

## Notice of Meeting and Agenda Audit, Scrutiny and Petitions Board

Date	Time	Venue
Monday, 01 June 2015	10:00	CMR 1, Council Headquarters, Renfrewshire House, Cotton Street, Paisley, PA1 1AN

KENNETH GRAHAM  
Head of Corporate Governance

### Further Information

This is a meeting which is open to members of the public.

A copy of the agenda and reports for this meeting will be available for inspection prior to the meeting at the Customer Service Centre, Renfrewshire House, Cotton Street, Paisley and online at [www.renfrewshire.gov.uk/agendas](http://www.renfrewshire.gov.uk/agendas).

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### Members of the Press and Public

Members of the press and public wishing to attend the meeting should report to the customer service centre where they will be met and directed to the meeting.

### Membership

Councillor Bill Brown: Councillor John Caldwell: Councillor Audrey Doig: Councillor Eddie Grady:  
Provost Anne Hall: Councillor James MacLaren: Councillor Iain Nicolson:

Councillor Jim Sharkey (Convener): Councillor Cathy McEwan (Depute Convener)

## Items of business

### Apologies

Apologies from members.

### Declarations of Interest

Members are asked to declare an interest in any item(s) on the agenda and to provide a brief explanation of the nature of the interest.

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|----------|--|----------------|
| <b>1</b> | <b>An Overview of Local Government in Scotland 2015</b>                      | <b>5 - 16</b>  |
|          | Report by Director of Finance & Resources                                    |                |
| <b>2</b> | <b>Audit Scotland Report - Borrowing and Treasury Management in Councils</b> | <b>17 - 24</b> |
|          | Report by Director of Finance & Resources                                    |                |
| <b>3</b> | <b>Local Scrutiny Plan 2015/16 for Renfrewshire Council</b>                  | <b>25 - 36</b> |
|          | Report by Chief Executive  |                |
| <b>4</b> | <b>Local Government Benchmarking Framework Indicator Profile for 2013/14</b> | <b>37 - 54</b> |
|          | Report by Chief Executive  |                |
| <b>5</b> | <b>Internal Audit Annual Report</b>  | <b>55 - 76</b> |
|          | Report by Chief Auditor  |                |
| <b>6</b> | <b>Summary of Internal Audit Findings for Quarter to 31 March, 2015</b>      | <b>77 - 84</b> |
|          | Report by Chief Auditor  |                |
| <b>7</b> | <b>Absence Statistics</b>  | <b>85 - 96</b> |
|          | Report by Director of Finance & Resources                                    |                |

<b>8</b>	<b>Risk Management Annual Report 2014/15</b>	<b>97 - 112</b>
	Report by Director of Finance & Resources	
<b>9</b>	<b>Conference Request</b>	<b>113 - 114</b>
	Invitation to attend seminar	
<b>10</b>	<b>Audit, Scrutiny &amp; Petitions Board - Annual Programme of Reviews 2015/16</b>	<b>115 - 118</b>
	Report by Director of Finance & Resources	
<b>11</b>	<b>Petition: Sandy Road, Renfrew</b>	<b>119 - 122</b>
	Report by Director of Finance & Resources	
<b>12</b>	<b>Petition: Bus Stop, Trident House, Renfrew</b>	<b>123 - 126</b>
	Report by Director of Finance & Resources	
<b>13</b>	<b>Petition: Felling of Trees, Houston</b>	<b>127 - 130</b>
	Report by Director of Finance & Resources	



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**To:** Audit, Scrutiny & Petitions Board

**On:** 1 June 2015

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**Report by:** Director of Finance and Resources

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**Heading:** Accounts Commission Report, 'An overview of local government in Scotland 2015'

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**1. Summary**

- 1.1 Each year Audit Scotland prepare the above report on behalf of the Accounts Commission providing a high level, independent view on how councils across Scotland are managed and perform. Copies of the full report are available on the Audit Scotland website or from the Director of Finance and Resources.
- 1.2 This report to Members outlines the main findings of the Accounts Commission report and provides details with regards to the Renfrewshire Council position in relation to the issues raised.
- 1.3 The Accounts Commission report reviews the financial context in which councils are operating, highlighting the overall financial position and pressures on budgets, and looks at how councils are managing these financial challenges.
- 1.4 The report highlights the increasingly difficult financial challenges faced by councils in relation to reductions in public sector budgets and increased demand pressures and notes the tough decisions faced by councils in balancing their budgets. The report considers the need for comprehensive and accessible financial information and long term financial planning to help members understand the financial position of the council, support the decision making process and enhance performance scrutiny.

- 1.5 The report highlights the achievements to date of councils in managing austerity and reducing resource, but also emphasises a need to plan now for the period to and beyond 2017/18 as austerity continues.
- 1.6 In addition to the financial pressures, the report identifies the establishment of health and social care partnerships as a key challenge going forward, with particular reference to the need for investment in building trust between local government and health boards and the development of leadership capacity to allow chief officers to build strong relationships with partner organisations. The report states that Councillors need to assess the progress being made with partners to improve outcomes and value for money for residents.
- 1.7 In line with previous years, this report outlines the key messages and issues highlighted by Audit Scotland along with a summary of the position within Renfrewshire. Although, as detailed in this report and as acknowledged by Audit Scotland through their overall risk assessment framework, the Council is well placed to face the challenges ahead, the scale of the challenge should, nevertheless, not be understated. The Council has made positive progress through the Better Council Change programme to begin to address the estimated £30million saving required through to 2017/18. There remains, however, a significant remaining saving requirement and it should be recognised that the financial landscape continues to be characterised by uncertainty which may change this financial outlook over even a short term timeframe. In this context, therefore, the Council needs to continue to progress ongoing actions to address the medium term financial challenge in a manner which will allow the risk of uncertainty to be effectively managed whilst supporting the long term financial sustainability of the Council.
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## 2. **Recommendations**

- 2.1 Members are requested to note the Accounts Commission report, 'An overview of local government in Scotland 2015'.
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## 3. **Background**

- 3.1 The Accounts Commission report contains a number of key messages in relation to the pressures facing councils, the need for clear financial and performance information, innovations in service delivery and the importance of good governance. The report draws on the findings from the local government audit work in 2014 including audits of financial statements, Best Value, community planning partnerships and performance.

- 3.2 An extract of the key messages contained within the Accounts Commission report are summarised below in bold text along with further supporting summary information from the detail of the report. In addition, the Renfrewshire Council position in relation to each key message is shown in italics.

#### 4. Overview of Key Messages and Renfrewshire Council Position

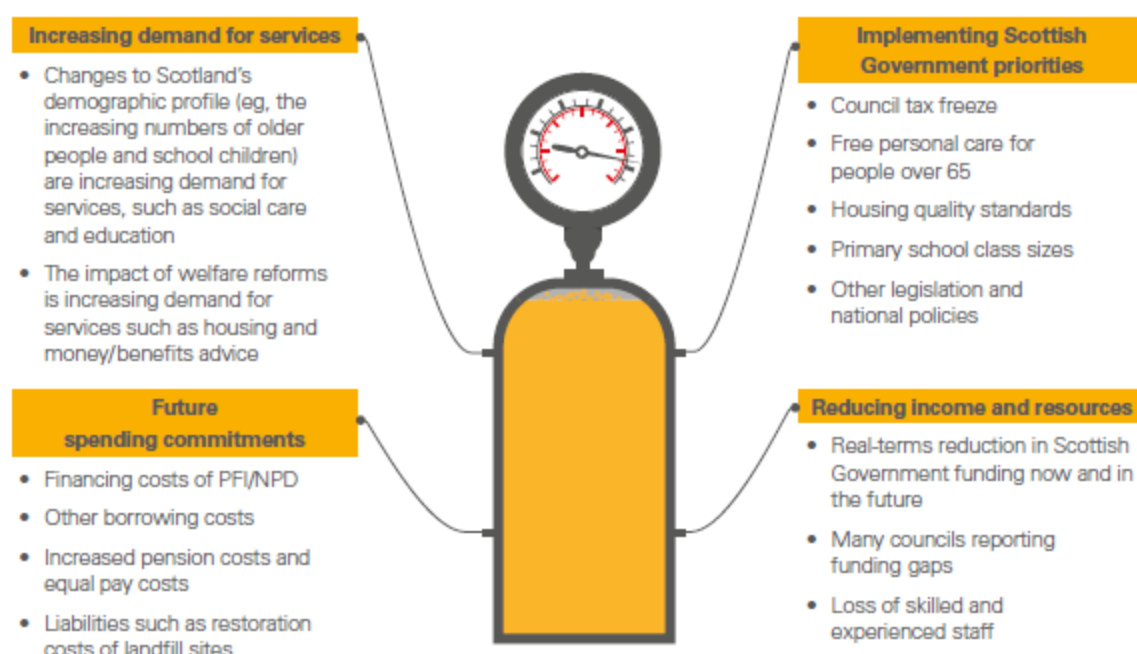
- 4.1 **Councils face increasingly difficult financial challenges. In the context of overall reductions in public sector budgets, between 2010/11 and 2013/14, Scottish Government funding for councils decreased by 8.5% in real terms (allowing for inflation) to £10.3billion. At the same time, demand for council services has increased, largely due to population changes.**

- 4.1.1 The report highlights that councils continue to face increasing pressures from demand for services, the implementation of Scottish Government priorities and future spending commitments. At the same time, the report recognises the pressure from reducing income and resources. These pressures are highlighted on the graphic below:

#### Exhibit 1

##### Local government overview 2015

Councils face increasing demand and resource pressures. They need to have the right information, skills and processes to help deal with the pressures in the future.



### Renfrewshire Council Position

- 4.1.2 *As part of its annual budget setting process, Renfrewshire Council carries out a detailed analysis of the available grant funding together with the various pressures on Council budgets including demand pressures, pay and price pressures and financing costs.*
- 4.1.3 *For 2015/16 Renfrewshire Council recognised the major role played by demographic and socio-economic factors in driving spending pressures for the Council, particularly in relation to :*
- older people's services linked to the shift in the balance of care, supporting older people to live safely at home for as long as possible and facilitating prompt discharge from hospital;*
  - the increasing number and complexity of care packages required to support adult clients to live as independently as possible in the community; and*
  - the continued commitment to protecting children and young people and supporting them into independent adulthood.*
- 4.1.4 *The Council continues to be pro active in progressing a range of demand and cost management workstreams which mitigated the demand led pressures and help to maintain and protect core frontline Social Work services.*
- 4.1.5 *The Council's financial projections beyond 2015/16 include a range of key assumptions in relation to future grant settlements, pay settlements and demand led pressures.*
- 4.1.6 *No specific grant figures are available beyond 2015/16. However, external commentators continue to forecast ongoing pressures with the actual grant settlement influenced by a range of political decisions taken at both UK and Scottish Parliament levels and the underlying performance of the UK economy. At present no national agreement has been reached on pay settlements for 2015/16 or beyond and, once known, this is likely to have a significant influence on the Council's medium term financial position.*
- 4.1.7 *Demand led pressures continue to be one of the Council's key financial risks and the Council has been progressing a wide range of key demand and cost management actions which seek to mitigate the financial impact of this pressure whilst seeking to achieve better outcomes for clients and their families.*
- 4.1.8 *In February 2014 the Council established the Better Council strategic change programme to enable the Council to continue to be effective in delivering its priorities while addressing the challenges presented. The objectives of the programme are:*



- *to make changes to the ways in which the Council's people, assets, processes, technology and information work together to create a future sustainable organisational design;*
- *to enhance the council's capability to plan, design and deliver services that are aligned to corporate priorities and provide Best Value; and*
- *to provide options to elected members to balance the Council's budget in the context of the projected medium term deficit of up to £30million through to 2017/18.*

**4.2 Many councils are now reporting gaps between their income and the cost of providing services. With further funding reductions expected, councils face tough decisions to balance their budgets. These decisions must be based on a clear understanding of the current financial position and the longer-term implications of decisions on services and finances. However, there is limited evidence of longer-term financial planning, which is critical in providing that understanding.**

4.2.1 The Accounts Commission reports that many councils are reporting funding gaps in 2015/16 and beyond which mean that, to pay for services, councils will have to increase their income, improve efficiency, divert money from lower priority services, or a combination of these.

4.2.2 The Accounts Commission is of the view that it is important that councils develop and maintain long term financial plans, looking five to ten years ahead, to direct and control their finances and set the context for annual budgets. The report notes that eighteen councils do not have long term financial plans which can limit how well they understand the full implications of their spending and borrowing and the savings which may be required to bridge any gaps.

4.2.3 The report recommends that councillors ensure that their council has short, medium and long term financial plans setting out the council's financial commitments, identifying any challenges to the affordability of services and clearly setting out how the sustainability of its financial position.

#### *Renfrewshire Council Position*

4.2.4 *The Council has well developed financial planning arrangements which are appropriately adjusted to provide both a long term perspective, allowing the Council to identify and appropriately plan for key long term financial risks, as well as medium and shorter term financial planning arrangements which act as the key mechanism to ensure the Council has in place and implements appropriate financial strategies over the short to medium term to deliver ongoing financial stability and longer term sustainability.*

- 4.2.5 *It is recognised that maintaining financial stability remains a key objective for the Council and in line with the principles of good financial management and planning, effective and appropriate use is made of earmarked reserves to both provide flexibility in the use of resources across financial years but also to support longer term financial planning strategies, ensuring that appropriate financial planning arrangements are in place to support longer term Council objectives. Members are provided with regular and appropriate information in relation to the use of reserves both throughout the financial year and at key strategic points on both the setting of the budget and closure of the financial accounts. As part of their Annual Report on the 2013/14 Audit, Audit Scotland recognised that the Council has a relatively strong financial position based on statutory surpluses, available reserves and the short term budget position, however as outlined above the Council still faces significant budget pressures of up to £30m in the medium term, with difficult decisions on how to address these pressures remaining.*
- 4.2.6 *During 2014/15, and over recent years, use has been made of resources held within unallocated reserves as part of the Council's agreed revenue budget. However, it is important to highlight that use of such resources has been directed at time limited non recurring activities, with the Council clearly recognising and avoiding the risk of relying on reserves to meet recurring funding gaps.*
- 4.3 **Councils have managed the financial pressures well so far. Available performance information indicates that services have been improved or maintained. Public performance reporting is getting better but councillors need better financial information to help them set budgets and scrutinise performance. All councils prepared their annual accounts on time and met the required accounting standards.**
- 4.3.1 The report notes that good information helps councils to demonstrate that they use public money properly and effectively and that there has been an improvement in councils' public performance reporting.
- 4.3.2 The Local Government Benchmarking Framework allows councils to assess and compare performance and costs across major service areas. This data is published by the Improvement Service and allows councils to identify strengths, areas for improvement and instances of good practice in other councils.
- 4.3.3 The report recommends that councillors ensure that council officers provide high quality financial and performance information to support effective scrutiny and decision making, including relevant and up to date performance data making good use of benchmarking. It also recommends that performance information is clearly reported to the public to help them understand the council's performance.

- 4.3.4 The report also notes the importance of training to equip councillors with appropriate knowledge and expertise to carry out their roles effectively and help them set budgets and scrutinise performance. The Accounts Commission recommends that councillors review their training needs and request the training and support they require to help them to consider options, make decisions and scrutinise performance.

Renfrewshire Council Position

- 4.3.5 *The Council has participated in the Local Government Benchmarking Framework for the last three years. The framework of performance indicators includes cost, service performance and customer satisfaction indicators and we have used the benchmarking data to drive service improvements. From this framework and other data analysis we have identified and prioritised areas for improvement for the Council. An annual report on the Local Government Benchmarking Framework indicators is presented to the Audit, Scrutiny and Petitions Board for scrutiny and published on the Council's website.*
- 4.3.6 *Renfrewshire Council is committed to improving the opportunities for residents to access performance information. Performance information is provided for the public in a variety of ways - through board reports, publications, information on our website and information available at Council buildings.*
- 4.3.7 *An example of one of our main performance publications is "It's all about you". This is published annually in the performance section of our website with the most recent publication being in March 2015. The performance indicators selected in this report are based on customer feedback and discussions with Services. It highlights key performance data, if we are on target, if performance has improved/declined and case studies on improvement activity. A more detailed report is also available which contains all the indicators that are submitted by the Council to Audit Scotland each year.*
- 4.3.8 *Elected members are provided with training and professional development opportunities to assist them in their roles and to deal with the changing council structures and policy landscape. A programme of councillors' briefings is delivered each year and members have access to the online CPD resources provided by the Improvement Service through the national elected members' portal. This includes access to councillors' briefing notes and masterclasses*

- 4.4 **Almost all councils have reduced staff numbers to help make savings but this is not sustainable. Councils are considering ways of delivering services more efficiently and need to get better at using local data and involving services users and local communities in developing options to improve services and help save money. They must implement planned changes quickly to achieve their required savings.**
- 4.4.1 The report notes that, in order to target limited resources effectively, councils need to work with local people to understand their needs and bring their insights to planning, developing and delivering services.
- 4.4.2 The Accounts Commission reports that many councils do not draw on the results of consultation activity when making decisions and setting priorities. The Community Empowerment (Scotland) Bill includes proposals to provide greater rights for communities to plan and manage public services while placing Community Planning Partnerships on a statutory basis and putting a legal duty on public sector bodies to work in partnership with communities to plan and improve outcomes for their areas.
- 4.4.3 The Accounts Commission report recommends that councillors use local socio-economic data and work with service users and local communities to understand their needs and explore ways of meeting them. Council budgets should then be prioritised and targeted, including those designed to prevent or reduce future service demand.
- 4.4.4 Where further workforce reductions are planned, the report recommends that councils have comprehensive workforce strategies to manage the impact of staff reductions and ensure that the council retains the ability to change and improve and is equipped to meet increasing service demands.

#### Renfrewshire Council Position

- 4.4.5 *The priorities set out in the Renfrewshire Community Plan are based on a comprehensive strategic needs assessment of the communities in Renfrewshire, including consultations with all relevant groups. Community engagement continues to be encouraged by the Community Planning Partnership at both strategic and local levels. The Renfrewshire Forum for Empowering Communities Forum which operates as one of the community planning boards is led by the third sector in Renfrewshire. The Forum includes representatives from key community organisations which reflect various interests and it contributes to community capacity building, consultation and communication strategies.*

- 4.4.6 *The Council Plan outlines the organisation's improvement agenda and notes that, to achieve positive outcomes, and to deliver the best for communities and citizens, the Council will develop new ways of working and delivering services with a strong focus on prevention and partnership working. The Council has been progressing well with finding new, different or better ways of doing things so that we can continue delivering high-quality frontline services, divert limited resources to supporting key priorities and achieve our ambitions within the limited funding allocated.*
- 4.4.7 *The Renfrewshire Tackling Poverty Commission was set up to provide the Council and its community planning partners with independent and authoritative views on the current approach to tackling child poverty in Renfrewshire. The Council is working with its community planning partners to agree a cross-partnership response to the Commission's findings. As part of this response the Renfrewshire Community Planning Partnership Board has agreed to pilot a shared approach to financial planning and budgeting in relation to tackling poverty activities across partners.*
- 4.4.8 *By ensuring that regeneration and tackling poverty are key outcomes in its key strategic priorities, the Council is targeting investment at improving the lives and opportunities of the poorest in Renfrewshire.*
- 4.4.9 *The Council's Organisational Development Strategic Plan is a key enabler and driver of the Better Council strategic change programme. The plan is designed to deliver transformational and sustainable change across the workforce of the Council and outlines a comprehensive programme of development aimed at increasing the capability and skills capacity across all levels of the organisation, with a particular focus on leadership development in alignment with the design principles of Phase 2 of the Better Council Programme.*
- 4.4.10 *The plan will focus on development approaches to build capability in delivering outcomes through improved performance and on reducing cost through effective workforce planning.*
- 4.4.11 *The building blocks to enable the development of the workforce and the culture will be outlined in a critical framework within the plan. The framework is aligned to support the delivery of the following key themes:*
- *Supporting transformational change and innovation;*
  - *Sustaining a skilled, flexible and motivated workforce;*
  - *Building leadership and management capacity;*
  - *Planning for the future workforce; and*
  - *Promoting equality and diversity.*

- 4.4.12 *The Council continues to be committed to investing in and supporting employees through change with an integrated range of activities which consult, engage, inform and develop individuals and teams to ensure that benefits are realised. Employees are supported to be sufficiently trained, qualified and experienced to deliver quality services. Managers are developed to lead, motivate and encourage innovation and are effective, supportive and approachable. The Council continues to enhance the skills, abilities and confidence of the workforce to deliver quality services to Renfrewshire communities.*
- 4.4.13 *Appropriate linkage and alignment is maintained across the Council's wider resource management plans and strategies (financial planning, workforce strategy & organisational development, strategic asset management, ICT strategy etc) to ensure that resources are appropriately deployed to support the Council and services to deliver against identified priorities and objectives detailed in the service plans, the Council Plans and the Community Plan.*
- 4.5 **Councils need to ensure that the way they manage and control their work keeps pace with the quickly changing circumstances in which they operate. There can be no compromise on the importance of good governance, particularly where there are significant changes in personnel and systems. Not all councils systematically review governance when, for example, they change staff, management or political structures, or develop new ways of financing or delivering services. Community planning and health and social care integration require an ongoing focus on governance in partnership working, where the responsibility for good governance is shared and depends on a culture of trust.**
- 4.5.1 The report notes that governance arrangements need to keep pace with changes in staff, management and political structures both within councils and in joint working arrangements such as health and social care integration.
- 4.5.2 The Accounts Commission recommends that council's review their governance arrangements following significant changes in staff, management and political structures ensuring that current management teams have the skills and capacity to provide effective leadership and management. This should be supported by succession plans for senior managers who may retire or leave the council.
- 4.5.3 The Accounts Commission report identifies the audit committee as a crucial element of governance and recommends steps to achieving effective and transparent scrutiny including training and support and clear terms of reference.

- 4.5.4 The report notes a number of new service arrangements across Scotland, including health and social care integration, joint working between councils and the use of ALEOs, and recommends that councils review governance arrangements when changes are introduced to ensure that roles, responsibilities and accountabilities are appropriate to the new models.

*Renfrewshire Council Position*

- 4.5.5 *Through their audit arrangements, Audit Scotland have recognised and acknowledged that the Council has strong and effective financial management and governance arrangements underpinning the management and control across the Council. The Council has remained in a financially stable and sustainable position which has placed it well in the context of managing the significant financial pressures which it has and will continue to face over at least the medium term future, allowing the organisation to maintain a clear focus on delivering its key objectives and priorities.*
- 4.5.6 *The Council's Internal Audit function is strong, effective and well resourced which allows significant reliance to be placed on their work by Audit Scotland and the Council's Chief Financial Officer remains a key and influential member of the Corporate Management Team, who works effectively with all service Directors and the Chief Executive to ensure financial implications and sustainability remain a key strategic consideration in all the Council's activities.*
- 4.5.7 *The Council has an Audit, Scrutiny and Petitions Board with a remit including audit, and aspects of corporate governance, Risk Management, monitoring and reviewing service delivery performance, policies and practices, community leadership through monitoring and reviewing the activities of other public bodies and standards and ethics. In addition the existing structure of policy boards allows elected members to scrutinise the work of the council in the services covered by the board's remit.*
- 4.5.8 *Following the introduction of a number of initiatives, including health and social care integration, the expansion of Renfrewshire Leisure to cover cultural services and the Council's involvement in the Glasgow and Clyde Valley City Deal, a review of the Council's governance structure has been undertaken to ensure that it remains up to date and robust. This has resulted in a number of changes to existing policy board remits and the establishment of arrangements for how the Renfrewshire Leisure Trust Board and Renfrewshire Health and Social Care Partnership will interact with the Council.*

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## **Implications of the Report**

1. **Financial** – The report outlines the financial pressures facing Scottish local authorities over the medium term.
2. **HR & Organisational Development** – none
3. **Community Planning** – none
4. **Legal** – none
5. **Property/Assets** – none
6. **Information Technology** - none.
7. **Equality & Human Rights** - The Recommendations contained within this report have been assessed in relation to their impact on equalities and human rights. No negative impacts on equality groups or potential for infringement of individuals' human rights have been identified arising from the recommendations contained in the report because it is for noting only. If required following implementation, the actual impact of the recommendations and the mitigating actions will be reviewed and monitored, and the results of the assessment will be published on the Council's website.
8. **Health & Safety** – none
9. **Procurement** – none
10. **Risk** – none
11. **Privacy Impact** - none

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### List of Background Papers

None

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**Author:** David Forbes, Extension 6424



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**To: Audit, Scrutiny and Petitions Board**

**On: 1 June 2015**

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**Report by: Director of Finance and Resources**

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**Heading: Audit Scotland Report – Borrowing and Treasury Management in Councils**

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**1. Summary**

1.1 Audit Scotland recently published the report – Borrowing and Treasury Management in Councils. Copies of the report are available from the Director of Finance & Resources or from the Audit Scotland website. The overall aim of the audit was to assess how councils show best value in borrowing and treasury management decisions. The audit examined

- what borrowing and treasury management in councils is
- the extent to which councils' borrowing and treasury management strategies meet good practice and contribute to corporate plans and priorities
- if councils demonstrate the affordability and sustainability of borrowing decisions
- how effective were the governance arrangements for borrowing and treasury management.

1.3. The report focuses on whether councils openly and clearly demonstrate the affordability and sustainability of borrowing decisions over the short term, ie the next couple of years, and long term, that is ten years onwards to cover the term of the borrowing. It also looks at whether

councils' approach to borrowing, as outlined in their treasury management strategy, reflects their corporate priorities and aims. Councillors have a key role in holding officers to account and this report evaluates the councillor's role in considering borrowing and treasury management reports, including the strategy.

- 1.4 The purpose of this report is to provide the Board with a summary of the key messages and recommendations presented in the Audit Scotland report and consider these in the context of how the council manages its borrowing and treasury management function.
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## **2. Recommendations**

- 2.1 It is recommended that the Audit, Scrutiny & Petitions Board note the content of the Audit Scotland report.
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## **3. Background**

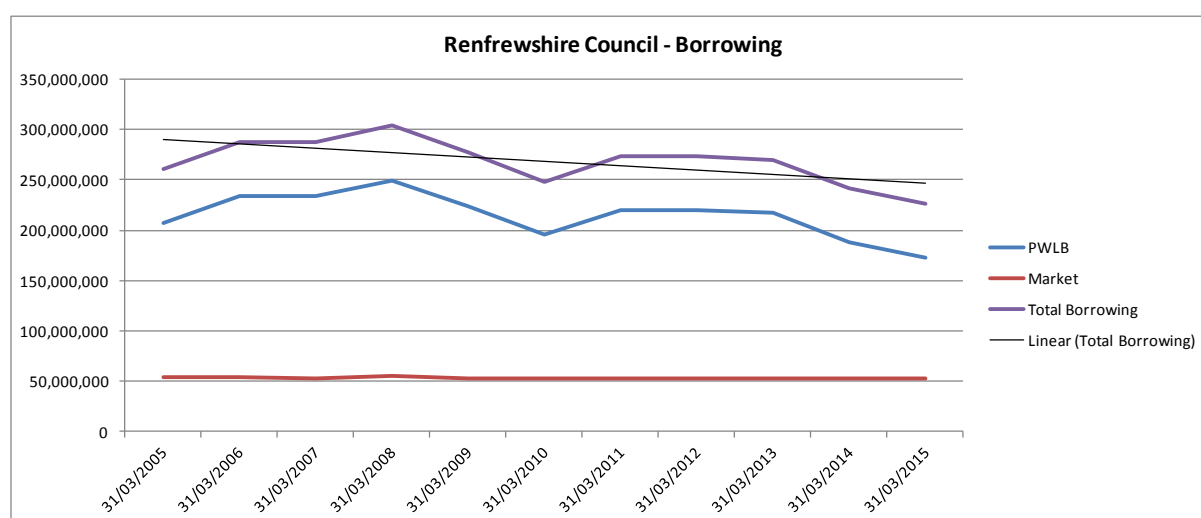
- 3.1 Audit Scotland's recently published report Borrowing and Treasury Management in Councils outlines how councils should demonstrate the affordability and sustainability of borrowing decisions over the short and long term. It also examines the effectiveness of management and scrutiny arrangements for borrowing and treasury management decisions. Information on the Renfrewshire Council position in response to the points raised in the report is shown in italics.

## **4. Summary of Key Messages**

- 4.1 Scottish Councils have total debt of £14.8 billion of which £12.1 billion, 82 per cent, is from borrowing. The balance is generally attributable to PPP/PFI obligations. The majority of borrowing undertaken is from the Public Works Loan Board (ie a public sector source of lending for public bodies). Total council borrowing has remained relatively constant for the last three years at £12 billion, matched by total assets of £39 billion. Councils have developed borrowing strategies to suit their own local priorities and needs, in response to the flexibility introduced by the Prudential Code in 2004. Seventeen councils have increased their borrowing levels, in real terms, over the last ten years.

4.2 *For some years now the Council has been committed to strategy of debt smoothing. Indeed debt smoothing is a key element of the Council's medium term financial strategy, and has been critical in addressing the financial challenges facing the council over the past 5 years, and will continue to be in the medium term. The strategy involves a range of targeted actions, including examining the Council's debt structures and repayment profiles, optimising the management of borrowing and investment strategies to minimise interest rate exposure and targeting planned debt repayment. In combination, these measures have facilitated the delivery of a significant and sustainable year on year reduction in the Council's annual debt costs and overall level of debt. It is intended to maintain delivering this strategy moving into the medium term, albeit it is recognised that the delivery of new savings across each of the next 5 years are likely to be more substantial in the first three years of this medium term strategy.*

4.3 *The graph below demonstrates the overall reduction in external borrowing by the Council over the past ten years:*



*This reduction in borrowing is key in ensuring the long term financial sustainability of the Council through reduced annual debt servicing costs, an area also highlighted by Audit Scotland. A key measure of affordability of borrowing is the proportion of net revenue streams required to service debt. The estimate for Renfrewshire (non-housing debt) in 2015/16 is 10.4%, reducing to 8.4% in 2016/17 and 6.4% in 2017/18 – these are some of the lowest costs across all Scottish local authorities.*

4.4 *Where borrowing is taken on for capital investment purposes it must be supported by revenue efficiency savings to ensure the associated*

*annual debt servicing costs charged to the revenue budget are fundable and financially sustainable. In addition, the funding for the delivery of investment projects may only rely on capital receipts which have been secured by the Council with no reliance being placed on anticipated future receipts, avoiding any requirements for unanticipated borrowing to maintain programme delivery.*

- 4.5 Audit Scotland found that treasury management is a professionally run function in councils with appropriately qualified officers. Succession planning, ongoing training and the availability of appropriate professional qualifications are important. Councils have started to integrate their treasury management and capital investment functions which is a positive step.
- 4.6 *Officers involved in treasury management in the Council are CIPFA qualified. Ongoing training is provided at treasury management network events held by the CIPFA Treasury Management Forum and by external treasury management advisers (Capita Treasury Solutions). The Capital Investment Monitoring team and the Treasury Management team are integrated within the Corporate Accounting Team.*
- 4.7 Councils need to improve scrutiny of borrowing and treasury management, with officers needing to provide training and support to councillors, and also ensuring reports are clear and accessible. The current governance structures in some councils could be improved to support more effective scrutiny.
- 4.8 *The Council's annual treasury management strategy clearly outlines the council's borrowing position and plans. The strategy is reviewed and approved annually by Council when the annual budget is approved. The Finance and Resources Policy Board receives the mid-year report on Treasury Management activities and the Annual Treasury Management Report.*

## **5. Key Recommendations**

- 5.1 Audit Scotland made a number of recommendations based on their findings which apply to both officers and councillors. The recommendations for officers focus on ensuring reports are as clear and accessible as possible, acknowledging the degree of technical complexity involved in treasury management. Strategies should include links to capital investment plans; include prudential indicators and an assessment of affordability. Best practice should be shared across authorities, as should engagement with training providers. Outturn

reports should include an assessment of the effectiveness of treasury management activities.

- 5.2 *The CIPFA Prudential Code for Capital Finance in Local Authorities and the CIPFA publication Treasury Management in the Public Services both require the Council to prepare an annual treasury management strategy before the start of the financial year. The Council's latest Treasury Management Strategy complies with the codes and was approved by Council on 12 February 2015. The Capital Financing Requirement of the Council is highlighted in the report and links clearly with the Capital Investment Plans of the Council for the next 3 years. The Council's current and projected strategy for borrowing is clearly highlighted in s10 of the treasury management strategy. The prudential indicators are outlined in the same report as the treasury management strategy – "Prudential Framework for Capital Finance 2015/16 – 2017/18 and Treasury Management Strategy 2015/16 ". The affordability of borrowing on the net revenue streams for council tax and housing rent levels is one of the key prudential indicators and is reported at the same time as the treasury management strategy. It is based on a number of short and long term assumptions.*
- 5.3 *The Treasury Management Forum provides the opportunity for councils to share best practice. Also the Council's Finance Manager is a member of the Treasury Management Executive Committee which helps foster strong effective working relationships with colleagues from other councils. The Treasury Management Function stay aware of issues or developments in the area by attending workshops and seminars run by banks, brokers, money market fund providers and our treasury advisers. This is already part of Council and Treasury Management policy. An annual report on treasury management is prepared and submitted to Council every year.(last report "Treasury Management Annual Report for 2013/14" – noted by Council 26 June 2014). This includes appropriate indicators, comparative figures and explanations.*
- 5.4 The report recommendations for officers and councillors highlight a need to ensure consistency and ease of access to treasury management strategies and reports; and that councillors have access to training options with regards treasury management scrutiny.
- Current governance arrangements are in line with the CIPFA Treasury Management Code. The council's treasury management strategy and*

*the year end monitoring report are presented to full Council. The mid-year review on performance is submitted to the Finance and Resources Policy Board before the end of December each year. The Council has held treasury management training sessions for elected members facilitated by our treasury consultants, Capita Treasury Solutions with a further training session planned for the second half of 2015.*

**6. Scrutiny guidance and questions**

Audit Scotland have also developed guidance to assist councillors in their borrowing and treasury management scrutiny role. The guidance is intended to be used as an aide when scrutinising borrowing and treasury management reports and activity. It contains suggested questions that can be asked of council officers and outlines the reasons these questions are important and the type of response they should expect.

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**Implications of the Report**

1. **Financial** – the report highlights the significant impact borrowing and treasury management activity potentially has on the revenue position of councils.
2. **HR & Organisational Development** - none
3. **Community Planning –**
  - Children and Young People** - none
  - Community Care, Health & Well-being** - none
  - Empowering our Communities** - none
  - Greener** - none
  - Jobs and the Economy** - none
  - Safer and Stronger** - none
4. **Legal** - none

5. **Property/Assets** - none
6. **Information Technology** - none
7. **Equality & Human Rights**
  - The Recommendations contained within this report have been assessed in relation to their impact on equalities and human rights. No negative impacts on equality groups or potential for infringement of individuals' human rights have been identified arising from the recommendations contained in the report.
8. **Health & Safety** - none
9. **Procurement** - none
10. **Risk** – all borrowing and investment decisions contain an element of risk; treasury management guidance such the prudential code and prudential indicators provide a framework within which councils can demonstrate the affordability and sustainability of borrowing undertaken.
11. **Privacy Impact** - none

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### List of Background Papers

- (a) Audit Scotland Report – Borrowing and Treasury Management in Councils.

The foregoing background papers will be retained within Finance and Resources for inspection by the public for the prescribed period of four years from the date of the meeting. The contact officer within the service is Alastair MacArthur, Acting Head of Finance and Resources, 0141 618 7378, [alastair.macarthur@renfrewshire.gcsx.gov.uk](mailto:alastair.macarthur@renfrewshire.gcsx.gov.uk)

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**To: Audit, Scrutiny and Petitions Board**

**On: 1 June 2015**

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**Report by: Chief Executive**

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**Heading: Local Scrutiny Plan 2015/16 for Renfrewshire Council**

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**1. Summary**

- 1.1 This paper provides the Audit, Scrutiny and Petitions Board with an overview of the key points in the Local Scrutiny Plan for 2015/16 for Renfrewshire Council. The Local Scrutiny Plan is attached at Appendix 1.
- 1.2 The Local Scrutiny Plan is prepared each year by the Local Area Network which consists of representatives from all the main scrutiny bodies that engage with the Council – Audit Scotland, the Care Inspectorate, Education Scotland and the Scottish Housing Regulator. The Local Area Network meets annually to carry out a shared risk assessment and decide whether the Council requires external scrutiny in any specific areas for the year ahead.
- 1.3 The conclusion of the Local Area Network at the end of this year's shared risk assessment is that no scrutiny risks have been identified which require specific scrutiny. However, audit and inspection work will continue to take place, such as ongoing inspection of schools and care establishments. The Council will also be subject to a range of scrutiny which is part of national activity, such as the validated self evaluation (VSE) of educational psychology services across all councils. A table setting out the planned external scrutiny for Renfrewshire is included at the end of the Local Scrutiny Plan.

- 1.4 The Local Area Network notes in the Plan that it is satisfied that the Council continues to review and revise its corporate governance and performance management framework. In service areas they are satisfied that either, there is sufficient information to demonstrate performance, or that the Council has demonstrated self-awareness of the standards of performance required, or that there is evidence to demonstrate awareness and monitoring of the key risks to meeting outcomes.
- 

## 2. **Recommendations**

- 2.1 It is recommended that the Audit, Scrutiny and Petitions Board:
- Notes that no scrutiny risks have been identified for 2015/16 which require specific scrutiny by the Local Area Network.
  - Notes the planned external scrutiny activity for 2015/16, set out in Appendix 1 of the Local Scrutiny Plan.
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## 3. **Background**

- 3.1 The Local Scrutiny Plan, which was previously the Assurance and Improvement Plan, has been published annually by the Council's Local Area Network since June 2010. Prior to this date each Council was required to participate in a Best Value audit on a 3 year cycle. Since 2010, Local Area Networks have met annually to carry out a shared risk assessment process to identify risks. "Risks" in this context refer to risks that will trigger scrutiny work and not inherent risk, for example as in the risk of harm to an individual. The aim of the shared risk assessment is to focus external scrutiny activity where it is most needed.
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## **Implications of the Report**

1. **Financial – none**
2. **HR & Organisational Development – none**
3. **Community Planning – none**

4. **Legal – none**
  5. **Property/Assets - none**
  6. **Information Technology – none**
  7. **Equality & Human Rights -**
    - (a) The Recommendations contained within this report have been assessed in relation to their impact on equalities and human rights. No negative impacts on equality groups or potential for infringement of individuals' human rights have been identified arising from the recommendations contained in the report as the paper is for noting only. If required the actual impact of the recommendations and the mitigating actions will be reviewed and monitored, and the results of the assessment will be published on the Council's website
  8. **Health & Safety – none**
  9. **Procurement – none**
  10. **Risk** –Shared Risk Assessment is a proportionate and risk-based approach to assessing Scottish Councils.
  11. **Privacy Impact – none**
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### **List of Background Papers**

- a) Background Paper 1 - Local Scrutiny Plan 2015/16 for Renfrewshire Council

The foregoing background paper will be retained within Chief Executive's Service for inspection by the public for the prescribed period of four years from the date of the meeting. The contact officer within the service is Rona Hollywood, Policy and Performance Manager, 0141 618 7415, [rona.hollywood@renfrewshire.gov.uk](mailto:rona.hollywood@renfrewshire.gov.uk)

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**Author:** *Rona Hollywood, Policy and Performance Manager, 0141 618 7415*



# **Renfrewshire Council**

## **Local Scrutiny Plan**

### **2015/16**



March 2015



# Renfrewshire Council

## Local Scrutiny Plan 2015/16

### Introduction

1. This local scrutiny plan sets out the planned scrutiny activity in Renfrewshire Council during 2015/16. The plan is based on a shared risk assessment undertaken by a local area network (LAN), comprising representatives of all the scrutiny bodies who engage with the council. The shared risk assessment process draws on a range of evidence with the aim of determining any scrutiny activity required and focusing this in the most proportionate way.
2. This plan does not identify or address all risks in the council. It covers only those risk areas that the LAN has identified as requiring scrutiny, or where scrutiny is planned as part of a national programme. Planned scrutiny activity across all councils in Scotland informs the National Scrutiny Plan for 2015/16, which is available on the Audit Scotland website.

### Scrutiny risks

3. The conclusion of this year's shared risk assessment is that no scrutiny risks have been identified which require specific scrutiny by the LAN this year. This is the same position as in the previous Assurance and Improvement Plan (AIP) issued in May 2014. Scrutiny activity undertaken in the last 12 months was either at the request of the council or part of national activity.
4. This does not mean that the council has addressed all risks or that all areas of performance are improving. However, it does mean that the LAN is satisfied that the council continues to review and revise its corporate governance and performance management framework. In service areas we are satisfied that there has been either:
  - information gathered by the LAN to demonstrate performance in areas where, previously, further information was required; or
  - the council has demonstrated self-awareness of the standards of performance required at a service level; or
  - there is evidence to demonstrate the council's awareness of, and monitoring of, the key risks to meeting outcomes and service delivery.
5. At the request of the Renfrewshire Community Planning Partnership (CPP), the Care Inspectorate is leading a joint inspection of children's services. The inspection differs from previous joint inspections of services to protect children in that it focuses on the

role of the wider CPP and not just the Child Protection Committee. The inspection is currently underway and a final report is due in spring 2015.

6. The LAN continues to monitor the council's financial position and the challenges to service delivery in the future from increased demand and reducing resources. As part of the budget setting process the council prepares a medium term financial outlook and in last year's AIP (May 2014) we reported the council anticipated that significant savings of £20-£30 million were required over the medium term to 2017/18. In December 2014, members were advised that due to risk and uncertainty over pay pressures, along with significant and growing demand pressures on key service areas, principally in relation to social work, savings of nearer £30 million are required. The Better Council Change Programme (2014-2017) is underway to deliver changes required to ensure the council remains financially sustainable, whilst delivering council and community plans. The initial phase of changes, from the programme agreed by members in October 2014, is anticipated to realise savings of £8.4 million over the medium term.
7. The LAN also acknowledges the widespread governance changes planned for the next 12-18 months and that each brings new senior officer appointments and changes to the remit of policy boards. The main changes are:
  - The role and remit of Renfrewshire Leisure Limited (RLL) is being expanded, with services from the council transferred to RLL eg sports development, bowling greens and pavilions, letting and management of community services. The expanded trust is planned for 1 July 2015.
  - Health and social care for adults will be implemented locally from 1 April 2015 with full integration arrangements due for 1 April 2016.
  - Education and social work services relating to children and criminal justice are to be merged.
  - The council is part of the Glasgow and Clyde Valley City Deal.
8. In our annual report on the audit 2013/14 published in October 2014, we reported that the new council plan 2014-2017, *A Better Future, A Better Council* describes what the council will do to deliver community plan objectives. A suite of performance measures was still to be developed.
9. In February 2015, officers presented a year-one monitoring report to the Leadership Board. The main report highlighted the key achievements in 2014 and the focus for 2015. The report tracks progress towards achieving the priorities and delivering the outcomes set out in the plan and will be presented annually to the Board. In addition the Corporate Management Team monitors a scorecard of strategic performance indicators which measures progress on the priorities and includes the Local Government Benchmarking Indicators. These indicators are reported to the Audit Scrutiny and Petitions Board annually, with the next report being presented in June 2015.



10. The LAN will monitor the impact of the changes implemented to deliver savings through their ongoing work and Audit Scotland will report on the council's progress in managing the funding gap as part of the annual audit.

## Planned scrutiny activity

11. As shown in Appendix 1, the council will be subject to a range of risk-based and nationally driven scrutiny activity during 2015/16. For some of their scrutiny activity in 2015/16, scrutiny bodies are still to determine their work programmes which specific council areas they will cover. Where a council is to be involved, the relevant scrutiny body will confirm this with the council and the appropriate LAN lead.
12. Routine, scheduled audit and inspection work will take place through the annual audit process and the ongoing inspection of school and care establishments by Education Scotland and the Care Inspectorate respectively.
13. Audit Scotland will carry out a programme of [performance audits](#) during 2015/16 and individual audit and inspection agencies will continue to monitor developments in key areas of council activity and will provide support and challenge as appropriate. This will help to inform future assessment of scrutiny risk.
14. Audit Scotland has three planned performance audits covering local government during 2015/16. It will be working jointly with the Care Inspectorate looking at social care and jointly with both the Care Inspectorate and Health Improvement Scotland (HIS) on a Health and Social care integration position statement. It will also carry out a follow-up audit on roads maintenance. Any engagement with councils is still to be determined. Publication of these reports is scheduled for between October 2015 and February 2016.
15. Audit Scotland will continue to carry out a programme of housing benefit risk assessments across councils in 2015/16. For Renfrewshire Council this will be carried out during April 2015.
16. Education Scotland will be working in partnership with councils to carry out Validated Self-Evaluation (VSE) of educational psychology services across all councils over a two-year period beginning in 2015/16. Education Scotland will notify councils of its VSE plans each academic term.
17. The Care Inspectorate and HMICS will carry out a joint thematic review of multi-agency public protection arrangements (MAPPA) in Scotland during 2015. This forms part of a wider programme of national inspection, and is not a result of the LAN shared risk assessment. The purpose of the review will be to assess the state, efficiency and effectiveness of the MAPPA in Scotland, in terms of keeping people safe and reducing the potential risk of serious harm by registered sex offenders in our communities. It will cover all 32 local authorities and involve local authorities, Police Scotland, NHS Boards and the Scottish Prison Service. The joint review will cover the Renfrewshire Council area during May 2015.

18. The Scottish Housing Regulator (SHR) has a planned programme of thematic inquiries into housing services which will be carried out largely in the first quarter of 2015-16, with publication of inquiry reports in the first and second quarters of the year. The thematic inquiries will cover a range of housing services including: Gypsy/Travellers; factoring services; gas safety; complaints handling; customer service standards; repairs; rent consultation; equalities; and openness and accessibility. Some of the thematic inquiries will not involve any on-site work at all and no local authority will be selected for on-site work in more than one thematic. The SHR will contact individual landlords with details about their potential inclusion.
19. During the first and second quarters of the year, the SHR will review the Charter data submitted by social landlords in May 2015 and identify topics for a further programme of thematic inquiries to be taken forward in the second and third quarters of the year.

## **March 2015**

## Appendix 1: Scrutiny plan

Scrutiny body	Scrutiny activity	Date
Audit Scotland	Housing benefit performance audit	April 2015
Care Inspectorate and HMICS	Joint thematic review to assess the state, efficiency and effectiveness of multi-agency public protection arrangements (MAPPA) in Scotland	May 2015
Education Scotland	Education Scotland will be working in partnership with councils to carry out VSE of educational psychology services across all councils over a two-year period beginning in 2015/16	Dates over next two years to be determined
Her Majesty's Inspectorate of Constabulary (HMICS)	HMICS will inspect local policing across Scotland over the next three years. This will examine, amongst other things, local scrutiny and engagement between Police Scotland and councils. Two local Policing Divisions are programmed to be inspected in addition to Edinburgh Division in 2015/16. The Divisions will be identified approximately three months prior to inspection, the first being no earlier than October.	To be determined
Her Majesty's Fire Service Inspectorate (HMFSI)	HMFSI will be inspecting local fire and rescue services across Scotland over the next five years. These inspections will examine, amongst other things, local scrutiny and engagement between the Scottish Fire and Rescue Service and councils. As part of its programme, HMFSI will inspect four local fire and rescue services during 2015/16. Renfrewshire is not included in the programme this year.	To be determined
Scottish Housing Regulator (SHR)	The SHR will carry out a number of thematic inquiries during 2015/16. If Renfrewshire Council is to be involved in a thematic inquiry, SHR will confirm this with the council and the LAN lead.	Councils involved to be determined.



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**To: Audit, Scrutiny and Petitions Board**

**On: 1 June 2015**

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**Report by: Chief Executive**

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**Heading: Local Government Benchmarking Framework Indicator Profile for 2013/2014**

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## **1 Summary**

- 1.1 The Account Commission publishes an annual Direction which sets out the performance information that councils must report in each financial year. The Direction for 2013/14 performance data covers three categories - corporate management, service performance and the Local Government Benchmarking Framework.
  - 1.2 During the year, the Council published local performance information in board reports, key publications and on our website to demonstrate the delivery of Best Value in our service arrangements. The validated Local Government Benchmarking Framework data for 2013/14 was published by the Improvement Service on 31<sup>st</sup> March 2015.
  - 1.3 This report provides the Audit, Scrutiny and Petitions Board with an analysis of Renfrewshire Council's Local Government Benchmarking Framework data for 2013/14. It compares our performance to other councils, highlights improvements in our performance data and identifies areas for further improvement.
  - 1.4 Of the 55 national indicators in the Local Government Benchmarking Framework, 25 of our indicators (45%) have improved in ranking since last year; 9 indicators have retained the same ranking (16%); 17 indicators have declined in ranking (31%) and for 4 of the indicators, no trend information is available. Detailed analysis of the indicator suite is contained in appendix one.
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## **2 Recommendations**

- 2.1 It is recommended that the Audit, Scrutiny and Petitions Board note this report and the improvement actions now being implemented.

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### **3 Background**

- 3.1 The Accounts Commission's annual Direction for 2013/14 set out three categories of performance information which councils were required to report on - corporate management, service performance and, for the first time, the Local Government Benchmarking Framework.
- 3.2 During the year, the Council published local corporate management and service performance information in board reports, key publications and on our website to demonstrate the delivery of Best Value in our service arrangements. The Local Government Benchmarking Framework data was collated, verified and published for all Scottish councils by the Improvement Service. The validated Local Government Benchmarking Framework data for 2013/14 was published on 31<sup>st</sup> March 2015; a link to the Improvement Service reporting tool is available on the performance section of our website.
- 3.3 Renfrewshire Council has participated in the development of the Local Government Benchmarking Framework (LGBF) since its inception in 2010. The framework reports on a suite of 55 indicators which cover the majority of council services under eight service categories:
1. Children's Services
  2. Corporate Services
  3. Adult Social Care
  4. Culture and Leisure Services
  5. Environmental Services
  6. Housing Services
  7. Corporate Asset Management
  8. Economic Development

The framework indicators report on service costs, customer satisfaction and service effectiveness.

#### **4. National Trends in 2013/14**

- 4.1 The annual report on the Local Government Benchmarking Framework data that is published by the Improvement Service gives a national picture about service delivery across Scotland. The analysis highlights a number of trends in the national dataset:
- In Education Services, the number of pre-school places has increased by 11.8% since 2010, despite a reduction in spend. There has also been a reduction in primary and secondary education costs per pupil since 2010/11; however, there has been a continued improvement in attainment;
  - Corporate support costs account for approximately 5% of gross revenue spending across councils and there is ongoing improvement in equal pay opportunities across genders.
  - In Adult Social Care, costs have reduced in relation to the unit costs for both care at home and residential care. The number of people receiving intensive care at home services is also increasing. There has also been a steady increase in the

percentage of budgets spent on self-directed support and this trend is expected to increase as the change in practice is embedded.

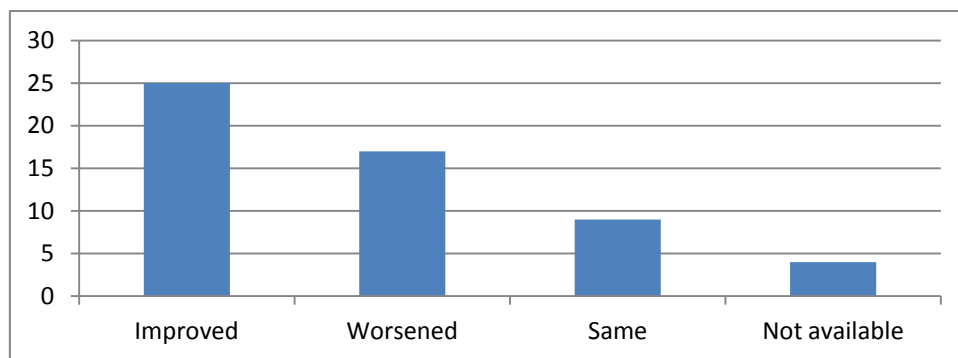
- Culture and Leisure Services has experienced significant increases in visitor numbers at sports facilities, libraries and museums at the same time as experiencing reductions in gross expenditure.
- Environmental Services indicators show that recycling rates are improving across Scotland whilst costs are reducing in waste management and street cleaning.
- Housing indicators show a reduction in rent lost through voids and there continues to be significant improvement in the number of dwellings meeting Scottish Housing Quality Standards.

## 5. Overview of Renfrewshire's Performance

5.1 The Local Government Benchmarking Framework dataset enables councils to review their own performance over time, compare performance against peer authorities and identify areas for improvement. An overview of Renfrewshire's 2013/14 data set shows:

- 25 indicators have improved on their ranking position from last year
- 17 indicators have declined in the rankings
- 9 rankings have remained the same
- There are 4 indicators where trend information is unavailable either because the data has not yet been published or they are new indicators.

5.2 The table below illustrates performance indicator trends over the past year:



### Analysis of top quartile and significant improvements

5.3 The Council was ranked in the top quartile (1<sup>st</sup> to 8<sup>th</sup>) of Scottish councils for twelve of the framework indicators:

1. Percentage of pupils from deprived areas gaining 5+ awards at level 6 (SIMD) (6<sup>th</sup> at 14.17%);
2. Cost per secondary school pupil (1<sup>st</sup> at £5,582);
3. Balance of care for looked after children: % of children being looked after in the community (6<sup>th</sup> at 92%);
4. Percentage of highest paid 5% of employee who are women (4<sup>th</sup> at 54.52%);

5. Average time (hours) between time of noise complaint and attendance on site (2<sup>nd</sup> at 0.46 hours);
  6. Percentage of invoices paid within 30 days (2<sup>nd</sup> at 96.54%);
  7. Older persons (over 65) home care costs per hour (4<sup>th</sup> at £16.81);
  8. Net cost of waste collection per premises (4<sup>th</sup> at £43.81);
  9. Cost of trading standards per 1,000 population (3<sup>rd</sup> at £2,645);
  10. Average time taken to complete non emergency repairs (8<sup>th</sup> at 8.46);
  11. Proportion of operational buildings that are suitable for their current use (3<sup>rd</sup> at 91.91%);
  12. Percentage of unemployed people assisted into work from council operated/funded employability programmes (8<sup>th</sup> at 14.23%).
- 5.4 Our support costs have improved from 6.39% to 4.53% of total gross expenditure costs. As a result, this indicator has moved from 29<sup>th</sup> place to 13<sup>th</sup> and our support costs are now below the Scottish average of 5.07%.

### **Analysis of bottom quartile and declining performance**

- 5.5 The Council ranked in the bottom quartile (25<sup>th</sup> to 32<sup>nd</sup>) of Scottish Councils in ten of the framework indicators. Further information on why the indicators are in the bottom quartile and planned actions to improve performance are provided in appendix one.
- Cost of democratic core costs per 1,000 population: costs have reduced from £46,618 to £45,037 and this indicator has improved from 27<sup>th</sup> to 26<sup>th</sup> place;
  - The cost per dwelling of collection Council Tax moved from 18<sup>th</sup> to 27<sup>th</sup> place, as costs have increased from £13.40 to £14.69. However, this reflects additional costs incurred to increase the percentage of council tax collected to 96.02% (ranked 13<sup>th</sup>);
  - The gross cost of children looked after in residential based services per child per week has increased from £2,458 to £3,651 and has moved from 11<sup>th</sup> to 25<sup>th</sup> place;
  - The gross cost of children looked after in a community setting per child per week has increased from £336.81 to £353.61 and remains ranked in 28<sup>th</sup> place;
  - SDS spend on adults 18+ as a percentage of total social work spend on adults over 18 is ranked in 28<sup>th</sup> place. The percentage of spend has increased from 1.07% to 1.27%;
  - Percentage of people 65+ with intensive needs receiving care at home has improved in the rankings from 28<sup>th</sup> to 27<sup>th</sup> place. The percentage rate has increased from 26.21% to 28.21%;
  - The cost per library visit has dropped in the rankings from 24<sup>th</sup> to 26<sup>th</sup> place, as costs have increased from £4.35 to £4.45;
  - The cost per museum visit has improved in the rankings from 30<sup>th</sup> to 27<sup>th</sup> place as costs have reduced from £18.92 to £10.05;
  - Street cleanliness score has dropped in the rankings from 24<sup>th</sup> to 31<sup>st</sup> place as the percentage acceptable score has dropped from 94% to 87.4%;



- Percentage of dwellings meeting the Scottish Housing Quality Standard has remained at 26<sup>th</sup> place in the rankings; the percentage of dwellings meeting the standard has risen significantly from 32.3% to 62.1%.

5.6 The performance of the Local Government Benchmarking Framework indicators will continue to be monitored and progressed through the service improvement planning process and through further benchmarking activities undertaken through the family groups to develop and share best practice. A report on the Local Government Benchmarking Framework will also be submitted to the Audit, Scrutiny and Petitions Board on an annual basis to review performance and monitor progress.

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## Implications of the Report

1. **Financial** – none.
  2. **HR & Organisational Development** – none.
  3. **Community Planning** –  
 Children and Young People – none.  
 Jobs and the Economy - none.  
 Community Care, Health and Wellbeing - none.  
 Safer and Stronger Renfrewshire - none.  
 Greener Renfrewshire – none.  
 Empowering our Communities – none.
  4. **Legal** - none.
  5. **Property/Assets** – none.
  6. **Information Technology** – none.
  7. **Equality & Human Rights** – The recommendations contained within this report have been assessed in relation to their impact on equalities and human rights. No negative impacts on equality groups or potential for infringement of individuals' human rights have been identified arising from the recommendations contained in the report. If required, following implementation, the actual impact of the recommendations and the mitigating actions will be reviewed and monitored, and the results of the assessment will be published on the Council's website.
  8. **Health & Safety** – none.
  9. **Procurement** – none.
  10. **Risk** - none.
  11. **Privacy Impact** – none
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## List of Background Papers

(a) None

**Author:** Paul McLean, Policy Lead- Performance Management, 0141 618 6264  
Fiona Naylor, Business Planning and Finance Manager, 0141 618 7386

## 1 Children's Services

- 1.1 The Children's Services indicators detailed in the table below report on cost per pupil, educational attainment and the costs of looking after children. Other authorities in this family group are: Falkirk, Clackmannanshire, Dumfries and Galloway, Fife, South Ayrshire, West Lothian and South Lanarkshire.

Children's Services						
Indicator	Rank (of 32)		Renfrewshire data		Scottish Average	Family group position
	2012/13	2013/14	2012/13	2013/14		
Cost per primary school pupil	3	12	£4,240	£4,560	£4,734	5
Cost per secondary school pupil	1	1	£5,425	£5,582	£6,532	1
Cost per pre-school education registration	11	11	£2,699	£2,622	£3,008	4
Percentage of pupils gaining 5+ awards at level 5	14	N/A	40.41%	N/A	N/A	N/A
Percentage of pupils gaining 5+ awards at level 6	18	10	24.49%	30.35%	28.08%	2
Percentage of pupils from deprived areas gaining 5+ awards at level 5 (SIMD)	8	N/A	21.82%	N/A	N/A	N/A
Percentage of pupils from deprived areas gaining 5+ awards at level 6 (SIMD)	14	6	9.53%	14.17%	12.59%	2
The gross cost of "children looked after" in residential based services per child per week	11	25	£2,458	£3,651	£3,098	8
The gross cost of "children looked after" in a community setting per child per week	28	28	£336.81	£353.61	£264.83	8
Balance of care for looked after children: % of children being looked after in the community	14	6	90%	92%	N/A	1
Percentage of adults satisfied with local schools	4	17	92%	83%	81%	4
Proportion of pupils entering positive destinations	24	22	90.2%	92%	92.3%	7

### 1.2 Children's Services – Key Points:

- Our attainment figures are above the national average and our ranking for pupils gaining 5+ at level 6 has improved from 18<sup>th</sup> to 10<sup>th</sup>. Our ranking position for children from deprived areas gaining 5+ at level 6 has improved from 14<sup>th</sup> to 6<sup>th</sup> position as our performance has improved by around 4.5% points. We performed above the national average and are 2<sup>nd</sup> in our family group;
- The satisfaction rates of adults with local schools was 83% and our ranking has dropped from 4<sup>th</sup> to 17<sup>th</sup>, however, our performance is above the national average;
- We have improved our position for pupils entering positive destinations to 22<sup>nd</sup> and at 92%, we are just below the national average;
- Costs per primary school pupil have increased which has moved our ranking from 3<sup>rd</sup> to 12<sup>th</sup> overall; however, costs remain below the national average;
- Costs per secondary school pupil have increased; however, our costs remain the lowest overall in Scotland;
- Our costs for pre-school education are below the national average and, although our costs have reduced slightly between years, we remain in 11<sup>th</sup> place overall;

- Nationally costs per place of pre-school education have decreased by over 3% to £3,008, whereas in Renfrewshire the same costs have gone down by 2.85% in 2013/14 (from £2,699 to £2,622). Primary and secondary education has seen a reduction in real costs per pupil to an average combined cost of £11,266. In Renfrewshire our figure is below the national average (at £10,142), despite increasing by 4.9%.

### Children's Services - Indicator spotlight

#### Percentage of pupils from deprived areas gaining 5+ awards at level 6 (SIMD)

##### Context:

The percentage of pupils from deprived areas gaining 5+ awards at level 6 (SIMD) is now above the Scottish average and has improved over the last few years. From 2012/13 to 2013/14, this indicator increased nearly 5%.

##### Improvement Actions:

To ensure that our improvement continues, our performance will be reviewed against our peers, and we will ensure that we are targeting and adapting our support provision to those from deprived areas. Closing the attainment gap is a key area of focus in our approach to Tackling Poverty. An action plan is currently being developed with community planning partners to address the findings and recommendations in the Tackling Poverty Commission's report to provide a sustainable route out of poverty.

## 2 Corporate Services

- 2.1 The Corporate Services indicators detailed in the table below report. This service is benchmarked with: Angus, Clackmannanshire, Midlothian, South Lanarkshire, Inverclyde, West Lothian and East Renfrewshire.

Corporate Services						
Indicator	Rank (of 32)		Renfrewshire data		Scottish Average	Family group position
	2012/13	2013/14	2012/13	2013/14		
Support services as a percentage of total gross expenditure	29	13	6.39%	4.53%	5.07%	5
Cost of democratic core per 1,000 population	27	26	£46,618	£45,037	£32,025	7
The percentage of the highest paid 5% of employees who are women	9	4	52.40%	54.52%	50.70%	1
The cost per dwelling of collecting Council Tax	18	27	£13.40	£14.69	£12.13	8
Average time (hours) between time of noise complaint and attendance on site, for those requiring attendance on site	5	2	0.61	0.46	80.73	1
Sickness absence days per employee	13	12	9.63	9.06	9.24	4
Percentage of income due from Council Tax received by the end of the year	12	13	95.94%	96.02%	95.16%	3
Percentage of invoices sampled that were paid within 30 days	4	2	95.35%	96.54%	91.93%	1

## 2.2 Corporate Services – Key Points:

- On average support costs account for 5% of total gross revenue spend across Scotland. In Renfrewshire support services as a % of total gross expenditure have reduced by 1.86% from 6.39% in 12/13 to 4.53% in 2013/14. Although our democratic core costs reduced by 3.4%, our costs are higher than other councils;
- Nationally the cost of collecting Council Tax has reduced to £12.13 per dwelling, whilst our cost of collection has increased to £14.69 (13/14) from £13.40 (12/13); this reflects the additional costs incurred to increase our overall collection rate above the national average to 96.02%;
- We are the 4<sup>th</sup> highest performer in the percentage of the highest paid 5% of employees who are women (54.52% compared to a national average of 51%) and first in our family group.

### Corporate Services - Indicator Spotlight

#### The cost per dwelling of collecting Council Tax

##### Context:

The cost of collection of Council Tax per chargeable dwelling was £14.69 in 2013/14, compared to the national average of £12.13. The higher than average cost reflects the additional costs incurred to collect Council Tax in a more deprived council area combined with the Council's drive to deliver improved year on year performance in Council Tax collection; this approach resulted in the Council collecting 96% of income due, approximately 1% above the Scotland average of 95.16%.

In comparison to our natural family group of councils – Glasgow; South Lanarkshire; North Lanarkshire; West Dunbartonshire; Inverclyde; Dundee; Edinburgh and Aberdeen – our cost is within the middle of the group which ranges from £9.70 in Aberdeen to £18.43 in Edinburgh. Our Council Tax collection rate is also 1.75% higher than the average collected by these councils, with Dundee collecting only 92.66% of income compared to 96.02% in Renfrewshire.

Our approach to Council Tax collection generates additional Council Tax income, as we collect approximately £559,000 above the national average Council Tax income collection rate. The higher than average cost reflects the challenges faced on a local level due to the socio-economic profile of the area, the current economic climate and the extra costs incurred to increase Council Tax income.

The Council provides a wide range of payment options to help our citizens pay on time, lower sheriff officer collection rates and to increase our collection rates which may not be provided by all other councils. Despite the increase in cost from last year, the performance has improved since 2011 by a reduction of 3.5%. The new Customer Access strategy will help to streamline customer transactions including the payment of Council Tax and this should help to reduce the cost of Council Tax collection.

## 3. Adult Social Care

- 3.1 The Adult social care indicators are detailed in the table below. This service is benchmarked with: Falkirk, Clackmannanshire, Dumfries and Galloway, Fife, South Ayrshire, West Lothian and South Lanarkshire.

Adult Social Care						
Indicator	Rank (of 32)		Renfrewshire data		Scottish Average	Family group position
	2012/13	2013/14	2012/13	2013/14		
Older persons (over 65) home care costs per hour	8	4	£17.30	£16.81	£20.25	1
SDS spend on adults 18+ as a % of total social work spend on adults 18+	27	28	1.07%	1.27%	6.40%	6
Percentage of people 65+ with intensive needs receiving care at home	28	27	26.21%	28.21%	34.74%	7
Percentage of adults satisfied with social care or social work services	11	15	64%	58%	55%	4
Net residential costs per week for older persons (over 65)	5	17	£335.00	£381.90	£368.35	5

### 3.2 Adult Social Care Indicators – Key Points:

- Nationally, the homecare cost per hour per adult over the age of 65 is £20.25. In Renfrewshire the costs have reduced over the past year by 2.88% from £17.30 (12/13) to £16.81 (13/14);
- Residential care costs per adult over the age of 65 have reduced in the last 12 months to £368.35. In Renfrewshire our costs from last year have increased by 14% to £381.90; this increase is mostly due to inclusion of cleaning costs for the first time;
- Nationally, the percentage of people with intensive needs receiving care at home continues to increase to 34.7%. In Renfrewshire the percentage has also increased by 2% points from 26.21% (12/13) to 28.21% (13/14);
- Self-directed support is now being embedded in day to day practice, and spend which has gone through the new process continues to increase year on year. In 2012/13, 1.07% of spend on adult social care in Renfrewshire could be classed as self-directed support, and this rose to 1.27% in 2013/14. These figures relate to the period prior to legislation which allowed full roll-out of the SDS approach;
- Adults satisfied with social care/work services has decreased year on year since 2010/11, from 62% in 2010/11 to 55% in 2013/14. This trend is replicated in Renfrewshire where satisfaction levels have also dipped from 64% (12/13) to 58% (13/14), although we remain above the national average. The surveys used to measure this indicator also include opinions from those people who have not used social care, so an element of the return will be based on perception.

### **Indicator Spotlight**

#### **SDS spend on adults 18+ as a % of total social work spend on adults 18+**

Self-directed support (SDS) means giving service users the chance to have greater choice and control over the social care services which meet their assessed needs. For some people this may mean having a direct payment to buy services, for others it means having a say in the services provided on their behalf. Since a change in the law on 1 April 2014, all Social Work service users are offered services on the basis of SDS.

Since 2010/11 our position in the rankings has been stable, however these rankings do not show the local improvements in performance over the period. Before April 2014, we were only able to offer SDS to those people who wanted to, and were able to, have a direct payment. Social Work has been working hard over the last few years to increase the number of people receiving a direct payment, and there was a 32% increase during 2012/13. Uptake has continued to grow during 2013/14 in line with the measured and paced increase agreed.

The majority of local authorities spend less than 3% of their adult services budgets on SDS, but the percentage will increase considerably over the next few years as the new legislation is implemented. In Renfrewshire, this is being rolled out on a phased basis, with new service users following the SDS process and existing service users transferring as their scheduled reviews arise. Under new joint arrangements, performance in this area will be addressed through the Strategic Commissioning Plans of the new Integrated Joint Board. Adult Services will continue to offer self directed support to clients and expects to see a continued steady growth in provision.

### **Indicator Spotlight**

#### **Percentage of people 65+ with intensive needs receiving care at home**

This indicator is a proxy measure for the percentage of clients (65+) with intensive care needs provided for in the community. It takes those receiving 10 hours or more of care at home, those in residential care and those in long term hospital care as the population with intensive care needs and expresses those receiving 10+ care at home as a percentage of this total.

This indicator uses care at home hours as a proxy for intensive care in the community and as such does not take into account other elements of packages such as the responder service, community meals and telecare that are an important component of care at home in Renfrewshire.

Renfrewshire has improved performance in this area over the last three years but parallel improvements in other Authorities has led to performance remaining in the bottom quartile in relative terms.

Under new joint arrangements, performance in this area will be addressed through the Strategic Commissioning Plans of the new Integrated Joint Board.

### Indicator spotlight

#### Percentage of adults satisfied with social care or social work services

This indicator measures the proportion (%) of all adults surveyed who were satisfied or very satisfied with their social care or social work services.

The Scottish Household Survey could previously provide a full set of local authority data only on a bi-annual basis, the most recent being SHS 2009/2010 from August 2011. The survey was substantially redesigned meaning that going forward, local authority data will be released on an annual basis (first results from SHS 2012 around August 2013). Some caution should be taken as the sample sizes for some Local Authorities can be small.

This indicator is taken from information gathered by the Scottish Household Survey and represents a fairly small sample at a Local Authority level. Despite a small decrease in satisfaction in 13/14, Renfrewshire remains above the Scottish average and has maintained a consistent level in the last three surveys.

Under new joint arrangements, performance in this area will be addressed through the Strategic Commissioning Plans of the new Integrated Joint Board. Satisfaction with Services will be addressed in the wider context of reporting focussed on the achievement of outcomes for clients.

## 4 Culture and Leisure Services

- 4.1 The indicators in this set reflect cost and satisfaction with leisure and cultural facilities. This service is benchmarked with: Angus, Clackmannanshire, Mid Lothian, South Lanarkshire, Inverclyde, West Lothian and East Renfrewshire.

Culture & Leisure Services						
Indicator	Rank (of 32)		Renfrewshire data		Scottish Average	Family group position
	2012/13	2013/14	2012/13	2013/14		
Cost per attendance at sports facilities	7	14	£2.49	£3.11	£3.88	3
Cost per library visit	24	26	£4.35	£4.45	£2.70	8
Cost of museums per visit	30	27	£18.92	£10.05	£3.72	6
Cost of parks & open spaces per 1,000 population	18	18	£30,847	£31,737	£30,738	4
Percentage of adults satisfied with libraries	15	18	84%	81%	81%	3
Percentage of adults satisfied with parks and open spaces	21	20	83%	84%	86%	4
Percentage of adults satisfied with museums and galleries	15	9	79%	83%	76%	2
Percentage of adults satisfied with leisure facilities	14	14	83%	81%	78%	3



## 4.2 Cultural and Leisure Indicators – Key Points:

Costs per visit to libraries and sports centres have increased, but our cost per visit to museums has decreased. Across museums and sports centres there were large increases in the number of visits; this can be attributed to increased investment in existing and new facilities.

- Library costs increased from £4.35 (12/13) to £4.45 (13/14);
- Museum costs reduced from £18.92 (12/13) to £10.05 (13/14);
- Sports Centres rose from £2.49 (12/13) to £3.11 (13/14).

## 5. Environmental Services

5.1 The Environmental Services indicators are detailed in the table below. This service is benchmarked with: Angus, Clackmannanshire, Midlothian, South Lanarkshire, Inverclyde, West Lothian and East Renfrewshire.

Environmental Services						
Indicator	Rank (of 32)		Renfrewshire data		Scottish Average	Family group position
	2012/13	2013/14	2012/13	2013/14		
Net cost of Waste collection per premises	5	4	£42.85	£43.81	£61.32	2
Net cost per Waste disposal per premises	13	13	£78.20	£77.09	£91.75	5
The % of total waste arising that is recycled	20	15	40.11	44.3%	42.2%	5
% of adults satisfied with refuse collection	23	16	82	85%	83%	4
Net cost of street cleaning per 1,000 population	29	17	£22,225	£15,520	£16,260	6
Cleanliness Score (%age Acceptable)	24	31	94	87.4%	96.1%	8
% of adults satisfied with street cleaning	20	24	74	71%	74%	8
Cost of maintenance per kilometre of roads	13	15	£6,691	£6,549	£6,082	2
Percentage of A class roads that should be considered for maintenance treatment	17	16	25.79	25.8%	28.7%	6
Percentage of B class roads that should be considered for maintenance treatment	10	14	28.89	28.9%	35.2%	6
Percentage of C class roads that should be considered for maintenance treatment	18	21	35.80	39.2%	36.6%	6
Percentage of U class roads that should be considered for maintenance treatment	19	22	39.4	41.5%	39.4%	6
Cost of trading standards per 1,000 population	1	3	£1,566	£2,645	£5,609	2
Cost of environmental health per 1,000 population	21	24	£18,066	£22,369	£18,322	8

## 5.2 Environmental Services Indicators – Key Points:

- Nationally, recycling rates continue to improve to 42.2% (2013/14). By comparison, Renfrewshire's recycling rate has improved by 4.2% points to 44.3% (2013/14) which is just over 2% above the national average;
- Across Scotland, street cleaning costs per 1,000 head of population continue to reduce, whilst the cleanliness score and satisfaction rates improve. In Renfrewshire, satisfaction rates in street cleaning have reduced from 74% (2012/13) to 71% in (2013/14), as has our street cleanliness score from 94% (2012/13) to 87.4% (2013/14). In addition the net cost of street cleaning per 1,000 head of population has reduced to £15,520 (2013/14) from £22,224 (2012/13);
- Overall costs for roads maintenance per km in Scotland have reduced in real terms by -21.2% since 2010/11 to £6,082.13. Renfrewshire has seen overall costs for road maintenance reduced by 27.6% since 2010/11. Last year saw a reduction of 2.12% to £6,548.94.

### Indicator spotlight

#### Street Cleanliness Score (%age Acceptable)

The Street Cleanliness score is a measure of the quality of the street cleansing services provided by councils where streets are a percentage of streets considered 'acceptably clean'.

Renfrewshire's Cleanliness Score was 95.9% in 2010/11 and was 87.4 % in 2013/14; the Scottish average in 2013/14 was 96.1%. The Council was ranked 15th in both 2010/11 and 2011/12, in 2012/13 it was ranked 24th and in 2013/14 it was ranked 31<sup>st</sup>. The provisional survey score for Renfrewshire in 2014/15 has increased to 88.2%.

Over the past five years new service specifications have been introduced, including increasing the amount of seasonal working and moving to 4 on 4 off shift patterns. A change of approach has seen targeted street cleaning to Town Centres, main arterial routes and known litter hotspots. Street cleaning activities in areas out with these areas has reduced accordingly.

As part of the Environmental Strategy, officers are visiting businesses in Paisley, Johnstone and Renfrew Town Centres to address issues with trade waste disposal in order to improve the standard of cleanliness in our Town Centres. Fixed penalty notices are issued for fly-tipping and warnings are issued for incorrect waste storage and presentation. Education and advice are provided by officers. These visits and inspections are made on a twice weekly basis to ensure the improvements made to date are sustained.

The service also benchmarks with other local authorities, looking at quality, cost and good practice and a Land Audit Management System has been developed and implemented to audit the performance of StreetScene Services.

### Indicator spotlight

#### % of adults satisfied with street cleaning

This indicator measures the proportion (%) of all adults surveyed who were satisfied or very satisfied with street cleaning services. The data is gathered in the Scottish Household Survey (SHS) and, whilst the data is proportionate at Scotland level, it is acknowledged by the Improvement Service that there are limitations at council level in relation to the very small sample sizes.

Satisfaction increased from 72.9% in 2010/11 to 74% 2012/13 but decreased to 71% in 2013/14 (3% below the Scottish average). In addition to the issues referred to in the Street Cleanliness Score indicator, the statistical issues highlighted above (i.e. small survey sample size) also impact on performance.

The Improvement Service has indicated that they will be working with councils and the Scottish Government to develop improved satisfaction measures across the LGBF suite of indicators. The service will contribute to this process through the benchmarking family process.

## 6 Housing Services

- 6.1 The Housing Services indicators are detailed in the table below. This service is benchmarked with: Falkirk, Clackmannanshire, Fife, South Ayrshire, West Lothian and South Lanarkshire.

Housing Services						
Indicator	Rank (of 26)		Renfrewshire data		Scottish Average	Family group position
	2012/13	2013/14	2012/13	2013/14		
Gross rent arrears as a percentage of rent due	N/A	21	N/A	6.73	5.50	6
Percentage of rent due in the year that was lost due to voids	25	24	3.13	2.57	1.29	7
Percentage of dwellings meeting SHQS	26	26	32.3	62.10	83.67	7
Average length of time taken to complete non-emergency repairs (days)	N/A	8	N/A	8.46	10.17	2
Percentage of council dwellings that are energy efficient	26	22	72.86	85.07	94	7

### 6.2 Housing Services Indicators – Key Points:

- This is the first year of reporting the gross rent arrears indicator; we are ranked 21<sup>st</sup> overall and 1% point above the national average;
- Our performance in rent loss to voids has shown a slight improvement from last year and has moved out of the bottom quartile. We are continuing to implement our improvement action plan which has further improved performance in 2014/15;
- Our compliance with the Scottish Housing Quality Standard (SHQS) has almost doubled to 62.1%; however, we remain 26<sup>th</sup> overall, the main reason for this is that Renfrewshire started the programme later. The SHQS programme has since been completed on schedule, resulting in 100% compliance by March 2015;
- We are ranked 8<sup>th</sup> overall for the average length of time taken to complete non emergency repairs and 2<sup>nd</sup> in our family group;

- We have improved 4 places to 22<sup>nd</sup> for the percentage of council dwellings that are energy efficient.

#### **Indicator Spotlight**

##### **Percentage of rent due in the year that was lost due to voids**

Rent loss due to voids is the amount of rent lost due to a property lying empty, measured in calendar days, between the date of termination of a previous tenancy or repossession and the start date of a new tenancy. As well as being reported to the LGBF, this indicator is also reported in the Scottish Social Housing Charter.

The level of void loss was partly due to the time taken to repair void properties, the impact of incorporating SHQS works within the void period (as a result of the compressed programme to achieve 2015 compliance) and the implementation of the regeneration and marketing initiatives; which whilst positive in the long term, have an impact on days to let and rent loss. Although performance is below the Scottish average, the % rent loss due to voids has shown continuous improvement over the last 3 years.

An Action Plan was developed which focused on areas for improvement across all work areas within the void management process. Actions taken have delivered sustained improvements. We are continuing to implement improvement actions, including:

- Continued operation of the property shop at Moss Street in Paisley town centre
- Marketing properties to compliment pilot choice-based letting initiatives.
- Increasing the desirability of properties and areas through SHQS works and regeneration projects.

#### **Indicator spotlight**

##### **Percentage of council dwellings that are energy efficient**

The Energy Efficiency of dwellings is one of 5 primary SHQS compliance criteria. Compliance with the energy efficiency element of SHQS is based on achieving agreed energy ratings.

The Council's ability to meet full compliance can be compromised by lack of access to properties or lack of agreement from private owners to participate in common works programmes. In these circumstances properties are put into a recognised abeyance category until such time as access can be achieved, often when the property is void or when agreement can be reached with owners to carry out work in common blocks. Future capital programmes will make provision for addressing abeyances.

Final SHQS outcomes will be available by June 2015 which will reflect investment up to 1 April 2015. Total HRA capital expenditure in 2014/2015 is likely to outturn around £32M and includes significant programmes of external wall insulation works, cavity wall insulation, loft insulation and central heating replacements all of which will contribute to the improved energy performance of the housing stock.

To assist with these programmes the Council has also benefitted during 2014/2015 from major support (estimated at approximately £8M) under the Government's ECO (Energy Company Obligation) programme, as well as funding from a Scottish Government programme to assist owners to participate in common works which deliver energy efficiency benefits.

It is anticipated that the overall investment in 2014/15 will make a significant contribution to the percentage of houses that meet the energy efficiency target at the end of financial year 2014/15. The Council will continue to address abeyances through consultation with tenants, void house programmes and promotion of agreements with owners on common works.

## 7 Corporate Assets

- 7.1 The Corporate Asset indicators are detailed in the table below. This service is benchmarked with: Angus, Clackmannanshire, Midlothian, South Lanarkshire, Inverclyde, West Lothian and East Renfrewshire.

Corporate Assets						
Indicator	Rank (of 32)		Renfrewshire data		Scottish Average	Family group position
	2012/13	2013/14	2012/13	2013/14		
Proportion of operational buildings that are suitable for their current use	3	3	90.79	91.91%	78.21%	2
Proportion of internal floor area of operational buildings in satisfactory condition	13	13	87.22	88.52%	80.92%	3

### 7.2 Corporate Asset Indicators – Key Points:

- In both indicators, we are well above the national average. We remain 3<sup>rd</sup> and 13<sup>th</sup> overall for suitability and satisfactory condition of buildings.

## 8 Economic Development

- 8.1 The economic development indicators are detailed in the table below. This service is benchmarked with: Angus, Clackmannanshire, Midlothian, South Lanarkshire, Inverclyde, West Lothian and East Renfrewshire.

Economic Development						
Indicator	Rank (of 32)		Renfrewshire data		Scottish Average	Family group position
	2012/13	2013/14	2012/13	2013/14		
Percentage of unemployed people assisted into work from council operated/funded employability programmes	17	8	6.91	14.23%	12.58%	2

### 8.2 Economic Development Indicators – Key Points:

- In the last 12 months, the Scotland average for % of unemployed people assisted into work from Council funded/operated employability programmes rose from 9.6% to 12.6% of total unemployed. Performance in Renfrewshire has improved from 6.9% (2012/13) to 14.2 % (2013/14). We are 8<sup>th</sup> overall.



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**To: Audit, Scrutiny and Petitions Board**

**On: 1 June 2015**

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**Report by: Chief Auditor**

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**Heading: Internal Audit Annual Report 2014 - 2015**

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**1. Summary**

- 1.1 The Public Sector Internal Audit Standards require the Chief Auditor to prepare a report, at least annually, to senior management and the Board on the internal audit activity's purpose, authority, and responsibility, as well as performance relative to its plan.
- 1.2 The annual report must also provide an annual audit opinion on the overall adequacy and effectiveness of the Council's internal control environment, and include details of any significant risk exposures and control issues, including fraud risks, governance issues, and other matters that can be used to inform the governance statement.
- 1.3 The Annual Report for 2014-15 is attached at Appendix 1 and outlines the role of Internal Audit, the performance of Internal Audit, the strategic and operational issues which influenced the nature of the work carried out, the key audit findings, and contains the annual audit assurance statement.
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**2. Recommendations**

- 2.1 Members are invited to consider and note the contents of the Annual Report.
-

## Implications of the Report

1. **Financial** - None
2. **HR & Organisational Development** - None
3. **Community Planning – Safer and Stronger** - effective internal audit is an important element of good corporate governance.
4. **Legal** - None
5. **Property/Assets** - None
6. **Information Technology** - None
7. **Equality & Human Rights**
  - (a) The Recommendations contained within this report have been assessed in relation to their impact on equalities and human rights. No negative impacts on equality groups or potential for infringement of individuals' human rights have been identified arising from the recommendations contained in the report. If required following implementation, the actual impact of the recommendations and the mitigating actions will be reviewed and monitored, and the results of the assessment will be published on the Council's website.
8. **Health & Safety** – None
9. **Procurement** - None
10. **Risk** - The summary reported relates to the delivery of the risk-based internal audit plan.
11. **Privacy Impact** – None

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**Author:** Andrea McMahon – 01416187017





# Annual Report 2014-2015



## Finance & Resources Internal Audit

June 2015



<p style="text-align: center;"><b>Renfrewshire Council</b></p> <p style="text-align: center;"><b>Internal Audit Annual Report 2014/2015</b></p>
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## Contents

		Page
1.	Introduction	1
2.	Responsibilities of Management and Internal Audit	2
3.	Internal Audit Activity in 2014/15	2
4.	Summary of Internal Audit Work	5
5.	Internal Audit Resources	5
6.	Review of Internal Audit Activity <ul style="list-style-type: none"> <li>Table 1 – Analysis by category of audit</li> </ul>	5
7.	Quality Assurance and Improvement Activity <ul style="list-style-type: none"> <li>Table 2 – Internal Audit Performance</li> </ul>	7
8.	External evaluation of Internal Audit	9
9.	Audit Assurance Statement	9
	Appendix 1 – Summary of Assurances	



## **Renfrewshire Council**

### **Internal Audit Annual Report**

**1 April 2014 – 31 March 2015**

#### **1. Introduction**

- 1.1 The Director of Finance and Resources has overall responsibility for Internal Audit in Renfrewshire Council. The Chief Auditor reports directly to the Director of Finance and Resources. In accordance with the principles of good corporate governance, regular reports on internal audit work and performance are presented to the Audit Panel and to the Audit, Scrutiny and Petitions Board.
- 1.2 The purpose, authority and responsibility of the internal audit activity is defined in the internal audit charter, approved by the Audit, Scrutiny and Petitions Board; and provides that the Chief Auditor has independent responsibility for the conduct, format and reporting of all Internal Audit activity and findings.
- 1.3 The Service operates in accordance with the Public Sector Internal Audit Standards which defines Internal Audit's role as:  
  
".....an independent, objective assurance and consulting activity designed to add value and improve an organisation's operations. It helps an organisation accomplish its objectives by bringing a systematic, disciplined approach to evaluate and improve the effectiveness of risk management, control and governance processes."
- 1.4 The Standards define the basic principles for carrying out internal audit. They establish the framework for providing internal audit services, which add value to the organisation, leading to improved organisational processes and operations. The basis for the evaluation of internal audit performance to drive improvement planning is also set out.
- 1.5 The Standards require the Chief Auditor to prepare a report, at least annually, to senior management and the Board on the internal audit activity's purpose, authority, and responsibility, as well as performance relative to its plan. The annual report must also provide an annual audit opinion, on the overall adequacy and effectiveness of the Council's internal control environment. It must include details of any significant risk exposures and control issues, including fraud risks, governance issues, and other matters that can be used to inform the governance statement.
- 1.6 The aim of this report is to provide an opinion on the overall adequacy and effectiveness of the council's framework of governance, risk management and control and provide a summary of the work undertaken during the year to support that opinion. The report also provides details of the performance of

the Internal Audit service during the past year, and the results of the quality assurance and improvement programme.

- 1.7 In addition to the work carried out in relation to council services, we also provide an internal audit service to the following organisations for whom Renfrewshire is the host authority:
- Renfrewshire Leisure Limited
  - Renfrewshire Valuation Joint Board
  - Clyde Muirshiel Park Authority
  - Scotland Excel
  - North Strathclyde Community Justice Authority
  - Glasgow and Clyde Valley Strategic Development Planning Authority
- 1.8 The outcome of the audit assignments undertaken for these organisations is reported separately as part of the annual report which also contains an assurance statement to their Boards.

## **2. Responsibilities of Management and Internal Audit**

- 2.1 It is the responsibility of the Council's managers to ensure that the management of the areas under their control is adequate and effective and that their services have a sound system of internal control which facilitates the effective exercise of the organisation's functions and which includes arrangements for the management of risk.
- 2.2 Internal Audit is not a substitute for effective control exercised by management as part of their responsibilities. Internal Audit's role is to independently assess the adequacy of the risk management, internal controls and governance arrangements put in place by management and to undertake sufficient work to evaluate and conclude on the adequacy of those controls for the period under review.

## **3. Internal Audit Activity during 2014/2015**

- 3.1 The internal audit plan for 2014/2015 was approved by the Audit, Scrutiny and Petitions Board on 31 March 2014. The plan was risk-based and took into account the outcomes of the service and corporate risk evaluation processes, the significant changes in council operations over the period, and the impact of developments in national policy and regulation. The plan also took into account key external audit reports including the Annual Audit Plan for the council. Set out below are the significant risks which influenced the content of the plan and the nature of the work undertaken in recognition of these. The key audit findings relied upon for the assurance statement are detailed in section 4 of this report.

### **(1) Financial Stability**

The impact of the on-going financial pressures continued to be one of the most significant corporate risks facing the council. The council has been proactive in identifying savings to reduce the anticipated funding gap resulting

from anticipated reductions in grant and the demand led cost pressures. Internal audit reviewed the risk control measures in place over a number of key financial systems to provide assurance over the financial management arrangements. The 2014/15 audit plan included:

- reviews of key financial systems, including payroll and treasury management;
- a review of procurement activity across a number of service areas;
- during 2014/15 the service commenced a pilot project relating to improving our counter fraud activity aimed at minimising the risk of financial loss from fraud.

## **(2) Organisational Change**

It is recognised that national priorities and the requirement for financial stability has influenced the scope and pace of change within the council in recent years. There are significant challenges for governance and control in delivering an integrated health and social care partnership which, if not effectively managed, will not deliver the required outcomes. The council's internal organisational change programme, designed to deliver significant financial savings, also presents challenges and risks which need to be effectively managed to deliver the required outcomes. Internal audit has a role in relation to these major change programmes in providing consultancy advice on governance, internal control and risk management. Therefore, the 2014/15 audit plan included:

- a review of planning and implementation arrangements for strategic council decisions;
- participation in project work aimed at delivering national priorities, including health and social care integration;
- participation in internal project work aimed at improving operational practices, including the better council change programme;

## **(3) Welfare Reform agenda**

A number of changes associated with welfare reform were implemented during 2013/14. Therefore, the 2014/15 audit plan included:

- a review of discretionary housing payments and the council tenant assistance fund.

## **(4) Public protection**

The Council has a public protection role relating to child and adult protection and offending behaviour. Effective partnership working with key agencies such as the police is critical to ensuring risk to and from individuals is effectively managed. The audit plan for 2014/15 included:

- a review of the business support arrangements for child and adult protection;
- contributing to the council's integrity group assessment of the risks arising from serious and organised crime and the arrangements in place to

- protect the council, using a nationally developed self assessment checklist;
- participation in the community safety and public protection steering group.

## **(5) Security and management of information**

The council's information governance and information asset management arrangements need to be sufficiently robust to preserve the integrity, security, availability and confidentiality of the council's information. The 2014/15 audit plan will included:

- a review of laptop encryption;
- a review of web content filtering policies;
- partnership working with ICT Services to address thematic reviews of key internal controls.
- participation in major governance and review groups, including the information security group and information management and governance group.

## **(6) Governance and control**

Governance arrangements are important and provide an essential framework for decision-making. The council has in place a local code of corporate governance based on the CIPFA/SOLACE framework. The internal audit function needs to deliver assurance over the council's key controls, risk management and corporate governance framework in order to be in a position to provide those charged with governance with the annual assurance statement. The audit plan for 2014/15 included:

- support for members with the provision of training on good governance, internal control and risk management;
- examination of a number of the council's key financial controls;
- an annual review of the local code of corporate governance;
- examination of compliance with specific elements of the local code of corporate governance.

## **(7) Asset Management**

Strategic asset management is essential to making successful investment decisions and requires clarity about why assets are held, how well they are performing, what property, equipment and systems are needed to operate efficient services, and what will be needed to secure best value from council assets. The 2014/15 audit plan will included:

- a review of the arrangements in place for ensuring statutory compliance;
- a best value review of building security arrangements.

- 3.2 In line with the council's defalcation procedures, instances of suspected fraud or irregularity are to be reported to internal audit. All referrals were evaluated and investigated as appropriate. Where there was evidence of wrongdoing, the matters were referred for internal disciplinary action and/or police investigation.



- 3.3 During 2014/15, a number of investigations were conducted, the most significant investigations related to loss and theft of cash at council establishments. Other investigations included allegations relating to grant monies paid to a voluntary organisation, a discrepancy relating to ICT stock records and a breach of the council's information security policy. Relevant recommendations were made to tighten existing controls; including, a corporate review of the arrangements for the administration of grants to third parties.

#### 4. Summary of Internal Audit Works

- 4.1 Appendix 1 details the assurances arising from the internal audit work carried out in line with the 2014/15 audit plan which supports the annual assurance statement. These include the conclusions in relation to the overall system of internal control, risk management and governance arrangements.
- 4.2 All planned work as detailed in the 2014/2015 audit plan was undertaken and those assignments not finalised by 31 March 2015 are prioritised in the first quarter of the current year.

#### 5. Internal Audit Resources

- 5.1 For the year to 31 March 2015, there was an establishment of 7.6 FTE staff. The actual staffing complement fluctuated during the year to accommodate vacancies and unplanned leave. Resources were used flexibly to recruit temporary staff and contract with the public and private sector to ultimately deliver the audit plan.

#### 6. Review of Internal Audit Activity

- 6.1 The Audit Plan for 2014/15 set out our risk-based plans across a range of audit categories, the results of which have been reported to the Audit Panel and quarterly to Audit, Scrutiny and Petitions Board. Table 1 below compares the actual days spent on each category of audit work against that planned for the year.

**Table 1**

Internal Audit Activity 2014/15				
Type of Audit	Planned Days	Actual Days	Variance	
			Days	%
Best Value	50	21	(29)	(58%)
Audit Planning and Reporting	106	103	(3)	(3%)
ICT Audit	130	86	(44)	(34%)
Contract Audit	45	25	(20)	(44%)

Financial Services	27	14	(13)	(48%)
Follow Up Audit	80	80	0	0%
Investigations	100	120	20	20%
Performance Measurement	15	15	0	0%
Regularity / Compliance	135	114	(21)	(15%)
Systems Audit	373	368	(5)	(1%)
Contingency / Post report	167	124	(43)	(26%)
<b>Total Operational Days</b>	<b>1228</b>	<b>1070</b>	<b>(158)</b>	<b>(13%)</b>
Audit Administration	127	103	(24)	(19%)
Service Development	84	72	(12)	(14%)
Service Management	58	43	(15)	(26%)
Training	100	80	(20)	(20%)
<b>Total Non-operational Days</b>	<b>369</b>	<b>298</b>	<b>(71)</b>	<b>(19%)</b>
<b>Gross Available Days</b>	<b>1597</b>	<b>1368</b>	<b>(229)</b>	<b>(14%)</b>
<b>Operational %</b>	<b>77%</b>	<b>78%</b>		
Management of Counter Fraud (including co-ordination of NFI), Risk Management and Insurance	96	41	(55)	(57%)

6.2 Material differences (over 20% and over 20 days) from the plan are explained below:

### 1) Best Value

A best value review of corporate communications (25 days) has been deferred to 2015/2016 due to other service pressures within the Communications Team. One further audit was still in progress at the year end and will be finalised during the beginning of 2015/16. Contingency time within the 2015/16 audit plan has been allocated to complete this task.

### 2) ICT Audit

Resources had been allocated on the plan to provide advice to support the renewal process for accreditation to the Public Service Network (15 days). The Council maintained its accreditation, and there has been no requirement for Internal Audit involvement this year. The Senior ICT Auditor was seconded to ICT to progress the asset management project. Therefore, no further time was allocated to the audit plan for the planned ICT partnership working (15 days). One further audit (10 days) was still in progress at the year end, contingency time within the 2015/16 audit plan has been allocated to complete this task.

### 3) Contract Audit

Each year, internal audit reviews aspects of the council's major investment programmes. During 2014/15, the time on this category was used to maintain an oversight of the arrangements being put in place for the City Deal project.

As those arrangements were still being developed during the year, less time than planned was allocated to this category.

#### 4) Investigations

This category of audit activity by its nature is unplanned and as a result of the number of investigations being undertaken during the year a higher than anticipated level of resource allocation was required.

#### 5) Contingency

This category of audit activity by its nature is unplanned and a lower than anticipated level of resource allocation was required during the year.

#### 6) Non-operational and Management of operational activities

A lower than anticipated level of resource was required during the year to co-ordinate the National Fraud Initiative. Vacancies and the absence of a member of the management team resulted in less time being spent on the management of operational activities and training.

### 7. Quality Assurance and Improvement Activity

- 7.1 Internal Audit produces regular reports on its performance during the year against a range of measures set annually by the Director of Finance and Resources. These are set out in the following table.

**Table 2**

Internal Audit Performance 2014/15		
Performance measure	Target 2014/15	Actual 2014/15
% of audit assignments completed by target date	95%	96.8%
% of audit assignments completed within time budget	95%	96.8%
% of audit reports issued within three weeks of completion of audit field work	95%	96.2%
% completion of audit plan for the year*	95%	95.2%

\* this measures the completion percentage as at 31 March. 100% of the plan is ultimately delivered through the finalisation of the outstanding elements in the new financial year.

The figures in table 2 show that all targets have been achieved.

- 7.2 The Chief Auditor is required to develop and maintain a quality assurance and improvement programme that covers all aspects of the internal audit including conformance with the standards. The Chief Auditor undertook a self

assessment against the standards during 2013/14 and throughout the year the improvement actions identified have been progressed, including the review of the risk assessment and planning methodology and the Chief Auditor's performance appraisal. All outstanding actions will be completed with the implementation of the upgraded audit management software.

### 7.3 Implementation of Audit Recommendations

The implementation rate of audit recommendations is a measure of operational culture and audit effectiveness. During 2014/15 428 recommendations were followed up. Of these 332 (78%) have been implemented, 47 (11%) are either partially implemented or ongoing, 43 (10%) were not implemented by the due date and revised target dates for implementation have been provided and will be followed up in 2015/16, 6 (1%) will not be implemented mainly as a result of changes to systems and processes which make the recommendation redundant.

### 7.4 Customer Satisfaction

Internal Audit issues customer satisfaction surveys at the conclusion of assignments. These measure the level of satisfaction with the way in which the audit was conducted and with the audit report's findings and recommendations. A total of 28 surveys had been issued during the 2014/15 year, and 13 were returned. Returned survey forms showed that 100% of auditees were satisfied with the service provided against a target of 100%.

### 7.5 Risk Management

The responsibility for co-ordinating risk management and insurance activity across the council lies with internal audit. Risk management performance is detailed in the risk management annual report.

### 7.6 Counter Fraud Team

Responsibility for benefit investigation also rests with internal audit. The number of sanctions including joint sanctions with the Department for Work and Pensions and referral to the Procurator Fiscal is a measure of the effectiveness of the team. The total number of sanctions achieved during 2014/15 was 90 which exceeds the target level of 84. £433,891 of overpayments was identified and arrangements are in place within the council to recover from the claimants, the Housing and Council Tax Benefit element of these overpayments.

During 2014/15, a corporate counter fraud pilot project commenced. The aim of the pilot project is to enhance the council's response to the risk of non-benefit fraud. The pilot is predominantly focussed on the prevention and detection of tenancy fraud as this is recognised as the highest local authority fraud exposure. Other aspects of the pilot include Scottish Welfare Fund fraud and enhancing the council's use of data matching to detect other revenue

fraud. The results of the pilot will be reported to the Audit, Scrutiny and Petitions Board later in the year.

## **8. External evaluation of Internal Audit**

### **8.1 External Audit**

Auditing standards require internal and external auditors to work closely together to make optimal use of available audit resources. Audit Scotland, as external auditor, seeks to rely on the work of internal audit wherever possible, and as part of their planning process they carry out an assessment of the internal audit function. Their review of the internal audit service concluded that the internal audit service operates in accordance with the Public Sector Internal Audit Standards (PSIAS) and has sound documentation standards and reporting procedures in place. External audit plan to place formal reliance on the work of internal audit in relation to the annual audit of the 2014/15 financial statements in the following areas:

- Non Domestic Rates;
- Treasury Management; and
- Payroll

### **8.2 Customer Service Excellence Award**

In April 2015, our Customer Services Excellence Standard accreditation was reviewed and our accreditation renewed as part of a wider Corporate accreditation.


## **9. Audit Assurance Statement**

- 9.1 Internal Audit has performed its work in accordance with the role defined in paragraph 1.3. The audit work performed has been reported to senior managers and where areas for improvement in internal control have been identified appropriate recommendations have been made, and accepted for action by management.
- 9.2 In view of the continued challenges common to all local authorities, the Council recognises the need to exercise very close scrutiny over financial management and compliance with overarching governance arrangements, and will continue to take appropriate action to further strengthen control in these areas.
- 9.3 Internal audit contributes to the promotion of sound corporate governance in the Council. The scrutiny function within the council performed by the Audit Panel and the Audit, Scrutiny and Petitions Board further demonstrates strong commitment in this area.
- 9.4 It is not feasible for the system of internal control in the Council to be without any weakness. It is important to balance the risks involved in accepting

systems limitations with the consequences if a problem emerges. Internal Audit recognises this and assesses this in its reporting mechanism.

9.5 In this context, it is considered that reasonable assurance can be placed upon the adequacy and effectiveness of the Council's internal control, risk management and governance arrangements, as evidenced by:-

- (i) the results of the planned audit work in 2014/15;
- (ii) the results of investigative work in 2014/15;
- (iii) management action to respond to audit recommendations to mitigate the risks areas highlighted in this report;
- (iv) the regular review and updating of the Local Code of Corporate Governance by the Council in accordance with the CIPFA/SOLACE framework for corporate governance requirements.

Signed 

Chief Auditor

Date 1 June 2015

Audit Engagement	Risk Area	Assurance Level	Conclusion
SEEMIS – Education Management Information System (Security and control application review)	Operational Control	<b>No Assurance</b>	<ul style="list-style-type: none"> <li>It should be noted that the audit scope was severely limited due to the lack of information which we could acquire from the Software supplier.</li> <li>Key risks were identified in relation to user access, password security, audit trail, test backups and the contractual arrangements in relation to data security. undertaken.</li> <li>Management has taken steps to engage with the supplier and ensure there is suitably skilled staff in place to undertake the systems administration functions and take forward the agreed recommendations.</li> </ul>
Procurement (Fuel Cards)	Financial Control	<b>Limited</b>	<ul style="list-style-type: none"> <li>Key risks related to the establishment of upper thresholds for the use of cards and improvements required in relation to the availability, accuracy and scrutiny of management information.</li> </ul>
Administration of Grants	Financial Control	<b>Limited</b>	<ul style="list-style-type: none"> <li>The key risk identified relates to the lack of a uniform and consistent approach to grants administration across the Council which has resulted in a consequential loss of strategic oversight. The generic issues identified during this review are being addressed through a corporate review of the approach to grants administration.</li> </ul>
Asset Management (Statutory Compliance)	Operational Control	<b>Limited</b>	<ul style="list-style-type: none"> <li>The key risks relate to lack of clarity regarding the roles and responsibilities of site responsible officers for undertaking the checks and retaining the evidence of those checks and the interface with the Corporate Landlord Team. Furthermore,</li> </ul>

			strategic oversight could be improved through the development of key performance indicators.
Laptop Encryption	Operational Control	<b>Limited</b>	<ul style="list-style-type: none"> <li>There are processes in place to ensure that all corporate laptops are encrypted. However, technical issues prevented the auditor from being able to provide independent assurance in this regard. Furthermore, a risk assessment is required in relation to laptops used on the education network to consider whether these should be encrypted or not.</li> </ul>
Payroll (Service controls)	Financial Control	<b>Reasonable</b>	<ul style="list-style-type: none"> <li>The review considered the controls in place over the payment of teachers salaries including payments made to supply teachers.</li> <li>The key risk relates to the on-going negotiations with the Scottish Negotiating Committee for Teachers to find a national solution to the implementation of some aspects of the revised pay and conditions model.</li> </ul>
Non-domestic rates	Financial Control	<b>Reasonable</b>	<ul style="list-style-type: none"> <li>The key risk relates to actions required to ensure that historical reliefs remain valid.</li> </ul>
Economic Development (Business Grants)	Financial Control	<b>Reasonable</b>	<ul style="list-style-type: none"> <li>The key risks relate to the accuracy of financial monitoring records and the absence of a mechanism to capture variations to original grant applications.</li> </ul>
School Budgets – Directly Managed Resources	Financial Control	<b>Reasonable</b>	<ul style="list-style-type: none"> <li>The key risk relates to the use of purchase cards which is not currently in line with procedures.</li> </ul>
Licensing	Operational Control	<b>Reasonable</b>	<ul style="list-style-type: none"> <li>The key risks relate to updating the review list on a timely basis and reconciling income collected to the registration system.</li> </ul>



Child and Vulnerable Adult Protection (Arrangements for servicing child and adult review meetings and panels)	Operational Control	Reasonable	<ul style="list-style-type: none"> <li>The key risk relates to reviewing and issuing minutes of adult protection meetings within the national timescales.</li> </ul>
Vehicle Maintenance Service	Operational Control	Reasonable	<ul style="list-style-type: none"> <li>The review considered the controls in place for inspection and MOT testing for council vehicles and the arrangements for inspection/MOT and payment for taxi and other external vehicles.</li> <li>The key risks relate to the controls in place to ensure all council vehicles meet the required inspection timescales and a process requires to be put in place to reconcile cash collected to the number of third party inspections/MOTs performed.</li> </ul>
Sales, Fees and Charges (charging owner occupiers for common repairs)	Operational Control	Reasonable	<ul style="list-style-type: none"> <li>The key risk relates to processes requiring to be strengthened to ensure that any increased costs are agreed with the owner occupiers to prevent the cost being incurred by the council.</li> </ul>
Websense (Internet content filtering software)	Operational Control	Reasonable	<ul style="list-style-type: none"> <li>The key risks relate to there being no overarching policy in place which offers definitive guidance on acceptable usage for staff and students on the schools' domain, limited monitoring activity taking place with respect to internet usage and a need to improve the change control process for Websense.</li> </ul>

CAMIS (repairs logging system)	Operational Control	<b>Reasonable</b>	<ul style="list-style-type: none"> <li>The key risks relate to controls over user access, the strength of password controls, feeder reconciliations and the use of error and exception reports.</li> </ul>
Implementation of Strategic Council Decisions	Governance	<b>Reasonable</b>	<ul style="list-style-type: none"> <li>The review considered the arrangements in place for implementing the decisions arising from the Better Council Change Programme.</li> <li>The timing of the review did not allow the auditor to fully assess many aspects of the programme and additional audit work will be considered in 2015/16 to provide further assurance to the Council.</li> <li>From the work undertaken it was identified that opportunities for improvement exist in relation to ensuring there is sufficient project management capacity, better interaction with corporate finance and corporate HR functions and improving the consistency of the project management framework including risk management.</li> </ul>
Payroll	Financial Control	<b>Satisfactory</b>	<ul style="list-style-type: none"> <li>No key risks were identified. A few good practice recommendations were made, which once implemented, will strengthen the overall effectiveness of internal control.</li> </ul>
Treasury Management	Financial Control	<b>Satisfactory</b>	<ul style="list-style-type: none"> <li>No key risks were identified. A few good practice recommendations were made, which once implemented, will strengthen the overall effectiveness of internal control.</li> </ul>
Implementation of Welfare Reform – Discretionary	Operational Control	<b>Satisfactory</b>	<ul style="list-style-type: none"> <li>No key risks were identified. A few good practice recommendations were made, which once implemented, will strengthen the overall</li> </ul>

Housing Payments	Governance	Satisfactory	effectiveness of internal control.
Corporate governance – Review of adequacy and effectiveness	Governance	<b>Satisfactory</b>	<ul style="list-style-type: none"> <li>Internal Audit have reviewed the adequacy and effectiveness of the Code and confirmed that the Council complies with the requirements of the Local Code of Corporate Governance. In addition, it is evident that the Local Code has been subject to review and updating in line with national guidance and developments in best practice.</li> </ul>
Corporate governance (declarations of interest)	Governance	<b>Satisfactory</b>	<ul style="list-style-type: none"> <li>The Council's Code of Corporate Governance is being complied with by both Elected Members and Senior Officers in terms making voluntary declarations of interests for the purposes of identifying and avoiding conflicts of interest; and there is evidence to demonstrate compliance.</li> <li>However, the audit review identified further measures to enhance the current procedures, including record management arrangements and formalisation of procedures to record declarations of interests for all employees.</li> </ul>



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**To: Audit, Scrutiny and Petitions Board**

**On: 01 June 2015**

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**Report by: Chief Auditor**

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**Heading: Summary of Internal Audit Findings for Quarter to end of March 2015**

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**1. Summary**

- 1.1 In line with the Public Sector Internal Audit Standards, Internal Audit must communicate the results of each engagement to the Board. To comply with this requirement Internal Audit submits regular reports on the findings and conclusions of audit engagements to the Audit, Scrutiny and Petitions Board.
- 1.2 Appendix 1 attached to this report provides a summary of internal audit findings in relation to final reports issued for those engagements completed during the period 1 January – 31 March 2015.
- 1.3 In addition to the reports listed in the Appendix, Internal Audit has an ongoing commitment to:
- A range of corporate and service initiatives;
  - Progressing of information security matters in partnership with ICT and Legal Services;
  - The regular provision of advice to departmental officers;
  - The provision of internal audit services to the associated bodies for which Renfrewshire Council is the lead authority and to Renfrewshire Leisure Ltd;
  - Co-ordination of the Council's corporate risk management activity;
  - Management of the counter fraud team;
  - Management of the risk management and insurance team.

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2. **Recommendations**

- 2.1 Members are invited to consider and note the Summary of Audit Findings reported during the quarter from 1 January to 31 March 2015.
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**Implications of the Report**

1. **Financial** - None
2. **HR & Organisational Development** - None
3. **Community Planning – Safer and Stronger** - effective internal audit is an important element of good corporate governance.
4. **Legal** - None
5. **Property/Assets** - None
6. **Information Technology** - None
7. **Equality & Human Rights**
  - (a) The Recommendations contained within this report have been assessed in relation to their impact on equalities and human rights. No negative impacts on equality groups or potential for infringement of individuals' human rights have been identified arising from the recommendations contained in the report. If required following implementation, the actual impact of the recommendations and the mitigating actions will be reviewed and monitored, and the results of the assessment will be published on the Council's website.
8. **Health & Safety** – None
9. **Procurement** - None
10. **Risk** - The summary reported relates to the delivery of the risk-based internal audit plan.
11. **Privacy Impact** – None

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## Appendix 1

### Renfrewshire Council

#### Internal Audit Service

#### Quarterly Update for Audit, Scrutiny and Petitions Board

#### Final Audit Reports issued from 1 January – 31 March 2015

Category	Service	Audit Title	Main Issues	Rec's agreed
ICT Audit	Finance & Resources	Laptop Encryption	<ul style="list-style-type: none"> <li>A review was undertaken of the arrangements in place for ensuring all Council laptops have been properly encrypted to enhance data security on laptops; or that they have been formally exempted from the process.</li> <li>ICT are actively working on an Asset Management Project which includes compilation of inventory records of all Council Laptops. A decision has been taken not to encrypt Education Laptops but there was no formal risk assessment held to support this decision.</li> <li>The audit also identified that although ICT have controls in place to ensure encryption of laptops, enhancements to the processes are required to enable the independent assurance of the operational effectiveness of these controls. Management agreed to implement the internal audit recommendations made.</li> </ul>	Yes
System Audits	Finance and Resources	Treasury Management	<ul style="list-style-type: none"> <li>A review was undertaken to assess the adequacy of the arrangements in place for managing the Council's monetary</li> </ul>	Yes

			assets	<ul style="list-style-type: none"><li>This review identified no key risks in the systems being operated. Some recommendations were made to further strengthen the controls in place and Management have agreed to action these.</li></ul>	
		Discretionary Housing Payments	<ul style="list-style-type: none"><li>Discretionary housing payments can be paid to qualifying claimants who require additional short-term assistance to pay their housing costs. A review was undertaken of the process for awarding discretionary housing payments.</li><li>The audit has identified that satisfactory arrangements are in place for awarding discretionary housing payments. A few minor recommendations were made to further enhance the internal controls already in operation.</li></ul>	Yes	
		Administration of Grants	<ul style="list-style-type: none"><li>The Council provides a number of different grants to voluntary organisations to promote activities that benefit the communities throughout Renfrewshire and which align to the aims of the Renfrewshire Community Plan. This audit focussed on the process in place for the administration of these across various Council Services.</li><li>The Council has in place Conditions of Grant, depending on the level of funding applied for, which should be adhered to. However it was identified that the system for administering grants was not uniform or consistent across the Council and, therefore, there was a consequential loss of strategic oversight.</li><li>Management agreed to rectify this issue by establishing an administration of Grants Working Group whose aim is to take the internal audit recommendations forward and implement processes to ensure a corporate approach to grants</li></ul>	Yes	



			administration.		
	Community Resources	Fuel Cards	<ul style="list-style-type: none"> <li>Some of the Council's fleet vehicles use public filling stations to replenish fuel and this is paid for by using a vehicle specific fuel card. Community Resources then arrange for the fuel costs to be recharged to the Services</li> <li>Internal Audit's review of the use of these cards highlighted that the costs incurred through the use of fuel cards are satisfactorily recharged to the relevant Council Services.</li> <li>However it was identified that the quality, accuracy and reliability of aspects of management information reports were inadequate and that these were not subject to sufficient scrutiny. Also, limits were not in place to restrict the use of fuel cards in the event of them being lost or stolen; nor was there any guidance provided to drivers in what to do in such circumstances. Management agreed to implement the recommendations made to address these weaknesses and improve the system of internal control</li> </ul>	Yes	
	Development & Housing	Economic Development	<ul style="list-style-type: none"> <li>A review was undertaken of the award and administration of Economic Development Business Grants which are available to fund specific staff training, purchase of capital equipment and the costs of expanding/upgrading premises.</li> <li>It was evident that the Council Officers involved in the process exercise adequate scrutiny over applications, expenditure and payments. However, weaknesses were identified in relation to the timeous updating of grant tracking records and the absence of a mechanism to capture variations to original grant applications which Management agreed to address.</li> </ul>	Yes	

		Sales Fees & Charges	<ul style="list-style-type: none"> <li>• A review was undertaken of the arrangements in place for charging owner occupiers for their share of common repairs.</li> <li>• The systems in place for charging for common repairs are generally satisfactory. However, if owners are not informed of potential cost increases, before the work is carried out, the Council is unable to pass on all of the additional costs and, therefore, this increases the costs required to be absorbed by the council.</li> <li>• Internal Audit recommended that processes were put in place so that Building Services advise Owner Services of all potential cost increases prior to work being carried out so that Owner occupiers can be timeously informed in order to reduce the cost of repairs being paid for by the council.</li> </ul>	Yes
<b>Regularity Audits</b>	Childrens' Services	Control Risk Self Assessment – School Funds	<ul style="list-style-type: none"> <li>• A programme of school fund self regulation in the form of a Control Risk Self Assessment (CRSA) questionnaire is issued to all schools on a cyclical basis to establish the level of compliance with the School Fund Procedures. This year the CRSA questionnaires were issued to all high schools.</li> <li>• The CRSA questionnaires indicated that the majority of high schools are following most of the processes described in School Fund Procedures. Some minor areas of non compliance requiring management actions were identified from the responses received.</li> </ul>	Yes
		Linwood High – School Fund	<ul style="list-style-type: none"> <li>• As part of the overall School Funds Control Risk Self Assessment, Linwood High School was selected for an Internal Audit visit. It was found that this school had only minor non compliances with the school fund procedures which the Head Teacher agreed to rectify.</li> </ul>	Yes

		St Andrews Academy – School Fund	<ul style="list-style-type: none"> <li>As part of the overall School Funds Control Risk Self Assessment, St Andrews Academy was selected for an Internal Audit visit. It was found that this school was not always compliant with the School Fund Procedures and a number of recommendations were made to ensure that current processes are more robust and conform to laid down procedures.</li> </ul>	Yes
	Chief Executives	Corporate Governance Framework	<ul style="list-style-type: none"> <li>Annually we review selected elements of the Code of Corporate Governance, to provide assurance on its adequacy and effectiveness and the extent of compliance. The elements of the Code reviewed this year, related to processes in place for avoiding and declaring potential conflicts of interest with regard to both Elected Members and Employees.</li> <li>It was evident from our review, that the Council's Code is being complied with by both Elected Members and Senior Officers in terms making voluntary declarations of interests for the purposes of identifying and avoiding conflicts of interest; and there is evidence to demonstrate compliance. However, it was identified that further measures required to be put in place to enhance the current procedures, including record management arrangements and formalisation of procedures to record declarations of interests for all employees.</li> </ul>	Yes
<b>Investigations</b>	Adult Services	Spinners Gate Resource Centre – Cash Procedures	<ul style="list-style-type: none"> <li>Internal Audit reviewed the records associated with the petty cash imprest due to reported issues surrounding its administration. The practices surrounding independent funds were also examined at this time.</li> <li>The petty cash records examined were found now to be in accordance with Council procedures and the reported minor cash shortfall was confirmed. The auditor recommended that the cash shortfall be reclaimed</li> </ul>	Yes

			<ul style="list-style-type: none"><li>It was evident from examination of the records associated with independent funds, that the 'Guidance Notes on the Administration of Independent Funds' were generally being complied with, however further enhancements to current procedures were recommended to help strengthen the internal control environment surrounding cash handling. Areas noted for improvement included committee arrangements, formalisation of financial verification processes and a review of the guidance notes.</li></ul>	Yes
Childrens Services	Flexible Learning centre – Missing Monies	<ul style="list-style-type: none"><li>Internal Audit was notified that monies were missing from 4 cash tins held in a safe in the annexe building at Brediland Primary School. Internal Audit undertook an initial investigation to ascertain the circumstances surrounding the missing monies and established that the total missing monies was £440.99.</li><li>The cash remains unaccounted for. The council procedures for cash handling and the security of keys were not followed which allowed the opportunity for personnel to access the safe and 4 cash tins. It is our opinion that the losses are the result of theft by a person or persons unknown. Circumstantial evidence suggests that the monies were taken on more than one occasion before being identified as missing. A number of management actions were recommended including the consideration of disciplinary action against some employees. Furthermore, the matter was referred to the Police.</li></ul>		

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**To:            Audit, Scrutiny and Petitions Board**

**On:            1 June 2015**

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**Report by:   Director of Finance and Resources**

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**Heading:    Absence Statistics**

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## **1.      Summary**

- 1.1      The purpose of this report is to advise the Audit, Scrutiny and Petitions Board of sickness absence performance for the period 24 March 2014 to 23 March 2015. The report breaks down the absence statistics by service and by category of staff. Attached to this report are Appendices A-B described in the index of appendices at the end of this report.
- 1.2      The report provides information in relation to absence targets and how services have performed against them. An analysis of the reasons for absence for the latest quarter has also been compiled and details are included within the report. Information is also provided on managing absence activity and the costs of sick pay.
- 

## **2.      Recommendations**

- 2.1      It is recommended that the Board notes the content of this report.
-

### 3. Background

3.1 At its meeting on 25 June 2002 the Scrutiny Board agreed that absence levels will be reported to the Scrutiny Board (now Audit, Scrutiny and Petitions Board) on a quarterly basis. It was agreed that the report will include the following information relating to maximising attendance:-

- Absence statistics broken down by department and category of staff.
- Reasons for absence broken down by department and category of staff.
- Progress on implementation of departmental maximising attendance action plans.

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### 4. Absence Statistics - Quarters Ending 22 June 2014, 21 September 2014, 31 December 2014 and 23 March 2015

4.1 Please find service and Council overall absence performance for quarter endings 22 June 2014, 21 September 2014, 31 December 2014 and 23 March 2014 against target given in the tables to follow. In line with the reporting requirements for Scottish Councils absence is expressed as a number of work days lost per full time equivalent (FTE) employee. The absence performance for the equivalent quarters in the previous year has also been included in the tables for comparison purposes.

Service/Area	Quarter Ending 23 June 2013	Quarter Ending 22 June 2014	Quarter Ending 22 June 2014 Target
Chief Executive's Services	1.54	1.79	0.80
Education and Leisure Services	2.19	1.84	1.56
Community Resources	2.56	2.95	2.15
Finance and Resources	1.54	2.06	1.34
Development and Housing Services	1.71	2.10	1.69
Social Work Services	2.94	3.21	2.36
<b>Council Overall</b>	<b>2.25</b>	<b>2.35</b>	<b>1.79</b>

Service/Area	Quarter Ending 22 September 2013	Quarter Ending 21 September 2014	Quarter Ending 21 September 2014 Target
Chief Executive's Services	1.88	0.74	0.80
Education and Leisure Services	1.25	2.48	1.56
Community Resources	2.39	2.29	2.15
Finance and Resources	1.45	1.86	1.34
Development and Housing Services	1.36	1.86	1.69
Social Work Services	2.80	3.27	2.36
<b>Council Overall</b>	<b>1.80</b>	<b>1.85</b>	<b>1.79</b>

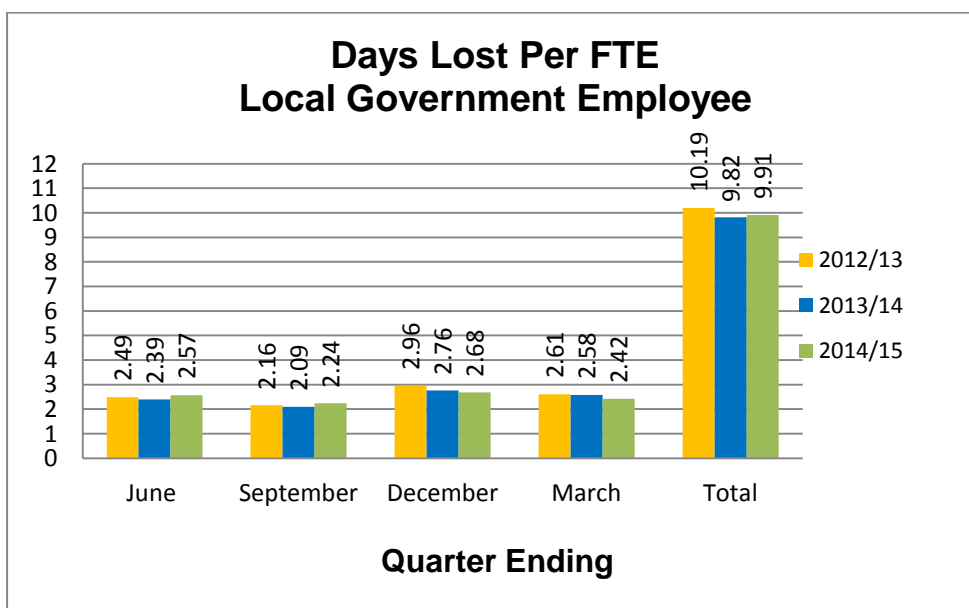
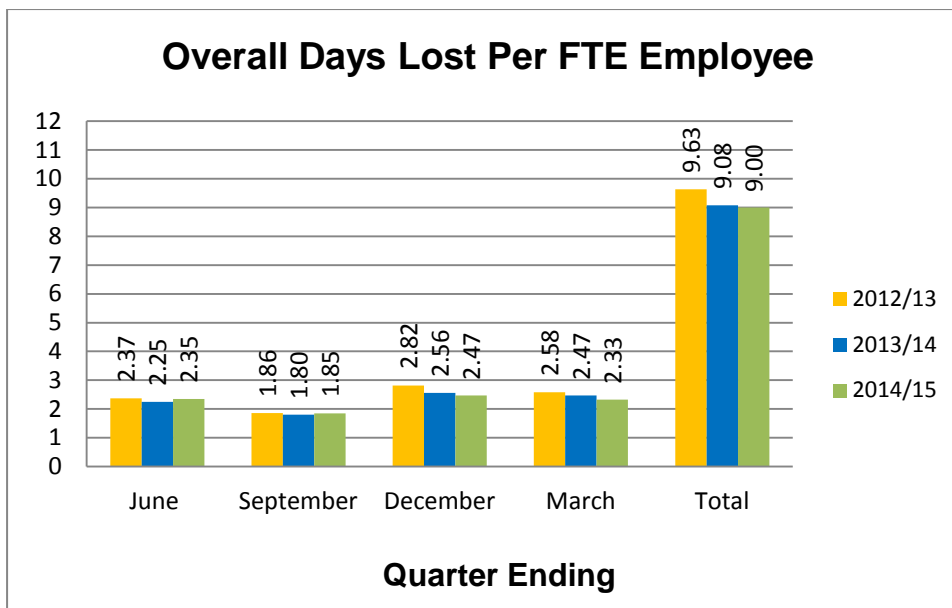
Service/Area	Quarter Ending 31 December 2013	Quarter Ending 31 December 2014	Quarter Ending 31 December 2014 Target
Chief Executive's Services	1.38	0.19	1.20
Education and Leisure Services	2.31	2.07	2.35
Community Resources	2.73	2.90	3.22
Finance and Resources	2.01	1.90	2.00
Development and Housing Services	2.02	1.91	2.53
Social Work Services	3.66	3.70	3.54
<b>Council Overall</b>	<b>2.56</b>	<b>2.47</b>	<b>2.69</b>

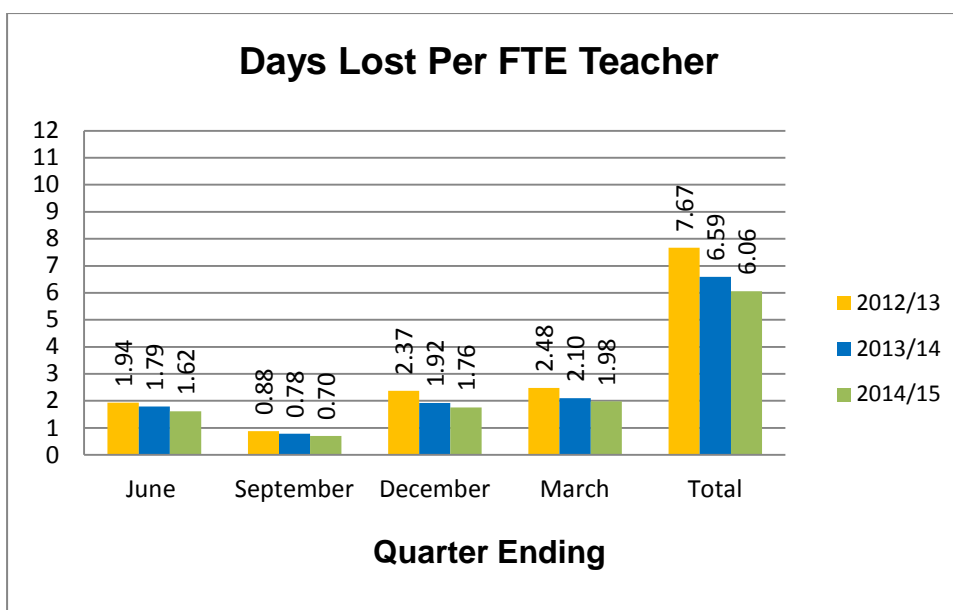
Service/Area	Quarter Ending 23 March 2014	Quarter Ending 23 March 2015	Quarter Ending 23 March 2015 Target
Chief Executive's Services	1.03	1.14	1.20
Education and Leisure Services	2.32	2.12	2.35
Community Resources	3.12	2.75	3.22
Finance and Resources	2.32	1.88	2.00
Development and Housing Services	1.46	1.66	2.53
Social Work Services	2.93	3.09	3.54
<b>Council Overall</b>	<b>2.47</b>	<b>2.33</b>	<b>2.69</b>

**5. Analysis and Trends - Quarters Ending 22 June 2014, 21 September 2014, 31 December 2014 and 23 March 2015**

- 5.1 The number of days lost per FTE employee due to absence decreased from 2.35 to 1.85 between quarters ending 22 June 2014 and 21 September 2014. This was followed by an increase to 2.47 days lost per FTE employee during quarter ending 31 December 2014, before a fall to 2.33 in quarter ending 23 March 2015.
- 5.2 Overall Council absence performance in quarter ending 31 December 2014 and 23 March 2015 improved by 0.09 days and 0.14 days respectively per FTE employee compared to the equivalent quarters in 2013/2014. Also, overall Council absence performance was below the quarterly absence targets in quarters ending 31 December 2014 and 23 March 2015.
- 5.3 The following tables detail the absence levels for the Council overall and by employee group for 2014/2015 and for the equivalent quarters in 2012/2013 and 2013/2014:-







## 6. Absence Targets 2014/2015 and Ranking Information

- 6.1 The absence performance of services, the Council overall and employee groups against the set absence targets for 2014/2015 is shown at **Appendix A**.
- 6.2 Please see **Appendix B** for trends in Council overall and employee group absence performance in recent years, in comparison to other Scottish Councils. The ranking information for 2014/2015 will not be available until later this year.
- 6.3 The Council has recorded an overall absence rate of 9.00 days lost per FTE employee for 2014/2015 which is 0.03 days above the annual target figure of 8.97 days. This represents a 0.08 days per FTE employee improvement in absence when compared to 2013/2014. In addition the absence performance of Teachers improved by 0.53 days per FTE employee in 2014/2015 compared to 2013/2014 and was 1.62 days below the annual target of 7.68 days. The absence performance of Local Government Employees was 0.31 days per FTE employee above the 9.60 day annual target, and experienced a 0.09 days per FTE employee increase in the absence levels reported for 2013/2014.
- 6.4 It should be noted that in 2013/2014 the absence performance reported for the Council overall and Local Government Employees was above the respective Scottish Council average. Also, when compared to other Scottish Councils the Council's overall and Teacher absence performance rankings improved between 2012/2013 and 2013/2014. This resulted in Council overall absence performance improving from 13<sup>th</sup> to 12<sup>th</sup> position and Teacher absence moving from 25<sup>th</sup> to 20<sup>th</sup> place. During the same timescale the absence of Local Government employees fell from 8<sup>th</sup> to 10<sup>th</sup> position despite the reduction in days lost per FTE employee this category achieved in

2013/2014. However, the absence performance of this employee group still compared favourably to a significant number of other Scottish Councils.

- 6.5 It is hoped that the improved absence performance of the Council overall as well as the Teacher employee group in 2014/2015 will secure a further improvement in the Council's absence performance when compared to other Scottish Councils.

## **7. Reasons for Absence**

- 7.1 The category with the highest level of absence in quarter ending 23 March 2015 is 'Psychological' - 27.24% (non work related - 23.75%, work related - 3.49%), with the second highest being 'Musculoskeletal and Joint Disorders' - 20.87%. This compares with quarter ending 31 December 2014 when the category with the highest level of absence was 'Psychological' - 30.46% (non work related - 26.33%, work related - 4.13%), with the second highest being 'Musculoskeletal and Joint Disorders' - 20.80%.

## **8. Managing Absence Activity**

- 8.1 Recent and planned actions to improve absence performance include the following:-
- Proactively contacting managers who have absence cases of 2 to 4 weeks in duration, to monitor action taken to date and proposed next steps. This is to ensure that managers intervene early in absence cases and keep in regular contact with absent employees. In turn, discussion is facilitated around the employee's progress, any support that may be required and allows flexible return to work options to be explored.
  - Ongoing promotion of the Occupational Health Service Early Intervention Helpline for managers. The aim is to ensure managers receive prompt medical guidance and employees can be quickly referred to support services, where appropriate.
  - The introduction of an electronic referral management system in February 2015 operated by the new Occupational Health Service provider, People Asset Management (PAM). This system will simplify the referral process, facilitate early intervention in cases and increase the speed with which medical guidance is received. It will also enable Occupational Health Service appointment details to be sent directly to an employee's mobile telephone number, where made available.
  - Continued delivery of supporting attendance training at a corporate level for managers, with the provision of tailored training for managers and employees at a service level on request.
  - Seasonal flu vaccination programme.
  - Ongoing health promotion activities including smoking cessation, mental health awareness, events aimed at raising employee awareness of health issues and providing opportunities to try different sport/exercise activities. A number of taster activities have been offered to employees including free swims, blood pressure and mini fitness checks.

- Ongoing work to improve the absence information available to managers, and to streamline supporting attendance related processes to facilitate prompt absence reporting, recording and updating of relevant systems.

## 9. Costs of Sick Pay

9.1 The costs associated with sick pay are provided to the Audit, Scrutiny and Petitions Board. The table to follow outlines the costs of sick pay by employee group and overall for 2012/2013, 2013/2014 and 2014/2015:-

### Details of Occupational Sick Pay and Statutory Sick Pay Costs Per Employee Group and Overall for 2012/2013, 2013/2014 and 2014/2015

Quarter/Year	Teachers (includes Supply Teachers)	All Other Employees	Overall
Quarter 1 of 2012/2013	£483,649	£949,844	£1,433,493
Quarter 2 of 2012/2013	£236,309	£924,081	£1,160,390
Quarter 3 of 2012/2013	£600,498	£1,162,759	£1,763,257
Quarter 4 of 2012/2013	£655,080	£1,046,319	£1,701,399
<b>2012/2013 Overall</b>	<b>£1,975,536</b>	<b>£4,083,003</b>	<b>£6,058,539</b>
Quarter 1 of 2013/2014	£435,957	£1,051,161	£1,487,118
Quarter 2 of 2013/2014	£182,746	£1,113,298	£1,296,044
Quarter 3 of 2013/2014	£506,725	£1,067,816	£1,574,541
Quarter 4 of 2013/2014	£632,567	£944,631	£1,577,198
<b>2013/2014 Overall</b>	<b>£1,757,995</b>	<b>£4,176,906</b>	<b>£5,934,901</b>
Quarter 1 of 2014/2015	£490,739	£1,085,444	£1,576,183
Quarter 2 of 2014/2015	£231,365	£1,108,770	£1,340,135
Quarter 3 of 2014/2015	£396,512	£999,266	£1,395,778
Quarter 4 of 2013/2014	£552,457	£944,041	£1,496,498
<b>2014/2015 Overall</b>	<b>£1,671,073</b>	<b>£4,137,521</b>	<b>£5,808,594</b>

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## Implications of this Report

- 1 **Financial Implications** - Improvement in attendance impacts on the financial costs of absence.
- 2 **HR and Organisational Development Implications** - HR and Organisational Development Practitioners will continue to work with service managers and consult with the Trade Unions, on the implementation of the Supporting Attendance at Work Policy and Guidance and initiatives detailed in this report.
- 3 **Community Planning**

Children and Young People - none.

Jobs and the Economy - none.

Community care, health and wellbeing - provides for continuous improvement in health and attendance.

Safer and Stronger - provides for improved service performance across the Council.

Greener - none.

Empowering our Communities - none.
- 4 **Legal Implications** - none.
- 5 **Property/Asset Implications** - none.
- 6 **Information Technology Implications** - none.
- 7 **Equality and Human Rights Implications** - the recommendations contained within this report have been assessed in relation to their impact on equalities and human rights. No negative impacts on equality groups or potential for infringement of individuals' human rights have been identified arising from the recommendations contained in the report. If required following implementation, the actual impact of the recommendations and the mitigating actions will be reviewed and monitored, and the results of the assessment will be published on the Council's website.
- 8 **Health and Safety Implications** - it is integral to the Council's aim of securing the health and well being of employees.
- 9 **Procurement Implications** - none.

- 10 **Risk Implications** - Without continued effective supporting attendance focus, there is a risk that sickness absence levels will adversely impact on the Council both financially and in terms of service delivery. Consequently supporting attendance activities are monitored via the Corporate Risk Register.
- 11 **Privacy Impact Implications** - none.
- 

**List of Background Papers** - none.

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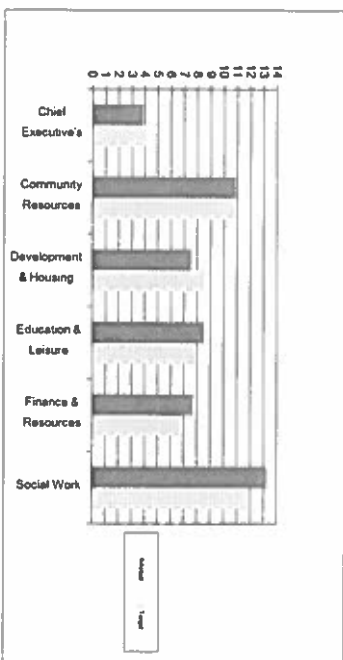
## INDEX OF APPENDICES

- |            |   |
|------------|---|
| APPENDIX A | Graphs detailing trends in service, Council overall and employee group absence levels against targets for 2014/2015.  |
| APPENDIX B | Graphs detailing trends in Council overall and employee group absence performance as well as sick pay costs, for the years 2010/2011 to 2014/2015 year to date. |
-

# ABSENCE (DAYS LOST PER FTE EMPLOYEE) V TARGETS 2014/2015

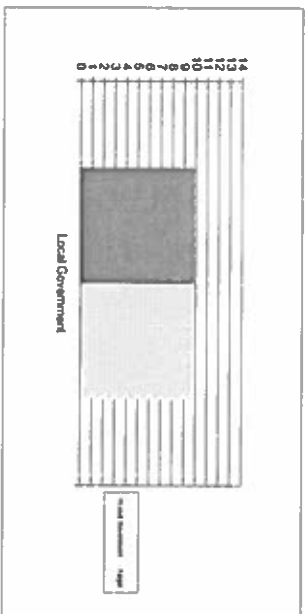
## APPENDIX A

### Services



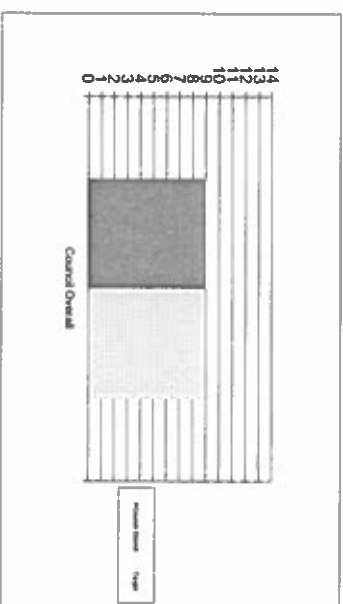
Service	Actual	Target	Difference
Chief Executive's	3.86	4.00	-0.14
Community Resources	10.89	10.73	0.16
Development & Housing	7.53	8.44	-0.91
Education & Leisure	8.51	7.82	0.69
Finance & Resources	7.70	6.68	1.02
Social Work	13.27	11.80	1.47

### Local Government Employees



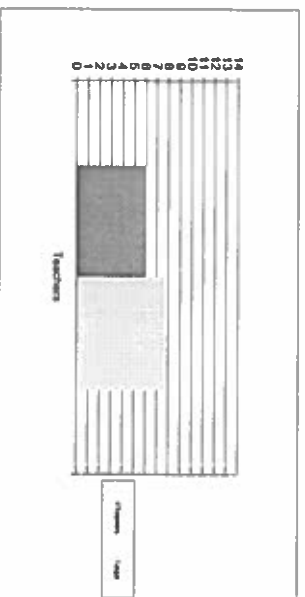
Employee Group	Actual	Target	Difference
Local Government	9.91	9.60	0.31

### Council Overall



Employee Group	Actual	Target	Difference
Council Overall	9.00	8.97	0.03

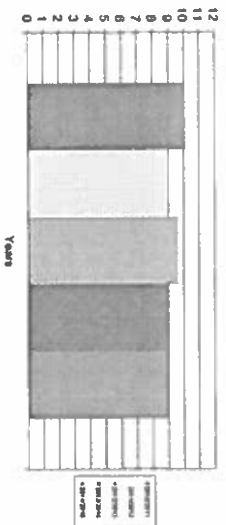
### Teachers



Employee Group	Actual	Target	Difference
Teachers	6.06	7.68	-1.62

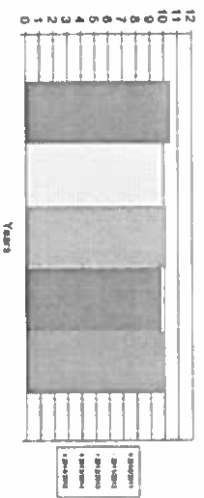
## ABSENCE (DAYS LOST PER FTE EMPLOYEE) V OTHER SCOTTISH COUNCILS AND SICK PAY COSTS 2010/2011 TO 2014/2015

## Council Overall



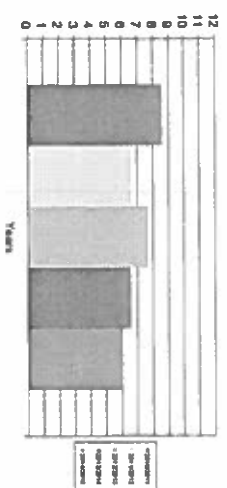
Year	Actual	Ranking	Costs (£)
2010/2011	10.12	23rd	6,882,454
2011/2012	8.90	11th	6,146,251
2012/2013	9.63	13th	6,058,539
2013/2014	9.08	12th	5,934,901
2014/2015	9.00	Not known yet	5,808,594

## Local Government Employees



Year	Actual	Ranking	Costs (£)
2010/2011	10.50	15th	4,929,071
2011/2012	9.60	7th	4,462,908
2012/2013	10.20	8th	4,083,003
2013/2014	9.82	10th	4,176,906
2014/2015	9.91	Not known yet	4,137,521

## Teachers



Year	Actual	Ranking	Costs (£)
2010/2011	8.60	28th	1,953,383
2011/2012	6.60	16th	1,683,343
2012/2013	7.70	25th	1,975,536
2013/2014	6.59	20th	1,757,995
2014/2015	6.06	Not known yet	1,671,073



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**To:           Audit, Scrutiny and Petitions Board**

**On:           1 June 2015**

---

**Report by:   Director of Finance and Resources**

---

**Heading:     Risk Management Annual Report 2014/15**

---

**1.           Summary**

1.1           This paper presents the Risk Management Annual Report for 2014/15 (Appendix 1). The Report describes the corporate risk management activity that has taken place during 2014/15 in relation to the council's risk management arrangements and strategic risk management objectives. It is not the purpose of this paper to report on the management of specific risks as such information is already provided to the policy boards through the Corporate Risk Register report and Service Annual Risk Management Plans.

1.2           In exceptionally challenging times and with diminishing resources, the council has applied an appropriate level of risk management to prevent or mitigate the effects of loss or harm. In doing so, we recognise that good risk management contributes to the delivery of better financial outcomes, business objectives, better project success rates, achievement of targets and fewer unexpected problems.

1.3           We purposefully promote an environment that is risk 'aware' rather than risk 'averse' and strive to place risk management information at the heart of the key policy decisions that we make. This means that we can take an effective approach to managing risk in a way that both addresses our significant challenges and enables innovation.

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**2.           Recommendations**

2.1           It is recommended that the Board considers the content of the Annual Report and is assured regarding the continued effectiveness of the risk management framework in place and the significant contribution that it makes with regards to the council's corporate governance arrangements.

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### 3. **Background**

- 3.1 In keeping with the 'Scheme of Delegated Functions' a Risk Management Annual Report is provided to the Scrutiny and Petitions Board each year for consideration. The report supports the council's code of corporate governance and seeks to provide assurance to stakeholders (internal and external) not only on the adequacy but also the effectiveness of the risk management arrangements applied during 2014/15.
- 

### **Implications of the Report**

1. **Financial**  
No implications in the provision of this report.
2. **HR & Organisational Development**  
No implications in the provision of this report.
3. **Community Planning**  
No implications in the provision of this report.  
  
**Children and Young People**  
**Community Care, Health & Well-being**  
**Empowering our Communities**  
**Greener**  
**Jobs and the Economy**  
**Safer and Stronger**
4. **Legal**  
No implications in the provision of this report.
5. **Property/Assets**  
No implications in the provision of this report.
6. **Information Technology**  
No implications in the provision of this report.
7. **Equality & Human Rights**  
The recommendations contained within this report have been assessed in relation to their impact on equalities and human rights. No negative impacts on equality groups or potential for infringement of individuals' human rights have been identified arising from the recommendations contained in the report.
8. **Health & Safety**  
No implications in the provision of this report.
9. **Procurement**  
No implications in the provision of this report.
10. **Risk**  
No implications in the provision of this report. The report relates to organisational arrangements and service initiatives in risk

management.

11.

**Privacy Impact**

No implications in the provision of this report.

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**List of Background Papers**

(a) Non applicable – reports provided on a year-by-year basis

The foregoing background papers will be retained within Finance and Resources for inspection by the public for the prescribed period of four years from the date of the meeting. The contact officer within the service is Risk Manager, Risk Manager, 0141 618 7019, [Karen.Locke@renfrewshire.gov.uk](mailto:Karen.Locke@renfrewshire.gov.uk)

---

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## Appendix 1



# Risk Management Annual Report

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2014 - 2015

Document Title:	Risk Management Annual Report 2014/15		
Service:	N/A	Lead Author	Risk Manager and the Corporate Risk Management Group
Date Effective:	31/03/2015	Review Dates:	Not applicable

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## **CONTENT**

1.	Introduction.....	3
2.	Risk Management Framework 2014/15: Overview.....	3
3.	Risk Management Infrastructure/ Enablers .....	4
4.	Risk Management Process .....	6
5.	Risk Management Application/ Results.....	6
6.	Reporting and Monitoring.....	8
7.	Risk Management Function/ Training and Development.....	9
8.	Conclusion.....	9

Document Title:	Risk Management Annual Report 2014/15		
Service:	N/A	Lead Author	Risk Manager and the Corporate Risk Management Group
Date Effective:	31/03/2015	Review Dates:	Not applicable

Document Title:	Risk Management Annual Report 2014/15			1
Service:	N/A	Lead Author	Risk Manager and the Corporate Risk Management Group	
Date Effective:	31/03/2015	Review Dates:	Not applicable	



# Overview of key achievements during 2014/15

Below is an overview of key achievements for corporate-led risk management activity during 2014/15 and what this means in practical terms.

Achievement	What this means
<ul style="list-style-type: none"> <li>▪ National recognition for good risk management</li> </ul>	<ul style="list-style-type: none"> <li>▪ In April 2014, the council submitted eight entries to the Alarm UK Risk Management Awards. Of the entries submitted, seven were shortlisted, with the SafeKids, FireReach and Youth Offending Project winning the Community Risk Award and two other entries being 'highly commended' in their categories.</li> </ul>
<ul style="list-style-type: none"> <li>▪ Ongoing support for the local risk management award</li> </ul>	<ul style="list-style-type: none"> <li>▪ Since introducing the local award for Risk Management in 2011/12, each year a number of submissions have been received. In practical terms it is now possible to observe year on year that services are recognising how their improvement activities are making a real difference in managing risk both within the services but also for the people of Renfrewshire.</li> </ul>
<ul style="list-style-type: none"> <li>▪ Specimen risk management policy and strategy developed for Health and Social Care Integration</li> </ul>	<ul style="list-style-type: none"> <li>▪ The council's Risk Manager, (working with colleagues from Health and risk professionals from the six local authorities within the geographical scope of NHS Greater Glasgow and Clyde), led on the development of a specimen risk management policy and strategy for all Integration Joint Boards (IJBs) within the area. This was a significant piece of work enabling a consistent approach across all IJBs.</li> </ul>
<ul style="list-style-type: none"> <li>▪ Recovery of £271,460 in relation to schools PFI insurance for the 2014/15 policy year</li> </ul>	<ul style="list-style-type: none"> <li>▪ Each year the council undertakes an analysis of insurance payments in connection with the Renfrewshire Schools Partnership. In 2014/15, the council's new Insurance Broker (Aon UK Ltd), appointed in April 2014, additionally undertook a review of the arrangements to ensure best value for the council. A recovery of £271,460 in relation to schools PFI insurance for the 2014/15 policy year was secured.</li> </ul>
<ul style="list-style-type: none"> <li>▪ Recovery of financial losses in respect of fireworks event</li> </ul>	<ul style="list-style-type: none"> <li>▪ In November 2014 a difficult decision was taken to cancel the planned fireworks events due to the weather conditions that were forecast, in particular the direction and gusts of wind. Careful management of the situation and ongoing liaison with the events insurers enabled the council to recover circa £41,000 of financial losses incurred due to the cancellation.</li> </ul>
<ul style="list-style-type: none"> <li>▪ New contract in place for insurance broker/ advisor</li> </ul>	<ul style="list-style-type: none"> <li>▪ Aon UK Ltd were awarded a 5 year contract by the council on 1 April 2014. Aon will now be working with the council to review the claims profile and undertake a 'Total Cost of Risk' project to ensure that the most effective insurance programme will be identified ahead of the council's insurances being tendered again in 2016.</li> </ul>
<ul style="list-style-type: none"> <li>▪ The council's Risk Manager invited to be full member of Alarm Scotland Executive</li> </ul>	<ul style="list-style-type: none"> <li>▪ The Risk Manager has been recognised by her public sector peers for her work and engagement at a national level; for the council this position enables the organisation to influence and contribute to important national developments such as risk management arrangements for Health and Social Care Integration.</li> </ul>

## 1. Introduction

- 1.1 The Risk Management Annual Report is provided to the Audit, Scrutiny and Petitions Board each year in keeping with its delegated function of considering the corporate risk management annual report. The Report describes the corporate-led risk management activity that has taken place during 2014/15 in relation to the council's risk management arrangements and strategic risk management objectives. The Report does not cover the management of specific risks as such information is already provided to the policy boards through the Corporate Risk Register report and Service Annual Risk Management Plans.
- 1.2 In exceptionally challenging times and with diminishing resources, the council continues to apply an appropriate level of risk management to prevent or mitigate the effects of loss or harm. In doing so, we recognise that good risk management contributes to the delivery of better financial outcomes, business objectives, better project success rates, achievement of targets and fewer unexpected problems.
- 1.3 We purposefully promote an environment that is risk 'aware' rather than risk 'averse' and strive to place risk management information at the heart of the key policy decisions that we make. This means that we can take an effective approach to managing risk in a way that both addresses our significant challenges and enables innovation.
- 1.4 This annual report supports the council's code of corporate governance and seeks to provide assurance to stakeholders (internal and external) not only on the adequacy but also the continued effectiveness of the risk management arrangements applied during 2014/15.

## 2. Risk Management Framework 2014/15: Overview

- 2.1 The council's risk management framework was initially defined in 2008/09 and further refined in 2010. Below is a brief overview of the key components of the framework and thereafter sections 3 to 7 of this report expand on each component and highlight specific points relevant to 2014/15 developments.
  - (1) **Infrastructure/ enablers**

At the heart of the council's risk management arrangements are the strategic risk management objectives, the risk management policy and strategy and the strategic risk management development plan. Also embedded within the infrastructure are the communications systems in use for risk management information, including Covalent and Renfo, and the key policy boards and groups such as the Corporate Management Team and Corporate Risk Management Group that have a specific role in risk management.
  - (2) **Process**

A cyclical process for risk assessment, treatment, communication, monitoring and review of risk using a standardised risk matrix. The process and supporting matrix continue to enable a consistent approach to risk management throughout the council, set within the context of the council's capacity and tolerance for risk, sometimes also referred to as 'risk appetite.'
  - (3) **Application/ results**

Risk management is not viewed as an isolated function or practice but is applied to other key business process of the council, including service planning, financial planning, performance management, project management and partnerships. Applying risk management at the right time and in the right way is the key to risk management adding value to the organisation and delivering tangible results.
  - (4) **Reporting and monitoring**

Reporting and monitoring arrangements, including individual and group roles and responsibilities for risk management, are defined in such a way as to ensure a suitable flow of risk management information throughout the council and an appropriate level of monitoring and scrutiny relating to the effectiveness of the risk management arrangements in place and progress being made in relation to corporate and service risk management plans.
  - (5) **Risk management function**

For the risk management framework to be effective, it must be underpinned by training, guidance and ongoing development activity which raise awareness of how to implement good risk management practice across the council. This aspect of the framework informs the workplan of the corporate risk management function under the responsibility of the Director of Finance and Resources.

### 3. Risk Management Infrastructure/ Enablers

#### 3.1 Risk Management Policy and Strategy

In November 2014 'Risk Matters,' the combined risk management policy and strategy was reviewed formally by the Finance and resources Policy Board (version 11), in keeping with the formal review timetable for Risk Matters<sup>1</sup>.

 **New in 2014/15:** Three changes to the strategy were made:

1. Risks would be collated under the headings of (1) Better Future, (2) Better Council and (3) A High Performing Council, to ensure risks would be more closely aligned to the council plan.
2. That the frequency of risk reporting within the service departments would change from quarterly to six monthly to align this with the requirement for services to report to Boards on their risk management plans at the beginning of each financial year and thereafter with a mid year progress report. The corporate risks would however continue to be reported to and monitored by the Corporate Risk Management Group on a quarterly basis.
3. The role of Service Risk Management Representatives was made more explicit within version 11.0 to capture the expectations placed upon them as their service's nominated representative on the Corporate Risk Management Group.

#### 3.2 Strategic Risk Management Objectives

The council undertook a self assessment exercise in line with the Alarm<sup>2</sup> National Risk Management Performance Assessment Model in 2012 and again in 2014. Following the self assessment, the strategic risk management objectives shown below were still considered to be appropriate and have remained unchanged as a result.

The objectives form the basis of the Strategic Risk Management Development Plan.

##### Strategic Risk Management Objectives

- |     | Enablers  |
|-----|---|
| (1) | <u>Leadership and management</u> : Ensuring that our Directors and Senior Managers fully support and promote risk management  |
| (2) | <u>Policy and strategy</u> : Ensuring that our policy and strategy remain fit for purpose and maintain a consistent approach to the management of risk and increasing its effectiveness |
| (3) | <u>People</u> : Ensure that our people are equipped and supported to manage risk well   |
| (4) | <u>Partnerships and resources</u> : Ensuring that we have effective arrangements for managing risks in partnerships and resourcing risk management activity                             |
| (5) | <u>Processes</u> : Ensuring that our risk management processes are effective in supporting the business activities of the council   |
- 
- | Results |   |
|---------|---|
| (6)     | <u>Risk handling and assurance</u> : Ensuring that risks are handled well and that the council has assurance that risk management is delivering successful outcomes and supporting innovation |
| (7)     | <u>Outcomes and delivery</u> : Ensuring that risk management does contribute to achieving positive outcomes for the council   |

#### 3.3 Strategic Risk Management Development Plan 2014/16

The Strategic Risk Management Development Plan (SRMDP) explicitly sets out the development activity that supports the strategic risk management objectives. The plan is realistic, stretching but achievable; it allows the Corporate Risk Management Group to focus on strategic priorities and actions while at the same time allows individual members (representing their service departments) to consider operational implications and requirements for supporting the objectives.

<sup>1</sup> Risk Matters is reviewed formally every two years by Board with an interim annual review conducted by the Corporate Risk Management Group.

<sup>2</sup> 'Alarm' is the public risk management association

Progress against the Strategic Risk Management Development Plan is monitored quarterly by the Corporate Risk Management Group. The plan runs in two-yearly cycles, in this instance from April 2014 to March 2016.

The most notable outcome delivered from the plan during 2014/15 was:

**Objective 2 Policy and strategy**

“The council’s Risk Manager has supported the development of a specimen risk management policy and strategy for the Integration Joint Boards that fall within the scope of the NHSGGC boundary (Health and Social Care Integration)”

- ✔ Performance in relation to completion of SRMDP actions was 100% for year 1 against an in-year target of 85%
- ▶ Progress against the 2015/16 actions remains on track.

**3.4 The Corporate Risk Management Group**

The Corporate Risk Management Group met on six occasions during 2014/15 in accordance with its terms of reference. Four meetings were ‘standing’ quarterly meetings and two were specifically dedicated to the development of the 2015/16 corporate risk register. The quarterly standing items of business for this Group included:

- (1) review of the corporate risk register and progress against associated actions;
- (2) review of progress against the Strategic Risk Management Development Plan;
- (3) review of significant service risks brought to the Group for potential escalation;
- (4) review of the risk management key performance indicators, and
- (5) review of the quarterly update report received from the Risk Management Alliance. The Alliance is a sub group of the Corporate Risk Management Group.

In addition to the above standing items, the Group received additional reports and information from the Risk Manager in relation to national developments in risk management.

✚ **New in 2014/15:** A new standing item was added to the Corporate Risk Management Group’s agenda at the end of the year; the “Service news item” will formalise and enhance cross departmental learning from risk-related events.

**3.5 Covalent software system**

Covalent has been in use for recording and monitoring risk management information since early 2009/10. Using the system continues to be of benefit to officers as it reduces duplication of reporting where officers are providing updates on progress against actions which relate both to the management of risk and to delivering service improvements. No new risk-related system developments were made during 2014/15.

**3.6 Utilisation of Renfo**

Renfo continues to be a key tool for communicating and providing risk management information and guidance to all staff with access to Renfo. The Renfo risk management pages provide access to ‘Risk Matters’ and a range of supporting guidance documents and templates as well as contact details for the risk management and insurance service. The Audit and Risk Newsflash bulletin is also made widely available through Renfo.

## 4. Risk Management Process

4.1 The standardised process for risk management (adopted in 2008) remains fit for purpose and continues to be used. The table below is a summary of the guidance which accompanies the process. Utilisation of this process in all aspects of business helps officers to manage their activities and pursue opportunities in a way that helps achieve their objectives and prevent loss or harm.

<b>Establish the context</b>	Services consider risk in terms of context such as the council key themes and objectives, service priorities, operational activities or projects, longer term or shorter term objectives.
<b>Identify risk</b>	Services carefully define their risks in such a way as to be clear about the situation presented (opportunity, activity, service change, problem or challenge) and the consequences that may flow from it.
<b>Analyse risk</b>	Services analyse risk in terms of likelihood of occurrence and should it occur, its potential impact using the standardised risk matrix.
<b>Evaluate risk</b>	Services evaluate risk in terms of significance, being either 'low', 'moderate', 'high' or 'very high' and compare this with the councils capacity and tolerance for risk.
<b>Treat risk</b>	Services consider a range of options when deciding on the most appropriate way to address their risks, either through measures to terminate; transfer elsewhere (such as through insurance); tolerate as it is; or, treat with cost effective measures to reduce it to a level where the exposure is acceptable or tolerable for the council in keeping with its capacity and tolerance for risk. Note: in the case of opportunities, services may 'take' an informed risk in terms of tolerating it if an opportunity is judged to be (1) worthwhile pursuing and (2) the service is confident in its ability to achieve the benefits and justify the risk.
<b>Monitor and review risk</b>	Services are aware that once a risk assessment has been undertaken it is necessary to continue to monitor and review the risk for changes in context or the measures that are in place to control it.
<b>Communicate and consult</b>	Services are aware that it is good practice for at least two officers with relevant subject knowledge to undertake risk assessment (in consultation with other officers if necessary) with the key outcomes of the risk assessment process communicated to relevant persons (such as using the risk implications section on Board papers).

## 5. Risk Management Application/ Results

5.1 For risk management to truly add value for the organisation, it needs to be applied across the range of business processes in operation throughout the council and all its service departments.

5.2 Building on the success of the 'Renfrewshire Council Risk Management Award' scheme introduced to the council in 2011/12 and further success at the Alarm national risk management awards in 2012 and 2013, the council submitted eight entries for national awards again in 2014. Of the entries submitted, seven were shortlisted and of these seven there was:

- one winning entry for Community Risk - the SafeKids, FireReach and Youth Offending Project) and,
- two highly commended entries:
  - for Operational Risk – the Gallowhill Regeneration project
  - for People Risk – Functional Family Therapy initiative.

5.3 Towards the end of 2014/15 a number of services again submitted entries to the council's local risk management award scheme (summarised at 5.3.1-5.3.3 below), demonstrating how applying good risk management in a very practical sense can deliver real benefits to Renfrewshire's citizens, our services and the organisation itself.

### 5.3.1 Charleston Biomass Heating Project

The Council identified a time-bound opportunity to partner with British Gas and deliver a new Biomass district heating system to 461 flats at no cost to the council. Given the aging existing system, to not



grasp this opportunity would have left residents increasingly at risk of fuel poverty, being without heat or hot water, and the council experiencing future financial and operational risks. In pursuing this opportunity, during the changeover further technical risks required careful management to avoid loss of service to residents as a complete system retrofit of this size and complexity had not been attempted before. The project was successfully delivered within 18 months from inception at no capital cost to the Council or to any of the owners resident in the 11 blocks.

#### 5.3.2 I Am Me and Keep Safe

I Am Me is a community-led initiative working with partners to raise awareness of Disability Hate Crime and manage risks to public safety and social exclusion. The project has two key initiatives; I Am Me and Keep Safe. Both initiatives promote social cohesion and encourage communities to be tolerant, resilient and embrace diversity. Keep Safe helps tackle social isolation by encouraging confidence in participating in community life, free from the fear of harassment and abuse.

#### 5.3.3 PSN accreditation 2013

Changes to the Cabinet Office compliance criteria for accessing the public services network (PSN) triggered a significant risk which could have resulted in the council losing its connection to the network, if not responded to appropriately. The risk was unacceptable as the council could have been unable to fulfil its statutory obligations in relation to services such as housing benefits, registration of births, deaths and marriages and secure e-mail. A carefully co-ordination response was put in place, ensuring all the while that in addressing such a risk, the council would not inadvertently create other new risks. Accreditation was subsequently successfully achieved.


5.4 The Biomass Heating and the I Am Me/ Keep Safe entries have been submitted to the 2015 Alarm national risk management awards.

5.5 The insurance function of the council changed on 1 April 2014 with the retiral of the council's Insurance Officer. The Risk Manager remains responsible for the insurance function and is supported in this role by an Insurance and Risk Management Co-ordinator and with external advice and brokering services from Aon UK Ltd, who were awarded a 5 year contract by the council on 1 April 2014. The council extended its current insurance arrangements on 1 November 2014 for a period of two years. Premium had in previous years been held at existing rates, however due to an increase in storm related property damage in recent years, the insurers applied and increased rate to the property premium. Aon UK Ltd will be working with the council to review the claims profile and undertake a 'Total Cost of Risk' project to ensure that the most effective insurance programme will be identified ahead of the council's insurances being tendered again in 2016.

5.6 Each year the council undertakes an analysis of insurance payments in connection with the Renfrewshire Schools Partnership. In 2014/15, Aon UK Ltd additionally undertook a review of the arrangements to ensure best value for the council. A recovery of £271,460 in relation to schools PFI insurance for the 2014/15 policy year was secured.

5.7 In November 2014 a difficult decision was taken to cancel the planned fireworks events due to the weather conditions that were forecast, in particular the direction and gusts of wind. Careful management of the situation and ongoing liaison with the events insurers enabled the council to recover circa £41,000 of financial losses incurred due to the cancellation.

5.8 Risk management continued to be a key component of the council's project management framework meaning that if risks are proactively addressed through each stage of a project, the project outcomes are more likely to be achieved on time and within the planned budget.

 **New in 2014/15:** Programme Management Unit (PMU) identified a Project Manager who would take the lead on ensuring implementation of best practice in risk management in projects, with a specific focus on those projects falling within the remit of the Better Council Programme. Given this new and welcome development within the PMU, the planned KPI of monitoring risk management reporting within projects is being withdrawn from the list of KPIs monitored by the Corporate Risk Management Group.


5.9 Each service continues to refresh its service risk management plan on an annual basis taking account of the service priorities and service improvement plans. This means that risks relating to the service priorities are proactively address and services are more likely to achieve their priorities and outcomes as planned.

- 5.10 Each year, services bring to the attention of the Director of Finance and Resources any areas of unavoidable cost pressures they are experiencing. During this process services can highlight instances where cost pressures relate to top corporate or services risks and this supports effective decisions to be made in relation to financial priorities.

## 6. Reporting and Monitoring

- 6.1 The governance arrangements in place during 2014/15 have continued to ensure clear lines of accountability for risk management and continue to enable a suitable flow of risk information throughout the council. The policy boards approved the corporate and service risk registers for 2014/15 and received mid year progress reports.

- 6.2 Each service has a recognised forum for discussing risk-related matters and each service has a representative on the Corporate Risk Management Group. The Corporate Risk Management Group has overseen the 2014/15 Corporate Risk Register and monitored progress against related actions on a quarterly basis. The services have taken ownership of their annual Risk Management Plans with processes being followed that allow reporting, and where necessary 'escalation' of significant service risks to the Corporate Risk Management Group. Services have complied with the requirement to submit mid-year progress reports to Boards.

 **New in 2014/15:** the requirement for departmental or senior management teams to review their risk management plans on a quarterly basis was amended so that this activity would take place on a six monthly basis, bringing it into alignment with the timescales for reporting risk information to the relevant policy boards. The KPI linked to monitoring quarterly reporting was therefore withdrawn from the list of KPIs monitored by the Corporate Risk Management Group.

- 6.3 In terms of monitoring performance in risk management the council participates in the Alarm/ CIPFA<sup>3</sup> benchmarking club, using the Alarm National Risk Management Performance Assessment Model.

The Performance Assessment Model describes an organisation's risk management maturity as:

- |                        |                        |                      |                                      |                      |
|------------------------|------------------------|----------------------|--------------------------------------|----------------------|
| ▪ Level 1<br>Awareness | ▪ Level 2<br>Happening | ▪ Level 3<br>Working | ▪ Level 4<br>Embedded and integrated | ▪ Level 5<br>Driving |
|------------------------|------------------------|----------------------|--------------------------------------|----------------------|


The council aims for level 4, to demonstrate maturity where risk management is consistently 'embedded and integrated' while also being able to demonstrate examples of where risk management information is driving the key policy decisions of our organisation. On completing the assessment process initially in 2012 and again in 2014, the council achieved Level 4.

- 6.4 Key Performance Indicators continue to be implemented and monitored by the Corporate Risk Management Group on a quarterly basis. Indicators relate to how well the Risk Management Policy and Strategy is embedded throughout the council, how well the Strategic Risk Management Development Plan is progressing and the council's risk management performance when benchmarked with national risk management standards.

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<sup>3</sup> Chartered Institute for Public Finance and Accountancy

## 7. Risk Management Function/ Training and Development

- 7.1 The council's Risk Management Training Strategy ensures that we are clear about the council's expectations as to the degree of risk management knowledge required across a range of roles within the council, and the risk management training and development solutions that are available and should be accessed through the council to enable competence and capacity to manage risk within those roles.
- 7.2 In-house training and development in risk management continues to be offered through a range of fora and formats. Examples include:
- Fundamentals of Risk Management (2 Days available through the council's insurers)
  - Management Development Programme/ Risk Management Course (1 Day in-house)
  - Topical sessions for Elected Members
  - Project Risk Management Workshops (in-house as required)
  - Internal audit training programme (in-house through the Audit, Scrutiny and Petitions Board)
  - Risk Management iLearn course (in-house, 45 mins)
  - use of 'risk control days' training (available through Insurers)
- 7.3 In relation to a couple of the items above, the following can be noted:
- Management Development Programme/ Risk Management Course (1 Day in-house)  
The course continued to be well supported by services and be very highly evaluated. This one day course is available to council managers and employees at no charge. The course has run at a minimum every six months since its inception.
  - Topical sessions for Elected Members  
A session for Elected Members on insurance and claims management was to take place in March 2015 but due to the attendance level the session had to be postponed and will be offered again during 2015/16.
- 7.4 In order to continue to provide evidenced based training, development and advice for the council, the council's Risk Manager maintains continued professional development in her field and is qualified to Masters level (MSc in Risk Management awarded by Glasgow Caledonian University).
- 7.5 Through membership of a number of groups that include ALARM (the Public Risk Management Association), and the Alarm Scotland Strategic Risk Management Group, the Risk Manager keeps abreast of risk management developments and best practice in other public sector organisations and local authority areas.
-  **New in 2014/15:** the Risk Manager was invited to join the executive for Alarm Scotland as a full member. This recognises the contribution that Renfrewshire Council makes to the wider public sector risk management community and shows that the Risk Manager is recognised by her public sector peers for her work and engagement at a national level. The council is therefore in a position that enables the organisation to influence and contribute to important national developments such as risk management arrangements for Health and Social Care Integration.

## 8. Conclusion

- 8.1 This Report has provided an overview of key risk management activity and developments undertaken during 2014/15 in relation to the council's corporate-led risk management arrangements. It is intended that the report provides assurance regarding the robustness of the council's risk management approach.



### **REQUEST FOR ATTENDANCE – CONFERENCES**

#### **CONFERENCE DETAILS:** Scrutiny Seminar Series

Title/Organisation Body: Inlogov

Venue: University of Birmingham

Date: 26 June, 2015

#### **BRIEF DESCRIPTION OF CONFERENCE PROGRAMME**

This one-day seminar/workshop is set up to give confidence and skills to councillors who chair scrutiny committees. Scrutiny is one of the hardest tasks that face councillors, but when it works well one of the most rewarding. The training develops practical skills of chairing but also the confidence to do it well, based on an understanding of what it can achieve.

The seminar will consider:

- how to prepare for scrutiny committees or short-life task and finish groups
- the relationships between scrutiny chairs and scrutiny officers
- how to choose a small number of topics for scrutiny investigations
- how to plan and develop questions and get what you want from those who come to answer questions
- innovative ways of collecting evidence
- how to make recommendations effective
- the nature of scrutiny leadership

Aims

- To explore the skills of chairing scrutiny
- To look at how style and approach is influenced by the chairman
- To link chairing styles to scrutiny topics
- To practice chairing skills

**COST PER PERSON:** £195 (£95 for a second participant from the same authority).



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**To:** Audit, Scrutiny & Petitions Board

**On:** 1 June 2015

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**Report by:** Director of Finance and Resources

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**Heading:** Audit, Scrutiny & Petitions Board – Annual Programme 2015/16

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**1. Summary**

- 1.1 In terms of the guidelines for its operation, the Audit, Scrutiny & Petitions Board is required to prepare an annual programme of activities which may include consideration of routine reports as well as areas of specific investigation.
- 1.2 Generally, each review takes at least five meetings to conclude, but this is dependent upon the availability of witnesses and whether the Board wishes to hear further evidence. It was agreed at an earlier meeting that, given the level of business before the Board, no more than two reviews be considered at each meeting to allow members to give sufficient consideration to each one and in order that meetings were not extended too late into the afternoon.
- 1.3 The Board historically undertook 3-4 reviews each year based on there being two meetings per cycle. However there is now only one meeting per cycle and only five cycles each year, although there is the facility to hold additional meetings if required. This has an impact on the number of reviews which can be undertaken and the length of time taken to conclude each review.

1.4 At the meeting of the Board held on 2<sup>nd</sup> June, 2014 it was agreed that the 2014/15 annual programme comprise the following reviews and their order of priority: (i) the terms and conditions of a Renfrewshire Housing lease/contract in relation to the upkeep of Council property; (ii) communication between tenants, elected members and Development & Housing Services; (iii) the effectiveness of the 'Invest in Renfrewshire' programme; (iv) Ward 15 (Children's Ward) Royal Alexandra Hospital; and (v) bus deregulation and its effect on transport services in Renfrewshire.

1.5 Progress in relation to each of these reviews is set out below:

- (i) review of the terms and conditions of a Renfrewshire Housing lease/contract in relation to the upkeep of Council property - ongoing;
- (ii) review of communication between tenants, elected members and Development & Housing Services - at its meeting held on 30 March, 2015 the Board noted that since the initial proposal for the review, which had first been suggested as part of the 2012/13 programme, housing services had undergone many strategic service improvements including significant customer- focused improvements, particularly in the use of new technology. The Board therefore agreed that there was no empirical evidence that there was currently an issue with communication between tenants, elected members and housing services in relation to housing repairs.
- (iii) Invest in Renfrewshire programme – subsequent to the Board agreeing to undertake this review, the Council reviewed its decision making structure and established the Economy & Jobs Policy Board and Invest in Renfrewshire is monitored and reviewed in regular reports that are presented to this Board. This updates Members on activities, proposed changes and the services delivered through the Council's investment as well external funding secured to ensure that there is value for money and greatest impact.

In addition, a review by external consultants was carried out in 2013 and this was reported to the Economy & Jobs Board and it is suggested that a further commission will be called and reported to the Economy & Jobs Board in due course. As a result of this it is proposed that original purpose of this review has been overtaken and is no longer required.

- (iv) Ward 15 Royal Alexandra Hospital – not yet commenced.
- (v) Bus deregulation and its effect on transport services in Renfrewshire – not yet commenced.

- 1.6 Accordingly, unless members have any other areas they wish to propose for the Board's consideration, it is suggested that the 2015/16 programme comprise the reviews of (a) Ward 15 (Children's Ward) Royal Alexandra Hospital; and (b) bus deregulation and its effect on transport services in Renfrewshire.
- 1.7 Members were advised that this report would suggest that the 2015/16 programme comprise the two reviews which have yet to commence as detailed at paragraph 1.6 above, unless they had any other areas they wished to propose for the Board's consideration and were asked, when proposing issues for consideration, to provide details of why the review should be undertaken and the expected outcome of the proposed review.
- 1.8 Councillor James MacLaren has indicated that he would like the Board to include in its annual programme (a) review of Brookfield speed limit; (b) cycle to work scheme; (c) fly tipping; (d) housing repairs; (e) Japanese knotweed; and (f) multi-occupancy; and Councillor Jim Sharkey has asked that the effectiveness of Fair Trade be included.
- 

## 2. **Recommendations**

- 2.1 That members consider which issues they would wish the Board to consider for inclusion in its next annual programme of reviews, including the order of priority in which they are to be undertaken.
- 2.2 That lead officers be appointed to consider all of the topics and prepare reports outlining the possible scope and terms of reference of specific investigations and suggest individuals, agencies and organisations who might be invited to contribute to the investigations; and
- 2.3 That in relation to the review of the Invest in Renfrewshire programme, it be agreed that this falls within the remit of the Economy & Jobs Policy Board and that a review of this topic is no longer required in terms of the Board's annual programme of reviews.
- 

## **Implications of the Report**

1. **Financial** – *none*
2. **HR & Organisational Development** - *none*
3. **Community Planning** – the Board's annual programme reflects the Council's commitment to open and transparent government.
4. **Legal** - *none*

- 5. **Property/Assets** - *none*
- 6. **Information Technology** – *none*
- 7. **Equality & Human Rights**

(a) The Recommendations contained within this report have been assessed in relation to their impact on equalities and human rights. No negative impacts on equality groups or potential for infringement of individuals' human rights have been identified arising from the recommendations contained in the report. If required following implementation, the actual impact of the recommendations and the mitigating actions will be reviewed and monitored, and the results of the assessment will be published on the Council's website.

- 8. **Health & Safety** - *none*
- 9. **Procurement** – *none*
- 10. **Risk** - *none*
- 11. **Privacy Impact** - *none*

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**To:** Audit, Scrutiny & Petitions Board

**On:** 1 June 2015

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**Report by:** Director of Finance and Resources

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**Heading:** **Petition: Sandy Road, Renfrew**

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**1. Summary**

1.1 A petition in the undernoted terms was considered by the Board at its meeting held on 16 February, 2015.

“This petition is for something to be done to prevent further accidents at corner of Sandy Road and Newmains Road and also Broadloan/Sandy Road (both Renfrew). I realise traffic lights could be the only answer, before some-one is killed or badly injured.”

1.2 The Board noted that Sandy Road was a distributor road within a residential area; it was a bus route and provided access to Newmains and Renfrew Primary Schools and Tesco Supermarket, and it had traffic calming at the junctions identified in the petition. In addition zebra crossings were installed at these junctions to assist pedestrians. In the three-year period 2011/13, there had been one reported injury accident which was at the junction of Sandy Road and Broadloan and involved two vehicles. General issues were raised from time to time by Renfrew Community Council.

1.3 Having heard from the principal petitioner and her supporter, the Board agreed that matters contained in the petition be referred to the Director of Community Resources for further investigation and that a report on the outcome be submitted to a future meeting of the Board.

- 1.4 The Traffic, Street Lighting & Asset Manager and Transportation Officer (both Community Resources) met with an officer of Police Scotland on site at Sandy Road on 5<sup>th</sup> March 2015 to discuss the issues raised at the Board and look at the overall operation of the road. The findings are noted below:
- No obvious issue with the road operation could be seen. Although there is a significant volume of cars that use Sandy Road, traffic was running efficiently.
  - The crossing points were found to be well signed and the white lining is fresh. The speed cushions were also found to be in a good condition.
  - Although cars are parking along Sandy Road no evidence of this causing a problem could be seen, and indeed parked cars assist with reducing vehicle speeds at this location.
  - The representatives from Community Resources and Police Scotland did not see any issue with the location of the crossing points. The crossings operated effectively during the site visit and provided good pedestrian links to the two schools over both legs of the T-junctions.
  - The traffic speeds on Sandy Road were recorded for the period from 2<sup>nd</sup> April until 9<sup>th</sup> of April, 2015. The signs remained blank during this time to mitigate the effect that they would have on the natural speed of traffic.
  - The results showed an average speed of 25 mph for the period with an 85<sup>th</sup> percentile speed (this is the speed which 85% of the vehicles are not exceeding) of 32mph. This is the same as in the previous survey. The police have also carried out independent speed checks and do not feel that speeding is an issue here.
- 1.6 The Head of Amenity Services has indicated that he is looking at a more holistic view to addressing the traffic problems in Renfrew and is about to commence a review of the phasing of the signals on Paisley Road with a view to making this road more efficient, thus negating the need for drivers to use alternative routes. Alterations to the signals are likely to commence over summer.
- 1.7 A plan and photograph of the area is appended to the report.
- 1.8 The principal petitioner, together with her supporter, has been invited to this meeting of the Board in order that the Board may further consider the petition.



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2.           **Recommendations**

2.1           That the Board give further consideration to the petition.

2.2           The Board consider its decision in relation to the petition which will be either (a) to take no action; (b) refer the petition to a Director or Policy Board with or without a recommendation; or (c) where the petition relates to another organisation, refer it to that organisation, with or without a recommendation.

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**Implications of the Report**

1.           **Financial** – *none*

2.           **HR & Organisational Development** - *none*

3.           **Community Planning** – *none*

4.           **Legal** - *none*

5.           **Property/Assets** - *none*

6.           **Information Technology** – *none*

7.           **Equality & Human Rights**

(a)       The Recommendations contained within this report have been assessed in relation to their impact on equalities and human rights. No negative impacts on equality groups or potential for infringement of individuals' human rights have been identified arising from the recommendations contained in the report. If required following implementation, the actual impact of the recommendations and the mitigating actions will be reviewed and monitored, and the results of the assessment will be published on the Council's website.

8.           **Health & Safety** - *none*

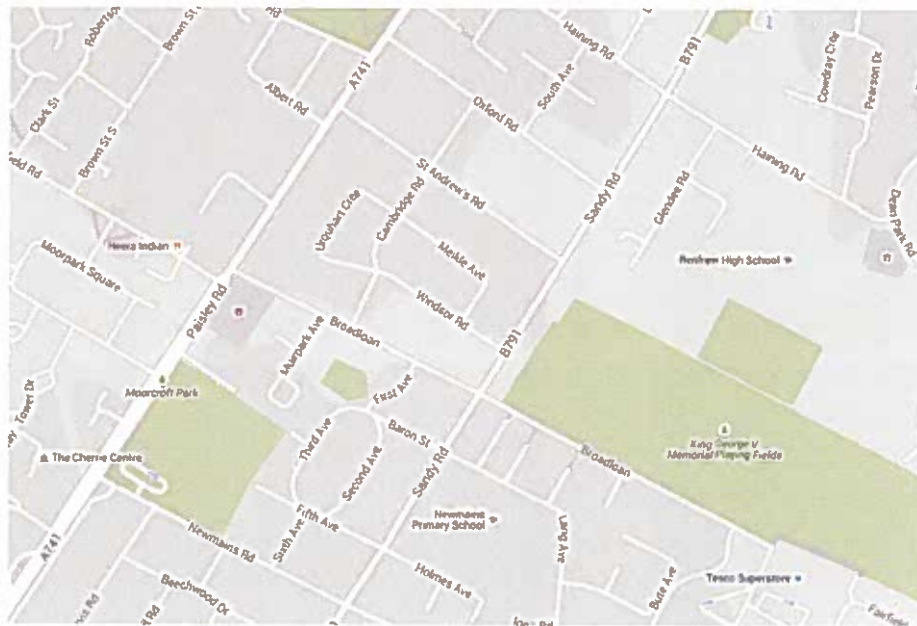
9.           **Procurement** – *none*

10.          **Risk** - *none*

11.          **Privacy Impact** - *none*

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Plan of Sandy Road, Renfrew



Looking north east along Sandy Road to pedestrian crossing

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**To:** Audit, Scrutiny & Petitions Board

**On:** 1 June 2015

---

**Report by:** Director of Finance and Resources

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**Heading:** Petition, Bus Stop, Trident House, Renfrew

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**1. Summary**

1.1 A petition in the undernoted terms was considered by the Board at its meeting held on 30 March, 2015.

“To move the bus stop from outside of Trident House in the Renfrew Road because of danger to passengers alighting from buses at this stop and then having to either cross at the entrance to the M8 motorway in order to access the Abbotsinch Estate or either crossing the exit from the M8 motorway to access the bottom end of Gallowhill. Residents of Gallowhill want the bus stop put back to where it was previously sited, before a serious injury or fatal accident occurs”.

1.2 The Board noted that the Head of Amenity Services had advised that the bus stop was moved to make way for the access road for the new retail development on Renfrew Road so it could not go back to its original position. He advised that in terms of the road layout this was a very difficult area to find a suitable location for a bus stop and that there was no other place to put it except at Trident House where it had been operating safely for the past 10 months. He further advised that a pedestrian survey had been undertaken to determine the routes people used near the stop including the roundabout to the retail park and the slip roads to the M8 motorway.

- 1.3 Having heard from the principal petitioner and her supporter, the Board agreed that the petition be referred to the Director of Community Resources with the recommendation that a site visit be arranged, to be attended by members of the Board, a representative from SPT, relevant officers, the petitioner and supporter, and the remaining local member who was not a member of the Board, and that consideration of the petition be continued to a future meeting of the Board.
- 1.4 The site visit took place on 15 May, 2015 and the principal petitioner, together with her supporter, has been invited to this meeting of the Board in order that the Board may further consider the petition.
- 1.5 The Head of Amenity Services has indicated that arising from the site visit, there appears to be confusion relating to where the petitioners want the stop to be moved and has provided the attached plan for clarification. The bus shelter was moved from Location 1 prior to 1990 to accommodate the installation of the pelican crossing. It was moved south on Renfrew Road because it was not suitable to locate it between the new crossing and the roundabout immediately south of Trident House as it would be too close to the roundabout and be problematic to bus operations and would also cause congestion. The bus shelter and stop cannot be moved back to Location 2 as shown on the plan because there is now an access road constructed to serve the new retail development.
- 1.6 A survey of pedestrian movements has been carried out in the vicinity of the current location outside Trident House and will be further assessed to establish pedestrian desire lines over the length of Renfrew Road between the roundabout at the retail park and the roundabout at Arkleston. This work will be on going this financial year. The Head of Amenity Services suggests that passengers should use the existing stop outside KFC which is around 100 metres from the stop that was relocated or use Service No. 64 which goes into Gallowhill every 10 minutes.
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## **2. Recommendations**

- 2.1 That the Board give further consideration to the petition, following the site visit held on 15 May, 2015.
- 2.2 The Board consider its decision in relation to the petition which will be either (a) to take no action; (b) refer the petition to a Director or Policy Board with or without a recommendation; or (c) where the petition relates to another organisation, refer it to that organisation, with or without a recommendation.
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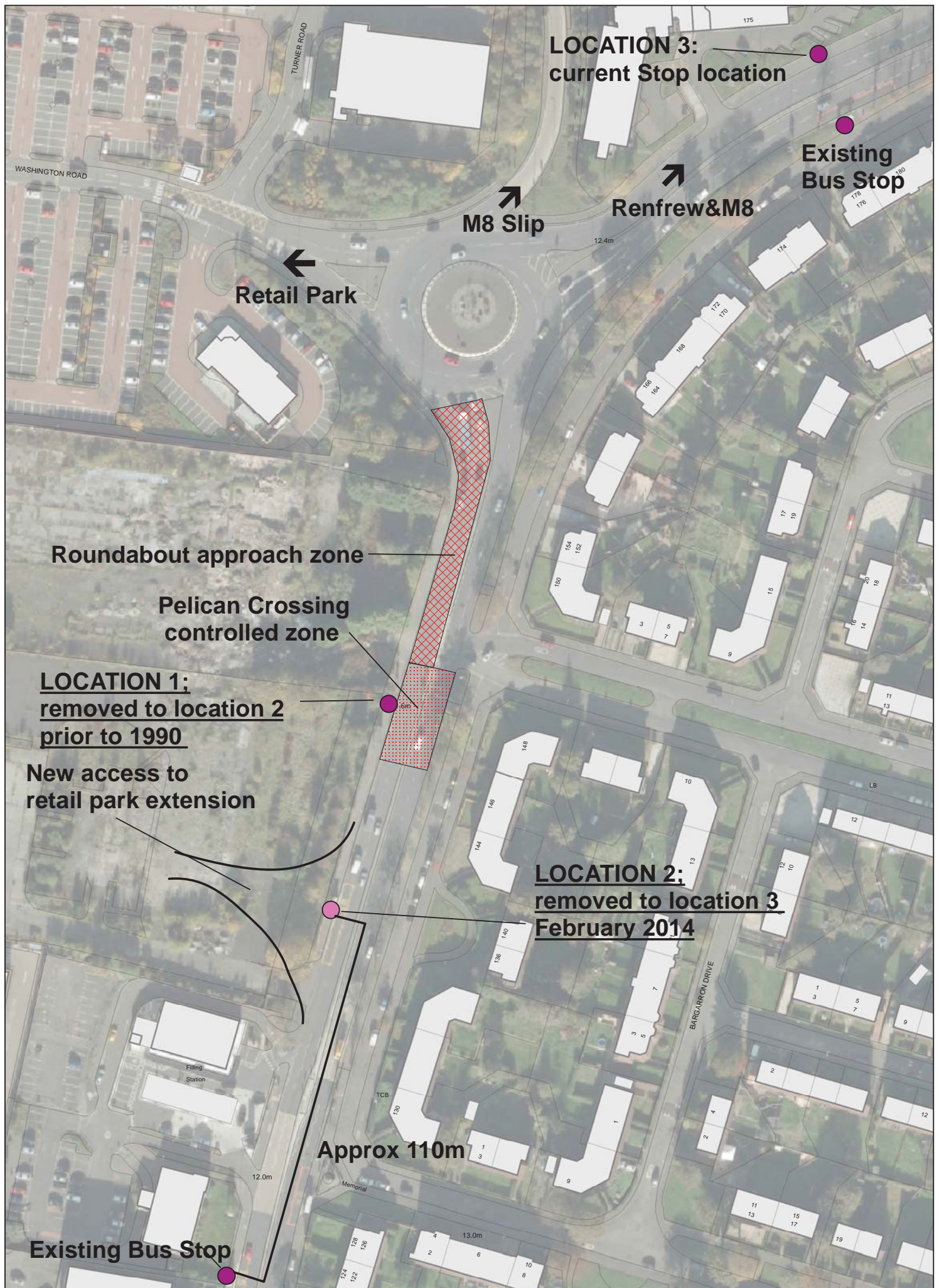
## **Implications of the Report**

1. **Financial – none**
  2. **HR & Organisational Development - none**
  3. **Community Planning – none**
  4. **Legal - none**
  5. **Property/Assets - none**
  6. **Information Technology – none**
  7. **Equality & Human Rights**
    - (a) The Recommendations contained within this report have been assessed in relation to their impact on equalities and human rights. No negative impacts on equality groups or potential for infringement of individuals' human rights have been identified arising from the recommendations contained in the report. If required following implementation, the actual impact of the recommendations and the mitigating actions will be reviewed and monitored, and the results of the assessment will be published on the Council's website.
  8. **Health & Safety - none**
  9. **Procurement – none**
  10. **Risk - none**
  11. **Privacy Impact - none**
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# Renfrew Rd, Paisley - Bus Stop Relocation



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**To:** Audit, Scrutiny & Petitions Board

**On:** 1 June 2015

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**Report by:** Director of Finance and Resources

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**Heading:** Petition, Felling of Trees, Houston

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**1. Summary**

1.1 The Council has agreed procedures in relation to the submission of petitions including parameters for determining valid petitions and those areas where petitions would not be valid.

1.2 All valid petitions are to be submitted to the Board for consideration and a summary report is to be prepared on any petitions which are not considered to be valid in terms of the procedures and it is for the Board to determine the validity of such petitions.

1.3 A petition in the undernoted terms has been received:

“Petition regarding the proposed removal of trees from the south bank of Houston Burn in Houston village centre between Main Street and Bogstonhill Road

We, riparian owners of the properties adjacent to the strip of Council land on which these trees are growing, request the relevant departments of Renfrewshire Council, including Housing and Planning, to take our views into consideration before deciding on any action to take with these trees, including any decision to fell them.

These trees are an integral part of the character of Houston village, which is designated as a Conservation Area. The Scottish Government's Guide to Conservation Areas states that local Councils have a responsibility to preserve and enhance Conservation Areas by among other things, the protection of trees. The complete removal of these trees would have a serious negative impact on the character of our historic village centre.

We also ask that Renfrewshire Council abides by the terms of the Town and Country Planning Act (Scotland) 1997, sections 160(6)(a) and 167. This states that because the trees in question are subject to a tree preservation order, the Council is required to replace any trees felled on the grounds of safety with others of an appropriate size and species at the same place as soon as they reasonably can."

- 1.4 The Head of Corporate Governance considers that the petition is not valid in terms of paragraph 3(b)(ii) of the procedures - petitions about individual planning, licensing or other applications (including decisions already taken) where there are already procedures. The Head of Planning & Development advises that a treeworks application (ref 15/160/PP) for a site at 15-29 South Street, Houston for the removal of five trees is currently being considered by the Council as Planning Authority. Accordingly, there are already procedures in place within the Council to deal with representations in relation to treeworks applications. The Head of Planning & Development has indicated that representations received in relation to the proposed treeworks will be recorded in the Report of Handling (the assessment report for the application) and will be taken into consideration.
- 1.5 If the application for treeworks is approved, it remains a matter for the Council (Development & Housing Services) as owners of the land and trees whether or not to act on the permission and implement the works. The application was submitted as result of safety concerns based on the erosion of the trees root plates by the adjacent Houston Burn.
- 1.6 It is for the Board to determine the validity of the petition and whether they wish to hear it.

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## 2. Recommendations

- 2.1 That the Board determines the validity of the petition and whether they wish to hear it.

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## Implications of the Report

1. **Financial** – *none*  
2. **HR & Organisational Development** – *none*



3. **Community Planning** – The petitions procedure provides an avenue for members of the public to engage with the Council.
4. **Legal** - *none*
5. **Property/Assets** – *none*
6. **Information Technology** – *none*
7. **Equality & Human Rights**  
The Recommendations contained within this report have been assessed in relation to their impact on equalities and human rights. No negative impacts on equality groups or potential for infringement of individuals' human rights have been identified arising from the recommendations contained in the report. If required following implementation, the actual impact of the recommendations and the mitigating actions will be reviewed and monitored, and the results of the assessment will be published on the Council's website.
8. **Health & Safety** - *none*
9. **Procurement** – *none*
10. **Risk** - *none*
11. **Privacy Impact** - *none*

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