations of misappropriation of council goods and equipment.

3.6.4 Investigators have also started to concentrate on non benefit related external fraud. For example over £25,000 in false Council Tax Reduction Scheme claims and single adult discount awards have been identified. Work is ongoing to prevent and detect false claims with an emphasis on income maximisation.

3.7 **Service Activity - Health and Safety**

3.7.1 The Employee Counselling Service (ECS) went into administration on 16 May so a re-tender is currently underway. A list of nationally available help lines has been drafted in the interim and passed to HR and Harassment Advisers.

3.7.2 The Construction Design & Management Regulations changed as of 6 April 2015. Training was arranged late 2014 to ensure staff are aware of the

changes. A working group was set up to consult on policy being compiled by SR and to trial the new templates.

Table 3 : H&S Summary Statistics

	Apr-15	May-15	Jun-15
Total number of accidents	89	202	382
Number of accidents for staff only	13	23	41
Number of accidents for non-staff	76	179	341
Number of RIDDOR reports for staff	1	0	0
Number of RIDDOR reports for non-staff	0	2	0
Total number of RIDDOR reports	1	2	0

3.7.3 An industrial accident within the Roads and Transportation Service has led to an investigation by the Health and Safety Executive (HSE). The HSE investigation is currently ongoing and the Service is working with the H&S Team and the HSE to move the matter forward.

3.7.4 A line managers H & S handbook, new hazard matrix and risk assessment tool have been compiled and are available on Connect.

3.7.5 A H & S Annual Report has been completed and will be submitted to the October R&A Committee. The Corporate H&S Policy has been reviewed. It will be available on CONNECT once authorised for implementation.

3.8 **Service Activity - ICT**

3.8.1 In schools, the latest version of Microsoft Office 2013 was installed for all staff and pupils and approximately 200 new iPads were configured and deployed for use in the 3 Academies.

3.8.2 A significant number of sites had their network links upgraded to improve the bandwidth available. This increased capacity utilising a new low cost technology which provides increased performance at a significantly reduced cost. Sites include all Sauchie Sites (CAP, Class Cuisine, Marchside Court), Deerpark PS, Craigbank PS, Fishcross PS as well as the Bowmar Centre. Enhancements were also made to our WiFi system to allow a more flexible open network to be deployed to Council supplied devices.

3.8.3 A new backup system was installed as part of the ICT Capital programme, improving the Council's Business Continuity capabilities and improving availability of systems.

3.8.4 A major upgrade of the storage environment was carried out, increasing the amount of storage by 20 Terrabytes

3.8.5 PSN Compliance was achieved. This is a major piece of work which involves assuring a satisfactory standard of security across the Council's ICT systems for access to the Public Services Network.

3.8.6 The implementation of the SWIFT Social Care system progressed, specifically the configuration of the new system and the migration of data from the existing Clackmannanshire system

3.9 **Service Activity - Legal Services**

3.9.1 The Team provided clerking services to Council Committees, Sub-committees and the Licensing Board, and provided legal input into the consideration of various licensing applications and the Regulatory Committee (19 meetings during this period.) Additionally Legal support was provided to several meetings of the Education Appeals Committee and in connection with a Planning Appeal to the Local Review Body.

3.9.2 A section 75 Agreement was concluded to facilitate the issue of Planning Permission for a significant private residential development at The Shore Alloa. Although the Right to Buy is coming to an end the Council are continuing to receive applications to purchase and during Q1, 8 offers were issued, 5 sets of missives were concluded, and 3 sales were completed at a total sale price of £125,100.

3.10 **Service Activity - Procurement**

3.10.1 The mandatory procurement reporting was completed of the FY 2014-15 accounts payable data to support the centrally funded annual spend analysis which is published onto the Scottish Procurement Information Hub (Spikes Cavell).

Table 4 : Key Trade Creditor Statistics 2015-15

	Financial year 14 - 15	Financial Year 13 - 14
Number of Suppliers - Trade Creditors	2,512	2,736
Total Value of Procurement Spend	£58,773,883.58	£65,203,206
Number of Invoices	40,122	49,825
% Spend with SMEs	69.1%	63.65%
% Spend Locally	17.13%	22.05%

3.10.2 The statistical annual return for contracts awarded in 2013 and 2014 was completed. The purpose is to gather statistical information from Scottish contracting authorities on procurement contracts awarded. This is a legal requirement to submit this information to Scottish Ministers.

Table 5 : Q1 Tender Activity

Tender Notices Published	14
Tender Award Notices published	29

3.10.3 Savings achieved over the lifetime of contracts awarded through procurement activity in this period are £795,569.86

This figure is based on the agreed budget at the start of the process against the final contracted award figure.

Significant Highlights are:

- £232,451.64 Replacement Finance System - 9 year contract
- £554,768.22 Insurance & Claims Handling Services - 5 Year Contract

3.10.4 Following a review of purchase card activity and meetings with some services 36 cardholders have been removed leaving 43 cardholders. Reviews will continue with the remaining services to rationalise further where possible.

3.11 **Service Activity Assets**

3.11.1 Mail services made a saving of £15,000 in postage costs last year due to the business mail advance system promoting clean mail. This year the Council has moved to Mail Mark and it is anticipated the savings will be higher. Templates have now been produced for all envelope addressing. The Freepost service is being rationalised and centralised into the mail room with potential initial additional saving of £2,000.

3.11.2 Increased pro-active monitoring of the PPP and other contracts has led to improved performance delivery from the services contractors. Work has been ongoing with School's management teams to ensure a shared understanding of the relevant contract deliverables .

3.11.3 Following the successful completion and occupation of Redwell PS, the statutory indicator relating to property condition has risen from 92.8% in 2013-14 to 97.7%,. This follows the closure of Claremont PS, St. Johns PS , rationalisation and improvements to the Office Estate, and the completion of the Speirs Centre project.

3.11.4 A Post Occupancy review was completed for Redwell and further reviews are planned for the Speirs centre and hand-over reviews for Hallpark are also complete. Other post occupancy reviews are being prepared and will be made available through the MCB elected members forum.

3.11.5 The Sauchie Main Street Improvements project is nearing completion and initial work on Tron Court is programmed to start shortly. The contract to start work at .Fairfield was signed in July. Following the Council decision in June the services of an external Quantity Surveyor and Engineer have been procured to progress the demolition of the Alva pool.

3.11.6 Primary school meal uptake rose by 2 % last year and this equates to an increase of 600 meals per month. Secondary Schools continue to show improved uptake albeit there is a considerable variation with a current average uptake of 62.5%. Class Cuisine was audited by the British Standards Institute as in June this year as part of the BSI's biennial inspection.. All procedures and processes were checked and excellent reports were recorded by the auditor.

3.11.7 The Property Maintenance Service undertook the addition of the Cleaning and Janitorial Service as well as the operation and management of Fir Park and Gartmorn Dam this year with a realignment of duties and associated roles. A new Cleaning Supervisor was appointed as the first part of the service delivery changes.

3.11.8 There are 30 live projects across 3 education programmes. The key projects are noted below.

- the alteration to nursery facilities to accommodate 600hrs provision.
- fire risk assessment works and the physical alteration to doors, windows and electrics and are due to be complete by March 2016.
- the schools development programme involving 21 projects across the schools estate. 17 were complete over the summer period

4.0 Performance

4.1 The KPIs reported are those agreed for the Resources and Governance business plan for 2015/16. A number of the performance indicators relate to corporate performance and some will only be reported on an annual basis. Comments are made within the Covalent report (**Appendix A**)

5.0 Financial Performance

5.1 Under spends in Accountancy, IT and Governance are due to vacancies from employees leaving, VS, staff reducing hours and maternity leave. Staff in HR and Payroll continue on temporary acting up or temporary contracts for implementation of new iTrent system which are currently scheduled to end soon. The costs of the Occupational Health contract, CBT, Physiotherapy and Disclosures (migrating staff to new scheme) require to be normalised involving either the cutting of the services where possible or identifying appropriate budget. Central IT continues to be monitored to reduce the overspend from 14/15. Support Services outturn projecting a total underspend of c£223k.

5.2 Assets outturn is currently projecting an underspend of c£187k. The main contributors to this being payroll savings through vacant posts and overtime reductions and saving in Gas, Electricity & Water costs.

Table 6 : Q1 Budget and Outturn Forecast

	Budget 15-16 £'000	Outturn 15-16 £'000	Variance 15-16 £'000
RESOURCE & GOVERNANCE	23,731	23,321	(410)
Depute Chief Exec	119	120	0
Head of Support Services	93	92	(1)
IT	2,282	2,252	(31)
Governance	1,740	1,620	(120)
Property Costs:	5,884	5,778	(106)
Schools PPP:	7,726	7,726	0
Asset Management:	57	155	98
Property Maintenance Management:	365	401	36
Management Unit:	366	365	(1)
Catering Contract:	1,289	1,169	(120)
Janitors:	400	385	(15)
Cleaning Contracts & Public Conveniences	1,102	1,073	(29)
Leisure Services:	749	711	(38)
Pavilions:	28	20	(8)
Security/Mail Room/Chauffeur:	133	129	(4)

6.0 Progress in Delivering Planned Budget Savings in 2015/16

6.1 The schedule of R&G's savings progress is detailed at Appendix C. Currently, of the £498,500 identified, £250k has been delivered, £57.5k is at risk of not being delivered or not being delivered fully and a further £20k will definitely not be delivered in 2015-16 because of timing issues in relation to exiting properties. The remaining £171k is on track for delivery

7.0 Achievements

7.1 Iain Burns the Internal Audit and Fraud Team Leader has been appointed as Chair of the Scottish Regional Committee of the Chartered Institute of Internal Auditors.

7.2 Karen Kirkwood was seconded as the Regional Resilience Coordinator (Forth Valley), East of Scotland Resilience Partnership in June.

7.3 Strong progress has been made with "Better Eating Better Learning" with staff from Class Cuisine providing curricular support in many schools, attendance at parent's evenings and in class. The support has been welcomed.

8.0 Opportunities, Challenges and Risk

8.1 The policy of "wind and water tight" property maintenance is producing operational risks in some buildings.

- 8.2 Work on MCB projects and financial modelling will highlight areas of improved efficiency although challenging decisions will need to be made about the nature and scale of R&G's services.
- 8.3 Staff turnover in key posts, particularly in Accountancy, is proving challenging for managers to provide consistent services.
- 8.4 Corporate integration programmes including HSCI and shared services are creating uncertainties both in regard to the resources required for implementation and the longer term role of support services.
- 8.5 Work is underway to align Corporate Procurement procedures and processes to the external procurement influences taking place over the next year including:
- The forthcoming procurement reform bill
 - Change to the EU procurement legislation
 - Proposed changes to construction procurement

9.0 Sustainability Implications

9.1 None

10.0 Resource Implications

10.1 Financial Details

10.2 The full financial implications of the recommendations are set out in the report. This includes a reference to full life cycle costs where appropriate. N/A

10.3 Finance have been consulted and have agreed the financial implications as set out in the report. N/A

10.4 Staffing

10.5 There are no staffing implications associated with this report

11.0 Exempt Reports

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

12.0 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**

None

13.0 Equalities Impact

13.1 Have you undertaken the required equalities impact assessment to ensure that no groups are adversely affected by the recommendations?

Yes No N/A

14.0 Legality

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

15.0 Appendices

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

Appendix A -Covalent performance report
 Appendix B - Financial performance to 30.9.14
 Appendix C - Savings Template

16.0 Background Papers

16.1 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
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Stephen Coulter	Head of Resources & Governance	
Nikki Bridle	Depute Chief Executive	

Quarter 1 Progress Report

KEY TO SYMBOLS

PIs					
Status		Short Term Trends		Long Term Trends	
Compares actual performance with target		Compares actual performance with most recent previous		Compares actual performance with previous over the longer term	
	Alert		Performance has improved		Performance has improved
	Warning		Performance has remained the same		Performance has remained the same
	OK (performance is within tolerance limits for the target)		Performance has declined		Performance has declined
	Unknown		No comparison available - May be new indicator or data not yet available		No comparison available

ACTIONS	
Expected Outcome	
	Exceed target
	Meet target/complete within target dates
	Will complete, but outwith target
	Fail to complete or cancelled
	Unknown – see Management Comments








RISKS	
Current Rating = Likelihood x Impact (1 - 5)	Status
	Rating 16 and above
	Rating 10 to 15
	Rating 9 and below
The likelihood of a risk occurring, and the impact if it does occur are each scored on a scale of 1 to 5, with 1 being the least likely or the least significant impact. Detailed guidance on scoring is provided in the Risk Management Policy and guidance.	


1 HIGH LEVEL SUMMARY

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

PIs				
Actions				

Resources and Governance Performance Indicators 2015-2016

Code	Description	2013/14	2014/15	2015/16	Q1 2015/16		Latest Note	Lead
		Value	Value	Target	Value	Short Trend		
RAG RAG 005	Percentage of Resources and Governance projects at Green				97.40%		77 projects ongoing with 75 at green	Stephen Coulter; John Munro
ACC B01 RAG	Performance against phased budgeted spend - Resources and Governance	98.3%		100%	98.3%		Projections for the 2015/16 outturn suggest a performance of 98.3% of budget expenditure as at 30.6.15	Stephen Coulter
GOV HAS RAG	Proportion of Resources & Governance Health and Safety Risk Assessments reviewed and up to date			100.0%	70.0%		H&S team are currently working with Service Areas to review all Risk Assessments	Stephen Coulter; Sarah Robertson
ITS CUS 001	Percentage of customers satisfied with ICT services	98.2%	94.8%	98.0%	97.1%		Q1 performance maintained at high level. Customer feedback being monitored proactively and issues being followed up individually	John Munro
ITS ITS 002	Percentage of available hours lost on ICT systems due to unplanned incidents	0.035%	0.060%	0.050%	0.048%		Few stops in period, system availability stable	John Munro
RAG CUS 001	Percentage of customers very or fairly satisfied with the overall service they received	64.00%	76.00%	80.00%	Not measured for Quarters		A survey was in the field for two weeks leading up to 22nd May 2015 to produce the value for 2014/15.	Stephen Coulter
RAG PPL 003	Number of Resources and Governance staff recorded as having completed a PRD	88.4%	80.0%	95.0%	7.0%		The target date for recording PRD's of all eligible employees on iTrent is 30/9/15. Although only 7% of PRD's are recorded within iTrent the number of PRD's completed is much higher based on 1 2 1 discussions with managers. This is the first year of collating data via iTrent and the overall score will dip because of previous managerial practices where many front line services staff were not receiving PRDs. Reviews of how services are delivered and managerial spans of control are now underway	Stephen Coulter
RAG RAG 001	Proportion of R&G formal correspondence and enquiries			100.00%	76.92%		This is the first quarter where the PI has been collated in this way and highlights a lack of	Stephen Coulter; Andy Hunter

Code	Description	2013/14	2014/15	2015/16	Q1 2015/16		Latest Note	Lead
		Value	Value	Target	Value	Short Trend		
	responded to within timescale						compliance in some services with FOI timescales. The reasons for this will be investigated and an action plan put in place to improve performance	
RAP AUD 001	Percentage of Internal Audit plan completed	100%	100%	100%	26%		5 reports from the 15/16 plan are being presented to R&A Committee. All Quarter 1 work from the plan has now been completed.	Iain Burns

Resources and Governance Corporate Performance Indicators 2015-2016

Code	Description	2013/14	2014/15	2015/16	Q1 2015/16		Latest Note	Lead
		Value	Value	Target	Value	Short Trend		
ACC ACC 009	Ratio of capital financing costs to the net revenue stream for General Fund	6.59%	8.20%	7.90%	Not measured for Quarters		Value to follow once outturn is confirmed.	
ACC ACC 010	Ratio of capital financing costs to the net revenue stream for Housing Revenue Account	8.00%	16.80%	18.50%	Not measured for Quarters		Value to follow once outturn is confirmed.	
ACC FNR COU	Target level of uncommitted financial reserves is achieved. (£3.6m)	£6,174k	£6,105k	£4,000k	Not measured for Quarters		Value to follow once outturn is confirmed.	
GOV AB1 ED1	Average FTE Days Sickness Absence (Teachers)	5.7 days	10.1 days	8.0 days	2.1 days	↑	For the first quarter of 2015/2016 average FTE absences for Teaching has reduced from 3.4 Days in Quarter 4 of 2014/2015 to 2.1 Days. There would be an anticipated fall in the average number of days at this point as absences for the previous period covered the January/February/March period where minor illness such as cold/flu are traditionally higher.	Chris Alliston; David Leng
GOV AB1 OTR	Average FTE Days Sickness Absence (Other Local Government)	7.9 days	12.8 days	10.0 days	3.2 days	↑	For the first quarter of 2015/2016 average FTE absences for other Council staff has reduced from 3.7 Days in Quarter 4 of 2014/2015 to 3.2 Days. There would be an anticipated fall in the average number of days at this point as absences for the previous period covered the January/February/March period where minor illness such as cold/flu are traditionally higher.	Chris Alliston
GOV FOI COU	Percentage of Council Freedom of Information requests dealt with within timescale	96.0%	92.9%	100.0%	91.1%	↑	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; Andy Hunter
GOV HAS 003	Percentage of Resources & Governance Managers who have reviewed their Health and Safety Risk Assessment in	N/A	75.0%	100.0%	Not measured for Quarters		Governance, IT and Assets are complete. Due to changes to the Accountancy Managerial structure there has been some	Stephen Coulter

Code	Description	2013/14	2014/15	2015/16	Q1 2015/16		Latest Note	Lead
		Value	Value	Target	Value	Short Trend		
	the last 12 months						slippage here, however advice has been provided and this will be completed in the coming weeks	

Resources and Governance Actions 2015-16

Covalent Code	ACTION	By When	Lead	Progress Bar	Expected Outcome	Latest Note
RAG 15 001	Develop a clear workforce strategy and revise supporting employment policies as appropriate.	31-Mar-2016	Stephen Coulter	<div style="width: 50%;"><div style="background-color: #4f81bd; height: 10px;"></div></div> 50%		Workforce plan is being developed as one of the MCB Tranche 1 Business Cases. The OD Adviser has already undertaken some initial proof of concept work with the Assets Team and produced a wider people strategy draft.
RAG 15 002	Review of options of PPP financing model and options for maximising use of current annual investment of £7.7m	30-Sep-2015	Stephen Coulter; Eileen Turnbull	<div style="width: 50%;"><div style="background-color: #4f81bd; height: 10px;"></div></div> 50%		Ongoing. DCEX has commissioned SOLACE to review alternative Financial Models for PPP. S&CS are looking at utilisation of the Community spaces and Assets currently waiting the Strategy for Education for school spaces
RAG 15 003	Options appraisal to review telephony and mobile devices with a view to increased cost efficiency.	31-Oct-2015	Stephen Coulter; John Munro	<div style="width: 10%;"><div style="background-color: #4f81bd; height: 10px;"></div></div> 10%		A number of options for savings have been identified. A draft MCB Change Proposal has been prepared outlining details.
RAG 15 004	Undertake full options appraisal of Resources and Governance service delivery models and structure.	31-Jan-2016	Stephen Coulter	<div style="width: 33%;"><div style="background-color: #4f81bd; height: 10px;"></div></div> 33%		Business Case is being prepared for MCB Tranche 1 submission by 31st August. Service Managers and Team leaders have been tasked as PRD objectives to consider their service structures and customer value propositions within the context of the council's financial structures and identify opportunities for innovation as well as redefining service specifications
RAG 15 005	Review options for increasing digital transactions.	31-Mar-2016	Stephen Coulter; John Munro	<div style="width: 10%;"><div style="background-color: #4f81bd; height: 10px;"></div></div> 10%		Draft MCB Change proposal has been prepared. Work underway reviewing existing contracts and identifying opportunities for generating efficiencies.
RAG 15 006	Prepare surplus asset statement and recommendations for disposal as appropriate	31-Jul-2015	Stephen Coulter; Eileen Turnbull	<div style="width: 100%;"><div style="background-color: #4f81bd; height: 10px;"></div></div> 100%		Is complete and Council accepted the paper in May 2015.
RAG 15 007	Options to be developed through consultation with Trade Unions to review and redefine the working week.	31-Dec-2015	Stephen Coulter	<div style="width: 33%;"><div style="background-color: #4f81bd; height: 10px;"></div></div> 33%		Business case for working week review in particular the redefining of unsocial hours is being prepared as a MCB tranche 1 business case for submission by 31st August. Progress will depend on support from other Services in analysing the impact on different staff groups
RAG 15 008	Develop a records management plan and implement a records management policy.	31-Mar-2016	Stephen Coulter	<div style="width: 50%;"><div style="background-color: #4f81bd; height: 10px;"></div></div> 50%		A Records Management Working Group has been set up and has committed to producing a statutorily compliant RMP for presentation to December R&A. Work to implement the plan in particular the dependencies of the Council's iDocs system and storage review will be developed. The project is subject to a MCB tranche 1 business case which will be completed by 31st August.
RAG 15 009	Identify and procure a new finance system and re-engineer finance business processes to support its introduction in 2016-17.	31-Mar-2016	Stephen Coulter	<div style="width: 33%;"><div style="background-color: #4f81bd; height: 10px;"></div></div> 33%		Technology One has been appointed as the supplier and will begin working with the council in September. Work has been ongoing to ensure the release of key staff in ICT and Finance to support the project and ensure its success. The project has major significance throughout the council and will lead to better financial reporting, budgetary analysis and


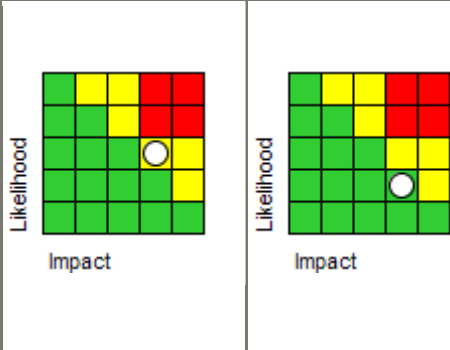
Covalent Code	ACTION	By When	Lead	Progress Bar	Expected Outcome	Latest Note
						the reduction of a vast range of manually intensive paper based processes.
RAG 15 010	Development of business cases in respect of community meal service and additional meal income.	30-Sep-2015	Stephen Coulter; Eileen Turnbull	10%		At an initial scoping stage as a Tranche 1 MCB business case.
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.	31-Dec-2015	Derek Barr; Stephen Coulter	0%		<p>Tender activity in this period</p> <p>Tender Notices Published 14</p> <p>Tender Award Notices published 29</p> <p>Savings achieved over the lifetime of contracts awarded through procurement activity in this period are £795,569.86 This figure is based on the agreed budget at the start of the process against the final contracted award figure. Significant Highlights are: £232,451.64 Replacement Finance System - 9 year contract £554,768.22 Insurance & Claims Handling Services - 5 Year Contract</p>
RAG 15 012	Re-institute a project management structure for the delivery of iTrent to exploit opportunities for automation of HR processes.	31-Oct-2015	Chris Alliston; Stephen Coulter	0%		Review of resources ongoing


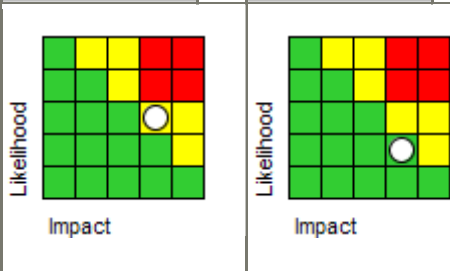
Resources & Governance Risk Register 2015-16

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 15 006	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	RAG 15 008	Develop a records management plan and implement a records management policy.		Internal Controls	People Strategy						
	RAG 15 009	Identify and procure a new finance system and re-engineer finance business processes to support its introduction in 2016-17.			Information & Communication Technology Strategy						
	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.			Information Management Strategy						

Latest Note	Work ongoing in the areas of Freedom of Information and Data Protection, including targeted 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.										
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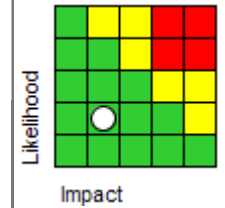
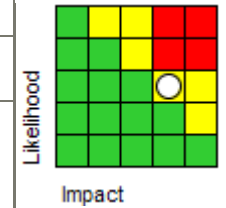
ID & Title	RAG CRR 012 Health & Safety Non-compliance	Approach	Treat	Status		Managed By	Stephen Coulter; Sarah Robertson	Current Rating	12	Target Rating	8
Description	A Health & Safety incident results in the injury to or death of a staff member or customer due to lack of awareness of or non-compliance 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	CRR RAG 004 Health & Safety Internal Audit Action Plan			Internal Controls	Health & Safety Management System						
					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											

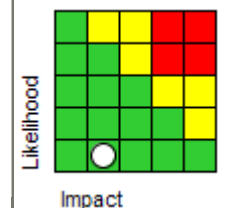
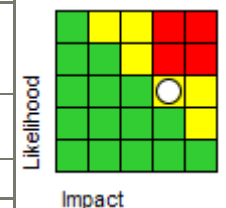
ID & Title	RAG RAG 001 R&G has weak impact on Corporate Governance	Approach	Treat	Status		Managed By	Stephen Coulter; John Munro	Current Rating	12	Target Rating	4
Description	Lack of corporate compliance with policies, procedures and processes designed by R&G specialists which enable efficient business 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												

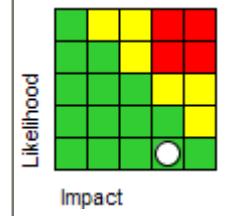
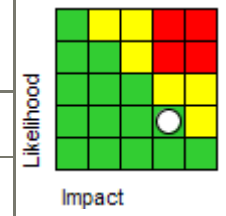


ID & Title	RAG RAG 006	Staff resilience	Approach		Status		Managed By	Chris Alliston; Stephen Coulter; John Munro; Eileen Turnbull	Current Rating	12	Target Rating	3
Description	Changing job roles and uncertainty of Council's long term direction creates anxiety in staff											





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 15 007	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							
	RAG ITS 15 007	Business Continuity		Operational Business Plan							
Latest Note	Capital Investment in 2015/16 supporting a number of projects which reduce the likelihood and Impact of a significant failure of systems, notably major upgrade of backup systems, virtualisation of infrastructure and development of updated BC Plans for ICT.										








Internal Audit & Fraud Actions: Resources & Governance




Absence Management Audit

Covalent Ref.	Action	By When	Progress	Expected Outcome	Latest Note	Lead
IAF AMA 001	<p>Audit Finding: Maximising Attendance and Wellbeing Policy has not been reviewed since being issued.</p> <p>Action: HR are in the process of reviewing all their existing policies and a review of this policy will be undertaken.</p>	31-Dec-2015	<div style="width: 80%;"><div style="width: 80%;"></div></div> 80%		Maximising Attendance has been redrafted, is out for comment and review within HR with wider consultation with unions to take place thereafter.	Chris Alliston
IAF AMA 006	<p>Audit Finding: There is no single corporate system for recording flexi time.</p> <p>Action: HR are currently reviewing the flexi policy with the unions as part of ongoing policy development. An option to use the Housing system as a Corporate system.</p>	31-Mar-2015	<div style="width: 80%;"><div style="width: 80%;"></div></div> 80%		CMT have put flexible working policy on hold at present. From CMT minute "Group agreed this policy will be deferred pending outcomes of MCB and budget are known"	Stephen Coulter


Budget Management & Monitoring


Covalent Ref.	Action	By When	Progress	Expected Outcome	Latest Note	Lead
IAF BMM 001	<p>Audit Finding: There are no operational procedures and set standards defining the role and requirements of the Budget Holder and the Service Accountants in relation to budget management and monitoring.</p> <p>Action: Procedures will be documented for budget holders and will be followed up with training as required. This will be carried</p>	31-Mar-2015	<div style="width: 50%;"><div style="width: 50%;"></div></div> 50%		This will be completed as part of the financial regulations review. With the procurement of a new financial system, finance regulations re-drafting will be taken forward as part of that project so that the opportunities for new ways of working presented by the system are reflected in the Finance Regs. The action will be completed by 31st-Mar-2016 .	Ashley MacGregor

Covalent Ref.	Action	By When	Progress	Expected Outcome	Latest Note	Lead
	forward as part of updating of financial regulations.					
IAF BMM 004a	<p><u>Audit Finding:</u> Payroll costs have not been regularly processed through the financial ledger since April 2013. This has resulted in inaccurate employee budgets that are not being actively monitored.</p> <p><u>Action:</u> Payroll costs account for a significant proportion of Council budgets so this non managing of employee costs could represent a significant financial risk to the Council. IT supplier is working on fix to i-Trent that will automatically upload payroll files to ledger.</p>	31-Mar-2015	50%		Costings are more timeously been put into the finance system however reconciliation work is ongoing regarding financial year 2014/2015. Monthly reconciliations for payroll information are taking place going forward. Work is ongoing with IT regarding the costing process to streamline and ensure a more efficient and effective process. In addition work undertaken by software provider has reduced the number of entries being made against a system default code. Reconciliation work is ensuring issues are identified and resolved and work going forward will ensure a greater degree accuracy of costings. Action is expected to be complete by 31st- Dec-2015	Chris Alliston
IAF BMM 005	<p><u>Audit Finding:</u> Budget Holders requirements in relation to the frequency and detail of budget information are not always being met.</p> <p><u>Action:</u> Accountancy will approach services individually to ascertain information requirements and to consider what can be done to provide these.</p>	31-Mar-2015	50%		Accountancy are working with the services to ensure all deadlines are identified and a workplan will be agreed detailing service requirements. Turnover in Accountancy staff has pushed back the timescale. The new Finance System will change manager's access to budget information in any case so agreed protocols under this action will be an interim measure. Action will due to complete by 30-Sep-2015	Ashley MacGregor
IAF BMM 006	<p><u>Audit Finding:</u> There is no formal work plan of agreed actions as a result of the budget monitoring meetings.</p> <p><u>Action:</u> Rolling action logs will be set up and used at monthly meetings.</p>	31-Mar-2015	50%		Action log to be agreed, and implemented across all services. . Turnover in Accountancy staff has pushed back the timescale Action to be complete by 30-Sep-2015	Ashley MacGregor
IAF BMM 007	<p><u>Audit Finding:</u> Training Needs Assessments of Budget Holders have not been carried out and Budget Holders have not received budget management and monitoring training specific to their role. A number of budget holders were unclear / unaware of the process for budget virements as included in the Financial Regulations.</p> <p><u>Action:</u> Training programme to be developed</p>	31-Mar-2015	50%		This will be covered as part of the Financial regulations requirements. Currently Accountants will provide information to managers are requested or through monitoring meeting. The action will be completed by 31st-Mar-2016 .	Ashley MacGregor

Covalent Ref.	Action	By When	Progress	Expected Outcome	Latest Note	Lead
	and rolled out to budget holders. This will be carried forward as part of updating of financial regulations.					
IAF BMM 008b	<p><u>Audit Finding:</u> Social Services and Housing service budgets do not align with current service structures resulting in difficulty in delegating budget management responsibility and monitoring specific service provision within budgets.</p> <p><u>Action:</u> Once council structure is finalised then other services will be aligned as appropriate.</p>	31-Mar-2015	<div style="width: 50%;"><div style="background-color: #4f81bd; height: 10px; width: 50%;"></div></div> 50%		Services are now being reported in the revised structure. Work to complete the restructure in the financial ledger system is due to be completed in the next few weeks. Action to be complete by 30-Sep-2015	Ashley MacGregor
IAF BMM 008c	<p><u>Audit Finding:</u> Social Services and Housing service budgets do not align with current service structures resulting in difficulty in delegating budget management responsibility and monitoring specific service provision within budgets.</p> <p><u>Action:</u> Information can be provided at cost centre level currently.</p>	31-Mar-2015	<div style="width: 50%;"><div style="background-color: #4f81bd; height: 10px; width: 50%;"></div></div> 50%		Services are now being reported in the revised structure. Work to complete the restructure in the financial ledger system is due to be completed in the next few weeks. Action to be complete by 30-Sep-2015	Ashley MacGregor
IAF BMM 009	<p><u>Audit Finding:</u> Budget holders consulted could not reconcile central support charges with level of service being provided and were unclear how the central support recharge is calculated.</p> <p><u>Action:</u> Charge basis are currently under review. Awareness sessions will be run to explain process.</p>	31-Mar-2015	<div style="width: 50%;"><div style="background-color: #4f81bd; height: 10px; width: 50%;"></div></div> 50%		Model has been revised. Training for managers to be completed. Action to be complete by 30-Nov-2015	Ashley MacGregor

Funding Applications inc. European Funds

Covalent Ref.	Action	By When	Progress	Expected Outcome	Latest Note	Lead
IAF FAE 001	<u>Audit Finding:</u> Finance have canvassed services to identify where grant funding is	31-Mar-2015	<div style="width: 80%;"><div style="background-color: #4f81bd; height: 10px; width: 80%;"></div></div> 80%		This has been included as an MCB proposal and a Business Case is currently being drafted detailing the proposals to take	Lindsay Sim


Covalent Ref.	Action	By When	Progress	Expected Outcome	Latest Note	Lead
	being received. <u>Action:</u> To continue to collate and to use information to assist in review of arrangements.				this forward. Depending on the outcome of the business case it is expected that the action to be complete by 31-Mar-2016	
IAF FAE 002	<u>Audit Finding:</u> No forum or network that allows staff from across the Council who manage external funding to liaise on best practice, discuss funding opportunities and identify potential risks. <u>Action:</u> The corporate Accountancy Team leader will lead a review of the current arrangements within the council to identify individual (s) who will take responsibility for identifying and coordinating funding opportunities across all services.	31-Mar-2015	<div style="border: 1px solid black; width: 100px; height: 15px; background-color: #4F81BD; color: white; display: flex; align-items: center; justify-content: center;">80%</div>		This will form part of the Business Case referred to in above in 5.1. Depending on the outcome of the business case it is expected that the action to be complete by 31-Mar-2016	Lindsay Sim

General Ledger Audit



Covalent Ref.	Action	By When	Progress	Expected Outcome	Latest Note	Lead
IAF GLA 001	<u>Audit Finding:</u> Manual journal forms are completed by an officer and then approved by a line manager prior to processing. The value of the approval prior to processing of the manual journal should be considered given that the line manager is also responsible for monitoring the relevant accounts. <u>Action:</u> This will be addressed through requirements of new financial system with agreement from internal and external audit.	31-Dec-2016	<div style="border: 1px solid black; width: 100px; height: 15px; background-color: #ccc; display: flex; align-items: center; justify-content: center;">0%</div>		In progress: the new system allows for electronic completion and approval of journals and virements.	Lindsay Sim
IAF GLA 002a	<u>Audit Finding:</u> Weaknesses were identified in relation to user access controls and audit logs: • Leavers are not being routinely deactivated,	31-Dec-2016	<div style="border: 1px solid black; width: 100px; height: 15px; background-color: #ccc; display: flex; align-items: center; justify-content: center;">0%</div>		In progress: security features were included in the requirements of the new system and will be fully explored through implementation and set up.	Lindsay Sim

Covalent Ref.	Action	By When	Progress	Expected Outcome	Latest Note	Lead
	<ul style="list-style-type: none"> No regular review of system users to ensure that access permissions are appropriate and leavers have been deactivated, No time limit set on user inactivity prior to deactivation (51% of users have not logged on since May 2014), No password rules set up on the system, Audit logs are not being used to monitor system usage. <p><u>Action:</u> These are issues that will be taken into consideration when procuring and configuring new financial system.</p>					
IAF GLA 002b	<p><u>Audit Finding:</u> Weaknesses were identified in relation to user access controls and audit logs:</p> <ul style="list-style-type: none"> Leavers are not being routinely deactivated, No regular review of system users to ensure that access permissions are appropriate and leavers have been deactivated, No time limit set on user inactivity prior to deactivation (51% of users have not logged on since May 2014), No password rules set up on the system, Audit logs are not being used to monitor system usage. <p><u>Action:</u> In relation to existing ledger systems a review will be undertaken on user access controls to strengthen arrangements</p>	30-Sep-2015	0%		A review of users that have been inactive for a significant length of time has been carried out and these users access has been deactivated.	Lindsay Sim
IAF GLA 003	<p><u>Audit Finding:</u> Contract monitoring arrangements of the current financial system are not being appropriately evidenced.</p> <p><u>Action:</u> More formalised contract monitoring arrangements will be put in place for the remainder of the contract period.</p>	30-Sep-2015	0%		Performance in terms of response time to queries is being monitored along with any charges received.	Lindsay Sim

Health and Safety

Covalent Ref.	Action	By When	Progress	Expected Outcome	Latest Note	Lead
IAF HSA 009	<p><u>Audit Finding:</u> A small but significant number of questionnaires were not returned or did not have full information included.</p> <p><u>Action:</u> H&S team will undertake visits in these areas over the coming year to ensure that arrangements meet expected standards.</p>	30-Sep-2015	<div style="width: 90%;"><div style="width: 90%;"></div></div> 90%		Follow up visits have been arranged and will be carried out in coming months. Visits have now been carried out at ABC Nursery on 19 February 2015 and Deerpark Primary School on 24 February 2015.	Sarah Robertson

Income Collection and Cash Receipting

Covalent Ref.	Action	By When	Progress	Expected Outcome	Latest Note	Lead
IAF ICC 002	<p><u>Audit Finding:</u> Responsibility for co-ordinating service reviews of income will be incorporated into the Accounting Team role of overseeing corporate funding.</p> <p><u>Action:</u> This responsibility should be formally documented to provide clarity around roles and responsibilities.</p>	31-May-2015	<div style="width: 70%;"><div style="width: 70%;"></div></div> 70%		The Charges Register has been updated for 2014/15 as part of the budget process. The Management and Corporate Team Leaders will discuss how to take this forward as part of the review of corporate funding and are looking to have an indicative plan in place for 30 April 2015. This has been included as an MCB proposal and a Business Case is currently being drafted detailing the proposals to take this forward. Depending on the outcome of the business case it is expected that the action to be complete by 31-Mar-2016	Ashley MacGregor
IAF ICC 007	<p><u>Audit Finding:</u> The following procedural Guidance to be reviewed and updated to ensure that it adequately reflects current roles and responsibilities and is aligned to relevant Corporate Policies: - Section 11, of the Council's 2008 Financial Regulations; - Rent arrears procedures; - Former tenant rent arrears procedures; - Recovery of Housing Benefit overpayments; - Rental Income procedural guidance.</p> <p><u>Action:</u></p>	31-May-2015	<div style="width: 80%;"><div style="width: 80%;"></div></div> 80%		This is being addressed currently as part of the review of Financial Regulations with procedures to be produced. The procedural guidance has been reviewed by the Revenues and Payment Manager and Chief Accountant and issued to the Director of Finance to approve along with the new Financial Regulations. The acting Chief Accountant is now reviewing this action. action to be complete by 31-Oct-2015	Lindsay Sim


Information Governance

Covalent Ref.	Action	By When	Progress	Expected Outcome	Latest Note	Lead
IAF IGA 001	<p><u>Audit Finding:</u> Clacks Council does not meet the requirements of the Public Records (Scotland) Act 2011.</p> <p><u>Action:</u> An updated Records Management Project specification to develop appropriate actions to address required issues to enable compliance will be prepared. Project management resources will be identified and arrangements will be put in place to progress initiative.</p>	30-Sep-2015	50%		A working group has been established led by Head of R&G. Project is on tract to submit a Records management Plan to R&A in December. Action to be complete by 31st-Dec-2015	Stephen Coulter
IAF IGA 002	<p><u>Audit Finding:</u> Not all Council Services have designated officers with responsibility for : - Data Protection, - FOI, - Records Management, - Document Retention.</p> <p><u>Action:</u> These roles within Council Services will be reviewed with appropriate action taken to address gaps where identified. Resources within services will be evaluated as part of the project scope detailed in 6.1 above to progress the work required and to identify where designated posts could be created.</p>	31-Dec-2015	0%		A working group has been established led by Head of R&G. Project is on tract to submit a Records management Plan to R&A in December. Action to be complete by 31st-Dec-2015 . A MCB tranche 1 business case has been prepared to address the longer term issues of implementation that will arise from the completed RMP.	Stephen Coulter
IAF IGA 003	<p><u>Audit Finding:</u> There are still a significant number of physical files being stored in various Council buildings including Lime Tree House and Alloa Town Hall.</p> <p><u>Action:</u> Services will be reminded that the official record should now be held on electronic medium. Consideration is being given to identifying an appropriate archive store.</p>	30-Sep-2015	0%		A working group has been established led by Head of R&G. Project is on tract to submit a Records management Plan. A MCB tranche 1 business case has been prepared to address the longer term issues of implementation that will arise from the completed RMP.	Stephen Coulter
IAF IGA 004	<p><u>Audit Finding:</u> No log or register is maintained of documents / files that are deposited or</p>	31-Dec-2015	0%		A working group has been established led by Head of R&G. Project is on tract to submit a Records management Plan. A	Stephen Coulter

Covalent Ref.	Action	By When	Progress	Expected Outcome	Latest Note	Lead
	removed from storage areas. <u>Action:</u> Logging and access arrangements will be considered as part of the Records Management Project.				MCB tranche 1 business case has been prepared to address the longer term issues of implementation that will arise from the completed RMP.	
IAF IGA 005	<u>Audit Finding:</u> Some Services have developed their own processes and guidance for the management of documents and records within their own service. <u>Action:</u> Locally developed processes and practices will be reviewed as part of the Records Management Project, to assess where they could be developed and shared across the Council.	31-Dec-2015	0%		A working group has been established led by Head of R&G. Project is on tract to submit a Records management Plan. A MCB tranche 1 business case has been prepared to address the longer term issues of implementation that will arise from the completed RMP.	Stephen Coulter
IAF IGA 007	<u>Audit Finding:</u> Only a small number of Council Services have data sharing protocols with 3rd party (non-public sector) partnership organisations. <u>Action:</u> The Policy Development Phase of the Records Management Project will include a review of data sharing arrangements and requirements.	31-Mar-2016	0%		A working group has been established led by Head of R&G. Project is on tract to submit a Records management Plan. A MCB tranche 1 business case has been prepared to address the longer term issues of implementation that will arise from the completed RMP.	Stephen Coulter
IAF IGA 008	<u>Audit Finding:</u> Where the Council has external data sharing protocols in place, these are not subject to periodic review. <u>Action:</u> The Policy Development Phase of the Records Management Project will include a review of data sharing arrangements and requirements. Council Management Team (CMT) to be responsible for compliance.	31-Mar-2016	0%		A working group has been established led by Head of R&G. Project is on tract to submit a Records management Plan. A MCB tranche 1 business case has been prepared to address the longer term issues of implementation that will arise from the completed RMP.	Stephen Coulter
IAF IGA 009	<u>Audit Finding:</u> Few Council Services maintain registers of the physical files they hold. <u>Action:</u> Locally developed processes and practices will be reviewed as part of the Records Management Project, to assess	31-Mar-2016	0%		A working group has been established led by Head of R&G. Project is on tract to submit a Records management Plan. A MCB tranche 1 business case has been prepared to address the longer term issues of implementation that will arise from the completed RMP.	Stephen Coulter

Covalent Ref.	Action	By When	Progress	Expected Outcome	Latest Note	Lead
	where they could be developed and shared across the Council. Council Management Team (CMT) to be responsible for compliance.					

Payroll and HR

Covalent Ref.	Action	By When	Progress	Expected Outcome	Latest Note	Lead
IAF PHR 003	<p><u>Audit Finding:</u> Controls in place to ensure that authorised additions, amendments and changes to the establishment are not reflected in published guidance.</p> <p><u>Action:</u> Financial Regulations to be updated and presented to Resources and Audit Committee by the end of this year.</p>	31-May-2015	<div style="border: 1px solid black; width: 100px; height: 15px; background-color: #4f81bd; color: white; text-align: center; padding: 2px;">80%</div>		This is being addressed currently as part of the review of Financial Regulations with procedures to be produced. The acting Chief Accountant is now reviewing this action. The action will be completed by 31st-Mar-2016 .	Lindsay Sim

Procurement - Purchase Cards



Covalent Ref.	Action	By When	Progress	Expected Outcome	Latest Note	Lead
IAF PPC 001	<p><u>Audit Finding:</u> Financial Regulations and the Purchase Card Policy and Procedures Guide contain contradictory guidance and may not fit with corporate objectives relating to their use.</p> <p><u>Action:</u> Policy and Procedures guide will be reviewed using examples identified during audit and will be circulated around card users.</p>	31-Dec-2015	<div style="border: 1px solid black; width: 100px; height: 15px; background-color: #ccc; text-align: center; padding: 2px;">0%</div>		This will be addressed as part of the review of Financial Regulations with procedures. The action will be completed by 31st-Mar-2016 .	Derek Barr
IAF PPC 002a	<p><u>Audit Finding:</u> Testing identified a number of non-conformances with Regulations and Procedures.</p>	31-Dec-2015	<div style="border: 1px solid black; width: 100px; height: 15px; background-color: #ccc; text-align: center; padding: 2px;">0%</div>		This has been undertaken and we are awaiting return of signed or emailed acknowledgment	Derek Barr






Covalent Ref.	Action	By When	Progress	Expected Outcome	Latest Note	Lead
	<u>Action:</u> Policy and Procedures guide will be circulated around card users. Users will be required to sign acknowledgement of updated guidelines. Awareness sessions on the new policies may be provided if demand is there.					
IAF PPC 002b	<u>Audit Finding:</u> Testing identified a number of non-conformances with Regulations and Procedures. <u>Action:</u> Services need to take responsibility for ensuring that policy and procedures are being consistently and properly applied.	31-Dec-2015	<input type="text" value="0%"/>		This has been undertaken and we are awaiting return of signed or emailed acknowledgment	Derek Barr
IAF PPC 003a	<u>Audit Finding:</u> Authorised signatory levels are not always in line with card limits, e.g card limits can be higher than approved signatory limits. <u>Action:</u> A review of authorised signatories has already been planned and this will include comparing to any relevant card limits.	31-Dec-2015	<input type="text" value="0%"/>		This is complete. no cardholders have levels above their authorised signatory level	Derek Barr
IAF PPC 003b	<u>Audit Finding:</u> Authorised signatory levels are not always in line with card limits, e.g card limits can be higher than approved signatory limits. <u>Action:</u> Specific instances identified during audit will be sent a new authorised signatory application in the first instance.	31-Aug-2015	<input type="text" value="0%"/>		This is complete. no cardholders have levels above their authorised signatory level	Derek Barr
IAF PPC 004a	<u>Audit Finding:</u> Purchase cards are being used to buy supermarket gift cards, which is in effect a cash withdrawal. <u>Action:</u> Specific instances identified will be drawn to relevant cardholders attention. Awareness sessions mentioned above will also highlight that cards should not be used in this manner.	31-Oct-2015	<input type="text" value="0%"/>		Policy and Procedures guide has been circulated around card users. Users are required to sign acknowledgement of updated guidelines. Merchant categories will be enforced and we are awaiting submissions from all card holders to identify what Merchant categories are required for their function and location. High School Home economic departments will be using class cuisine to purchase their requirements directly	Derek Barr


Covalent Ref.	Action	By When	Progress	Expected Outcome	Latest Note	Lead
IAF PPC 004b	<p><u>Audit Finding:</u> Purchase cards are being used to buy supermarket gift cards, which is in effect a cash withdrawal.</p> <p><u>Action:</u> Services need to take responsibility for ensuring that policy and procedures are being properly applied.</p>	31-Oct-2015	0%		<p>Policy and Procedures guide has been circulated around card users. Users are required to sign acknowledgement of updated guidelines.</p> <p>Merchant categories will be enforced and we are awaiting submissions from all card holders to identify what Merchant categories are required for their function and location.</p> <p>High School Home economic departments will be using class cuisine to purchase their requirements directly</p>	Derek Barr
IAF PPC 005	<p><u>Audit Finding:</u> Both Property Contracts and Catering are procuring stock from suppliers where there is no contract in place.</p> <p><u>Action:</u> Services will undertake procurement exercises to put contracts in place. Where possible use of pre existing national contracts will be used.</p>	31-Oct-2015	0%		<p>Head of R&G to follow up with relevant service managers to ensure action is on track</p>	Diane MacKenzie; Jeanette Pearcy
IAF PPC 006a	<p><u>Audit Finding:</u> Supermarket purchases are not being market tested.</p> <p><u>Action:</u> Specific instances identified will be drawn to relevant cardholders attention. Awareness sessions mentioned above will also highlight that cards should not be used in this manner.</p>	31-Oct-2015	0%		<p>Merchant categories will be enforced and we are awaiting submissions from all card holders to identify what Merchant categories are required for their function and location.</p> <p>High School Home economic departments will be using class cuisine to purchase their requirements directly</p>	Derek Barr
IAF PPC 006b	<p><u>Audit Finding:</u> Supermarket purchases are not being market tested.</p> <p><u>Action:</u> Services need to take responsibility for ensuring that policy and procedures are being properly applied.</p>	31-Oct-2015	0%		<p>Policy and Procedures guide has been circulated around card users. Users are required to sign acknowledgement of updated guidelines.</p> <p>Merchant categories will be enforced and we are awaiting submissions from all card holders to identify what Merchant categories are required for their function and location.</p> <p>High School Home economic departments will be using class cuisine to purchase their requirements directly</p>	Derek Barr

Covalent Ref.	Action	By When	Progress	Expected Outcome	Latest Note	Lead
IAF PPC 007	<p><u>Audit Finding:</u> Purchases are being made through PayPal. The Scottish Government do not allow purchase cards to be used in connection with transactions made through Intermediary payment agencies such as PayPal.</p> <p><u>Action:</u> This will be considered in review of Policy and Procedures.</p>	31-Dec-2015	0%		This will be considered in review of Policy and Procedures.	Derek Barr
IAF PPC 008	<p><u>Audit Finding:</u> Purchase card documentation was not all properly scanned in to IDOX. Services do not scan in the purchase card documents creating pressures within the Income Team. Catering, Cleaning and Property Contracts do not comply with corporate requirements in relation to storing documents.</p> <p><u>Action:</u> Services need to take responsibility for ensuring that policy and procedures are being properly applied.</p>	31-Dec-2015	0%		Head of R&G to follow up with relevant service managers to ensure action is on track	Diane MacKenzie; Jeanette Pearcy


Savings & Efficiencies - Overtime

Covalent Ref.	Action	By When	Progress	Expected Outcome	Latest Note	Lead
IAF SEO 003	<p><u>Audit Finding:</u> Overtime is being miscoded to the financial ledgers.</p> <p><u>Action:</u> Overtime will be properly defined and this and procedures for correctly coding overtime will be included in documented procedures.</p>	30-Jun-2014	80%		Overtime protocol has been agreed by CMT and to be circulated to the SMF and Trade Unions. Head if R&G has reviewed draft and re-circulated to CMT and TUs for comment and agreement Action to be completed by 30-Sep-2015	Stephen Coulter
IAF SEO 004a	<p><u>Audit Finding:</u> Not all documentation used to record and approve overtime has appropriate</p>	30-Jun-2014	80%		Overtime protocol has been agreed by CMT and to be circulated to the SMF and Trade Unions. Head if R&G has reviewed draft	Stephen Coulter

Covalent Ref.	Action	By When	Progress	Expected Outcome	Latest Note	Lead
	evidence of authorisation. <u>Action:</u> Guidance will highlight need to ensure appropriate authorisation is in place.				and re-circulated to CMT and TUs for comment and agreement Action to be completed by 30-Sep-2015	
IAF SEO 004b	<u>Audit Finding:</u> Not all documentation used to record and approve overtime has appropriate evidence of authorisation. <u>Action:</u> iTrent is being developed so that authorisation will become an electronic process so that authorisation will be built into the process and be fully auditable.	31-Jul-2015	<div style="width: 80%;"><div style="background-color: #4f81bd; height: 10px; width: 100%;"></div></div> 80%		The iTrent team will begin to focus on this area of the system. Work has been taken up of late with LGPS and SPPA returns together with implementing the new CARE Schemes for both LGPS and SPPA. This has resulted in the programmed worked being delayed.. In the interim Heads of Service will be reminded of requirement to ensure overtime is recorded on appropriate documentation. Actions to be completed by 31-Oct-2015	Chris Alliston
IAF SEO 005b	<u>Audit Finding:</u> Approvers are not always authorised signatories. <u>Action:</u> Once authorisation is carried out through iTrent, approvers can be cross checked to authorised signatory database on a regular basis to ensure ongoing compliance.	31-Jul-2015	<div style="width: 80%;"><div style="background-color: #4f81bd; height: 10px; width: 100%;"></div></div> 80%		The iTrent team will begin to focus on this area of the system. Work has been taken up of late with LGPS and SPPA returns together with implementing the new CARE Schemes for both LGPS and SPPA. In the interim Heads of Service will be reminded of requirement to ensure overtime is authorised by the relevant signatories. Actions to be completed by 31-Oct-2015	Chris Alliston
IAF SEO 006a	<u>Audit Finding:</u> There is limited evidence that reasons for use of overtime have been challenged at a corporate level. <u>Action:</u> Overtime detail will be included in existing iTrent reports provided to CMT. Detail will then be subject to review and challenge at CMT meetings to ensure that principles are being adhered to and applied.	30-Jun-2014	<div style="width: 80%;"><div style="background-color: #4f81bd; height: 10px; width: 100%;"></div></div> 80%		New overtime protocols have been considered by CMT. These overtime protocols have also been considered by TUs. This will ensure that challenge is built into the process and requirement for approval of overtime prior to it being actioned. CMT are routinely reviewing overtime and scrutinising the reasons for it. Action to be completed by 30-Sep-2015	Stephen Coulter
IAF SEO 006b	<u>Audit Finding:</u> There is limited evidence that reasons for use of overtime have been challenged at a corporate level. <u>Action:</u> All staff will be made aware that monitoring is taking place and that they may be subject to challenge.	30-Jun-2014	<div style="width: 80%;"><div style="background-color: #4f81bd; height: 10px; width: 100%;"></div></div> 80%		New overtime protocols have been considered by CMT. These overtime protocols have also been considered by TUs. This will ensure that challenge is built into the process and requirement for approval of overtime prior to it being actioned. CMT are routinely reviewing overtime and scrutinising the reasons for it. Action to be completed by 30-Sep-2015	Stephen Coulter
IAF SEO 007a	<u>Audit Finding:</u> There are no documented corporate overtime procedures in place.	30-Jun-2014	<div style="width: 80%;"><div style="background-color: #4f81bd; height: 10px; width: 100%;"></div></div> 80%		New overtime protocols have been considered by CMT. These overtime protocols have also been considered by TUs. This will ensure that challenge is built into the process and requirement	Stephen Coulter

Covalent Ref.	Action	By When	Progress	Expected Outcome	Latest Note	Lead
	<u>Action</u> : Procedures and principles will be documented and made available to all staff.				for approval of overtime prior to it being actioned. CMT are routinely reviewing overtime and scrutinising the reasons for it. Action to be completed by 30-Sep-2015	
IAF SEO 007b	<u>Audit Finding</u> : There are no documented corporate overtime procedures in place. <u>Action</u> : CMT will endorse and monitor adherence to procedures.	30-Jun-2014	<div style="width: 80%;"><div style="width: 80%; background-color: #4f81bd; color: white; text-align: center;">80%</div></div>		New overtime protocols have been considered by CMT. These overtime protocols have also been considered by TUs. This will ensure that challenge is built into the process and requirement for approval of overtime prior to it being actioned. CMT are routinely reviewing overtime and scrutinising the reasons for it. Action to be completed by 30-Sep-2015	Stephen Coulter

Treasury Management

Covalent Ref.	Action	By When	Progress	Expected Outcome	Latest Note	Lead
IAF TMA 001	<u>Audit Finding</u> : Current Treasury policies and procedures are not consolidated into a Treasury Management Manual. <u>Action</u> : Electronic Manual to be created and documents pulled together in one place.	31-Mar-2015	<div style="width: 90%;"><div style="width: 90%; background-color: #4f81bd; color: white; text-align: center;">90%</div></div>		Creation of the Electronic Manual is in progress. Action to be completed by 31-Mar-2016	Lindsay Sim

Resource & Governance Services Budget v Outturn

APPENDIX B

Underspends in Accountancy, IT and Governance due to vacancies from employees leaving, VS, staff reducing hours and maternity leave. Staff in HR and Payroll continue on temp acting up or temp contracts for implementation of new Itrent system which are expected to end on 30th Sept. Continued costs of Occupational Health contract, CBT, Physio following Maximising Attendance at Work policy, and Disclosures (migrating staff to new scheme). Central IT continues to be monitored to reduce the overspend from 14/15, looking for savings particularly on telephones and mobiles. Support Services outturn projecting a total underspend of c£223k.

Assets outturn currently projecting an underspend of c£187k. The main contributors to this being payroll savings through vacant posts and overtime reductions and saving in Gas, Electricity & Water costs.

	Budget 15-16 £'000	Outturn 15-16 £'000	Variance 15-16 £'000
RESOURCE & GOVERNANCE	23,731	23,321	(410)
Depute Chief Exec			
Depute Chief Exec	119	120	0
Accountancy			
Audit fee assumed the same amount as 14/15 - underspend on budget			(16)
Staffing underspends due to OLP income for 5 months, Chief Accountant post vacant for 3 months, Accountancy Assistant left mid July and vacant until Sept, other vacancies covered by agency staff			(50)
Underspends in supplies and services			(5)
Staffing underspends due to staff changes, Chief Accountant post vacant for 3 months, Accountancy Assistant post vacant for 6 weeks, Accountant left through VS, some vacancies covered by agency staff. Audit fee assumed at same cost as 14/15	1,398	1,327	(71)
Head of Support Services			
Head of Support Services	93	92	(1)
IT			
Staffing underspends due to staffing with full time budgets only working part time, long term sick leave, vacant trainee post and employee left through VS			(53)
Holiday buy back 2 employees			(2)
Underspend on GIS contract. Agreed contract included reduced costs each year of the contract. Due to end this year, looking at other way of providing the service.			(18)
Other Income: Costs incurred through the moves to Kilncraigs. Year end income accrual for Scott Sheridan £64.7k (prepayment), debtor invoice not raised until 2015-16 but advised payment unlikely to be received, pursuing of debtor will continue but it is unlikely to recover this cost (ceased trading).			65
Spend for Briskona project was incurred 13/14 and funding was due to offset this income. The income was never received and never expected after this time so the cost was offset with underspends in 13/14. However, Briskona now realised they had the funds remaining to fund this project and therefore sent funding to us this year.			(23)
Central IT is projected on budget. Last year was overspend, but with a full list of transactions and work being carried out to reduce telephone and mobile costs, it is assumed this will be on budget, if not less than budget.			0
Staffing underspends due to part time staff with full time budgets, long term sick leave and a vacant trainee post. GIS contract further reduced for 15/16 as per agreed contract, looking at different ways of providing this service as contract comes to an end. Creditor being pursued for charges relating to Kilncraigs move equipment. Central IT projected on budget, budget was overspent in 14/15, but work being carried out to reduce telephone and mobile costs which will reduce the spend.	2,282	2,252	(31)

Governance

Governance Manager post vacant			(51)
Solicitor vacancies x 2 filled part year			(37)
HR staff on reduced hours, seconded to Corp Parenting and Itrent Project team, mat leave cover and VS			(82)
Vacancy management in Health & Safety team when employee left			(5)
Job evaluation - temp staff due to finish at end of Sept			(30)
Democracy team pension underspend			(4)
Audit & Fraud staff on reduced hours			(7)
Payroll and Itrent overspend due to additional staff to integrate new system			66
Holiday Buy Back Scheme (4 employees)			(2)
Overspend on payments to contractors due to contract with Working on Wellbeing (SERCO). New agreement from 1st April 2013 with increased costs for occupational health. Employee physiotherapy referrals increases cost but better service which has resulted in employees returning to work quicker. Costs for CBT (cognitive behavioural therapy) are as required. Demand for this is high and costs are higher than expected, but this is assisting the Maximising Attendance & Employee Wellbeing Policy. Also overspend on Disclosure costs, due to migration of all staff to the new PVG scheme.			40
Procurement Barclaycard Rebate			(2)
Audit & Fraud income for Admin Penalties			(7)
Supplies and Services			1

Staffing vacancies throughout Governance, including Governance Manager, 2 vacant solicitor posts being filled mid way through the year, staff in HR on reduced hours and maternity leave, 1 employee seconded to Corporate Parenting. Overspends in Payroll and Itrent Project Team due to temp contracts/temp acting up which are due to end 30th Sept. Continued overspends in Occupational Health contact, CBT, Physio following the maximising attendande at work policy. Discloures (migration of staff to new scheme).	1,740	1,620	(120)
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Property Costs:

Gas - Projections prepared in conjunction with Energy Officer & reflect anticipated full year cost.			(81)
Electricity - Projections prepared in conjunction with Energy Officer & reflect anticipated full year cost.			(110)
Water - Projections prepared in conjunction with Energy Officer & reflect anticipated full year cost.			(5)
			26
Rates- 2015-16 Budget insufficient to cover costs with additional costs being incurred for previously occupied areas at Kilncraigs.			
Insurance - current year premiums will be less than budget, projection based on prior year cost but anticipate actual being lower.			(19)
Equipment - underspend anticipated in FM Education with spend of £3k against budget of £16k, reflects prior years out-turns.			(13)
Professional Fees / Payments to contractors in FM Education - spend on Feasibility Studies. Main study being Tullibody Strategic Review being carried out by Hub East Central Scotland. Historically insufficient budget to cover costs incurred.			62
Miscellaneous, £4k projection reflects prior year costs, no budget.			4
FM Social Policy - £50k budget savings target arising from the exits from Central Store and Carsebridge. Advised won't exit Store until 2015-16 with only part year saving achievable at Carsebridge where notice to end rent has been given.			35
Other Income surplus of £5k relates to unbudgeted Bio Mass boiler income at Redwell Primary.			(5)
Underspend arising from projected savings in Gas, Electricity and Water with further underspends in Insurance and Equipment Purchase. These underspends are reduced by overspends in Professional Fees / Contractor costs incurred for ongoing strategic review	5,884	5,778	(106)

Schools PPP:

Currently projecting out-turn online with budget			0
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On line with budget	7,726	7,726	0
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Asset Management:

Salary savings arising from 4 vacant posts, two of which projected to be filled from Oct-15, two temporary staff currently in place projected to be continue for full year.			(19)
Staff Travel expenses underspend with projected cost in line with prior year.			(3)
Supplies & Services - overspends projected in Professional Fees (no budget) and Subscriptions with both projections in line with the prior year.			14
			106
Income - anticipated shortfall. £20k in rents receiveable, arising from the loss of income from Forth Valley Partnership at Kilncraigs re CCTV. Other Council accounts includes a budget of £28k which was removed in 2014-15 but incorrectly reinstated in 2015-16, this relates to staff cost recharges previously charged to HRA. Design Fee income shortfall currently projected at £57k, income shows year on year growth to £300k but insufficient to achieve budget.			
Underspend in payroll costs arising from staff vacancies being offset by projected shortfall in Rent and Design Fee income.	57	155	98

Property Maintenance Management:

Payroll overspend projected, with £11k being overtime costs at Kelliebank Support.			15
Staff Travelling Expenses, budget insufficient to cover expected costs.			2
Supplies & Services includes budget saving target of £18k re DE082. This appears to have been double counted with DE089 and will not be achieved.			19
£35k overspend arising from overspends in Overtime costs, staff travel and supplies and services.	365	401	36

Management Unit:

No significant variances to budget. Small saving projected in Head of Service - Computer Consumables, no spend in the previous 2 years.			(1)
On line with budget, small underspend arising in Computer Consumable costs.	366	365	(1)

Catering Contract:

Vacancy Savings due to efficiencies (including £7k overtime)			(35)
Underspend in Purchase of Equipment, projected spend in line with prior year.			(11)
Anticipated underspend on purchase of disposable containers.			(3)
Vend Fresh vending contract not renewed, no cost projected (no cost in prior year).			(6)
Anticipated savings in cost of food purchases through price negotiation and flexibility to take advantage of market offers.			(50)
Previously budgeted saving in Meals on Wheels for change of weekend service not achieved. Had previously been raised as a budget pressure.			24
Subscriptions projected at £3.4k in line with prior year, insufficient budget			2
Payments to Contractors projected at £5k, budget only £0.5k. Costs incurred for Loomis cash uplift/delivery service for Secondary schools and Pest Controil costs at CPU.			5
Projected shortfall in income mainly from School Meals. This will continue to be reviewed to establish the effect of price increases on meal volumes.			7
P1-P3 Free Meals Projected underspend. This will continue to be reviewed with meal volumes analysed.			(53)
Payroll underspends from staff efficiencies which additional underspends in Equipment, disposables, vending, food purchase and the cost of P1-3 fee meal provision. These are reduced by overspends in subscriptions, payments to contractors and school meals income.	1,289	1,169	(120)

Janitors:

At present an overall underspend of £31k projected in payroll costs.			
- Vacancies and relief costs			(19)
- Overtime savings			(24)

- Absence cover costs relating to long term sickness (will continue to review on monthly basis)			13
Planned purchase of Equipment, no budget (partly offset by saving in corresponding line in Property Costs).			18
Letting scheme income projected surplus over budget.			(3)
Projection broadly in line with budget with savings in staffing costs and income surplus being offset by planned equipment purchase.	400	385	(15)
Cleaning Contracts & Public Conveniences			
Cleaning staff payroll savings due to vacancies/ efficiencies, new structure being prepared with intention to implement Nov/Dec-15.			
Currently projecting c£17k payroll saving.			(17)
Public Conveniences payroll underspend due to efficiencies and overtime reduction.			(7)
A number of expenditure savings including Staff Travel £2k, Equipment maintenance £4k and Misc Expenditure of £4k increase projected underspend.			(10)
Income shortfall projected relating to Dollar Public Toilets £1.1k, Citizens Advice Bureau £0.6k, Alloa Fire Station £1.9k			4
Projected underspend relates to staffing efficiencies in both Cleaning and Public Conveniences with a number of further small savings anticipated in staff travel, equipment maintenance and misc expenditure. Underspends are reduced by some shortfalls in Other Income.	1,102	1,073	(29)
Leisure Services:			
Currently projecting £16k overspend at Firpark Ski Centre, more work required to be done to finalise split with Sports Development (Educ).			16
Gartmorn underspend due to closure			(43)
Projected underspend in Christmas Lights			(3)
Projected underspend in Activities & Events - delivery now passed to Alloa Town Hall BID			(8)
Total Leisure Services	749	711	(38)
Pavillions:			
Projected underpend in staffing			(3)
Projected underpend in overtime			(3)
Income surplus			(1)
Small underspend projected relating to saving in staffing costs and income surplus.	28	20	(8)
Security/Mail Room/Chauffeur:			
Overspend in staffing (relief staff)			3
Budget saving target of £8k in Mailroom/Chauffeur.			8
Income surplus due to secondment to Scottish Police.			(15)
Income surplus from Seconded post offsetting budget saving target shortfall.	133	129	(4)
RESOURCE & GOVERNANCE SERVICES TOTAL	23,731	23,321	(410)

MCB	Progress	Reference	Type of Saving Policy / Efficiency	Cost Centre	Description of Saving	Key Milestones /Commentary	Year 1 2015-16 £	Year 2 2016-17 £	Year 3 2017-18 £	Year 4 2018-19 £	Year 5 2019-20	Total Saving	Chief Officer Responsible	Budget Holder/ Operational Lead Officer	Projected Savings 2015-16	Plan to Achieve Savings (update monthly)
	Colour coded Red/Green/Amber	Set by Finance	E	To be entered	Description of saving to be detailed	Key dates for actions to achieve savings							Head of Service	Budget Holder etc		
3-BUAR	Green	RG004-PB1		Primary School FM 591010** 2240	Energy Efficiency	Plan of action for schools will be developed with Education and wider energy efficiency programme with Comms Team.	36,000					36,000	Stephen Coulter	Eileen Turnbull	36,000	Target for June to ensure all equipment is switched off for the Summer. Launch of an awareness campaign across all public buildings to be launched in August. Training for janitors and cleaners to ensure they can support staff who use each building. Raised
3-BUAR	Green	RG011-PB1			Insurance Fund Saving		250,000					250,000			250,000	Delivered. Currently being reallocated to services throughout the Council
4-MOS	Green	RG017-PB1			Stop Paper Transactions	Based on previous calculations cost was circa £7000 a year, given P60 do still require to be provided in paperformat and that there may be an element of the workforce that require paper format as they have no access then £5000 is a reasonable saving. Pilot project for online payslip continues and survey has gone out to staff involved for feedback. Work is ongoing to scope this as part of the wider digital stratgy. The stopping of paper transactions is one of the low hanging fruit. The risk with this saving is that a system needs to be developed to capture the savings especially where they sit in different budgets. Finance project will contribute to this as well.	5,000	5,000	5,000	5,000	5,000	25,000			5,000	Moving from paper to electronic payslips (with P60 still issued in paper format). Pilot project currently in place with a survey issued for staff involved for feedback. Work is ongoing on wider digital strategy, new finance system will contribute to thi
4-MOS	Green	RG018-PB1			Reconfigure Payroll Service in line with new system	Business Analysts are undertaking review of payroll processes so we should be able to attach a cost to current process if we can quantify time and look at how we can streamline and what savings are achieved.		35,000				35,000				
4-MOS	Green	RG020-PB1			Review of Structure IT (R&G)	A number of savings proposals were put forward from R&G teams assuming a de minimis position in regard to the service that could be offered. With the exception of Accountancy these savings are taken into year 2. Administration has asked for a more systematic review of support services through 15-16 to ensure the model fits the business need and is affordable. A new finance system and further refinements to Trent will streamline administrative processes freeing up staff time and wider policy decisions needs to be considered in regard to soft FM including service standards and hours of attendance. In 15-16 it will be possible to release some staff via VS to reduce overall staff costs. A review of procurement in particular the impact on value for money achieved through its activities will be taken forward as a matter of urgency		97,000				97,000				
3-BUAR	Amber	DE081	E	43014301 9445	Building Cleaning. Increase charges to external organisations, as charge does not reflect cost to deliver		1,500					1,500	Stephen Coulter	Eileen Turnbull		Limited opportunity to receive full savings. Requires an uplift of charges to other organisations.
4-MOS	Amber	DE082	P	40034050 5920	Janitors increasing service functions delivered by service. Review model of delivery to include cleaning, supervision of cleaners and handyperson duties.		18,000					18,000	Stephen Coulter	Eileen Turnbull		Review of contracts to be undertaken at the same time. Saving is a reduction in call out charges linked to maintenance budget. These savings are likely to have been double counted.
2-ISS	Green	DE083	E	44024403 5920	School Catering (Central Production Unit). Efficiency of current practice		20,000					20,000	Stephen Coulter	Eileen Turnbull	20,000	Good progress so far and likely to achieve full year saving.
	Amber	DE084		10141491 5920	Mailroom and Drivers. Review current practice		8,000					8,000	Stephen Coulter	Eileen Turnbull		Limited success in implementation full saving unlikely to be achieved in 15-16
3-BUAR	Green	DE089		59404060 5920	Wind & Water tight repairs only. Revenue budgets only spent of statutory and wind and water tight repairs for the next 2 years		100,000	100,000				200,000	Stephen Coulter	Eileen Turnbull	100,000	Good progress so far in the first two months and on target for the saving. This two year saving cannot be sustained without compromising the condition of the buildings long term.
2-ISS	Green	DE092	P		Building Cleaning. Review operating model from morning to evening clean only and looking at productivity of service in each location							-				The operational delivery is currently under review, the appointment of an area cleaning supervisor will enable the review of anti-social hours. Productivity levels will then be further assessed.
3-BUAR	Green	DE094		59404060 2310	The Council current spends around £300,00 in payment to external organisations to lease their property. The council would aim to exit from these leases over the next few years to achieve revenue efficiencies		10,000	30,000				40,000	Stephen Coulter	Eileen Turnbull	10,000	There is a programme to review all externally leased buildings used for operational purposes. Currently reviewing Carsbridge move from October this year.
3-BUAR	Amber	SS015		59303902 £40k 59303503 £10k	Criminal Justice Workshop, Equipment Store, Carsbridge House, Mill St, Millar Court		50,000					50,000	Stephen Coulter	Eileen Turnbull	15,000	£10k target Ward Street - won't exit Ward street until April-16, therefore saving will not be achieved in 2015-16. £40k target Carsbridge. Notice to exit served for end Oct-15. Will start to realise savings from that point, est
		Total Policy Savings										-				
		Total Efficiency Savings										-				

MCB	Progress	Reference	Type of Saving Policy / Efficiency	Cost Centre	Description of Saving	Key Milestones /Commentary	Year 1 2015-16 £	Year 2 2016-17 £	Year 3 2017-18 £	Year 4 2018-19 £	Year 5 2019-20	Total Saving	Chief Officer Responsible	Budget Holder/ Operational Lead Officer	Projected Savings 2015-16	Plan to Achieve Savings (update monthly)
		Total					498,500	267,000	5,000	5,000	5,000	780,500			436,000	