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**Report to: Scrutiny Committee**

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**Date of Meeting: 20 December 2016**

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**Subject: Strategy and Customer Services: Half Year Performance**

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

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### **1.0 Purpose**

- 1.1. This report updates committee on the performance for Strategy & Customer Services for six month period from April-September 2016/17.

### **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 supported during this period including:-

Her Majesty the Queen's 90<sup>th</sup> Birthday Beacons  
Centenary of the Battle of the Somme

## Armed Forces Day

3.3 Customer Services - The Service worked with staff, Trade Union representatives and communication colleagues to plan the changes involved in the removal of cash payments from local offices in August 2016 as approved by Council.

3.4 The Speirs Centre and Library Service developed a range of new partnerships with local and national organisations including Alloa BID's (kids events), World Book Night with the Reading Agency, Bookbug Day with BookTrust Scotland, PlayTalkRead mobile service, the Alloa Family Centre for a Family Fun Day' and a 'Tracing Your Family Tree' 6-week course undertaken in partnership with Tullibody Heritage Centre. The service continues to actively engage with local Primary Schools to develop pupil's reading and literacy in contribution to the Attainment Challenge.

An exhibition at the Speirs Centre, and an associated series of lectures, on Alloa's brewing heritage was well received, with many positive and nostalgic comments recorded in the visitor's book.

3.5 Scottishcertificates.org.uk – Scottish Certificate's income was slightly below the income target set in February's budget. Income is sensitive to seasonal fluctuations.

3.6 Community Planning – The key areas of community planning activity during this period have included raising awareness of the Community Empowerment Act and the impact on the Council and partners of the new legislation and its regulations. The other main area of development is Community Justice Transition. Activities have included the development of a Community Justice Strategic Assessment and offender profile for Clackmannanshire and development of new partnership governance and arrangements. A Community Justice partners event was also held at HMP Glenochil in June 2016 which was attended by 40 plus partners.

The Community Planning Partnership Board met in June. Partners received reports on Realigning Children's Services; Community Empowerment; Community Justice; Strengthening the role of Communities; Community Safety and Wellbeing Action Plan; Public Protection Forum and Third Sector Update.

3.7 Community Consultation & Engagement - The Clacks 1000 survey was undertaken during this period. The public consultation on the creation of a Tullibody South Campus concluded and the consultation report was published. Customer Satisfaction Surveys were carried out for the Registrars, Contact Centre, Library and Community Access Point services. Clacksweb was utilised to support consultations on behalf of Social Services, Roads and Transportation and Alva Community Council. The service also supported a major consultation on local services.

3.8 Communications - The team continued to implement the actions related to the Communications and Marketing Strategy including a significant review of the internal website, CONNECT. On external communications the period was dominated by the Scottish Parliamentary election and European Referendum

with publicity on voting registration and voting information published, plus real time results published on social media live from both counts. ClacksWeb has achieved a 3 out of 4-star rating in the SOCITM Better Connected Report, and we also reached 7,500 followers on the corporate Twitter account. Editions of the Grapevine and View were published, with customer feedback continuing to be largely positive.

3.9 Counter Extremism and Serious and Organised Crime - The Council launched a Prevent E-learning course, providing a basic awareness of Prevent counter extremism statutory duties for staff. More in depth training is being provided to staff who work with vulnerable people (teachers and social workers). A Risks and Integrity forum has been established to oversee the Council's Serious and Organised Crime action plan.

3.10 Transformational Progress - The Service is providing ongoing programme management support for the Council's Transformational Programme 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/S1 induction process. Parent/carer engagement remains positive. The income for the period March-September was:-

Lornshill Academy	-	£80,833
Alloa Academy	-	£33,535
Alva Academy	-	£67,106

The Schools are looking at other ways of utilising ParentPay, e.g. to pay for uniforms and technical and home economics subjects.

3.11 Third Sector – The Service continued to support, monitor and advise Third Sector organisations funded by the Council. We engaged with Third Sector partners in a range of policy areas but predominantly Community Justice and Equality and Diversity.

Rape Crisis were supported in recruiting new staff and establishing new premises and are now continuing to provide services locally. Clackmannanshire Women's Aid have changed their organisational status from management co-operative to a registered Charitable Trust which has allowed them to continue to access Scottish Government funding.

A third sector partnership funding application was successfully submitted to the Scottish Government by the service relating to Participatory Budgeting, a key component of our developing community empowerment and engagement approaches.

A £2M regeneration and economic development bid from the Scottish Government for Clackmannan was also successful. Engagement and support was provided to a number of communities and voluntary groups in regard of community development, potential community asset transfers or lease arrangements.

3.12 Emergency Planning – National involvement in converting counter terrorism threats into "normal" risk processes has been on-going for a number of months, with Clackmannanshire acting as East of Scotland representative on

that Committee.

Clackmannanshire have lead responsibility within Scotland for production of the national plan for failure of telecoms. This is the first plan of its kind in Scotland. The Major Emergency Operation Plan was reviewed and updated during the period. Numerous workshops were delivered in relation to Care for People, specifically in regard to rest centre provision.

The Council has been involved in creating new plans both for responding to rabies and oil pollution events. Business continuity workshops were run for head teachers and Asset Management staff. Council Incident Officer training was continued in partnership with the Police College.

3.13 Business Support: - Three customer surveys were circulated within Criminal Justice, Secondary Schools and Member Services. Feedback from these surveys was positive with 100% of respondents satisfied with the service they receive.

3.14 Strategy and Policy – The Service has supported a number of policy areas during the period.. These have included the development of a number of briefings, reports and analysis across a range of themes including Community Empowerment; Community Justice; Deprivation and Poverty, Child Care and Adult Care and Equality and Diversity. Corporate reports including the Corporate Performance Report 15/16 and Corporate Risk and External Audit Actions 15/16 were also completed. The service also continues to play a significant supporting role in the scrutiny review of social services.

#### **4.0 Business Performance**

4.1. 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.

#### **5.0 Achievements**

5.1. A Business Support Officer in Development and Environmental Services led on the successful local introduction of E-building Standards, along with support from his team member and worked closely with external agencies as well as internal customers to ensure the Project was delivered within timescale.

5.2. Successfully securing external funding for Clackmann and for a Participatory Budgeting pilot.

#### **6.0 Opportunities, Challenges & Risks**

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

## 7.0 Sustainability Implications

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

## 8.0 Resource Implications

8.1. *Financial Details*

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

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

8.4. *Staffing*

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

## 9.0 Exempt Reports

9.1. Is this report exempt? Yes  (please detail the reasons for exemption below) 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         | <input type="checkbox"/>            |
| Our communities are more cohesive and inclusive                          | <input checked="" type="checkbox"/> |
| People are better skilled, trained and ready for learning and employment | <input type="checkbox"/>            |
| Our communities are safer  | <input type="checkbox"/>            |
| Vulnerable people and families are supported                             | <input type="checkbox"/>            |
| Substance misuse and its effects are reduced                             | <input type="checkbox"/>            |
| Health is improving and health inequalities are reducing                 | <input type="checkbox"/>            |
| The environment is protected and enhanced for all                        | <input type="checkbox"/>            |
| The Council is effective, efficient and recognised for excellence        | <input checked="" type="checkbox"/> |

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

### 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  not applicable.

### 12.0 Legality

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

### 13.0 Appendices

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

Appendix 1: Covalent Performance Report

### 14.0 Background Papers

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

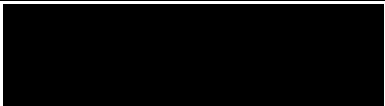
Yes  (please list the documents below) No

## Strategy & Customer Services Business Plan 2016/17

#### Author(s)

NAME	DESIGNATION	TEL NO / EXTENSION
Alison Bryce	Business Support Manager	2433

#### Approved by

NAME	DESIGNATION	SIGNATURE
Stuart Crickmar	Head of Strategy & Customer Services	
Garry Dallas	Executive Director	



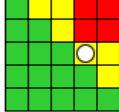










# Strategy & Customer Services

# APPENDIX 1








## Business Plan 2016-17

## Quarter 2 Progress Report


### Key to symbols used in this report



PIs		ACTIONS		RISKS	
Short Trend Compares this quarter's performance with last quarter		Expected Outcome		Current Rating Likelihood x Impact (1 - 5)	Status
	Performance has improved		Already complete		 Rating 16 and above
	Performance has remained the same		Meet target/complete within target dates		 Rating 10 to 15
	Performance has declined		Will complete, but outwith target		 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

Covalent Code	ACTION	By When	Progress	Expected Outcome	Latest Note	Lead
SCS 16 001	Support the Provost to plan & deliver a sustainable programme of civic events in 2016/17 within budget	31-Mar-2017	<div style="width: 85%;"><div style="background-color: #4F81BD; height: 10px;"></div>85%</div>		Kirkin' Of the Council took place on 10th October at Sauchie and Fishcross United Church. The Council were represented at the Remembrance Service on 13th November organised by the Royal British Legion Scotland.	Alison Bryce
SCS 16 002	Provide support for election & referendum in 2016/17	31-Mar-2017	<div style="width: 100%;"><div style="background-color: #4F81BD; height: 10px;"></div>100%</div>		Support was given to Elections Team for the ballot for Muckhart Community Council in October 2016.	Alison Bryce
SCS 16 003	Support consultations on major priorities: · explaining MCB transformations to stakeholders · budget · significant corporate strategies	31-Mar-2017	<div style="width: 50%;"><div style="background-color: #4F81BD; height: 10px;"></div>50%</div>		A large scale corporate consultation completed relating to Tullibody Campus was supported during this period. Significant consultation on local services supported. A consultation on the future of local services was supported. The service continues to support a range of consultation undertaken by Council services through Citizen Space.	Cherie Jarvie
SCS 16 004	Implement Community Justice Transition arrangements	31-Mar-2017	<div style="width: 40%;"><div style="background-color: #4F81BD; height: 10px;"></div>40%</div>		Community Justice transition will come to an end on the 31st March 2017 with CPPs taking responsibility for Community Justice from 1st April 2017. Clackmannanshire's Transition Plan sets the delivery framework over the transition year. Progress is on track at this stage and the outcome is expected to be completed within target.	Cherie Jarvie
SCS 16 005	Develop new Corporate Communications Strategy to support transitional priorities	31-Mar-2017	<div style="width: 10%;"><div style="background-color: #4F81BD; height: 10px;"></div>10%</div>		Desk review of good practice has been undertaken to date.	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.	31-Mar-2017	<div style="width: 10%;"><div style="background-color: #4F81BD; height: 10px;"></div>10%</div>		The LOIP is required to be in place by the 1st October 2017. The LOIP will replace the SOA. Early analysis work undertaken to profile levels of inequality and poverty in Clackmannanshire. Briefings provided to staff and partners on the CEA and LOIPs however detailed guidance is expected in November 2016.	Cherie Jarvie
SCS 16 007	Implement corporate Workforce Planning actions in support of MCB programme	31-Mar-2017	<div style="width: 0%;"><div style="background-color: #4F81BD; height: 10px;"></div>0%</div>		Organisational Development has now transferred to Resources and Governance.	Cherie Jarvie
SCS 16 008	Support the development of Clackmannanshire CLD Strategy	31-Dec-2016	<div style="width: 0%;"><div style="background-color: #4F81BD; height: 10px;"></div>0%</div>		This work has not yet commenced. This was previously a joint strategy with Stirling and will need to be revisited with Education within the context of new operating arrangements.	Cherie Jarvie




Covalent Code	ACTION	By When	Progress	Expected Outcome	Latest Note	Lead
SCS 16 009	Implement Year 2 Gaelic language plan actions	31-Mar-2017	<div style="width: 50%;"><div style="background-color: #0070C0; height: 10px;"></div></div> 50%		The service has responsibility for delivering corporate actions contained in the Gaelic Language Plan. We are progressing these actions - many on a new/replacement basis. Next steps are to raise awareness of Gaelic opportunities and training for staff and communities.	Cherie Jarvie
SCS 16 010	Report annual reviews as part of corporate Public Performance Reporting Framework	28-Feb-2017	<div style="width: 5%;"><div style="background-color: #0070C0; height: 10px;"></div></div> 5%		Reports will be submitted to committee in February 2017.	Cherie Jarvie

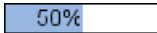

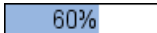

Code	Sub-Action	By When	Progress	Expected Outcome	Latest Note	Lead
SCS 16 010-1	SOA	31-Dec-2016	<div style="width: 10%;"><div style="background-color: #0070C0; height: 10px;"></div></div> 10%		Report will be submitted to committee in February 2017.	Cherie Jarvie
SCS 16 010-2	Local Government Benchmarking Framework	28-Feb-2017	<div style="width: 0%;"><div style="background-color: #0070C0; height: 10px;"></div></div> 0%		Report will be submitted to committee in February 2017	Cherie Jarvie

Covalent Code	ACTION	By When	Progress	Expected Outcome	Latest Note	Lead
SCS 16 011	Implement Corporate Leadership and Development Programme	31-Mar-2017	<div style="width: 0%;"><div style="background-color: #0070C0; height: 10px;"></div></div> 0%		Corporate Leadership and Development has now transferred to Resources and Governance.	Cherie Jarvie
SCS 16 012	Develop new Leisure Strategy, in partnership with Education Services	31-Dec-2016	<div style="width: 20%;"><div style="background-color: #0070C0; height: 10px;"></div></div> 20%		Work on strategic framework has commenced. This work will need to tie-in with budget consideration in regard of the shape of local services and affordability; therefore this work will be delayed until Q1 of 2017/18.	Brian Forbes








## MCB2 Increasing Income & Savings

Code	Description	2013/14	2014/15	2015/16	2016/17	Q2 2016/17		Q2 2016/17 Note	Lead
		Value	Value	Value	Target	Value	Short Trend		
BUS AB1 GOV	Average FTE Days Sickness Absence (Business Support)		8.83	12.54	7	2.56	↓	A slight rise in comparison with Q2 last year. This is attributable to long-term sickness absence. The Service continues to work with staff to support them back to work wherever possible.	Alison Bryce
CUS AB1 GOV	Average FTE Days Sickness Absence (Customer Services)		18.13	11.22	8	2.63	↑	Similar level to Q2 last year, whilst slight reduction in Q2 2016/17 of 2.63 compared to 3.29 in Q1 of this year.	Brian Forbes
SAP AB1 GOV	Average FTE Days Sickness Absence (Strategy & Performance)		8.93	3.88	8	3.21	↓	An increase when compared with quarter 2 of last year. This is attributable to long-term sickness absence and the service continues to support staff back to work as per Council policy.	Cherie Jarvie
SCS AB1 GOV	Average FTE Days Sickness Absence (Strategy & Customer Services)	9.1	11.3	10.62	8	2.64	↓	There is a slight increase in absence compared with Q2 last year. This is attributed to long-term sickness absence. The Service continues to implement the Corporate Absence Management Policy and support staff in their return to work.	Alison Bryce; Stuart Crickmar; Brian Forbes; Cherie Jarvie
SCS SCS BUD	Budget savings (£000)	272.83	310.00	220.00	898.00	707.00	↓	At this stage we are forecasting approximately 80% of savings will be achieved. Unachievable savings are largely due to TVR rejections and, to a lesser extent, less than predicted income for Scottish Certificates. Whilst there is little we can do about TVR rejections, a marketing plan is being developed to improve certificates income.	Alison Bryce; Brian Forbes; Cherie Jarvie

Covalent Code	ACTION	By When	Progress	Expected Outcome	Latest Note	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	31-Mar-2017	<div style="width: 100%;"><div style="width: 100%; background-color: #4f81bd; color: white; text-align: center;">100%</div></div>		30-Sep-2016 New prices implemented from 1 April 2016.	Brian Forbes

SCS 16 014	Increase income levels from Scottish Certificates replacement certificate service	31-Mar-2017			Income target of £130k plus staff operating costs of 2 FTEs (£50k) ie £180k was set in 2016/17 budget. Income in first 6 months was £81.5kk - giving annual outturn of £163k – leaving a potential deficit of £17k.. A marketing plan is currently being developed in partnership with Stirling University to help increase income.	Brian Forbes
SCS 16 015	Deliver a programme of approved budget savings	31-Mar-2017			This update is now provided separately to Audit & Finance Committee. It is not likely that all savings will be delivered on basis on rejected TVR.	Alison Bryce; Stuart Crickmar; Brian Forbes; Cherie Jarvie

## MCB3 Making Efficiencies


Code	Description	2013/14	2014/15	2015/16	2016/17	Q2 2016/17		Note	Lead
		Value	Value	Value	Target	Value	Short Trend		
SCS FOI GOV	% FOI enquiries responded to within timescale - Strategy & Customer Services	85.7%	97.1%	90.6%	100.0%	86.7%		21 enquiries received in Q1 and Q2, with 18 being dealt within timescale. The three enquiries responded to outwith timescale was due to the level of detail required in responding to enquiries which required discussion with other Services, hence the delay. Nevertheless we will be reviewing our approaches to ensure we meet these targets.	Brian Forbes
BUS BUS 002	Customer satisfaction with overall experience of Business Support	85.2%	100.0%	99.7%	95.0%	100.0%		In Q2, one Customer Survey was undertaken in Criminal Justice. 100% of customers who completed the survey were satisfied with the Service provided. There was a response return of 69%.	Alison Bryce
CUS CAP 001	Satisfaction with overall experience of Community Access Points	97.6%	98.5%	98.7%	99.0%	DIV/0		Given staff capacity issues, it has been agreed to undertake surveys every 6 months as opposed to every 3 months. Data not yet available.	Brian Forbes
CUS CTC 003	Satisfaction with overall experience of the Contact Centre	90.4%	89.8%	97.6%	98.0%	DIV/0		Given staff capacity issues, it has been agreed to undertake surveys every 6 months as opposed to every 3 months. . Data not yet available.	Brian Forbes
CUS LIB 005	% of population who regularly use the library (based on recorded footfall)	12.10%	8.90%	7.90%	8.00%	17.7%		This indicator was updated in 2016/17 to measure total footfall of local offices, as opposed to simply book borrowing. This explains the increase in % value and better reflects the usage of local offices.	Brian Forbes
SCS CNQ BUS	% of Councillor Enquiries dealt with by Strategy & Customer Services within timescale	69.2%	72.6%	100.0%	100.0%	33.3%		Three enquiries received and two responded to outwith timescale. This was due to extensive investigation into one enquiry relating to risk assessments and the need to analyse a significant amount of data regarding the other. We are not happy with this performance, therefore closer monitoring will result to ensure quicker turnarounds.	Stuart Crickmar
SCS CUS C01	Number of formal complaints received by Strategy & Customer Services	14	12	17	9	4		1 complaint was upheld, 1 complaint was partially upheld and 2 complaints were not upheld.	Brian Forbes








Code	Description	2013/14	2014/15	2015/16	2016/17	Q2 2016/17		Q2 2016/17 Note	Lead
		Value	Value	Value	Target	Value	Short Trend		
SCS CUS C03	% formal complaints dealt with by Strategy & Customer Services that were upheld/partially upheld	64.3%	92%	76.5%	50%	50%	↑	1 complaint upheld/1 complaint partially upheld	Brian Forbes
SCS CUS C10	Percentage of formal complaints closed within timescale during period - Strategy & Customer Services			94.1%	100.0%	100%	?	All complaints closed within timescale.	Brian Forbes
SCS MPQ BUS	Percentage of MP/MSP enquiries dealt with by Strategy & Customer Services within timescale		55.5%	75.0%	100.0%	100.0%	?	100% of MP/MSP enquiries dealt within timescale.	Alison Bryce; Stuart Crickmar


Covalent Code	ACTION	By When	Progress	Expected Outcome	Latest Note	Lead
SCS 16 016	Strategy & Customer Services will demonstrate high standards of people management	31-Mar-2017	<div style="width: 100%;"><div style="width: 100%;"></div></div> 100%	✓	Regular team meetings are held across all areas of Strategy & Customer Services. Line managers have been tasked with ensuring all PRDs are completed timeously, regular 1-1s are carried out and support and guidance provided to staff, where required. Council and Service updates are communicated via 1-1s and through the Council's agreed cascade process. HR advisers regularly attend Management Meetings and Team Meetings, as well as meeting Service Managers on a regular basis.	Alison Bryce; Stuart Crickmar; Brian Forbes; Cherie Jarvie


Code	Sub-Action	By When	Progress	Expected Outcome	Latest Note	Lead
SCS 16 016-1	Develop, with staff involvement, clear service L&D priorities linked to objectives, risk and opportunities	31-Aug-2016	<div style="width: 100%;"><div style="width: 100%;"></div></div> 100%	✓	PRD's are now complete with appropriate training and development having been identified. Training bids have been submitted. Further work to be undertaken to identify future skills required in line with the workforce plan.	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	31-Aug-2016	<div style="width: 100%;"><div style="width: 100%;"></div></div> 100%	✓	All PRD's complete and sample assessment undertaken in each area.	Alison Bryce; Stuart







Covalent Code	ACTION	By When	Progress	Expected Outcome	Latest Note	Lead
SCS 16 017	Ensure that Strategy & Customer Services operates to very highest standards of Governance	31-Mar-2017	56%		See above.	Alison Bryce; Brian Forbes; Cherie Jarvie

Code	Sub-Action	By When	Progress	Expected Outcome	Latest Note	Lead
SCS 16 017-1	Complete review of service information and records management, including data security and anti-fraud processes & improve staff awareness & development	31-Oct-2016	100%		The Service have reviewed records and continue as an on-going process to e-destroy files in line with the Records Management Policy. A Corporate File Structure will be rolled out in December 2016.	Alison Bryce; Brian Forbes; Cherie Jarvie
SCS 16 017-2	Complete detailed workforce planning exercise as part of corporate arrangements	30-Jun-2016	100%		A Workforce Plan has been completed and this is informing the services strategic development.	Alison Bryce; Brian Forbes; Cherie Jarvie
SCS 16 017-3	Ensure full deployment of H&S policy and procedures	30-Jun-2016	100%		Health and Safety including risk assessments are discussed at monthly Service Development Meetings. Risk Assessments are reviewed on a regular basis ensuring staff are aware of these.	Alison Bryce; Brian Forbes; Cherie Jarvie
SCS 16 017-4	Review corporate deployment of Equality & Diversity approaches	31-Oct-2016	50%		A review of progress against Equality Outcomes agreed in 2013 is underway and work to establish new outcomes has commenced. Evidence of both areas of work is required to be submitted to the Scottish Government by April 2017.	Cherie Jarvie
SCS 16 017-5	Review corporate Community Engagement approaches in light of the CE Act and hubs development	31-Dec-2016	50%		This action relates to the review of community engagement approaches in light of implementation of the Community Empowerment Act. The Council and partners contributed to the national consultation on CEA and the service has prepared briefings on the impact of CEA. Draft policy documents to support implementation are in place and have been shared with Alliance partners.	Cherie Jarvie
SCS 16 017-6	Deploy robust service approaches to project management	31-Mar-2017	50%		The service provides programme support for the Corporate Transformation project. Project Management skills has been included in the service Learning and Development training bid for 16/17.	Cherie Jarvie
SCS 16 017-7	Ensure deployment of the corporate Prevent delivery plan	31-Mar-2017	40%		Progress is being made against the Prevent delivery plan. In the past 6 months an elearning course was implemented via OLLE and WRAP training continues to be provided for those staff identified in the Training Needs Analysis.	Stuart Crickmar

Code	Sub-Action	By When	Progress	Expected Outcome	Latest Note	Lead
SCS 16 017-8	Ensure deployment of the corporate Serious Organised Crime delivery plan	31-Mar-2017	<div style="width: 50%;"><div style="background-color: #4f81bd; height: 10px;"></div></div> 50%		Progress continues to be made against the Serious Organised Crime Plan. This has included completion of the Serious and Organised Crime Risk self-assessment and implementation of a new Risks and Integrity Forum tasked with taking forward implementation of the plan.	Stuart Crickmar


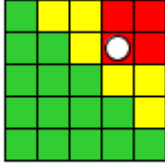
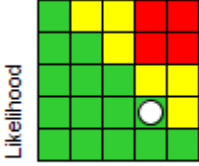
Covalent Code	ACTION	By When	Progress	Expected Outcome	Latest Note	Lead
SCS 16 018	Secure corporate approval on a sustainable improvement framework	30-Jun-2016	<div style="width: 100%;"><div style="background-color: #4f81bd; height: 10px;"></div></div> 100%		Corporate self assessment has been completed in 16/17	Stuart Crickmar


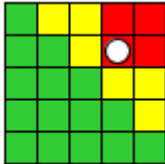
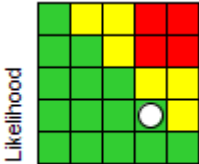
### MCB4 Transforming Services


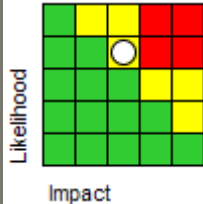
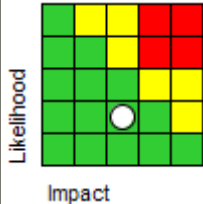
Covalent Code	ACTION	By When	Progress	Expected Outcome	Latest Note	Lead
SCS 16 019	Transform CAP/Leisure service provision in Clackmannanshire as per the approved Year 1 Community Investment Programme	31-Mar-2017	<div style="width: 50%;"><div style="background-color: #4f81bd; height: 10px;"></div></div> 50%		Staff related savings have been largely implemented and achieved. Community Investment related activity has been superseded as per Council decision in August pending further public consultation of the model for local public services.	Stuart Crickmar
SCS 16 020	Implement Service workforce planning review to ensure sustainable service provision	31-Dec-2016	<div style="width: 100%;"><div style="background-color: #4f81bd; height: 10px;"></div></div> 100%		The workforce plan has been developed and budgetary plans are now closely linked with it.	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	31-Dec-2016	<div style="width: 50%;"><div style="background-color: #4f81bd; height: 10px;"></div></div> 50%		The Alliance asked for further revisions to the plan, which was delayed as a result. However, the plan is now finalised and good progress has been made on many aspects. Given the delay, a December completion date is not likely.	Stuart Crickmar
SCS 16 022	Transform arrangements for storage and presentation of Council Archives & Local Collections in Lesser Speirs Hall	31-Oct-2016	<div style="width: 50%;"><div style="background-color: #4f81bd; height: 10px;"></div></div> 50%		An unforeseen issue relating to floor strengthening means initial timescale will not be met. However, this has now been resolved and an updated timescale is complete move by March 2017.	Brian Forbes



## Service Risk Register 2016-17


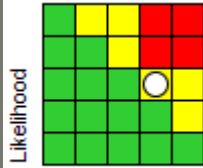
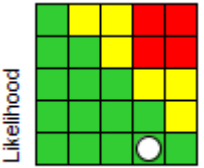
<b>ID &amp; Title</b>	SCS 15 001 Corporate Governance non-adherence	<b>Approach</b>	Treat	<b>Status</b>		<b>Managed By</b>	Alison Bryce; Brian Forbes; Cherie Jarvie	<b>Current Rating</b>	16	<b>Target Rating</b>	8
<b>Description</b>	Corporate governance requirements not adhered to								16		
<b>Potential Effect</b>	Reputational damage; loss of confidence, legal action										
<b>Related Actions</b>	SCS 16 017	Ensure that Strategy & Customer Services operates to very highest standards of Governance	<b>Internal Controls</b>	Governance Strategy Staff induction and development			<b>Impact</b>				<b>Impact</b>
<b>Latest Note</b>	25-Nov-16 All managers and team leaders have attended training on specific areas of governance through the Corporate Leadership Programme. In addition the Service has 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.										

<b>ID &amp; Title</b>	SCS 15 006 Loss of key skills, knowledge or capacity	<b>Approach</b>	Treat	<b>Status</b>		<b>Managed By</b>	Alison Bryce; Stuart Crickmar; Brian Forbes; Cherie Jarvie	<b>Current Rating</b>	16	<b>Target Rating</b>	8
<b>Description</b>	Loss of key skills, knowledge or capacity due to contraction of service and staff base								16		
<b>Potential Effect</b>	Decline in service provision; tasks not delivered; decline in staff moral; customer dissatisfaction										
<b>Related Actions</b>	SCS 16 016-1	Develop, with staff involvement, clear service L&D priorities linked to objectives, risk and opportunities	<b>Internal Controls</b>	Workforce Planning Process			<b>Impact</b>				<b>Impact</b>
	SCS 16 019	Transform CAP/Leisure service provision in Clackmannanshire as per the approved Year 1 Community 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									
<b>Latest Note</b>	25-Nov-2016 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, with ongoing pressures as the workforce contracts during a time of rising demand and expectation.										

<b>ID &amp; Title</b>	SCS 15 002 Community engagement/communications failures	<b>Approach</b>	Treat	<b>Status</b>		<b>Managed By</b>	Cherie Jarvie	<b>Current Rating</b>	12	<b>Target Rating</b>	6
<b>Description</b>	Community engagement/communications failures										
<b>Potential Effect</b>	Breakdown in trust Lack of buy-in Decisions not aligned with community aspiration Reputational damage Loss of confidence										
<b>Related Actions</b>	SCS 16 005	Develop new Corporate Communications Strategy to support transitional priorities	<b>Internal Controls</b>	Community Engagement Process							
	SCS 16 017-5	Review corporate Community Engagement approaches in light of the CE Act and hubs development		Single Outcome Agreement							
<b>Latest Note</b>	25-Nov-2016 We have deployed Citizen Space for engaging/consulting with communities and have developed a consultation toolkit for staff to help improve consistency in consultation activity. We continue to develop mechanisms for consulting/engaging with customers. We have implemented face to face engagement through Community Councils and continue to focus our engagement efforts through Community Councils and Tenants and Residents Federations. This risk has increased in score as a result of fewer resources available to support this work in 16/17 and Clacks 1000 feedback. Engagement continues across a number of communities on a regular basis with good progress being made on several community development and empowerment initiatives.										


<b>ID &amp; Title</b>	SCS 15 007 Failure to ensure effective partnership working	<b>Approach</b>	Treat	<b>Status</b>		<b>Managed By</b>	Cherie Jarvie	<b>Current Rating</b>	12	<b>Target Rating</b>	6
<b>Description</b>	Failure to ensure effective partnership working to support Community Planning										
<b>Potential Effect</b>	SOA objectives not met Breakdown in trust and reputational damage Loss of confidence Lack of joined up services and budget savings not met										
<b>Related Actions</b>	SCS 16 004	Implement Community Justice Transition arrangements		<b>Internal Controls</b>	Community Engagement Process						
	SCS 16 006	Refresh Single Outcome Agreement (LOIP) and consult and/or refine locality plans as per requirements of the CE Act 2015.			Single Outcome Agreement						
	SCS 16 017-5	Review corporate Community Engagement approaches in light of the CE Act and hubs development									
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										
<b>Latest Note</b>	<p>27-Sep-2016 A review of governance has taken place with a new CPP Board meeting for the first time in March 2016. The Board is supported by the Alliance Executive Group which meets on a quarterly basis. The Memorandum of Understanding was updated in March 2016 to reflect the governance changes.</p> <p>Furthermore the CPP Executive Group developed guidance and priorities for each partnership team for 16/17. Detailed Action Plans for each partnership have now been received and approved by the Alliance Board.</p>										

<b>ID &amp; Title</b>	SCS 15 003 Failures of communication with staff	<b>Approach</b>	Treat	<b>Status</b>		<b>Managed By</b>	Alison Bryce; Stuart Crickmar; Brian Forbes; Cherie Jarvie	<b>Current Rating</b>	9	<b>Target Rating</b>	6
<b>Description</b>	Failures of communication with staff										
<b>Potential Effect</b>	Loss of morale Loss of efficiency										
<b>Related Actions</b>	SCS 16 016	Strategy & Customer Services will demonstrate high standards of people management		<b>Internal Controls</b>	Communications Strategy						
<b>Latest Note</b>	25- Nov-2016 A number of communication tools have been implemented in the Service including formal cascade, extended management meetings and regular team meetings in each service area with agreed standing agenda items. The focus of Service communication over Q1/Q2 has been on the change and budget reductions.										



<b>ID &amp; Title</b>	SCS 15 004 Failure to meet required budget savings	<b>Approach</b>		<b>Status</b>		<b>Managed By</b>	Alison Bryce; Stuart Crickmar; Brian Forbes; Cherie Jarvie	<b>Current Rating</b>	16	<b>Target Rating</b>	4
<b>Description</b>	Failure to meet required budget savings								16		4
<b>Potential Effect</b>	Financial loss; Reputational damage										
<b>Related Actions</b>	SCS 16 015 Deliver a programme of approved budget savings			<b>Internal Controls</b>	Budget Challenge & Financial Monitoring						
	SCS 16 017-6 Deploy robust service approaches to project management										
<b>Latest Note</b>	25-Nov-2016 This is now a reality. The service has been unable to achieve all identified budget savings for 16/17 as a result of a lower than anticipated uptake of TVR. Given the current outturn on budget, compensatory savings are very unlikely.										


## Internal Audit and Fraud Progress Report: Strategy & Customer Services


### Information Governance

<b>AUDIT FINDING</b>	IAF IGA 06	Officers involved in the administration and management of documentation and records have only received limited training.	<b>Priority</b>	2	<b>Sign-off</b>	No	
<b>Agreed Action</b>		<b>Original Due Date</b>	<b>Due date</b>	<b>Status</b>	<b>Progress</b>	<b>Latest Note</b>	<b>Lead</b>
SCS IGA 06	This will be considered in phase 2 of the Records Management Project. Phase 2 is yet to be scoped.	31-Mar-2016	31-Mar-2016		<div style="width: 100%;"><div style="width: 100%; background-color: #4f81bd; height: 10px;"></div></div> 100%	HR Services have prepared a revised induction programme which includes records management and data protection. A draft competency framework for records management has been prepared for inclusion in the Records Management Plan, to be submitted to the Keeper of Records in November.	Cherie Jarvie

### Leisure Income

<b>AUDIT FINDING</b>	IAF LIA 01	Special Agreements have not yet been cancelled.	<b>Priority</b>	3	<b>Sign-off</b>	No	
<b>Agreed Action</b>		<b>Original Due Date</b>	<b>Due date</b>	<b>Status</b>	<b>Progress</b>	<b>Latest Note</b>	<b>Lead</b>
RAG LIA 01	The letters to cancel the special agreement letters have not been sent out.	31-Mar-2016	31-Mar-2016		<div style="width: 95%;"><div style="width: 95%; background-color: #4f81bd; height: 10px;"></div></div> 95%	30-Sep-2016 All historical Special Agreements have been identified and action taken to terminate these arrangements where we legally can. Significant progress has been made in all areas, although this has been significantly more resource-intensive than first envisaged. There are now a very few follow up actions required to conclude termination of historical arrangements.	Brian Forbes
<b>AUDIT FINDING</b>	IAF LIA 02a	Some lack of control over the use of the Fitness Suite at the three Academies.	<b>Priority</b>	3	<b>Sign-off</b>	Yes	03-Oct-2016
<b>Agreed Action</b>		<b>Original Due Date</b>	<b>Due date</b>	<b>Status</b>	<b>Progress</b>	<b>Latest Note</b>	<b>Lead</b>
RAG LIA 02a	Supervisors should carry out spot checks when they carry out monthly checks on the cash floats.	31-Mar-2016	31-Mar-2016		<div style="width: 100%;"><div style="width: 100%; background-color: #4f81bd; height: 10px;"></div></div> 100%	30-Sep-2016 Supervisors now tasked with undertaking spot checks as part of their role.	Brian Forbes

<b>AUDIT FINDING</b>	IAF LIA 02b	There is currently no budget provision for repair or replacement of fitness suite equipment.				<b>Priority</b>	3	<b>Sign-off</b>	No	
<b>Agreed Action</b>		<b>Original Due Date</b>	<b>Due date</b>	<b>Status</b>	<b>Progress</b>	<b>Latest Note</b>			<b>Lead</b>	
RAG LIA 02b	Budget issues will be addressed by service	31-Mar-2017	31-Mar-2017		<div style="width: 100%;"><div style="width: 100%; background-color: #4f81bd; color: white; text-align: center;">100%</div></div>	Small budget of £1k per annum per PPP school is available for consumables and repairs. Consideration given to submitting Capital bid for future years..			Brian Forbes	

<b>AUDIT FINDING</b>	IAF LIA 04	The interim 2013-15 Leisure and Sports Strategy is now out of date.				<b>Priority</b>	3	<b>Sign-off</b>	No	
<b>Agreed Action</b>		<b>Original Due Date</b>	<b>Due date</b>	<b>Status</b>	<b>Progress</b>	<b>Latest Note</b>			<b>Lead</b>	
RAG LIA 04	Draft Leisure Strategy	31-Mar-2016	31-Mar-2016		<div style="width: 20%;"><div style="width: 20%; background-color: #4f81bd; color: white; text-align: center;">20%</div></div>	25-Nov-2016 This work is inextricably linked with the future of local service provision, which has recently been the subject of a major public consultation. Work on strategic framework has commenced. This work will need to tie-in with budget consideration in regard of the shape of local services and affordability; therefore it will be delayed until Q1 of 2017/18.			Brian Forbes	