CLACKMANNANSHIRE COUNCIL

Report to: Scrutiny Committee

Date of Meeting: 31 August 2017

Subject: Resources & Governance Finance & Performance Annual
Report

Report by: Head of Resources & Governance

1.0   Purpose

1.1.   This paper reports to Committee Resources & Governance performance for 2016 /17.

1.2.   The report highlights service activity, achievements and performance between 1 April 2016 and 31st March 2017.

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

2.0   Recommendations

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

3.0   Service Activity - key issues

3.1   Introduction

3.1.1   The Resources and Governance Service's vision is to ensure that financial and human resources, IT systems and governance processes are aligned to the strategic aims of the organisation to facilitate the delivery of the Council's corporate priorities in a legally compliant, cost effective and efficient way.

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

3.2 Service Activity

3.2.1 Cross-Service

On January 1st 2017 operational responsibility for the Assets service was transferred to the Development and Environment Service and the Housing and Community Safety Service. Planning for this transfer commenced in September 2016. This report will not reflect developments in the Assets service. Budgets were not transferred until the start of the 2017-18 financial year so financial information is included.

A service level agreement was proposed to the Central Scotland Assessors for the services it receives from Resources and Governance. This followed discussions between the Assessor and Head of R&G as both are keen to place arrangements on a firmer footing to reflect both costs and quality of service expectations.

All services have been involved in various ways with the establishment of the Health and Social Care Partnership (HSCP) and establishment of the integrated joint Board.

All services have continued to focus on service redesign based on the transformation model underpinning the R&G business plan. This has a particular focus on the introduction of new technology and where possible the managed contraction of posts. The Service is now reaching a point where further reductions cannot be facilitated without significant changes in the nature of the demand on the Service. Staff are demonstrating flexibility and innovation in the way they are carrying out their roles and seizing opportunities to improve services and create efficiencies.

3.2.2 Human Resources and Health and Safety

The implementation of the full service redesign brought together HR Business Partners, HR Admin, Payroll, iTrent, Health and Safety and Organisational Development.

The aim was to achieve corporate savings whilst ensuring the delivery of a professional advisory service embedding business partnering across the organisation, delivering a streamlined delivery of payroll using technological improvements, embedding a culture of health and safety. In short, ensuring staff engagement and development are at the heart of everything HR do whilst embracing new technologies to progress the transformational agenda.

Organisational Development functions have successfully integrated into HR Services and significant work has been undertaken with regards to changes to the corporate personal review and development (PRD) process, learning and development policy, updating, rebranding and relaunching of Clacks Academy (OLLE), toolbox talks, development of the learning events module of iTrent, revision and implementation of the training needs analysis process and development of the new workforce plan.

In addition the competency framework guidance has been reviewed and updated and will be launched with the revised digital PRD process being developed in iTrent, Continued engagement/contribution towards HSCP events including staff engagement, workforce planning, workforce development and training framework.

A timetable of training has also been created which will be launched in 17/18.

Applications for early exit continue to be progressed through HR. 237 VS/VR applications were processed comprising 58 VR and 179 VS. To date, 26 staff have left or will leave on VR and 24 on VS.

The iTrent team continues to develop and deliver improved processes including continued work with the One Council system regarding the payroll costing structure. Data load templates have been built for claims relating to overtime and additional hours which, when fully tested and signed off, will free up significant capacity within the payroll team as this will remove requirement for manual entry. User focus groups have been established. The system was successfully developed to accommodate the new legislative changes regarding the Apprenticeship Levy and IR35 (off payroll payments) as well as development and implementation of the learning events module.

The HR Business Partners (HRBPs) provide advice and guidance to all service areas, attending Service Management meetings, bipartites with Trade Union and management as well as undertaking the full generalist remit. Significant resource has been utilised throughout the year in supporting services with informal staffing issues but also formal investigations, disciplinary, absence management, capability, grievance. From October 2016 to March 2017, 60 formal cases have been supported. In addition HRBPs support services with service redesign, TVR, Occupational Health/Welfare meetings, briefings, exit strategies, recruitment/assessment centres, guidance on employment law and interpretation of policy and practice. Also work is ongoing in relation to policy review and development.

Payroll are engaging with the Council's External Auditors to provide assurance regarding payroll processes and accuracy of payments ensuring sufficient checks and balances are in place. Significant work took place to ensure all year end returns including year end submissions to Scottish Public Pensions Agency and Local Government Pensions Scheme (LGPS) were completed accurately and on time. Discussions are about electronic monthly submissions to LGPS with iCONNECT (intermediary interface procured by LGPS). Payroll processes continue to be streamlined by automation and further development of iTrent.

In relation to Health and Safety (H&S) an external review of the H&S management system was undertaken by Gallagher and Bassett and a number of recommendations identified for review and implementation within the Council.

The winter flu vaccination programme was set up and co-ordinated by the H&S team in October. In total 706 vaccinations were requested.

The annual H&S report was produced and issued. Key priorities include fire risk assessment updating for all Council Buildings and review of Council H&S policies/procedures and preparing the Council's response to the auger incident and one further accident currently being investigated by HSE.

3.2.3 Legal and Democratic Services

The Legal team experienced considerable turnover in the year and absence due to Long Term Sickness. One of the posts has been filled on an interim

basis but for much of the year the team was working below complement and with an Acting Service manager.

The achievements of the team and the overall level of legal support provided to the Council during the year were of high standard given the situation in regard to staffing. Beyond the core work detailed below, the legal team provide ad hoc legal advice on a range of diverse issues.

A programme of council house sales was completed. Complex transactions of former council buildings, including the former HQ building on the Greenfield site were progressed to completion either in the year or early in 2017-18 and a number of commercial transactions took place to support the regeneration of Clackmannan.

The committee services team was transferred into Legal services to support a continuity of service to committees. This work was particularly challenging given the review of the committee structures that took place following the changes to the political administration. Re-drafts of the Scheme of Delegation were prepared and re-issues of Standing Orders were carried out in line with the commitments in R&G Business Plan for 2016-17.

Support was provided to social work including the conclusion of 3 permanence order cases that were heard in the Court of Session and were, from the Council's point of view, successfully concluded. Additionally support was given in regard to 2 social work complaints review committees

The Legal team provided advice in a range of disciplinary and capability cases which as highlighted in the HR section has shown a steady increase in workload in recent years.

The democracy team has an overall responsibility for FOI policy and the workload is set out below. The number of FOIs/EIRs received continues to rise, however the number of reviews requested has come down this year from last. The team continue to provide services with advice and guidance in responding to FOIs and carry out reviews

Annual FOI stats

Service	FOIs/EIRs received	Reviews	Appeals to Scottish Information Commissioner
Development & Environment	291	0	
Education	120	1	
Housing & Community	205	1	
Resources & Governance	255	1	
Social Services	118	1	
Strategy & Customer Services	45	1	
Totals	**1034**	**5**	**0**

The Scottish Parliamentary election and the EU Referendum were successfully delivered. The short timescale between the events, although challenging, was well managed by the team and the services who provide support to elections.

Preparations were made for the Local Government Election and the snap UK general election. The Returning Officer, her deputes and key count staff attended a training session in February for the electronic count system. The session was well received by the staff and helped address any concerns the RO had.

3.2.4 **Information Technology**

The Service supports and maintains ICT accounts for approximately 1300 headquarters staff, 550 teachers and 6000 school students looking after more than 4000 computers in schools and 2000 computers in headquarters.

Cybersecurity continues to be a growing issue and the service is actively involved in monitoring and protecting Council systems. As an example, the Council email systems receive approximately 40000 emails per day. Of those, approximately 29000 were blocked as they contained harmful content in the form of spam, phishing attacks or viruses. The Council was subject to two cyber attacks in this period, both of which were contained quickly with minimal impact on the Council.

In addition to routine support, the team has been active in upgrading equipment in schools with a number of projects. Phase 1 of new high speed Wi-Fi installed (344 access points across 23 establishments) and now supporting more than 1000 iPads in use in schools each day; 255 laptops were replaced across 6 primary schools as part of the rolling hardware refresh programme. Secondary schools received 20 Apple TVs, 85 laptops, 250 desktops, and 155 iPads. 21 new large interactive display screens replaced whiteboards in classrooms. All redundant equipment was disposed of in accordance with the Council's obligations under the WEEE directive.

Good progress has been made to simplify and modernise the underlying infrastructure which supports all council systems leading to improved reliability and simplified management. Some specific examples include major pieces of work relate to upgrades of storage systems and remote access management. Storage requirements continue to grow year on year. Managing and reducing storage requirements is a key activity in reducing costs, improving information management and complying with the Records management plan. The ICT service manages over 1.8 million documents in the Electronic Document Management System, and looks after the storage, backup and management of almost 50 Terabytes of information on our file servers. For context 1 terabyte is the equivalent of 250 million printed pages or 500,000 digital photographs.

The Service was responsible for the development of Records Management Plan to satisfy statutory requirements under the Public records Scotland Act and developing policies on records Management and Data Retention to support the plan. The Plan was presented to the Keeper during 2016-17 and was finally signed off following some minor amendments that were requested in early 2017-18

The service has had to manage a number of challenges arising from building issues with the main server room facility in Kilncraigs. A power spike damaged equipment leading to a significant outage which caused the unavailability the Benefits system for a week in November. While no data was lost in this incident, the incident highlighted failings in the way backups were being taken. This has led to a review of processes and improvements have been made to Business continuity processes which mean that should such an event occur again, the recovery time would be much faster. The building issues have now been resolved satisfactorily.

The service supports the databases and systems which are used by the Council's major software systems, with resource dedicated to supporting social care systems and financial systems. A focus of work this year has been on supporting the implementation of the new Technology One finance system and in developing new processes and interfaces which allow information to be moved seamlessly between systems with minimal human intervention. Notable pieces of work include automating payments and invoicing to residential care providers saving approximately 2 days work per week.

Significant effort has gone into reviewing and managing contracts for ICT systems in order to drive down costs and in pursuing savings targets in print and telephony.

The service continues to provide advice and support for council-wide programmes including Digital Scotland Superfast Broadband, and City Deal.

The ongoing managed contraction of the workforce and consequent reorganisations has resulted in having to support a number organisational moves including: refitting Council Chambers and providing a delegate management system, support for a number of local and national elections; provision of remote access to partner working in NHS and to enable Internal Audit services to be delivered from Falkirk.

Key challenges now include driving the required digital transformation agenda and resourcing change while managing a contracting workforce.

3.2.5 **Accountancy and Procurement**

The Accountancy Team fulfilled its statutory responsibilities to provide an Annual Report and Accounts. Budgeting activity and outturn monitoring to support Services and the Executive Team were ongoing throughout the year.

The key achievement of the year was the implementation of the Council's new finance ledge system. This has been a major piece of work that has transformed the way in which the Council manages its finances. Tech One provides market leading financial software and the Council has been one of the first local authorities in the UK to procure it. The change programme has had its challenges. Many of the Council's processes were outdated, and the implementation has highlighted a number of areas where financial processes required considerable improvement from both the efficiency and the governance side.

Tech One has had challenges in resourcing the Council's project and there has been regular dialogue between R&G management and senior

representatives. The resourcing challenges have hampered the benefits realisation programme and restructuring activity that the Service has been planning to undertake. This however does not detract from the huge step forward that the Council has made in the management of its finances.

The implementation has been managed by a project Board led by the Head of R&G. This was supported by a user groups and substantial training has been delivered to staff across the Council

A report on the Council's procurement activity was presented to the Audit and Finance Committee in December 2016 alongside an interim procurement strategy. Several new pieces of legislation have changed the regulatory framework for public procurement across the Scottish public sector in particular the Procurement Reform (Scotland) Act 2014.

This introduced a new procurement regime in Scotland which will sit alongside European procurement rules. These will apply to Local Authorities as "contracting authorities" and will apply to "regulated contracts": which are works contracts with value equal to or greater than £2m and services or supplies contracts with value equal to or greater than £50k. R&G undertook to review its procurement activity and objectives in 2017-18 and undertake a wide stakeholder consultation to inform a longer term strategy.

3.2.6 Internal Audit

Internal Audit presented an Annual Report as part of the preparation of the Annual Report and Accounts. Internal Audit's Annual Plan for 2016/17 was agreed by Resources and Audit Committee on 25 February 2016. The Plan proposed 19 main assignments. The departure of the Internal Audit and Fraud Team Leader during the year, as well as various other staffing changes, impacted on the delivery of the Plan. 11 of the 19 planned assignments were completed.[1]

 While this falls short of completion of all planned work, it does support a balanced and evidence based opinion on the overall adequacy of the Council's control environment.

On the basis of the work undertaken, Internal Audit provided "Reasonable Assurance" in relation to the Council's arrangements for risk management, governance, and control for the year to 31 March 2017.

Following the Audit and Finance Committee in January and the Council meeting on the 9th February, approval was given by Council to progress to an agreement for joint working consortium audit arrangements with Falkirk Council and the preparation of an Audit plan on that basis for Committee's approval.

The joint working arrangement has been agreed between the Head of Resources and Governance and Falkirk Council's internal audit manager who will act as the Council's Chief Audit Executive. The Joint Working Arrangement was reviewed and approved by legal officers from both Councils.

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[1] **NOTE**: From 01 April 2017 Internal Audit Services are being provided on the basis of a Joint Working Agreement with Falkirk Council.

4.0 Performance

4.1. Performance and KPI variances are noted in Annex A

5.0 Financial Performance

5.1 The table below outlines the financial position of the R&G Services at year end, comparing the budget with the outtturn.

	Annual Budget	Outturn	Variance
	£000	£000	£000
Head of R&G	0.094	0.095	0.001
Accountancy	1.372	1.195	(0.177)
Governance (HR, Legal, Democracy)	1.721	1.783	(0.062)
IT	2.089	2.256	0.167
Corporate Training	0.279	0.167	(0.111)
Total	5.555	5.496	(0.182)

The R&G services costs are mainly made up of staff. Non staff costs such as corporate training are subject to a greater degree of variability. IT costs increases were related to changes in the exchange rate leading to increases in software and maintenance contract costs and corporate training was not delivered to budget because of late notification of training budgets to Services. Accountancy ran with a number of hard to fill vacancies throughout the year. In the Governance budget, HR restructuring and the alignment of budgets between services due to the re-location of the OD adviser led to an overspend.

5.2 The table below outlines the position of the Assets services which as explained above transferred operationally to D&E and H&CS on 1/1/17.

	Annual Budget	Outturn	Variance
	£000	£000	£000
Asset Management	0.311	1.028	0.717
Catering Contracts	1.240	0.830	(0.410)
Property Maintenance	7.792	8.327	0.534
Schools PPP	7.782	7.490	(0.292)
Total	**17.125**	**17.675**	**0.549**

6.0 Progress in Delivering Planned Budget Savings in 2016/17

6.1 Resources and Governance (including Assets) were targeted with £1.5m of savings of which £0.916 were achieved. The majority of the under-achievement was due to the savings targeted for the cleaning service being too ambitious (£131k under achievement), £117k expected on realigning property maintenance costs, £72k reduction on vacating Greenfield which was not possible to achieve as Greenfield did not sell, and a further £152k spread across 8 property related savings proposals.

6.2 In the rest of R&G £113k of savings were targeted of which £81k was delivered. The main under-achievement of £27 k was in regard to telephony provision and digital transactions. This is a complex piece of that required council wide buy-in for the savings to be delivered and work continues in IT to reduce costs in this area.

7.0 Achievements

The achievement of the R&G Services are fully described in the narrative in Section 3

8.0 Opportunities, Challenges and Risks

8.1 Risks and opportunities are described in the risk report at AnnexA. Challenges are described as appropriate in the core narrative in Section 3

9.0 Sustainability Implications

9.1 Not applicable to this report

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

16.0 Background Papers
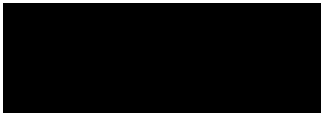
16.1   Have you used other documents to compile your report? (All documents must be kept available by the author for public inspection for four years from the date of meeting at which the report is considered)
Yes ☐ (please list the documents below)   No ☐

Author(s)

NAME	DESIGNATION	TEL NO / EXTENSION
Stephen Coulter	Head of Resources & Governance	01259 452022
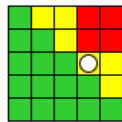
Approved by

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

Resources & Governance

Business Plan 2016-17 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 & GOVERNANCE INDICATORS

Covalent Code	Description	2014/15 Value	2015/16 Value	2016/17 Target	2016/17 Value	2016/17 Long Trend	2016/17 Note	Lead
ACC B01 RAG	Performance against phased budgeted spend - Resources and Governance	100.0%	94.3%	95.0%	98.9%	⬆	Areas of underspend are explained in the R&G Annual Report	Stephen Coulter
GOV AUD 001	Percentage of Internal Audit plan completed	100%	100%	100%	58%	⬇	A reduction in IA staff and arrangements to move to consortium audit arrangements have been explained in the Annual Report and an update on the status of deferred or cancelled reports was provided to the relevant committee	Gordon O'Connor
ITS CUS 001	Percentage of customers satisfied with ICT services	94.8%	96.6%	96.0%	97.1%	⬆	This monitors service levels at the point of delivery – i.e. feedback from the helpdesk. Continuing high levels of satisfaction demonstrate the responsiveness of the IT team	John Munro
ITS ITS 002	Percentage of available hours lost on ICT systems due to unplanned incidents	0.060%	0.035%	0.035%	0.015%	⬆	In the year there have been IT outages experienced but the general level of availability remains extremely high. Notwithstanding these figures the service recognises the importance of stability and reliability and the impact of even short term outages of key systems	John Munro
RAG HS3 GOV	Proportion of Resources & Governance Health and Safety Risk Assessments reviewed and up to date	75.0%	95.0%	95.0%	100.0%	⬆	A comprehensive programme was put in place by the H&S adviser. With staff turnover in H&S R&G management will ensure that risk assessments in respect of its own areas of operations are reviewed	Stephen Coulter
RAG PPL 003	Percentage of Resources and Governance staff recorded as having completed a PRD	80.0%	40.5%	85.0%	42.0%	⬇	A minor increase on the previous year. Take up of PRD using iTrent is being ironed out in the service as training and improvements to the IT improve	Stephen Coulter
RAG RAG 005	Percentage of Resources and Governance projects at Green		91.11%	92%	100%	⬆	This PI was designed to capture both IT and Assets project management progress. With the transfer of Assets this PI only relates to IT projects	Stephen Coulter

CORPORATE INDICATORS

Covalent Code	Description	2014/15 Value	2015/16 Value	2016/17			2016/17	Lead
				Target	Value	Long Trend	Note	
COU AB1 GOV	Average FTE days lost through sickness absence per employee (Teachers plus all other local government employees)	12.12	11.83	11.33	14.7	⬇	This is a measure of corporate performance and is reported for scrutiny to Tripartite	Chris Alliston
COU FOI GOV	Percentage of Council Freedom of Information requests dealt with within timescale		91.1%	100.0%	92.8%	⬆	This is a corporate measure. Reports on non-compliance are provided to Services	Annette McEnaney

ACTIONS

1 Clear Policy Priorities

Covalent Code	ACTION	Due Date	Progress	Status	Latest Note	Lead
MCB RAG 035	Workforce Planning (Corporate)	31-Mar-2020	90%	▶	Further drafting of the Workforce plan is ongoing in light of proposed changes to Council Structure and a move to People, Place, Performance Model. CMT are undertaking a series of workshops and feedback will enable further development.	Chris Alliston
RAG 16 001	Review and revise Governance Strategy and key Governance documents	31-Mar-2018	75%	▶	Progress on Scheme of Delegation, Finance Regs and CSOs and Local Code of Governance. Council deferred the presentation in Q4. Preparation of documents for new Council is underway for presentation in 2017-18.	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	100%	✅	Proposal was drafted and is now with Assessor awaiting his feedback	Stephen Coulter

2 Increasing Income & Savings

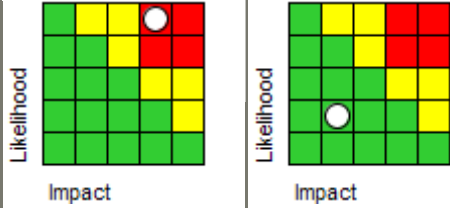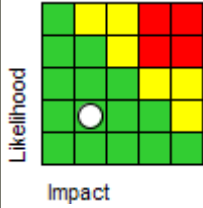| Covalent Code	ACTION	Due Date	Progress	Status	Latest Note	Lead
RAG 167 111	Income and charging increase (corporate)	31-Mar-2017	100%	✓	Charges were raised. Heads of Service are responsible for implementing charging increases as per Finance Regs	Lindsay Sim

3 Making Efficiencies
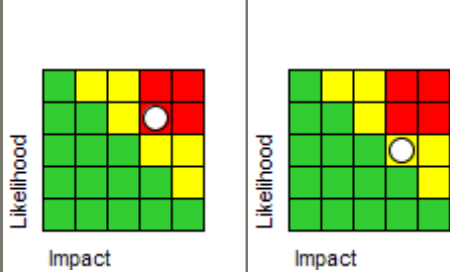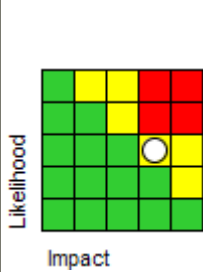
Covalent Code	ACTION	Due Date	Progress	Status	Latest Note	Lead
MCB RAG 018	Resources and Governance Delivery Model	31-Mar-2018	84%	▶	85% of savings were delivered. Transfer of Assets has meant the financial model will require to be re-based	Stephen Coulter
MCB RAG 037	Review Telephone Provision and Digital Transactions	31-Mar-2017	100%	✓	Review has been completed. Fixed line tariff revised which reduces costs to mobile phones to be reduced from 6p to 4p per minute. Anticipated saving £500. Telephone maintenance was re tendered using a Crown Commercial Services Framework contract achieving an annual saving of £6,500. Work in regard to identifying efficiencies in this area will be ongoing balancing genuine business needs with the most effective means of procurement.	John Munro
MCB RAG 039	Review of working week, role flexibility and other terms and conditions	31-Mar-2017	0%	✗	Following meeting of 10/11/16 Council agreed not to progress. Whilst consultation and briefing and preparation of business cases has concluded and marked as complete the overarching action can now not be completed.	Chris Alliston
MCB RAG 054	Reduce energy costs and raise awareness of energy usage	31-Mar-2019	100%	✓	A competition in primary schools reported on 14th June a reduction in CO2 of 250 tonnes and a financial saving of £4300. This saving needs to be considered as part of the reduction in energy budgets which has seen a £271k reduction this year.	Eileen Turnbull

Covalent Code	ACTION	Due Date	Progress	Status	Latest Note	Lead
MCB RAG 055	Review of Printing	31-Mar-2018	70%	▶	Staff moves have forced a replan of the approach although the target saving continues to be pursued. Revenues are now routinely printing year end and monthly large bulk prints with external print service achieving £0.75p per item posted. In December '16 a new print driver was installed which will allow more adhoc prints e.g. Letters to be remotely printed, envelope and introduced into the Royal Mail postal service as well.	John Munro
MCB RAG 18a	Restructure of Resources and Governance Service	31-Mar-2017	100%	✔	Action completed with the transfer of Assets	Stephen Coulter
MCB RAG 18b	Review of Equipment and Information Management	31-Mar-2017	100%	✔	Key action was presentation of Records Management Plan to Keeper in line with PR(S)A. This was completed in November. A working group for records management has been established and other aspects for the plan are being implemented. Actions under this project will be absorbed as Business As Usual within the service.	Stephen Coulter
RAG 16 003	Implementation of Tech One and the realisation of benefits	31-Mar-2018	100%	✔	Project was completed and further changes will be managed via Business as Usual in the Accountancy Team or specific projects set up to manage changes where required	Lindsay Sim
RAG 167 048	Renegotiate GIS provision and use of Open Source technologies to bring some functionality in-house.	31-Mar-2017	100%	✔	Contract completed for GIS. New contract cost £50K per annum from 1/7/16	John Munro
RAG 167 062	Relocate Centrespace to other Council building to remove property costs	31-Mar-2017	0%	✖	Following transfer of Assets, action will be reviewed by H&CS and SW	Stephen Coulter
RAG 167 066	Reduce or remove unnecessary building lease costs for Ward Street	31-Mar-2017	0%	✖	Following transfer of Assets, action will be reviewed by H&CS and SW	
RAG 167 095	PPP service reduction	31-Mar-2017	100%	✔	Savings from the PPP contract due to insurance rebate have been made.. Work has transferred to Education Service	
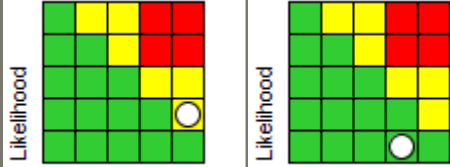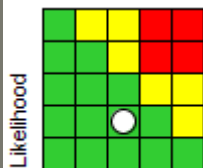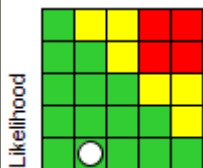
4 Transforming Services

Covalent Code	ACTION	Due Date	Progress	Status	Latest Note	Lead
MCB RAG 067	Assets Review: Cleaning Service	31-Mar-2019	0%	✖	Following transfer of Assets, action was transferred to D&E	
MCB RAG 099	Reduce Cleaning Service by 25%	31-Mar-2017	0%	✖	Following transfer of Assets, action was transferred to D&E	

Resources & Governance Risk Register 2016-17

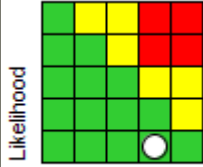| ID & Title	RAG RAG 008	Insufficient resources to support business plan and Council Projects	Approach	Treat	Status	🛑	Managed By	Stephen Coulter	Current Rating	20	Target Rating	4
Description	Internal R&G and other Corporate projects and activities requiring input from one or more R&G teams												
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	Resource constraints are being felt across R&G. Recruitment scrutiny, budget pressure, staff voluntary and peaks of workload are leading to under delivery or delivery outside timescales. Managerial work such as PRDs tends to be de-prioritised												

ID & Title	RAG CRR 009	Poor Information & Knowledge Management	Approach	Treat	Status	🛑	Managed By	Stephen Coulter	Current Rating	16	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	Work is now progressing on information management and a new corporate file structure. Mandatory Training modules are also being put in place												

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	Work on going to revise governance documents and introduce and embed new finance system and upgrade iTrent.

ID & Title	RAG RAG 006	Staff resilience	Approach	Treat	Status	⚠	Managed By	Chris Alliston; Stephen Coulter; John Munro; Lindsay Sim; Eileen Turnbull	Current Rating	12	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	Given the additional financial pressures placed on the Council there is an awareness amongst staff of the requirements of the Council needing to change in terms of how it delivers services. There is also an awareness of the requirement to reduce posts however impact on those staff who remain following departure of colleagues on VR/VS is high with perceived increased workloads and stressors. Continued perceived erosion of T&Cs also impacts on resilience.

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		Internal Controls	Information & Communication Technology Strategy
			Business Continuity Plans
			Operational Business Plan
Latest Note	Significant improvements to reliability and capacity of infrastructure; improvements to backup and restore capabilities; improvements to Business Continuity arrangements.		

ID & Title	RAG RAG 009	R&G Service Reviews	Approach	Treat	Status	✅	Managed By	Stephen Coulter	Current Rating	6	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	The transfer of Assets and progress made in 16/17 where significant budget re-alignment and savings were identified have reduced the R&G budget to a quarter of what it was for 17/18. The overall corporate significance of R&G savings is reduced and the scope for making them without sever impact in the legal and statutory services that the Council has to support would not be tolerable		