CLACKMANNANSHIRE COUNCIL

Report to: Scrutiny Committee

Date of Meeting: 18 August 2016

Subject: Resources & Governance Finance & Performance Annual Performance Report

Report by: Head of Resources & Governance

1.0 Purpose

1.1. This paper reports Resources & Governance annual performance for 2015 /16 and highlights service activity, achievements and performance.

1.2. The report includes financial performance with the aim of providing a complete overview of performance for the year.

2.0 Recommendations

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

3.0 Overview

3.1 This year has been the first full year of operation of Resources and Governance. The senior management team has been established although a number of positions have been filled on a temporary or acting up basis and there have been a number of other key roles that have been filled in this way. Staff involved and have performed extremely well under the circumstances.

3.2 R&G have played a full part in reducing staff resources and seeking ways to manage contraction in line with the Council's policies. A formal work force plan will be developed in 2016/17 but the Service has coped well in a year of uncertainty about future job roles and when staff, who have left on severance packages or through natural turnover, have not necessarily been replaced. At a strategic level the Service's senior management team have worked on streamlining process and introducing or fully exploiting ICT systems so that the focus is on work that adds value to Council services.

3.3 The continuing pressure on budgets has been felt across R&G and an ongoing emphasis on only committing expenditure on essential goods and services has been maintained. This is in addition to the more structured approaches to identifying efficiencies and savings that have been developed under MCB.

3.4 Governance and compliance challenges have emerged in other Council services which create spikes in demand on R&G staff and pressure points. Many of the policies in regard to governance, compliance and staff management need to be revised and implemented consistently across Council services which will be one of the key objectives of R&G in 2016/17.

4.0 **Cross-Cutting achievements**

4.1 New Finance System

The new finance system went live on 1st April 2016. Its successful implementation drew on resources from across R&G. The project provides an excellent example of the power of cross functional collaborative working. Internal Audit have provided substantial assurance about project management arrangements at each stage. Three staff have been seconded from finance to work with the contractor, Tech One, to design and deliver the financial ledger system. Two staff from IT were seconded to manage the project and they were supported by other IT staff to provide technical and administrative support such as single sign on and the set up of training rooms. Procurement resources have been used to design and implement procure to pay functionality. There has been a huge drain on business as usual resources particularly in Accountancy where staff turnover was already an issue. However the poor quality of financial information and the paper based processes required to support the old system meant that changes was essential. There is still work to be done to complete the roll out but R&G staff have worked superbly well with the consultants to deliver a leading edge, cloud based finance system in a remarkably short time frame and well within the initial budget.

4.2 VJB

R&G provide a professional advisory service to the Assessors/Central Scotland Valuation Joint Board. Staff from R&G have contributed considerable time in supporting the VJB across all of its corporate service functions. The range and scope of these services will be reviewed in 2016-17.

4.3 HSCI

R&G staff have been heavily involved in the establishment of the IJB, working closely with colleagues in Stirling and Forth Valley NHS.

4.4 Staff Development

Despite the tightening budget staff invested in their own personal development and opportunities were provided to young people as follows:

- Two Modern Apprentices were appointed, one in Janitorial Services and one in Class Cuisine.

- The Asset Service Manager was appointed as Depute Chair for East Central Scotland Hub representing Clackmannanshire on the Territory Partnership Board and the territory on the Executive Board.

- The Internal Audit Manager is currently Chair of the Scottish District of the Chartered Institute of Internal Auditors.

- Four HR staff successfully completed their level 2 qualification in CIPD (Intermediate) Human Resources.

- Staff training and certification in project management was undertaken successfully by all project coordinators.

- The soft FM Manager completed a 10 month secondment as the East of Scotland's Resilience Partnership Co-ordinator.

- All catering staff are trained and hold certificates in REHIS food hygiene and Class Cuisine successfully received reaccreditation for its certification through BSI in December 2015.

- Security awareness training for all mail staff has been implemented

For the first time PRD completion was robustly monitored and stringent efforts have been made by managers to ensure that all staff, including those in catering and cleaning, receive an annual review.

4.5 Business Continuity and H&S

Business Continuity Plans have been developed for all individual services. H&S risk assessments for Kilncraigs based staff were reviewed and all relevant risk assessments for catering and cleaning, 92 in total, were revised as were all 167 COSHH assessments because of the change in supplier.

4.6 Making Clackmannanshire Better

A large range of business cases were prepared in addition to business modelling proposals to support the Council's Making Clackmannanshire Better programme. Because of PPP around a third of R&G's revenue budget is unaddressable meaning that the service had to dig deep to deliver 10 and 15% savings proposals. However the key proposal is the restructuring of R&G itself which has begun and will provide a greater focus on the core services that R&G should be providing, to whom and how.

4.7 Information Management

A Records Management Plan compliant with the requirements of the Keeper of the Records of Scotland was developed by a cross service team and presented to R&A for approval in December. This was a task that had been outstanding for a number of years. The Plan itself ensures compliance with the Public Records (Scotland) Act although its implementation is vital to ensure compliance with the Data Protection Act.

5.0 Team Achievements

5.1 HR and Payroll

A number of policies related to organisational change, severance and redeployment were agreed by Council. These policies a support the interim workforce strategy 2015/16. Work is currently underway in relation to Targeted Voluntary Redundancy and Voluntary Severance.

A number of staff changes took place that resulted in staff savings. Following the decision on shared services Education and Social Services responsibilities have been reconfigured.

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HR worked closely with Trade Union colleagues on policy reviews. CMT have recently agreed the formation of a policy group which will streamline consultative processes to ensure policies are agreed and implemented efficiently.

iTrent systems development work included implementation of e-payslips, online claims for mileage and expenses, delivery of the new CARE Scheme for LPGS and SPPA. Work has begun on the H&S module, the Learning events and Performance Management modules and refining Management Reporting.

5.2   Accountancy

The team have been heavily involved in supporting the Council through its 2016/17 budget process, assisting services in the identification of savings and providing financial advice on Business Cases for MCB projects.

A project to switch banking supplier also took place. As well as yielding financial efficiencies the new supplier, RBS, has introduced streamlined technology and reporting which is enabling a number of process improvements.

5.3   ICT

All building to building links have been upgraded provided significantly faster access to the council network and the internet. Available bandwidth for schools has increased significantly. A number of complex upgrades were carried out to major systems. Many of these are largely invisible to the end user, but are important in removing old expensive systems and interdependencies from the Council infrastructure which will in turn improve system availability and stability.

All teachers and students have been successfully migrated from in-house systems to GLOW. A large number of iPads have been purchased and deployed across the three secondary schools. Systems were designed and implemented to provide secure email in support of the Named Person Service.

The corporate document management system (IDOX) was upgraded to a modern version adding new functionality which allows service functions such as E-Planning to be delivered as well as enabling functions required to comply with Records Management legislation.

Annual PSN compliance certificate was achieved, providing assurance of the security of council systems and networks. This is an ongoing requirement for continued access to Government systems and ensures that all council systems and computers meet rigorous security standards.

A review of Disaster Recovery and Business Continuity was undertaken and an Improvement Plan developed. A number of tests were undertaken during the year with the ICT environment successfully surviving a power outage with no interruption to service due to the provision of generator power. In the event of a power outage, the ICT server room and a significant proportion of the 1904 building will continue to operate. A new system was implemented which reduces the time taken to back up the data stored in Council systems.

This enables systems to be available for a longer period and will ensure that systems can be restored quickly.

A new virtual server environment was built that has reduced energy consumption by £10k and the time required to build servers and for server maintenance.

5.4 <u>Assets</u>

5.4.1 Property Maintenance

Property maintenance delivered maintenance savings of £100,000 and energy savings in excess of £300,000. Fire safety improvements and electrical compliance checks were delivered and a robust programme of cyclical maintenance is being worked on.

The Council policy of wind and watertight repairs only continued. Requests for other types of repair have been managed on a priority basis. A more robust tracking system for recording and monitoring repairs is being developed with IT.

5.4.2 Soft FM

A Cleaning Supervisor was appointed in August 2015. New management processes have been initiated leading to savings of £50k through efficient and effective management of staff and best use of a new cleaning products contract.

5.4.3 Catering

Savings of over £400k were realised due to efficiencies in staff management, increases in primary school income, primary 1-3 free meals grants, and better procurement and management of disposables. Negotiations with suppliers, careful menu planning and staff training on food waste has also proved very successful in keeping expenditure at or below budget.

Work was progressed on the Better Eating Better Learning (BEBL) initiative within schools and a number of them have ensured that BEBL is embedded during their Health Weeks. Staff have attended parents' evenings providing tasting of the menu items and discussing parental concerns.

A review of Meals on Wheels concluded that Class Cuisine should focus on school meal production only and an external supplier should be used for the MOW service resulting in a saving of approximately £40k.

5.4.4. Contract Monitoring

PPP

Monthly workshops with the Contractor and independent consultants were held to resolve historic disputes relating to contractual terms and procedures. The workshops have generally confirmed the Council's position. A reduction in contractual disputes should follow and lead to an improved relationship.

Alloa Leisure Bowl

A proactive working partnership has been formed enabling many classes to be initiated at the Leisure Bowl. Overall the number of visits by members of the public has increased by 4% with dry-side activity increasing by over 11%. A 37% reduction in school swimming has contributed to a 12% reduction in wet-side activities.

5.4.5 Quantity Surveying/Procurement

Preparatory QS and procurement work has successfully enabled the commissioning of a variety of capital and revenue projects from the Lych Gate Memorial to new housing at Fairfield.

Estimating and costing projects from feasibility through to business case has been undertaken for 8 projects with larger projects such as Tullibody South being externally costed.

5.4.6 Asset Project Management

The most notable projects pursued have been the reconfiguration and alteration of nurseries to ensure that 600 hours nursery provision is available for every child, the conversion of Marshill House for use by Integrated Mental Health and, Sauchie Main Street improvements.

Considerable technical support has been given to Locality Hubs and in particular Tullibody South. External consultants were appointed to undertake investigative surveys and develop desk top concept proposals.

5.4.7 Compliance

Review of Freepost service for mail room reducing from 15 accounts to 2 provided savings in excess of £5k per annum. Bulk purchase of new Freepost envelopes for distribution to services across the Council and centralised mail room collection has also been initiated.

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5.4.8 Data management

The central portal for Clackmannanshire Council's property asset information was improved resulting in more efficient use of time for staff requiring access to plans and drawings.

5.5 Internal Audit and Fraud

Of the 19 audits planned, all have been completed, with 14 final and 5 draft reports issued to management.

Responsibility for investigating housing benefit fraud was transferred to the Department for Work and Pensions. Up to this point the team had received 36 referrals for 2015/16 with over 23 investigations that identified over £31k of overpayments with 6 sanctions issued. Twelve live cases have been transferred to DWP.

5.6 Procurement

UK and Scottish legislative changes together with three new EU directives were introduced that placed new responsibilities and duties on the Council which required procurement guidance to be revised.

A detailed report on procurement activity was tabled at the R&A in February

Contract Awards

	April 15 - April 16
Low Value Awards - Below OJEU	49
Value £	£22,536,087
OJEU Awards	4
Value £	£5,264,642

5.7   Legal

Legal services have maintained a complement of 5 staff to provide a number of diverse legal services. Pressure on the service has come from a large volume of commercial property transactions and council house sales along with complex social work cases. This is in addition to the demands on the Legal Services Manager in his role as monitoring officer and the time taken for legal officers to discharge their role as committee clerks. The viability of the service given its current number of legally qualified staff will be evaluated as part of R&G restructuring.

During the year a complex child protection case which was heard in teh Court of Session was substantially completed.

5.8   Health and Safety

There has been a notable increase in demand for central support due to an increase in the number of serious incidents and a growing awareness amongst managers at all levels of the importance of having robust risk assessments in place and ensuring that staff comply with H&S procedures.

The statutory health surveillance programme has been overhauled in order to ensure it meets the H&S Executive's requirements.

The H&S Management system has been bolstered by 2 new policies. A H&S handbook was also compiled to help managers understand their H&S responsibilities. Attendance at Senior Management meetings and the commencement of annual reporting have also improved the level of H&S awareness.

Following a HSE Inspection relating to Hand Arm Vibration Syndrome the H&S team worked with the D&E to achieve full compliance with a 3 month statutory Improvement Notice.

5.9   Democracy

The UK Parliamentary General Election for the Ochil and South Perthshire Constituency were successfully delivered.

Preparations were made for the delivery of the Scottish Parliament Elections, EU Referendum and Local Government Elections in 2017, including taking forward any lessons learned from previous election events.

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.

FOI's 2015/16

Service	FOIs/EIRs received	Reviews	Appeals to Scottish Information Commissioner
Development & Environment	243	2	0
Education	117	1	0
Housing & Community	186	2	1
Resources & Governance	248	4	0
Social Services	130	1	0
Strategy & Customer Services	32	1	0
Totals	956	11	1

6.0   Governance Improvement Action Plan Update

In all quarterly performance report updates on the annual governance improvement plan was provided. An annual report was also provided on progress to the R&A Committee in May.

7.0   Financial Performance

7.1   The table outlines the financial position as at year end, comparing the projected expenditure for this period with the profiled budgeted expenditure. An analysis of variances in respect of each service area is attached in the **Appendix B** to this report.

	Budget 15-16 '000	Outturn 15-16 '000	Variance 15-16 '000
Accountancy	£1,399	£1,234	£165
Head of Resource & Governance	£96	£94	£2
IT	£2,287	£2,143	£144
Governance	£1,742	£1,658	£84
Property Costs	£5,777	£5,429	£348
Schools PPP	£7,726	£7,718	£8
Asset Management:	£94	£142	-£48
Property Maintenance	£363	£384	-£21

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Management			
Management Unit	£251	£224	£27
Catering Contract	£1,291	£818	£473
Janitors:	£415	£398	£17
Cleaning Contracts & Public Conveniences	£1,096	£1,039	£56
Leisure Services	£795	£702	£94
Pavillions	£28	£17	£11
Security/Mail Room/Chauffeur	£89	£95	-£6
TOTAL	£23,448	£22,096	£1,352

7.2   The final budget position is an underspend of £1,353k. The main contributors being unfilled staff vacancies, energy costs being less than forecast and improving efficiency in Class Cuisine along with Scottish Government funding for P1 to P3 free school meals.

7.3   Just under £500k worth of savings were allocated to R&G for 2015/16. Over 50% of this (£250k) was realised through an insurance fund saving. The other substantial element (£100k) was in relation to wind and water tight repairs only and this has also been delivered by Property Maintenance. Other elements were related to staffing, energy management, building rationalisation and catering which have been subsumed in MCB projects. The underspend noted in 7.2 has both structural elements in that too much budget has been allocated or are as a result of management action to reduce costs or find more efficient methods of procurement. Savings progress will be monitored through MCB corporate reporting processes in future years

8.0   Conclusion

8.1   R&G continues to provide high quality corporate services to support the Council in it strategic ambitions. The service is well underway with the process of evaluating, redesigning and repositioning its service offer and fully recognises that it must make substantial changes in the way it delivers its services and the resources it requires to enable the Council to meet its budget challenges.

8.2   At an individual level staff are being supported to consider their own contribution through PRDs and regular contact meetings with their line managers.

8.3   However, the demand on the service does not subside and in some areas has increased significantly. Unlocking the full potential of staff, process improvement and the exploitation of technology and alternative delivery models will be crucial in ensuring that the Council has access to the fit for purpose corporate services it requires.

9.0   Sustainability Implications

9.1   None noted

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. Yes ☐

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

10.4 Staffing

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** (Please detail)

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 ☐

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 ☐

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 report

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)
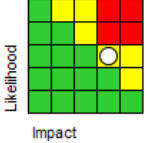
Yes ☐ (please list the documents below)   No ☐

Author(s)

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Approved by

NAME	DESIGNATION	SIGNATURE
Stephen Coulter	Head of Resources & Governance	Signed: S Coulter
Nikki Bridle	Depute Chief Executive	Signed: N Bridle

Resources and Governance   **APPENDIX A**

2015-16 Annual Report

Key to symbols used in this report

PIs		ACTIONS		RISKS		
Long Trend (Overall trend over longer term)		**Status**		**Current Rating** Likelihood x Impact (1 - 5)	**Status**	
⬆	Performance has improved	✅	Complete		🔴	Rating 16 and above
➖	Performance has remained the same	✔	In Progress		⚠	Rating 10 to 15
⬇	Performance has declined	⚠	Check Progress		✅	Rating 9 and below
❓	No comparison available - May be new indicator or data not yet available	🔴	Overdue	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.		
		❌	Cancelled			

Resources and Governance Service Performance Indicators 2015-16

Code	Description	2013/14 Value	2014/15 Value	2015/16 Target	2015/16 Value	Long Trend	2015/16 Note	Lead
ACC B01 RAG	Performance against phased budgeted spend - Resources and Governance	98.3%	100.0%	100.0%	94.3%	⬇	Budget underspend is explained in detail performance report. Mainly due to staffing, lower than planned for energy costs and surplus budget and efficiencies in catering	Stephen Coulter
GOV AUD 001	Percentage of Internal Audit plan completed	100%	100%	100%	100%	➖	All reports from the 2015/16 Internal Audit and Fraud plan have been issued in either final or draft form.	Iain Burns
GOV HAS RAG	Proportion of Resources & Governance Health and Safety Risk Assessments reviewed and up to date	N/A	75.0%	100.0%	95.0%	⬆	Assets Team are in the process of reviewing all of their H&S risk assessments. All other existing risk assessments are up to date.	Sarah Robertson
ITS CUS 001	Percentage of customers satisfied with ICT services	98.2%	94.8%	98.0%	96.6%	⬇	Customer satisfaction remains generally high in feedback from Service desk requests. Modest increase in performance from previous year.	John Munro
ITS ITS 002	Percentage of available hours lost on ICT systems due to unplanned incidents	0.035%	0.060%	0.050%	0.035%	⬆	This represents an availability figure of 99.96 availability. System stability was generally good Q1 and Q2. Q3 performance suffered due a faulty component in one of the storage systems which support our infrastructure. This has been resolved. Availability has been impacted slightly by the large number of system upgrades carried out in year, although these have been managed with change control protocols to minimise disruption to service. In future years we will seek to provide more granularity in this PI to more accurately report on user experience.	John Munro
RAG CUS 001	Percentage of customers very or fairly satisfied with the overall service they received	64.00%	76.00%	80.00%	85.00%	⬆	This is measured annually This will be the last RAG survey carried out in this way due to low response rates and revised thinking about the relationship between RAG and other services which isn't a customer supplier relationship because of the governance role and the over-riding responsibility of RAG to the Council not Heads of Service	Stephen Coulter
RAG PPL 003	Number of Resources and Governance staff recorded as having completed a PRD	88.4%	80.0%	95.0%	40.5%	⬇	The purpose of this target was twofold: to both promote the wider use of iTrent by getting PRD completion logged	Stephen Coulter

Code	Description	2013/14	2014/15	2015/16			2015/16	Lead
		Value	Value	Target	Value	Long Trend	Note	
							centrally and to ensure that PRD completion was being robustly monitored. Some parts of R&G were not using PRDs in line with corporate policy and although the use of iTrent to record them has been disappointing managers of staff working away from Kilncraigs have been through the process. Other R&G areas have struggled to comply because of staff turnover, workload and key managerial positions not being filled permanently. The SMT is very committed to using iTrent in future years and making sure all staff are properly managed.	
RAG RAG 001	Proportion of R&G formal correspondence and enquiries responded to within timescale			100%	83.44%	?	This is the first year this has been measured in this way and has highlighted issues in regards to the promptness of answering enquiries. SMT have been looking at this in terms of ensuring correspondence is properly assigned and timescales are understood	Stephen Coulter
RAG RAG 005	Percentage of Resources and Governance projects at Green			90.00%	91.11%	?	Projects at Green in excess of 90% in each quarter this year	Stephen Coulter

Resources and Governance Corporate Performance Indicators 2015-16

Code	Description	2013/14 Value	2014/15 Value	2015/16 Target	2015/16 Value	Long Trend	2015/16 Note	Lead
ACC ACC 009	Ratio of capital financing costs to the net revenue stream for General Fund	6.59%	8.20%	7.90%		?	TBC	Lindsay Sim;
ACC ACC 010	Ratio of capital financing costs to the net revenue stream for Housing Revenue Account	8.00%	16.80%	18.50%		?	TBC	Lindsay Sim;
ACC FNR COU	Target level of uncommitted financial reserves is achieved. (£3.6m)	£6.2m	£6.1m	£3.6m		?	TBC	Lindsay Sim;
COU HS3 GOV	Proportion of Council Health and Safety Risk Assessments reviewed and up to date					?	Recording for this PI will be introduced during 2016/17. Services will be contacted and requested to enter their own service data on an annual basis. This information will then be used to automatically populate HS3 COU.	Stephen Coulter; Sarah Robertson
ED1 AB1 GOV	Average FTE Days Sickness Absence (Teachers)	5.66	10.14	8	7.2	⬆	In comparison to the previous financial year there has been a significant reduction in the average FTE days lost for teaching staff. Figures recorded in COVALENT use an average FTE from the Council staffing report as compared to CMT reporting where a PIT (Point in Time measure) is used. i.e. For Covalent for the year total hours lost was 27203.06 which equates to 3886.15 FTE Days. Staffing FTE was recorded as 539.30 which gives an average FTE Days lost of 7.2 where as absence reporting has an FTE of 591.53 which gives average FTE days lost of 6.57. Absence Management continues to be rolled out across the Schools and interventions appear to be having a positive result.	Chris Alliston; David Leng
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.	Andy Hunter
OTR AB1 GOV	Average FTE Days Sickness Absence (Other Local Government)	7.92	12.78	10	13.43	⬇	In comparison to the previous financial year there appears to be an increase in the average FTE days lost for other Local Government Staff. Figures recorded in COVALENT use an average FTE from the Council staffing report as compared to CMT reporting where a PIT (Point in Time	Chris Alliston

Code	Description	2013/14	2014/15	2015/16			2015/16	Lead
		Value	Value	Target	Value	Long Trend	Note	
							measure) is used. i.e. For Covalent for the year total hours lost was 146797.92 which equates to 20971.13 FTE Days. Staffing FTE was recorded as 1561.52 which gives an average FTE Days lost of 13.43 where as absence reporting has an FTE of 1632.62 which gives average FTE days lost of 12.84 which is reflective of overall figure reported to CMT. Absence rates overall through the course of the year had been reducing however a increase in recorded hours in the last quarter of 15/16 has resulted in levels rising.	

Resources and Governance Actions 2015-16

Covalent Code	ACTION	Due Date	Status	Latest Note	Lead
RAG 15 001	Develop a clear workforce strategy and revise supporting employment policies as appropriate.	31-Mar-2016	✔	Workforce strategy was completed. Work is ongoing with TUs and Services to revise employment policies	Chris Alliston
RAG 15 002	Review of options of PPP financing model and options for maximising use of current annual investment of £7.7m	31-Mar-2016	✔	Work was taken forward and workshops held to review contract performance issues. No scope to reduce the core costs of the contract	Eileen Turnbull
RAG 15 003	Options appraisal to review telephony and mobile devices with a view to increased cost efficiency.	31-Mar-2016	✔	Analysis substantiually completed. A paper will go to CMT in first instance in summer 2016	John Allan; Stephen Coulter; John Munro;
RAG 15 004	Undertake full options appraisal of Resources and Governance service delivery models and structure.	31-Jan-2016	✔	This was taken forward under MCB. An overarching approach was developed and individual servies are reviewing their structure and way of working	Stephen Coulter
RAG 15 005	Review options for increasing digital transactions.	31-Mar-2016	✔	Options have been revieiwed. CMT will receive a briefing at August 2016 awayday abnout the digital way forward	Stephen Coulter; John Munro;
RAG 15 006	Prepare surplus asset statement and recommendations for disposal as appropriate	31-Jul-2015	✔	Is complete and Council accepted the paper in May 2015.	Eileen Turnbull
RAG 15 007	Options to be developed through consultation with Trade Unions to review and redefine the working week.	31-Dec-2015	✔	Options on unsocial hours scoped. Work will continue into 2016	Stephen Coulter; Chris Alliston
RAG 15 008	Develop a records management plan and implement a records management policy.	31-Mar-2016	✔	POlan was completed. Work ongoing to implement paln in 2016. Paln is fit for purpose for presentation to Keeper in accoundance with PR(S)A	Stephen Coulter
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	✔	Finance module went live on 1st April 2016. Completion of P2P and business information modules in 2016	Stephen Coulter
RAG 15 010	Development of business cases in respect of community meal service and additional meal income.	31-Mar-2015	✔	Completed	Eileen Turnbull

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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		Work ongoing with Tech One and new Procurement Regualtions	Derek Barr
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		Development of the system moved to business as usual process with project developments and enhancements being incorporated into normal activities of the systems team. It is anticipated as part of the R&G restructure a senior supervisory/developer role will be introduced which who will be responsible for management of project initiatives.	Chris Alliston;

Resources & Governance Risk Register 2015-16

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	MCB RAG 18b — Review of Equipment and Information Management					**Internal Controls**	People Strategy				
							Information & Communication Technology Strategy				
							Information Management Strategy				
Latest Note	Risk Remains										

ID & Title	RAG RAG 008 Insufficient resources to support business plan and Council Projects	Approach	Treat	Status	🛑	Managed By	Stephen Coulter	Current Rating	16	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						**Internal Controls**	Business Planning Process				
Latest Note	Increase in risk score. Increasing change activity in the light of the new budget, MCB, staffing reductions and emerging governance issues of various descriptions are putting pressures on a stretched team. R&G restructuring will assist but new relationships need to be developed with other services										

ID & Title	RAG RAG 006 Staff resilience	Approach	Treat	Status	🛑	Managed By	Chris Alliston; Stephen Coulter; John Munro; Lindsay Sim; Temporary Sim; Eileen Turnbull	Current Rating	16	Target Rating	3
Description	Changing job roles, redundancy 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	MCB RAG 018 — Resources and Governance Delivery Model	**Internal Controls**	Leadership Development Programme	
	MCB RAG 035 — Workforce Planning (Corporate)		Health & Safety Management System	
			Maximising Attendance & Employee Wellbeing Policy	
			Making Clackmannanshire Better Programme	
Latest Note	Staff resilience as a result of TVR, VS and workload pressure is becoming more strained. Cancellation of ECS and other staff beenfits will ahve an adverse impact on staff morale			

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	MCB RAG 018 — Resources and Governance Delivery Model				**Internal Controls**		Governance Panel				
	RAG 16 001 — Review and revise Governance Strategy and key Governance documents						Governance Improvement Plans				
							Governance & Audit Processes				
Latest Note	Discussion on AGS Future has taken place between governance managers and Head of R&G. WE have agreed a revised policy is required and a risk based approach to AGS developed. Given other work pressures it may not be possible to completely overhaul the system for 16-17. Increased use of technology in particular embedding iTrent and implementing TechOne for Finance should help manage may compliance issues currently being experienced across the council										

ID & Title	RAG RAG 005 Failure of IT systems	Approach	Treat	Status	⚠	Managed By	Stephen Coulter; John Munro	Current Rating	10	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	ITS BP 07 — Business Continuity				**Internal**		Information & Communication				

Actions		Controls	Technology Strategy		
			Business Continuity Plans		
			Operational Business Plan		
Latest Note	Updated impact score to reflect risks associated with use of single site				

ID & Title	RAG RAG 009 R&G Service Reviews	Approach	Treat	Status	✅	Managed By	Stephen Coulter	Current Rating	8	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					Internal Controls	Workforce Planning Process					
						Contract Standing Orders					
						Council Standing Orders					
Latest Note	Service reviews are being undertaken as part of MCB and are already underway. Appointment to key posts and roll out of One Council will accelerate progress										

Resource & Governanace final position is underspend of £1,353k, an increase of £265k over the £1,089 projected in the January Outturn. The main contributors to this movement being previous over projections in Accountancy £10k, IT £88k, Property costs £126k, £25k & Catering £28k, Leisure £24k (£73k Common Good Included in these figures) and previous under pojections in Schools PPP £17k, £29k Asset Management.

Support Services final position is an underspend of £304k (an increase of £90k from January with an underspend of £429k in employee costs) with Assets underspend at £958k (an increase of £172k from January with employee cost underspends totalling £271k).

	Budget 15-16 £'000	Outturn 15-16 £'000	Variance 15-16 £'000	January Outturn	Variance
RESOURCE & GOVERNANCE	23,448	22,096	(1,352)	(1,089)	(263)
Depute Chief Exec					
Since the August outturn this cost centre has been moved out of R&G into a new service: Executive Team.	0	0	0	0	0
Accountancy					
Staffing underspend has increased by a further £8k since the January outturn taking the total payroll underspend to £138k. The main contributors to this movement being a delay in the expected appointment dates for the vacant Corporate Accounting Team Leader, Corporate Accountant & Management Accounting back fill posts. This is in addition to the previously reported underspends arising from OLP income for 8 months, Chief Accountant post vacant for 3 months, accounting staff 100% transferred to Finance Ledger Capital project, Accountancy Assistant left mid July and vacant until Sept & other vacancies covered by agency staff.			(138)	(130)	(8)
As per previous outturns, Audit fee the same amount as 14/15 - underspend on budget			(16)	(16)	0
Underspends in supplies and services - subscriptions / stationery / photocopying & professional fees. Outturn now includes TecOne revenue costs for 2015-16.			(11)	(9)	(2)
A final underspend of £165k, an increase of £10k from the January outturn. This is due to additional underspends in staffing with the underspend now totalling £127k due to delays filling vacant posts. The other main contributor is audit fees with costs the same as 2014/15 which gives a £16k underspend against budget.	1,399	1,234	(165)	(154)	(10)
			(165)		
Head of Resource & Governance					
Small underspends across travel expenses and supplies and services					
Head of Resource & Governance	96	94	(2)	(1)	(0)
			(2)		
IT					
Underspend on staffing costs £152k, due to staff member on long term sick leave reverting to half pay from mid Feb and as previously reported, the main contributors to ongoing underspend are a System Co-Ordinator left 01.12.15 with no replacement in 15/16, staffing with full time budgets only working part time, long term sick leave, vacant posts, VS leaver, career break, Business Analysts time transferred to Capital as part of new Financial Ledger system implementation & holiday buy back for 2 employees.			(152)	(152)	0
Staff Travel expenses - reduced head count			(2)	(2)	0
Supplies & services - small overspends including legal fees re Scott Sheridan recovery £15k.			18	3	16
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)	(18)	0
Other Income: Costs incurred through the moves to Kilncraigs. 2014-15 year end income accrued for Scott Sheridan £64.7k, pursuing of debtor will continue but it is unlikely to recover this cost (ceased income).			(0)	65	(65)
Other Income: 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)	(23)	0
Overspend has reduced by £24k from the January outturn to £32k. The overspend arises from Computer Software Maintenance & support contracts, £105k overspend offset in other centralised IT budget lines reduces this overspend.			32	56	(24)
Staffing underspends totalling £152k plus an £18k saving on GIS contract are reduced by overspends - Legal costs (Scott Sherriden), equipment, and Central IT overspend of £32k (£56k January) due to support and maintenance contracts. £65k relating to Debtor (Scott Sheridan) being pursued relating to Kilncraigs move now carried forward to 2016-17?	2,287	2,143	(144)	(72)	(72)
			(144)		
Governance					
Employee Related Costs:					
Governance: Manager post vacant (£60k) , vacancy Management post £10k			(50)	(53)	3
Legal: Solicitor vacancies x 1 filled part year the other with Social Work until 2016-17 (previously outturn assumed Nov-15)			(70)	(69)	(1)
HR: Staff on reduced hours; seconded to Corp Parenting and Itrent Project team; mat leave cover and VS, Superannuation budget not required for 1 staff member. These underspends partly offset overpsends in Payroll & Itrent cost centres.			(85)	(82)	(3)
Payroll: Unbudgeted Payroll supervisor post (temp extended to Mar-15) & agency costs the main contributors.			66	66	(0)
Itrent: No budget, additional staff required to integrate new system			43	44	(1)
Health & Safety: Vacancy management when employee left			(6)	(6)	0
Job evaluation: Temp post to finish end of Sept 16 (extended from Dec 15)			(22)	(22)	0
Admin General: (Democracy team) pension underspend as Governance Officer is not in the pension scheme			(3)	(4)	1
Audit & Fraud: staff on reduced hours and Fraud Investigation Officer left and not being replaced.			(22)	(22)	0
HR: Professional Fees - Legal fees for settlement agreements for staff who left through Voluntary Severance			10	7	2
HR: Payments to Contractors. Overspend £27k. Spend in this area arises from contract with Working on Wellbeing (SERCO), Discolsure costs, Employee physiotherapy referrals & Costs for CBT (cognitive behavioural therapy)			27	24	3
HR Supplies and Services - small underspends across a number of budget lines (excluding HR professional fees)			(5)	(5)	0
Legal - Payment to Other Local Authorities. Fees incurred re Falkirk & Stirling Council to remove Clacks Council from Thinkwhere contract.			40	40	0
Small income surplus across the service			(6)	(1)	(5)
Small variances in budgets across the service			(5)		
Audit & Fraud income for Admin Penalties - reduced as Fraud Investigation Officer has now left.			(2)	(2)	0
Legal income. Reduction in projected income from Legal Fees.			8	8	0
Underspend of £84k, an increase of £7k from the January outturn. Underspend in payroll costs offset by £40k costs for fees incurred re Falkirk & Stirling Council to remove Clacks Council from the Thinkwhere contract.	1,742	1,658	(84)	(77)	(2)
			(84)		
Property Costs:					
Gas - expenditure performed better than budget due to mild winter. Surplus budget taken as savings in 2016-17. Also Includes £35k provision for Amey energy efficiencies (PPP) based on invoices received Nov-15.			(80)	(56)	(23)
Electricity - expenditure performed better than budget. Surplus budget taken as savings in 2016-17. Also Includes £35k provision for Amey energy efficiencies (PPP) based on invoices received Nov-15.			(80)	(81)	1
Water - expenditure performed better than budget. Includes £24k credit due for Lornshill Academy. New supplier from 01.03.16 resulting in reduced charges for March. Surprlus budget partly taken as 2016-17 saving.			(81)	(43)	(39)
Oil supply for heating at Forthbank			(6)	0	(6)
Solid Fuel Underspend - Redwell PS			(3)	0	(3)
Repairs & Maintenace - small overspend on budget			10	0	10
Rates- 2015-16. The main contributors to the underspend are rateable value decreases and subsequent rates reductions at Muckhart Pri £6k, Redwell Pri £15.5k, Kelliebank £12.5k, empty relief rebates received for Office Marshill £3k, 15 Mar St £11k, Greenfield House £17k, 8 Bank Street £1.5k & Unit 5 Trade Ctr £2k. Plus rebates for St John's PS £16.5k, Limetree House £26.5k. These additional underspends are partly offset by £20k shortfall in budget for Kilncraigs and £21k cost for Leisure Ctr, Former Alva Academy. This charge is in dispute so possibly rebate 16-17.			(104)	(123)	19
Rents paid				0	
Property Insurance			(0)	0	(0)
Equipment - underspend anticipated in FM Education with spend of £3k against budget of £16k. Saving offsetting overspend in janitor equipment			(16)	(13)	3
Equipment Maintenance - underspend on Maintenance budget			(13)	0	(13)
Professional Fees: FM Education - Feesiblity Studies. Main study being Tullibiody Strategic Review being carried out by Hub East Central Scotland previoulsy projected at £57k. £24k is actual spend. The £33k contingency was overstated. Plus spend of £6k on fire safety costs & building survey 15 Mar St. Also PPP invoices for £8.3k Non Acceptance Fees for Floodlights at Lornshill + £1.6k Professional Fees in connection with adjudication Clacks v Clacks Educ Partnership.			35	63	(28)
Legal Fees - PPP £9.8k Burness Paul Fees - payment mechanism dispute + £2.5k Burness Paul Fee			12	0	12
Common Good: Underspend on Common Good Expenditure at Speirs Centre.			(49)	0	(49)
FM Social Policy - £50k budget savings target (Rents SS015) arising from the exits from Central Store and Carsebridge. Move didn't take place.			50	50	0
Propertry DSO Internal Trading - charge re Strathdevon Pri			11	2	9
Payments to Contractors / Other Council Accounts - underspend on budget			(11)	0	(11)
Other Income surplus of £25k relates to unbudgeted Bio Mass boiler income at Redwell PS £22k, £8.9k one off income from Clacks Trust for boiler installed at Clacks Town Hall & £5.9k shortfall on FIT income .			(25)	(22)	(3)
underspend as previously reported, the main contributors to this underspend being Rates, Gas, Electricity & Water with these underspends offsetting overspends in Professional Fees (feesibility studies) & non achievement of budget saving target for exit of Social Care buildings.	5,777	5,429	(348)	(222)	(126)
			(348)		

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	Budget 15-16 £'000	Outturn 15-16 £'000	Variance 15-16 £'000	January Outturn	Variance
Schools PPP:					
Underspend of £8k against budget. This arising from annual RPI indexation being lower than budgeted reducing monthly payment to PPP Contractor with underspend increased by additional in year penalty deductions agreed by Amey.			(8)	(25)	17
These underspends are reduced by costs incurred for legal expenses relating to dispute resolution; Pension Cap (Employers contribution over 17.4% reimbursed to PPP contractor) and an £8k fee relating to Lornshill Floodlights.					
£8k underspend from annual RPI indexation lower than budget and Amey agreed in year penalty deductions.	7,726	7,718	(8)	(25)	17
			(8)		
Asset Management:					
Salary underspend of £35k. Contributors to this being within Estates: Estates Officer vacant post previously projected as filled from January now vacant full year (£10k). I n Design two vacant posts (Project Co-Ordinator & Quantiuty Surveyor) both previously projected to be filled from Jan-16, now vacant full year, additional underspend £17k.			(35) (37)		1
Income from The Scottish Government to pay for seconded post to Police Scotland (1fte June-December then 0.4fte Jan-Mar)			(36) (31)		(5)
Staff Travel expenses underspend			(3) (3)		(0)
Supplies & Services - overspends in Professional Fees (no budget) and Subscriptions. Professional fees includes £5.2k GVA Grimley cost re rates appeals and rateable value reductions.			14 17		(3)
Third Party Payments - One off cost of £5.3k to clear St John's PS & £6.2k to clear Greenfield & £10k to clear Bruce Street. Per instruction by D&E to vacate & clear properties.			21 22		(0)
Income - shortfall of £12k in rents receivable (loss of income from Forth Valley Partnership at Kilncraigs re CCTV) partly offset by £8.6k Other Income from Glenatanna for Utilities.			3 12		(9)
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. (approved demand pressure for 2016-17 budget)			29 28		1
Design Fee income shortfall of£77k, shows year on year growth to but insufficient to achieve budget (also £22k income for 50%/25% Recharge of emplyee to HRA).			55 11		44
Overspend of £48k mainly rising from insufficient budget on Design Fee Income Design Fee income & shortfall in Rental Income. Income budget also includes an incorrect £28k income target (demand pressure approved for 2016-17). This is partly offset by underspend in payroll costs arising from vacant posts.					
	94	142	48	19	29
			48		
Property Maintenance Management:					
Employee Cost & Staff Travel Costs overspend (£6.4k overspend at Kelliebank partially offset by £2k underspend in Property Maintenance)			4	4	1
Supplies & Services: Main contributor to overspend being budget saving target of £18k (DE082 review of Janitor duties to include handyperson therefore reducing PCU visits) which will not be achieved. This overspend is reduced in part by savings in cost for printing, photocopying & stationery.			15	13	1
HRA Recharge at year end was underestimated			2	0	2
£21k overspend arising from overspends in Overtime, staff travel and supplies and services which includes a budget saving target of £18k which will not be achieved.	363	384	21	17	4
			21		
Management Unit:					
A number of small underspends against budget in Supplies & Services (HoS).			(10)	(4)	(6)
Underspend in Office Moves of £17k. Change from January outturn due to anticipated costs of £15k for moves from Carsebridge to Marshill now charged to Capital & and £10k Patons to Kilncraigs no costs accumulated as move put on hold.			(17)		(25)
				8	
Since August the Director cost centre has been moved out of R&G to a new service: Executive Team.				4	(31)
Underspend of £27k due to underspend in Office Move costs & underspends in Supplies & Services.	251	224	(27)		
			(27)		
Catering Contract:					
Vacancy Savings due to efficiencies (including £7k overtime)			(58)	(55)	(3)
Purchase of Equipment: underspend of £11k.			(11)	(13)	2
Underspend on purchase of disposable containers.			(8)	(8)	(0)
Vend Fresh vending contract not renewed, no cost projected (no cost in prior year).			(6)	(6)	0
Savings in cost of food purchases through price negotiation and flexibility to take advantage of market offers.			(132)	(138)	7
Previously budgeted saving in Meals on Wheels for change of weekend service not achieved (unallocated budget saving target). To be allocated / cleared in 2016-17 budget build up.			24	24	0
Subscriptions spend of £3k, insufficient budget			1	2	(0)
Third Party Payments: Insufficient budget - Payments to Contractors costs £5k, budget only £0.5k. Costs incurred for Loomis cash uplift/delivery service for Secondary schools and Pest Controil costs at CPU. (realign in 2016-17 budget build up)			7	8	(0)
Small Variance in supplies & Services			(6)	(7)	1
Surplus in income.			(149)	(137)	(12)
School meal income performed better than budget (due to budget decreased by £214k re P1-P3 funding). Primary School Meals +£166k but Secondary meals £54k shortfall due to decreased numbers. Additional income surplus of £30k through Scotland Excel rebates, Milk subsidy surplus & external business.					
			(137)	(115)	(22)
P1-P3 Free Meals underspend. Excess budget for need of Authority. This may alter 2016/17 if numbers increase.					
Underspend of £472k mainly due to staffing efficiencies £58k, reduced food costs due to procurement efficiencies & less than anticipate meal numbers £132k, School Meal Income performed better than budget in Primaries £166k but less than budget £54k in Secondaries due to reduced meal uptake. In addition £137k excess budget from P1-P3 Free Meals. These are in addition to previously reported underspends in staff costs and school meal income surplus. Offset in part by by £24k unallocated Saving carried forward from 13-14 not approved.					
	1,291	818	(473)	(445)	(28)
			(473)		
Janitors:					
Overall underspend of £26k in payroll costs but offset by £22k shortfall in Community Letting Income budget)					
- One vacancy, one Long Term Sick, relief budget, costs for apprentice Janitor (no budget)			(26)	(24)	(2)
- Overtime savings (including Letting £22k offset with shortfall in income budget)			(28)	(34)	6
- Absence cover costs relating to long term sickness (increased by £10k from October projection due to increased sickness)			28	35	(8)
- Serverance cost & Staff Travel			3	3	0
Planned purchase of Equipment, no budget (partly offset by saving in corresponding line in Property Costs).			10	14	(4)
Letting scheme projected surplus income (£22k shortfall offset with overtime savings)			(3)	(2)	(1)
Rental & Modern Apprentice Income (offset in staffing expenditure)			(1)	(2)	1
£17k underspend mainly due to income received from Redwell Primary for Lets & no budget set against this.	415	398	(17)	(10)	(7)
			(17)		
Cleaning Contracts & Public Conveniences					
Cleaning staff payroll savings £41k due to vacancies/ efficiences. £3k overspend in overtime, £3k severance & £0.8k Long Service Awards.			(34)	(39)	5
Small variances Staff Travel expenses / supplies & services.			(3)	(2)	(1)
Underspend in premises related costs - window cleaning £9.4k			(9)	(9)	(0)
Income shortfall relates Citizens Advice Bureau, Alloa Fire Station & £1.5k Saving not achieved			3	3	0
Public Conveniences payroll underspend £9k due to efficiences and overtime reduction.			(9)	(8)	(1)
Public Conveniences underspend in Cleaning Materials & Supplies & Services			(5)	(2)	(3)
Public Conveniences Income shortfall relating to Dollar Public Toilets.			1	1	0
£56k underspend mainly through savings in employee related costs with additional underspends in supplies & services and window cleaning. These underspends are party ofset by projected shortfall in income.	1,096	1,039	(56)	(55)	(0)
			(56)	(55)	
Leisure Services:					
Underspend at Firpark Ski Centre mainly due to £30k in payroll costs.			(34)	(34)	(1)
Gartmorn underspend due to closure. Was previously projected at originally £40k but has been reduced due to repairs to unadopted road that provides access to the dam of £19k.			(23)	(21)	(2)
			(3)	(3)	(0)
Contractual annual indexation on the operating agreement with WASP Leisure for managing the Leisure Bowl is underbudget due to budget build up on projected RPI but is actually lower £6k. One off equipment expenditure as Ochil Leisure borrowed equipment which was sold when pool was closed but not paid back to WASP.					
Underspend in Christmas Lights			(2)	(2)	(0)
Underspend in Activities & Events - delivery now passed to BID			(10)	(10)	0
Underspend in Facilities Management Costs for **Common Good** (Alloa Town Hall)			(22)	0	(22)
Projected underspend due to closure of Gartmorn, underspend in Firpark staffing & handing over of activities to BID. Underspend has increased by £25k from January outturn due to Common Good Costs for Alloa Town Hall previously projected on budget but performed below.	795	702	(94)	(69)	(24)
			(94)		
Pavillions:					
Projected underspend in staffing			(4)	(3)	(1)
Projected underpend in overtime			(3)	(3)	0
Underspend in Facilities Management Costs for **Common Good** (West End Pavilion)			(2)	0	(2)
Income surplus from Pitch Hire			(1)	(1)	(1)
Underspend relates to saving in staffing costs and a small income surplus.	28	17	(11)	(7)	(3)
			(11)		
Security/Mail Room/Chauffeur:					
Overspend in staffing (budget shortfall & relief staff). Will be rectified in 2016-17			1	5	(4)
Underspend in overtime			(4)	(4)	0
Small Variances			0		
Budget saving target of £8k in Mailroom/Chauffeur won't be achieved 15-16.			8	8	0
Overspend against budget mainlry due to £8k budget saving target (DE084) not being achieved in 2015-16.	89	95	6	9	(4)
			6		
RESOURCE & GOVERNANCE SERVICES TOTAL	23,448	22,096	(1,353)	(1,088)	(260)
			(1,352)		

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CLACKMANNANSHIRE COUNCIL

Report to: Scrutiny Committee

Date of Meeting: 18 August 2016

Subject: Resources and Governance Service Business Plan 2016/17

Report by: Head of Resources and Governance

1.0   Purpose

1.1.   This report presents the 2016-17 Business Plan for Resources and Governance.

2.0   Recommendations

2.1   It is recommended that the Committee notes the 2016/17 Business Plan, comments and challenges as appropriate, and agrees the performance targets for scrutiny purposes.

3.0   Considerations

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

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

4.0   Sustainability Implications

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

5.0   Resource Implications

5.1.   Financial Details

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

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

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

5.5.   Staffing

5.6.   There are no direct staffing implications resulting from the report.

6.0   Exempt Reports

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

7.0   Declarations

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

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

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

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

8.0   Equalities Impact

8.1   Have you undertaken the required equalities impact assessment to ensure that no groups are adversely affected by the recommendations? Not applicable ☑

9.0   Legality

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

10.0   Appendices

10.1   Appendix 1 - Resources and Governance Business Plan 2015/16

11.0   Background Papers

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

Yes ☐ (please list the documents below)   No ☑

Author(s)

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

Approved by

NAME	DESIGNATION	SIGNATURE
Stephen Coulter	Head of Resources and Governance	Signed: S Coulter
Nikki Bridle	Depute Chief Executive	Signed: N Bridle

Resources & Governance

Business Plan 2016-17

Making Clackmannanshire Better

1	SERVICE OVERVIEW

1.1	SERVICE MISSION / PURPOSE & OBJECTIVES

Mission

Our mission is to provide high quality, professional, value adding proactive advice, services and support to enable the Council to fulfil its priority objectives of Better Services, Better Opportunities and Better Communities

Objectives

Our objectives are to:

- Design and implement robust financial, technological and governance policies and procedures
- Provide high quality professional support services to officers and elected members to enable them to deliver their business objectives in an effective and cost efficient manner
- Provide strategic financial and human resources management advice that will inform and shape future service delivery and ensure that the council's workforce is aligned to achieving its corporate objectives
- Continuously improve by reviewing what we do, how we do it and ensuring value for money
- Support our staff in their professional and personal development to enable them to provide excellent customer service and fulfil their potential
- Maintain and manage the Council's assets for the benefit of the public, local communities and businesses

Values and Behaviours

Resources and Governance will embrace the Council's core values

Commitment, trust and partnership

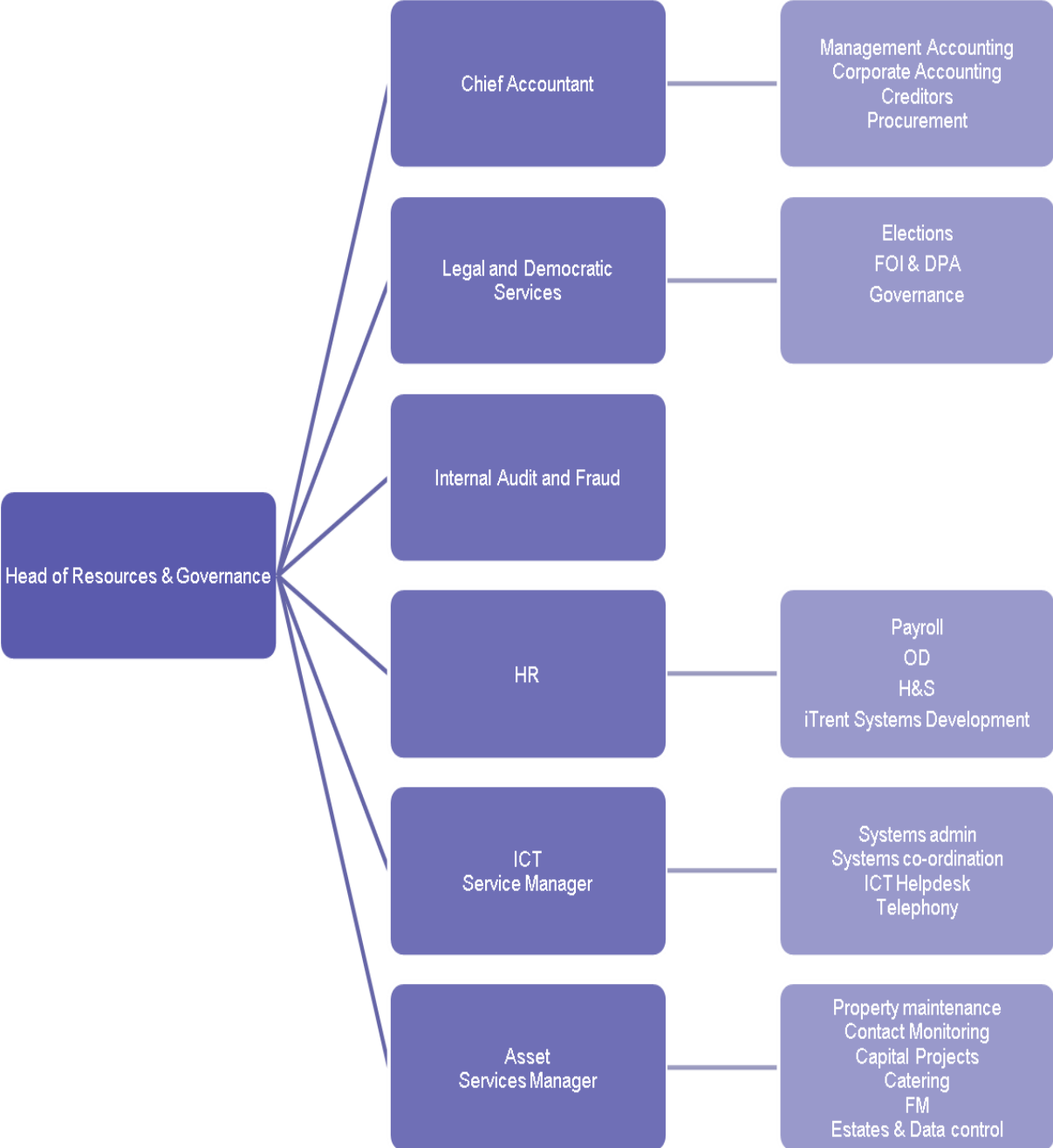**O**penness and accountability

Respect and dignity

Equality, fairness and inclusion

The Resources and Governance service core functions comprise

- Accountancy (Corporate Accounting, Management Accounting, Procurement and Creditors)
- Human Resources, Payroll and Health and Safety
- Legal and Democratic Services
- Internal Audit and Fraud
- Information and Communications Technology
- Assets (Property Maintenance, Design, Contract Management, Catering)

1.2 SERVICE STRUCTURE

Throughout 2015-16 discussions and proposals have been ongoing about the structure of services in R&G. There are some outstanding appointments to be finalised in senior positions but this overall structure will be implemented in the early part of the year and appropriate line management arrangements put in place

```
Head of Resources & Governance
  ├── Chief Accountant ──── Management Accounting
  │                         Corporate Accounting
  │                         Creditors
  │                         Procurement
  │
  ├── Legal and Democratic ──── Elections
  │   Services                  FOI & DPA
  │                             Governance
  │
  ├── Internal Audit and Fraud
  │
  ├── HR ──── Payroll
  │           OD
  │           H&S
  │           iTrent Systems Development
  │
  ├── ICT ──── Systems admin
  │   Service Manager          Systems co-ordination
  │                            ICT Helpdesk
  │                            Telephony
  │
  └── Asset ──── Property maintenance
      Services Manager         Contact Monitoring
                               Capital Projects
                               Catering
                               FM
                               Estates & Data control
```

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

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

R&G have been targeted with approximately £2.45m of revenue savings which will be delivered across the range of services. This will be in addition to leading on corporate-wide changes particularly in regard to staffing and ongoing work with the trade unions to identify reform to terms and conditions and the early release of staff.

Efficiency initiatives fall into three main areas, budget scrutiny, managing our capital assets and staffing structures.

Budget Scrutiny: In 2015/16 R&G had an underspend of £1.35 m against its allocated budget. Greater scrutiny of the in year budget position and a greater focus on setting an appropriate budget to support the Service's activities will be implemented in 2016/17. A number of savings, for example, in staffing and energy management have been taken at the start of the financial year.

Managing Our Capital Assets: Through the MCB programme and the budget challenge process in 2015/16 a number of proposals were put forward for the better utilisation of the Council's building and ICT assets. Some of these will require close co-operation with other services and community organisations to deliver. The aim is to ensure that the Council only operates from the buildings that it needs and surplus assets are made available for disposal.

Staffing Structures: R&G will focus on ensuring that it has the staff it requires with the appropriate skills and flexibility of organisation to meet the needs of stakeholders. Detailed analysis of staffing budgets in 2015/16 revealed a number of opportunities to release budgets and to develop more efficient staffing models.

2 KEY ISSUES FOR THE SERVICE

Resources and Governance Management undertook a SWOT and PEST analysis to refresh the collective understanding of the challenges facing the Service. Key issues identified are listed below.

Financial
- Delivering identified savings and living within a reduced settlement.
- Progressing towards a sustainable model for Resources and Governance service based on a clear definition of our role within the Council.

Staffing
- Producing a workforce plan based on the Council's policy and guidance which will identify the staffing levels and skills needed.
- With the number of changes and turnover anticipated across the Council due to VR and VS its inevitable staff will be concerned about their personal futures and the future of the organisation. R&G senior management will provide clear and up to date advice to staff to ensure they understand the implications of the council's decisions and identify strategies to build resilience amongst staff to enable then to cope with change.

Shared Services
- The full implications of the dissolution of the shared services arrangements and the re-configurations of the Council's Education and Social Work services on R&G are as yet not complete. However the anticipation is that there will be direct support required to educational establishments based on a cluster model and support required for the Chief Social Work Officer. Previous planning assumptions based on the lead authority model have had to be re-visited and appropriate staffing arrangements put in place.

HSCI
- R&G staff will continue to be involved in supporting the IJB and Chief Officer across the range of functions. Work will continue in support of the IJB as it takes on its full range of responsibilities.

Records Management
- During 2015 the R&A Committee approved the Council's Records Management Plan and the Council will be invited to present its plan to the Keeper during 2016. Work on implementing the plan and improving our approaches to DPA and FOI is already underway and will continue with a review of the Council's retention schedule and physical storage requirements.

Making Clackmannanshire Better
- All R&G services will have responsibilities across all work streams in particular financial modelling, estate reviews and the digitisation of Council services. MCB will continue to present resourcing and governance challenges in ensuring that work is

managed to appropriate project disciplines and suitably qualified staff are available to take part in projects and programmes.

Digital Strategy
- One Council, the Council's new finance system, is being implemented in a phased approach in the first half of the year. Key financial modules went live on 1st April.
- R&G will lead on or support the introduction of an improved digital infrastructure including the better exploitation of the existing systems, such as iTrent, and the ongoing improvements in IT infrastructure and productivity tools.

Governance
- The Council's governance strategy is due for renewal as well as a number of the council's key governance documents. Work on Finance Regulations and Contract Standing Orders was deferred from 2015/16 because of the introduction of the new finance system and new Scottish Procurement Regulations. Work will also be taken forward on the Council's standing orders and scheme of delegation.

Central Scotland Assessors
- R&G provide a number of services to the Central Scotland Assessors and with the increasing pressure on resources work will be undertaken by each of the relevant services to ensure that appropriate support can be delivered in a cost effective manner.

Team Priorities

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

ICT
- Develop a digital strategy to complement the existing ICT strategy and ICT asset management plan.
- Manage the successful delivery of the ICT operational plan which includes a range of capital ICT projects.
- Implementation of the Council's Records Management Plan in conjunction with other R&G colleagues.

Assets
- Manage the successful delivery of the Assets operational plan which includes a range of capital infrastructure projects.
- Review of the cleaning service.

HR, Payroll and iTrent
- Lead on job families and work with the Trade Unions on the future structure of the framework of the Council's terms and conditions.
- Assist the Council with its transformational change agenda, which includes its headcount reduction activities and support service area restructuring activities.
- Continue to review all Human Resources Policies and Procedures to ensure they are fit for purpose and sustainable and make them accessible to all staff.
- Continue to develop manager and employee self service capabilities within iTrent to automate and simplify transactional HR and Payroll services, enabling the future development of strategic HR capacity and capability.

Accountancy
- Exploit the opportunities presented by the introduction of a new finance system to re-structure processes and work more closely with service heads to improve budget management, annual reporting and business case development.
- Revise Finance Regulations to support the above.

Procurement
- Revise Contract Standing Orders and develop Procurement Strategy to align with the introduction of new procurement legislation.
- The structure of Procurement will need to be reviewed in the light of the introduction of the new finance system and ongoing operational requirements and legislative changes to ensure that the Council is achieving best value from its procurement activities.
- Undertake an initial procurement commercial improvement program (PCIP) assessment which the Council will be able to track progress after each assessment cycle (two years).

Internal Audit and Fraud
- Deliver the Internal Audit and Fraud plan and undertake ad hoc investigations into alleged serious breaches of the Council's policies.
- Provide coordinating officer role for Regulation of Investigatory Powers (Scotland) Act.

Democracy
- Deliver the European referendum and Scottish elections in support of the Returning Officer and plan for the 2017 Local Government elections.
- Review the Council's approach to data protection along with ICT colleagues

Legal Services
- Legal services are anticipating that a number of protracted and complex property sales, a substantial volume of council house sales, social work cases and the winding up of the Council's interests in investment vehicles will conclude in the earlier part of 2016/17 freeing up time for supporting governance work and improving the Council's key governance documents, in particular the Council's Standing Orders

Health and Safety

- During 2015/16 the Council encountered a number of serious health and safety breaches which stretched the capacity of the team. The priorities of the health and safety team are firmly focussed on the significant risk areas of the Council's operation and new strategic level structures to ensure the more effective management of health and safety across the Council will be introduced.

3 APPROACHES

The longer term strategic direction for R&G is depicted below. The overall direction is towards providing the Council with strategic support that adds genuine value to the front line services that the public require. There needs to be a decisive shift away from existing working practices to new approaches as follows:

- Currently managerial effort is split evenly between transactional, operational and strategic support. Transactional services that can be re-engineered through process improvement activities and the exploitation of technology should be reduced or eliminated.
- Operational support services that should be owned by service delivery units are identified and sufficient training and coaching is provided to build organisational capacity.
- R&G is predominantly focussed on providing in-house expertise in corporate services and where there are skills gaps those skills are procured or accessed through partnerships or appropriate support from external organisations.

This strategy will deliver savings across all of the teams as well as providing more flexible and appropriate support focussed on the Council's major challenges.
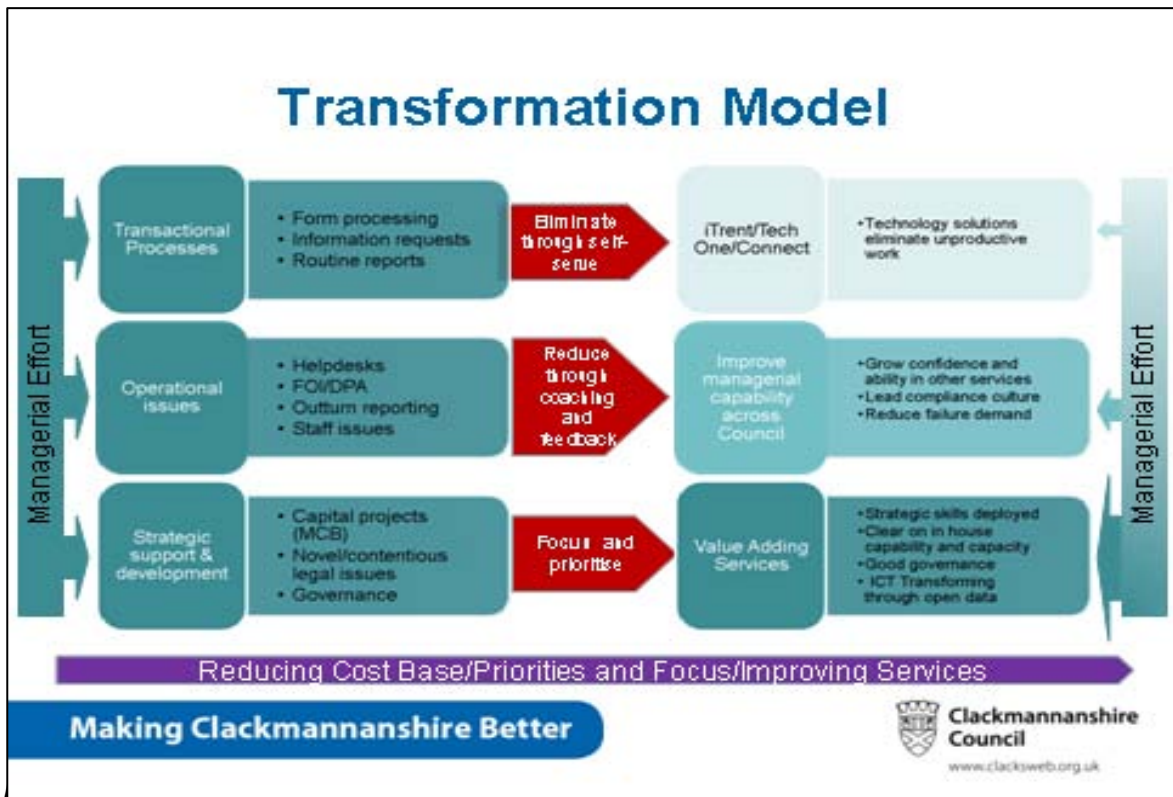
3.1 CUSTOMER/STAKEHOLDER ENGAGEMENT

The R&G transformational strategy requires a re-evaluation of the relationship that the Service has with other Council Services and stakeholders. A simplistic model based on a traditional customer-supplier relationship and the traditional frameworks and metrics that measure progress is no longer appropriate. To ensure good governance in the Council and the delivery of best value, R&G services must be more pro-active in challenging the practices and robustness of the Council's assurance processes, as well as using its skills and expertise to get alongside other services to help improve management processes and ensure their robust implementation. The concepts of business partnering models in HR and accountancy will be developed further and greater use of feedback mechanisms at the point of service delivery will be explored.

3.2 SUPPORTING AND DEVELOPING STAFF

R&G Senior Managers undertook a workforce planning session and will deliver a draft workforce plan narrative during the summer of 2016. R&G will examine opportunities for early release through VR and VS where those are in the best interests of the organisation and the staff member wishing to exit the organisation.

The move towards more strategic services will require investment in skills. Within the current financial constraints investment in training is obviously limited but where there is a business need which is best met by training this will be pursued.

The progress made in implementing a consistent approach to objective setting and appraisal will continue with the aim of ensuring that all staff will have regular meetings with their line managers and have a structured conversation at least once a year outlining what is expected from them, areas of strengths and weaknesses and a chance to reflect on the delivery of personal objectives.

The default position is that iTrent will be used for recording objectives and the PRD discussion across the Service.

3.3 MANAGING SERVICE PERFORMANCE

It is a core responsibility of staff to ensure that data relevant to their personal and, where appropriate, service performance is collated and captured on the relevant corporate system. This will provide accurate and timely performance management information. Performance reports will be considered at service management team meetings and action taken where required to improve performance. The Service Management Team will monitor and manage all aspects of performance, including risk management through service, team and one-to-one meetings.

R&G management have developed a good understanding of the potential benefits of the Covalent performance management system and are active users of it.

R&G's internal control systems aim to demonstrate compliance with external requirements in terms of inspection, audit and review. R&G will continue to liaise and work in partnership with the relevant external agencies including external auditors and government bodies to review practice and identify areas for improvement.

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

4   DELIVERY PLAN

RESOURCES & GOVERNANCE INDICATORS

Covalent Code	KPI	2013/14	2014/15	2015/16	2016/17	Lead
		Value	Value	Value	Target	
ACC B01 RAG	Performance against phased budgeted spend - Resources and Governance	98.3%	100.0%	94.3%	95.0%	Stephen Coulter
GOV AUD 001	Percentage of Internal Audit plan completed	100%	100%	100%	100%	Iain Burns
GOV HAS RAG	Proportion of Resources & Governance Health and Safety Risk Assessments reviewed and up to date	N/A	75.0%	95.0%	95%	Stephen Coulter
ITS CUS 001	Percentage of customers satisfied with ICT services	98.2%	94.8%	96.6%	96%	John Munro
ITS ITS 002	Percentage of available hours lost on ICT systems due to unplanned incidents	0.035%	0.060%	0.035%	0.035%	John Munro
RAG PPL 003	Number of Resources and Governance staff recorded on ITrent as having completed a PRD	NA	NA	40.5%	85%	Stephen Coulter

CORPORATE INDICATORS

Covalent Code	KPI	2013/14	2014/15	2015/16	2016/17	Lead
		Value	Value	Value	Target	
ACC ACC 009	Ratio of capital financing costs to the net revenue stream for General Fund	6.59%	8.20%	tbc	8.2%	Lindsay Sim
ACC ACC 010	Ratio of capital financing costs to the net revenue stream for Housing Revenue Account	8.00%	16.80%	tbc	18.5%	Lindsay Sim
ACC FNR COU	Target level of uncommitted financial reserves is achieved. (£3.6m)	£6.2m	£6.1m	tbc	£3.6m	Lindsay Sim
ED1 AB1 GOV	Average FTE Days Sickness Absence (Teachers)	5.66	10.14	7.2	7.2	Chris Alliston; David Leng
GOV FOI COU	Percentage of Council Freedom of Information requests dealt with within timescale	96.0%	92.9%	91.1%	95%	Andy Hunter
OTR AB1 GOV	Average FTE Days Sickness Absence (Other Local Government)	7.92	12.78	13.43	13	Chris Alliston

ACTIONS

1 Clear Policy Priorities

Covalent Code	ACTION	By When	Lead
MCB RAG 035	Workforce Planning (Corporate)	31-Mar-2020	Chris Alliston
RAG 16 001	Review and revise Governance Strategy and key Governance documents	31-Mar-2017	Stephen Coulter
RAG 16 002	Undertake an options appraisal of services provided to the VJB with the aim of establishing the full costs of service provision and introducing greater formality in the services provided	31-Dec-2016	Stephen Coulter

2 Increasing Income & Savings

Covalent Code	ACTION	By When	Lead
MCB RAG 18c	Income Optimisation	31-Mar-2017	Lindsay Sim
RAG 167 111	Income and charging increase (corporate)	31-Mar-2017	Lindsay Sim
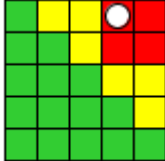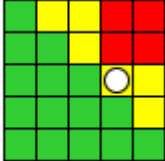
3 Making Efficiencies
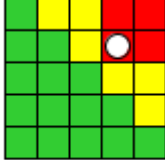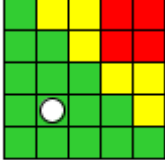
Covalent Code	ACTION	By When	Lead
MCB RAG 018	Resources and Governance Delivery Model	31-Mar-2018	Stephen Coulter
MCB RAG 037	Review Telephone Provision and Digital Transactions	31-Mar-2017	John Munro
MCB RAG 039	Review of working week, role flexibility and other terms and conditions	31-Mar-2017	Chris Alliston
MCB RAG 054	Reduce energy costs and raise awareness of energy usage	31-Mar-2019	Stephen Coulter
MCB RAG 055	Review of Printing	31-Mar-2018	John Munro
MCB RAG 18a	Restructure of Resources and Governance Service	31-Mar-2017	Stephen Coulter
MCB RAG 18b	Review of Equipment and Information Management	31-Mar-2017	John Munro
RAG 16 003	Implementation of Tech One and the realisation of benefits	31-Mar-2018	Lindsay Sim
RAG 167 048	Renegotiate GIS provision and use of Open Source technologies to bring some functionality in-house.	31-Mar-2017	John Munro
RAG 167 062	Relocate Centrespace to other Council building to remove property costs	31-Mar-2017	Eileen Turnbull
RAG 167 066	Reduce or remove unnecessary building lease costs	31-Mar-2017	Eileen Turnbull
RAG 167 095	PPP service reduction	31-Mar-2017	Eileen Turnbull

4 Transforming Services

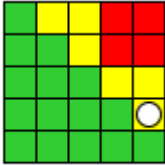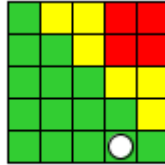| Covalent Code	ACTION	By When	Lead
MCB RAG 067	Assets Review: Cleaning Service	31-Mar-2019	Eileen Turnbull
MCB RAG 099	Reduce Cleaning Service by 25%	31-Mar-2017	Eileen Turnbull

Resources & Governance Risk Register 2016-17

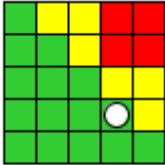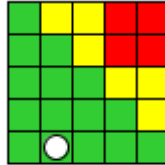| ID & Title	RAG CRR 009	Poor Information & Knowledge Management	Approach	Treat	Status	🛑	Managed By	Stephen Coulter	Current Rating	20	Target Rating	12
Description	Organisational information and knowledge are not effectively managed due to poor information sharing, records and absence management and succession 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	MCB RAG 18b	Review of Equipment and Information Management			Internal Controls	People Strategy						
						Information & Communication Technology Strategy						
						Information Management Strategy						
Latest Note	Risk Remains											

ID & Title	RAG RAG 008	Insufficient resources to support business plan and Council Projects	Approach	Treat	Status	🛑	Managed By	Stephen Coulter	Current Rating	16	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					Internal Controls	Business Planning Process						
Latest Note	Increase in risk score. Increasing change activity in the light of the new budget, MCB, staffing reductions and emerging governance issues of various descriptions are putting pressures on a stretched team. R&G restructuring will assist but new relationships need to be developed with other services											

ID & Title	RAG RAG 006 Staff resilience	Approach	Treat	Status	🛑	Managed By	Chris Alliston; Stephen Coulter; John Munro; Lindsay Sim; Temporary Sim; Eileen Turnbull	Current Rating	16	Target Rating	3
Description	Changing job roles, redundancy 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	MCB RAG 018	Resources and Governance Delivery Model			**Internal Controls**		Leadership Development Programme				
	MCB RAG 035	Workforce Planning (Corporate)					Health & Safety Management System				
							Maximising Attendance & Employee Wellbeing Policy				
							Making Clackmannanshire Better Programme				
Latest Note	Staff resilience as a result of TVR, VS and workload pressure is becoming more strained. Cancellation of ECS and other staff beenfits will ahve an adverse impact on staff morale										

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	MCB RAG 018	Resources and Governance Delivery Model			**Internal Controls**		Governance Panel				
	RAG 16 001	Review and revise Governance Strategy and key Governance documents					Governance Improvement Plans				
							Governance & Audit Processes				
Latest Note	Discussion on AGS Future has taken place between governance managers and Head of R&G. WE have agreed a revised policy is required and a risk based approach to AGS developed. Given other work pressures it may not be possible to completely overhaul the system for 16-17. Increased use of technology in particular embedding iTrent and implementing TechOne for Finance should help manage may compliance issues currently being experienced across the council										

ID & Title	RAG RAG 005	Failure of IT systems	Approach	Treat	Status	⚠	Managed By	Stephen Coulter; John Munro	Current Rating	10	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	ITS BP 07 Business Continuity							Internal Controls	Information & Communication Technology Strategy			
								Business Continuity Plans			
								Operational Business Plan			
Latest Note	Updated impact score to reflect risks associated with use of single site												

ID & Title	RAG RAG 009	R&G Service Reviews	Approach	Treat	Status	✅	Managed By	Stephen Coulter	Current Rating	8	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								Internal Controls	Workforce Planning Process			
								Contract Standing Orders			
								Council Standing Orders			
Latest Note	Service reviews are being undertaken as part of MCB and are already underway. Appointment to key posts and roll out of One OCucnil will accelrate progress												

CLACKMANNANSHIRE COUNCIL

Report to: Scrutiny Committee

Date of Meeting: 18th August 2016

Subject: Strategy and Customer Services Annual Performance Report 2015/16

Report by: Head of Strategy & Customer Services

1.0 Purpose

1.1. This report updates committee on the annual performance and finance position for Strategy & Customer Services for the 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 for the year is outlined below.

3.2 Civic Events - There were a number civic events last year including:-

Clackmannanshire Awards which include the Citizen and Young Citizen of the Year Awards, Armed Forces Day, Fly a Flag for the Commonwealth Day,

Holocaust Memorial Day and unveiling of Commemorative Paving stones for two World War I Victoria Cross Recipients in Tillicoultry.

3.3 Customer Services - Quarterly customer satisfaction surveys were carried out for Community Access Points and the Contact Centre. Satisfaction levels remain consistent at 98.7% and 97.6% respectively. The Service worked with staff and Trade Union representatives to manage the transition to a new set of CAP opening hours from 1st October 2015. There was little or no negative feedback from customers following the changes.

3.4 Leisure Services - Significant in-year progress has been made in reducing the leisure deficit. A number of actions are being implemented to encourage greater use of core leisure facilities and increase uptake of the three community campus facilities.

3.5 Scottishcertificates.org.uk - Scottish Certificates income increased by 80% on the previous year.

3.6 Registration Service - Customer surveys are carried out following all ceremonies undertaken by Registration staff. Satisfaction levels remain very high (100% satisfied/very satisfied).

3.7 Efficiency - Strategy and Customer Services continue to review ways of working to be as efficient as possible focussing on priority areas of work. This is progressing within the context of identified savings for 2016/17. Business Support continues to use the flexibility of the Model to move staff into priority areas, thereby reducing the need to replace vacancies. Front line leisure staff are being utilised as flexibly as possible to help reduce expenditure on relief staff.

3.8 Community Planning - The Service has implemented a new structure and governance arrangements for Community Planning which was approved at the Alliance meeting in September 2015. This has included the development of a new Alliance Board which met for the first time in December 2015 and revision of the Memorandum of Understanding to reflect the changes. A strategic assessment was undertaken to inform the direction of Community Planning work for 2016/17 with a number of focussed priorities identified and a number of next steps for development of partnership working scheduled.

The Service has led on local transition to the new model for Community Justice. Regular briefings have been prepared for partners on the transition arrangements throughout 2016/17 and the Transition Plan for Clackmannanshire was submitted in December 2015. A Policy Co-ordinator post for Community Justice Transition has been recruited to support implementation of transition arrangements in Clackmannanshire.

The Service has briefed Council colleagues and partners on the new Community Empowerment Act and most recently has drafted responses on the guidance and regulations published by the Scottish Government following enactment of the Bill in summer 2015.

3.9 Community Consultation & Engagement - The Service continued to engage with local communities to increase dialogue about service delivery and service redesign. This has involved attending various community meetings including

community council meetings. The Service has worked with local communities to develop and increase capacity particularly with Community Councils and Tenants and Residents Federation, and has engaged with a number of communities who have revised or refreshed their local community plans. Specific engagement has also taken place as part of Making Clackmannanshire Better - specifically consultation on proposed campus developments in Tullibody and 2016/17 budget consultation.

We also continue to exercise our monitoring role in respect of a number of Service Level Agreements held with local 3rd sector organisations, most of which were delivered successfully. An overpayment of £5000 to The Gate, which provides crisis support in the form of food and basic toiletries for homeless people and families struggling with poverty, has come to light since the end of the financial year. This was a result of duplicate invoices for their SLA, both of which were processed in error. The new TechOne finance system should prevent any future recurrence, and we are currently in discussions with The Gate to secure recovery of the monies without undermining its organisational viability.

The Service had a key role in supporting a number of significant consultations. Two of these related to the proposed campus development in Tullibody and the Councils budget consultation for 2016/17. This work included on-line publication and communication of consultation materials, significant engagement via face to face events, social media communications and development of the budget simulator engagement tool.

3.11 Communications - Key achievements in 2015/16 have included the development of a new online version of View which is accessible via digital magazine software; development of an online press function; development of the Council's social media profile with the milestones of 5000 Facebook friends and 6000 twitter followers achieved in the year; a full refresh and rebranding of Clacksweb content and navigation; various high profile media and communications campaigns including Health and Social Care Integration Strategic Plan, Shared Services, 16/17 Budget Consultation, civic events, Parliamentary Elections and refugees.

3.12 Corporate Leadership and Development - Service and Corporate training was delivered throughout 2015/16 in line with proposals agreed by CMT in 2015. Pathway 2 Leadership programme has continued to run its course throughout 2015/16 in line with the agreed programme. The Service alongside Resources & Governance Services developed a Workforce Planning Strategy and Workforce Planning toolkit for use by services.

3.13 Counter Extremism and Serious and Organised Crime - The Service has responsibility for ensuring that the Council is meeting its statutory obligations in relation to Counter extremism and Serious and Organised Crime (SOC). A number of key achievements in 2015/16 have included; staff trained to deliver WRAP counter-extremism training, 150 staff trained in WRAP and senior staff briefed and trained in both WRAP and Serious Organised Crime (Exercise Estrella, Insider Threat); Grapevine and View articles on counter-extremism and Serious and Organised Crime; SOC checklist completed and role/membership of corporate Risk & Integrity Forum revised, corporate roll-out of Stay Safe video; review of major building security and evacuation procedures to reduce risk should a major terrorist incident occur; and review

of mail handling, hall lettings, procurement and recruitment policies and processes undertaken..

3.14 Making Clackmannanshire Better - The Service continues to provide programme management support for Making Clackmannanshire Better as well as implementing a number of service projects. The Income Management System (ParentPay) introduced within the three Secondary Schools continues to be promoted, most recently through the P7 induction process. Parent/carer engagement has been very positive for this new way of working. The income for the initial period January to March was:-

Lornshill	Academy	-	£48,285
Alloa	Academy	-	£9,510
Alva	Academy	-	£116,384

This includes income for school meals and school trips. All business case agreed by Council were delivered by the due dates.

3.15 Third Sector – an Internal Audit review found that The Gate had inadvertently invoiced the Council for £5000 twice during 2015/16 for foodbank services. The terms of a reasonable repayment plan is being discussed with The Gate to ensure full recovery. Changes to systems as a result of implementation of the TechOne should eradicate this type of occurrence in future. Three organisations appealed the Council decision to reduce their funding by 7.1%, these were: The Gate, Citizens Advice Bureau and Women's Aid. None of the appeals were upheld on the basis of insufficient additional evidence.

3.16 Emergency Planning - Extensive training has been planned and delivered this year, culminating in a large scale exercise with over 70 attendees from 25 organisations. Other training has included Rest Centre Management, Vulnerable Persons Team, WRAP (Workshop Raising Awareness of Prevent) which is part of the Government's counter-terrorism strategy. Training with other partners has included the completion of the 2 year Incident Assistance Team preparedness and assisting other authorities with Rest Centre Training.

The Council Major Emergencies Plan, the COMAH Plan and the Emergency Contacts Directory have all been updated. National work has been undertaken on Pandemic Influenza and Rabies Plans.

In terms of reactive work, December saw strong activity in regard to the storms and flooding affecting Scotland, which fortunately did not have a large physical effect on Clackmannanshire. However, a number of schools had to be evacuated in the last quarter, which identified a need for further training for Education staff..

3.17 Business Support: - Seven surveys in total were carried out within the year. Positive feedback has been received with an overall satisfaction of 98.2%. Results of the surveys were shared with staff and customers with an improvement/action plan formulated which will be reviewed on a regular basis. One member of staff achieved SVQ Level 3.

4.0 Financial Performance

4.1. This element of the 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 October 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 £'000	Projected Outturn £'000	Variance £'000
Business Support	2,330,888	2,260,122	(70,766)
Comms &Marketing	283,660	287,492	3,832
Corporate Training	328,800	228,636	(100,164)
Customer Services & Libraries	1,434,360	1,273,438	(160,922)
Head of Strategy & Customer Services	92,470	90,631	(1,839)
Member Services	419,890	401,068	(18,822)
Performance & Business Change	1,330,500	1,237,841	(92,659)
Leisure Services (Customer Services)	345,692	345,690	0
TOTAL	**6,566,260**	**6,123,903**	**(442,357)**

4.3. Overall, Strategy and Customer Services had an underspend of £442,357 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, and above-forecast income in relation to Scottish Certificates and Clean Mail. These have already been factored into proposals for future budgetary savings.

4.5. Progress with Savings - The Service has implemented the majority of savings for 2015/16 (£220,000 compared with target of £225,850). One modest saving was not achieved which was related to staff costs.

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

<u>Business Support</u> - Business Support employed a total of six modern apprentices in 2015/16. Of the three who have left, all secured employment, two within the Council and one in the private sector.

Business Support was heavily involved in the implementation of ParentPay from December inwards. This involved project management as well as engagement with staff, pupils, parents and carers. The project was delivered on time and income is currently on target.

Business Support staff were also involved in the procurement process for a new IT system in Childcare. This involved attendance at project meetings to scope out the needs of the system and will continue once the system has been procured.

Business Support were actively involved in a lengthy piece of work for Scottish Government in liaison with Legal Services which resulted in a large amount if income for the Council.

A member of the team working within Finance has undertaken working with dual systems in order to maintain continuous workflow during the transition to the new Technology 1 Finance system.

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	☐
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 ☑   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 and Internal Audit and Fraud 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 ☐

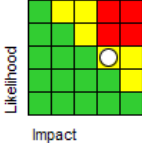**Strategy & Customer Services Business Plan 2015/16**

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	Signed: S Crickmar
Garry Dallas	Executive Director	Signed: G Dallas

Strategy & Customer Services   **APPENDIX B**

2015-16 Annual Report

Key to symbols used in this report

PIs		ACTIONS		RISKS		
Long Trend (Overall trend over longer term)		**Status**		**Current Rating** Likelihood x Impact (1 - 5)	**Status**	
⬆	Performance has improved	✅	Complete		🔴	Rating 16 and above
➡	Performance has remained the same	✔	In Progress		⚠	Rating 10 to 15
⬇	Performance has declined	⚠	Check Progress		✅	Rating 9 and below
❓	No comparison available - May be new indicator or data not yet available	🔴	Overdue	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.		
		❌	Cancelled			

MCB1 Having Clear Policy Priorities

Code	Description	2013/14 Value	2014/15 Value	2015/16 Target	2015/16 Value	Long Trend	2015/16 Note	Lead	Priority Outcome
SAP CL1 006	Local residents who feel Clackmannanshire has strong sense of community	70%	58%	80%	60%	⬇	This measure has improved by 2 percentage points over the last 12 months. With the exception of a peak result in 2013/14 this measure has been slowly increasing in Clackmannanshire which is positive despite falling short of the target. This measure has been steadily improving over the past 5 years which is a positive trend despite falling short of the target.	Cherie Jarvie	2
SAP CL1 007	Local residents who feel that they should be consulted more on how local services are delivered	46%	44%	30%	40%	⬆	This measure has improved by 4 percentage points over the last year and by 13 percentage points since 2011/12. This signals good progress despite falling short of the target. This measure has improved by 4 percentage points over the last year and by 13 percentage points since 2011/12. This signals good progress despite falling short of the target.	Cherie Jarvie	2
SAP CL1 027	Local residents who state that they feel public agencies work well together in Clackmannanshire	42%	42%	50%	42%	▬	This measure has remained the same for the past 3 years of the survey. The proportion of residents who rate public services in general as very good or fairly good has however increased by 1 percentage point over the last year from 93% to 94%.	Cherie Jarvie	2
SAP CL1 030	Overall satisfaction with opportunities for participating in local decision making	34%	35%	50%	39%	⬆	This measure has improved by 4 percentage points since 2014/15 and signals positive progress in efforts to increase opportunities for local decision making.	Cherie Jarvie	2

Covalent Code	ACTION	By When	Progress	Status	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	100%		There were a number of civic events last year including:- Clackmannanshire Awards which include the Citizen and Young Citizen of the Year Awards, Armed Forces Day, Fly a Flag for the Commonwealth Day, Holocaust Memorial Day and unveiling of Commemorative Paving stones for two World War I Victoria Cross Recipients in Tillicoultry.	Alison Bryce	
SCS 15 002	Provide support for elections in 2015/16	31-Mar-2016	100%		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	
SCS 15 003	Support consultations on major priorities: . MCB/budget process . significant corporate strategies	31-Mar-2016	100%		Three significant consultations have been supported throughout 2014/15 - two on the proposed Tullibody Campus and the 16/17 budget consultation in December and January 2015/16. This year the a new budget simulator tool was piloted as part of the overall budget consultation approach.	Cherie Jarvie	
SCS 15 005	Deliver an approved business case that defines settlement hubs in Clackmannanshire	31-Dec-2015	100%		Business case developed and approved by Council at the special council meeting in February 2016	Stuart Crickmar	
SCS 15 008	Complete transfer of Museum & Archive local collections from Mar Street within approved budget	30-Sep-2015	90%		Aim is to create a Local Archives & Local Collections facility in the Lesser Speirs Hall. Project partly delayed due to need to improve the condition of the floor prior to installing the archive shelving. Project now expected to go live end Summer.	Brian Forbes	
SCS 15 013	Introduce Leisure pricing strategy that ensures future sustainability, including full cost recovery model	30-Sep-2015	100%		A new leisure pricing structure was approved in the February budget. A series of management actions continue to be taken forward to reduce the leisure deficit.	Brian Forbes	

Covalent Code	ACTION	By When	Progress	Status	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	100%		There were a number of civic events last year including:- Clackmannanshire Awards which include the Citizen and Young Citizen of the Year Awards, Armed Forces Day, Fly a Flag for the Commonwealth Day, Holocaust Memorial Day and unveiling of Commemorative Paving stones for two World War I Victoria Cross Recipients in Tillicoultry.	Alison Bryce	
SCS 15 016	Refresh Single Outcome Agreement	31-Dec-2015	20%		Significant progress has made throughout the year to strengthen the governance of the CPP including the development of a new CPP Board. These developments are in line with the Statement of Ambition. A number of new expectations are being placed on CPPs as a result of the Community Planning aspects of the new Community Empowerment Bill. The Bill requires the development of new Local Outcomes Improvement Plans (LOIPs) which will in effect replace the current SOA. The new LOIP for Clackmannanshire is required to be developed by 1st October 2017.	Cherie Jarvie	
SCS 15 017	Implement People Strategy actions in support of MCB programme	31-Mar-2016	100%		Delivery of pathways 1 and 2 of the Leadership Development Programme has now completed; An new Strategic Workforce Strategy has now been approved by Council effectively superseding the People Strategy. A workforce planning toolkit has been developed to support services in their workforce planning approaches. A review has been completed on the Councils competency framework which will inform the development of a new framework. Proposals were made to CMT on conducting a staff survey in 2015/16 however it was agreed not to progress in the year as a result of other priorities.	Cherie Jarvie	

Covalent Code	ACTION	By When	Progress	Status	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	100%	✅	There were a number of civic events last year including:- Clackmannanshire Awards which include the Citizen and Young Citizen of the Year Awards, Armed Forces Day, Fly a Flag for the Commonwealth Day, Holocaust Memorial Day and unveiling of Commemorative Paving stones for two World War I Victoria Cross Recipients in Tillicoultry.	Alison Bryce	
SCS 15 018	Implement Communications & Marketing Strategy actions in support of the MCB programme	31-Mar-2016	100%	✅	A significant review of ClacksWeb was completed in 2015/16 which improved site functionality, structure and content. The review included the publication of the new online press office function. A review of the out of hours service provided by the team was undertaken to ensure it is fit for purpose. A review of the Council's social networking policy has also been conducted to ensure that if meets the Councils communication requirements. Grapevine and View publications have been revised and improved with a new digital version of View launched. The printers framework agreement was reviewed and awarded in 15/16. A number of external communications campaigns were launched in 2015/16.	Cherie Jarvie	
SCS 15 019	Implement Information, Library & Learning Strategy actions in support of MCB programme	31-Mar-2016	100%	✅	Significant progress has been made with the strategy actions over the last 2 years re Speirs Centre, programme of events and activities, improved technologies with new PCs and wifi installed in all local offices, eBooks service and 1-1s support to jobseekers applying online. A staff training programme has also been completed to increase their digital skills, enabling staff to provide more support to customers.	Brian Forbes	
SCS 15 022	Report annual reviews	31-Dec-2015	100%	✅	See comments below.	Cherie Jarvie	

Code	Sub-Action	By When	Progress	Status	Latest Note	Lead
SCS 15 022-1	SOA	31-Dec-2015	100%	✅	SOA review is complete.	Cherie Jarvie

SCS 15 022-2	SPI Direction		30-Sep-2015	100%	✅	SPI direction is complete.	Cherie Jarvie

Covalent Code	ACTION	By When	Progress	Status	Latest Note	Lead	Priority Outcome
SCS 15 023	Scrutiny Improvement	31-Mar-2016	100%	✅	See comments below.	Stuart Crickmar	

Code	Sub-Action	By When	Progress	Status	Latest Note	Lead
SCS 15 023-1	Implement plan approved Feb 2015	31-Mar-2016	100%	✅	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	100%	✅	An assessment was undertaken with committee in June 2015.	Stuart Crickmar

MCB2 Increasing Income & Savings

Code	Description	2013/14 Value	2014/15 Value	2015/16 Target	2015/16 Value	Long Trend	2015/16 Note	Lead	Priority Outcome
GOV AB1 BUS	Average FTE Days Sickness Absence (Business Support)		8.83	7	12.51	❓	There has been an increase in sickness absence by an average 3.68 days. This has been attributable to a number of long term absences throughout the year. Almost all long term absentees have now been returned to work.	Alison Bryce	9
GOV AB1 CUS	Average FTE Days Sickness Absence (Customer Services)		18.13	7	11.25	❓	Positive improvement on previous year - reduced from 18.13 days per FTE to 11.25 days per FTE. Two long term absences have now returned to work.	Brian Forbes	9
GOV AB1 SAP	Average FTE Days Sickness Absence (Strategy & Performance)		8.93	7	3.98	❓	There has been a positive improvement in sickness absence in the service when compared with 14/15. The service has had no long term absences in 15/16.	Cherie Jarvie	9
GOV AB1 SCS	Average FTE Days Sickness Absence (Strategy & Customer Services)	9.1	11.3	7	10.62	⬇	There was a small improvement on sickness absence from last year amounting to 0.7%. The Service continues to follow the Council's Absence Management procedures to support staff.	Alison Bryce; Stuart Crickmar; Brian Forbes; Cherie Jarvie	9
SCS SCS BUD	Budget savings (£000)	272.83	310.00	225.85	220.00	➡	The Service has implemented the majority of savings for 2015/16 (£220,000 compared with target of £225,850). One modest saving was not achieved which was related to staff costs.	Alison Bryce; Brian Forbes; Cherie Jarvie	9

Covalent Code	ACTION	By When	Progress	Status	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	100%	✅	Business case finalised and submitted as part of the budget process 16/17.	Stuart Crickmar	

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Code	Description	2013/14 Value	2014/15 Value	2015/16 Target	2015/16 Value	Long Trend	2015/16 Note	Lead	Priority Outcome
GOV FOI SCS	% FOI enquiries responded to within timescale - Strategy & Customer Services	85.7%	97.1%	100.0%	90.6%	⬇	90.6% of FOI enquiries were responded to within timescales compared with 97.1% in 14/15. This equates to 27 out of 30 enquiries received on time. Enquiries dealt with outwith timescale related to collation of statistical information regarding use/cost of football pitch hire, contact centre statistics on volume of e-mail, telephone calls.	Brian Forbes	9
BUS BUS 002	Customer satisfaction with overall experience of Business Support	85.2%	100.0%	95.0%	99.7%	⬆	The satisfaction levels have decreased by 0.3% from last year, however they have exceeded the target of 95%. An Action Plan has been drawn up within the team and is currently being implemented following feedback from our customers.	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%	❓	100% of all enquiries were dealt within timescale	Stuart Crickmar	9
BUS MPQ SCS	Percentage of MP/MSP enquiries dealt with by Strategy & Customer Services within timescale		55.5%	100.0%	75.0%	❓	75% of total enquiries received were dealt within timescale. One enquiry was dealt with outwith timescale and was in relation to external funding to an organisation.	Alison Bryce; Stuart Crickmar	9
CUS C01 SCS	Number of formal complaints received by Strategy & Customer Services	14	12	9	17	⬇	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 (based on date received)	92.9%	75%	100%	94.1%	⬆	There has been an improvement in time taken to respond to complaints (16 out of 17 within timescale).	Brian Forbes;	9
CUS C03 SCS	% formal complaints dealt with by Strategy & Customer Services that were upheld/partially upheld	64.3%	92%	67%	76.5%	⬆	Target exceeded although % upheld/partially upheld has reduced since previous year.	Brian Forbes	9
CUS CAP 001	Satisfaction with overall experience of Community Access Points	97.6%	98.5%	100.0%	98.7%	⬆	Customer satisfaction with CAPs remains consistent.	Brian Forbes	9
CUS CTC 003	Satisfaction with overall experience of the Contact Centre	90.4%	89.8%	92.0%	97.6%	⬆	Customer satisfaction with the Contact Centre has increased from 89.8% in 2014/15 to 97.6% this year.	Brian Forbes	9
CUS LIB 005	% of population who regularly use the library (i.e. borrow books)	12.10%	8.90%	12.00%	7.90%	⬇	The number of active borrowers has remained fairly static throughout the year (circa 8% of population). This indicator will be replaced by a new indicator in 2016/17 measuring total usage of Community Hubs and not simply book borrowing.	Brian Forbes	9

Code	Description	2013/14 Value	2014/15 Value	2015/16 Target	2015/16 Value	2015/16 Long Trend	2015/16 Note	Lead	Priority Outcome
CUS REG 001	Customer satisfaction with overall experience of the Registrars Service	100.0%	97.0%	100.0%	100.0%	⬆	21 out of 21 customers were satisfied/very satisfied with Registrars service.	Brian Forbes	9
SAP CL1 016	Local residents who state that they have had good experience of Library Services in the last year	92%	94%	95%	95%	⬆	This indicator is from the Scottish National Household survey and remains consistent at 95% in 2015/16. Customer satisfaction with the library service offering in Clackmannanshire is measured and reported quarterly to R&A as a subset of the Community Access Points customer satisfaction measure.	Brian Forbes	9
SAP CL1 032	% of residents who agree that Clackmannanshire Council meets or exceeds expectations in communicating with them	38.00%	41.00%	50.00%	44.00%	⬆	This indicator continues to improve - increasing by 5 percentage points since 13/14. This signals positive progress of a number of communications strategies and initiatives although clearly there remains room for improvement.	Cherie Jarvie; Karen Payton	9
SAP CL1 033	% of residents who are satisfied with the information that the Council provides on performance	39%	40%	50%	44%	⬆	This measure has improved by 4 percentage points over the last year and by 18% over the past 4 years showing steady progress. Satisfaction has increased by 6 percentage points in our regeneration areas to 47%. Despite this progress the target set for 2015/16 has not been met.	Cherie Jarvie	9
SAP SAP 001	Customer satisfaction with overall experience of Strategy & Performance	85.0%	89.0%	95.0%	88.0%	❓	Satisfaction rates are similar to those reported in 14./15 but have improved by 3 percentage points since 13/14.	Cherie Jarvie	9
SAP SHS LEI	The proportion (%) of adults surveyed as part of the Scottish Household Survey who are satisfied or very satisfied with leisure facilities (LGBF Code: C&L5d)	68%	81%	-	-	❓	15/16 data not yet available.	Brian Forbes	9
SAP SHS LIB	The proportion (%) of adults surveyed as part of the Scottish Household Survey who are satisfied or very satisfied with libraries (LGBF Code: C&L5a)	79%	81%	-	-	❓	15/16 data not yet available.	Brian Forbes	9

Covalent Code	ACTION	By When	Progress	Status	Latest Note	Lead	Priority Outcome
SCS 15 008	Complete transfer of Museum & Archive local collections from Mar Street within approved budget	30-Sep-2015	90%	🛑	Project to create a local archives/local collections facility in Lesser Speirs Hall delayed due to need to improve condition of floor. Project now expected to go live end Summer.	Brian Forbes	

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Covalent Code	ACTION	By When	Progress	Status	Latest Note	Lead	Priority Outcome
SCS 15 011	Strategy & Customer Services will demonstrate high standards of people management	31-Mar-2016	100%	✓	Regular team meetings continue to be held across all areas of Strategy & Customer Services. Line managers have ensured all PRDs were completed timeously. Regular 1-1s are carried out with support and guidance provided to staff, where required. Council and service updates are communicated through 1-1's and via the Council's agreed cascade process. HR advisers attend monthly Management Meetings and Team Meetings and where appropriate meet separately with managers on specific issues.	Alison Bryce; Stuart Crickmar; Brian Forbes; Cherie Jarvie	

Code	Sub-Action	By When	Progress	Status	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 and legislative training bids approved by CMT in line with the Corporate L&D process.	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	100%	✓	A sample assessment of PRD's (10%) was undertaken with 100% PRD's completed.	Alison Bryce; Stuart Crickmar; Brian Forbes; Cherie Jarvie

Covalent Code	ACTION	By When	Progress	Status	Latest Note	Lead	Priority Outcome
SCS 15 015	Ensure that Strategy & Customer Services operates to very highest standards of Governance	31-Mar-2016	100%	✓	See comments below.	Alison Bryce; Brian Forbes; Cherie Jarvie	
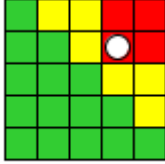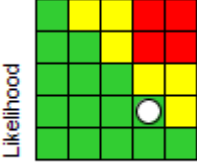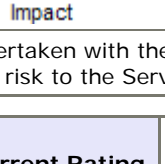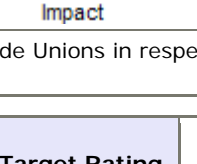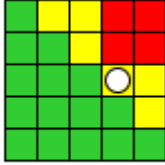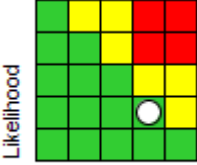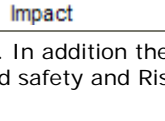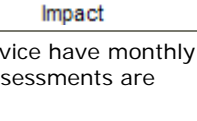
Code	Sub-Action	By When	Progress	Status	Latest Note	Lead
SCS 15 015-1	Review service information management, including data security and anti-fraud processes & improve staff awareness & development	31-Oct-2015	100%		Service continues to review information management needs and requirements and assesses risk. IM is discussed and reviewed regularly and best practice shared at Service Development meetings. The service also contributed 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	100%		Workforce planning is being addressed by the S&CS Management Team as part of service reconfiguration, service modelling exercises and the development of MCB Business Cases. Monthly meetings are being held with Unison. A training session on workforce planning was undertaken for S&CS management team throughout the year and the service has developed a workforce strategy.	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	100%		Staff engagement continues in the form of regular 1-1's and team meetings as well as service development meetings with Managers and team leaders. Monthly meetings are also held with the Trade Unions to ensure regular engagement with regard to proposed service changes. Budget consultation exercises have been held with staff, community groups and the wider community.	Alison Bryce; Brian Forbes; Cherie Jarvie
SCS 15 015-4	Review business continuity arrangements	31-Mar-2016	100%		Business Continuity continues to be assessed on a regular basis at Service Development meetings, supported by the Council's Emergency Planning Officer. Business Continuity plans were updated in Winter 2015 to assess risks and agree mitigation actions.	Alison Bryce; Brian Forbes; Cherie Jarvie
SCS 15 015-6	Review and improve service approaches to project management	31-Mar-2016	100%		Training on project management has been provided to support capacity building of staff who are working on projects and all team leaders and service managers have received training on project management.	Cherie Jarvie

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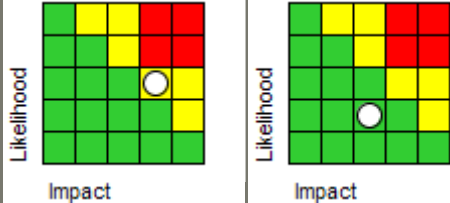
Covalent Code	ACTION	By When	Progress	Status	Latest Note	Lead	Priority Outcome
SCS 15 021	Design & implement sustainable improvement framework	31-Mar-2016	100%	✅	A new framework was developed which combined the CIM model with the Annual Governance Process, however the combined process was not implemented in 15/16. Proposals for a revised framework for 16/17 are being developed and will be considered by CMT in early summer 16/17.	Cherie Jarvie	
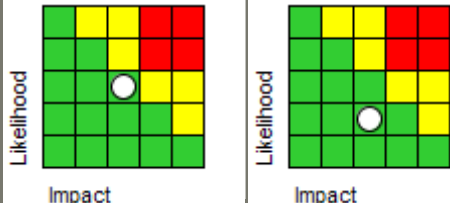
MCB4 Transforming Services
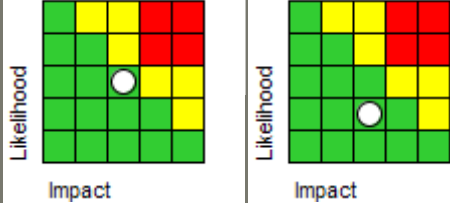
Covalent Code	ACTION	By When	Progress	Status	Latest Note	Lead	Priority Outcome
SCS 15 025	Update approach to customer contact management handling	31-Dec-2015	100%	✅	Approach outlined in Community Hubs Business Case approved February 2016.	Stuart Crickmar	
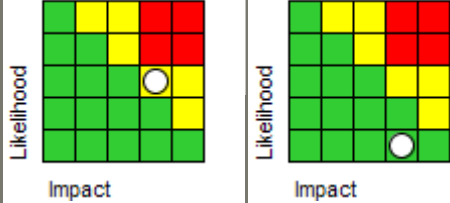
Service Risk Register 2015-16

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										
Potential Effect	Decline in service provision; tasks not delivered; decline in staff moral; customer dissatisfaction										
Related Actions	SCS 16 016-1 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. Regular engagement is undertaken with the Trade Unions in respect of 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-adherance	Approach	Treat	Status		Managed By	Alison Bryce; Brian Forbes; Cherie Jarvie	Current Rating	12	Target Rating	8
Description	Corporate governance requirements not adhered to										
Potential Effect	Reputational damage; loss of confidence, legal action										
Related Actions	SCS 16 017 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 have monthly Service Development and Risks meeting attended by managers and team leaders where key governance risk areas such as health and safety and Risk Assessments are discussed.										

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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						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						Internal Controls	Community Engagement Process					
							Single Outcome Agreement					
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					**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. The focus of Service communication over the last quarter has been on the change programme and 16/17 budget.

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	12	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 submitted business cases on 3 key areas for budget savings over the next years through the Making Clackmannanshire Better Programme. These will be discussed through the Budget process.

Internal Audit and Fraud Progress Report: Strategy & Customer Services

Business Continuity Planning

AUDIT FINDING	IAF BCP 03	There are a number of service areas where there is a lack of documented plans in place. There are also a number of instances where plans are in place but are demonstrably out of date.			Priority	2	Sign-off	No	

Agreed Action		Original Due Date	Due date	Status	Progress	Latest Note	Lead
SCS BCP 03	Collation and risk-based review of all service plans following move to Kilncraigs after new surroundings have been appraised.	31-Aug-2015	31-Aug-2015	✅	100%	All major corporate plans have now been updated including the MEOPS plan and the COMAH plan. Departmental continuity plans are now in place for the majority of services although further work remains to be undertaken with Education.	David Johnstone

Information Governance

AUDIT FINDING	IAF IGA 06	Officers involved in the administration and management of documentation and records have only received limited training.			Priority	2	Sign-off	No	

Agreed Action		Original Due Date	Due date	Status	Progress	Latest Note	Lead
SCS IGA 06	This will be considered in phase 2 of the Records Management Project. Phase 2 is yet to be scoped but will incorporate appropriate training.	31-Mar-2016	31-Mar-2016	🔴	90%	This action relates to the co-ordination of specific training in relation to this project. Training needs are yet to be identified and once they have been these will be incorporated into the corporate training programme for 16/17.	Andrew Aitken

Strategy & Customer Services Budget v Outturn
MARCH OUTTURN

The projected underspend has increased by £109k from the January outturn to £440k due to projections being made equal to actuals and a lot of projections having been underspent.

- Staffing underspends in Business Support due to vacant 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 2.0FTE staff to help with the demand, while still generating further underspends.
- Vacant posts in Performance and Strategy not being replaced, Team Leader left and a post transferred to Housing.
- Leisure overspends due to a shortfall in income and an unachievable budget saving target. Review being carried out to look at full cost recovery, while also looking at opening hours, staff contracted hours and charges for lets. Overspend at zero at year end due to budget virement from underspend in Business Support.

	Budget 15-16 £'000	Outturn 15-16 £'000	Variance 15-16 £'000	Jan 16	Change
STRATEGY & CUSTOMER SERVICES	6,568	6,127	(442)	(331)	(111)
Business Support					
Staff turnover, and no authority given to fill posts, underspends across the service including Education & Housing (£44k), Adult Care (£51k) & Childcare (£29k).			(162)		
Mail budget continues to show underspend against budget with overspends in Supplies & Services (Equip Rental/Leasing & Postage costs) being offset by additional income from recharges out to services.			(6)		
Children's Panel - Agreement has changed to admin charge only, no expenses with an underspend of £6k in payments to Other Local Authorities (zero cost this year and prior 2 years) being the main contributor.			(9)		
MA income projection (£7k) and NHS Forth Valley invoice (£5k) received in Education not budgeted for			(12)		
			120		
Budget virement at year end from underspend in Business Support to make overspend in Leisure zero. Main contributor to projected underspend is Staff costs which are projected at £162k underspent against budget. Mail underspend of £6k with additional recharge income offsetting overspends in postage and equipment rental.	2,331	2,260	(71)	(202)	131
CEO					
In line with budgeted net expenditure.	2	2	(0)	0	(0)
Comms & Marketing					
Unachievable income targets (including adverts placed in the corporate Newspaper), £3k budget, zero to date / projected.			3		
Overspends in Supplies & services - Printing Outside Contractors & Subscriptions.			1		
Projected overspend of £4k arising from an income shortfall of £3k plus overspends in Subscriptions and Printing costs of £1k.	284	287	4	8	(4)
Community Chest					
This scheme ended on 31st March 2015	0	0	0	0	0
Corporate Training					
Underspend of £100k. Budgets allocated as per Bids submitted. Only funding mandatory/legislative requirements for post, plus any training agreements already in place. This underspend has increased by £33k from January to March but service had not advised projected spend to year end in January so projections left as they were.	329	229	(100)	(68)	(33)
Customer Services & Libraries					
Staffing underspends throughout Customer Services & Libraries due to staff leaving through VS and vacant posts.			(27)		
Income generated from Scottish Certificates as demand continues to grow, surplus over budget of £140k.			(140)		
Cleaning & Hygiene Materials - no costs through for the year & underspend in transport expenditure			(3)		
Overspend in supplies and services due to photocopying increases (many of the machines were never charged for on the previous contract), postages, subscriptions and computer software purchase			11		
Overspends in Payments to Other Agencies at Speirs Ctr and other cost centres			5		
Income received more than projected - £2k Registrars & £7k Library Administration			(9)		
Main contributors to the projected underspend of £161k are savings in staff costs of £27k (VS leavers & vacant posts) and an underspend of £89k in Scottish Certificates. Projected underspend has increased by £42k from January, the main contributors to this being increased income from Scottish Certifictes and a reduction in projected CAP relief staffing costs.	1,434	1,273	(161)	(119)	(42)
Head of Strategy					
Projected underspends in Supplies & Services and Third Party Payments, as per previous years	92	91	(2)	(2)	0
Members Services					
Reduction in payments to elected members, plus budget built up for 1.5% inflation, only 1% given and 1 less senior member. Income (£4k) Includes Cllr holden recharge to VJB.	420	401	(19)	(16)	(2)
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 via VS			(75)		
Underspend in staff travel costs offset by overspends in supplies & services and other council accounts			(3)		
Supplies & Services various underspends as budgeted amount not spent. Grants & Donations £12k overspent as Annual Admin Grant costs now coded here, budget virement needed 16/17			(5)		
Payment to other agencies (budget is for budget consultation or Options Appraisals, but nothing is planned at the moment)			(5)		
Payments to voluntary organisations projected at £460k, an underspend of £4k - 2 x Local Development Plans projected were not applied for and therefore not paid out			(4)		
Underspends from staffing due to Team Leader leaving and not being replaced, post transferring to HRA and removal of post via VS. Underspends in payments to other agencies (budget is used for options appraisals and budget consultation which there are not plans for at the moment) and Payments to Voluntary Organisations and Grants & Donations.	1,331	1,238	(93)	(86)	(7)

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The projected underspend has increased by £109k from the January outturn to £440k due to projections being made equal to actuals and a lot of projections having been underspent.

- Staffing underspends in Business Support due to vacant 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 2.0FTE staff to help with the demand, while still generating further underspends.
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	Budget 15-16 £'000	Outturn 15-16 £'000	Variance 15-16 £'000	Jan 16	Change
STRATEGY & CUSTOMER SERVICES	6,568	6,127	(442)	(331)	(111)
Leisure (Customer Services)					
Unallocated budget saving in Admin Support cost centre - 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. In 2013/14 saving target of £118k, in 2014/15 and 2015/16 unallocated target of £95k remains.			95		
Staffing underspend - with overspends at Alloa Town Hall, Sauchie Hall, Alva & Lornshill Academies, Cochrane Hall & Ben Cleuch Centre reduced by underspends at Alloa Academy, Leisure Mgmt, Dumyat Ctr & Dollar Civic Ctr.			(1)		
Supplies & Services - various underspends with main ones (£3k) Clothing & Uniforms and (£5k) Performing Rights			(11)		
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. Shortfall on Lets and Charges, income shortfall reduced by £25k from January outturn.			47		
Various small underspends and overspends across premises and third party payments.			3		
Budget virement at year end from underspend in Business Support to make overspend in Leisure zero.			(120)		
Projected £120k overspend being driven by historically unachieved budget saving target and income shortfall. Review being completed to reduce the gap between income received and costs for covering each let, this will include opening hours, staffing contracted hours and fees being charged for each let. This gap had reduced by £34k from January to March outturns - budget virement from Business Support underspend processed March to reduce overspend in Leisure to zero.	346	346	0	154	(154)
STRATEGY & CUSTOMER SERVICES TOTAL	6,568	6,127	(442)	(330)	(111)
			0	0	

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CLACKMANNANSHIRE COUNCIL	THIS PAPER RELATES TO ITEM 10 ON THE AGENDA

Report to: Scrutiny Committee

Date of Meeting: 18th August 2016

Subject: Strategy & Customer Services Business Plan 2016/17

Report by: Head of Strategy & Customer Services

1.0 Purpose

1.1. This report presents the Strategy & Customer Services Business Plan for 2016/17 to Scrutiny Committee for consideration.

2.0 Recommendations

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

2.2. It is recommended that Committee approve the Performance Measures for scrutiny purposes over the next 12 months.

3.0 Considerations

3.1. The Business Plan sets out the objectives and aims of the service (see Appendix A). It is aligned with Making Clackmannanshire Better and the Single Outcome Agreement.

3.2. The Business Plan has been developed using a wide range of sources, for example, customer insight, staff feedback, performance results and self assessment, including a governance self assessment validated through peer review.

3.3. The format of the Plan follows corporate guidance and good practice, and is set out in 4 distinct sections: service overview, key issues, approaches and delivery plan. The delivery plan contains detail of the actions we will take to improve performance, the performance measure we will use to gauge progress against stated outcomes, and the risks we believe, should they materialise, may affect our ability to deliver services and intended performance outcomes.

3.4. Once finalised, the Business Plan will be available all to stakeholders through Clacksweb. It has been translated into operational plans for the 3 main business units within Strategy and Customer Services, and in turn into team plans. These will form the basis for staff PRDs, ensuring that staff objectives and learning and development plans are firmly based in a shared vision and priority outcomes.

3.5. The Business Plan will be delivered within the budget approved for Strategy & Customer Services at the Special Council meeting on 23 February 2016. As such, there are no direct financial implications arising from this report.

4.0   Conclusions

4.1. The Business Plan sets out the objectives and aims of Strategy & Customer Services for the year 2015/16. It will be translated into individual objectives and learning plans through the PRD process, so that all staff are working towards the delivery of the Council's stated priority outcomes within Making Clackmannanshire Better.

5.0   Sustainability Implications

5.1. There are no direct sustainability implications associated with this report.

6.0   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.   Yes ☑

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

6.4.   Staffing

6.5. There are no direct staffing implications associated with this report.

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)

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".

Appendix A - Strategy & Customer Services Business Plan 2016/17

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 ☐

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

Author(s)

NAME	DESIGNATION	TEL NO / EXTENSION
Stuart Crickmar	Head of Strategy & Customer Services	2127

Approved by

NAME	DESIGNATION	SIGNATURE
Stuart Crickmar	Head of Strategy & Customer Services	Signed: S Crickmar
Garry Dallas	Executive Director	Signed: G Dallas

Strategy and Customer Services

Business Plan 2015-16

1 SERVICE OVERVIEW

Purpose

Strategy and Customer Services has a broad remit which is both strategic and operational and corporate and service-specific.

Its main objectives are to:

- support the strategic positioning of the Council by:
    - developing and supporting effective strategic partnerships through the mechanism of community planning;
    - promoting strategic policy cohesion within the Council;
    - enhancing the strategic capacity of the Council.

- enhance corporate performance and service delivery by:
    - providing effective internal services including business support, communications, research, performance and strategy development.

- deliver excellent services in local communities by:
    - providing effective external customer services through a range of access points including leisure, libraries, local offices, registrars, contact centre and Clacksweb;
    - providing opportunities for community learning and development;
    - co-ordinating the organisation's response to major incidents and emergencies.

2 CONTRIBUTION TO MAKING CLACKMANNANSHIRE BETTER

Context

The Council is a multi-million pound business which delivers a wide range of services for communities across Clackmannanshire. Clackmannanshire is a growing area where there are many opportunities.

The contexts which the Council operates in are ever-changing: the Council of today is not the same as the Council of five years ago and the Council in five years time will be significantly different to how it is today.

As contexts change, the Council must change with them to make sure that it is doing everything it can to improve people's quality of life and to make Clackmannanshire a better place.

Changes in public sector funding have been a key issue facing local councils for a number of years and will continue to impact on what councils do and how they do it. While financial times are tough, it is important to remember that the Council still has a total budget of around £135m and to focus on providing the best services we can with that very significant resource.

Balancing the financial challenges, there are also opportunities for real improvement if the Council and its partners work in a more integrated way and pool their resources

better. Similarly, changes in legislation are making it easier for communities to become more involved in service delivery.

Making Clackmannanshire Better

Given the Council's contexts, it is crucial that we get maximum benefit from all our available resources. This means our approach needs to:

- focus on clear priorities and target resources to greatest effect

    o focus on statutory requirements and fewer priority discretionary services
    o target resources
    o focus on prevention and early intervention

- transform services so that they best meet user needs, which may mean having different models of delivery and doing things in different ways

    o make services responsive to communities
    o focus on integration and take a corporate approach to all customers
    o support communities that want to provide services and make a contribution to achieving our outcomes

- be as efficient and effective as possible in everything that we do and make the best use of our substantial assets

    o get things right first time and do things once
    o make the best use of resources and assets
    o use digital solutions

- make sure that we collect all income owed to us, have an appropriate approach to charging for services and get better value for the money we spend on goods and services

    o optimise the use of charges for services and collect everything that is owed to us
    o ensure any subsidies are prioritised and transparent
    o make sure we get value for money for the goods and services we buy

This approach, Making Clackmannanshire Better, is how the Council needs to do things so that it can have a sustainable cost base going forward, sustainable service delivery and, most importantly, achieve the following outcomes which are shared with its community planning partners:

- Clackmannanshire has a positive image and attracts business and people
- Communities are more inclusive and cohesive
- People are better skilled, trained and ready for learning and employment
- Communities feel, and are, safer
- Vulnerable people and families are supported
- Substance misuse and its effects are reduced
- Health is improving
- Our environment is protected and enhanced
- Public services are improving

3 SERVICE CONTEXT & CONTRIBUTION

Strategy & Customer Services fulfils a number of service roles, some of which are internal support functions, though most of our customer transactions are external to the organisation. This includes working with the community and third sector, working with other community planning partners or fulfilling hundreds of request for service on a daily basis, whether in leisure, libraries, registrars or at community access points or the contact centre.

In line with the Council's need to realise managed contraction, the number of people working in the service is reducing year on year, at a time when demands are increasing. Squaring this circle is increasingly challenging; it can be done, though it will require us to work ever more collabotarively across the Council and with our partners, adopting all of the Making Clackmannanshire Better outlined above.

In February 2016, of necessity, the Council approved what will be undoubtedly a challenging budget for all our stakeholders. This included an approximate 15% financial reduction for our service, which will have most impact on areas we are not required to deliver by law.

Whilst our broad risk profile remains unchanged, a number of risks have become more acute as a result of change in our wider operating environment. Our reducing workforce (it reduced by approximately 21 FTE during 2015/16, around 10% of the overall staff complement) remains skewed towards a 50+ age profile; 40% are over the age of 50. As our workforce reduces, our skills and knowledge base, essential for high quality public service, is increasingly under pressure, at the same time as service demands are changing significantly in some areas, for example, community learning and development capabilities needed to respond to the Community Empowerment Act.

Continued service transformation will therefore be necessary to ensure we have the right people, with the right skills in the right places to ensure we retain the capability to deliver vital services to required standards. Detailed workforce planning combined with effective communication, staff flexibity and sound learning and development will be essential components of transformation.

Reducing resources also means that we need to continue to be ever more efficient; taking a holistic, collaborative view of public services. Collaborative working requires new ways of thinking and approaching how we work. Getting our service offering right first time will require staff to focus on outcomes, taking full ownership of a customer's needs, thinking preventatively and far beyond traditional service boundaries, that, more often than not, inhibit good customer service.

The Making Clackmannanshire Better Leadership Pathway has continued to provide a platform for change, but continued investment and communication with our team leaders and supervisors will be vital. Beyond developing our collective management capability to better collaborate, problem solve and improve customer service, we also need to continue to widen our leadership expertise in areas such as communication skills, customer service, intelligence and information management, strong governance, project and programe management, maximising attendance and resource planning.

As well as capacity, communication is a significant factor and a priority for the service. Transforming our services will mean that we will need to engage communities, customers, partners, employees, trades unions and others in constructive and perhaps, at times, difficult dialogue. This will require the adoption of systematic and consistent methods of communication across the service.

The delivery plan in section 4 aims to set out the key actions Strategy & Customer Services will take over the coming year to address our context through making a full contribution to Making Clackmannanshire Better. Every team and individual member of staff will contribute to its delivery. These contributions, and the support and learning and development required to support staff, will be discussed and agreed in team meetings, PRD and regular supervision meetings for all staff.

Making Clackmannanshire Better

Strategy & Customer Services Business Plan 2016-17

MCB1 Having Clear Policy Priorities

Code	Description	2013/14 Value	2014/15 Value	2015/16 Value	2016/17 Target	Lead
SAP CL1 006	Local residents who feel Clackmannanshire has strong sense of community	70%	58%	60%	80%	Cherie Jarvie
SAP CL1 007	Local residents who feel that they should be consulted more on how local services are delivered	46%	44%	40%	30%	Cherie Jarvie
SAP CL1 027	Local residents who state that they feel public agencies work well together in Clackmannanshire	42%	42%	42%	50%	Cherie Jarvie
SAP CL1 030	Overall satisfaction with opportunities for participating in local decision making	34%	35%	39%	50%	Cherie Jarvie

Covalent Code	ACTION	Impact	By When	Lead
SCS 16 001	Support the Provost to plan & deliver a sustainable programme of civic events in 2016/17 within budget	Increase in strong sense of community	31-Mar-2017	Alison Bryce
SCS 16 002	Provide support for election & referendum in 2016/17	Increased efficiency Residents are involved in decision-making	31-Mar-2017	Alison Bryce
SCS 16 003	Support consultations on major priorities: . explaining MCB transformations to stakeholders . budget . significant corporate strategies	Improved service delivery and efficiencies Increase in community satisfaction Clacks 1000 More integrated local public services Reductions in operating costs Demonstrate Best Value	31-Mar-2017	Cherie Jarvie

SCS 16 004	Implement Community Justice Transition arrangements	Improved service delivery and efficiencies More integrated local public services	31-Mar-2017	Cherie Jarvie
SCS 16 005	Develop new Corporate Communications Strategy to support transitional priorities	Improved service delivery and efficiencies	31-Mar-2017	Cherie Jarvie
SCS 16 006	Refresh Single Outcome Agreement (LOIP) and consult and/or refine locality plans as per requirements of the CE Act 2015.	Increase in strong sense of community	31-Mar-2017	Cherie Jarvie
SCS 16 007	Implement corporate Workforce Planning actions in support of MCB programme	Improved organisational efficiency Increased staff satisfaction Improved governance	31-Mar-2017	Cherie Jarvie
SCS 16 008	Support the development of Clackmannanshire CLD Strategy	Increase in strong sense of community Increase in community satisfaction Clacks 1000	31-Dec-2016	Cherie Jarvie
SCS 16 009	Implement Year 2 Gaelic language plan actions	Increase in strong sense of community	31-Mar-2017	Cherie Jarvie
SCS 16 010	Report annual reviews as part of corporate Public Performance Reporting Framework	Improved governance Improved reputation internally and externally	28-Feb-2017	Cherie Jarvie

Code	Sub-Action	Impact	By When	Lead
SCS 16 010-1	SOA	Improved governance Improved reputation internally and externally	31-Dec-2016	Cherie Jarvie
SCS 16 010-2	Local Government Benchmarking Framework	Improved governance Improved reputation internally and externally	28-Feb-2017	Cherie Jarvie

Covalent Code	ACTION	Impact	By When	Lead
SCS 16 011	Implement Corporate Leadership and Development Programme	Improved organisational efficiency Increased staff satisfaction Improved governance	31-Mar-2017	Cherie Jarvie
SCS 16 012	Develop a revised Leisure Strategy, in partnership with Education Services	Improved service delivery and efficiencies More integrated local public services	31-Dec-2016	Brian Forbes

MCB2 Increasing Income & Savings

Code	Description	2013/14 Value	2014/15 Value	2015/16 Value	2016/17 Target	Lead
GOV AB1 BUS	Average FTE Days Sickness Absence (Business Support)	-	8.83	12.51	7	Alison Bryce
GOV AB1 CUS	Average FTE Days Sickness Absence (Customer Services)	-	18.13	11.25	8	Brian Forbes
GOV AB1 SAP	Average FTE Days Sickness Absence (Strategy & Performance)	-	8.93	3.98	8	Cherie Jarvie
GOV AB1 SCS	Average FTE Days Sickness Absence (Strategy & Customer Services)	9.1	11.3	10.62	8	Alison Bryce; Stuart Crickmar; Brian Forbes; Cherie Jarvie
SCS SCS BUD	Budget savings (£000)	272.83	310.00	220.00	898.0	Alison Bryce; Brian Forbes; Cherie Jarvie

Covalent Code	ACTION	Impact	By When	Lead
SCS 16 013	Ensure robust deployment of approved Leisure price increases as agreed by Council so that principles of full cost recovery and transparency of any subsidies are upheld	Increased efficiency Increased sustainability	31-Mar-2017	Brian Forbes
SCS 16 014	Increase income levels from Scottish Certificates replacement certificate service	Increased efficiency Increased income	31-Mar-2017	Brian Forbes
SCS 16 015	Deliver a programme of approved budget savings	Increased efficiency Increased sustainability	31-Mar-2017	Alison Bryce; Stuart Crickmar; Brian Forbes; Cherie Jarvie

MCB3 Making Efficiencies

Code	Description	2013/14 Value	2014/15 Value	2015/16 Value	2016/17 Target	Lead
GOV FOI SCS	% FOI enquiries responded to within timescale - Strategy & Customer Services	85.7%	97.1%	90.6%	100.0%	Brian Forbes
BUS BUS 002	Customer satisfaction with overall experience of Business Support	85.2%	100.0%	99.7%	95.0%	Alison Bryce
BUS CNQ SCS	% of Councillor Enquiries dealt with by Strategy & Customer Services within timescale	69.2%	72.6%	100.0%	100.0%	Stuart Crickmar
BUS MPQ SCS	Percentage of MP/MSP enquiries dealt with by Strategy & Customer Services within timescale		55.5%	75%	100.0%	Alison Bryce; Stuart Crickmar
CUS C01 SCS	Number of formal complaints received by Strategy & Customer Services	14	12	17	9	Brian Forbes
CUS C03 SCS	% formal complaints dealt with by Strategy & Customer Services that were upheld/partially upheld	64.3%	92%	76.5%	50%	Brian Forbes
CUS C10 SCS	Percentage of formal complaints closed within timescale during period - Strategy & Customer Services	Not avail	Not avail	94.1%	100%	Brian Forbes
CUS CAP 001	Satisfaction with overall experience of Community Access Points	97.6%	98.5%	98.7%	99.0%	Brian Forbes
CUS CTC 003	Satisfaction with overall experience of the Contact Centre	90.4%	89.8%	97.6%	98.0%	Brian Forbes
CUS LIB 005	% of population who regularly use the library (i.e. borrow books)	12.10%	8.90%	7.90%	8.00%	Brian Forbes
CUS REG 001	Customer satisfaction with overall experience of the Registrars Service	100.0%	97.0%	100.0%	100.0%	Brian Forbes
SAP CL1 016	Local residents who state that they have had good experience of Library Services in the last year	92%	94%	95%	95%	Brian Forbes
SAP CL1 032	% of residents who agree that Clackmannanshire Council meets or exceeds expectations in communicating with them	38.00%	41.00%	44.00%	50.00%	Cherie Jarvie; Karen Payton
SAP CL1 033	% of residents who are satisfied with the information that the Council provides on performance	39%	40%	44%	50%	Cherie Jarvie
SAP SAP 001	Customer satisfaction with overall experience of Strategy & Performance	85.0%	89.0%	88.0%	95.0%	Cherie Jarvie
SAP SHS LEI	The proportion (%) of adults surveyed as part of the Scottish Household Survey who are satisfied or very satisfied with leisure facilities (LGBF Code: C&L5d)	68%	81%	Available Sep 16	82%	Brian Forbes
SAP SHS LIB	The proportion (%) of adults surveyed as part of the Scottish Household Survey who are satisfied or very satisfied with libraries (LGBF Code: C&L5a)	79%	81%	Available Sep 16	82%	Brian Forbes

Covalent Code	ACTION	Impact	By When	Lead
SCS 16 016	Strategy & Customer Services will demonstrate high standards of people management	Improved SCS staff satisfaction More SCS staff say communications is good More SCS staff say they receive a PRD and regular, useful feedback from their manager	31-Mar-2017	Alison Bryce; Stuart Crickmar; Brian Forbes; Cherie Jarvie

Code	Sub-Action	Impact	By When	Lead
SCS 16 016-1	Develop, with staff involvement, clear service L&D priorities linked to objectives, risk and opportunities	Improved SCS staff satisfaction More SCS staff say communications is good	31-Aug-2016	Alison Bryce; Stuart Crickmar; Brian Forbes; Cherie Jarvie
SCS 16 016-2	Sample assess 10% PRDs to ensure all are done and high standards are maintained	Improved SCS staff satisfaction More SCS staff say communications is good More SCS staff say they receive a PRD and regular, useful feedback from their manager	31-Aug-2016	Alison Bryce; Stuart Crickmar; Brian Forbes; Cherie Jarvie

Covalent Code	ACTION	Impact	By When	Lead
SCS 16 017	Ensure that Strategy & Customer Services operates to very highest standards of Governance	Improved staff satisfaction Improved governance	31-Mar-2017	Alison Bryce; Brian Forbes; Cherie Jarvie

Code	Sub-Action	Impact	By When	Lead
SCS 16 017-1	Complete review of service information and records management, including data security and anti-fraud processes & improve staff awareness & development	Improved staff satisfaction Improved governance	31-Oct-2016	Alison Bryce; Brian Forbes; Cherie Jarvie
SCS 16 017-2	Complete detailed workforce planning exercise as part of corporate arrangements	Improved staff satisfaction Improved governance	30-Jun-2016	Alison Bryce; Brian Forbes; Cherie Jarvie
SCS 16 017-3	Ensure full deployment of H&S policy and procedures	Improved staff satisfaction Improved governance	30-Jun-2016	Alison Bryce; Brian Forbes; Cherie Jarvie
SCS 16 017-4	Review corporate deployment of Equality & Diversity approaches	Improved staff satisfaction Improved governance	31-Oct-2016	Cherie Jarvie
SCS 16 017-5	Review corporate Community Engagement approaches in light of the CE Act and hubs development	Improved staff satisfaction Improved governance	31-Dec-2016	Cherie Jarvie
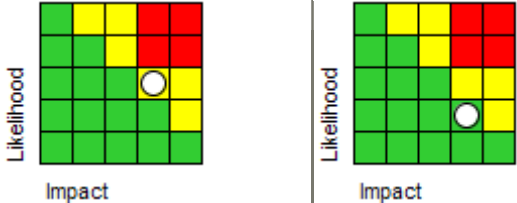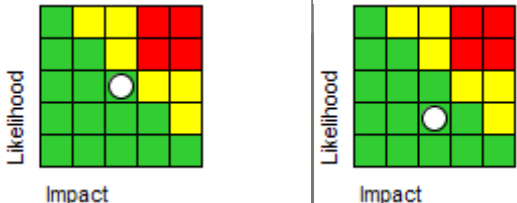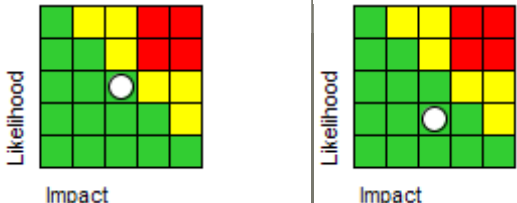
Code	Sub-Action	Impact	By When	Lead
SCS 16 017-6	Deploy robust service approaches to project management	Improved staff satisfaction Improved governance	31-Mar-2017	Cherie Jarvie
SCS 16 017-7	Ensure deployment of the corporate Prevent delivery plan	Improved community satisfaction - Clacks 1000 Improved governance	31-Mar-2017	Stuart Crickmar
SCS 16 017-8	Ensure deployment of the corporate Serious Organised Crime delivery plan	Improved community satisfaction - Clacks 1000 Improved governance	31-Mar-2017	Stuart Crickmar

Covalent Code	ACTION	Impact	By When	Lead
SCS 16 018	Secure corporate approval on a sustainable improvement framework	Increased efficiency Improved stakeholder confidence	30-Jun-2016	Stuart Crickmar
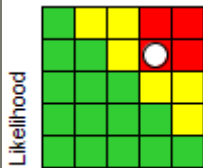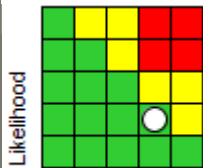
MCB4 Transforming Services
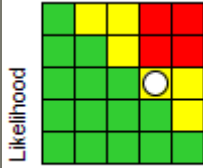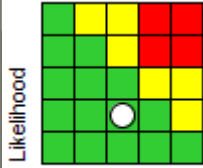
Covalent Code	ACTION	Impact	By When	Lead
SCS 16 019	Transform current CAP/Leisure service provision in Clackmannanshire to Hubs model approved in Year 1Community Investment Programme	Improved service delivery and efficiencies. Increase in community satisfaction. More integrated local public services	31-Mar-2017	Stuart Crickmar
SCS 16 020	Implement Service workforce planning review to ensure sustainable service provision	Improved service delivery and efficiencies. Increase in community satisfaction. More integrated local public services	31-Dec-2016	Stuart Crickmar
SCS 16 021	Implement Council aspects of approved action plan from Partners for Change approach to enable 3rd sector integration with concept of integrated public services in Clackmannanshire	Improved service delivery and efficiencies. Increase in community satisfaction. More integrated local public services	31-Dec-2016	Stuart Crickmar
SCS 16 022	Transform arrangements for storage and presentation of Council Archives & Local Collections in Lesser Speirs Hall	Improved service delivery and efficiencies. Increase in community satisfaction. More integrated local public services	31-Oct-2016	Brian Forbes

Risk Register 2016-17

RISK	SCS 15 001	Corporate governance requirements not adhered to	Status	⚠️	Current Rating	12	Target Rating	8
Managed By	Alison Bryce; Brian Forbes; Cherie Jarvie							
Potential Effect	Reputational damage; loss of confidence, legal action							
Related Actions	SCS 16 017	Ensure that Strategy & Customer Services operates to very highest standards of Governance	**Internal Controls**		Governance Strategy			
					Staff induction and development			

RISK	SCS 15 002	Community engagement/communications failures	Status	✅	Current Rating	9	Target Rating	6
Managed By	Cherie Jarvie							
Potential Effect	Breakdown in trust Lack of buy-in Decisions not aligned with community aspiration Reputational damage Loss of confidence							
Related Actions	SCS 16 017-5	Review corporate Community Engagement approaches in light of the CE Act and hubs development	**Internal Controls**		Community Engagement Process			
	SCS 16 005	Develop new Corporate Communications Strategy to support transitional priorities			Single Outcome Agreement			

RISK	SCS 15 003	Failures of communication with staff	Status	✅	Current Rating	9	Target Rating	6
Managed By	Alison Bryce; Stuart Crickmar; Brian Forbes; Cherie Jarvie							
Potential Effect	Loss of morale Loss of efficiency							

Related Actions	SCS 16 016	Strategy & Customer Services will demonstrate high standards of people management			Internal Controls	Communications Strategy

RISK	SCS 15 004	Failure to meet required budget savings	Status	⚠	Current Rating	12	Target Rating	4
RISK	SCS 15 006	Loss of key skills, knowledge or capacity due to contraction of service and staff base	Status	⬢	Current Rating	16	Target Rating	8

Managed By	Alison Bryce; Stuart Crickmar; Brian Forbes; Cherie Jarvie		
Potential Effect	Decline in service provision; tasks not delivered; decline in staff moral; customer dissatisfaction		
Related Actions	SCS 16 016-1	Develop, with staff involvement, clear service L&D priorities linked to objectives, risk and opportunities	Internal Controls	Workforce Planning Process
	SCS 16 019	Transform CAP/Leisure service provision in Clackmannanshire as per the approved Year 1Community Investment Programme		
	SCS 16 021	Implement Council aspects of approved action plan from Partners for Change approach to enable 3rd sector integration with concept of integrated public services in Clackmannanshire		

RISK	SCS 15 007	Failure to ensure effective partnership working to support Community Planning	Status	⚠	Current Rating	12	Target Rating	6
Managed By	Cherie Jarvie							
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 16 021	Implement Council aspects of approved action plan from Partners for Change approach to enable 3rd sector integration with concept of integrated public services in Clackmannanshire	Internal Controls	Community Engagement Process
	SCS 16 017-5	Review corporate Community Engagement approaches in light of the CE Act and hubs development		Single Outcome Agreement
	SCS 16 004	Implement Community Justice Transition arrangements		Community Justice Transition Plan
	SCS 16 006	Refresh Single Outcome Agreement (LOIP) and consult and/or refine locality plans as per requirements of the CE Act 2015.		CEA Briefings

CLACKMANNANSHIRE COUNCIL

Report to: Scrutiny Committee

Date of Meeting: 18th August 2016

Subject: Annual Complaints Report 2015/16

Report by: Head of Strategy & Customer Services

1.0   Purpose

1.1.   The purpose of this report is to advise Committee of the volume and nature of customer complaints recorded in 2015/16, key performance information related to the handling of complaints and areas for further improvement.

2.0   Recommendations

2.1.   It is recommended that Committee:

a) note, comment on and challenge the volume and nature of complaints recorded in financial year 2015/16, including comparisons with previous years, and

b) note ongoing improvements in the way complaints are recorded, reported and being used to drive improvement and customer satisfaction.

3.0   Background

3.1.   This is the fourth year since the model Complaints Handling Procedure (CHP) was introduced by the Scottish Public Services Ombudsman (SPSO), in September 2012, to help simplify, standardise and improve complaints handling across Scottish local government.

3.2.   A key driver for the updated approach was to reduce the significant resource and cost in dealing with complaints, as part of wider Public Sector Reform. The model CHP aims to resolve more complaints at source, learn more from customer feedback and use feedback to improve service delivery.

3.3.   Council services are required to demonstrate that they analyse complaints data to identify trends, patterns and opportunities for service improvement. Additionally, councils are expected to publish externally the outcomes of complaints by, for example, using case studies and examples, typically through a "You Said, We Did" approach. Quarterly reports are published on ClacksWeb about how well we are performing in handling complaints.

4.0 Progress to date

4.1.   A total of 176 complaints were logged in the complaints database in 2015/16 (compared to 93 in 2014/15).

4.2.   These are broken down further in Appendix 1 by service area, category of complaint, number dealt with at stage 1 and stage 2, percentage resolved within target timescale and number upheld/not upheld/partially upheld.

4.3.   Key points of note from this year's performance data are:

- 164 out of 176 (93%) were resolved at Stage 1 (89% in 2014/15).

- 84% of Stage 1 complaints were resolved within the target time of 5 days (76% in 2014/15).

- 12 complaints were passed to Stage 2 for investigation; 9 out of the 12 (75%) were responded to within the target time of 20 days (80% in 2014/15).

- 99 out of the 176 complaints (56%) were either upheld or partially upheld (59% in 2014/15).

- The main reason for complaints was about aspects of Service Provision (40%), then Employee Issue/Attitude (24%). This was similar to 2014/15 with Service Provision (42%) then Employee Issue/Attitude (27%).

- There was a total of 117 positive comments formally recorded in year (45 in 2014/15).

4.4.   Customers unhappy with the Council's final response to their complaint can raise the matter with the SPSO and request an investigation. There were a total of 10 complaints raised with SPSO in 2015/16 (compared to 14 in 2014/15). None of these complaints were moved into the investigation stage.

5.0 Areas for development

5.1.   A number of improvements have been made in the last 12 months, however in line with good practice guidelines produced by SPSO, it is prudent to identify areas for improvement in the coming year:

- There is an ongoing need for services to record what action has been taken to correct things that have gone wrong and to communicate these improvements via ClacksWeb.

- There is an ongoing need for services to routinely gather customer feedback on how well their complaint was handled.

- There are ongoing opportunities to record positive feedback received from customers and clients, which should then be shared with staff.

- Given the large number of customer interactions processed on a daily basis, the total number of complaints formally recorded is still very small in

comparison. (176 complaints out of approximately 500,000 contacts per year equates to 0.04%.)

6.0   Conclusions

6.1.   The Council's performance in recording and responding to complaints is being routinely monitored using a range of performance indicators.

6.2.   Ongoing improvements have been made since the new 2-stage system was introduced in September 2012.

6.3.   Social Services complaints handing procedures and timescales will be aligned with the model Complaint Handling Procedure in April 2017, providing customers and clients with a more consistent approach across all council services.

7.0   Sustainability Implications

7.1.   There are no sustainability implications arising directly from this report.

8.0   Resource Implications

8.1.   There are no financial implications arising directly from this report.

9.0   Exempt Reports

9.1.   Is this report exempt?   No

10.0   Declarations

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

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

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

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

11.0   Equalities Impact

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

12.0 Legality

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

13.0 Appendices

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

Appendix 1 - Annual Complaints Review 2015/16

14.0 Background Papers

14.1 Have you used other documents to compile your report? (All documents must be kept available by the author for public inspection for four years from the date of meeting at which the report is considered)
No

Author(s)

NAME	DESIGNATION	TEL NO / EXTENSION
Brian Forbes	Customer Services Manager	2187

Approved by

NAME	DESIGNATION	SIGNATURE
Stuart Crickmar	Head of Strategy & Customer Services	Signed: S Crickmar
Garry Dallas	Executive Director	Signed: G Dallas

APPENDIX 1 - ANNUAL COMPLAINTS REVIEW 2015/16

2015/16	S&CS	Res & Gov	D&E	H&C Safety	Education	Social Services*	Council
Total Number of Complaints	17	6	48	65	26	14	**176**
Total Stage 1	17	6	45	60	24	12	**164**
Stage 1 within timescale	16	2	34	60	18	7	**137**
Stage 1 % in timescale	94%	33%	76%	100%	75%	58%	**84%**
Total Stage 2	0	0	3	5	2	2	**12**
Stage 2 within timescale	0	0	2	5	2	0	**9**
Stage 2 % in timescale	0%	0%	67%	100%	100%	0%	**75%**
Total Number Upheld	6	3	17	15	7	1	**49**
Total Number Partially Upheld	7	1	10	19	10	3	**50**
Total Number Not Upheld	4	2	21	31	8	4	**70**
Open complaints carried forward to 2016/17	0	0	0	0	1	6	**7**
By Category	**S&CS**	**Res & Gov**	**D&E**	**H&C Safety**	**Education**	**Social Services**	**Council**
Education	0	0	0	0	22	0	**22**
Communication	2	0	4	4	0	4	**14**
Employees	7	0	14	16	1	4	**42**
Other	2	2	2	3	1	2	**12**
Policy & Procedure	0	1	2	9	0	3	**15**
Service Provision	6	3	26	33	2	1	**71**
Total	**17**	**6**	**48**	**65**	**26**	**14**	**176**

*Note that Social Services timescales for Stage 1 and 2 currently differs from other council services, as Social Services are not required to adopt the national CHP timescales at this point in time. Social Services Stage 1 complaints are acknowledged within 5 working days and responded to within 28 days. The SPSO are working towards incorporating Social Services complaints into the model CHP in April 2017.
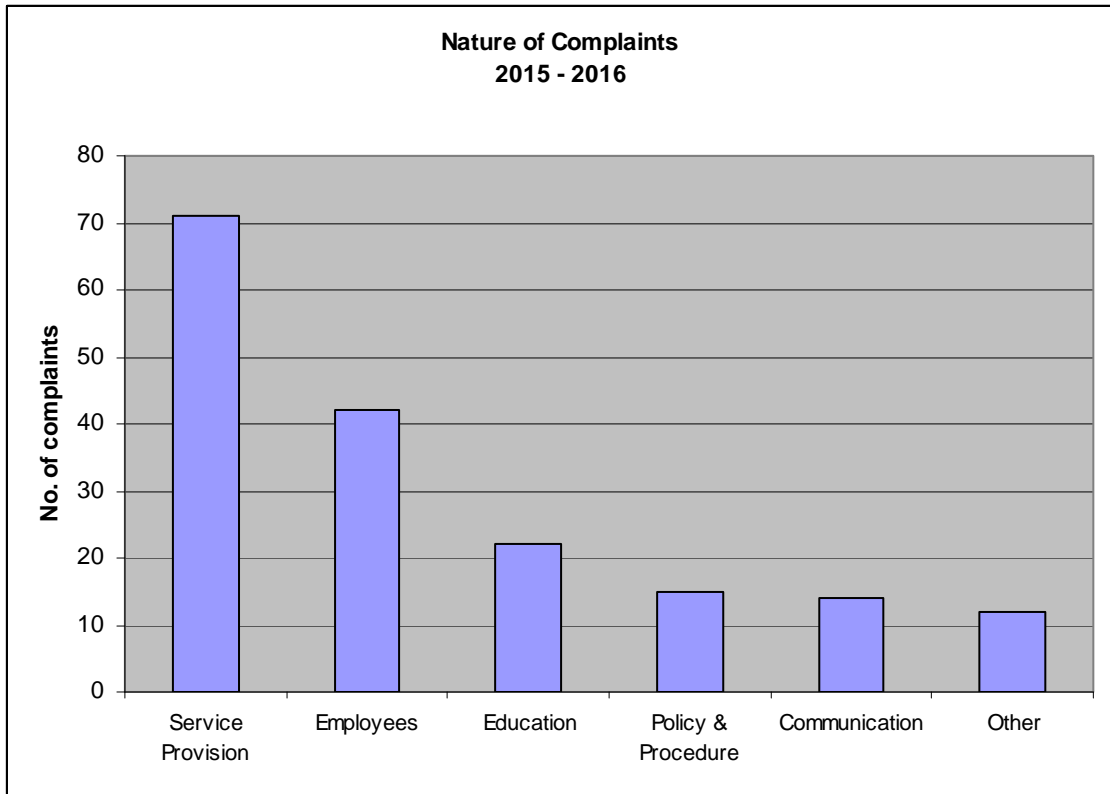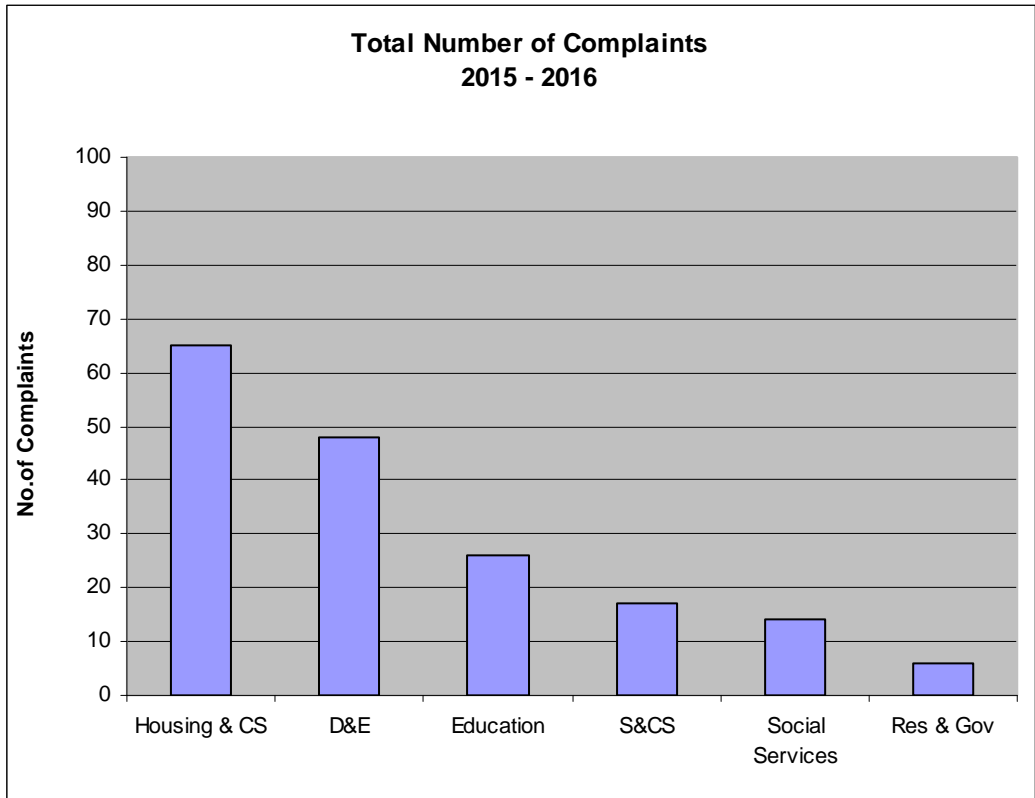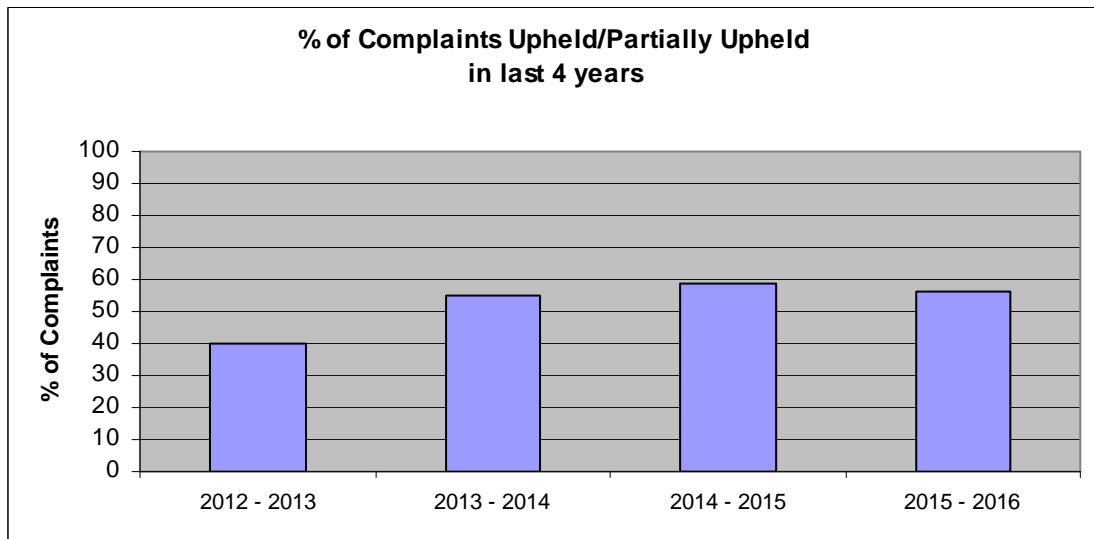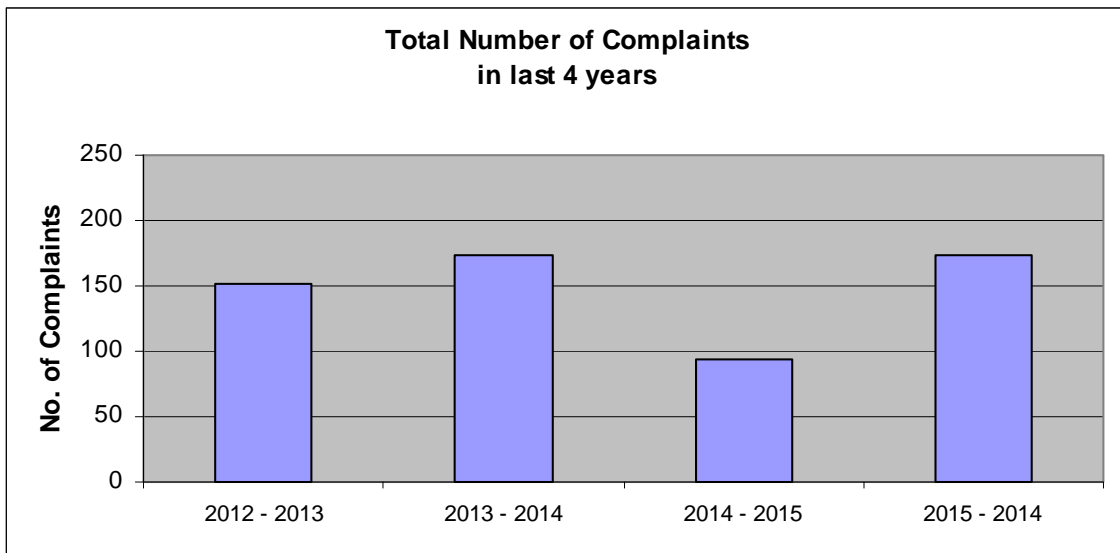
Total Number of Complaints
2015 - 2016

Nature of Complaints
2015 - 2016

244

Total Number of Complaints in last 4 years

% of Complaints Upheld/Partially Upheld in last 4 years

245

CLACKMANNANSHIRE COUNCIL

Report to: Scrutiny Committee

Date of Meeting: 18 August 2016

Subject: Social Services Annual Performance Report 2015-16

Report by: Head of Social Services

1. Purpose

1.1. This report outlines the annual performance in Social Services throughout 2015/16.

1.2. It details performance measures, actions and risks against the agreed priorities and target measures.

2.   Recommendations

2.1. It is recommended that Committee notes this report and provides comment and challenge as appropriate.

3. Considerations

Ongoing Developments

3.1. Over 2015-16, Social Services continued to manage a period of significant change across children's, adults' services and criminal justice services, at a national and local level. We worked to meet the challenges of implementing the Public Bodies (Joint Working) (Scotland) Act 2014, ongoing implementation of the Social Care (Self-Directed Support) (Scotland) Act 2013 and planning for the delivery of the Children and Young People (Scotland) Act 2014. Many of these have a direct impact on the cost of the delivering safe services and have a financial impact on the council as a whole.

3.2. Locally, growing budget constraints and most notably the decision to end the Shared Services arrangement taken in 2015-16, continue to pose challenges to the delivery of Social Services across Clackmannanshire. The Service started in 2015-16 to plan and identify transitional arrangements for delivery of Social Services.

3.3.   Recruitment and retention of staff continued to pose challenges. The service successfully appointed new staff, but notably in children's services, these members of staff have been mostly newly qualified. As a consequence it is necessary at times to supplement the skill and expertise base of its qualified social workers by the use of agency staff. This is monitored closely and decreased in the last quarter of 2015-16. This has reduced both in terms of numbers and associated costs.

3.4.   The absence rate for the Service was an area of concern throughout 2015/16. It has been recognised that this has an impact on service delivery and costs. The Service has focused on ensuring that return to work interviews were completed timeously and that managers took forward appropriate actions and supportive arrangements as required.

Annual Progress in Child Care Service and Criminal Justice Services

3.5.   The key actions and performance measures for Child Care and Criminal Justice Services are closely linked to the core priorities for Clackmannanshire Council.

3.6.   Action has focused on the implementation of the Council's corporate parenting responsibilities, as set out in the Children and Young People (Scotland) Act 2014. These have been included in the Corporate Parenting Strategy and have been closely monitored throughout the year. The performance measures are aligned to these actions, for example, the Council has continuously met the national target of 75% of care leavers having a person-centred pathway plan; this has been achieved despite several staff changes in the Throughcare and Aftercare Team.

3.7.   There has been a significant drop in the level of CP referrals to the service as can been seen in the chart below:

	01/06/14 - 31/05/15	01/06/15 - 31/05/16
June	54	39
July	41	33
Aug	34	43
Sept	43	50
Oct	46	39
Nov	58	27
Dec	17	28
Jan	39	35
Feb	31	31
March	50	33
Apr	57	29
May	65	27
Total	535	414

With the embedding of The Getting it Right for Every Child (GIRFEC) framework across agencies and earlier intervention using the Team Around the Child (TAC) approach, there has been a decrease in Child Protection referrals. This would indicate more appropriate earlier intervention occurring within universal services and is in line with the findings of the GIRFEC Pathfinder in Highlands. This ensures that the Child Protection referrals that we receive are more appropriate and therefore our Child Protection protocols are implemented in the right way for the right child at the right time.

3.8.   The Child Care Service acted swiftly to review and analyse the numbers of children and young people on the Child Protection Register, which in August 2015 was the highest in Scotland. It was recognised there was a significant cross-over of children remaining subject to child protection registration despite being accommodated out of the family home whilst waiting on legal orders to be imposed by either courts or Children's Hearings. This process was addressed quickly and alternative business processes and safeguards were implemented which saw a significant decrease in dual registration and a more accurate picture of children who were considered to be at risk of harm and at home. The introduction of the Child Protection Team also had an impact on risk assessment being undertaken within tighter timescales allowing safe plan to be implemented quicker, particularly in relation to the 'unborn baby' client group which resulted in increased evidence of safe planning prior to babies births and less need for continued or longer-term Child Protection registration.

3.9.   We did not consistently achieve the 100% target for weekly visits to children on the Child Protection Register in 2015-16. The Service implemented processes to review and manage this. The register is checked weekly by Managers to investigate the circumstances where visits have not taken place. Managers have confirmed that where visits have not taken place it is for the following reasons: unborn babies on the register would not be seen, children who have been accommodated would be seen in accordance with the child's plan.

3.10.   Throughout 2015/16 Multi Agency Public Protection Arrangements and strong focus on managing high risk offenders remained paramount for our Criminal Justice Service. The Service has a robust quality assurance process and the Criminal Justice Service maintained the 100% of reviews of high-risk offenders, which were completed within agreed timescales.

Annual Progress in Adult Care Service

3.11.   Similarly to Child Care and Criminal Justice Services, Adult Services too are linked to the core priorities for Clackmannanshire Council. The focus remains on redesigning services for older people in order to shift the balance of care towards effective care at home, ultimately leading to independence and self-efficiency.

3.12.   Clackmannanshire residents live longer and the Services support them to live independently for as long as possible by providing care at home. That is why

over the years, there has been a steady increase in the proportion of people living at home who are also in receipt of prolonged care services. This means a higher proportion of those aged over 65 with intensive care and support needs in Clackmannanshire were supported to remain in their own homes rather than in an institutional setting. Although the target was reviewed in 2015/16 to make it more challenging, performance continued exceeding 45% target. During the year 2015/16 the number of care at home hours rose significantly, which has been a consistent trend since 2012. Similarly the number of service users receiving Telecare Services rose by 16% during the year. The combination of the two services providing evidence of services being developed in favour of care at home.

3.13. Residential Care Home services saw a fall of 2.44% in usage over the financial year. It should be noted however that the usage of the total capacity of care homes remains high and the levels of dependency of those living in care homes has become increasingly complex in relation to end of life and dementia care

3.14. Council Care Homes consistently scored grades of 4 and above when inspected by the Care Inspectorate maintaining and improving the quality in standards of care that have been provided in Clackmannanshire over a number of years.

3.15. Delayed Discharge performance has continued to be good. However it is clear that the Health & Social Care Partnership's ability to sustain this performance is being stretched as the home care providers continue to have difficulties in recruiting staff in order to meet the ever-increasing desire to support care at home. The challenge of the continually decreasing target set by the Scottish Government will continue to challenge practice and has a consequence for the adult care budget.

3.16. The changing target for holding adult protection discussions with one working day of referral from 75% to 100% in November 2015 proved difficult to achieve. Work is commenced to monitor referrals and ensure that initial discussions are held within the agreed national timescales.

3.17. The most recent Annual Adult Service Users Survey shows that our service users tell us that they feel safer as a result of our involvement in their lives – an 18% rise since last year. While this needs to be celebrated, there remain areas of further development.

Annual Progress in Strategic Developments

3.18. There has been a substantial amount of work developing the framework to support Adult Health and Social Care Integration. In light of the Integration of Health and Social Care Agenda, a Performance Framework has been fully developed to support reporting on integrated adult health and social care services.

3.19. In 2015/16 the Strategy Service developed and implemented performance monitoring mechanisms aligned to high customer standards across Social Services.

3.20. The Service continues to lead on the implementation of the Social Care (Self-Directed Support) Scotland Act 2013 throughout 2015/16. During the last year, significant progress has been made in the area of self-directed support by appointing a Programme Manager and revising the Outcome Focused Assessment and Support Plan. Full implementation will progress and be reported to the Council during 2016/17.

Achievements and Awards

3.21 In early 2016, the Autism Strategy received a Silver award in the COSLA Awards for Excellence, after impressing judges with the level of innovation and engagement shown to effect real and sustainable improvements in the quality of life of people with an ASD. This included the development of an Autism App in partnership with Stirling University and work to put in place "safe place" schemes in conjunction with local businesses. The Awards final takes place on 6th October 2016, with the team hoping to boost their Silver to Gold.

3.22 In 2015-16, the work of the Social Services Learning and Development Team was recognised in the Scottish Association of Social Work Annual Awards. The team secured an award for Best Practice Through Ongoing Learning. The team uses various types of training to meet different learners' needs including action learning sets, workshops, interactive sessions, mentoring and more traditional 'taught' sessions. Staff are being encouraged to develop their own learning through access to IT and sources such as SSSC open badges and other on-line resources. Many of these are now supported through our corporate on-line training systems and those of partner agencies, such as the Alcohol and Drugs Forum.

3.23 In 2015-16, the Learning and Development Team have supported 13 student placements in partnership with the Open University, Dundee, Glasgow, Stirling and Robert Gordon Universities. We extended the opportunities for learning for social work staff who support student placements, in partnership with the third and independent sector. We have introduced the opportunity for "mixed placements" where students might, for example, be placed with a voluntary sector organisation with support from a Local Authority member of staff who acts as their practice educator. We have invited those involved in supporting placements from across all social care sectors to participate in joint learning initiatives.

3.24 As part of our parenting support interventions, Mellow Parenting is run from Alloa Family Centre. This is an evidenced based programme which includes, Mellow Bumps and Mellow Babies and is used to support hard to reach and vulnerable families. A member of staff is also involved in delivery of a Mellow

Dads' group. This work was recognised in 2015-16 and was presented at the European Social Services Council Conference

Complaints

3.25 Social Services received sixteen complaints in 2015-2016. Twelve complaints were dealt with at Stage 1 (eight related to Children's Services and four related to Adults Services). Two complaints progressed to Stage 2. Two complaints related to Children's Services progressed to Stage 3. Two complaints were upheld. One related to Adults Services and was about service quality and one related to Children's Services and was about communication by the Service. Three complaints were partially upheld.

3.26 Reasons for complaints

Summary area of complaint	Number	%
Communications by Service or Staff	4	**25 %**
Staff conduct or Attitude	4	**25%**
Service Standard or quality issues	4	**25%**
Resources not available, adequate or suitable	2	**12.5%**
Application of policy or Procedure	1	**6.25%**
Assessment	1	**6.25**
Total	16	**100.0%**

3.27 Complaint reports are submitted to the Senior Management Team on a quarterly basis to monitor the level of complaints reported to each service area. The reason for complaints and the respective outcomes and actions are Actions by SMT and Head of Service also initiated a complaint reporting model which requires all Service Manages to report all complaint enquires whether they are dealt with at enquiry stage or are formally registered as a complaint. The issues raised through enquiries are also collated for Quality Assurance purposes.

3.28 In 2015 we introduced compulsory Complaint Handling Training to all managers. This training has raised awareness and assisted in developing

Complaint Handling skills of managers across Social Services. The Complaints Officer is now planning to deliver Complaint Procedures briefing sessions to Frontline staff at team meetings across Social Services. The briefing sessions will offer staff the opportunity to fully understand their responsibilities in complaint handling within a learning environment, with an emphasis on courteous and timely responses to enhance working relations and overall customer experience.

Financial Position

3.26   Social Services budgets continue to be under considerable pressure. As demographic and service demands steadily increase financial forecasts suggest that this will consume an ever-increasing share of public spending.

3.27   There was a revenue budget overspend of £1.102m for 2015-16 (See Appendix 2 Table 1 for more details). The Service has provided committee monthly updates and has shown a steady decrease month on month. A significant reduction of £792k (42%) since reporting began in January 2016.

3.28   The continued focus of the overspend remains within the Child Care service and in particular the residential schools budget.

3.29   On the 28th January 2016, the Housing, Health and Care committee requested that the Resources and Audit Committee undertake a review of the circumstances impacting on the financial position. Council approved a scoping paper on 3rd March 2016. The Strategy and Customer Services Team are currently undertaking this Review.

Management Actions specific to External Placement Provision (EPP)

3.30   Increased scrutiny by Senior Management Team by:

Chairing Additional reviews. The Assistant Head of Social Services Child Care instructed a review on all cases associated with the external provisions budget. The aim was to ensure that the service is managing associated risk while ensuring that the service continues to fulfil its statutory obligations to keep the child at the centre.   As a result there were a small number of cases where alternative, and less expensive, resources were identified.   These savings will not be seen until next financial year.

Ensuring a multi-service approach to financial monitoring. Social Services Managers, Education Officers and Business Managers continue to review all high cost placements at monthly meetings.   This continues to ensure that:

1) Appropriate governance is in place

2) Decisions are agreed jointly

3) Consideration continues to be made on impact and financial viability

4) The services share and inform best practice.

3.31   Managers at all levels continue to meet with finance colleagues to ensure that the service maintains a rigorous and robust budget monitoring process. Budget monitoring is a core agenda item at all management meetings.

3.32   It should be noted that we are also realigning budgets to make sure that the costs of residential placements and other services, such as hospital based education, are properly allocated across relevant services.

On-going Pressures for External Placement Provisions

3.33   The Children and Young People (Scotland) Act 2014 gives all local authorities a responsibility to ensure that all young people who turn sixteen have an entitlement to remain in their care setting until they reach the age of twenty one. Monthly reviews continue for all young people who are approaching school leaving age and any potential early exit strategies are actioned. However, if requested the young person has a right to remain in continuing care for a further five years.

3.34   It should be noted that all multi agency recommendations require to be ratified through the Children's Hearing who have ultimate decision-making responsibility in relation to a child's residence. At times decisions are made by Children's Hearings to accommodate children against the recommendation of the Service. This can cause unplanned and additional financial pressures.

Adult Service Final Budget Position

3.35   Spending across adult service budgets is in their nature variable. They are demand led. Budget pressures change as clients have more choice on their care package through self-directed support options.

3.36   Currently the service is projecting an under spend in the adult provision of 40K   Additional income has been generated from NHS Forth Valley.

3.37   The recent change in our charging policy is having an impact on Disability Day Care services. The service continues to see a decrease in demand for day care services. However, early consultations with all stakeholders are underway to ensure that the Adult Day Service Provision is re-designed to meet demand. This is the first phase of the MCB option that Council agreed in Feb 2016.

3.38   Weekly Resource Panels in adult care are chaired by a Service Manager and are attended by senior managers both from Social Services and finance. This will continue to ensure that the service conducts robust analysis of all proposed care packages, whilst ensuring a best value and collegiate decision-making process.

Child Care Service Final Budget Position

3.39   Alloa Family Centre continues to forecast an under spend of 197K. Analysis of this is due to the number of vacant posts, which have been sustained over the year.

3.40   Fostering and Adoption had forecast an overspend of £109K. However, this forecast reduced by 50K in March due to changes in Children's Plans where expensive external fostering resources were not required.

3.41   Capital of £250k was carried forward from 2015/2016. This contributes to a total investment of £1.00m, which has been identified for a new children's residential service as a "spend to save" MCB option. A steering group has been established and colleagues from Asset Management and Education are represented.

Criminal & Youth Justice Services

3.42   The Criminal Justice Section 27 grant claim for 2015/16 submitted to the Scottish Government reflected all the costs associated with the provision of the Criminal justice social work An underspend of 31K was reported due to a vacant post within the service. The service will ensure in 16/17 that the full allocation from Scottish Government is utilised.

Strategy and Management Support

3.43   Strategy service end of year figures reveal an underspend of 63K. This incorporates the Self Directed Support (SDS) budget, which is being carried forward. This is Scottish Government one off payment, which is ring-fenced towards the on-going implementation of SDS.

Summary

3.44   Over the last three months the service has reported monthly to committee on the specific financial improvements made towards decreasing the overspend. The evidence can be seen in a 42% reduction from the first forecast to the final end of year figures.

3.45   This report gives an overall summary of the detail and complexity associated with the on-going management of the social services budget and performance. It outlines council and multiagency statutory responsibilities, and highlights on-going and variable demands across the service. It demonstrates the actions the service has taken to both manage demand, monitor spend, monitor compliance with financial controls and financial regulations.

4.0   Sustainability Implications

4.1   None.

5.0   Resource Implications

5.1   *Financial Details*

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

Yes ☑

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

5.4   Staffing - There are no staffing implications associated with this report.

6.0   Exempt Reports

6.1   Is this report exempt?   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?   No ☑

This report is for information only. No policy changes or changes to service provided are recommended.

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 1 – Social Services Business Plan 2015-16 report from Covalent

Appendix 2 – Social Services Financial Report 2015-16

11.0 Background Papers

11.1 Have you used other documents to compile your report? Yes (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)

Author(s)

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Val de Souza	Head of Social Services	Tel: 01259 225017

Approved by

NAME	DESIGNATION	SIGNATURE
Val de Souza	Head of Social Services	Signed: V de Souza
Nikki Bridle	Depute Chief Executive	Signed: N Bridle

Performance Report 2015/16 APPENDIX 1

Annual Progress Report

KEY TO SYMBOLS

PERFORMANCE INDICATORS					
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	
✔	Meet target/complete within target dates
⚠	Will complete, but outwith target
✖	Fail to complete or cancelled

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.	

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High Level Summary

Ob Our Public Services are improving			
Actions	🔴 5	🔺 0	✅ 6
Risks	🔴 3	🔺 0	✅ 0
PIs	🔴 3	🔺 1	✅ 2

Ob Vulnerable people and families are supported			
Actions	🔴 0	🔺 0	✅ 4
Risks	🔴 0	🔺 1	✅ 2
PIs	🔴 2	🔺 0	✅ 7

2
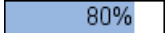
Vulnerable people and families are supported

Code	Description	2012/13 Value	2013/14 Value	2014/15 Value	2015/16 Value	2015/16 Target	Comments	Lead
ADC ADA 008	Number of Clackmannanshire people waiting in short stay settings for more than 2 weeks for discharge to appropriate settings from April 2015	1	4.25	2.5	0.5	0	This annual figure is an average of the 2015/16 quarterly figures reported for this indicator (using the same methodology used for reporting in previous years). Based on September 2015 data validated and published by ISD, 2 people waited for more than two weeks to be discharged from hospital (Quarter 2). Both patients were reported as awaiting completion of a community care assessment. Performance was worse than the other three quarters where no delayed discharges were reported in the last month of each quarter.	Val de Souza
ADC ADA 019	% of Adult Protection discussions held within 24 hours of referral	66%	68%	73%	87%	100%	The target for this outcome was 75% until changed in November 2015 to 100% to reflect national standards. Work is ongoing to monitor referrals to ensure that initial discussions are held within one working day.	Val de Souza
ADC ADA 01a	% of Clackmannanshire people aged 65 and over with intensive care needs who receive 10 hours or more of home care per week	42%	47%	47%	48%	45%	Our residents live longer and we support them to live independently for as long as possible by providing care at home. However, as life expectancy increases so does the need. That is why over the years we have seen a steady increase in the proportion of people living at home who are also in receipt of prolonged care services.	Val de Souza
ADC ADA 022	% Adult Support and Protection investigations audited that have independent advocacy offered			37.5%	40%	55%	Adult At Risk of Harm referrals are screened to ensure that Council Officers involved in adult support and protection inquiries consider offering independent advocacy to adults at risk of harm. Council Officers will record where advocacy is offered, accepted, or declined, and to record the reason for any decision not to offer advocacy e.g. existing Guardianship/Power of Attorney in place. Annual indicator to be reported on before March 2016. 2 of 5 investigations were offered independent	Val de Souza

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Code	Description	2012/13	2013/14	2014/15	2015/16		Comments	Lead
		Value	Value	Value	Value	Target		
							advocacy.	
ADC ADA B2b	Self-directed Support spend on adults (aged 18+) as a percentage of the total Social Work spend on adults (aged 18+), according to the figures published for the Local Government Benchmarking Framework (LGBF), provided by the Scottish Government	1.1%	1.0%	1.1%		5.0%	There are queries over this indicator as it is part of the LG Benchmarking Framework rather than a SG indicator and Clackmannanshire calculates it differently from Stirling and do so in a way that excludes Option 3. Therefore 5% will never be reached. Information for 2015/16 will not be available until the end of 2016.	Val de Souza
CHC CPR 029	This indicator monitors the percentage of children who are on the Child Protection Register who have been visited within the last seven days and seen.	100%	100%	94%	92%	100%	The Service regularly monitors performance in this area and acts appropriately. However, due to holiday periods as well as the current monitoring system (maintained manually), not all children were seen each week. In order to address this issue, the Service is looking into making adjustments to the system, which would automatically flag up cases potentially missing the set target. A weekly report could then be forwarded to managers for follow-up and allow any corrective actions to be taken timeously.	Val de Souza
CHC CPR 078	This indicator monitors the percentage of children who are currently on the Child Protection Register, or are within 3 months of de-registration, who have had at least one Core Group in the last month.	80%	86%	95%	98%	95%	After introducing a new increased target of 95% for Core Groups to be held within 15 working days from the initial Child Protection Case Conference, performance remained stable and consistently exceeding the new target throughout the whole of 2015/16.	Val de Souza
CHC LAC 18a	% of children looked after away from home with 3 or more placement	8%	3%	0%	4%		Although on average 4% of all looked after children had 3 or more placements during 2015/16, a number of them moved back home or started residing with relatives.	Val de Souza
CHC PER 001	Number of internal foster care disruptions in the quarter for Clacks Social Services.	0	0	0	0	0	There were no internal placement disruptions throughout 2015/16.	Val de Souza
CHC SCR 002	Proportion of children seen by a supervising officer within 15 working days	80%	86%	76%	85%	100%	The current information management system as well as recording issues resulted in not all children being seen by a supervising officer within the national target of 15 days. Monthly meetings have been set up to monitor the situation and address these	Val de Souza

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Code	Description	2012/13	2013/14	2014/15	2015/16		Comments	Lead
		Value	Value	Value	Value	Target		
							performance issues.	
CHC SCR 01a	% Reports submitted to Children's Reporter (SCRA) within 20 working days (council)	48%	90%	81%	71%	75%	Staff turnover and difficulty in recruiting experienced staff resulted in delayed submissions of reports to SCRA. However, the Service is recruited a number of staff, however, improvements in this area might not be visible until the new workers are fully in post. Monthly recruitment meetings are now set up with HR and Communications to address recruitment issues, but this is a long-term problem in the area.	Val de Souza
CHC TCA 002	% of care leavers with a pathway plan	29%	29%	89%	76%	75%	The figures have been consistently above the target of 75% since 2014. The drop in 2015/2016 can be correlated with a social worker within the TCAC team being promoted to Team Leader of the service which left only one social worker to compile plans. This change in staffing saw the statistics for 2015/16 Q2 fall well below 75% until a new process was implemented in relation to scheduling plans. Once the new process was in place the statistics have evidenced a rise above the 75% target which the team continues to meet.	Val de Souza
CHC TCA 003	% of care leavers with a pathway coordinator	29%	29%	100%	100%	100%	The target of 100% has been met since 2015. Correspondingly, all care leavers had an allocated pathway coordinator throughout 2015/16.	Val de Souza
CJS ADP 001	% Criminal Justice reviews of high risk offenders that took place by scheduled date	100%	100%	100%	100%	100%	During 2015/16 public protection and strong focus on high offenders remained paramount. Similarly, quality assurance audits continue to lead to further improvements in the area of high risk offending.	Stuart Landels
SOS CUS 006	% Adult Care service users surveyed who feel safer as a result of social services involvement in Clackmannanshire	88%	79%	70%	88%	80%	The 2015/16 Annual Adult Service Users Survey indicates marked improvements in our clients reporting feelings safer as a result of Social Services' involvement in their lives. In spite of the structural changes, it appears that our dedicated workforce keeps putting the service user at the centre of all we do. However, caution needs to be taken when interpreting this year's results as the methodology has been refined. Please note that these results are provisional and will be subject to	Chris Sutton

Code	Description	2012/13	2013/14	2014/15	2015/16		Comments	Lead
		Value	Value	Value	Value	Target		
							thorough analysis followed by an action plan.	
SOS CUS 007	% Clacks Adult Social service users surveyed who report satisfaction that social services helped them to lead a more independent life	86%	79%	68%	81%	80%	Following a significant decline in service users' satisfaction with Social Services helping lead independent lives, the 2015/16 Annual Adult Service Users Survey shows significant improvements in our clients' perception of Social Services with some stressing how invaluable the services have been not only to the client but also to their families. It needs to be noted that caution should be taken when interpreting this year's results as the methodology has been refined this year. Please note that these results are provisional and will be subject to thorough analysis and an action plan.	Chris Sutton

Covalent Code	Action	By When	Lead	Progress Bar	Expected Outcome	Latest Note	Last Modified Date
SOS SSS 050	Implement the process in relation to the role of the Lead Professional under the Children & Young Persons legislation and the transition between the Lead Professional and Named Person service.	31-Aug-2016		100%		The role of the Lead Professional is fully understood and implemented within the Children's Service. With Social Work primarily being the Lead Professional for all cases allocated.	27-Apr-2016
SOS SSS 051	Roll out of the Outcomes Framework for all children in Children's Services to evidence outcomes for children and families	31-Aug-2016		80%		The outcomes framework has been rolled out to include all children subject to Child Protection Registration, as well as those who are subject to being Looked After by the LA (At Home & Accommodated). Outcomes scoring is embedded in all GIRFEC and National Risk Framework training.	29-Jun-2016
SOS SSS 052	Roll out and review use of the recognised assessment tools such as National Risk Assessment Framework, Graded Care and Substance Misuse Tools.	31-Aug-2016		80%		Staff have been trained in the use of the National Risk Assessment Framework, and this is now part of rolling programme of training. Audit activity increasingly indicates the use of a recognised assessments tools in the interventions provided for the children we work with.	27-Apr-2016
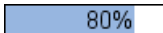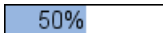
6

Covalent Code	Action	By When	Lead	Progress Bar	Expected Outcome	Latest Note	Last Modified Date
SOS SSS 053	Finalise in conjunction with NHS FV the Strategic Plan for adult health and social care services	11-Mar-2016		100%		Strategic Plan and Strategic Needs Assessment have been now approved and published by Integration Joint Board.	23-Jun-2016
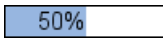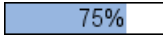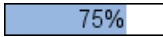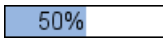
Our Public Services Are Improving

Code	Description	2012/13	2013/14	2014/15	2015/16		Comments	Lead
		Value	Value	Value	Value	Target		
ACC BUV SOS	Projected variance as % of actual budget	0.88%	3.11%	3.99%	3.97%	0%	Social Services had an overspend of £1.119m in 2015/16. This was due to an overspend in the Residential Schools budget of £1.515m, which was partially offset against other service underspends of £0.396m.	Val de Souza
GOV SAB SOS	Social Services service sickness absence level measure through annualised days lost.	5.47		10.23	13.66	11.23	The absence rate for the Service is an area of concern. It is recognised that this has an impact on service delivery and costs. The Service has focused on ensuring that return to work interviews are completed timeously and that managers take forward appropriate actions and supportive arrangements as required.	Chris Sutton
SOS CUS 001	Number of stage 2 complaints received in quarter for Clackmannanshire	3	3	1	2	0	There were two stage 2 complaints received to Social Services relating to Child-care in 2015/16.	Chris Sutton
SOS CUS 002	% of reported indicators for Clackmannanshire Council social servicers registered provision graded good or better by Care Inspectorate over previous 12 months	93.75%	64.29%	81.82%	95.83%	90%	Of all 7 services registered with the Care Inspectorate and inspected during 2015/16, only Adoption Services were rated adequate for management and leadership. The reminder were graded good, very good or indeed excellent.	Val de Souza
SOS CUS 008	% of Clackmannanshire Adult Care service users satisfied with the overall service they received from Social Services	93%	83%	76%	84%	90%	The overall satisfaction with Social Services has reached a 3-year high of 84% according to the latest Adult Service Users Annual Survey. However, it needs to be noted that the results are provisional and will be subject to further analysis followed by an action plan.	Chris Sutton

Code	Description	2012/13	2013/14	2014/15	2015/16		Comments	Lead
		Value	Value	Value	Value	Target		
SOS IBP 007	% of social work case files audited where there is evidence of service user involvement in their care at the review stage	100%	61%	85%	79%	75%	With the exception of quarter II which saw a poorer than expected performance (58%), there was clear evidence of service users involvement at care review stages.	Chris Sutton
SOS IBP 008	% of case files audited where there is evidence of regular review of care or supervision of all social services files	100%	71%	86%	86%	90%	Internal audits indicate that half of all cases in 2015/16 either met or exceeded the 90% target set in the Business Plan.	Chris Sutton
SOS LAG 003	% of Clackmannanshire staff surveyed who responded felt that the annual appraisal system helps them improve the way they do their job	54%	54%	31%		60%	Annual Social Services Staff Survey was not undertaken in 2015/16 due to ongoing structural changes.	Val de Souza
SOS LAG 027	% staff who feel they have the ability to improve the service their team provides	55%	57%	50%		65%	Annual Social Services Staff Survey was not undertaken in 2015/16 due to ongoing structural changes.	Val de Souza

Covalent Code	Action	By When	Lead	Progress Bar	Expected Outcome	Latest Note	Last Modified Date
S0S SSS 040	Ensure effective budget management arrangements are in place and are effectively reported	11-Mar-2016	Val de Souza	100%	⚠	Finance is discussed at weekly Senior Management team meetings. The budget action plan for both adults and childcare services is overseen by the relevant Assistant Head of Service. Regular meetings take place between Service Mgrs and Service Accountants. A Business Manager was recruited in February 2016 to support and oversee the business processes.	13-Jun-2016
S0S SSS 042	Ensure customer standards are effectively reported and managed	11-Mar-2016	Val de Souza	100%	⚠	Performance framework and scorecards in place across service which are linked to customer standards. Performance Framework has also been developed to to support reporting on integrated adult health and social care services.	23-Jun-2016
SOS SSS 043	Produce a Social Services specific approach to Workforce Planning in line with corporate approach to Workforce Planning	11-Mar-2016		50%		Engagement and planning for Adult Care Priorities are supporting social services scoping and planning for workforce. This is mirrored in	23-Jun-2016

Covalent Code	Action	By When	Lead	Progress Bar	Expected Outcome	Latest Note	Last Modified Date
						work on children's services redesign in line with embedding GIRFEC and implementation of Children and Young People's Act. Workforce Strategy has been developed to support Health and Social Care Integration. Workforce data gathered to inform next stage of workforce planning. Further, Service is working with Corporate Services to progress service specific development of workforce planning. Appropriate reporting arrangements have been put in place including reports to committee.	
SOS SSS 044	Review approaches to staff engagement and strengthen opportunities for front-line staff to be involved in improvement activities	11-Mar-2016		80%		Senior Management Team have hosted a range of staff engagement events with the aim to share visions and encourage front-line workers to take ownership of service aims. Staff at all levels have been invited to attend and contribute to Health Social Care Integration consultation events.	23-Jun-2016
SOS SSS 054	Review of day care provision	11-Mar-2016		50%		Review of all Adult Day Services - The proposal supports integrated Care Pathway Strategic Themes by redesigning activity on complex care provision. This is a three year MCB programme. Phase 1 (2015-2016) Consultations with staff and partners to identify stakeholders. Develop the scope of the project, the savings, project team, and links other council wide projects. This work has been completed
Phase 2 (2016-2107) . Further consultations with communities, Agree and identify an appropriate model of delivery which meets customers and statue responsibilities. Reviews include high cost service pathways, developing locality hubs that support early intervention. This work will review current day and community support arrangements with a view to developing therapeutic models of support that are enabling and integrated with health.	17-Jun-2016
SOS SSS 055	Develop feasibility study for shared residential childcare facility	11-Mar-2016		35%		The Service has developed a comprehensive framework for appraising potential sites for the	22-Jul-2016

Covalent Code	Action	By When	Lead	Progress Bar	Expected Outcome	Latest Note	Last Modified Date
						childcare facility. In addition, a Project Manager has been identified who will be taking this work forward.	
SOS SSS 056	Review Social Services equipment provision and distribution arrangements	11-Mar-2017		50%		This is being progressed within 'Making Clackmannanshire Better'. Business Cases have been completed and approved. The key aim of this option is to provide a standardised, streamlined service integrated across Forth Valley that maintains a balance between costs and service provision. This option will comprise two phases: Phase 1: (2015 – 2016) …this will involve a range of improvement and efficiency activities concerned with logistics, stock control, ordering and processing systems, rationalisation and infection control standards. Phase 2: Jan 2017 onwards – to develop and implement a fully integrated Forth Valley-wide service	27-Apr-2016
SOS SSS 057	Implement redesign of Adult intake/reception services	11-Mar-2016		75%		Pilot of triage service and eligibility toolkit has been put on hold due decision not to pursue Shared Services. .	27-Apr-2016
SOS SSS 058	Improve delivery of Child Protection Services	31-Mar-2017		75%		Following a review of the funding for the single case management system programme, and the decision not to fully integrate as a shared service, this programme will now no longer be pursued in this format. The council have however agreed through the council budget meeting in February 2016 to pursue a case management system for Clackmannanshire council that is fit for purpose.	06-Apr-2016
SOS SSS 059	Re-design of children's Social Services	11-Mar-2017		75%		Initial plans will now be reviewed following decision not to proceed with a shared service.	06-Apr-2016
SOS SSS 060	Embed self-directed support across Social Services.	11-Mar-2017		50%		The Outcome Focussed Assessment and Support Plan have been revised and are awaiting final agreement from the board. The next step will be to have them operationalised and on the systems. The Commissioning Framework (Partners in Choice) is being	16-Jun-2016
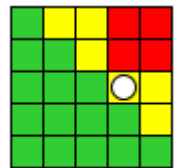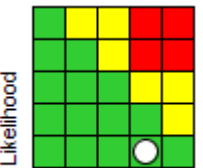
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Covalent Code	Action	By When	Lead	Progress Bar	Expected Outcome	Latest Note	Last Modified Date
						consulted on with providers and service users.	
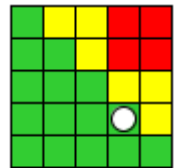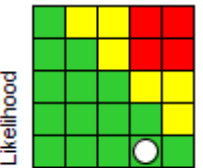
Social Services Committee Risks

Code & Title		Status	Current Rating	16	Target Rating	8
SOS 015	*Redesign activity does not match pace and scale of change required.*	🔴				
Potential Effect	Impact on financial expenditure, failure to deliver efficiences, impact on the sustainability of services and ability to meet future needs					

Related Actions	SOS RIS 022	Workforce development and skills plan being developed corporately and by Social Services	**Internal Controls**	Health & Social Care Joint management team
	SOS RIS 023	Re-aligning Childrens Services program to develop Joint Commissioning Strategy for Childrens Services.		HSC Strategic Plan
	SOS RIS 024	Health & Social Care Strategic Plan		HSC Strategic Planning Group
				Social Services Transforming Care Board

Latest Note	Governance arrangements revised and implemented: Transforming Care Board in place. Service specific programme management office established.	**Managed By**	Val de Souza
		22 Feb 2016	

Code & Title		Status	Current Rating	16	Target Rating	5
SOS 022	*We may fail to have sufficient competent, confident staff and managers to undertake core duties.*	🔴				
Potential Effect	We may fail to deliver the required services. We may fail to meet statutory requirements. Lack of effective support to staff. Risk of harm to current or potential service users.					

Related Actions		**Internal Controls**	Health & Safety Management System
			Integrated Children's Services Plan
			Social Work Supervision policy
			Performance Forum
			MAPPA guidance

11

		Child protection procedures		
		Workforce Learning & Development Strategy		
		Public Protection Forum		

Latest Note	A single supervision policy is in place across the Service aligned to core duties. Core learning and development needs identified. Priority actions addressed. CS	**Managed By**	Val de Souza
		09 Jan 2015	

Code & Title		**Status**	**Current Rating**	12	**Target Rating**	4

SOS 026	*Quality of care not maintained due to reduced capacity for contract monitoring. Service delivery standards are not met.*	⚠

Potential Effect	Pressure on contract compliance staff. Paying for services not provided. Non-compliance with statutory requirements. Critical services may not be supplied.

Related Actions		**Internal Controls**	Procurement Strategy
			Council Standing Orders
			Commissioning Arrangements
			HSC Strategic Plan
			HSC Market Positioning Statement

Latest Note	Internal Audit report identified areas of improvement in adult care commissioning arrangements and some areas for further development	**Managed By**	Val de Souza
		15 May 2015	

Code & Title		**Status**	**Current Rating**	8	**Target Rating**	4

SOS 016	*There is a risk that procedures do not accurately relate to operational and statutory requirements.*	✅

Potential Effect	We may fail to meet Scottish Government objectives. We may fail to meet Council objectives. We may fail to deliver the required services. Risk of harm to current or potential service users.

Related Actions	SOS RIS 004 update operational procedures and guidance.	**Internal Controls**	Service Plans
	SOS RIS 025 Children's Services Action Plan		Inspection and external audit
	SOS RIS 026 Audit activity across Children's services		

Latest Note	Process workshops to support implementation of Single Case Management System are being used to develop procedural guidance that is fit for purpose in line with national guidance and legislation and address risk.	**Managed By**	
		12 Jan 2015	

Code & Title		**Status**	**Current Rating**	8	**Target Rating**	4

12

STP SOS 014	*We may fail to work effectively in partnership with NHS Forth Valley*	✅		
Potential Effect	We may fail to meet Scottish Government objectives, we may fail to meet Council objectives, we may fail to deliver the required services.			
Related Actions		**Internal Controls**	CMT	
			Health & Social Care Joint management team	
Latest Note	Integration Scheme in draft form.		**Managed By**	Val de Souza
			12 Jan 2015	

Code & Title		Status	Current Rating	16	Target Rating	8
SOS 017	*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	Negative impact on the smooth running of the service.					
Related Actions	SOS RIS 016 Implementation of Child Care Case Management System		**Internal Controls**	Business Continuity Plans		
				Joint IT Governance Group		
				Continuity		
Latest Note	Following a review of the funding for the single case management system programme, and the decision not to fully integrate as an agreed service, this programme is now on hold. Implementation will now be reviewed.			**Managed By**	Chris Sutton	
				12 Oct 2015		

Code & Title		Status	Current Rating	8	Target Rating	3
SOS 025	*Failing to engage effectively with staff.*	✅				
Potential Effect	Disruption to service delivery. Negative impact on employee morale, risk of harm to service users or potential service users.					
Related Actions			**Internal Controls**	Industrial relations meetings		
				Staff Engagement Plan		
Latest Note	Reviewed January 2015 grading remains the same. CS			**Managed By**	Val de Souza	
				09 Jan 2015		

Appendix 2

Table 1 - Revenue Expenditure

Service	Annual Budget 2015/16	Actual Spend to 31/03/16	Projected Outturn to 31/03/16	Variance Outturn V Budget
	£000	£000	£000	£000
Mental Health & Learning Disability	6,334	6,319	6,319	(15)
Elderly & Physical Disability Care Management	4,979	4,956	4,956	(23)
Adult - Provision	4,676	4,674	4,674	(2)
Adults	**15,989**	**15,949**	**15,949**	**(40)**
Child Care - Clacks Locality	2,208	2,227	2,227	19
Child Care - Resourcing, Disability, TCAC	6,254	6,144	6,144	(110)
Child Care	**8,462**	**8,371**	**8,371**	**(91)**
Criminal & Youth Justice Services	240	121	121	(119)
Strategy	565	502	502	(63)
Social Services Management Support	367	267	267	(100)
Residential Schools	2,583	4,098	4,098	1,515
Total Revenue	**28,206**	**29,308**	**29,308**	**1,102**

Table 2 - Breakdown of Residential Schools overspend

Service Provision	Budget £'000	Projection £'000	Variance £'000
External Residential Placements	1,339	1,813	474
Other LA Residential Placements		37	37
Education	1,082	1,906	824
Outwith LA Education	162	266	104
Additional Education Support Provision		74	74
Hospital Education		2	2
Total	**2,583**	**4,098**	**1,515**

Table 3 – Capital Expenditure

Project	Annual Budget 2015/16 £000	Actual Spend to 31/03/16 £000	Projected Outturn to 31/03/16 £000	Variance Outturn V Budget £000
Social Work Integrated System	145	0	0	(145)
Telecare	75	68	68	(7)
Child Care Residential Unit	250	0	0	(250)
Total Capital	**470**	**68**	**68**	**(402)**

CLACKMANNANSHIRE COUNCIL

Report to: Scrutiny Committee

Date of Meeting: 18 August 2016

Subject: Social Services Business Plan 2016 - 2017

Report by: Head of Social Services

1.0   Purpose

1.1.   This report presents to the Committee the Social Services Business Plan for 2016-2017 (contained as Appendix 1).

2.0   Recommendations

2.1.   It is recommended that the Committee notes the Business Plan for 2016-2017, provides comment and challenges as appropriate, and agrees the performance targets for scrutiny purposes over the next 12 months.

3.0   Considerations

Background

3.1.   The Business Plan sets out the actions that Social Services will take forward over 2016-2017 and specifically identifies how these actions will contribute to Clackmannanshire Council's key priority outcomes. The plan incorporates priority setting, planned improvement activity, performance measures and a service wide risk management plan.

3.2.   The Business Plan contains information and analysis of the key issues for the Service. The plan requires to be viewed in the context of evolving change across Social Services. Two key elements are Health and Social Care Integration and the disaggregation of the Shared Service.

3.3.   The Business Plan sets out an overview of the Service, its purpose and objectives and budget information for 2015-2016. The key issues for

the Social Services are set out alongside actions that will be taken to improve and support the ongoing engagement with customers and staff.

3.4.   Links with the Annual Governance Assurance process have been taken into consideration during the preparation of the Social Services Business plan.

Risks

3.5.   The Social Services Business Plan for 2016-2017 includes a Risk Register. The Register is reviewed by the Senior Management Team on a quarterly basis and more frequently, as required.

4.0   Sustainability Implications

4.1.   None identified.

5.0   Resource Implications

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

Yes ☑

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

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. Appendix 1 - Social Services Business Plan 2015 -2016
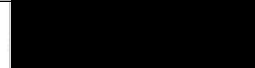
11.0 Background Papers

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
Louise Beattie	Business Manager	lbeattie@clacks.gov.uk

Approved by

NAME	DESIGNATION	SIGNATURE
Val de Souza	Head of Social Services	
Nikki Bridle	Depute Chief Executive	

Social Services

Business Plan 2016-17

Making Clackmannanshire Better

1   SERVICE OVERVIEW

1.1   SERVICE MISSION / PURPOSE & OBJECTIVES

The Business Plan sets out how Social Services will deliver on the key priorities and requirements for Clackmannanshire Council. Social Services have a unique contribution to make, working with local communities and our partners across Clackmannanshire, to meet current and future challenges facing the Council.

The statutory duties of the service arise from the Social Work (Scotland) Act 1968 (amended by subsequent pieces of legislation). The core legislative responsibilities focus on protection and support and improving outcomes for individuals with a range of needs across all ages and a wide range of settings. These responsibilities are expressed through the assessment and management of risk, the provision of direct support, advice and guidance across children and families, adult care and criminal justice services. The Service also works in partnership with universal services, the independent, third sector and community based services, and the Community Planning Partnership to support early intervention and prevention and meet agreed needs.

The core values of Social Services are centred on understanding the individual in the context of their family and community and identifying and building on their strengths and natural support networks. The Service's mission and purpose and core objectives are expressed in the following visual, which is based on Social Services in Scotland, A Shared Vision and Strategy 2015-2020:
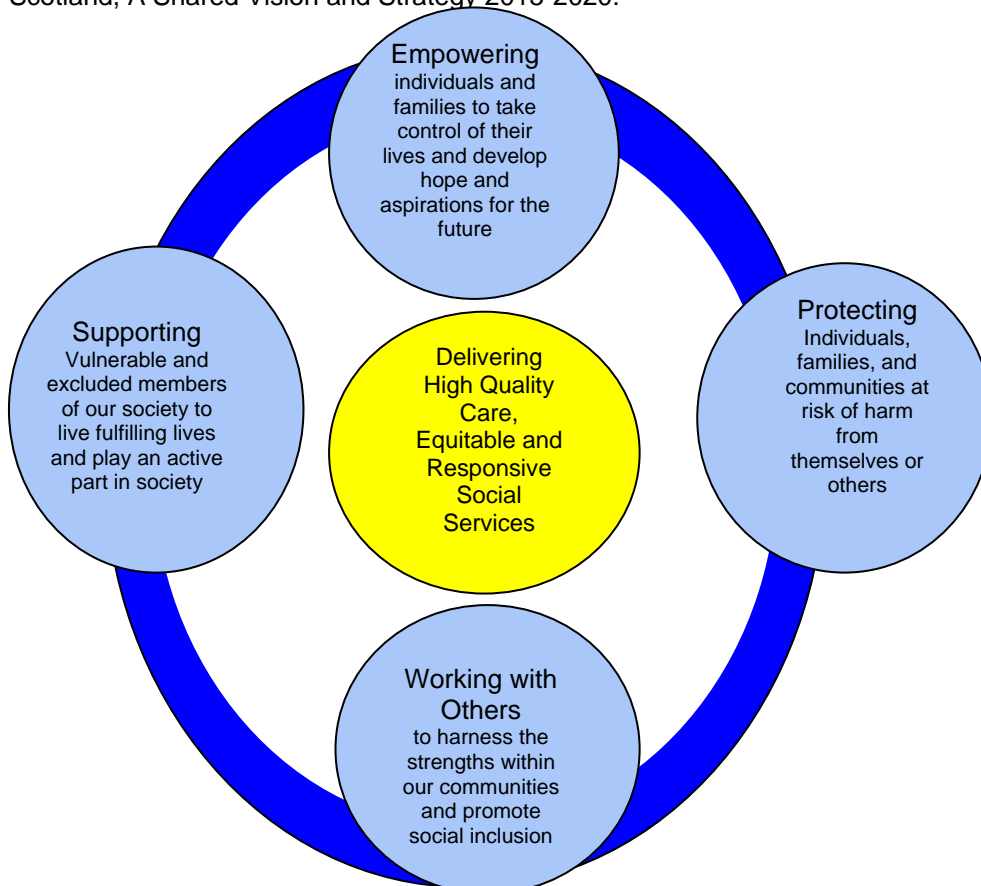
The key objectives for the Service are:

- To work with those who use our services, or may require our services in the future, and put them at the heart of decision making;

- To provide high quality, equitable and responsive services within allocated resources;

- To keep children safe , healthy and prepare them well for adulthood;

- Protect the rights and wellbeing of all the community ;

- To support adults to lead independent and fulfilled lives and to live their own homes for longer;

- To work with people who use our services, their carers and key stakeholders in the design and delivery of services;

- To provide personalised services, which support and assist all people need to fulfil their potential.

In addition to this, there is a commitment from the Service to play a strong role and invest the necessary resources to improve community safety working as part of the Community Planning Partnership. This is core to many of the statutory functions of the Service in the context of Public Protection, including our investment in supporting Multi-Agency Public Protection Arrangements in respect of Community Justice and the oversight of multi-agency arrangements for Adult Support and Protection and Child Protection.

In order to achieve the core objectives for the Service within budget and address the requirement to allocate resources most effectively to meet future needs, it is critical that we implement new ways of working, have a strong focus on workforce planning, understand our performance more fully and focus on continuous improvement, with a focus on learning and ongoing dialogue with our customers, partners and key stakeholders.

Head of
Social
Services
and
CSWO

Assistant
Head of
Child Care/
Criminal Justice and
Deputy CSWO

Service
Business
Manager

Assistant
Head of Adult
Services

Service
Manager

Child Care

(Long Term
Teams and

Children with
Disability)

Service
Manager

Child Care

(Intake and
Child
Protection
and Out of
Hours
Emergency
Duty Team)

Service
Manager

Child Care

(Residential,
Family
Support,
Through care
Aftercare and
Fostering and
Adoption)

Service
Manager

Criminal
Justice and
Youth Justice

Service
Manager

Strategy

Service
Manager

Adult Services

(Assessment
and Care
Management)

Service
Manager

Adult Services

(Partnership:

Mental Health
and Learning
Disability)

Service
Manager

Adult Services

(Provisions:
Care Homes,
Day Care and
Care at Home)

4
282

1.3   BUDGET 16/17

Clackmannanshire Council

REVENUE BUDGET	£,000
Adult Care: Internal Provision	3,913
Older People's & Physical Disability Care	5,065
Mental Health & Learning Disability Care	5,731
Child Care Clacks Locality	2,248
Child Care Resourcing	6,130
Criminal & Youth Justice	191
Management Support	385
Strategy	503
Residential Schools	3m
Total Social Services Revenue Budget 2016-17	**27,166**

CAPITAL BUDGET	
Project	**£000**
Telecare Equipment	75
Children's Residential Unit	£1.00m
Total Social Services Capital Budget 2016/17	**1.075m**

2 KEY ISSUES FOR THE SERVICE

The policy landscape for Social Services is cross cutting and complex. The key areas of reform and redesign, with an emphasis on early intervention, prevention and integrated service delivery, are:

- The **Public Bodies (Joint Working) (Scotland) Act 2014** and the integration of adult health and social care services. Integration is intended to ensure that service delivery is seamless, particularly for people with long term conditions, many of whom are older people.
- The development and implementation of **Joint Strategic Commissioning** for all service user groups.
- The ongoing personalisation of services and supports for all service users groups through the implementation of the **Social Care (Self-directed Support) (Scotland) Act 2014.**
- New legislation focused on improving outcomes and redesigning services for children and young people. The **Children and Young People (Scotland) Act 2014** covers four main areas: Children's Rights, Getting it Right for Every Child, Early Learning and Childcare and "Looked After" children. This legislation puts children and young people at the heart of planning and service delivery.
- The **Carers (Scotland) Bill** place an emphasis on carers as partners in the planning and delivery of care and on meeting the needs of carers.
- **Reform of Community Justice** designed to deliver community based responses and improved outcomes for victims, people who offend, their families and the wider public. The responsibility for coordinating Community Justice and achieving the key objectives of reducing offending and reducing reoffending will sit with Community Planning Partnerships from April 2017.
- The **Community Empowerment and Renewal Bill** designed to strengthen community participation and engagement.
- The work of the **Scottish Social Services Council** to raise standards of quality, practice, support and leadership across the social services workforce
- Increased emphasis on **Public Protection** incorporating Child Protection, Adult Support and Protection and Multi-Agency Public Protection Arrangements in respect of Community Justice.

The Service are taking forward strategic, operational and practice developments in line with the above legislative and policy requirements.

The Service recognises that there are many opportunities in the current environment to develop new ways of working, with a strong focus on innovation, cultural change and redefining the way we have traditionally delivered services. However, there are fundamental areas that require to be addressed to equip the Service to deliver on its core objectives. Self-assessment including risk analysis, external scrutiny and feedback from customers, employees and stakeholders has identified the following key areas for further development:

Supporting the Workforce

- Strengthening workforce planning across Social Services;
- Ensuring appropriate development opportunities are in place for all Social Services employees;
- Strengthening leadership and engaging staff with service change and improvement;
- Ensuring we have the skills-base to deliver on our re-design activities in line with the corporate requirements of Making Clackmannanshire Better ;
- Working collaboratively with third and independent sector providers to promote social services as a positive career choice.

Improving the Use of Evidence

- Promoting evidence and outcomes based practice across all areas of the Service, aligning this to performance information and commissioning decisions;
- Improving capacity for analysis of existing data so that the Service have a better understanding of the whether outcomes are being met, what interventions are most effective and how to best use our employees and resources to meet future need.

Improving Performance at the Front-line

- Ensuring that front line staff have a good understanding of the policies, procedures and standards for their service area;
- Supporting a stronger focus on sharing and understanding good practice based on knowledge of what works with a focus on self-evaluation which is outcomes focused and locality based.

Improving Public Engagement, Participation and Understanding

- Increasing public understanding of the social services sector;
- Developing innovative approaches to engaging and involving the public, in particular members of groups who may be harder to reach;
- Proactively engaging with the media to promote positive stories and examples.

These objectives will be progressed in the context of significant change at a local level. The Social Services Management Team are currently working across Clackmannanshire and Stirling to redesign the approach to delivering Social Services, following the decision to progress with separate models in each Council area. The Service will ensure that the key objectives continue to be met through this time of transition.

The Delivery Plan is designed to address and prioritise actions to address these issues, identify and monitor strategic and operational risks for the Service and increase the likelihood of the Service achieving its core

objectives. The Service recognises that engagement - with staff, service users and partner agencies - will be critical to delivering the pace and scale of change and redesign activity across service areas.

The way in which we engage with other stakeholders and partners in the delivery of care and support services is and will be subject to significant change over the next year. Social Services are continuing to pursue the Health and Social Care Integration agenda which has already involved the delegation of relevant functions to the new legal entity. This is now governed by the Integrated Joint Board with accountability for planning and delivery of all the relevant services.

This development will continue and will require a joined up approach to future business planning for the delivery of adult social services. These plans will set out how we will use all of our resources and our joint workforce to deliver on our shared outcomes and objectives.

3 APPROACHES

3.1 CUSTOMER/STAKEHOLDER ENGAGEMENT

Improving public engagement, participation and understanding continues to be a priority area for the Service. The Service has mechanisms in place to publicise plans and performance information and engage with those who use our services to obtain feedback. In addition to this, and in conjunction with our partners, the Service performs a role in raising public awareness in relation to Public Protection and associated community safety initiatives.

Service Plans and performance information are available currently on both Councils external websites. Performance information is available at a national level to enable comparisons and benchmarking. Care Inspectorate strategic scrutiny reports and reports and grades for registered services are available on the Care Inspectorate website. Performance information is scrutinised at Committees in all Council areas. Internal Audit reports and the outputs from self-assessment activities are made available to Service Committees and other relevant fora e.g. the Public Protection Forum. The Service uses qualitative and quantitative data to evaluate performance and inform service improvement.

The Service has led on and participated in a range of consultations during 2015/16 to inform the development of the Strategic Plan for Health and Social Care Integration, planning around the Clackmannanshire Care Village and the commissioning of advocacy services. This work will continue going forward in 2016/17. Social Services staff and managers participate throughout the year in community engagement events and public consultations that inform and obtain feedback around service proposals for redesign.

Customer satisfaction is evaluated through the annual surveys, through the analysis of information from service reviews and from analysis and learning from customer feedback and complaints and compliments data. The Service has also convened consultation events with service user and carers' groups throughout the course of the year and convenes sessions and workshops with local providers to obtain feedback from service users about processes and procedures and areas for improvement.

Further to this, our relationship with service providers is shifting from the traditional commissioner/provider relationship to more mature and sophisticated partnership arrangements. We have established positive relationships with providers across Clackmannanshire through engagement events and establishing clear contact arrangements for each provider agency with the Service.

Realigning Children's Services

Our engagement and learning from all our stakeholders continues to inform the development of the Integrated Children's Service Plan. The establishment of an overarching Strategic Group has representation from all key agencies involved in the delivery of services to children and young people across Clackmannanshire and is driving the work forward in a much more joined up approach.

Clackmannanshire Council are currently progressing strategic workforce planning through *Making our Organisation Stronger.* Social Services recognise the benefits of ensuring that our workforce profile is aligned to future needs and objectives and that our employees have the appropriate skills and abilities to meet Service requirements. Work has started on developing a service specific workforce plan.

443 Social Services staff are employed by Clackmannanshire Council. The majority of the Social Services workforce is female: 81% female to 19% male. 78% of Social Services employees are over 40 and 22 % under 40. In Clackmannanshire, 58% of employees are full time and 42% are part time. The majority of Social Services staff are on permanent contracts. We recognise that this supports stability in the Service and we are committed to reducing the use of agency staff as far as possible both to reduce costs and maximise continuity of service.

Workforce Planning

Key Areas for Action include:

- **Recruitment and Retention.** This is particularly significant in the context of front line care staff and relates both to the internal workforce and the staffing requirements of external care at home and care home providers. The Service has commenced work with our local providers to address the challenges of recruitment and retention. Further developments are planned in partnership with Stirling University, Forth Valley College and Children and Young People's Services to raise the profile of social care as a positive career choice.

- **Succession Planning.** The service requires to anticipate future needs and identify employees who have the skills and potential to develop in leadership and management roles. Staff engagement activities, Practice Development Plans and supervision are critical to support this.

- **Service Re-design and the Workforce.** The Service redesign options incorporate a work stream focused on the staffing balances across service areas. We recognise that there is potential to increase the ratio of para professional to professional staff dependent as the models of service delivery are redesigned across Social Services. There are also areas in which key groups of staff may require to develop new skills to meet changing service requirements. For example, an enhanced focus on intermediate care within care home services. These areas will be addressed through the programme of service redesign activities.

- **Health and Social Care Integration.** The engagement of employees and strong leadership is critical in driving forward Health and Social Care Integration. A dedicated Organisational and Workforce Development work stream is in place and this oversees a programme of work to prepare and support the workforce to deliver integrated, outcomes-focused services.

- **Supporting Attendance.** Ongoing work continues with HR to ensure that procedures are followed and that employees receive the appropriate support to enable them to return to work, as soon as is

possible. The main reasons identified for absence in Social Services are musculoskeletal and personal stress. The Service also recognises that can be a link between staff morale and attendance rates. The importance of engaging staff with opportunities to identify areas for improvement across all Service areas is crucial. Year on year trends for Clackmannanshire Council demonstrate a reduction in absence levels for Social Services staff. The Management Team continue to have oversight of absence levels across Service areas, monitoring and identifying hotspots and any areas for where action is required.

The Service identifies learning and development needs using the outputs from Practice Development/Personal Review and Development Plans. Social Services Managers are responsible for ensuring that staff members have the confidence and competence to undertake their role and duties and ensuring that they are able to access appropriate development opportunities in line with registration requirements and service needs. Each member of staff should have a Practice/Personal Review and Development plan. The planning process is outcomes based and linked to service delivery requirements and service plans.

The Learning and Development Team work with practitioners, managers and partner organisations to identify skills gaps, plan and deliver a programme of learning experiences that supports individual and organisational learning. Social Services staff also access corporate learning and development opportunities. The Learning and Development Team oversee placements for Social Work Students and also provide mentoring support and advice in all areas of learning and development.

Social Services specific learning activities are underpinned by four overarching principles:

- All learning should be centred on better outcomes for those who use our services;
- Learning wherever possible should be collaborative and integrated across Social Services and with Partner organisations
- Learning should be experiential and create opportunities for sharing and promoting good practice
- Feedback from learning events should inform service standards and improvements.

Staff development activities are evaluated using take up-rates, questionnaires and evaluations at both a corporate and service level. The impact of learning activities are evaluated through the annual Professional Development Planning process, verbal feedback from individuals and their managers. Through engagement with individual practitioners, teams and services, the Learning and Development Team seeks to promote a culture of organisational as well as individual learning. A learning organisation emphasises the importance of discussion and planning between individual staff, line managers and senior management to establish a clear link between individual learning and service improvement.

Staff engagement events and activities take place in different formats across the Service - within Service areas, teams and across Social Services. The Service also leads on the delivery of multi-agency events, for example, a Public Protection Conference took place bringing together staff from across partner agencies to share learning and improve understanding of their respective roles and responsibilities. Social Services staff also participate in corporate leadership programmes and engagement activities.

Social Services continue to operate in a fast paced and changing landscape. The learning and development of staff is recognised as a key factor to ensure successful delivery. There is a need to review, redesign and modernise the approach our current delivery model offers. This will ensure that we take into account this changing context. Planning is underway to review the current arrangements, clarify expectations and requirements and evaluate partnership arrangements to support joint learning activities.

3.3 MANAGING SERVICE PERFORMANCE

Social Services are committed to continuous improvement. This is designed to support a whole systems approach, increasing the capacity of the service to improve and supporting a positive performance based culture. It is detailed in the Service Improvement Framework. The Framework is designed to bring all strands of performance management activity together and ensure accountability across the service and to key stakeholders. There continues to be a focus on ensuring our management information is used to support service improvement.

Robust arrangements are in place which monitor and review the way in which our commissioned services contribute to the outcomes for all. In addition, we identify and respond as appropriate to the performance information which is gathered from other regulatory organisations.

Changes in the relevant legislation continue to contribute to our evaluations of our performance. This has seen a shift towards a more outcome orientated approach whilst giving a clear emphasis on the voice of the individual service user. The Service continues to work in conjunction with provider organisations, to ensure there is a shared understanding of our approach to measuring and monitoring outcomes.

The Service recognises that there is a need to continue to promote a culture that is performance orientated and focussed on achieving better outcomes. This will support our strategies, activities and procedures. This isl underpinned by our commitment to self-evaluation. Examples of this include:

- An annual programme of self evaluation including practice and documentation audit and stakeholder perception;

- Practice Governance Framework with clear expectations for managers to undertake audit in their teams and service areas;

- Service Plans for each service area to ensure the alignment of financial, performance, workforce planning and service development functions;

- Participation by the Service in national and local benchmarking activities and research programmes.

The Social Services Senior Management Team act as the single point of reference for key performance information and activity. The service specific performance groups manage and monitor progress on improvement plans in their relevant areas, in response to self-assessment activity, internal audits, complaints and comments, and external inspection feedback. There are multi-agency forums where performance is reported e.g. Children and Young People's Strategic Partnership Group, Child Protection Committee, Adult Support and Protection Committee.

In addition, the Service continues to develop plans with the Integration Joint Board and the Chief Officer to ensure that the performance reporting for adult services is in line with the reporting requirements of Health and Social Care Integration.

Social Services continues to be transparent in all our performance reporting. Performance information is available from and reported to Scottish Government, Clackmannanshire Council Health, Housing and Care Committees and our regulatory bodies, including details on resources, people, outcomes and outputs. Furthermore, the service provides information in end of year summaries and annual reports. The Chief Social Work Officer prepares an annual report for Clackmannanshire Council in line with national guidance.

4 DELIVERY PLAN

Social Services Business Plan 2016-17

PRIORITY
Vulnerable people and families are supported.

Covalent Code	KPI	2013/14	2014/15	2015/16	2016/17	Lead
		Value	Value	Value	Target	
CHC SCR 002	% of children requiring supervision seen by supervising officer within 15 working days	86%	76%	85%	100% National Standard	Val de Souza
ADC ADA 01a	% of people aged 65 and over with intensive care needs (10+ hours) receiving services at home as a % of all older people receiving long term care	45%	47%	48%	45%	Val de Souza
ADC ADA 008	Delayed hospital discharges over 2 weeks	New indicator previously 4 weeks	2	2	0	Val de Souza
CHC SCR 01a	% Reports submitted to the Children's Reporter within 20 working days (IARs & SBRs no panel)	90%	81%	71%	75% National Standard	Val de Souza
CHC CPR 078	Children on the Child Protection Register with at least one Core Group in the past month	86%	95%	97%	95%	Val de Souza
CJS ADP 001	% of Criminal Justice reviews of high risk offenders that took place by scheduled date (Mappa Reviews)	100%	100%	100%	100%	Val de Souza
CHC CPR 029	Children on the Child Protection Register visited in the last week	100%	94%	92%	100%	Val de Souza

Covalent Code	KPI	2013/14	2014/15	2015/16	2016/17	Lead
		Value	Value	Value	Target	
ADC ADA 022	% Adult Support and Protection investigations that have independent advocacy offered	New indicator	37.5%	TBC	55%	Val de Souza
ADC ADA 019	% of Adult Protection discussions held within 24 hours of referral	68%	73%	TBC	100%	Val de Souza
CHC LAC 18a	% Children looked after away from home with 3+ placements	6%	0%	4%	Data only	Val de Souza
CHC TCA 003	% Care leavers aged 16+ with a pathway co-ordinator	29%	100%	96%	100%	Val de Souza
SOS CUS 006	% of Adult service users surveyed who feel safer as a result of social services involvement	79%	70%	TBC	80%	Val de Souza
CHC TCA 002	% Care leavers aged 16+ with a pathway plan	29%	89%	76%	75%	Val de Souza
SOS CUS 007	% Adult service users surveyed who report maintained or increased independence as a result of intervention	79%	68%	TBC	80%	Val de Souza
ADC ADA B2b	Self Directed Support spend on people aged 18 or over as a % of total social work spend on adults	1%	1.1%	TBC	5%	Val de Souza

Covalent Code	ACTION	Impact	By When	Lead
MCB SOS 002	Review of Day Care Provision and Community Supports for Older People	Adult Services are 'Fit For Purpose' following move into Health and Social Care Integration.	March 2017	Val de Souza
MCB SOS 003	Redesign of intermediate and Residential Care Services for older people		March 2017	Val de Souza
SOS 167 028	Review of Integrated Mental Health Service		March 2017	Val de Souza
SOS 167 013	Explore new model for Learning Disability Respite		March 2017	Val de Souza
MCB SOS 005	To build a new residential unit (5 beds) for children under 11 years of age.	Reduction in 'out of area' placements for looked after children, maintaining relationships and continuity of service provision.	March 2020	Val de Souza
MCB SOS 071	External Foster Care Options Appraisal		March 2017	Val de Souza
SOS 167 036	Alloa Family Centre reconfiguration		March 2017	Val de Souza
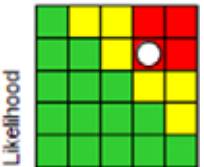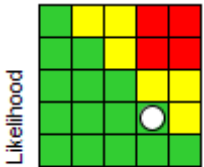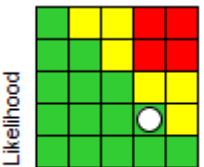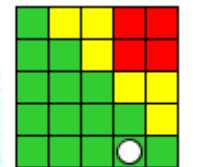
Our Public Services Are Improving
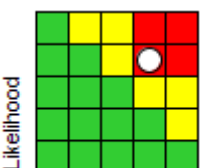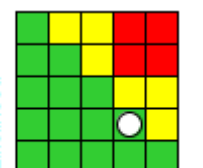
Covalent Code	KPI	2013/14	2014/15	2015/16	2016/17	Lead
		Value	Value	Value	Target	
ADC CUS 01b	Number of complaints received in Adult Care	3	1	0	Data only	Val de Souza
CHC CUS 01a	Number of complaints received in Child Care	3	1	2		
SOS LAG 004A	Adult SS staff Current PRD	New Indicator	66%	45%	100%	Val de Souza
SOS LAG 004C	Childcare staff with current PRD	New Indicator	23.5%	8%	100%	Val de Souza
	Annualised Days lost by FTE in Adult Care	Previous recording system	New indicator	New indicator	Council average	Val de Souza
	Annualised Days lost by FTE in child Care	Previous recording system	New indicator	New indicator	Council average	Val de Souza
ADC IBP 013b	Projected variance as % of actual budget in Adult Care				+-2.55%	Val de Souza
SOS IBP 013	Projected variance as % of actual budget in Child Care				+-2.55%	
ADC CUS 002b	% Adult Social Services who achieve Care Inspectorate evaluation scores of 4 and above across internal registered services	100%	100%	100%	100%	Val de Souza
CHC CUS 02b	% Child Social Services who achieve Care Inspectorate evaluation scores of 4 and above across internal registered services	40%	57%	93%	100%	Val de Souza
SOS CUS 008	% of service users in Adult Care very or fairly satisfied with the overall service they receive	83%	76%	TBC	80%	Val de Souza
CJS ADP 004	Criminal Just Community Payback Order Conversion Rate	64%	71%	72%	80%	Val de Souza
CJS ADP 005	Criminal Justice Unpaid Work Placement Commencing in 7 Working Days	71%	73%	80%	75%	Val de Souza
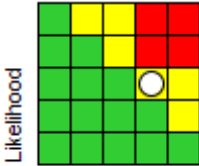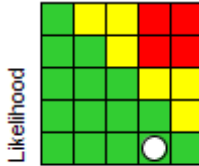
Covalent Code	ACTION	Impact	By When	Lead
MCB SOS 036	Social Services Workforce Strategy Review		March 2017	Val de Souza
MCB SOS 050	Review of Social Services Commissioning		March 2017	Val de Souza
MCB SOS 074	Implementation of Multi-Systemic Therapy		March 2017	Val de Souza
SOS 167 017	Review EDT (out-of-hours) service hosted by Stirling		March 2017	Val de Souza
SOS 167 034	Redesign Mobile Emergency Care Service		March 2017	Val de Souza
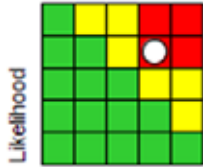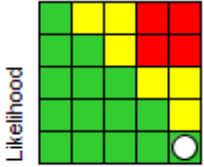
Social Services Risk Register 2016-17
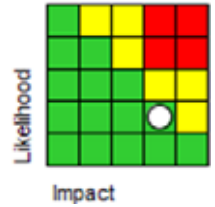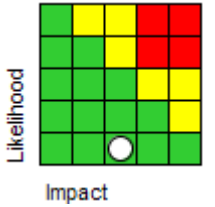
Covalent Code	Risk Description	Status	🛑	Current Rating	16	Target Rating	8
SOS 015	Redesign activity does not match pace and scale of change required.						
Potential Effect	• Impact on financial expenditure, failure to deliver efficiencies, impact on the sustainability of services and ability to meet future needs • Workforce skills profile do not meet redesign activity • Failure to meet standards and deliver action plan improvements in line with Care Inspectorate requirements for internally and externally commissioned services						

Related Actions	SOS RIS 024	Health & Social Care Strategic Plan (Adults)	**Internal Controls**	Health & Social Care Strategic Plan SOS HSCP
				Health & Social Care Joint Management Team meetings SOS HSC JMT
	SOS RIS 023	Re- aligning Children's Services Program to develop Joint Commissioning Strategy for Children's Services.		Health & Social Care Strategic Planning Group SOS HSCPG
	SOS RIS 022	Workforce development and skills plan being developed corporately and by Social Services		Social Services Transforming Care Board SOS TCB
Latest Note	Work to progress Making Clackmannanshire Better is ongoing. This work is closely monitored to assess progress on delivering efficiencies and target savings. Ongoing budget monitoring and action plans in place and updated on a weekly basis. Governance arrangements revised and implemented: Transforming Care Board in place. Service specific programme management office established.		**Managed By**	Val de Souza

Covalent Code	Risk Description	Status	✅	Current Rating	8	Target Rating	4
SOS 016	There is a risk that procedures do not accurately relate to operational and statutory requirements						
Potential Effect	Failure to: • meet Scottish Government objectives • meet Council objectives • deliver the required services • Risk of harm to current or potential service users						

Related Actions	SOS RIS 004	Work has commenced to update operational procedures and guidance.	Internal Controls	Service Plans SOS SPM
	SOS RIS 025	Children's services action plan		Inspection and external audit SOS IEA
	SOS RIS 026	Audit activity across Children's Services		
Latest Note	Procedural guidance has also been developed to meet the requirements of the Social Care (Self-directed Support) (Scotland) Act 2013		Managed By	Val de Souza

Covalent Code	Risk Description	Status	🛑	Current Rating	16	Target Rating	8
SOS 017	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	• Performance reporting difficulties • Poor information exchange • Higher cost on service delivery • Higher level of resources used on duplication of tasks						

Related Actions			Internal Controls	Joint IT Governance Group COU SHS IGG
				Business Continuity Plans FCS CUS BCP
				Disaster Recovery and Business Continuity arrangements for shared Social Services SOS BCONT
Latest Note			Managed By	Val de Souza

Covalent Code	Risk Description	Status	⚠	Current Rating	12	Target Rating	4
SOS 026	Quality of care not maintained due to reduced capacity for contract monitoring. Service delivery standards are not met.						

Potential Effect	• Pressure on contract compliance staff • Paying for services not provided and outcomes not met • Non compliance with statutory reqs • Critical services may not be supplied • Recruitment & retention • Complaints ignored • Poor performance monitoring • Poor regulation inspection • Workforce planning issues

Related Actions			Internal Controls	Corporate Procurement Strategy RAG GOV PRO
				Health & Social Care Integration Strategic Plan SOS HSCP
				Corporate Contract Standing Orders RAG GOV GSO
				Market Positioning Statement for Health & Social Care SOS MPS
				Commissioning arrangements are outcome orientated SOS COMA
Latest Note			Managed By	Val de Souza

Covalent Code	Risk Description	Status		Current Rating	16	Target Rating	5
SOS 022	We may fail to have sufficient competent, confident staff and managers to undertake core duties						
Potential Effect	• Failure to deliver the required services and meet statutory requirements • Risk of harm to current or potential service users • Failure to meet standards and deliver action plan improvements in line with Care Inspectorate requirements for internally and externally commissioned services						

Related Actions				Internal Controls	Corporate health & safety policies RAG GOV H+S
					Integrated Children's plan - FV GIRFEC agenda SOS CHC ICS
					Supervision SOS PRD
					Public Protection Forum COU SHS PPF
					Child protection procedures SOS CHC CPP
					MAPPA guidance SOS CJA MPA
					Learning & Development Programs in place SOS WLD
					Performance Forum SOS PER
Latest Note				**Managed By**	Val de Souza

Covalent Code	Risk Description	Status	⚠️	Current Rating	8	Target Rating	3
SOS 025	Failing to engage effectively with staff						
Potential Effect	▪ Disruption to service delivery. Negative impact on Employee Morale, Risk of harm to service users or potential service users ▪ Industrial action						
Related Actions				**Internal Controls**		Industrial relations meetings. SOS INR	
						Staff engagement plan SOS SEP	
Latest Note	Schedule of meetings in place with Trade Unions.			**Managed By**		Val de Souza	

Local Government Benchmarking Framework 2014/15
Social Services Extract

This report shows how Clackmannanshire Council performed in the LGBF indicators relating to Social Services during the 2014/15 financial year. This is a national framework which all Councils have a statutory duty to report. The full version of this report was presented to Resources & Audit Committee in February 2016. Additional performance information for all Councils and services can be found at http://scotland.mylocalcouncil.info/ and further local performance information can be found on Clacksweb.

Guidance

Value	The result achieved by Clackmannanshire Council in the time period shown.
	Shown in dark red on Section 3 graphs with data points marked by triangles.
Trend	Whether performance has **improved** or **declined** since the previous year. In some indicators, such as costs, we want the actual values to go down, but an upwards arrow still indicates that performance has improved. An upwards arrow for all indicators would be ideal, however, in the current financial climate, we cannot expect to improve in all areas.
	Performance has improved · Performance has declined
	Performance is consistent · No comparison or missing data
Target	The performance level Clackmannanshire Council was aiming for in the time period shown.
	Shown as green dotted lines on Section 3 graphs with data points marked by circles.
Status	Whether the target was met, taking into account a 'tolerance'. This highlights areas requiring attention as red or amber, while those achieving (or close to) target remain green.
	Within 5% of target, or target met or exceeded · More than 15% outwith target
	Between 5 and 15% outwith target · No target set or missing data
Scottish Average	The national average result for each indicator, based on data submitted to national governing bodies annually by all local authorities.
	Shown as blue dotted lines on Section 3 graphs with data points marked by squares.
Rank	Our position in relation to other Scottish Councils - the lower the rank, the better we performed compared to others. 1st place is the best ranking and 32nd is the worst.
Quartile	4 groupings of rankings, showing more generally how we performed compared to others.
	Top quartile - 1st to 8th place rankings · 3rd quartile - 17th to 24th
	2nd quartile - 9th to 16th · Bottom quartile - 25th to 32nd

Cost of Looked After Children in residential care per child per week

	Value	Trend	Target	Status	Scottish Avg.	Rank	Quartile
2010/11	£1,918	?		?	£2,803	4	
2011/12	£1,527	⬆		?	£3,010	1	
2012/13	£2,406	⬇		?	£2,922	8	
2013/14	£2,427	⬇		?	£3,098	6	
2014/15	£2,153	⬆		?	£3,133	4	

Costs for Clackmannanshire are less than national average, and lower than comparator authorities. Costings take no account of the complexity of some cases, or the lack of control when obliged to provide care following a Children's Hearing. Two inspections in 2014 of the local authority residential accommodation was graded excellent for quality of care and support, and environment. Quality of management, staffing and leadership were all graded very good.
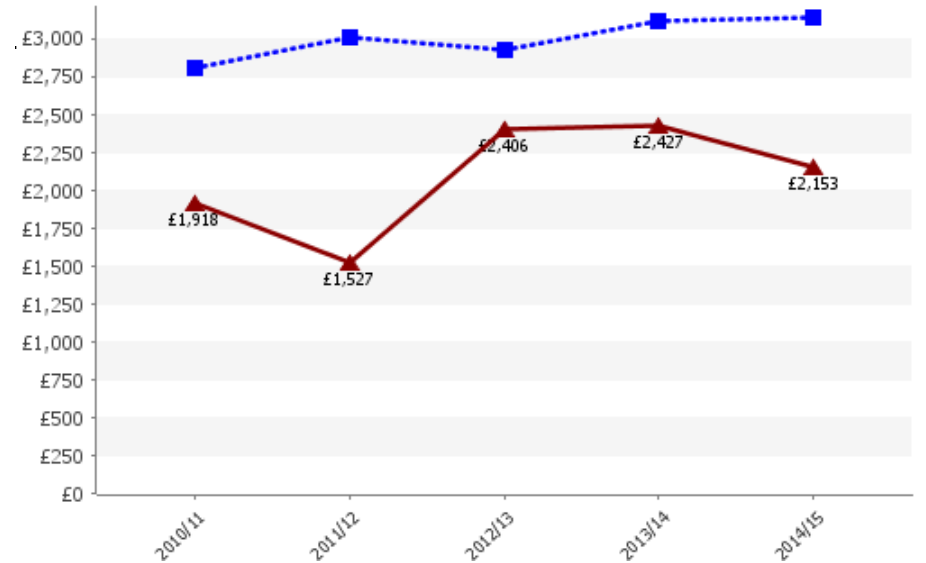
Cost of Looked After Children in the community per child per week

	Value	Trend	Target	Status	Scottish Avg.	Rank	Quartile
2010/11	£194	?		?	£205	15	
2011/12	£212	⬇		?	£221	16	
2012/13	£279	⬇		?	£250	20	
2013/14	£290	⬇		?	£265	21	
2014/15	£303	⬇		?	£278	22	

Costs within Clackmannanshire are higher than the national average for fostering and family placements, but less than some of our comparator authorities. A number of children are placed in agency foster care out of a total of looked after and accommodated children. Recruitment of foster carers within the Clackmannanshire area is a priority. However for some of these children there is also the balance of ensuring a stable environment for those placed outwith the area where the relationship works well and the child is settled.

⬆ Improving ▬ Consistent ⬇Declining ? No comparison ✓Close to or meeting target △Just below target ⬡Below target ■ Top quartile ■ 2nd quartile ■ 3rd quartile ■ Bottom quartile

Please note that the trend arrows indicate whether performance improved or declined, and not whether the value has gone up or down (see Guidance for more information)

On all graphs: Red (triangles) = value achieved by Clackmannanshire Council, Green dotted (circles) = target set by Clackmannanshire Council, Blue dotted (squares) = Scottish average

Looked After Children being cared for in the community

	Value	Trend	Target	Status	Scottish Avg.	Rank	Quartile
2010/11	92.8%	?		?	91.0%	7	(top quartile)
2011/12	91.6%	Declining		?	91.2%	12	(2nd quartile)
2012/13	90.7%	Declining		?	91.0%	10	(2nd quartile)
2013/14	92.4%	Improving		?	91.0%	6	(top quartile)
2014/15	91.0%	Declining		?	90.0%	12	(2nd quartile)

This indicator relates to the proportion of all children who are in the care of their local authority who are being looked after in a community rather than a residential care setting. Redesign activity in children's services continues to focus on parenting support and early intervention which will enable children and young people to be more able to remain in their own communities.
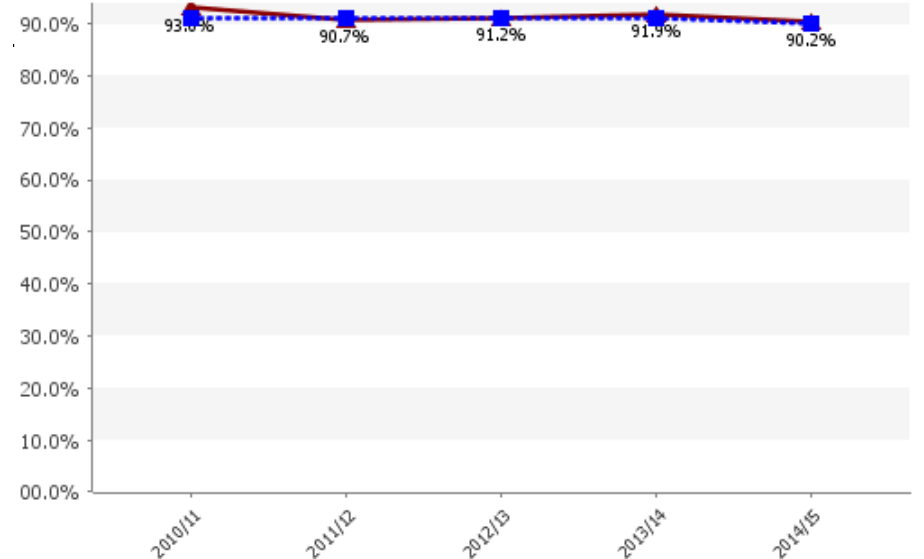
Older people's (65+) home care costs (expenditure) per hour

	Value	Trend	Target	Status	Scottish Avg.	Rank	Quartile
2010/11	£13.74	?		?	£20.14	2	(top quartile)
2011/12	£9.87	Improving		?	£19.61	2	(top quartile)
2012/13	£16.48	Declining		?	£20.53	6	(top quartile)
2013/14	£17.00	Declining		?	£20.25	5	(top quartile)
2014/15	£13.78	Improving		?	£19.71	2	(top quartile)

Rate reduction in comparison to 2013/14 is due to increased external commissioned services and alignment with other Local Authorities. Intiatives that work both to reduce the number of people cared for in residential settings and ensure that people do not receive care at home services that they do not require include the Reablement Service and Intermediate Care which includes a range of services designed to promote independent living and unnecessary hospital admissions.
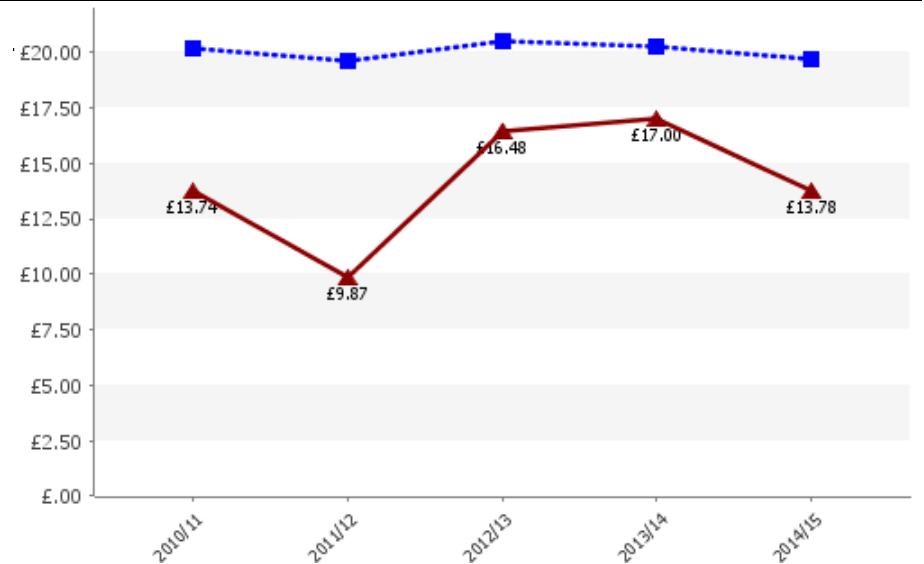
Self-directed Support spend on adults as a % of social work spend on adults

	Value	Trend	Target	Status	Scottish Avg.	Rank	Quartile
2010/11	1.0%	?		?	1.6%	17	2nd quartile
2011/12	1.4%	Improving		?	3.1%	20	2nd quartile
2012/13	1.1%	Declining		?	5.9%	26	Bottom quartile
2013/14	1.0%	Declining	2.7%	Below target	6.4%	31	Bottom quartile
2014/15	1.1%	Improving		?	7.0%	28	Bottom quartile

Although the level of spend for people aged over 18 is lower than the national average, there was a slight increase in 2014/15. Significant change in relation to working practices is taking place to ensure a more personalised and sustainable model of service delivery which should influence the uptake of self-directed support options.
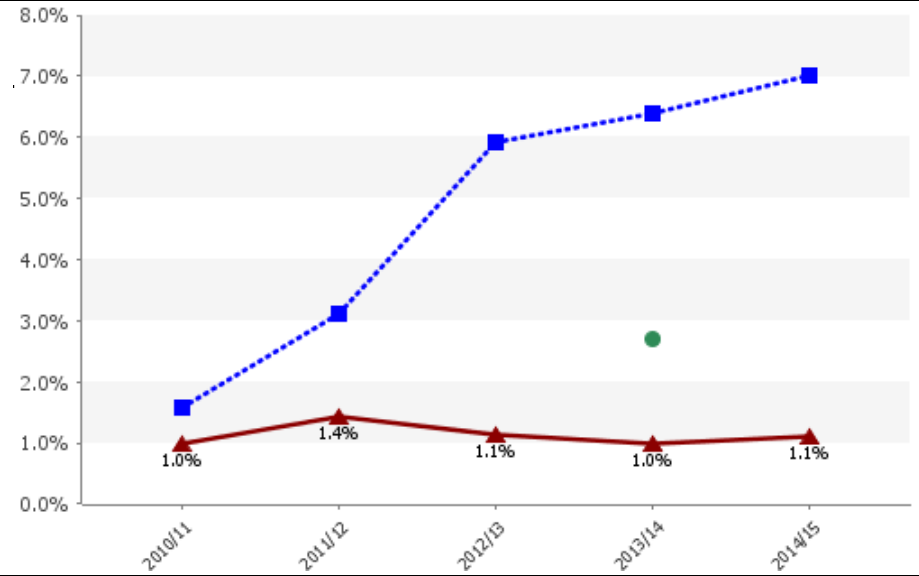
People aged 65+ with intensive care needs receiving 10+ hours homecare per week

	Value	Trend	Target	Status	Scottish Avg.	Rank	Quartile
2010/11	37.6%	?	30.0%	Close to or meeting target	32.2%	11	2nd quartile
2011/12	44.1%	Improving	30.0%	Close to or meeting target	33.0%	4	Top quartile
2012/13	44.7%	Improving	40.0%	Close to or meeting target	34.1%	5	Top quartile
2013/14	47.3%	Improving		?	34.3%	2	Top quartile
2014/15	48.0%	Improving		?	35.6%	5	Top quartile

This indicator measures the extent to which the council is maintaining support for people with intensive needs in the community. Increasing the flexibility of the service is a key policy objective for both central and local government, to ensure that people receive the type of assistance which they need, when they need it. The indicator demonstrates councils' progress towards this policy goal of shifting the balance of care.
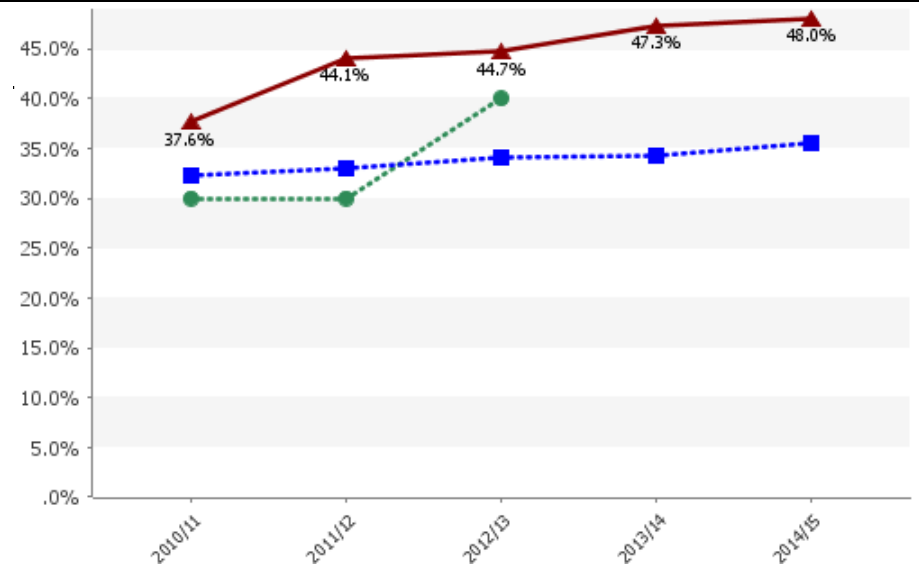
Adults satisfied with social care or social work services

	Value	Trend	Target	Status	Scottish Avg.	Rank	Quartile
2010/11	56%	?		?	62%	26	▮ (bottom)
2011/12		Scottish Household Survey previously every 2 years, annual from 2012/13					
2012/13	69%	⬆		?	57%	6	▮▮▮ (top)
2013/14	85%	⬆		?	55%	1	▮▮▮ (top)
2014/15	74%	⬇		?	51%	3	▮▮▮ (top)

The Scottish Household Survey has limited data integrity for smaller Councils, therefore, targets are not set for these indicators. The findings of the 2014/15 Adult Care Social Services Survey indicated that that 76% of service users in Clackmannanshire were happy with the overall service they received from Social Services.
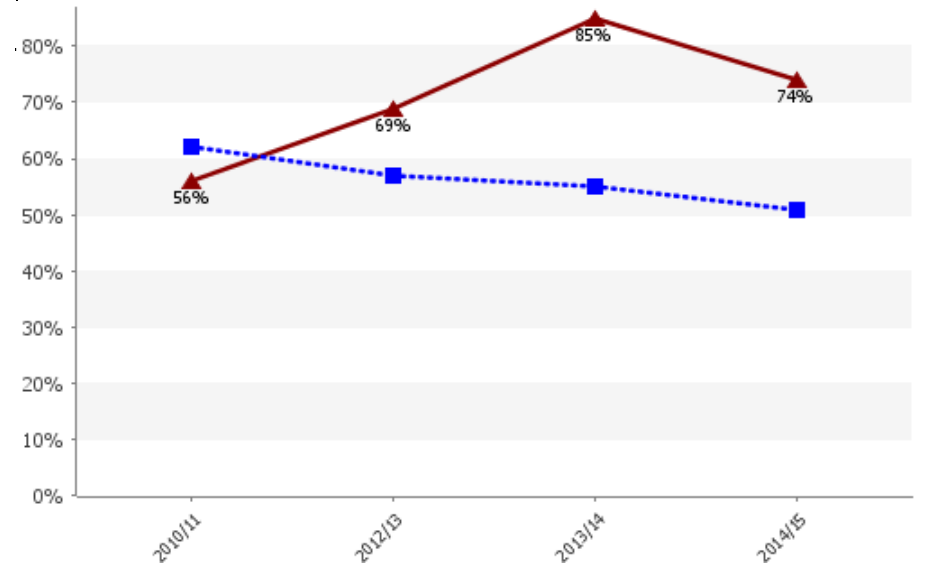
Older people's (65+) residential care costs (expenditure) per resident per week

	Value	Trend	Target	Status	Scottish Avg.	Rank	Quartile
2010/11	£424	?		?	£389	24	▮▮ (2nd)
2011/12	£386	⬆		?	£398	14	▮▮▮ (2nd)
2012/13	£361	⬆		?	£373	12	▮▮▮ (2nd)
2013/14	£416	⬇		?	£368	27	▮ (bottom)
2014/15	£400	⬆		?	£351	23	▮▮ (2nd)

Local Authorities have no control over this cost as it is set through the national contract and is demand led.

⬆ Improving ⚊ Consistent ⬇ Declining ? No comparison ✅ Close to or meeting target △ Just below target ⬡ Below target ▮▮▮ Top quartile ▮ 2nd quartile ▮ 3rd quartile ▮ Bottom quartile
Please note that the trend arrows indicate whether performance improved or declined, and not whether the value has gone up or down (see Guidance for more information)
On all graphs: Red (triangles) = value achieved by Clackmannanshire Council, Green dotted (circles) = target set by Clackmannanshire Council, Blue dotted (squares) = Scottish average

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CLACKMANNANSHIRE COUNCIL

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Report to Scrutiny

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Date of Meeting: 18 August 2016

_____

Subject: Housing and Community Safety Performance Report 2015-16

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Report by: Head of Housing & Community Safety

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1.0   Purpose

1.1.   This report provides a summary of performance to the end of 31st March 2016.

2.0   Recommendations

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

3.0   Review of Vanguard Consultancy Work

3.1.   In July 2014 the service advertised for a partner to assist with a comprehensive process mapping exercise across activities. The aims of the project as set out in the contract advertisement can be summarised as; the involvement of staff in service redesign, to focus on customer service, leading to –

       a) Efficiencies, through adding value and reducing waste in the system,

       b) Increased capability and capacity of staff, and sustained improved performance.

3.2.   Following the procurement exercise a tender from Vanguard Scotland was accepted and work began towards the end of 2014.   Whilst the formal consultancy work has now ended, the change programme is still ongoing. The following can therefore be considered as preliminary findings.

3.3.   The knowledge and experience of many 'front line' colleagues has very much been utilised in the design of new processes, using the structured analysis and implementation techniques developed by Vanguard based on a 'systems thinking' model.   An example of how this this is developed is set out in appendix 1.

3.4. It can be seen from the designs / principles (set out below) that there has been a clear customer focus. Increasing numbers of positive comments and expressed satisfaction levels (table 1) in most areas provide evidence to support the view that customer service has improved. The satisfaction results for allocations and voids are set out below.

Table 1: Satisfaction

Measure	2015-16	2014-15
void property when let	94%	83%
sign up meeting	98%	94%
application process	97%	94%

3.5. An independent satisfaction survey will be undertaken later in the year which will provide additional robust data in this area to allow further analysis.

3.6. There has been no survey of staff attitudes, but anecdotally several colleagues have reported increasing levels of satisfaction through greater control of their work.

3.7. The new service designs are summarised below.

1. Allocations, Homelessness and Voids

Purpose - Get person a home and set them up to succeed

Operational Principles

- One person deals with customer from application to new tenancy visit
- Greater choice of area and customer makes choice
- Offer to be made a early as possible
- Use choice based lettings where appropriate
- Only do paperwork that is necessary
- Measure what matters
- Minimise hand-offs
- Pass off clean
- Accept fixed costs at PCU and only account for materials
- Bring work in house where we can
- Only do void work needed from customer's point of view
- IT fit for purpose
- Regular problem solving and idea sharing

The results on the Charter indicators show improvements in most areas.

Charter Indicators	2014-15	As at April 2016
Average length of time taken to re-let properties in the last year	40 days	36 days
% rent due lost through properties being empty during the last year	1.10%	0.61%
Percentage lets to statutory homeless applicants	46%	57%
The percentage of tenancy offers refused during the year	46%	46%

Refusal rates remain stubbornly high, despite significant effort being applied to this area, including decoration of properties, improved estate management and better property matching. Further work is now underway to tackle this. A policy initiative may also be required and this will be addressed in the allocation policy review to be presented to this committee later in the year.

Significant cash savings have also been delivered.

Area	15-16	14-15	saving
voids rent loss - end of year	£293, 551	£471, 873	£178,322
Bed and Breakfast costs	£304,430	£762,804	£458,374
spend on decoration vouchers to new tenants	£0	£65,267	£65,267

2. Tenancy Management & Rents

Purpose - I want a safe area to live in, a well maintained house and help when I need it

Operational Principles

- Make it easy to pay
- Same officer end to end
- Set tenancies up to succeed
- Treat customers as individuals
- Everyone should be aware of arrears
- Clean hand off from Housing Options
- Act quickly on arrears and TMT cases
- Focus on increasing arrears and new accounts
- Get measures to help understanding and improve the system
- Give our tenants the right help to maintain and not just sustain their tenancy
- Enforce the tenancy agreement ensuring our estates are in a good condition and safe places

The management of rent is being rolled in to tenancy management and not all areas were covered by the year end. Staff measure the number of increasing and decreasing arrears cases on a weekly basis while individual rent accounts are managed by officers along as part of the management of the tenancy. For the areas that had been rolled in to the new way of working by the year end, the cash arrears figure had reduced by £18,575.

When compared with the previous year, the results of some key performance indicators show the improved outcomes as a result of the new approach.

		15-16	14-15
• Support tenancies to succeed –			
	a) abandonments	27	(36)
	b) evictions	9	(16)
	c) orders for repossession	10	(30)

3. Housing Repairs

Purpose - To provide a fast and flexible repairs service that meets our customer's requirements

Operational Principles

- Carry out the repair when the customer wants it.
- Gather all the information that's required when the customer contacts us.
- Do what's needed to fix the repair, and keep it fixed.
- Take as long as required to do the job right.

- Have access to all materials required to complete the job.
- Manage the job(s) not the joblines
- Eradicate Failure Demand. (Value takes care of itself).
- Review, and take action based on our measures data.
- Nothing is perfect. We can always improve

A similar 'roll in' approach is being taken with repairs where areas are included and staff join the group in the newly designed process gradually. The table below shows the performance results for repairs in 2015/16 compared with the previous year.

Charter Indicators	2014-15	April 2016
Average Length of Time Taken to Complete Emergency Repairs	1.95 hrs	2.01 hrs
Average Length of Time Taken to Complete Non-Emergency Repairs	6.28 days	5.94 days
Percentage of reactive (non-emergency) repairs completed right first time during the reporting year	92%	93.5%
Percentage of repairs appointments kept	90.09%	99.91%

4. **Housing Benefit**

Purpose

To process benefit claims correctly and as quickly as possible

Operating Principles
- Work to ensure claims come in clean or work to get all information as soon as form is received
- People treated as individuals
- Support other departments and external agencies to help us get correct information and clean forms.
- Staff member takes ownership of claim and award wherever possible

Measures
- New claim form, number of days taken to process Baseline October 2015 (43 days) end of 2015/16 (34 days)
- Change of circumstances, number of days taken to process
- Baseline October 2015 (30 days) end of 2015/16 (14 days)

5. **Council Tax**

Purpose
- To make it easy to pay council tax
- To pursue non-payers

Operating Principles
- Profile customers based on previous payment history to target early intervention on 'regular' non payers
- Allow for flexible payment days
- Ensure billing happens every week on a Tuesday
- Send as few cases as possible to Sherriff Officer as possible

Measures

The Council tax experiment will fully commence in July 2016. However some initial work has been undertaken prior to the experiment with encouraging results, and the collection rate for 2015/16 was the highest since 2009.

4.0   Overall assessment.

4.1.   Every area that has been reviewed is showing improvement to a greater or lesser degree. Clearly there were already changes taking place, for example the integration of three previously separate departments into comprehensive housing service, which may also have assisted the progress made. However, the Vanguard contribution has been very significant, and has provided a sound platform for the integration work.

4.2.   There are a number of specific points to note should this exercise be repeated elsewhere.

   4.2.1. One of the key aims was to achieve efficiencies, through adding value and reducing waste in the system. There have been quantifiable cash savings particularly in voids and B&B use that alone more than meet the £145K costs of the consultancy exercise. People on the housing list, including homeless people, are undoubtedly receiving added value.

   4.2.2. The consultancy work was commissioned in preference to the Housing Management Business System (HMBS) project to upgrade the IT system, which had an allocated budget of £460K. Process changes allowed the existing IT systems to continue to meet business needs with some relatively low-cost enhancements.   However the introduction of the new finance computer system subsequently also provided the opportunity to acquire Technology One's housing module as part of that implementation. This has proved a particularly cost effective solution, and in 2017-18 will result in the replacement of four systems currently in use. The costs of the consultant plus the IT enhancements, added to the costs of the new system are still well below the original HMBS budget. Improving the processes has also provided the service with a far better starting point for implementing a new IT system.

   4.2.3. Service levels have been maintained or improved despite a 13% reduction in staff numbers, (from 303 to 264), between April 2014 and March 2016. Numbers will reduce further this year with vacant posts deleted from the structure. This demonstrates improving capacity and capability of staff. It should also be noted that the number of service managers reduced from four to two. As three service managers left in quick succession considerable extra duties and responsibilities were taken on by the remaining manager, and then a new post created (and filled internally) to absorb remaining functions.

   4.2.4. The general fund budget savings targets were achieved for both 2014-15 (22% = £646K) and 2015-16 (13% = £469k).   The savings target for 2016-17 is 13% (£454k).

   4.2.5. The engagement and support of trade unions, staff and managers has been crucial. The process relies on goodwill of staff prepared to work and think flexibly, to take on extra to try new ways of working whilst at the same time keep existing systems running.

4.3.   The slight downsides to the project might be considered as follows: -

4.3.1. The process of change is gradual and methodical. This is largely due to the need to add staff into experiments slowly to ensure they are suitably trained so new processes can be embedded. This can lead to impatience to achieve results, as well as some colleagues feeling excluded from the process.

4.3.2. Changes to working practices are not always universally welcomed. Whilst most staff will respond positively to the removal of system constraints it has to be recognised that there will be barriers to change that need to be tackled early and effectively.

4.3.3. In hindsight, work would have started in different areas, with different resources deployed to the project at different times. However, the service structure was not completely in place when the project started, some areas were not ready for the work, and some of the information that would have influenced decisions has only been revealed during the experiments.

4.4. There is little doubt that this has been a successful project. It must be noted however that this is a process of continual improvement. Without regular reinforcement there is a danger of reverting to old ways. It needs be driven by committed managers "in the work" willing to work with staff to help them problem solve on a daily basis. That is a different way of thinking and managing from more traditional structures. To support this work going forward, four members of staff have successfully completed the Chartered Management Institute (CMI) Level 4 Certificate in Management and Leadership.

5.0 Service Restructuring

5.1. Service restructure has been following the Vanguard work. Recruitment to the generic housing officer role will be completed shortly. Other changes to support the new ways of working will be developed and consulted on during the year.

6.0 Financial Monitoring

6.1. The draft financial performance of each account in the service is shown in appendices 2-4. The draft out-turn is compared with that from previous reports in table 1, below.

Table 1: Outturn summary

	June 2015	August 2015	October 2015	January 2016	March 2016
HRA Revenue	-£6k	-£135k	-£313k	-£369k	-£478k
HRA Capital	-£719k	-£731k	-£2,296k	-£5,821k	-£6,271k
Housing General Fund	-£277k	-£187k	-£212k	-£518k	-£1,279k

6.2. The current draft end of year position for HRA Revenue indicates an increase of £478k from the budgeted surplus. This would mean that the year end surplus of £5,381k would be available to reduce the amount required to be borrowed to fund the Capital Programme.

6.3.   The end of year position for the HRA Capital is that the net expenditure will be £7,085k, an underspend of £6,271k from the budget. From the underspend, £2,813k will be required to be carried forward to 2016-17 to fund programmes that have been delayed this year. This leaves an underspend of £3,458k for the year.

6.4.   With this year's revenue surplus and utilising some of the current reserve, in line with the business plan, it is anticipated that this year the required borrowing to fund the capital programme will be less than £1million. When the budget was set the expected borrowing was £5.11m.

7.0   The current draft end of year position for Housing, Revenues & Community Safety indicates an underspend of £1,279k an improvement of £761k from that reported in January. The main reason for this was a significant increase in grant income received in respect of Rent Rebates and Rent Allowances of £441k. The government grant received in respect of Rent Rebates is now at 93.67% of Expenditure compared to 91.77% last year. On expenditure of £11.6m this made a significant difference. Benefit changes/notifications are more up to date than the previous year, and the reduction in use of B&B has also meant that the grant shortfall on these costs has reduced as more use has been made of council property.

7.1.   There is also £128k of earmarked reserves for Revenues that was reported as expenditure during the year to ensure it did not impact on the available General Reserve. The underspend of £93k on the Scottish Welfare Grant and Furniture payments has been earmarked to add to the 2016-17 budget and the current balance of £35k in the Corporate Arrears Recovery System has now been treated as earmarked.

8.0   Capital Programme

8.1.   Details of the capital programme works completed during the year are attached as appendix 5.

9.0   Performance Indicators

9.1.   The end of year performance indicators are attached as **Appendix 6.** Many of these indicators are covered in the Vanguard areas noted above. The key indicators for the service are those relating to the Social Housing Charter. These were reported to the Scottish Housing Regulator on 31st May 2106. All indicators are included in the appendix. The Scottish Housing Regulator (SHR) has now published its annual summary of its risk assessment of local authorities and registered social landlords (RSLs). The Regulator is to engage with 51 RSLs and 19 local authorities this year. Clackmannanshire is not on the list for engagement this year.

9.2.   The Scottish Housing Regulator's summary of how the Council performed against the Social Housing Charter in 2014-15 is attached as appendix 7. It should be noted that this information is now a year out of date and the most up to date report on the Charter will be published later this year.

9.3.   Clearly collections is a significant area and one that the SHR will expect to see progress on this year. For reasons discussed above, it will be nearer the

end of this financial year before success in this area can be fully evaluated. As noted early signs are encouraging particularly as this is against a background of a continuing decline in household incomes.

9.4. As members noted in previous reports, a significant area of concern during the year was declining housing benefit performance. Audit Scotland also sought assurances during the year that appropriate action was being taken. These assurances were provided and performance greatly improved during quarter four. Given that there has been similar short term improvements in previous years that have not been sustained the emphasis this year will be to ensure that the changes made are embedded.

Table 2: Housing Benefit Processing Times

	Q4	Pre / post intervention 12.10.15	Overall Year 15/16
New Claims Clackmannanshire	14	43 / 19	34
Scottish Average	24		24
Change of Circumstances Clackmannanshire	3	30 / 4	14
Scottish Average	10		10

10.0 HRA expenditure comparison with other Local Authorities

10.1. The Scottish Government publishes information for all Scottish Local Authority housing income and expenditure. The following tables from this report demonstrate that when compared with other Scottish councils, Clackmannanshire's supervision and management costs are amongst the lowest, rent arrears towards the top end, and void rent loss somewhere in the middle.

Chart 9: Rents lost as a result of unlet properties as a percentage of standard rental income on houses[1], Scotland, 2014-15 (actual) and 2015-16 (estimate)[2,3]
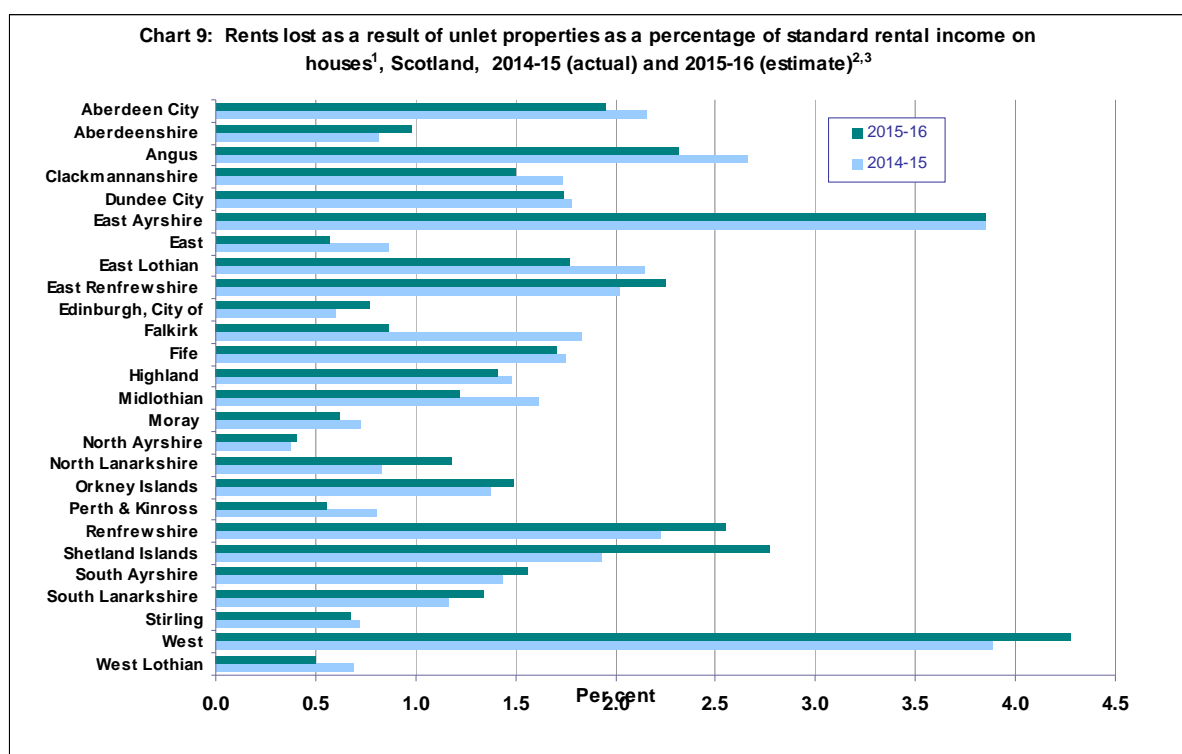
Chart 11: Rent arrears at 31 March as a percentage of annual standard rental income on houses[1], by Local Authority[2], March 2014 to March 2015

Percentage of standard rental income on houses
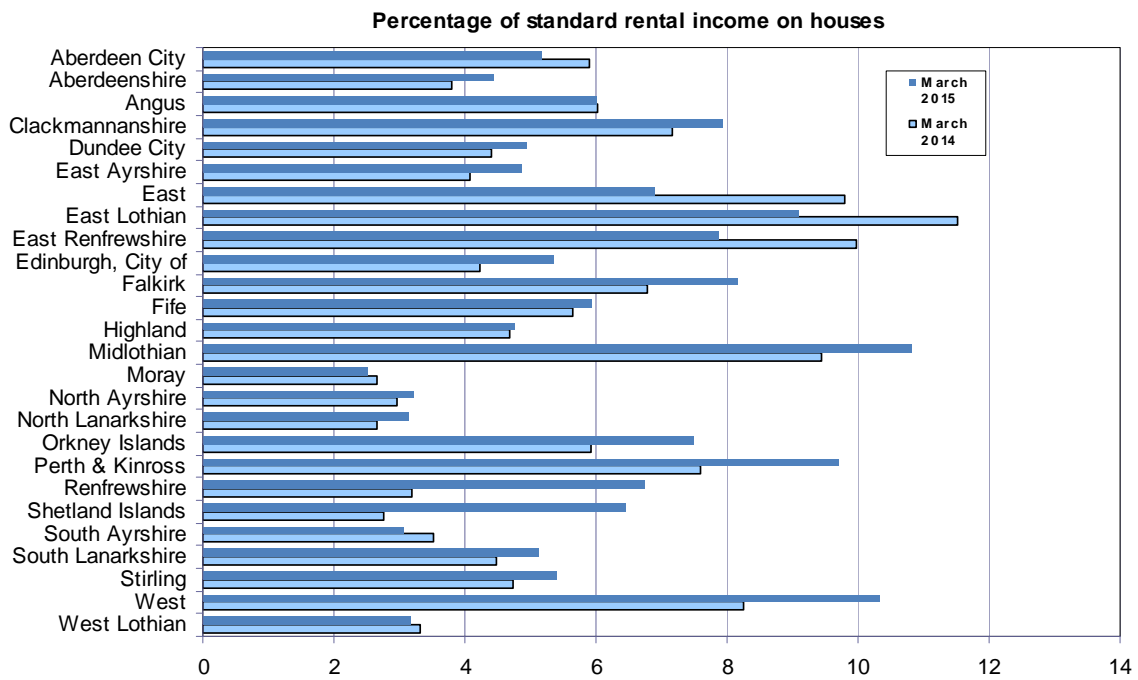
Chart 7: Management and maintenance expenditure per house[1], by Local Authority, 2015-16, Estimates[2]
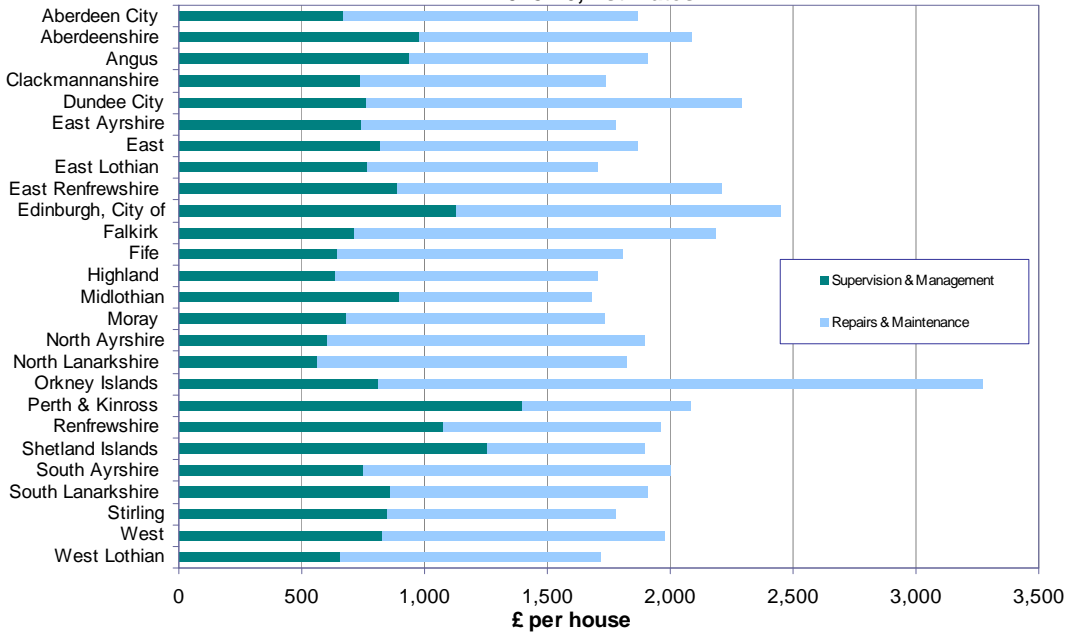
11.0 Response rates to complaints, enquiries and FOIs

11.1. The council corporately collects response times to all complaints, member enquiries and FOI requests. One councillor enquiry was not answered in time.

	Housing and community safety		Council	
	Number	% on time	Number	% on time
Complaints (stage 1+2)	65	100%	95	74%
Complaints stage 1	60	100%	86	n/a
Complaints stage 2	5	100%	9	n/a
Councillor enquiries	176	99.4%	557	85%
MP / MSP enquiries	110	100%	346	79%
FOIs	190	100%	971	93%

12.0 Community Safety

CCTV

12.1. The new CCTV arrangements were successfully implemented in April 2015 and have provided significant savings.

Community Wardens

12.2. In addition to work with the multi-agency tacking group, the Community Wardens dealt with 756 service requests in 2015/16 with the most common being shown below:

- Private Landlord Registrations   334
- Dog Fouling   105
- Open Space ASB   81
- Neighbour Dispute   68
- Noise Issues   40

12.3. The Community Wardens also completed 603 patrols around the 18 primary schools during holiday periods to prevent vandalism, and provided community safety input at 12 of the primary schools during the year, on a wide range of safety topics including "be safe, be seen; Dog fouling and its consequences; Alcohol and its dangers to young people; Crossing the road safely; Water Safety"

12.4. Significant work has also been undertaken by the Wardens and the Council's ASB Administrator during 2015/16 to tackle issues with unregistered landlords (private landlords are required to register under the law relating to ASB). This concerted piece of work identified 334 cases where landlords had allowed

their registration details to lapse and all were contacted. Whilst some were no longer operating as landlords there were 104 who were. All of those identified individuals have now reapplied and have, after due consideration, been found to be "fit and proper" persons and who are allowed to legally operate as a landlord.

12.5. In addition to the above, 15 landlords who had never registered were identified and, again, after due consideration, been found to be "fit and proper" persons.

12.6. There were 645 new or renewal applications in 2015/16. There are currently 1891 approved landlords covering 2377 properties.

12.7. 3.17% of landlords in Clackmannanshire have lapsed registrations against an average of 7.37% for Scotland as a whole. Lapsed registrations do not necessarily mean that the landlord continues to act as a landlord - they may have, for example, sold their property - these landlords are being actively pursued and asked to register or bring their details up to date.

13.0   Sustainability Implications

13.1. The Clackmannanshire Housing Strategy is subject to a full Environmental Impact Assessment which will incorporate its principle priorities and actions.

14.0   Resource Implications

14.1. Financial Details

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 √

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

14.2. Staffing

There are no additional staffing implications associated with this report.

15.0   Exempt Reports

15.1. Is this report exempt?

Yes ☐ (please detail the reasons for exemption below)   No √

16.0   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)

17.0   Equalities Impact

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

Yes ☐   No √

18.0   Legality

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

19.0   Appendices

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

1. Vanguard – Check Plan Do method

2-4. Budget monitoring

5. Capital Programme detail

6. Key Performance Indicators

7. Social Housing Charter Comparisons

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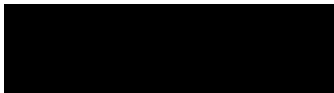
19.2.   Have you used other documents to compile your report? (All documents must be kept available by the author for public inspection for four years from the date of meeting at which the report is considered)

Yes ☐ (please list the documents below)   No√

Author(s)

NAME	DESIGNATION	TEL NO / EXTENSION
Jennifer Queripel	Service Manager	2475
Murray Sharp	Service Manager	5113

Approved by

NAME	DESIGNATION	SIGNATURE
Ahsan Khan	Head of Service	███████
Nikki Bridle	Depute Chief Executive	███████

Appendix 1: Improving Housing Repairs using the 'check, plan, do' Vanguard model.

The purpose of check is to get knowledge, clarity of purpose, create interest and challenge, study the system, listen and learn and focus on the customers. In 'check' the team of front line staff defines the purpose of the service, analyses the demand (value and failure), assesses the capability of the response by measuring our response to customer demand, looks at the flow to identify the value work and the waste, and identifies the system conditions.

We looked at the flow, waste and impact of the current repairs system and we analysed the data by taking a random sample of jobs and tracking the repair from when the tenant first reported it to when the repair was complete. As a result in staff carrying out 'check' they found that there were different categories for different types of jobs with separate target times. We measured volumes of work and productivity, almost half of our demand (47%) was failure demand and 24% of routine repairs were reoccurring jobs.

We discovered that we were managing and measuring job lines, not actual repairs. We found delays, duplication, multi tasking, progress chasing and handoffs in the old system. There was poor communication and unclear job roles. In the old system people did not have the right materials when they needed them to do the repairs.

The check team then started to plan what we wanted to do. We carried out further analysis on the demand, we looked at sample cases and we mapped the processes. We built a system picture and we presented our check results to our Head of Service and to colleagues.

Then we started the experiment. Here we are trying out ideas to fix the problems we have identified. We are allowed to fail and we know that we continue to learn as the experiment continues. Some of the changes we made are that we now arrange the appointment for the repair at a time that suits the customer, we only have two categories of repairs (routine and emergency) and all routine repairs are scheduled. The tradesmen get more than one job sent to them on their phones so that they can have more control over their work and they now have sufficient time to complete the job. They now add notes to the phone so that details about the work carried out are recorded and if there is a need to return to a job for any reason, the original tradesman attends. The call handlers, coordinator and tradesmen now work together to improve diagnosis of the repair at the point of receiving the call and to more accurately allocate the time needed to complete the repair.

Managers have regular informal conversations with staff because they are in the work and we have regular problem solving sessions at the Visual Measurement Board where we record the results of our measures, identify issues and problems and agree on next actions. Staff can make changes where required, based on the results of the measures and check team members are now the experts and have personal control over their work. Managers provide support to the team by coaching and counselling and the environment is now one of trust, innovation, and cooperation.

The benefits are that staff are happier because they are using their expertise and can make decisions about how the work is designed. They are clear about our purpose and our measures now relate to the purpose from a customer's point of view. The measures are meaningful to staff so we can see if we are achieving what we set out to achieve by changing the system and performance results have significantly improved.

APPENDIX 2 SUMMARY HRA

COST CENTRE SUMMARY		Annual Budget 2015/16	Actual To 31/03/16	Variance Actual v Budget	Previous Outturn	Actual v Outturn Variance
REPAIRS & MAINTENANCE						
Private Contractors	20202010	355,000	266,000	(89,000)	193,991	72,009
Void Houses	20202020	62,520	22,069	(40,451)	24,597	(2,528)
General Maintenance	20202030	0	(16,083)	(16,083)	(16,383)	301
Cyclical Maintenance	20202040	0	0	0	0	0
Property Factors	20202060	0	(22,230)	(22,230)	(25,757)	3,526
Gas Contract	20202070	10,000	11,317	1,317	10,630	687
Minor Social Work Repairs	20202100	0	0	0	0	0
Property Contracts	4201-4202	4,842,480	4,918,524	76,044	4,985,022	(66,498)
		5,270,000	5,179,596	(90,404)	5,172,099	7,497
SUPERVISION & MANAGEMENT						
Employee Related Expenditure	20212501	2,113,630	1,858,570	(255,060)	1,872,496	(13,926)
Premises, Transport, Supplies & Servcies	20212502	176,070	209,608	33,538	267,709	(58,101)
3rd Party Payments	20212503	115,070	79,830	(35,240)	75,347	4,483
Central Support	20212510	1,054,410	1,094,978	40,568	1,106,930	(11,952)
Democratic Core	20212512	105,000	124,616	19,616	121,710	2,906
		3,564,180	3,367,601	(196,579)	3,444,192	(76,591)
Capital Financing Costs						
Depreciation	202525018090	0	0	0	0	0
Loss on Impairment	202525018095	0	0	0	0	0
Interest Payments	202525018520	1,503,000	1,506,509	3,509	1,506,509	0
Loans Fund Expenses	202525018530	45,000	44,032	(968)	44,032	0
Principal Repayments	202525018580	1,552,590	1,483,964	(68,626)	1,483,964	0
		3,100,590	3,034,505	(66,085)	3,034,505	0
OTHER EXPENSES						
Insurance, Stair Lighting, Voids & Council Tax	20262601	943,110	732,385	(210,725)	687,919	44,466
Garden Aid Scheme	20262605	96,000	99,979	3,979	99,979	0
Special Uplifts	20262606	110,000	143,621	33,621	132,573	11,048
Pest Control	20262607	12,700	22,775	10,075	25,151	(2,376)
		1,161,810	998,760	(163,050)	945,622	53,138
TOTAL EXPENDITURE		13,096,580	12,580,462	(516,118)	12,596,418	(15,956)
INCOME						
Rents/Interest on Revenue Balances	20272701	(17,999,210)	(17,961,171)	38,039	(17,868,076)	(93,095)
		(17,999,210)	(17,961,171)	38,039	(17,868,076)	(93,095)
NET EXPENDITURE		(4,902,630)	(5,380,709)	(478,079)	(5,271,658)	(109,051)

Appendix 3 - Housing Capital Programme 2015-16

	15-16 Net Budget	Actual Net Expenditure to 31/03/16	Projected Outturn 31/03/16	Actual v Outturn Variance	Budget v Actual Variance	Comment	C/F to 2016-17
SCOTTISH HOUSING QUALITY STANDARD							
TACKLING SERIOUS DISREPAIR							
PRIMARY BUILDING ELEMENTS							
Structural Works							
Asbestos Testing for Council Houses 2013-17	25,000	5,915	7,000	(1,085)	(19,085)	Annual Underspend	
Asbestos Removal Works for Council Houses 2013-17	125,000	34,357	33,000	1,357	(90,643)	Annual Underspend	
Restoration 80 Caroline Cresc., Alva (Fire)	0	0	0	0	0		
Structural Works							
	150,000	**40,272**	**40,000**	**272**	**(109,728)**		
SECONDARY BUILDING ELEMENTS							
Damp/Rot							
2013-17 Damp & Rot Works - Term Contract in Council Houses	244,500	35,332	65,000	(29,668)	(209,168)	Carry Forward Outturn Variance	30,000
Damp/Rot	**244,500**	**35,332**	**65,000**	**(29,668)**	**(209,168)**		
Roofs / Rainwater / External Walls							
2011-15 Render & Roof	80,000	71,051	71,051	0	(8,949)	Annual Underspend	
2014-17 Roof & Render Upgrading Works	952,500	728,990	641,760	87,229	(223,511)	Reduce carry forward to underspend	224,000
Roofs / Rainwater / External Walls	**1,032,500**	**800,041**	**712,811**	**87,230**	**(232,459)**		
Doors							
External Door Replacement 2014-18	19,000	14,002	19,000	(4,998)	(4,998)	Annual Underspend	
Window & Doors	**19,000**	**14,002**	**19,000**	**(4,998)**	**(4,998)**		
Windows							
Window Replacement 2014-18	502,700	349,315	370,390	(21,075)	(153,385)	Annual Underspend	
Windows	**502,700**	**349,315**	**370,390**	**(21,075)**	**(153,385)**		
Secondary Building Elements							
	1,798,700	**1,198,689**	**1,167,201**	**31,488**	**(600,011)**		

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ENERGY EFFICIENCY

Full/Efficient Central Heating

Central Heating General	0	0	0	0	0		
2013/16 Central Heating Replacement	1,854,000	1,842,541	1,854,000	(11,459)	(11,459)	Annual Underspend	
	0				0		
Bowmar Community Energy Savings Programme (CESP)	187,000	3,745	7,000	(3,255)	(183,255)	Increase carry forward to underspend	183,000
Home Energy Efficiency Programme Area Based 2015-16 (HEEPS)	356,000	525	2,000	(1,475)	(355,475)	Increase carry forward to underspend	355,000
Installation of PV Panels	1,710,000	0	0	0	(1,710,000)	Annual Underspend	
Full/Efficient Central Heating	**4,107,000**	**1,846,811**	**1,863,000**	**(16,189)**	**(2,260,189)**		
	4,107,000	**1,846,811**	**1,863,000**	**(16,189)**	**(2,260,189)**		

MODERN FACILITIES & SERVICES

Kitchen Renewal

Kitchen Replacement 2014-18	700,000	323,446	316,000	7,446	(376,554)	Carry forward of Kitchens identified	163,000
Kitchen Renewal	**700,000**	**323,446**	**316,000**	**7,446**	**(376,554)**		

Bathrooms

PCU - Bathroom Replacements Term Contract 410700		0	0	0	0	
MITIE - 2011-15 Bathroom Replacements	750,000	752,534	753,000	(466)	2,534	Small Overspend
2013-16 Bathroom Replacements PCU Team	100,000	80,312	60,000	20,312	(19,688)	Annual Underspend
Bathroom Adaptations	0	75,639	56,000	19,639	75,639	Overspend
Bathrooms	**850,000**	**908,484**	**869,000**	**39,484**	**58,484**	
	1,550,000	**1,231,930**	**1,185,000**	**46,930**	**(318,070)**	

HEALTHY, SAFE & SECURE

Safe Electrical Systems / CO Detectors

Safe Electrical Rewire 2013-17	298,000	284,753	298,000	(13,247)	(13,247)	Annual Underspend
2012-17 Safe Electrical Testing Term Contract	0	0	0	0	0	
Periodic Testing					0	
Safe Electrical Systems	**298,000**	**284,753**	**298,000**	**(13,247)**	**(13,247)**	

Communal Areas (Environmentals)

2011-15 Rep/Up Door Entry Systems	368,000	201,708	224,000	(22,292)	(166,292)	Carry forward increased to underspend	166,000
External Works : Fencing, Gates, Paths	20,000	0	20,000	(20,000)	(20,000)	Annual Underspend	
Rear Garden Fence Upgrade to Bowmar	45,000	47,152	45,000	2,152	2,152	Small Overspend	
Door Entry Upgrade Term Contract 2016-20							
Communal Areas (Environmentals)	**433,000**	**248,860**	**289,000**	**(40,140)**	**(184,140)**		

	731,000	533,613	587,000	(53,387)	(197,387)	

NON-SHS ELEMENTS
PARTICULAR NEEDS HOUSING (CITC)

Conversions & Upgradings

Conversions & Upgradings	150,000	29,999	30,000	(1)	(120,001)	
Pine Grove	0	6,663	6,665	(2)	6,663	
Conversions & Upgradings	**150,000**	**36,662**	**36,665**	**(3)**	**(113,338)**	Annual Underspend

Disabled Adaptations

Aids & Adaptations 2013-17	50,000 0	48,035	50,000	(1,965)	(1,965)	Annual Underspend
Disabled Adaptations	**50,000**	**48,035**	**50,000**	**(1,965)**	**(1,965)**	

Water Supply Pipe Replacement

Lead Water Supply Renewal	0	0	0	0	0	
Water Supply Pipe Replacement	**0**	**0**	**0**	**0**	**0**	

Demolitions

Demolitions - The Orchard	114,600	45,676	50,000	(4,324)	(68,924)	Annual Underspend	2,000
Demolitions	**114,600**	**45,676**	**50,000**	**(4,324)**	**(68,924)**	

Environmental Improvements

Environmental Improvements - Community Hub Enablement	173,000	24,963	23,000	1,963	(148,037)	Annual Underspend	
HRA Roads & Footpaths Improvements	100,000	3,996	0	3,996	(96,004)	Carry Forward of some underspend	20,000
MCB Tenant Community Improvement Fund	339,000	210,531	233,500	(22,969)	(128,469)	Increase carry forward to underspend	128,000
Village & Small Town Centres Initiative (Sauchie Main St)	100,000	48,944	49,000	(56)	(51,056)	Annual Underspend	
Housing Option Shop	0			0	0		
Fencing Replacement Contract 2015-19	0			0	0		
Feasibility Work	0	0	0	0	0		
Standard Delivery Plan	20,000	0	0	0	(20,000)	Annual Underspend	
Feasibility Study Fairfield	0	0	0	0	0		
Tillicoultry Community Centre Site - Housing Feasibility study	0	0	0	0	0		
Feasibility Work	**732,000**	**288,435**	**305,500**	**(17,065)**	**(443,565)**		

	1,046,600	418,807	442,165	(23,358)	(627,793)	

Council New Build Housing (Transforming Communities)

New Build Alva/Tullibody	0	0		0	0	

Hallpark New Build	50,000	15,113	50,000	(34,888)	(34,888)	Increase carry forward to underspend	35,000
New Build - Fairfield School	1,255,000	789,254	915,000	(125,746)	(465,746)	Increase carry forward to underspend	466,000
New Build - Tilly Community Centre Phase 1a	1,236,000	1,232,228	1,235,860	(3,632)	(3,772)		
New Build - Tilly Community Centre Phase 1b	229,000	0	0	0	(229,000)		193,000
New Build - Tilly Community Centre Phase 2	20,000	0	20,000	(20,000)	(20,000)	Increase carry forward to underspend	20,000
The Orchard	828,000	0	0	0	(828,000)	Carry Forward may be to 2017-18	828,000
Off The Shelf Purchase	669,000	795,261	821,740	(26,479)	126,261		
Off The Shelf Refurbishment	295,200	208,518	194,500	14,018	(86,682)		
Council New Build Housing (Transforming Communities)	**4,582,200**	**3,040,374**	**3,237,100**	**(196,726)**	**(1,541,826)**		
	4,582,200	**3,040,374**	**3,237,100**	**(196,726)**	**(1,541,826)**		
Other Costs / HBMS							
Computer Equipment - New (HBMS)	110,400	11,500	11,500	0	(98,900)	Costs include in HRA Revenue	
Other Costs / HBMS	**110,400**	**11,500**	**11,500**	**0**	**(98,900)**		
	110,400	**11,500**	**11,500**	**0**	**(98,900)**		
TOTAL CAPITAL EXPENDITURE	**14,075,900**	**8,321,997**	**8,532,966**	**(210,969)**	**(5,753,903)**		
SALE OF COUNCIL PROPERTY							
Sale of Council Houses	(720,000)	(1,195,951)	(998,000)	(197,951)	(475,951)	Increased Income from projected	
Sale of Council Shops		0	0	0	0		
Sale of HRA Land		0	0	0	0		
Mort Rescue Share Owner		(40,976)	0	(40,976)	(40,976)		
SALE OF COUNCIL PROPERTY	**(720,000)**	**(1,236,927)**	**(998,000)**	**(238,927)**	**(516,927)**		
NET EXPENDITURE	**13,355,900**	**7,085,069**	**7,534,966**	**(449,897)**	**(6,270,831)**		**2,813,000**

Appendix 4 - SUMMARY GENERAL FUND HOUSING

COST CENTRE SUMMARY	Annual Budget 2015/16	Actual To 31/03/16	Variance Outturn v Budget	January Outturn to 31/03/16	Outturn Variance
STRATEGIC HOUSING COSTS					
Head of Service	24,280	21,545	(2,735)	22,253	(707)
GF Housing manager	4,690	0	(4,690)	0	0
SLAB Funding (TMO2)	0	614	614	590	24
Strategic Housing Authority	178,390	179,836	1,446	179,019	818
Advice Services	139,070	126,723	(12,347)	127,016	(293)
Housing Support Team	187,860	125,446	(62,414)	142,551	(17,106)
	534,290	**454,164**	**(80,126)**	**471,428**	**(17,264)**
HOMELESS & SPECIALISED ACCOMM					
Homeless Team Admin	455,600	415,983	(39,617)	420,323	(4,340)
Backwood Court	52,420	29,931	(22,489)	32,032	(2,101)
Lochbrae	38,020	(1,475)	(39,495)	(5,324)	3,849
Katrine Court	(42,320)	(47,744)	(5,424)	(42,892)	(4,851)
Mosaic	0	0	0	0	0
Pompee	(54,450)	(80,668)	(26,218)	(79,915)	(754)
Chalets	(38,290)	(18,138)	20,152	(24,522)	6,384
Dispersed HPU's	(439,050)	(482,729)	(43,679)	(400,157)	(82,571)
Bed & Breakfast	(38,250)	36,437	74,687	40,020	(3,583)
Private Lets	(88,890)	(11,215)	77,675	(10,764)	(451)
OTSP	(222,780)	(211,972)	10,808	(223,942)	11,969
Pine Grove	45,750	4,629	(41,121)	(6,791)	11,420
Hallpark	(35,200)	(67,929)	(32,729)	(86,819)	18,890
General Homeless	0	0	0	0	0
Travelling Persons' Site	16,050	17,380	1,330	22,735	(5,355)
	(351,390)	**(417,511)**	**(66,121)**	**(366,017)**	**(51,494)**
HOMELESS STRATEGY					
Homeless Strategy	10,040	1,251	(8,789)	731	520
	10,040	**1,251**	**(8,789)**	**731**	**520**
PSH					
Discretionary Projects	0	0	0	0	0
Admin Survey Improvements	16,500	1,440	(15,060)	5,000	(3,560)
Engagement Private Landlords	1,000	0	(1,000)	1,000	(1,000)
Repairs	33,590	47,709	14,119	30,115	17,594
Mandatory Adaptations	222,000	231,843	9,843	183,000	48,843
Minor Disabled Adaptations	0	0	0	0	0
Compulsory Repair	0	0	0	0	0
Empty Homes	0	0	0	0	0
	273,090	**280,992**	**7,902**	**219,115**	**61,877**
HOUSING BENEFITS					
Rent Rebates	1,011,970	555,632	(456,338)	764,470	(208,838)
Rent Allowances	43,850	(231,332)	(275,182)	(1,759)	(229,574)
Affordable Housing	0	(3,195)	(3,195)	0	(3,195)
	1,055,820	**321,104**	**(734,716)**	**762,711**	**(441,607)**
HOUSING GRANTS					
Improvement Grants	0	(2,053)	(2,053)	(1,767)	(286)
Repair Grants	0	(1,736)	(1,736)	(1,180)	(556)
	0	**(3,789)**	**(3,789)**	**(2,947)**	**(841)**
GENERAL FUND HOUSING TOTAL	**1,521,850**	**636,212**	**(885,638)**	**1,085,021**	**(448,809)**
COMMUNITY SAFETY					
CCTV	89,370	11,845	(77,525)	71,610	(59,765)
Anti Social Behaviour	195,270	180,851	(14,419)	181,486	(635)
VPR's	0	0	0	0	0
Landlord registration	(25,530)	(37,167)	(11,637)	(33,955)	(3,212)
Community Safety Partnership	660	0	(660)	0	0
	259,770	**155,529**	**(104,241)**	**219,140**	**(63,611)**
REVENUES AND PAYMENTS					
Revenues Payments Manager	185,250	150,176	(35,074)	181,064	(30,888)
Non Domestic Rates	1,600	51	(1,549)	(0)	52
Revenus Administration	115,460	61,590	(53,870)	60,281	1,308
Social Fund	507,150	380,104	(127,046)	507,070	(126,965)
Billing & Assessment	6,210	(47,328)	(53,538)	(31,397)	(15,931)
Collection	204,230	217,332	13,102	218,969	(1,637)
Recovery	353,820	322,323	(31,497)	337,096	(14,773)
	1,373,720	**1,084,248**	**(289,472)**	**1,273,082**	**(188,834)**
NET EXPENDITURE	**3,155,340**	**1,875,989**	**(1,279,351)**	**2,577,243**	**(701,255)**

Appendix 5: HRA Capital Programme & SHQS

Achievements

In the last financial year the council have invested nearly £5.5 million on key projects improving the condition of the Housing portfolio. This builds on previous investment commitments and continues to sustain and consolidate the Council's position in terms of Scottish Housing Quality standard compliance.

In 2015-16 the following works were carried out to completion -

Project	Number of Houses Completed
Bathroom Replacement -MITIE	101 houses completed
Bathroom Replacement - PCU	19 houses completed
Kitchen Replacement - PCU	88 houses completed
Major Adaptations - PCU	29 houses completed.
Damp Rot Eradication	41 jobs completed
Front Door Replacements	4 houses completed.
Central Heating	723 homes upgraded with new central heating system with "A" Rated combi boiler.
Safe Electrical Upgrade	177 Houses completed
Houses with Roof and Wall Replacement	50 homes
Roof Replacement	25 homes
Roughcast /Cladding Replacement	43 homes
Secure Door Entry Upgrade	25 Common Blocks of flats were upgraded including 92 council tenants
Periodical Electrical Testing Programme	189 Houses completed in total
Fencing Replacement Alloa Bowmar	121 back garden fencing upgrades completed
Asbestos Testing	101 tests completed
Asbestos Removal Works	189 houses
Fire House - Rebuild - 80 Caroline Crescent Alva	Rebuild of a fire damaged non-traditional weir multicon property - mid terraced.
Stock Condition Surveys	250 Homes surveyed.
Refurbishment to Purchased Properties.	19 houses refurbished.
Window Replacement Programme	129 houses completed
Demolition - 21-39 The Orchard Tullibody	10 units demolished

Overall Scottish Housing Quality Standard (SHQS) Position - April 2016

The council is currently 97.3% compliant with the SHQS charter indicator. 4827 properties achieved the standard out of a total stock of 4968   A total of 141 fail and the breakdown of these are as follows –

- 97 kitchens require replacement. Upgrade has not been possible due to tenant refusals. These have been refused on at least three occasions since 2006. These are once again programmed for replacement in 2016/17 and will be completed by the end of July 2016.

- Secure Door Entry Replacements - 37 Council properties within 25 shared common blocks with the council in minority ownership. Agreement to upgrade was not reached with sharing private owners despite grant assistance being made available.

- A total of 7 properties fail the SHQS Section B " Free from Disrepair" criteria as at the 31st of March 2016. These include a structural failing to a stone gable wall, work which is planned shortly. A further six flats in Alloa fail due to defective wall fabric. The Council is in minority ownership in the communal block and the other mutual owners' agreement is required to the scope and programming of the works.

SHQS Compliance as at April 2016

SHQS	Number of Properties failing	Percentage Complaint
Tolerable Standard	0	100%
Free From Serious Disrepair	7	99.9%
Energy Efficiency	0	100%
Modern Facilities & Services	97	98.1%
Health, Safe & Secure	37	99.3%

Local Clackmannanshire Standard

A key objective set out in 2006 was to achieve an enhanced "Local Clackmannanshire Standard" over and above the SHQS. This was met by the deadline of 31 of May 2015.

- All properties will have had a new entrance door fitted compliant with the Police Approved "Secured by Design" standards.

- All tenants have been offered a replacement kitchen across the housing stock within our improvement programmes. Remaining 97 kitchen upgrades previously refused on our programme have now been offered a further opportunity to upgrade. This work is being carried out by the in-house team, who replaced 88 kitchens last year.

- Every tenant has now been offered a new upgraded bathroom with an enhanced specification including an electric shower, internal decoration, wall boards and cushioned vinyl flooring. Previous refusals are now being programmed for upgrade by the in-house team.

Energy Efficiency Standard for Social Housing (EESSH) Progress

The Energy Efficiency Standard for Social Housing (EESSH) was launched by the Scottish Government in March 2014. This is a new energy efficiency rating for all Social Housing to be achieved by May 2020 and it aims to encourage landlords to improve energy efficiency. This is an enhancement of the previous Scottish Housing Quality Standard element 35.

The Scottish Housing Regulator expects all councils and Registered Social Landlords to provide data on their compliance as from May 2016 reporting on progress annually.

The new standard is more detailed with each property type having its own rating to achieve. This is a more complex methodology and requires intensive management of stock data.

As at March 2016, Clackmannanshire Council is 63% compliant with the new EESSH standard. Failures are mainly remaining non-traditionally built housing stock, previous central heating refusals within our programme, coal and electrically central heated properties and housing with older heating systems replaced prior to 2006.

The Council is in a good position to achieve the EESSH standard by the 2020 deadline given the previous investment in upgraded heating systems.

The council has also been successful with bids for significant Scottish Government grant funding since 2012, which allowed the heating replacement programmes to be accelerated, and allowed upgrading of non-traditionally built housing stock within areas such as Bowmar Alloa, Carseview, Schaw Court in Sauchie, Devonway and Mary Place in Clackmannan and Parklands Place Forrestmill. This has enhanced the overall EESSH score.

In 2016/17 funding has been secured to upgrade additional non-traditionally built Weir Timber houses in Westercroft Alva, Steel framed properties at Baingle/Stirling Road Tullibody and also in Coalsnaughton. Works are currently underway and are on schedule on this phase and are scheduled to finish on the 30th of June 2016.

Challenges remain for some of the stock where upgrade costs are in excess of £20,000 per unit, with high levels of sharing private owners.

Programme Update

1. SHQS Modern Facilities & Services

Bathroom Replacement Programme 2012-16

The bathroom replacement programme is now completed with every tenant offered a new modern bathroom. Any previous refusals in the replacement programme are

being programmed on request with works completed in-house. All tenants who opted out of the programme have been contacted offering them an upgrade.

Kitchen Replacement Programme

As previously reported to the committee, the Scottish Housing Regulator requires evidence from social landlords that exceptions through previous tenant refusals are being addressed. A proactive approach has been taken by allocating budget and engaging previous refusals in the kitchen programme in order to bring our stock up to the SHQS compliance.

House Adaptations

In 2015-16, a total of 28 house adaptations were carried out by the in-house trades. The programme continues on request.

2. SHQS Structural & Upgrading Works

Roof and External Wall Upgrade Programme - 423200

Following the information gathered through stock condition surveys, in addition to referrals into the programme from the reactive maintenance team, a total of 25 roofs within Tullibody, Alloa and Sauchie were identified as requiring full roof replacement. A programme of work was commenced in June 2015 which also included upgrade to the external wall fabric of 43 properties within Sauchie and a further 50 properties in Tullibody at which external fabric upgrade to both roof and wall render was required.

The scope of works for roofing upgrade included for renewal of rainwater goods with rainwater gutter protection brushes installed on the back of a successful pilot last year, these brushes have now been rolled out across all roofing installations reducing the future maintenance dependency. On-going maintenance is reduced further with installation of UPVC eaves soffit and fascia's boards replacing the previous timber finish.

External roof upgrade used high quality roof cladding materials, and wall render upgrade utilising modern polymer render systems has provided not only an aesthetically pleasing finish to some of the most tired and aged stock but also protects the integrity of the underlying building structure ensuring maximum longevity in pro-longing the lifespan of the domestic housing stock.

Customer satisfaction for all roof and render works carried out in 2015-16 was 87.1% which is down from last year's figure of 97.2%. This however can be attributed to a significant reduction in the number of customer satisfaction cards returned with only around 10% of tenants participating.

Roof and wall fabric condition remains the biggest challenge particularly the inter-war stock. Large areas such as Hutton Park, Ashley Terrace, Alloa, old Clackmannan, Tillicoultry and Alva have large numbers of inter war stock.

Demolition of 21-39 The Orchard, Tullibody 425500

Reigart Contracts Ltd were awarded the tender through a single stage procurement method. The demolition began site in October 2015 and were completed within 4 weeks. A great deal of preparatory work was required in advance in respect of

services disconnections, ecological surveys, consultation with local schools and residents, obtaining appropriate consents and ensuring compliance with health and safety legislation.

The project was one which, due to its nature, attracted a great deal of attention. Demolition of a multi-storey asbestos containing block in the heart of a heavily populated residential area is not an easy task. It is extremely pleasing that no complaints were received and the workforce involved were praised by locals for there efficient and effective working manner.

The project was brought in significantly under budget which is also extremely pleasing given the very real potential for extra costs incurred on-site through unforeseen works.

Restoration of Fire Damaged Property

A house fire caused serious structural damage to a Weir Multicon mid terraced two storey property. The remains of the property were left exposed to the elements; over half of the roof structure had perished with the remaining timbers badly charred. All external cladding and insulation to the rear elevation had gone with only the timber stud frame remaining. The damage was such that demolition and subsequent re-instatement of the superstructure was agreed to be the most viable solution both economically and structurally.

A lengthy lead in time was needed to plan and procure for the re-instatement resulting in a lengthy lead in time to works commencement on-site in late August 2015, works proceeded at pace with the property completed and the tenant able to return to the in time for Christmas. The project, which was the subject of an insurance claim, was brought in under budget.

Asbestos Removal Works 423000

Asbestos removals across the county were carried out on a mainly re-active basis with both licensed and non-licensed asbestos materials removed from both occupied and un-occupied properties across the domestic housing stock. The high risk nature of asbestos works brings about strict health and safety monitoring. These works are often intrusive and have been completed with minimum disruption to tenants whilst maintaining confidence in the quality of the removal works completed.

Asbestos Testing Works 422900

Asbestos testing across the county was carried out on a mainly re-active basis within both occupied and un-occupied properties across the domestic housing stock. Tests within void properties are often intrusive whilst those in occupied properties are less so and designed to manage the risk by identifying suspect content through visual inspection without the need for disruptive works. Re-assurance air tests are also undertaken through the contract as and when required.

The council now has comprehensive knowledge of Asbestos within the domestic Housing Stock through a robust survey programme since 2009. To date 40% of the housing stock has had a full refurbishment survey completed and 100% for all common closes. This allows the planning to safe management of repairs and upgrades.

Window Replacement Programme - 2015-16

This year saw the commencement of the Council's Window Replacement programme. This was the first window replacement programme carried out by the council since 1996.

Phase 1 of the programme successfully upgraded 129 properties within Alloa and Alva. Tenant feedback to date has been very positive to date with 95.2% "very satisfied" following completion of the works. In 2016/17 a further 552 homes are scheduled for window replacement within areas in Alloa, Cambus and Coalsnaughton. This project will be completed by both contractor Sidey Glazing and our own trades at Kelliebank.

3. SHQS Healthy Safe & Secure

Secure Door Entry Replacement Programme 2013-17

A total of 25 new Secure Door Entry Systems have been completed in 2016/17 through our term contract with Scotshield. These include flats within various locations throughout Clackmannanshire. Sharing owners within these common blocks were offered a one off grant package towards the cost of this work. The completed closes included a total of 92 council tenant households. Completion of this work enhances the Council's overall SHQS position.

This work greatly enhances the overall condition and security to our common areas to flats and in turn, should ensure easier management and maintenance for tenants and owners.

To date a total of 25 common blocks remain to be upgraded where agreement could not be reached with sharing owners. These are blocks where the council are in overall minority ownership overall. Further efforts will be made in 2016-17 to secure agreement.

As reported to the Council in February 2016, the HRA is proposing to carry the door entry funding forward to support continuing engagement with owners to help the council achieve SHQS compliance. To facilitate this, the service is looking to carry forward part of the earmarked Private Sector Housing Grant reserve to assist owner occupiers to finance their required contribution to the project and ensure the Council can meet the SHQS standard.

In house trades have undertaken training on the maintenance of the new entry systems. This will ensure easy reactive future maintenance and servicing which in turn, will prolong the lifespan of the upgrades.

Safe Electrical Rewire Programme 2014-18

 A total of 189 Safe Electrical upgrades have been completed in 2015-16. Customer satisfaction from this programme has been excellent for intrusive work recording a 91% satisfaction score.

Our electrical rewire programme is now being dictated by the results from electrical testing. Following full survey and testing, due to the existing condition of the electrics, many of our properties are able to meet the modern standards through carrying out partial upgrade as opposed to a full electrical rewire. This is allowing

significant savings within our Safe Electrical programme allowing the council to upgrade with hardwired smoke detection within our testing programme.

Fencing Renewal Programme- 2015-16

As part of the Council's ongoing commitment to sustain the Scottish Housing Quality Standard Health Safe and Secure category, a fencing upgrade programme was carried out renewing rear garden fencing within the Alloa Park area of Alloa. This was successfully completed on time. The programme included items such as galvanised steel posts that will ensure durability and longevity and reduce ongoing maintenance requirements.

Customer satisfaction for this work was a healthy 95% "very satisfied".

4. SHQS Energy Efficiency

Central Heating Replacement Programme 2014-18

The central heating replacement contract 2014 -18 is making good progress with a total of 723 new central heating systems fitted during 2015-16. This is a term contract with PH Jones, part of British Gas. The specification for this includes a full heating upgrade with a "A" Rated SEDBUK boiler. Customer satisfaction with this project is currently 96.4% satisfied.

The central heating replacement programme through to 2018 is established with all addresses identified. A programme of 700 addresses will commence in April for 2016/17. This will further strengthen the Council's position in maintaining both SHQS and the new Energy Efficiency Standard for Social Housing (EESSH) that has to be met by April 2020.

A number of Council properties where we have replaced heating systems have seen dramatic improvements in their Energy Performance ratings.   For example properties at the Orchard, Branshill Park, Craigview and Lochbrae have seen their EPC rating increase from 49 (E) to 72 (C).   The predicted savings for tenants in these properties is £550 per year.

The council will be required to provide an update on the new EESSH position in our submission to the Scottish Housing Regulator in May 2016.

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
Meet target/complete within target dates
Will complete, but outwith target
Fail to complete or cancelled

RISKS	
Current Rating = Likelihood x Impact (1 - 5)	**Status**
Likelihood / Impact	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.	

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Covalent Ref.	PI Description	Indicator Source	2013/14	2014/15	2015/16		Latest Note
			Value	Value	Value	Target	
HCS CUS 003	% tenants satisfied with the management of the neighbourhood they live in	Charter	83%	83&	83%	n/a	The data for this indicator is from the Tenant Satisfaction and Aspiration Survey 2013. The results have been analysed and improvement actions have been included in team actions plans. The next Tenant Satisfaction and Aspiration Survey is scheduled to be carried out in 2016.
HMO ALL 005	Average length of time taken to re-let properties in the last year - excluding new-build & OTS (i) The total number of properties re-let in the reporting year. (ii) The total number of calendar days properties were empty.	Charter	40	40	36	39	The average length of time taken to relet properties is 36 days. This compares favourably with last year (40 days).
HMO ALL 013	The percentage of new tenants satisfied with the lettable standard when moving in - used for SHBVN & report to tenants	Charter	96%	83%	94%	98%	Satisfaction levels with the condition of properties when let have increased significantly with 94% of new tenants satisfied with the condition of their property when moving in.
HMO ALL 041	Total number of lets (including new builds and OTS)	Charter	461	403	363	n/a	363 properties were let in 2015/16. This is a reduction from last year when there were 403 lets. Of the 363 properties that were let in the year, 17 were off the shelf purchases.
HMO ALL 056	The percentage of tenancy offers refused during the year (i) Number of tenancy offers made during the reporting year. (ii) The number of tenancy offers that were refused.	Charter	52%	46%	46%	40%	With 46% of tenancy offers refused this year this is a disappointing result. We aim to improve on this result in 2016/17 and we have redesigned our processes to ensure that information about the preferences of applicants are accurate and up to date before offers are made.
HMO ALL 057	The number of empty dwellings that arose during the last year in self-contained lettable stock	Charter	401	398	367	n/a	367 properties became vacant in 2015/16. This is a reduction from last year when 398 properties became void.
HMO ALL 071	The percentage of lettable dwellings that arose during the year (excluding new-build and off the shelf purchases) in self contained lettable stock.	Charter	8.24%	8.21%	7.59%	n/a	Out of 4836 lettable stock, 7.59% lettable dwellings arose during the year.
HMO TEM 074	% of factored owners satisfied with the factoring service they receive	Charter	-	20%	-	-	The survey is currently being carried out.

Covalent Ref.	Action	Due Date	Progress	Expected Outcome	Latest Note
HCS SBP 057	Implement satisfaction / feedback survey for factored owners	31-Mar-2016	100%	✔	A satisfaction survey was carried out in May 2015. The survey will be carried out annually. This will coincide with the issuing of annual statements to factored owners.
HCS SBP 058	Redefine Community Wardens duties and establish clear outcomes including income generated.	31-Mar-2016	65%	⚠	Patrols and community activity now directed and reviewed by MATAC. Call centre is now working to a reduced, and more focused, list of referral codes. Work to identify performance indicators approaching a conclusion at the community safety partnership. A review of noise complaints procedure approaching completion with new procedures to follow. A cross service exercise is being arranged, with the call centre, to ensure customer calls are directed to the correct person on each occasion which should result in an improved and more efficient experience for customers.
HCS SBP 059	Implement improved estate management caretaking services (removal of rubbish, graffiti, cleaning of common areas etc.)	31-Mar-2016	10%	⚠	The review of current resources to form a dedicated team to keep our estates clean and tidy has started and will be informed by the outcome of the vanguard work to review our tenancy and estate management processes.

2) Our communities are more cohesive and inclusive

Covalent Ref.	PI Description	Indicator Source	2013/14	2014/15	2015/16		Latest Note
			Value	Value	Value	Target	
FAM HPI 005	The proportion of the council's housing stock meeting the Scottish Housing Quality Standard	Charter LGBF	90.8%	92.4%	97.3%	100%	Of the 141 properties that will fail this standard, 97 kitchens require replacement with work programmed for 2016/17, secure door entry replacements in 37 Council owned properties in 25 blocks where there the council is in minority ownership, and 7 properties which fail the SHQS Section B "Free from Disrepair" criteria as at the 31st of March 2016. These include a structural failing to a stone gable wall in Tillicoultry where work is scheduled for late April 2016 and 6 flats in Alloa Town centre with defective wall fabric.
HMO TEM 070	% of court actions initiated which resulted in eviction	Charter	7.55%	9.68%	11.25%	N/A	As part of our work with Vanguard the new approach involves cases going through the newly designed process before court actions are initiated. We are applying the new principles to high level cases with the aim of increasing collection rates and sustaining tenancies.
RGN ACC 021	Avg weekly rent for Gypsy / Travellers pitch	Charter	£56.28	£85	£85	£85	This is a Charter indicator.

Covalent Ref.	PI Description	Indicator Source	2013/14	2014/15	2015/16		Latest Note
			Value	Value	Value	Target	
RGN ASN 002	% Satisfaction with management of Gypsy / Traveller site	Charter	100%	93.33%	NA	-	The survey is currently being carried out.

Covalent Ref.	Action	Due Date	Progress	Expected Outcome	Latest Note
HCS SBP 037	Fully implement Property Factoring Service in accordance with legislation	31-Dec-2014	90%	⚠️	The Annual statement is now in place and works are being charged for cyclical repairs and for large works involving owners. Processes are being developed to ensure a full charging mechanism is implemented.
HCS SBP 061	Implement generic housing officer role working in small patches, and associated specialist roles (advice, support etc.)	31-Dec-2015	100%	✔️	The full generic role is being developed based on the work done by the tenancy and estates and the rents check teams. The implementation of the full generic role and matching of officers will continue as more officers are rolled in to the new way of working.

4) Our communities are safer

Covalent Ref.	PI Description	Indicator Source	2013/14	2014/15	2015/16		Latest Note
			Value	Value	Value	Target	
HMO TEM 067	% of asb cases reported in the last year which were resolved within locally agreed targets	Charter	74.70%	78.25%	75.24%	75%	The Housing Charter specifies that a case is resolved when the landlord has taken appropriate measures, or advised the complainer of the landlords position where they do not have the authority or powers to resolve the complaint. We are using the issuing of a closing letter to the complainer as evidence that we have resolved the ASB case. During 15/16: 319 ASB cases were opened. 252 of these were resolved during the year, 12 cases were out with the agreed target of 20 weeks. The remaining 67 cases are ongoing.

Covalent Ref.	Action	Due Date	Progress	Expected Outcome	Latest Note

Covalent Ref.	Action	Due Date	Progress	Expected Outcome	Latest Note
HCS SBP 060	Review and improve internal processes for property checks and information sharing with Link officers for all MAPPA cases.	31-Mar-2016	80%	⚠	SOLO is currently being notified of all mainstream properties that become available. A system is to be set up to notify what temporary accommodation is available.
HCS SBP 062	Complete the review of MATAC process and implement findings	30-Sep-2015	90%	⚠	MATAC in early stages of implementing its role as a hub for operational community safety activity and in the sharing of relevant information. This requires change for the partner organisations and will take some time to become fully established. The Community, Wellbeing & Safety Partnership is reviewing its structure and targets. MATAC will adapt to the requirements of the partnership.

5) Vulnerable people and families are supported

Covalent Ref.	PI Description	Indicator Source	2013/14	2014/15	2015/16		Latest Note
			Value	Value	Value	Target	
FAM HPI 041	% of approved applications for medical adaptations completed during the reporting year	Charter	58%	97.4%	92%	-	The 15/16 figures include major and minor adaptations.
FAM HPI 042	Average time to complete medical adaptation applications	Charter	66 days	38 days	37 days	-	The average time to complete medical adaptations has improved compared with last year.
HMO ALL 043	Percentage lets to statutory homeless applicants	Charter	39 %	46 %	57 %	50 %	The % of lets to homeless applicants in 2015/16 has increased.
HMO TEM 054	Percentage of new tenancies sustained for more than a year, by existing tenants - Transfer (TR)	Charter	92%	95%	92%	94%	Tenancy sustainment levels for existing tenants has reduced slightly in 2015/16.
HMO TEM 056	Percentage of new tenancies sustained for more than a year, by applicants who have been assessed as statutory homeless (HP)	Charter	82%	80%	85%	83%	Tenancy sustainment levels for applicants housed as homeless have increased and have exceeded our target in 2015/16.
HMO TEM 058	Percentage of new tenancies sustained for more than a year, by applicants from the Housing Waiting List - WL	Charter	88%	90%	89%	90%	Tenancy sustainment levels for waiting list applicants are similar to previous years.
HMO TEM 060	Percentage of new tenancies sustained for more than a year, let source by other reason - O	Charter	100%	100%	0	N/A	There were no lets in this category.
RGN AOR 001	% of households requiring TA to whom an	Charter	98.9%	98.9%	100%	100.0%	As a Local Authority, we are required to offer all homeless

Covalent Ref.	PI Description	Indicator Source	2013/14	2014/15	2015/16		Latest Note
			Value	Value	Value	Target	
	offer was made						applicants who need it, temporary accommodation.
RGN AOR 002	% of TA offers refused - Total	Charter	11.9%	8.4%	1.67%	-	The % of temporary accommodation offers refused has reduced.
RGN ASN 001	% Satisfaction with standard of Homeless Temporary Accommodation	Charter	92%	90%	79%	93%	There has been a decline in satisfaction with temporary accommodation in the last year.
RGN ATA 201	Avg no of weeks stay in Homeless TA during period - LA Ordinary dwelling	Charter	12.6 weeks	15 weeks	14.2 weeks	-	This indicator is a Charter indicator required by the Scottish Housing Regulator. It reflects the average duration of stay for all applicants during the year.
RGN ATA 202	Avg no of weeks stay in Homeless TA DP - Housing Association / RSL Dwelling	Charter	27.2 weeks	38.2 weeks	0	-	Housing Association / RSL accommodation is no longer used for homeless temporary accommodation.
RGN ATA 206	Avg no of weeks stay Homeless TA DP - Bed & Breakfast	Charter	9.9 weeks	7.2 weeks	4.8 weeks	-	This indicator is a Charter indicator required by the Scottish Housing Regulator. It reflects the average duration of stay for all applicants during the year.
RGN ATA 208	Avg no of weeks stay Homeless TA DP - Private Sector Lease	Charter	34 weeks	55.9 weeks	0	-	Private Sector properties are no longer used for homeless temporary accommodation.
RGN ATA 209	Avg no of weeks stay Homeless TA DP - other LA	Charter	1.2 weeks	5.4 weeks	0	-	There have been no placements in this type of accommodation.

Covalent Ref.	Action	Due Date	Progress	Expected Outcome	Latest Note
HCS SBP 063	Increase use of section 5 referrals	31-Dec-2015	100%	✔	The Council has a section 5 protocol with Ochil View Housing Association. The vast majority of homeless presentations are from single person households. This places significant pressure on our temporary accommodation because of the low availability of one bedroom properties. The aim of the protocol is therefore is to share the responsibility of housing people who are homeless with local housing associations in the area. The terms of this protocol specifies that OVHA will give the Council 75% of their one bedroom mainstream properties to nominate applicants who are assessed as homeless.
HCS SBP 064	Review current housing support and intensive tenancy management services for all vulnerable tenants/customers (temp and secure accommodation)	31-Mar-2016	65%	⚠	As part of the ongoing Vanguard analysis this process has been reviewed for customers in temporary accommodation and secure accommodation. We are continuing to develop our approach to ensure that vulnerable households are provided with the support needed to prepare them for permanent accommodation and to provide enhanced tenancy management services to help vulnerable tenants sustain their tenancy.
HCS SBP 065	Complete the exercise for B and B accommodation	31-Mar-2016	100%	✔	The procurement exercise is complete and will achieve savings.

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8) The environment is protected and enhanced for all

Covalent Ref.	PI Description	Indicator Source	2013/14	2014/15	2015/16		Latest Note
			Value	Value	Value	Target	
FAM HPI 013	15iii) The number and proportion of the council's housing stock being brought up to the Scottish Housing Quality Standard by criteria. Energy efficient - Percentage	Charter LGBF	99.98%	100.00%	100%	100%	All Council Housing stock meets the requirements of the SHQS Energy Efficiency criteria. The Energy Efficiency Standard for Social Housing (EESSH) now supersedes this indicator.

Covalent Ref.	Action	Due Date	Progress	Expected Outcome	Latest Note
HCS SBP 066	Make applications for energy efficiency improvements in housing stock that relate to strategic priorities	31-Mar-2016	'00%	✔	Upgrades are currently being carried out to Non-traditional house stock in Alva, Coalsnaughton, Tullibody and Hutton Park Alloa. This project will be completed by the 30th of June and private owners are grant funded as part of the HEEPS ABS scheme. HRA stock is being upgraded at the same time and we are benefitting from the contract rates. A new bid has been submitted for 2016-17 and this was multi tenure with Ochilview, Paragon and ourselves.

9) The Council is effective, efficient and recognised for excellence

Covalent Ref.	PI Description	Indicator Source	2013/14	2014/15	2015/16		Latest Note
			Value	Value	Value	Target	
FAM HPI 001	% Properties with Current Gas Safety Certificate	Charter	100%	100%	100%	100%	It is a priority for the service to maintain excellent performance.
HCS CUS 001	% tenants satisfied with the overall service provided by their landlord	Charter	91%	91%	91%	-	The data for this indicator is from the Tenant Satisfaction and Aspiration Survey 2013. The next Tenant Satisfaction and Aspiration Survey is scheduled to be carried out in 2016.
HCS CUS 002	% tenants satisfied with the opportunities given to them to participate in their landlord's decision-making process	Charter	79%	79%	79%	-	The data for this indicator is from the Tenant Satisfaction and Aspiration Survey 2013. The next Tenant Satisfaction and Aspiration Survey is scheduled to be carried out in 2016.
HCS CUS 004	Percentage of tenants who feel their landlord is good at keeping them informed about their	Charter	81%	81%	81%	-	The data for this indicator is from the Tenant Satisfaction and Aspiration Survey 2013. The next Tenant Satisfaction

Covalent Ref.	PI Description	Indicator Source	2013/14 Value	2014/15 Value	2015/16 Value	Target	Latest Note
	services and decisions						and Aspiration Survey is scheduled to be carried out in 2016.
HCS CUS 007	Percentage of tenants who feel the rent they pay for their property represents good value for money	Charter	80%	80%	80%	-	The data for this indicator is from the Tenant Satisfaction and Aspiration Survey 2013. The next Tenant Satisfaction and Aspiration Survey is scheduled to be carried out in 2016.
HCS CUS 015	Percentage of FOI requests dealt with within timescale by Housing and Community Safety				100%	100%	The service continues to prioritise all FOI requests timeously.
HCS CUS 016	Percentage of Councillor enquiries dealt within timescale			100%	99.4%	100%	One out of the 176 enquiries received by the Service was responded to out with the target timescale.
HCS CUS 036	Percentage of first stage complaints to Housing and Community Safety responded to in full	Charter	100%	100%	100%	100%	All 60 first stage complaints were responded to in full.
HCS CUS 037	Percentage of first stage complaints to Housing and Community Safety that were upheld	Charter	31%	41%	52%	-	As work with Vanguard continues we are reviewing our business processes and tailoring solutions to customers' needs.
HCS CUS 038	Percentage of first stage complaints to Housing and Community Safety that were responded to within SPSO timescales.	Charter	90%	100%	100%	100%	At 100% our response rate remains consistent.
HCS CUS 045	Percentage of second stage complaints to Housing and Community Safety responded to in full	Charter	100%	83%	100%	100%	All 5 second stage complaints were responded to in full within the reporting year.
HCS CUS 046	Percentage of second stage complaints to Housing and Community Safety that were upheld	Charter	33%	50%	60%	-	3 out of 5 second stage complaints were upheld. As work with Vanguard continues we are reviewing our business processes and tailoring solutions to customers' needs and we anticipate that the level of complaints will reduce as a result.
HCS CUS 047	Percentage of second stage complaints to Housing and Community Safety that were responded to within SPSO timescales.	Charter	100%	83%	100%	100%	All 5 of the second stage complaints were responded to within the SPSO timescale.
HCS CUS 048	% of tenants who moved in within the last 12 months satisfied with their home	Charter	77%	77%	77%	-	The data for this indicator is from the Tenant Satisfaction and Aspiration Survey 2013. The next Tenant Satisfaction and Aspiration Survey is scheduled to be carried out in 2016.
HCS CUS 049	% of tenants who have had repairs or maintenance within the last 12 months	Charter	88%	88%	88%	-	The data for this indicator is from the Tenant Satisfaction and Aspiration Survey 2013. The next Tenant Satisfaction

Covalent Ref.	PI Description	Indicator Source	2013/14	2014/15	2015/16		Latest Note
			Value	Value	Value	Target	
	satisfied with the repairs and maintenance service						and Aspiration Survey is scheduled to be carried out in 2016.
HCS PPL 001	Percentage sickness absence in Housing & Community Safety service		4.91%	4.93%	5.29%	4.75%	
HMO ALL 035	% rent due lost through properties being empty during the last year	Charter LGBF	0.86%	1.10%	0.61%	0.9%	The void rent loss has reduced significantly and reflects the improved performance on reducing the time properties are empty.
HMO ALL 072	% of existing tenants satisfied with the quality of their home	Charter	88%	88%	88%	-	The data for this indicator is from the Tenant Satisfaction and Aspiration Survey 2013. The next Tenant Satisfaction and Aspiration Survey is scheduled to be carried out in 2016.
HM0 TEM 010	Rent collected as percentage of total rent due in the reporting year (i) The total value (£) of gross rent arrears as at the end of the reporting year (ii) The total rent due for the reporting year	Charter	96.34%	99%	99%	99.5%	The % of rent collected remains the same as last year. Rent management is part of the Tenancy Management Vanguard experiment and improvements are expected in the coming year.
HMO TEM 011	Gross rent arrears (all tenants) as at 31 March each year as a percentage of rent due for the reporting year (i) The total value (£) of gross rent arrears as at the end of the reporting year (ii) The total rent due for the reporting year	Charter LGBF	6.64%	7.39%	7.95%	7%	The % gross rent arrears has increased since last year. There has been an increase in both current tenant arrears and former tenant arrears. Rent management is part of the Tenancy Management Vanguard experiment and improvements are expected in the coming year.
HMO TEM 071	Average annual management fee per factored property	Charter		£2.17	£2.33	-	The management fee charged is 10% of the total cost of the repair. At present, only work carried out as part of cyclical maintenance is factored.
RAP CTA 01a	Council Tax Collected Within Year	Director of Finance CIPFA LGBF	94.73%	94.97%	95.77%		The 2015/16 collection rate is the best in year collection figure for Council Tax since 2009/10. The improved performance in collection is down to the work of the team being more proactive with recovery intervention. Work to enhance the Council Tax IT system throughout the last two years has certainly assisted with this task. Moreover, engagement with new sheriff officers is now starting to deliver results. With collections rates from the Sherriff Officers far in excess than that achieved by the previous supplier.
RAP CTA 002	Cost of collecting Council Tax per dwelling	Director of Finance	£16.51	£16.69	N/A	-	Figure for 2015/16 will be available when the guidance from CIPFA is released in July and the final accounts are

Covalent Ref.	PI Description	Indicator Source	2013/14	2014/15	2015/16		Latest Note
			Value	Value	Value	Target	
		CIPFA LGBF					available.
RAP CTA 007	Non Domestic Rates in year collection rate	Director of Finance CIPFA	97.66%	97.26%	98.15%	-	The improvement in performance is due to being more pro-active with local business claiming appropriate reliefs.
RAP CTA 011	Sundry debt in year collection	Director of Finance CIPFA	73.15%	73.95%	73.84%	-	The sundry debt collection performance is affected by the significant large volume of invoices raised by services at the year end. For example, Social Services raised invoices for £1.25m in the last quarter so not enough time for payment and or recovery action to take place. This will be action to review procedures with services on the timing of raising invoices.
RAP CTA 019	Debt collection rates > 90 days	Director of Finance CIPFA	37.01%	33.96%	43.1%	-	Although this figure is expressed as a percentage. It is not the number of invoices greater than 90 days but the value of the invoices that this figure represent. We have a number of invoices which are now greater than 90 days and the service is working with legal services on obtaining appropriate payment arrangements.
RAP CTA 020	Number days taken on average to process new benefits claims	Director of Finance CIPFA	47	32	34	30	Although the figure for 2015/16 is slightly higher than 2014/15. This area of service has now gone through a vanguard intervention and the number of days taking to process new claims is now below the Scottish Average.
RAP CTA 021	Number of days taken on average to process changes to benefits claims	Director of Finance CIPFA	15	12	14	15	Although the figure for 2015/16 is slightly higher than 2014/15. This area of service has now gone through a vanguard intervention and the number of days taking to process new claims is now below the Scottish Average.
RAP CTA 022	Percentage of applications to Local Social Fund processed within 2 days (Crisis grants)		100%	100%	100%	100%	All applications made to the fund processed within time.
RAP CTA 023	Percentage of applications to Local Social Fund processed within 28 days (Community Care grants)		100%	100%	100%	100%	All applications made to the fund processed within time.
PRF PRO 005	Average Length of Time Taken to Complete Emergency Repairs (i) The total number of emergency repairs completed in the last year (ii) The total number of hours taken to complete emergency repairs	Charter LGBF	1.91 hrs	1.95 hrs	2.01 hrs	2.50 hrs	The average length of time taken to complete emergency repairs in 2015/16 was 2.01 hrs. This is a slight increase on the previous years average. The time taken to complete a repair is determined by the nature of the emergency.

Covalent Ref.	PI Description	Indicator Source	2013/14	2014/15	2015/16		Latest Note
			Value	Value	Value	Target	
PRF PRO 006	Average Length of Time Taken to Complete Non-Emergency Repairs (i) The total number of non-emergency repairs completed in the last year (ii) The total number of working days to complete non-emergency repairs	Charter LGBF	6.74 days	6.28 days	5.94 days	6 days	The average time for non emergency repairs has improved.
PRF PRO 007	Percentage of reactive (non-emergency) repairs completed right first time during the reporting year (i) Number of reactive repairs completed right first time during the reporting year (ii) Total number of reactive repairs completed	Charter	87%	92%	93.5%	-	The average time for response repairs completed right first time in 2015/16 has improved compared with the previous 2 years results.
PRF PRO 008	Percentage of repairs appointments kept (i) Do you operate a repairs appointment system Y/N? (ii) Number of reactive repairs appointments made in the last year (ii) The number of appointments kept in the last year	Charter		90.09%	99.91%	100%	Appointments kept to tenants continues to be very high. Due to exceptional circumstances a few appointments had to be rescheduled.

Covalent Ref.	Action	Due Date	Progress	Expected Outcome	Latest Note
HCS SBP 067	Implement new processes for allocations and voids, homelessness and revenues and payments, with the customer at the centre.	31-Mar-2016	100%	✔	Work is progressing well on the review of processes as part of our work with Vanguard. More staff are being rolled into the new way of working.
HCS SBP 068	Implement the new guidance on the Operation of Local Authority Housing Revenue Accounts (HRAs) in Scotland	31-Mar-2016	65%	⚠	The Scotland's Housing Network (previously SHBVN) has been running a pilot with a number of organisations to attempt to better benchmark costs and to ensure consistency can be applied relating to charges to the HRA. We are currently using the framework produced by SHN to ensure we are compliant with the HRA Guidance. This work will be continued in the review of the HRA Financial Business plan during 2016/17.
HCS SBP 069	Implement the revised Council Repairs Policy	31-Mar-2016	100%	✔	The revised policy has been implemented.

CLACKMANNANSHIRE COUNCIL

Report to:	**Housing, Health and Care Committee**

Date of Meeting:	**2nd June 2016**

Subject:	**Housing, Revenues & Community Safety Service Business Plan 2016 – 2017**

Report by:	**Head of Housing & Community Safety**

1.0 Purpose

1.1. This report presents the Housing, Revenues & Community Safety Business Plan for 2016 – 17.

2.0 Recommendations

2.1. Committee is asked to note the Business Plan, commenting and challenging as appropriate, and to agree the relevant performance targets and measures for scrutiny purposes.

3.0 Background

3.1. The Business Plan is for the second full year of the service which was created by bringing together Housing, Revenues, PCU and the Strategy team. Integration is still ongoing and the service is starting to see the benefits from the work carried out with Vanguard Scotland during 15-16.

3.2. The Business Plan includes the delivery plan setting out measureable actions. The majority of these actions are required to meet the statutory requirement to report on the Scottish Social Housing Charter. The indicators from the previous Director of Finance annual report, and local government benchmarking framework are also included. These targets have been grouped against the Council's Priority Outcomes.

3.3. The Plan includes a short section on workforce planning and an update on the IT strategy. Challenges for the future year are similar to those set out in previous plans. There are declining resources at a time of onging economic uncertainty, with continuing welfare reforms reducing the incomes of many Clackmannanshire residents. However the on going restructuring and improving processes in line with the consultancy work will help to deal with the challenges identified.

3.4. Good progress against most of the targets set in the previous plan is reported elsewhere on the agenda.

4.0   Risks

4.1.   The Plan includes a risk assessment. Further risk assessment is planned during the year.

4.2.   Health and Safety Risk management is also a standing item at team meetings. The service also actively contributes to the corporate health and safety management.

5.0   Sustainability Implications

5.1.   The investment made by the Service towards the energy efficiency of stock in all tenures, together with the fuel poverty advice and assessment carried out, greatly contribute to the reduction in carbon emissions.

6.0   Resource Implications

6.1.   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 ☑

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

7.0   Exempt Reports

7.1.   Is this report exempt?   Yes ☐   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)

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 ☐

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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 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 ☐

11.2. Clackmannanshire Housing Strategy 2012 - 2017   (October 2012)

11.3. Housing Revenue Budget 2016/17 and Capital Programme 2016/17

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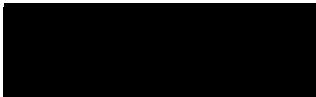
12.1. Please list any appendices attached to this report. If there are no appendices, please state "none".

appendix 1 Business Plan

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Author(s)

NAME	DESIGNATION	TEL NO / EXTENSION
Jennifer Queripel	Service Manager	2475
Owen Munro	Planned Investment Officer	5172
Murray Sharp	Service Manager	5113
Elaine McCaffrey	Team Leader	5176

Approved by

NAME	DESIGNATION	SIGNATURE
Ahsan Khan	Head of Service	███████
Nikki Bridle	Depute Chief Executive	███████

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Housing, Revenues & Community Safety
Service Plan 2016-17

Making Clackmannanshire Better

1.1 MISSION & OBJECTIVES

To continually improve services to tenants and other customers whilst controlling costs.

Operational Principles:

- Improvement of Service Delivery across all areas of business
- Making sure all staff are doing value work
- Leaders are in the work
- Making sure we provide tailored solutions for customers
- Manage the change of culture
- Budget transparency
- Working in partnership
- Maximising Resources
- Make sure we comply with legislation
- IT is fit for purpose

1.2 Purpose

This business plan sets out the Housing, Revenues and Community Safety service's contribution to the Council's vision of *Making Clackmannanshire Better*. The key strategies and actions included help ensure that budget decisions reflect what is most important for our customers.

The service is focussed on helping to achieve the priority outcomes listed in the Clackmannanshire Single Outcome Agreement. The four distinct areas of operation can be summarised as follows: -

1. Housing Services: landlord services including repairs and income collection to approximately 5,000 properties across Clackmannanshire, and strategic housing planning and investment.

2. Revenues, Benefits and Advice: Collection of council tax and other sources of income; and distribution of benefits.

3. Community Safety: Working with Police Scotland and other partners in the Alliance to improve well-being and safety in Clackmannanshire.

4. Regeneration and Strategy: health and social care integration; identifying needs, planning for new housing, advice and assistance to owners, factoring.

Figure 1. Business Plan relationship to other Strategies.

Business Planning Structure

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┌─────────────────────────────────────────────────────────┐
│   Clackmannanshire Single Outcome Agreement 2013-23       │
└─────────────────────────────────────────────────────────┘
┌─────────────────────────────────────────────────────────┐
│ Taking Clackmannanshire Forward - Corporate Priorities    │
│                   2012-17                                  │
└─────────────────────────────────────────────────────────┘
┌─────────────────────────────────────────────────────────┐
│     Clackmannanshire Local Housing Strategy 2012-17        │
└─────────────────────────────────────────────────────────┘
┌──────────────────────────┐  ┌──────────────────────────┐
│ Service Business Plan     │  │ Strategic Housing          │
│ 2016-17                   │  │ Investment Plan 2013-18    │
└──────────────────────────┘  └──────────────────────────┘
    ┌──────────────────────┐  ┌──────────────────────────┐
    │ Tenant Participation  │  │ Community Safety           │
    │ Strategy 2014-17      │  │ Strategy 2014-17           │
    └──────────────────────┘  └──────────────────────────┘
    ┌──────────────────────┐  ┌──────────────────────────┐
    │ HRA Financial Business│  │ Charter Outcome            │
    │ Planning Model 2013/18│  │ Priority Actions           │
    └──────────────────────┘  └──────────────────────────┘
```

This service business plan is based on three key corporate documents: Clackmannanshire Single Outcome Agreement 2013-23; Taking Clackmannanshire Forward - Corporate Priorities 2012-17, and the Clackmannanshire Local Housing Strategy (CLHS) 2012-17 which sets out the Council's strategic priorities for housing across all tenures in Clackmannanshire over a five-year period and is delivered in partnership with other agencies and services.

Regulation

The Scottish Housing Regulator monitors and assesses against the Scottish Social Housing Charter the performance of Clackmannanshire Council as a landlord.

Social Care and Social Work Improvement Scotland (SCSWIS) scrutinises the performance and quality of Clackmannanshire Council's Housing Support team. The team is registered as a housing support provider with the Care Inspectorate in accordance with the Public Services Reform (Scotland) Act 2010, Part 5.

Audit Scotland, the Scottish Government and Department of Work and Pensions monitors and assesses performance of the Council's revenues collection and benefits administration ensuring that its statutory functions are fulfilled timeously and accurately.

1.2   SERVICE STRUCTURE

*Figure 3: Housing & Community Safety Service Structure**

```
                        ┌─────────────────┐
                        │ Head of Service │
                        └────────┬────────┘
                    ┌────────────┴────────────┐
          ┌─────────────────┐      ┌─────────────────┐
          │ Service Manager │      │ Service Manager │
          │ Strategy &      │──────│ Housing         │
          │ Revenues        │      │ Management      │
          └─────────────────┘      └─────────────────┘
```

Com Safety; Advice ; SWF; NDR | Revenues & Benefits | Strategy | Repairs | Repairs | Housing Options | Business Mngmnt | Housing Mngmnt

Capital Officer
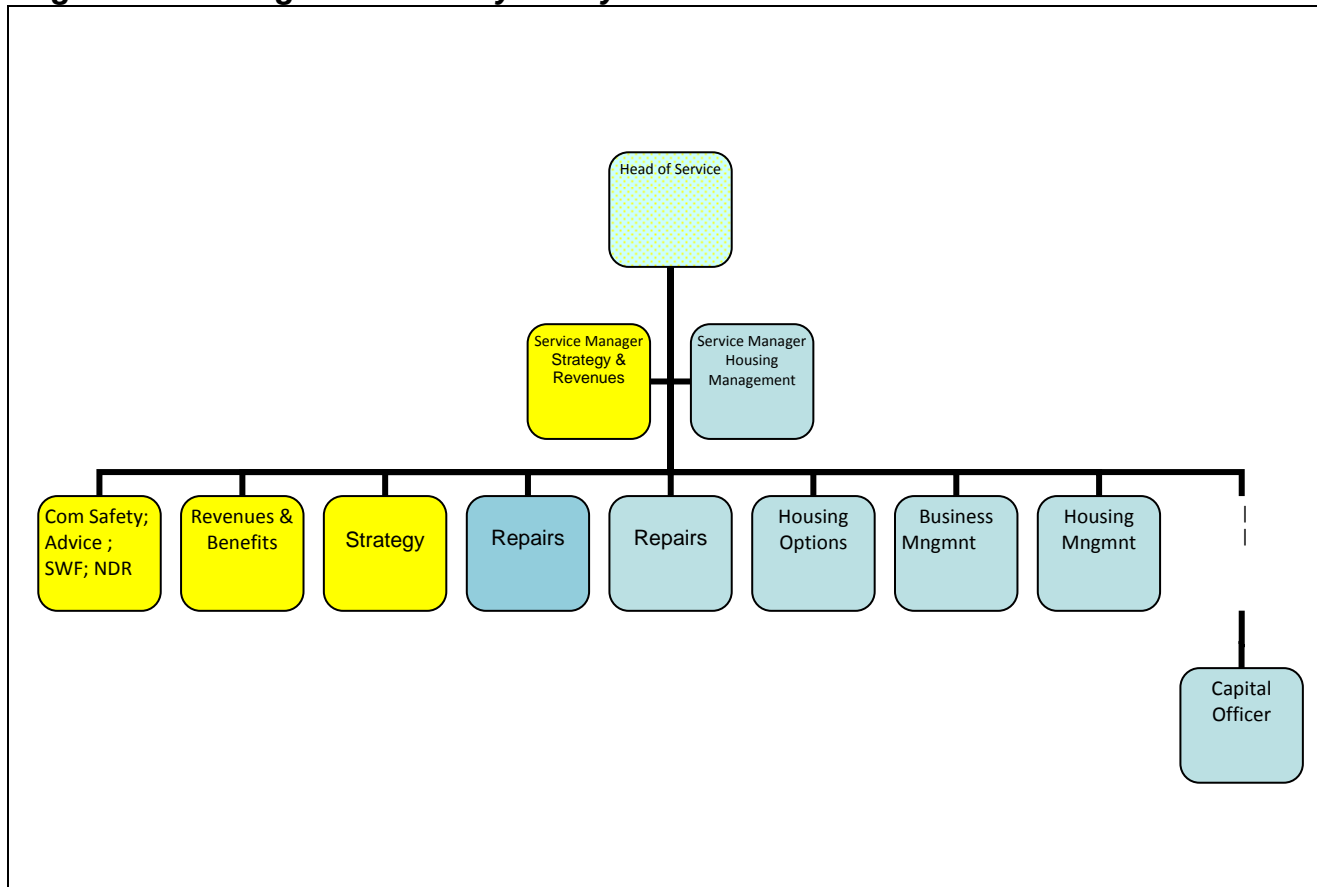
* This structure is to be reviewed in view of the budget decisions and consultation has begun.

1.3   Workforce Planning

Since the integration of the previously separate services efficiencies created have allowed staff numbers to reduce from 303 to 264 full time equivalent (FTE), between April 2014 and March 2016, a reduction of 13%. Staffing numbers will be reduced further this year with vacant posts deleted from the structure as part of the budget savings.

Working with staff in the Vanguard exercise is also helping to redesign jobs to better meet changing customer needs.   As part of this the housing officer role was redesigned and is currently being implemented.   There are likely to be further discussions with trade unions and staff during the year.

The trades apprentice programme has been evaluated in relation to the current age and work profile.

The current workforce profile is shown in the graphs below.

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Service age distribution

Age range	Count
0-15	0
16-29	51
30-44	84
45-59	111
60-74	22
75+	0

Length of service

Length of service	Percentage
0-4	32%
5-9	16%
10-14	16%
15-19	7%
20-24	10%
25-29	10%
30-34	7%
35-39	1%

Gender - Grade distribution

Grade	Male	Female
Grade 1	0	0
Grade 2	0	0
Grade 3	4	1
Grade 4	18	12
Grade 5	41	31
Grade 6	70	39
Grade 7	11	6
Grade 8	5	5
Grade 9	1	0
Grade 10	1	4
Grade 11	1	1
Grade 12	0	0
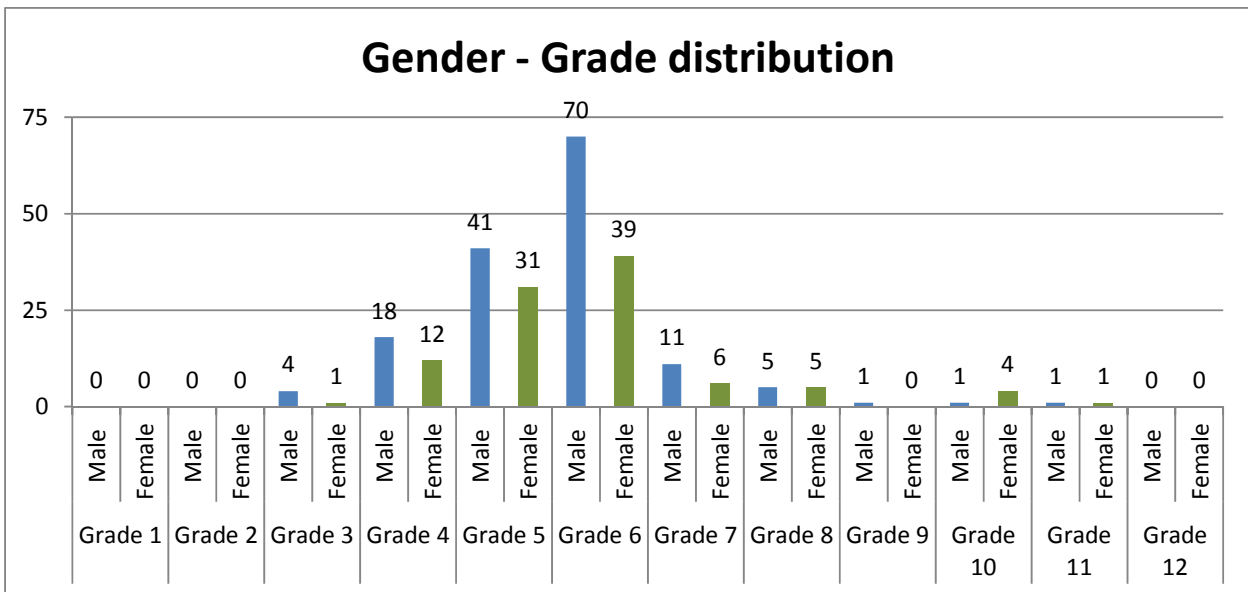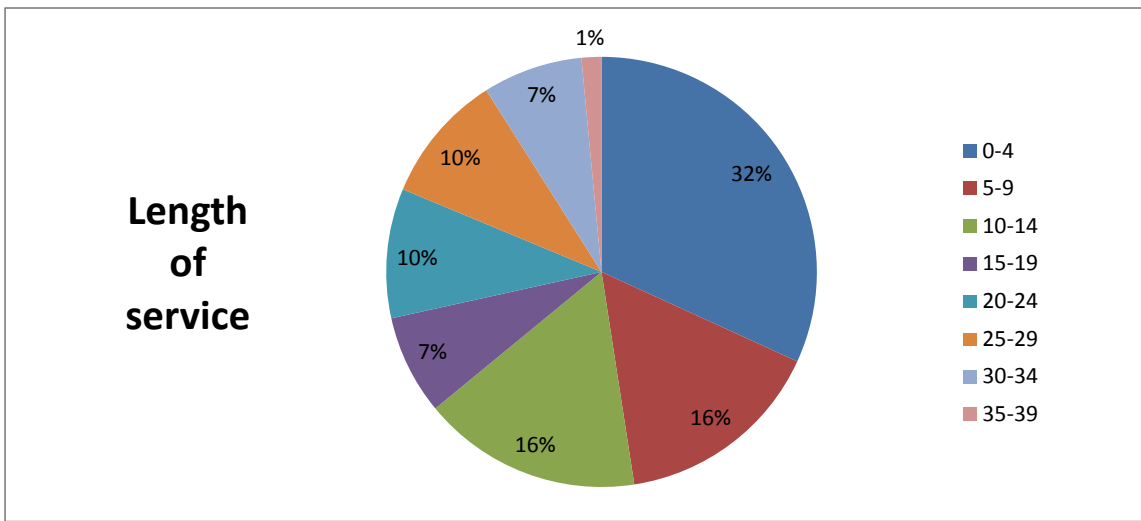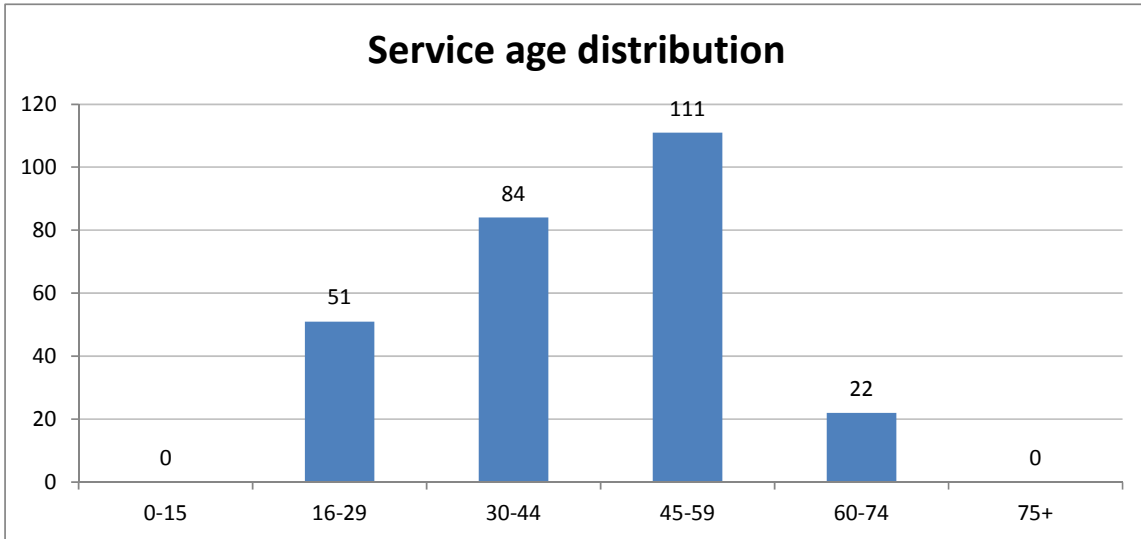
* Numbers may not total due to missing data

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The Housing Revenue Account budget is ring-fenced, with income coming from rents, and expenditure legally restricted to be used for the tenants' benefit. A thirty year business plan was agreed following consultation with our tenants and residents.

HRA REVENUE BUDGET (including "PCU"*)	2016/17 £'000
Repairs and maintenance	5,774
Supervision and management	3,564
Capital Finance charges	3,130
Other	1,102
Total Gross Expenditure Budget	**13,570**
Total Income	18,488
Surplus (deficit)	4,918
Capital funded from current revenue surplus & reserves	4,871
HRA Uncommitted Reserves	736
HRA Total Outstanding Borrowing	33,494

HRA CAPITAL BUDGET	2016/17 £'000
Primary Building Elements	150
Secondary Building Elements	4,202
Energy efficiency	2,201
Modern facilities	150
Healthy, safe and secure	550
Non-SHQS	590
Total Capital Investment	**7,843**
Estimate House Sales to support Capital Investment	240
Borrowing to support Capital Investment	2,732

the former Property Contracts Unit (PCU) has now been integrated within the housing service.

Expenditure on Community Safety and Housing Strategy is met by the general fund.

GF REVENUE BUDGET	2016/17 £'000
Strategic Housing Costs	409
Homeless Accommodation & Strategy	(488)
Private Sector Housing	170
Housing Benefits	1,084
Anti-social behaviour	168
CCTV Maintenance	19
Total Housing GF Budget	**1,362**

Revenues and Advice

Revenue Budget	£000
Employee costs	1,201
Supplies and services	188
Third party payments	500
	1,889
Grant Income	(541)
Total Budget	**1,348**

2 KEY AREAS FOR IMPROVEMENT

The key areas for improvement for the Housing and Community Safety service were identified with assistance from consultants from Vanguard Scotland, whilst also taking into account trends in key performance indicators and results from the independent tenant satisfaction survey completed in 2013.   Issues identified as a priority have been risk-assessed and will be managed by named service leaders:

- Complete the integration of housing, community safety, repairs and revenues services, engaging colleagues in the redesign.
- Maximise the collection of income from all sources, minimising irrecoverable debts.
- Mitigate, as far as possible within resources, the impacts of welfare reform
- Implement the actions arising from the tenant satisfaction survey.
- Make better use of our own housing stock and seeking flexible solutions to meet customer needs, maximise income and reduce costs, through sustainable projects.
- Ensuring our properties are safe, secure and desirable, meeting the SHQS and EESSH, working to reduce fuel poverty.
- Maximise the Government grant allocation to Clackmannanshire, ensuring the housing programme allocation is achieved on time and budget.
- Support our colleagues to improve well-being and maximise attendance.
- Actively support Police colleagues to address Antisocial Behaviour
- Improving sustainability of tenancies and communities through delivery of enhanced tenancy management.
- Review the HRA Financial Business Plan to ensure ongoing financial viability and to deliver best value for our tenants.
- Working with Regulatory partners to effect improvements in various parts of the Service including Scottish Welfare Fund, rent arrears management and Housing Benefit.
- Redesign of the factoring service provided to former council owned properties.

The Housing, Revenues and Community Safety Service have a number of Making Clackmannanshire Better actions. The progress against these actions will be monitored through the MCB monitoring framework and will be scrutinised by the Executive Management Team.

3 APPROACHES

3.1 CUSTOMER/STAKEHOLDER ENGAGEMENT

We place our customers at the heart of our business. The Housing and Community Safety service has a statutory duty to involve tenants and stakeholders in the planning and decision-making process.

Extensive consultation methods are in place, built around the Scottish Social Housing Charter Outcomes.

The service is committed to delivering high standards of customer service through the Clackmannanshire Council Customer Charter.

We discuss our plans and strategies in advance with our stakeholders and agree the final documents with them. Engagement methods include:

- Regular and independent tenant satisfaction survey (to be completed during 2016)
- Financial and Officer support for independent Tenants' and Residents' Forum and Registered Tenant Organisations
- "Estate Walkabouts" with residents and elected members
- Ongoing customer satisfaction surveys through a variety of means, including telephone, face-to-face and online
- Evening meetings, presentations and forums
- Contributions in "Clackmannanshire View", the Council's online newsletter
- New tenant visits, encouraging personal contact
- Using complaints and enquiries as learning opportunities.

3.2 SUPPORTING AND DEVELOPING STAFF

It is recognised that people must be equipped with the knowledge, skills and management support to do their job well.

The redesign of services has provided the opportunity for more on the job training. This will be continued during the year.

Job roles have been redesigned to focus on value work and what matters to the customer. Colleagues have clear purpose and are actively engaged in problem solving. The aim is to put decision making as close to the customer as possible, with flexible confident staff who have the ability to deal with the wide variety in the work. Clear measures are set for each area in order that progress can be recorded, with issues discussed at regular problem solving sessions.

Externally, the service attends various best practice forums and national bodies, including the Association of Local Authority Chief Housing Officers (ALACHO), Association for Public Sector Excellence (APSE), Chartered Institute of Housing (CIH), Scotland's Housing Network (SHN) and the Tayside, Central, Fife Housing Options Hub. Other internal and external working groups attended include:

- Community Wellbeing & Safety Partnership
- MATAC group
- Drug and Alcohol Partnership
- Mental Health Partnership
- Corporate Parenting Group
- Health and Wellbeing Partnership
- Business Skills and Jobs Partnership
- MAPPA Management Group
- Community Alliance
- Tayside, Fife and Central Hub (Housing Options)
- SHN Forums
- APSE Building & Housing Advisory Group
- CIH Policy Practice Groups
- Local Support Service Delivery Forums
- DWP, IRRV and COSLA Forums

3.3 MANAGING SERVICE PERFORMANCE

Over the last 18 months Vanguard Scotland has been working with groups of staff to improve customer service across several areas. The main operational self-assessment processes now derive from this work.

Weekly "Visual Measurement Board" (VMB) problem solving meetings are held to discuss performance improvement.   Managers at all levels are expected to be "in the work", translating strategic aims into clear operational actions to benefit customers, and taking responsibility for unblocking the barriers to performance improvement.   Managers are also responsible for driving and disseminating the good practice identified.

Progress is monitored through service and operational team meetings. Results are published both internally and externally. Performance information is cascaded through team briefings.

Progress against the Housing and Community Safety Service Business Plan is scrutinised by the Council's Housing, Health and Care Committee at regular intervals throughout the year.

The service also self-assesses against the Scottish Social Housing Charter Outcomes and Director of Finance performance indicators. Advice from external agencies, including the Scottish Housing Regulator, DWP and Audit Scotland is acted on as priority.

The Housing and Community Safety service monitors its performance and progress towards achieving its objectives using a variety of methods. These include:
- Feedback from customers and staff (including independent tenant survey)
- Analysis of service key performance results (including benchmarking)
- The Council's Annual Governance Statement and the service Governance Improvement Plan
- Making Clackmannanshire Better (MCB)

- Scottish Social Housing Charter self assessment
- Director of Finance performance indicators
- Care Inspectorate self-assessment
- Internal and external audit recommendations
- Statutory Performance / Local Government Benchmarking Framework indicators
- Budget monitoring and challenge process.
- Analysis of inspection reports
- APSE Performance Networks

The service is represented by the Head of Service at the Council's Senior Management team.

The budget review and thirty-year cash flow ensures the service is run on sound financial management information and robust business case appraisal.

3.4 IT Systems

As part of the upgrade of the Council Finance system, the opportunity was taken to acquire the supplier's housing module. The new system will be fully implemented in 2017-18. It will result in the replacement of four systems, so providing cost savings, efficiencies, and better information management.

Staff also worked during the year with the council tax software supplier to develop significant enhancements to the recovery functionality.   This has contributed to the improvement of the in-year collection figure.   As part of a Vanguard review further changes are planned to the main billing section to improve processes and customer service.   Work is also ongoing with other Councils and the supplier to provide further common enhancements. If however this functionality cannot be provided, or if council tax reforms cannot be accommodated, it may necessary to consider replacing the system. This will be actively reviewed during the year.

4.0 Risk Management

The Housing, Revenue & Community Safety management team held a session with the Corporate Risk Manager to identify the Risks associated with the Service. These risks will be reviewed regularly and mitigation will be managed through the linked actions.

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
Meet target/complete within target dates
Will complete, but outwith target
Fail to complete or cancelled

RISKS	
Current Rating = Likelihood x Impact (1 - 5)	**Status**
Likelihood / Impact	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.	

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CORPORATE PRIORITY OUTCOME
1) The area has a positive image and attracts people and businesses

Covalent code	KPI	Indicator Source	2013/14	2014/15	2015/16	2016/17	Lead
			Value	Value	Value	Target	
HCS CUS 003	% tenants satisfied with the management of the neighbourhood they live in	Charter	83%	83%	83%	n/a	Jennifer Queripel
HMO ALL 005	Average length of time taken to re-let properties in the last year - excluding new-build & OTS (i) The total number of properties re-let in the reporting year. (ii) The total number of calendar days properties were empty.	Charter	40	40	36	36	Julie Russell; Jennifer Queripel
HMO ALL 013	The percentage of new tenants satisfied with the lettable standard when moving in - used for SHBVN & report to tenants	Charter	96%	83%	94%	98%	Julie Russell; Jennifer Queripel
HMO ALL 041	Total number of lets (including new builds and OTS)	Charter	461	403	363	n/a	Cheryl Bowden; Jennifer Queripel
HMO ALL 056	The percentage of tenancy offers refused during the year (i) Number of tenancy offers made during the reporting year. (ii) The number of tenancy offers that were refused.	Charter	52%	46%	46%	40%	Cheryl Bowden; Jennifer Queripel
HMO ALL 057	The number of empty dwellings that arose during the last year in self-contained lettable stock	Charter	401	398	367	n/a	Cheryl Bowden; Jennifer Queripel
HMO ALL 071	The percentage of lettable dwellings that arose during the year (excluding new-build and off the shelf purchases) in self-contained lettable stock.	Charter	8.24%	8.21%	7.59%	n/a	Cheryl Bowden; Jennifer Queripel
HMO TEM 074	% of factored owners satisfied with the factoring service they receive	Charter	N/a	20%	N/A	-	

Covalent code	Action	Impact	By when	Lead
HCS	Redesign our Estate management service to focus on customer priorities	Houses are let quicker, neighbourhoods have better image	December 2016	Jeanette Pearcy

CORPORATE PRIORITY OUTCOME
2) Our communities are more cohesive and inclusive

Covalent code	KPI	Indicator Source	2013/14	2014/15	2015/16	2016/17	Lead
			Value	Value	Value	Target	
HMO HPI 005	The proportion of the council's housing stock meeting the Scottish Housing Quality Standard.	Charter LGBF	90.8%	92.4%	97.3%	100%	Owen Munro
HMO TEM 070	% of court actions initiated which resulted in eviction	Charter	7.55%	9.68%	11.25%	n/a	Jennifer Queripel; Julie Russell
RGN ACC 021	Avg weekly rent for Gypsy/Travellers pitch	Charter	£56.28	£85.00	£85.00	n/a	Francine Abercrombie
RGN ASN 002	% Satisfaction with management of Gypsy/Traveller site	Charter	100%	93.33%	NA	-	Francine Abercrombie

Covalent code	Action	Impact	By when	Lead
HCS	Review the Housing Allocation Policy	Houses are allocated to meet the needs of customers and make best use of the housing stock	December 2016	Francine Abercrombie

CORPORATE PRIORITY OUTCOME
4) Our communities are safer

Covalent code	KPI	Indicator Source	2013/14	2014/15	2015/16	2016/17	Lead
			Value	Value	Value	Target	
HMO TEM 067	% of asb cases reported in the last year which were resolved within locally agreed targets.	Charter	74.70%	78.25%	75.24%	75%	Julie Russell

Covalent code	Action	Impact	By when	Lead
HCS	Implement the use of mobile CCTV cameras	Enhanced ability to respond to resident concerns	Sept 2016	Wilson Lees

CORPORATE PRIORITY OUTCOME							
5) Vulnerable people and families are supported							

Covalent code	KPI	Indicator Source	2013/14	2014/15	2015/16	2016/17	Lead
			Value	Value	Value	Target	
HMO HPI 041	% of approved applications for medical adaptations completed during the reporting year	Charter	58.3%	97.4%	92%	-	
HMO HPI 042	Average time to complete medical adaptation applications	Charter	65.7 days	37.7 days	37 days	-	
HMO ALL 043	Percentage lets to statutory homeless applicants	Charter	39 %	46%	57%	50%	Cheryl Bowden; Jennifer Queripel
HMO TEM 054	Percentage of new tenancies sustained for more than a year, by existing tenants - Transfer (TR)	Charter	92%	95%	92%	94%	Jennifer Queripel; Julie Russell
HMO TEM 056	Percentage of new tenancies sustained for more than a year, by applicants who have been assessed as statutory homeless (HP)	Charter	82%	80%	85%	85%	Jennifer Queripel; Julie Russell
HMO TEM 058	Percentage of new tenancies sustained for more than a year, by applicants from the Housing Waiting List (WL)	Charter	88%	90%	89%	90%	Jennifer Queripel; Julie Russell
HMO TEM 060	Percentage of new tenancies sustained for more than a year, let by source other.	Charter	100%	100%	0	n/a	Jennifer Queripel; Julie Russell
RGN AOR 001	% of households requiring TA to whom an offer was made	Charter	98.9%	99%	100%	100%	Francine Abercrombie
RGN AOR 002	% of TA offers refused - Total	Charter	11.9%	8.4%	1.67%	n/a	Francine Abercrombie
RGN ASN 001	% Satisfaction with standard of Homeless Temporary Accommodation	Charter	92%	90%	79%	93%	Francine Abercrombie
RGN ATA 201	Avg no of weeks stay in Homeless TA during period - LA ordinary dwelling	Charter	12.6 weeks	15 weeks	14.2 weeks	n/a	Francine Abercrombie
RGN ATA 202	Avg No of weeks stay Homeless TA DP - Housing Association/ RSL Dwelling	Charter	27.2 weeks	38.2 weeks	0	n/a	Francine Abercrombie
RGN ATA 206	Avg No of weeks stay Homeless TA DP - Bed & Breakfast	Charter	9.9 weeks	7.2 weeks	4.8 weeks	n/a	Francine Abercrombie
RGN ATA 208	Avg No of weeks stay Homeless TA DP - Private Sector Lease	Charter	34 weeks	55.9 weeks	0	n/a	Francine Abercrombie

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Covalent code	KPI	Indicator Source	2013/14	2014/15	2015/16	2016/17	Lead
			Value	Value	Value	Target	
RGN ATA 209	Avg No of weeks stay Homeless TA DP - other LA	Charter	1.2 weeks	5.4 weeks	0	n/a	Francine Abercrombie

Covalent code	Action	Impact	By when	Lead
HCS	Review and redesign the Housing Support Service	Homeless applicants receive support to learn independent living skills and maintain a secure tenancy.	March 2017	Francine Abercrombie
HCS	Housing Officers use the MCB improvement budget in consultation with local communities to maximise its impact.	Community improvement priorities are supported	March 2017	Julie Russell

CORPORATE PRIORITY OUTCOME
8) The environment is protected and enhanced for all

Covalent code	KPI	Indicator source	2013/14	2014/15	2015/16	2016/17	Lead
			Value	Value	Value	Target	
HMO HPI 013	The % of the council's housing stock in scope of the EESSH that meet the standard	Charter LGBF	-	-	63%	70%	Owen Munro

Covalent code	Action	Impact	By when	Lead
HCS	Prepare the strategy and action plan to ensure the housing stock meets the Energy Efficiency Standard in Social Housing (EESSH)	Reduction of fuel poverty and CO2 emissions	March 2017	Owen Munro

CORPORATE PRIORITY OUTCOME							
9) The Council is effective, efficient and recognised for excellence							

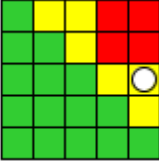| Covalent code	KPI	Indicator Source	2013/14	2014/15	2015/16	2016/17	Lead
			Value	Value	Value	Target	
RAP CTA 01a	Council Tax Collected Within Year	Director of Finance CIPFA LGBF	94.73%	94.97%	95.77%	95.5%	Murray Sharp
RAP CTA 002	Cost of collecting Council Tax per dwelling	Director of Finance CIPFA LGBF	£16.51	£16.69	N/A	N/A	Murray Sharp
RAP CTA 007	Non Domestic Rates in year collection rate	Director of Finance CIPFA	97.66%	97.26%	98.15%	98%	Murray Sharp
RAP CTA 011	Sundry debt in year collection	Director of Finance CIPFA	73.15%	73.95%	73.84%	74%	Murray Sharp
RAP CTA 019	Debt collection rates > 90 days	Director of Finance CIPFA	37.01%	33.96%	43.1%	34%	Murray Sharp
RAP CTA 020	Number days taken on average to process new benefits claims	Director of Finance CIPFA	47	32	34	25	Murray Sharp
RAP CTA 021	Number of days taken on average to process changes to benefits claims	Director of Finance CIPFA	15	12	14	11	Murray Sharp
HCS	Percentage of Housing Benefit cases for which the calculation of benefit amount is correct	Audit Scotland			New	95%	Murray Sharp
HCS	Total number of Housing Benefit cases where pro-active interventions are completed	Audit Scotland			New	100	Murray Sharp
HCS	Time taken to deal with re-consideration of Housing Benefit award (internal target 10 working days)	Audit Scotland			New	90%	Murray Sharp
HCS	Time taken to submit an appeal to the Tribunals Service (28 days)	Audit Scotland			New	100%	Murray Sharp
HCS	The number of changes resulting in a decrease or increase in benefit arising from proactive interventions	Audit Scotland			New	New	Murray Sharp
HCS	The percentage of HB overpayments recovered in-year against	Audit			65%	65%	Murray Sharp
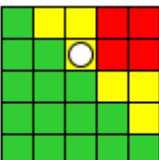
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Covalent code	KPI	Indicator Source	2013/14	2014/15	2015/16	2016/17	Lead
			Value	Value	Value	Target	
	the value of overpayments raised in year (Rent Allowances)	Scotland					
HCS	The percentage of HB overpayments recovered in-year against the value of overpayments raised in year (Rent Rebates)	Audit Scotland			44%	50%	Murray Sharp
HCS	The percentage of HB overpayments recovered in-year against the value of overpayments raised in year (Rent Rebates + Rent Allowances)	Audit Scotland			59%	60%	Murray Sharp
HCS	The percentage of HB overpayments recovered against all total Rent Allowance debt	Audit Scotland			46%	48%	Murray Sharp
HCS	The percentage of HB overpayments recovered against all total Rent Rebates debt	Audit Scotland			8%	10%	Murray Sharp
HCS	The percentage of HB overpayments recovered against all total Rent Allowance + Rent Rebates debt	Audit Scotland			17%	20%	Murray Sharp
RAP CTA 022	Percentage of applications to Local Social Fund processed within 2 days (Crisis grants)	-	100%	100%	100%	100%	Murray Sharp
RAP CTA 023	Percentage of applications to Local Social Fund processed within 28 days (Community Care Grants)	-	100%	100%	100%	100%	Murray Sharp
HCS CUS 048	% of tenants who moved in within the last 12 months satisfied with their home.	Charter	77%	77%	77%	n/a	Julie Russell
HCS CUS 049	% of tenants who have had repairs or maintenance within the last 12 months satisfied with the repairs and maintenance service.	Charter	88%	88%	88%	n/a	Jeanette Pearcy
FAM HPI 001	% Properties with Current Gas Safety Certificate	Charter	100%	100%	100%	100%	Ian Inglis
PRF PRO 005	Average Length of Time Taken to Complete Emergency Repairs (i) The total number of emergency repairs completed in the last year (ii) The total number of hours taken to complete emergency repairs	Charter LGBF	1.91 hours	1.95 hours	2.01 hours	2.01 hours	Jeanette Pearcy
PRF PRO 006	Average Length of Time Taken to Complete Non-Emergency Repairs (i) The total number of non-emergency repairs completed in the last year (ii) The total number of working days to complete non-emergency repairs	Charter LGBF	6.74 days	6.28 days	5.94 days	5.94 days	Jeanette Pearcy
PRF PRO 007	Percentage of reactive (non-emergency) repairs completed right first time during the reporting year (i) Number of reactive repairs completed right first time during the reporting year (ii) Total number of reactive repairs completed	Charter	87%	91.6%	93.5%	n/a	Jeanette Pearcy

Covalent code	KPI	Indicator Source	2013/14	2014/15	2015/16	2016/17	Lead
			Value	Value	Value	Target	
PRF PRO 008	Percentage of repairs appointments kept (i) Do you operate a repairs appointment system Y/N? (ii) Number of reactive repairs appointments made int the last year (ii) The number of appointments kept in the last year	Charter	-	90.09%	99.91%	100%	Jeanette Pearcy
HCS CUS 001	% tenants satisfied with the overall service provided by their landlord	Charter	91%	91%	91%	n/a	Elaine McCaffery
HCS CUS 002	% tenants satisfied with the opportunities given to them to participate in their landlord's decision-making process	Charter	79%	79%	79%	n/a	Elaine McCaffery
HCS CUS 004	Percentage of tenants who feel their landlord is good at keeping them informed about their services and decisions.	Charter	81%	81%	81%	n/a	Elaine McCaffery
HCS CUS 007	Percentage of tenants who feel the rent for their property represents good value for money	Charter	80%	80%	80%	n/a	Elaine McCaffery
HCS CUS 015	Percentage of FOI requests dealt with within timescale by Housing and Community Safety	Corporate	-	100%	100%	100%	Ahsan Khan
HCS CUS 016	Percentage of Councillor enquiries dealt within timescale	Corporate	-	100%	99.4%	100%	Ahsan Khan
HCS CUS 036	Percentage of first stage complaints to Housing and Community Safety responded to in full	Charter	100%	100%	100%	100%	Ahsan Khan
HCS CUS 037	Percentage of first stage complaints to Housing and Community Safety that were upheld	Charter	31%	41%	52%	n/a	Ahsan Khan
HCS CUS 038	Percentage of first stage complaints to Housing and Community Safety that were responded to within SPSO timscales.	Charter	90%	100%	100%	100%	Ahsan Khan
HCS CUS 045	Percentage of second stage complaints to Housing and Community Safety responded to in full	Charter	100%	83%	100%	100%	Ahsan Khan
HCS CUS 046	Percentage of second stage complaints to Housing and Community Safety that were upheld	Charter	33%	50%	60%	n/a	Ahsan Khan
HCS CUS 047	Percentage of second stage complaints to Housing and Community Safety that were responded to within SPSO timescales.	Charter	100%	83%	100%	100%	Ahsan Khan
HCS PPL 001	% Sickness Absence Housing & Community Safety	Corporate	4.91%	4.93%	5.29%	4.75%	Ahsan Khan
HMO ALL 035	% of rent due lost through properties being empty during the last year.	Charter LGBF	0.86%	1.10%	0.61%	0.6%	Jennifer Queripel
HMO ALL 072	% of existing tenants satisfied with the quality of their home	Charter	88%	88%	88%	n/a	Elaine McCaffery
HMO TEM 010	Rent collected as percentage of total rent due in the reporting year	Charter	96.34%	99%	99%	99.5%	Julie Russell

Covalent code	KPI	Indicator Source	2013/14	2014/15	2015/16	2016/17	Lead
			Value	Value	Value	Target	
	(i) The total amount of rent collected in the reporting year (ii) The total amount of rent due to be collected in the reporting year (annual rent debit)						
HMO TEM 011	Gross rent arrears (all tenants) as at 31 March each year as a percentage of rent due for the reporting year (i) The total value (£) of gross rent arrears as at the end of the reporting year (ii) The total rent due for the reporting year	Charter LGBF	6.64%	7.39%	7.95%	7.5%	Julie Russell
HMO TEM 071	Average annual management fee per factored property	Charter	-	£2.17	£2.33	n/a	

Covalent code	Action	Impact	By when	Lead
HCS	Review the HRA Financial Business Plan	To ensure the financial model meets future requirements to continue to deliver a quality housing service.	March 2017	Elaine McCaffery
HCS	Implement the Integrated Housing IT System	Implement a fully integrated Housing IT system that supports core Housing business.	April 2018	Elaine McCaffery
HCS	Review and implement the Audit Scotland Housing Benefit requirements	Ensuring that processing times and service standards achieve or exceed Scottish averages	December 2016	Murray Sharp
HCS	Implement the redesign of the council tax system	Continual improvement in collection levels.	December 2016	Murray Sharp

Risks

Resources Reduce Below Manageable Levels	Head of Housing & Community Safety	MCB Theme	Making Efficiencies	Existing Controls	Status	⚠
Description	Financial pressures worsen to a point where buildings, physical assets, technologies and supplier contracts can no longer be maintained, used or improved and staff numbers reduce to levels below the service's functional requirements.			Budget Challenge & Financial Monitoring (RAG ACC BCF)	Current Score	15
Potential Effect	Inability to complete required redesign and project work, disturbance to core service delivery and failure to fulfil fundamental goals and duties, with associated financial, legal and reputational implications, particularly if resource reductions coincide with increased demand.			Corporate Asset Management Strategy (RAG ASM CAM)		
Related Actions	Review the HRA Financial Business Plan Implement new Housing IT System	Housing Business Management Team Leader		Interim Workforce Strategy (RAG GOV IWS)		

Loss of Staff Knowledge, Skills and/or Goodwill	Housing Management Operations Service Manager	MCB Theme	Increasing Income & Savings	Existing Controls	Status	⚠
Description	The lack of a corporate approach to knowledge management leads to the loss of tacit information, knowledge and experience held by staff members as the workforce contracts due to reducing budgets, which also reduces ability to appropriately train and develop staff.			Information Management Strategy (RAG GOV IMS)	Current Score	12
Potential Effect	Neglect of key or statutory duties if remaining staff are unaware of requirements or unequipped to fulfil them, increased pressure on staff, reduced satisfaction, morale and willingness to add value or contribute to improvement activities, complacency, lowered standards, increased absence and future recruitment difficulties.			Maximising Attendance & Employee Wellbeing Policy (RAG GOV MAE)		
Related Actions	(none currently included in draft business plan are relevant)			Workforce Learning & Development Strategy (RAG GOV WLD)		

Strategies Do Not Provide Clear, Deliverable Direction	Housing Development & Regeneration Team Leader	MCB Theme	Clear Policy Priorities	Existing Controls	Status	⚠
Description	Policies and strategies do not clearly set out realistic actions to achieve the required outcomes within appropriate timescales with available resource.			Leadership Development Programme (SCS SAP LDP)	Current Score	12

Potential Effect	Unfulfilled objectives, loss of balance between project work and core service delivery, resulting in backlog of unmet demand, or negative reports from regulatory bodies and closer future scrutiny, all with additional reputational damage.			Business Planning Process (SCS SAP BPP)	
Related Actions	Redesign our Estate management service to focus on customer priorities	Commercial Team Leader		CMT & Committee Approval Process (COU COM CMT)	

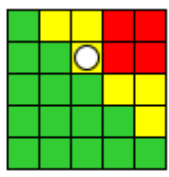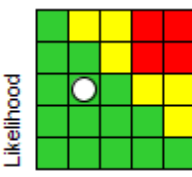| **Focus on Transformation Rather Than Need**		Head of Housing & Community Safety	MCB Theme	Transforming Services	Existing Controls	Status	✓
Description	Transformation itself becomes the goal, rather than addressing the reasons for which transformation is required, such as modernising working practices, exploiting emerging technologies, responding to changing demand, demographics, customer needs and preferences, etc.				Customer Consultation & Communication (SCS SAP CSE)	Current Score	9
Potential Effect	Significant wasted resources and potential impact on productivity and service delivery, while new services and processes may not address the required issues with efficiency and effectiveness declining, rather than improving, and resulting failure to make savings or increase income.				Tenant Participation Strategy (HCS HMG TPS)		
Related Actions	Implement the use of mobile CCTV cameras		Homelessness, Support & Advice Team Leader		Vanguard Principles & Techniques (HCS HCS VAN)		
	Review and redesign the Housing Support Service		Housing Options Team Leader				

Missed Improvement Opportunities		Strategy & Revenues Service Manager	MCB Theme	Making Efficiencies	Existing Controls	Status	✓
Description	Opportunities for improving efficiency are not taken due to a risk averse culture, delays in senior management or elected member decision-making or a lack of long-term planning and vision to identify actions required now to ensure robust and sustainable services are in place to meet future needs.				Making Clackmannanshire Better Programme (SCS SAP MCB)	Current Score	9
Potential Effect	Vanguard principles not rolled out to remaining teams leading to disjointed approaches and continuing inefficiency in areas where working practices require improvement, lack of action contributes to worsening resource pressures and standards fall below those in other authorities, and those expected by regulatory bodies.				Invest to Save Principles & Processes (SCS SCS INS)		
Related Actions	Implement the redesign of the council tax system		Strategy & Revenues Service Manager		Vanguard Principles & Techniques (HCS HCS VAN)		

Lack of Appropriate Governance or Scrutiny	Housing Business Management Team Leader	MCB Theme	Transforming Services	Existing Controls	Status	✅
Description	Failure to effectively manage performance or comply with corporate governance requirements during transitional periods of service redesign, or a lack of scrutiny from senior management or elected members during periods of political instability results in a governance failure.			Governance & Audit Processes (RAG GOV GAP)	Current Score	6
Potential Effect	Potential for harm to individuals and/or financial penalties from insurance claims or breaches of statutory duties, negative publicity and/or attention from audit/regulatory bodies.			CMT & Committee Approval Process (COU COM CMT)		
Related Actions	Housing Officers use the MCB improvement budget in consultation with local communities to maximise its impact.	Tenancy Estate Management Services Team Leader		Covalent Performance Management System (SCS SAP CPM)		

Strategies Do Not Meet Local/Corporate/National Needs	Housing Business Management Team Leader	MCB Theme	Clear Policy Priorities	Existing Controls	Status	✅
Description	Policies and strategies are not fit for purpose due to decisions not taking into account appropriate data, evidence or consultation information, or not being aligned to corporate, community planning or national goals and plans.			Community Safety Partnership Strategy (HCS COS CSP)	Current Score	5
Potential Effect	Focus on the wrong actions and/or outcomes, wasted time and money, duplication or contradiction of actions by other services or partners, failure to meet customer or statutory requirements, associated reputational and legal implications.			CMT & Committee Approval Process (COU COM CMT)		
Related Actions	Review the Housing Allocation Policy	Housing Options Team Leader		Customer Consultation & Communication (SCS SAP CSE)		
	Prepare the strategy and action plan to ensure the housing stock meets the Energy Efficiency Standard in Social Housing (EESSH)	Planned Investment Officer				
	Review and implement the Audit Scotland Housing Benefit requirements	Strategy & Revenues Service Manager				

Corporate Risk

Corporate risks are updated 6-monthly (or more frequently if required) by the Lead (or a delegate), then reviewed by the Corporate Risk Forum and Corporate Management Team before going to Committee.

Council & Community Impact of Welfare Reform		Priority Outcome	1. The area has a positive image and attracts people and businesses; 5. Vulnerable people and families are supported	Status		Change Since Last Review	-
Head of Housing & Community Safety	COU CRR 032			Current Score	12	Target Score	6

Description	The welfare reform agenda increases deprivation in the area, removes between £8 million and £10 million from the local economy and requires the Council to provide additional services and support due to a national priority of reducing welfare expenditure.	
Potential Effect	Potential reversal of efforts to reduce deprivation and improve economic development in the area, as well as reputational, budget and staffing implications of providing new services (the impact of the transfer to Universal Credit cannot yet be quantified).	
Latest Note	Members updated on impacts in March 2016. Housing service is being restructured to try to provide more personal and direct advice for customers and service users. Additional partnerships being considered.	

Related Actions	Implement new, supported bus services in Clackmannanshire	DAE SBP 132	Existing Controls	Scottish Welfare Fund (Crisis & Community Grants)
	Develop and implement Local Employability Strategy 2014-17 action plan	DAE SBP 137		Housing Options Service
	Review current housing support and intensive tenancy management services for all vulnerable tenants/customers (temp and secure accommodation)	HCS SBP 064		Restructured Housing Management Service