

## Notice of Meeting and Agenda Finance & Resources Policy Board

Date	Time	Venue
Wednesday, 18 May 2016	14:00	Council Chambers (Renfrewshire), Council Headquarters, Renfrewshire House, Cotton Street, Paisley, PA1 1AN

KENNETH GRAHAM  
Head of Corporate Governance

### Membership

Councillor Derek Bibby: Councillor Audrey Doig: Councillor Christopher Gilmour: Councillor Jim Harte: Councillor Jacqueline Henry: Councillor Brian Lawson: Councillor Paul Mack: Councillor Kenny MacLaren: Councillor Mags MacLaren: Councillor Alexander Murrin: Councillor Allan Noon: Councillor Tommy Williams:

Councillor Michael Holmes (Convener): Councillor Eddie Grady (Depute Convener):

### 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.

### 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.cmis.uk.com/renfrewshire/CouncilandBoards.aspx](http://www.renfrewshire.cmis.uk.com/renfrewshire/CouncilandBoards.aspx)

For further information, please either email [democratic-services@renfrewshire.gov.uk](mailto:democratic-services@renfrewshire.gov.uk) or telephone 0141 618 7112.



## 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.

- |          |   |                |
|----------|---|----------------|
| <b>1</b> | <b>Procurement Sub-Committee</b>  | <b>5 - 14</b>  |
|          | Minutes of the meetings of the Procurement Sub-Committee held on 16 and 29 March 2016.      |                |
| <b>2</b> | <b>Joint Consultative Board (Non-Teaching)</b>  | <b>15 - 18</b> |
|          | Minute of the meeting of the Joint Consultative Board (Non-Teaching) held on 27 April 2016. |                |
| <b>3</b> | <b>Revenue Budget Monitoring Report to 4 March 2016</b>                                     | <b>19 - 30</b> |
|          | Joint report by the Chief Executive and the Director of Finance & Resources.                |                |
| <b>4</b> | <b>Revenue Budget Monitoring Report - Overview to 4 March 2016</b>                          | <b>31 - 44</b> |
|          | Report by the Director of Finance & Resources.  |                |
| <b>5</b> | <b>Capital Budget Monitoring Report to 4 March 2016</b>                                     | <b>45 - 50</b> |
|          | Report by the Director of Finance & Resources.  |                |
| <b>6</b> | <b>Capital Budget Monitoring Report - Overview to 4 March 2016</b>                          | <b>51 - 58</b> |
|          | Report by the Director of Finance & Resources.  |                |
| <b>7</b> | <b>Revenues Collection Statement</b>  | <b>59 - 64</b> |
|          | Report by the Director of Finance & Resources.  |                |
| <b>8</b> | <b>Benefits Administration - Welfare Reform &amp; Performance Statement</b>                 | <b>65 - 72</b> |
|          | Report by the Director of Finance & Resources.  |                |

<b>9</b>	<b>Finance &amp; Resources: Service Improvement Plan - Outturn Report to 31 March 2016</b>	<b>73 - 98</b>
	Report by the Director of Finance & Resources.	
<b>10</b>	<b>Chief Executive's Service Improvement Plan - Outturn Report to 31 March 2016</b>	<b>99 - 112</b>
	Report by the Chief Executive.	
<b>11</b>	<b>Finance &amp; Resources: Risk Management Plan, April 2016</b>	<b>113 - 140</b>
	Report by the Director of Finance & Resources.	
<b>12</b>	<b>Chief Executive's Risk Management Plan 2016/17</b>	<b>141 - 174</b>
	Report by the Chief Executive.	
<b>13</b>	<b>Corporate Risk Register</b>	<b>175 - 218</b>
	Report by the Director of Finance & Resources.	
<b>14</b>	<b>Voluntary Redundancy/Early Retirement Schemes</b>	<b>219 - 224</b>
	Report by the Director of Finance & Resources.	
<b>15</b>	<b>Council Tax - Empty Properties Operational Policy</b>	<b>225 - 248</b>
	Report by the Director of Finance & Resources.	
<b>16</b>	<b>Policy &amp; Guidelines on Surveillance</b>	<b>249 - 272</b>
	Report by the Director of Finance & Resources.	
<b>17</b>	<b>Civic Hospitality</b>	<b>273 - 276</b>
	Report by the Director of Finance & Resources.	

## Minute of Meeting Procurement Sub-committee

Date	Time	Venue
Wednesday, 16 March 2016	14:30	Council Chambers (Renfrewshire), Council Headquarters, Renfrewshire House, Cotton Street, Paisley, PA1 1AN

### PRESENT

Councillors Bibby, Audrey Doig, Gilmour, Harte, Henry, Lawson, K MacLaren, M MacLaren, Murrin, Noon and Williams.

### CHAIR

Councillor Grady, Depute Convener, presided.

### IN ATTENDANCE

F Hughes, Procurement Manager, S Gibb, Senior Procurement Specialist, D Taggart, Procurement Category Manager, K Thomson, Category Manager and G McLatchie, Communications Officer (all Chief Executive's); L Feely, Housing Asset and Investment Manager (Development & Housing Services); J Lynch, Head of Property and P Shiach, Committee Services Officer (both Finance & Resources).

### APOLOGY

Councillor Holmes.

### DECLARATIONS OF INTEREST

There were no declarations of interest intimated prior to the commencement of the meeting.

**1(a) CONTRACT AUTHORISATION REPORT: YEAR 7 MEASURED TERM CONTRACT MADE UNDER LOT 1 OF FRAMEWORK AGREEMENT FOR HOUSING CAPITAL INVESTMENT INTERNAL WORKS**

There was submitted a joint report by the Chief Executive and the Director of Development & Housing Services relative to the award of the Year 7 Measured Term Contract (MTC) under Lot 1 of the Framework Agreement for the Housing Capital Investment Internal Works programme (Years 6-9): RC1407\_2637 (ITT5324).

The report advised that the first MTC (Year 6) made under Lot 1 was issued on 2 February, 2015 to start on the same date. On the anniversary date of the MTC for Year 6, all three contractors awarded onto Lot 1 of the framework had submitted a review of their prices for Year 7. Details of the evaluation process and cumulative score for each of the tenderers were detailed in the report.

**DECIDED:**

(i) That the Head of Corporate Governance be authorised to award the Year 7 MTC made under Lot 1 of the Framework Agreement for the Housing Capital Investment Internal Works Programme (Years 6-9): RC1407\_2637(ITT5324) to Mitie Property Services (UK) Limited;

(ii) That it be noted that the estimated spend on the contract would be up to £1 million, excluding VAT; and

(iii) That it be noted that the MTC would be for a period of 12 months from the award of this package order (MTC), with the anticipated date of award being 31 March, 2016, or as confirmed in the Council's letter of acceptance for this MTC.

**1(b) CONTRACT AUTHORISATION REPORT: POSTAL GOODS AND SERVICES**

There was submitted a joint report by the Chief Executive and the Director Finance & Resources relative to the award of contract for postal goods and services made under the Crown Commercial Service (CCS) framework for Postal Goods & Services RM1063 Lot 3 from 4 April 2016 to 3 April 2018, with the Council reserving the option to extend for up to two 12-month periods.

The report advised that CCS provided national contracts for central government and the wider public sector to utilise in order to make savings with a direct award made from the CCS Framework RM1063 Lot 3 – Hybrid Mail Off-Site Solution.

The report indicated that analysis of the RM1063 Framework Agreement rates was undertaken by the relevant Council officers to determine best value for the Council. Savings from utilising the direct award procedure with Critiqom Limited were anticipated to be approximately £17,000 per annum.

**DECIDED:**

(i) That the Head of Corporate Governance be authorised to make a direct award call-off Contract for Postal Goods & Services under Lot 3 of the Crown Commercial Services (CCS) Framework Contract RM1063 Postal Goods and Services to Critiqom Limited;

(ii) That it be noted that the the total value of the contract would be £860,000 excluding VAT where the Council's option to extend on two separate occasions was utilised; and

(iii) That it be noted that the call-off contract would commence on 4 April 2016 until 3 April 2018 with the option to extend for a 12-month period on two separate occasions, to no later than 3 April, 2020.

**1(c) CONTRACT AUTHORISATION REPORT: SUPPLY AND INSTALLATION OF CIRCOSENSE UNITS**

There was submitted a joint report by the Chief Executive and the Director of Development & Housing Services relative to the award of an NEC3 Short Supply Contract for the Supply and Installation of CircoSense Units to existing hot water systems.

The report advised that the Council had a requirement for the installation of specialist equipment for the control of secondary return hot water systems in a number of Renfrewshire Council's commercial properties, and that following extensive market research, it had been identified that CircoSense, supplied by Campbell and Kennedy Limited was the only product on the market with the ability to deliver these requirements.

The report intimated that the value of the contract was above the EU threshold for supplies and that due to technical reasons and the units being exclusively distributed, marketed and installed by Campbell and Kennedy Limited, the contract had been negotiated with Campbell and Kennedy Limited in accordance with the negotiated procedure without call for competition under The Public Contracts (Scotland) Regulations 2012 and the Council's Standing Orders relating to Contracts.

**DECIDED:**

(i) That the Head of Corporate Governance be authorised to award the contract for the Supply and Installation of CircoSense Units, reference RC/OC/118/16 to Campbell and Kennedy Limited;

(ii) That it be noted that the value of the contract would not exceed £399,963.41, excluding VAT; and

(iii) That it be noted that the contract had an anticipated start date of 28 March, 2016 until 27 March 2018 with an option to extend for a further 24 months for additional maintenance.

**1(d) CONTRACT AUTHORISATION REPORT: TREATMENT OF CO-MINGLED DRY RECYCLATES**

There was submitted a joint report by the Chief Executive and the Director of Community Resources relative to the award of contract for the treatment of co-mingled dry recyclates (blue bin waste).

The report advised that Scotland Excel had established a framework agreement for the treatment of recyclable and residual waste. The framework offered a suite of compliant treatment options for a host of waste materials commonly collected by councils via their individual collection services.

The report intimated that the Framework Agreement for Treatment for Recyclable and Residual Waste provided the facility to made the direct award of a contract to a supplier where best value could be demonstrated. It was considered that the current Framework Agreement rates and analysis carried out by the Council demonstrated that best value would be achieved by entering into a contract with Regen Waste Limited prior to 1 April 2016 with the service to commence on 15 June 2016.

**DECIDED:**

- (i) That the Head of Corporate Governance be authorised to award the contract for the Treatment of Co-mingled Dry Recyclable and Residual Waste (Contract Schedule Number 14-13) to Regen Waste Limited;
- (ii) That it be noted that the spend on the contract would be up to £3,110,000 excluding VAT, should the option to extend be utilised; and
- (iii) That it be noted that the contract would commence on 15 June 2016 until 14 June 2017 with the Council reserving the option to extend for up to 12 months.



## Minute of Meeting Procurement Sub-committee

Date	Time	Venue
Tuesday, 29 March 2016	14:00	Council Chambers (Renfrewshire), Council Headquarters, Renfrewshire House, Cotton Street, Paisley, PA1 1AN

### PRESENT

Councillors Bibby, Audrey Doig, Gilmour, Grady, Harte, Henry, Holmes, Lawson, K MacLaren, M MacLaren, Murrin, Noon and Williams.

### CHAIR

Councillor Holmes, Convener, presided.

### IN ATTENDANCE

S MacDougall, Director of Community Resources; F Hughes, Procurement Manager, S Gibb, Senior Procurement Specialist, D Taggart, Procurement Category Manager, K Thomson, Category Manager, C Laughlan, Assistant Category Manager and K Scott, Assistant Category Manager (all Chief Executive's); L Feely, Housing Asset and Investment Manager (Development & Housing Services); A MacArthur, Head of Finance, J Lynch, Head of Property and A McNaughton, Senior Committee Services Officer (all Finance & Resources); and L Gillan, Procurement Data Specialist (Scotland Excel).

### DECLARATIONS OF INTEREST

There were no declarations of interest intimated prior to the commencement of the meeting.

**1(a) CONTRACT AUTHORISATION REPORT: ANCHOR CENTRE RE-ROOFING**

There was submitted a joint report by the Chief Executive and the Director of Development & Housing Services relative to the award of a Standard Building Works Contract with Contractors Design (SBCC/D/Scot 2013) for re-roofing works to the Anchor Centre, 51-55 Stock Street, Paisley.

The report advised that two companies had submitted tenders that were assessed for capacity, experience and track record, and technical and financial capabilities. Following evaluation, the tender from Curtis Moore (Cladding Systems) Limited represented the most economically advantageous offer.

**DECIDED:**

(i) That the Head of Corporate Governance be authorised to award the contract for the re-roofing works at the Anchor Centre, reference RC/OC/111/16, to Curtis Moore (Cladding Systems) Limited;

(ii) That it be noted that the value of this contract was £386,867.86 excluding VAT; and

(iii) That it be noted that the date of commencement of the works was early April 2016 and the date for completion was 16 weeks from the date of commencement of the works with the actual date of commencement to be confirmed in the letter of acceptance.

**1(b) CONTRACT AUTHORISATION REPORT: LOCHWINNOCH BRIDGE STRENGTHENING DECK REPLACEMENT**

There was submitted a joint report by the Chief Executive and the Director Community Resources relative to the award of a NEC3 Engineering and Construction Option B Contract (April 2013) for the Lochwinnoch Bridge Strengthening Deck Replacement.

The report advised that seven companies had submitted tenders that were assessed for capacity, experience and track record, and technical and financial capabilities. Following evaluation, the tender from Coffey Construction Limited represented the most economically advantageous offer.

**DECIDED:**

(i) That the Head of Corporate Governance be authorised to award the contract for Lochwinnoch Bridge Strengthening Deck Replacement, reference RC1601\_5298(ITT11121, to Coffey Construction Limited;

(ii) That it be noted that the value of the contract was £785,367.74 excluding VAT; and

(iii) That it be noted that the contract was expected to commence on 8 April 2016 for a duration of 21 weeks with the actual date of commencement to be confirmed in the letter of acceptance.

**1(c) CONTRACT AUTHORISATION REPORT: RE-ROOFING WORKS FOR LOCHWINNOCH AND INCHINNAN PRIMARY SCHOOLS**

There was submitted a joint report by the Chief Executive and the Director of Finance & Resources relative to the award of two Standard Building Contracts with Quantities for use in Scotland (SBC/Q/Scot 2011) for re-roofing works at Lochwinnoch and Inchinnan Primary Schools.

The report advised that three companies had submitted tenders that were evaluated against a set of award criteria which was based on price/quality ratio/community benefits of 60%/30%/10% and each Lot was evaluated separately. Following evaluation the tenders from Keepmoat Regeneration Limited in respect of both Lots 1 and 2 represented the most economically advantageous offers.

**DECIDED:**

(i) That the Head of Corporate Governance be authorised to award the individual contracts for re-roofing works at Lochwinnoch Primary School (Lot 1) and the re-roofing works at Inchinnan Primary School (Lot 2), reference RC/OC/125/16, to Keepmoat Regeneration Limited;

(ii) That it be noted that the value of Lot 1 was £307,353.58 excluding VAT and the value of Lot 2 was £365,188.73 excluding VAT; and

(iii) That it be noted that the date of commencement of work at both sites was early May 2016 for a duration of 18 weeks from the date of commencement for Lot 1 and 16 weeks for Lot 2 with the actual date of commencement to be confirmed in each letter of acceptance.

**1(d) CONTRACT AUTHORISATION REPORT: HOUSING ENERGY EFFICIENCY AND CARBON REDUCTION PROGRAMMES, 2015/16**

There was submitted a joint report by the Chief Executive and the Director of Development & Housing Services relative to continuation of the existing contract arrangements with E.ON UK Limited in order to undertake a third phase of insulation improvements to Council properties and owner-occupied homes in Renfrewshire that met the criteria for assistance from the Housing Energy Efficiency Programme: Area Based Schemes (HEEPS:ABS). HEEPS:ABS was a Scottish Government initiative, delivered by the Council, to tackle fuel poverty and increase energy efficiency in homes.

The report explained that additional funding had been made available to the Council from HEEPS:ABS that would allow another 124 homes to benefit from external insulation works.

**DECIDED:**

(i) That the Head of Corporate Governance be authorised to continue the current contract with E.ON UK Limited for the provision of ECO support on qualifying projects for 2015/16, subject to the availability of sufficient levels of HEEPS:ABS funding to support qualifying projects; and

(ii) That the Head of Corporate Governance be authorised to extend the contract to deliver the additional funding being made available for Phase 3 of the project.

**1(e) CONTRACT AUTHORISATION REPORT: STRATEGIC REVIEW OF STREET LIGHTING - LED LANTERN REPLACEMENT**

There was submitted a joint report by the Chief Executive and the Director of Community Resources relative to the award of a contract for the Strategic Review of Street Lighting – LED Lantern Replacement 2016/17, reference RC1602\_5540\_ITT11689.

The report advised that two companies had submitted tenders that were evaluated against a set of criteria which was based on price:quality ratio of 70:30%. Following evaluation, the tender from Amey OW Limited represented the most economically advantageous offer.

**DECIDED:**

(i) That the Head of Corporate Governance be authorised to award the contract for the Strategic Review of Street Lighting – LED Lantern Replacement 2016/17 to Amey OW Limited;

(ii) That it be noted that the value of the contract was £813,109.72, with an additional 10% contingency spend for unforeseen works; and

(iii) That it be noted that the contract would commence on 28 April 2016 with works scheduled to complete on 2 September 2016.

**EXCLUSION OF PRESS AND PUBLIC**

The Sub-committee resolved that the press and public be excluded from the meeting during consideration of the following item of business as it was likely in view of the nature of the business to be transacted that if members of the press and public were present there would be disclosure to them of exempt information as defined in paragraph 9 of Part I of Schedule 7A of the Local Government (Scotland) Act 1973.

**1(f) CONTRACT AUTHORISATION REPORT: SUPPLY, INSTALLATION AND IMPLEMENTATION OF ENTERPRISE RESOURCE PLANNING (ERP)**

There was submitted a joint report by the Chief Executive and the Director of Finance & Resources relative to the award of a contract for the supply, installation and implementation of an Enterprise Resource Planning (ERP) Solution.

The report advised that four companies had submitted tenders that were assessed on capacity, experience and track record, and technical and financial capabilities. Following evaluation, the tender from Agilisys Limited represented the most economically advantageous offer.

**DECIDED:**

(i) That the Head of Corporate Governance be authorised to award the contract for the supply, installation and implementation of an Enterprise Resource Planning (ERP) Solution, reference RC/RC/102/16, to Agilisys Limited, subject to the Director of Finance & Resources reaching appropriate agreement on matters including the type and nature of the milestones proposed under the total cost solution and finalising the service levels required;

(ii) That it be noted that the initial contract was for 5 years with the option to extend on two separate occasions each for a further 12 months; and

(iii) That it be noted that the value of the contract was as detailed in the report for the full period and where both extension periods were utilised.



## Minute of Meeting Joint Consultative Board (Non-Teaching)

Date	Time	Venue
Wednesday, 27 April 2016	15:00	CMR 2, Council Headquarters, Renfrewshire House, Cotton Street, Paisley, PA1 1AN

### PRESENT

Representing Renfrewshire Council Management - Councillors Audrey Doig, Glen, Harte and Noon

Representing Trade Unions – R Connick, J McGinley and M McGuire, (UNISON); and C McLeod and J McMenemy, GMB.

### IN ATTENDANCE

K Anderson, Amenity Services Manager - Waste (Community Resources); S Fanning, Senior Health & Safety Officer; R Laouadi, HR Manager; M Armstrong, Senior Human Resource Advisor; P Shiach, Committee Services Officer (all Finance & Resources) and S McNeill, Renfrewshire Health & Social Care Partnership.

### APPOINTMENT OF CHAIRPERSON FOR THE MEETING

It was proposed and agreed that Councillor Harte chair the meeting.

**DECIDED:** That Councillor Harte chair the meeting.

### APOLOGY

Councillor Williams.

### DECLARATIONS OF INTEREST

There were no declarations of interest intimated prior to commencement of the meeting.

## **ADDITIONAL ITEM**

The Convener intimated that there was one additional item in relation to a Trade Union issue which had not been included in the notice calling the meeting. The Convener being of the opinion that the item which is dealt with at item 7 was relevant and competent, authorised its consideration.

### **1 MINUTE OF PREVIOUS MEETING**

There was submitted the Minute of the meeting of the Joint Consultative Board: Non-Teaching held on 10 February 2016.

**DECIDED:** That that Minute be noted.

### **2 MATTERS ARISING**

#### **AGENCY WORKERS**

Councillor Harte referred to item 2 (ii) of the previous meeting and advised that he had received confirmation of the status of agency workers in terms of PAYE.

**DECIDED:** That the information be noted.

### **3 DEVELOPMENTS IN HEALTH AND SAFETY**

There was submitted a report by the Head of HR, Organisational Development & Workplace Strategy relative to developments with regard to health and safety issues. The report detailed policies and guidance that were currently being revised and outlined training courses which had been undertaken since the last meeting of the Board. In particular, it was noted that policies and guidance in relation to control of contractors; statutory inspections; CMD 2015; guidance on slips, trips and falls; tobacco/smoke free policy; and control of legionella bacteria in hot and cold water systems were being revised.

The report provided updates on training courses attended; the Healthy Working Lives Gold award; and assistance provided to services in relation to the retention of accreditation to BS OHSAS 18001:2007, where audits had been undertaken within Community Resources; Development & Housing Services; Children's Services; and Finance & Resources, advising that the audit feedback had been positive.

The report indicated that the Health and Safety section continued to work with the incumbent occupational health contractor to further develop and enhance the electronic referral process; support external partners; and support the Town Centres Team, Renfrewshire Leisure and other event organisers to ensure that safe, controlled events were delivered.



The Amenity Services Manager – Waste advised the Board of a report submitted to the Leadership Board in relation to the Fatal Accident Inquiry into the Glasgow Bin Lorry crash and intimated that investigations by the task group confirmed that Renfrewshire Council's recruitment process was already robust in a number of areas which were relevant to the Sheriff's recommendations. Immediate action had been taken however in respect of requiring medical confirmation from medical practitioners of fitness to drive as part of recruitment where driving is a requirement of the job. All existing drivers of heavy goods vehicles and public service vehicles would undergo an interview with the Council's occupational health provider to confirm fitness to drive.

**DECIDED:** That the report be noted.

#### 4 **AGENCY WORKERS**

There was submitted a report by the Head of HR, Organisational Development & Workplace Strategy relative to the number of agency staff employed within the Council as at March 2016, and detailing the capacity and Service in which they were engaged.

**DECIDED:** That the report be noted.

#### 5 **DETAILS OF GRIEVANCES**

There was submitted a report by the Head of HR, OD and Workplace Strategy relative to details of grievances received.

The report provided information on grievances at both the informal and formal stages. The report indicated that there were a total of four grievances as at April 2016.

**DECIDED:** That the report be noted.

#### 6 **ABSENCE MANAGEMENT STATISTICS**

There was submitted a report by the Head of HR, Organisational Development and Workplace Strategy relative to the quarterly absence management statistics.

The report provided statistics on the number of employee days lost through absence by Department, and provided a comparison for the period from 23 June 2015 to 31 December 2015. Information was also detailed in relation to absence statistics by service and category of staff, together with comparisons on how services had performed against targets. An analysis of the reasons for absences during the period was also outlined in the report.

**DECIDED:** That the report be noted.

#### **ADDITIONAL ITEM**

The Convener, being of the opinion that the following item was relevant and competent, agreed to its consideration at this time.

**7 WASTE SERVICES - UNDERWOOD ROAD, PAISLEY**

Concern was expressed by the Trade Union representative in respect of the shift imbalances relative to refuse collection employees based at Underwood Road, Paisley. In response, the Amenity Services Manager - Waste advised that the recruitment process was currently underway which would address the issue.

**DECIDED:** That the information be noted.

**8 DATE OF NEXT MEETING**

It was noted that the next meeting of the JCB Non-Teaching would be held at 3 pm on Wednesday 8 June, 2016.




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**To:** Finance and Resources Policy Board

**On:** 18 May 2016

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

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**Heading:** Revenue Budget Monitoring to 4 March 2016

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**1. Summary**

- 1.1 Gross expenditure is £155,000 (0.4%) under budget and income is in £260,000 (8.2%) more than anticipated resulting in a **net underspend position** for the services reporting to this Policy Board. This is summarised over the relevant services in the table below:

Division / Department	Current Reported Position	% variance	Previously Reported Position	% variance
Finance and Resources	£118,000 Underspend	0.5%	£133,000 Underspend	0.6%
Chief Execs.	£106,000 Underspend	3.3%	£89,000 Underspend	3.2%
Miscellaneous	£191,000 Underspend	2.9%	£156,000 Underspend	2.8%

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**2. Recommendations**

- 2.1 Members are requested to note the budget position
- 2.2 Members are requested to note that since the last report there have been net budget realignments of £2,418,778 primarily related to planned adjustments reflecting anticipated revenue grant releases and the allocation of previously agreed savings.
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### 3. **Finance and Resources**

<b>Current Position:</b>	<b>Net underspend £118,000</b>
<b><i>Previously Reported:</i></b>	<b><i>Net underspend £133,000</i></b>

The underspend has arisen due to levels of staff turnover and an over-recovery of licensing income.

#### 3.1 **Projected Year End Position**

It is anticipated that Finance and Resources will achieve an underspend of £175,000 by the year end due to levels of staff turnover and an over-recovery of licensing income.

### 4. **Chief Executive**

<b>Current Position:</b>	<b>Net underspend £106,000</b>
<b><i>Previously Reported:</i></b>	<b><i>Net underspend £89,000</i></b>

The underspend has arisen due to levels of staff turnover.

#### 4.1 **Projected Year End Position**

It is anticipated that the Chief Executive's will achieve an underspend of £70,000 by the year end due to levels of staff turnover.

### 5. **Miscellaneous Services**

<b>Current Position:</b>	<b>Net underspend £ 191,000</b>
<b><i>Previously Reported:</i></b>	<b><i>Net underspend £156,000</i></b>

The underspend has arisen due to additional one-off income.

#### 5.1 **Projected Year End Position**

It is anticipated that Miscellaneous Services will achieve an underspend of £200,000 by the year end due to additional one-off income.

## Implications of the Report

1. **Financial** – Net revenue expenditure will be contained within available resources.
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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**Author:** David Forbes, Extension 6424



**RENFREWSHIRE COUNCIL**  
**REVENUE BUDGET MONITORING STATEMENT 2015/2016**  
**1st April 2015 to 04 March 2016**

**POLICY BOARD : FINANCE AND RESOURCES**

Description (1)	Revised Annual Budget (2)	Revised Period Budget (3)	Actual (4)	Adjustments (5)	Revised Actual (6) = (4 + 5)	Budget Variance (7)	
	£000's	£000's	£000's	£000's	£000's	£000's	%
Employee Costs	40,891	30,112	30,719	(762)	29,957	155	0.5%
Property Costs	4,775	750	836	(86)	750	0	0.0%
Supplies & Services	2,558	1,600	2,847	(1,247)	1,600	0	0.0%
Contractors and Others	11,198	748	1,068	(320)	748	0	0.0%
Transport & Plant Costs	29	28	26	2	28	0	0.0%
Administration Costs	16,375	2,787	2,630	157	2,787	0	0.0%
Payments to Other Bodies	3,210	2,903	3,337	(434)	2,903	0	0.0%
CFCR	2,880	0	0	0	0	0	0.0%
Capital Charges	746	46	14	32	46	0	0.0%
<b>GROSS EXPENDITURE</b>	<b>82,662</b>	<b>38,974</b>	<b>41,477</b>	<b>(2,658)</b>	<b>38,819</b>	<b>155</b>	<b>0.4%</b>
Income	(42,351)	(3,181)	(3,346)	(95)	(3,441)	260	8.2%
<b>NET EXPENDITURE</b>	<b>40,311</b>	<b>35,793</b>	<b>38,131</b>	<b>(2,753)</b>	<b>35,378</b>	<b>415</b>	<b>1.2%</b>
							<b>underspend</b>

£000's

1.2%

1.1%

Bottom Line Position to 04 March 2016 is an underspend of  
Anticipated Year End Budget Position is an underspend of

**RENFREWSHIRE COUNCIL**  
**REVENUE BUDGET MONITORING STATEMENT 2015/2016**  
**1st April 2015 to 04 March 2016**

POLICY BOARD : FINANCE AND RESOURCES				
Description (1)	£000's	Revised Annual Budget (2)	Revised Period Budget (3)	Actual (4)
Finance and Resources		6,149	26,020	29,783
Chief Executives		1,595	3,237	3,286
Miscellaneous		32,570	6,536	5,062
<b>NET EXPENDITURE</b>		<b>40,314</b>	<b>35,793</b>	<b>38,131</b>
			<b>£000's</b>	<b>£000's</b>
Bottom Line Position to 04 March 2016 is an underspend of			<u>415</u>	<u>1.2%</u>
Anticipated Year End Budget Position is an underspend of			<u>445</u>	<u>1.1%</u>

Adjusted	Revised Actual (6) = (4 + 5)	Budget Variance (7)
£000's	£000's	%
118	25,902	underspend 0.5%
106	3,131	underspend 3.3%
191	6,345	underspend 2.9%
<b>415</b>	<b>35,378</b>	<b>underspend 1.2%</b>

Adjusted	Actual
£000's	£000's
(3,881)	29,783
(155)	3,286
1,283	5,062
<b>(2,753)</b>	<b>38,131</b>



**POLICY BOARD : FINANCE AND RESOURCES : FINANCE AND RESOURCES**

Bottom Line Position to 04 March 2016 is an underspend of	118
Anticipated Year End Budget Position is an underspend of	175
	£000's

**Anticipated Year End Budget Position is an underspend of**

**POLICY BOARD : FINANCE AND RESOURCES : FINANCE AND RESOURCES**

Bottom Line Position to 04 March 2016 is an underspend of	118	0.5%
Anticipated Year End Budget Position is an underspend of	175	2.8%
	£000's	



**RENFREWSHIRE COUNCIL**  
**REVENUE BUDGET MONITORING STATEMENT 2015/2016**  
**1st April 2015 to 04 March 2016**

**POLICY BOARD : FINANCE AND RESOURCES : CHIEF EXECUTIVES**

Description (1)	£000's	Revised Annual Budget (2)	Revised Period Budget (3)	Actual (4)	Adjustments (5)	Revised Actual (6) = (4 + 5)	Budget Variance (7)	
		£000's	£000's	£000's	£000's	£000's	£000's	%
Core Activities		(212)	1,301	1,334	(139)	1,195	106	8.1%
CE Funded Projects		727	618	634	(16)	618	0	0.0%
Policy and Commissioning		1,080	1,318	1,318	0	1,318	0	0.0%
<b>NET EXPENDITURE</b>		<b>1,595</b>	<b>3,237</b>	<b>3,286</b>	<b>(155)</b>	<b>3,131</b>	<b>106</b>	<b>3.3%</b>
								<b>underspend</b>
								<b>break-even</b>
								<b>break-even</b>
								<b>underspend</b>

£000's

3.3%

4.4%

Bottom Line Position to 04 March 2016 is an underspend of  
Anticipated Year End Budget Position is an underspend of

106

70

**POLICY BOARD : FINANCE AND RESOURCES : MISCELLANEOUS**

Bottom Line Position to 31 January 2014 is breakeven of	191
Anticipated Year End Budget Position is breakeven of	200
	£000's

2.9%      0.6%

**RENFREWSHIRE COUNCIL**

**POLICY BOARD : FINANCE AND RESOURCES : MISCELLANEOUS**

Description (1)	Revised Annual Budget (2)	Revised Period Budget (3)	Actual (4)	Adjustments (5)	Revised Actual (6) = (4 + 5)	Budget Variance (7)		
						£000's	%	underspend break-even break-even break-even break-even break-even
Corporate & Democratic Core	30,710	1,580	(216)	1,605	1,389	191	12.1%	underspend
Central Overheads	4,600	3,865	4,187	(322)	3,865	0	0.0%	break-even
Capital Accounting	(1,440)	(65)	(65)	0	(65)	0	0.0%	break-even
Welfare Fund Grants	112	1,143	1,143	0	1,143	0	0.0%	break-even
Community Infrastructure	0	13	13	0	13	0	0.0%	break-even
Temporary Interest	(1,412)	0	0	0	0	0	0.0%	break-even
NET EXPENDITURE	32,570	6,536	5,062	1,283	6,345	191	2.9%	underspend

Bottom Line Position to 04 March 2016 is an underspend of	191
Anticipated Year End Budget Position is an underspend of	200
	£000's

Bottom Line Position to 04 March 2016 is an underspend of  
Anticipated Year End Budget Position is an underspend of




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**To:** Finance and Resources Policy Board

**On:** 18 May 2016

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

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**Heading:** Revenue Budget Monitoring – Council Overview to 4 March 2016

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**1. Summary**

1.1 This report provides an overview of the budget performance for all Services for the period to 4 March 2016.

1.2 The report confirms an overall budget underspend for all services of £0.722m (0.3%). This is summarised over General Fund Services, and the Housing Revenue Account in the table below:

Division / Department	Current Reported Position	% variance	Previously Reported Position	% variance
General Fund Services	£722,000 Underspend	0.3%	£378,000 Underspend	0.2%
HRA	Breakeven	-	Breakeven	-

1.3 The budget performance to date suggests a projected year end underspend of £1.435m (0.4%) which is summarised in the table below:

Division / Department	Anticipated Year End Position	% variance	Previously Reported Position	% variance
General Fund Services	£1,435,000 Underspend	0.4%	£1,182,000 Underspend	0.3%
HRA	Breakeven	-	Breakeven	-

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## 2. **Recommendations**

- 2.1 Members are requested to note the budget position.

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## 3. **Service Commentaries**

- 3.1 Budget Monitoring reports will be considered by each Policy Board for services reporting directly to those Boards.

- 3.2 In terms of the Financial Regulations budgets have been approved on a service basis and Directors are expected to manage their spending needs within the bottom line of the budget approved. A brief commentary on budget variances by service is provided below and a Service overview is attached for information.

### 3.3 **Education and Children** (*Education and Children Policy Board*)

**Current Position:** **Net underspend £307,000**

**Previously Reported:** **Break-even**

The net underspend at this stage in the year relates mainly to the net effect of overspends and underspends in the following areas of service:-

- The overspend of £94,000 within Central Admin relates to additional staffing costs.
- £120,000 of an overspend in Additional Support for Learning relates to additional staffing costs.
- A £27,000 underspend in Education Development relating to staffing costs.
- £264,000 of an underspend in Pre Fives relates to staffing costs and payments to partner nurseries.
- £230,000 of an overspend in Primary Schools is related to overspends on teachers' salaries and maintenance works partly offset by an underspend in transport.



- An underspend of £166,000 in Secondary Schools is mainly due to underspends in transport costs and teachers' salaries.
- £63,000 of an overspend in Special Schools relates to teachers' salaries including the central cover budget.
- Within Childcare, the £307,000 underspend relates to lower than anticipated expenditure on external placements and Fostering and Adoption allowances, partially offset by minor overspends across a range of other budget lines.

### **Projected Year End Position**

It is anticipated that Education and Children's Services will underspend by £307,000 by the year end. This is after provision of £500,000 for the relocation of Extended New Directions from West College Scotland and some school property works which were planned for 2015-16 but due to time constraints will not now be completed until 2016-17.

## **3.4**

### **Leisure Services**

**Current Position:** Breakeven  
**Previously Reported:** Breakeven

There are no significant variances to report.

### **Projected Year End Position**

It is anticipated at this stage that Leisure Services will achieve a breakeven position at the year end.

## **3.5**

### **Community Resources** (*Environment Policy Board*)

**Current Position:** Breakeven  
**Previously Reported:** Breakeven

The breakeven position at this stage in the year relates mainly to lower income from trade waste, special uplifts and recreational and cemetery income offset by underspends on transport and supplies and services costs across the services.

### **Projected Year End Position**

It is currently forecast that Community Resources will break even at year end.

## 3.6 **Development & Housing Services – Planning & Regeneration** (Planning and Property Policy Board)

**Current Position:** Breakeven

**Previously Reported:** Breakeven

The Planning Division account reflects a breakeven position with overspends in employee costs, contractors and supplies and services – which includes investment in IT software to improve service delivery – being funded by increased levels of income.

### **Projected Year End Position**

It is projected that the Planning division will achieve a breakeven position by the year end.

## 3.7 **Property & Construction Services** (Planning and Property Policy Board)

**Current Position:** Breakeven

**Previously Reported:** Breakeven

The current breakeven position mainly reflects additional costs incurred to deliver the capital and energy efficiency programmes.

These costs will be wholly offset by additional design and supervision fee income from capital projects and contributions received from third parties to deliver new energy efficiency measures in the current year which will contribute to the Better Council Change Programme in 2017/18.

### **Projected Year End Position**

It is anticipated that Property & Construction Services will achieve a breakeven position at year end.

3.8      **Development & Housing Services - Other Housing** (*Housing & Community Safety Policy Board*)

**Current Position:**                      **Breakeven**  
**Previously Reported:**                **Breakeven**

At this stage in the financial year the Other Housing account reflects a breakeven position with no significant variances to report on any of the budget categories.

**Projected Year End Position**

It is anticipated at this stage that the Other Housing year end position will be an underspend of £292,000 as a result of an improved outturn position on the Council's Housing Benefit subsidy position and reduced Housing Strategy costs.

3.9      **Development & Housing Services – Economic Development** (*Economy & Jobs Policy Board*)

**Current Position:**                      **Breakeven**  
**Previously Reported:**                **Breakeven**

At this stage in the financial year the account reflects a breakeven position with no significant variances to report on any of the budget categories.

**Projected Year End Position**

It is projected that the Economic Development division will achieve a breakeven position by the year end.

3.10     **Adult Services** (*Social Work, Health and Well-being Policy Board*)

**Current Position:**                      **Breakeven**  
**Previously Reported:**                **Breakeven**

The breakeven position within Adult Services at this stage in the year relates mainly to the net effect of overspends and underspends in the following areas of service:-

- The net overspend of £66,000 within Older People services is due to significant pressures within the care at home service which are mitigated by an underspend in the external care home placement budget reflecting higher than anticipated turnover levels.

In addition to pressures within the care at home service, there is an under recovery of income from the Council's residential Care Homes reflecting occupancy levels throughout this financial year.

- An underspend of £155,000 within Learning Disabilities is mainly due to vacancies due to staff turnover.
- £92,000 of an overspend in Addictions relates to higher than anticipated payroll costs.

### **Projected Year End Position**

The Adult Services budget is, at this stage, reporting a year projected breakeven position.

## 3.11 **Finance and Resources** *(Finance and Resources Policy Board)*

<b>Current Position:</b>	<b>Net underspend £118,000</b>
<b><i>Previously Reported:</i></b>	<b><i>Net underspend £133,000</i></b>

The underspend has arisen due to levels of staff turnover and an over-recovery of licensing income.

### **Projected Year End Position**

It is anticipated that Finance and Resources will achieve an underspend of £175,000 by the year end due to levels of staff turnover and an over-recovery of licensing income.

## 3.12 **Chief Executive's Department** *(Finance and Resources Policy Board)*

<b>Current Position:</b>	<b>Net underspend £106,000</b>
<b><i>Previously Reported:</i></b>	<b><i>Net underspend £89,000</i></b>

The underspend has arisen due to levels of staff turnover.

### **Projected Year End Position**

It is anticipated that the Chief Executive's will achieve an underspend of £70,000 by the year end due to levels of staff turnover.

#### 3.13 **Miscellaneous Services** (*Finance and Resources Policy Board*)

**Current Position:**                      **Net underspend £191,000**  
**Previously Reported:**                **Breakeven**

The underspend has arisen due to additional one-off income.

### **Projected Year End Position**

It is anticipated that Miscellaneous Services will achieve an underspend of £200,000 by the year end due to additional one-off income.

It is anticipated that Council Tax income for 2015-16 will be over recovered by £400,000 against budget due to increased yield.

#### 3.14 **Trading Operations**

These are the subject of separate reports submitted to the relevant Policy Boards. An overview is attached for information which confirms an actual breakeven position in line with the budgeted surplus for the General Fund. It is projected that the Building Services trading operation will deliver a £468,000 surplus in line with budget. In line with agreed policy this surplus will be returned to the General Fund or the HRA based on the level of Housing related turnover and the reported position reflects this policy.

#### 3.15 **Housing Revenue Account** (*Housing & Community Safety Policy Board*)

**Current Position:**                      **Breakeven**  
**Previously Reported:**                **Breakeven**

The current breakeven position principally reflects underspends in the expenditure categories of Employee Costs, Property Costs, Payments to Other Bodies and Capital Charges which have been offset by an increase in CFCR (Property Costs) and lower income levels as detailed below.

The increase in Capital Funded from Current Revenue (CFCR) to offset underspends is in line with the agreed strategy of using underspends within the HRA and CFCR to reduce new debt and to smooth debt repayments to support the sustainability of the HRA.

### ***Employee Costs***

The current underspend of £222,000 within Employee Costs represents vacancies which have occurred in the service over the course of the financial year.

### ***Property Costs***

The additional expenditure in Property Costs of £1,331,000 relates to the agreed strategy of using underspends within the HRA and Capital from Current Revenue to reduce new debt and to smooth debt repayments. Utilities costs within Property Services are underspent due to the new biomass heating systems becoming operational during the year.

### ***Payments to Other Bodies***

The underspend of £458,000 mainly reflects lower than expected levels of irrecoverable rent and voids. The underspend of c. £185,000 in irrecoverable rent has resulted from the pressures expected following the implementation of Universal Credit not materialising as quickly as anticipated. The Bad Debt Provision continues to be updated to ensure that the forecast remains up to date, whilst maintaining a prudent approach. The underspend in voids (c. £196,000) reflects the lower turnaround times resulting from the continuous improvement in the management of voids.

### ***Capital Charges***

The underspend is due to the capital charges being lower than projected.

### ***Income***

The under-recovery of £143,000 mainly reflects the reduced income levels from charges associated with the implementation of the new biomass heating systems as referenced in Property Costs.

### ***Projected Year End Position***

At this stage in the financial year, it is projected that the HRA will achieve a breakeven position at the year end. Projected underspends will be offset by a corresponding increase in the planned CFCR contribution.

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## Implications of the Report

1. **Financial** – Net revenue expenditure will be contained within available resources.
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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**Author:** David Forbes, Extension 6424





**RENFREWSHIRE COUNCIL**  
**REVENUE BUDGET MONITORING STATEMENT 2015/2016**  
**1st April 2015 to 04 March 2016**

**POLICY BOARD : GENERAL MANAGEMENT AND FINANCE : OVERVIEW**

Description (1)	£000's	Revised Annual Budget (2)	Revised Period Budget (3)	Actual (4)	Adjustments (5)	Revised Actual (6) = (4 + 5)	Budget Variance (7)	
		£000's	£000's	£000's	£000's	£000's	£000's	%
Employee Costs		236,913	203,525	205,041	(1,662)	203,379	146	0.1%
Property Costs		102,861	90,544	88,554	3,880	92,434	(1,890)	-2.1%
Supplies & Services		17,222	16,252	18,813	(2,424)	16,389	(137)	-0.8%
Contractors and Others		101,252	78,391	77,301	845	78,146	245	0.3%
Transport & Plant Costs		13,202	12,152	11,799	39	11,838	314	2.6%
Administration Costs		67,077	6,939	5,289	1,714	7,003	(64)	-0.9%
Payments to Other Bodies		56,022	44,310	44,030	(666)	43,364	946	2.1%
CFCR		2,950	96	97	0	97	(1)	-1.0%
Capital Charges		51,679	19,615	35	18,799	18,834	781	4.0%
<b>GROSS EXPENDITURE</b>		<b>649,177</b>	<b>471,824</b>	<b>450,959</b>	<b>20,525</b>	<b>471,484</b>	<b>340</b>	<b>0.1%</b>
Income		(266,863)	(185,808)	(184,364)	(1,826)	(186,190)	382	0.2%
<b>NET EXPENDITURE</b>		<b>382,314</b>	<b>286,016</b>	<b>266,595</b>	<b>18,699</b>	<b>285,294</b>	<b>722</b>	<b>0.3%</b>

£000's

0.3%

Bottom Line Position to 04 March 2016 is an underspend of

722

0.4%

Anticipated Year End Budget Position is an underspend of

1,435

**RENFREWSHIRE COUNCIL**  
**REVENUE BUDGET MONITORING STATEMENT 2015/2016**  
**1st April 2015 to 04 March 2016**

**POLICY BOARD : GENERAL MANAGEMENT AND FINANCE : OVERVIEW**

Description (1)	£000's	Revised Annual Budget (2)	£000's	Revised Period Budget (3)	£000's	Actual (4)	£000's	Adjustments (5)	£000's	Revised Actual (6) = (4 + 5)	£000's	Budget Variance (7)	
												£000's	%
Education and Children		200,762		147,612		147,480		(175)		147,305		307	0.2%
Leisure Services		12,665		7,786		7,908		(122)		7,786		0	0.0%
Environmental Services		56,788		43,134		42,650		484		43,134		0	0.0%
Finance & Resources		6,147		26,019		29,782		(3,881)		25,901		118	0.5%
Other Housing		5,829		3,731		3,967		(236)		3,731		0	0.0%
Planning & Economic Development		8,460		6,026		6,081		(55)		6,026		0	0.0%
Chief Executives		1,594		3,237		3,286		(155)		3,131		106	3.3%
Miscellaneous		32,570		6,536		5,062		1,283		6,345		191	2.9%
Property & Construction Services		2,827		3,584		3,372		212		3,584		0	0.0%
Social Work		55,754		42,393		42,406		(13)		42,393		0	0.0%
Trading Accounts (Surplus)/Deficit		(1,082)		(1,420)		(148)		(1,272)		(1,420)		0	0.0%
<b>SUB - TOTAL GENERAL SERVICES</b>		<b>382,314</b>		<b>288,638</b>		<b>291,846</b>		<b>(3,930)</b>		<b>287,916</b>		<b>722</b>	<b>0.3%</b>
Housing Revenue Account (HRA)		0		(2,622)		(25,251)				(2,622)		0	0.0%
<b>NET EXPENDITURE</b>		<b>382,314</b>		<b>286,016</b>		<b>266,595</b>		<b>18,699</b>		<b>285,294</b>		<b>722</b>	<b>0.3%</b>

Bottom Line Position to 04 March 2016 is an underspend of **£000's 722 0.3%**

Anticipated Year End Budget Position is an underspend of **£000's 1,435 0.4%**

**RENFREWSHIRE COUNCIL**  
**REVENUE BUDGET MONITORING STATEMENT 2015/2016**  
**1st April 2015 to 04 March 2016**

**POLICY BOARD : GENERAL MANAGEMENT AND FINANCE : OVERVIEW : TRADING OPERATIONS**

Description (1)	£000's	Revised Annual Budget (2)	Revised Period Budget (3)	Actual (4)	Adjustments (5)	Revised Actual (6) = (4 + 5) £000's	Budget Variance (7) £000's %	
Employee Costs	12,490	12,490	11,587	11,582	(62)	11,520	67 0.6%	underspend
Property Costs	683	683	627	436	172	608	19 3.0%	underspend
Supplies & Services	5,533	5,533	5,099	5,769	(649)	5,120	(21) -0.4%	overspend
Contractors and Others	3,152	3,152	2,539	3,259	(716)	2,543	(4) -0.2%	overspend
Transport & Plant Costs	2,702	2,702	2,446	2,310	119	2,429	17 0.7%	underspend
Administration Costs	2,083	2,083	1,929	338	1,605	1,943	(14) -0.7%	overspend
Payments to Other Bodies	0	0	0	0	0	0	0 0.0%	breakeven
CFCR	0	0	0	0	0	0	0 0.0%	breakeven
Capital Charges	241	241	222	0	222	222	0 0.0%	breakeven
<b>GROSS EXPENDITURE</b>	<b>26,884</b>	<b>26,884</b>	<b>24,449</b>	<b>23,694</b>	<b>691</b>	<b>24,385</b>	<b>64 0.3%</b>	<b>underspend</b>
Income	(27,965)	(27,965)	(25,870)	(23,842)	(1,964)	(25,806)	(64) -0.2%	under-recovery
<b>NET EXPENDITURE</b>	<b>(1,081)</b>	<b>(1,081)</b>	<b>(1,421)</b>	<b>(148)</b>	<b>(1,273)</b>	<b>(1,421)</b>	<b>0 0.0%</b>	<b>breakeven</b>

Bottom Line Position to 04 March 2016 is an underspend of **£000's 0 0.0%**  
 Anticipated Year End Budget Position is breakeven of **£000's 0 0.0%**

**RENFREWSHIRE COUNCIL**  
**REVENUE BUDGET MONITORING STATEMENT 2015/2016**  
**1st April 2015 to 04 March 2016**

**POLICY BOARD : GENERAL MANAGEMENT AND FINANCE : OVERVIEW : TRADING OPERATIONS**

Description (1)	£000's	Revised Annual Budget (2)	Revised Period Budget (3)	Actual (4)	Adjustments (5)	Revised Actual (6) = (4 + 5)	Budget Variance (7)
		£000's	£000's	£000's	£000's	£000's	%
Building & Works Trading		0	(432)	1,295	(1,727)	(432)	0.0%
Catering Trading		(451)	(409)	(234)	(175)	(409)	0.0%
Transport Trading		(505)	(465)	(784)	319	(465)	0.0%
Roads Trading		(125)	(115)	(425)	310	(115)	0.0%
<b>NET EXPENDITURE</b>		<b>(1,081)</b>	<b>(1,421)</b>	<b>(148)</b>	<b>(1,273)</b>	<b>(1,421)</b>	<b>0.0%</b>
							<b>break even</b>
							<b>break even</b>
							<b>break even</b>
							<b>break even</b>

£000's

0.0%

Bottom Line Position to 04 March 2016 is an underspend of

0

Anticipated Year End Budget Position is breakeven of

0.0%

0




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**To: FINANCE & RESOURCES POLICY BOARD**

**On: 18 MAY 2016**

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

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**Heading: Capital Budget Monitoring Report**

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**1. Summary**

- 1.1 Capital expenditure to 4<sup>th</sup> March 2016 totals £0.872m compared to anticipated expenditure of £0.855m for this time of year. This results in an over-spend position of £0.017m for those services reporting to this board, and is summarised in the table below:

Division	Current Reported Position	% Variance	Previously Reported Position	% Variance
Corporate Issues (Non Property)	£0.017m o/spend	2% o/spend	£0.004m o/spend	1% o/spend
<b>Total</b>	<b>£0.017m o/spend</b>	<b>2% o/spend</b>	<b>£0.004m o/spend</b>	<b>1% o/spend</b>

- 1.2 The expenditure total of £0.872m represents 71% of the resources available to fund the projects being reported to this board. A large portion of this expenditure is expected toward the end of the financial year and it is anticipated that there will be a full expenditure against the current budgets. Appendix 1 provides further information on the budget monitoring position of the projects within the remit of this board.
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**2. Recommendations**

- 2.1 It is recommended that Members note this report.

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3.           **Background**

3.1           This report has been prepared by the Director of Finance and Resources in conjunction with the Chief Executive.

3.2           This capital budget monitoring report details the performance of the Capital Programme to 4<sup>th</sup> March 2016, and is based on the Capital Investment Programme which was approved by members on 12<sup>th</sup> February 2015, adjusted for movements since its approval.

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4.           **Budget Changes**

4.1           Since the last report there have been budget changes totalling £0.071m reflecting underspends from various completed programmes being transferred to the Strategic Asset Management Fund and then re-profiled to 2016/17.

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## Implications of the Report

1. **Financial** – The programme will be continually monitored, in conjunction with other programmes, to ensure that the available resources are fully utilised and that approved limits are achieved.
2. **HR & Organisational Development** – none.
3. **Community Planning** –  
**Greener** - Capital investment will make property assets more energy efficient.
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). Capital Investment Programme 2015/16 & 2016/17 – Council, 12<sup>th</sup> February 2015.

The contact officers within the service are:

- Geoff Borland (Finance & Resources)
- Gillian Dickie (Finance & Resources)

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**Author:** *Geoff Borland, Principal Accountant, 0141 618 4786, geoffrey.borland@renfrewshire.gov.uk.*



## Appendix 1

### CAPITAL PROGRAMME 2015/16 - BUDGET MONITORING REPORT TO 4 MARCH 2016 (£000s)

POLICY BOARD Department	Council Approved Programme	Current Programme	Share of Available Resources	Year to Date Budget to 4-Mar-16	Spent to 4-Mar-16	Variance to 4-Mar-16	% variance	Unspent Cash Flow For Year	% Cash Spent
<i>Finance &amp; Resources</i> Corporate Projects (Non Property)	3,945	1,233	1,233	855	872	-17	-2%	361	71%
<b>TOTAL</b>	3,945	1,233	1,233	855	872	-17	-2%	361	71%






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**To: FINANCE & RESOURCES POLICY BOARD**

**On: 18 MAY 2016**

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

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**Heading: Capital Budget Monitoring Report - Overview**

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1. **Summary**
  - 1.1 This report provides an overview of the performance of the Housing and Non-Housing Capital Programmes for the period to 4<sup>th</sup> March 2016.
  - 1.2 The Council Approved Programme figures reflect the Capital Investment Strategy which was approved by Council on 12<sup>th</sup> February 2015 for both Housing Services and Non Housing Services. The Private Sector Housing programme was approved by the Housing and Community Safety Policy Board on 10<sup>th</sup> March 2015. The Current Programme figures reflect adjustments to the approved Capital Programme since approval.
  - 1.3 Members will be aware that from 1<sup>st</sup> April 2004, it is the duty of the Council, under s35 (1) of the Local Government (Scotland) Act 2003, to determine and keep under review the maximum amount which it can afford to allocate to capital expenditure. In addition, the Council must also keep under review its Capital Financing Requirement (CFR) i.e. the level of resources that are used to fund capital expenditure over the longer term (rather than at point of spend). It is also the duty of the Council to have regard to the Prudential Code in setting its capital expenditure limit and its capital expenditure requirement.
  - 1.4 The limit on capital expenditure which the Council has set for 2015-16 is shown in the table overleaf. The limit is based on the resources available to fund the capital programmes, split between Housing and Non Housing Services, but excludes PSHG as this is not considered to be capital.

	<b>Approved Limit £m</b>	<b>Actual Expenditure £m</b>
Non Housing	42.092	27.306
Housing	14.385	10.890
<b>Total</b>	<b>56.477</b>	<b>32.607</b>

- 1.5 The CFR which the Council has set for 2015-16 is shown in the table below, and is split between Housing & Non Housing Services. In addition, the projected out-turn at 31<sup>st</sup> March 2016 is also shown. Any significant increase in the capital expenditure limit which is not funded at point of spend will result in an increase in the CFR.

	<b>Approved CFR to 31 March 2016 £m</b>	<b>Projected CFR to 31 March 2016 £m</b>
Non Housing	211	198
Housing	154	154
<b>Total</b>	<b>365</b>	<b>352</b>

- 1.6 76% of the available resources for Housing and 64% for Non Housing have been spent to 4<sup>th</sup> March 2016. Monitoring procedures are in place to ensure the programmes are managed flexibly and spending is contained within the approved limits.

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## 2. **Recommendations**

- 2.1 It is recommended that Members note this report.

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## 3. **Background**

- 3.1 Individual reports have been presented to each Policy Board on the spending performance of the relevant departmental programmes and this information is summarised in Appendix 1.
- 3.2 The capital monitoring information available as at 4<sup>th</sup> March 2016 is summarised for both the Housing & Non-Housing programmes on Appendix 2.

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4. **Housing Services Programme**

4.1 The programme approved by Council on 12<sup>th</sup> February 2015 totalled £14.423m. The programme currently stands at **£13.458m**, reflecting resources brought forward from 2014/15 and subsequent re-profiling into 2016/17 based on planned expenditure timescales.

4.2 Capital expenditure at 4<sup>th</sup> March 2016 totals **£10.890m** compared to anticipated expenditure of £10.949m. The minor under-spend mainly relates to a timing issue in receipt of professional fees with the programme still expected to remain within budget.

The table below summarises the position:

Division	Current Reported Position	% Variance	Previously Reported Position	% Variance
Housing Programme	£0.059m u/spend	1% u/spend	£0.347m u/spend	3% u/spend

4.3 The actual capital expenditure of **£10.890m** is 81% of the available resources, and compares with 92% for the equivalent time in 2014/15.

4.4 Capital income of £2.796m has been received in the period to 4<sup>th</sup> March 2016 representing 90% of the estimated capital income for the year. This compares with 91% in 2014/15.

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## 5. Non Housing Services Programme

5.1 The programme approved by Council on the 12<sup>th</sup> February 2015 totalled £49.373m. The current programme totals **£35.716m**, a decrease of £13.657m, being the net effect of projects re-profiled from 2014/15 to 2015/16 of £8.060m, projects re-profiled from 2015/16 to 2016/17 of £26.397m and new funding in 2015/16 of £4.679m which primarily relates to grant funding anticipated to be received in 2015/16 for the Strathclyde Partnership for Transport programme.

5.2 Capital expenditure to 4<sup>th</sup> March 2016 totals **£27.306m** compared to anticipated expenditure of £27.198m, and therefore shows an over-spend of £0.108m.

The table below summarises the position:

Division	Current Reported Position	% Variance	Previously Reported Position	% Variance
Non Housing Programme	£0.108m o/spend	0% o/spend	£0.068m o/spend	0% o/spend

5.3 The actual cash spent to 4<sup>th</sup> March 2016 was **£27.306m**, or 76% of the available resources, and compares with a 77% spend for the equivalent time in 2014/15. It is anticipated that the available resources will be fully utilised by the 31 March 2016.

5.4 Capital income totalling £24.285m has been received to 4<sup>th</sup> March 2016. This represents 84% to date of the total anticipated income, and compares with 87% for the equivalent period in 2014/15. The outstanding income mainly relates to the balance of grant funding.

5.5 A revised construction programme for the new Riverbrae School in Linwood has been discussed with the main contractor. Owing to difficulties with water ingress during the build process an extended timescale for completion is required in order all affected areas can be remediated. The revised programme outlines that completion will be achieved in June 2017 with commissioning taking place thereafter and the school being available for pupils for the commencement of the 2017 school year in August 2017. The Council is working closely with the contractor and has commissioned additional architectural support to ensure the revised programme is achieved.

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6. **Private Sector Housing Grant Programme**

- 6.1 The overall budget provision for this programme is included within the revenue budget. However, in order to monitor the performance of the individual programmes, it is included within the capital budget monitoring procedures.
- 6.2 The programme approved by the Housing and Community Safety Policy Board on 10<sup>th</sup> March 2015 was £2.766m. The programme currently stands at **£1.173m**; the decrease of £1.593m primarily relates to the carry forward of budget from 2014/15 (£0.143m) and the re-profiling of budget from 2015/16 to 2016/17 (£1.736m).
- 6.3 Expenditure to 4<sup>th</sup> March 2016 totals **£0.928m** compared to anticipated expenditure of £0.951m, and therefore shows an under-spend of £0.023m. The remaining programme is expected to spend by 31 March 2016, and expenditure will be contained within the overall resources.

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## Implications of the Report

1. **Financial** – The programme will be continually monitored, in conjunction with other programmes, to ensure that the available resources are fully utilised and that approved limits are achieved.
2. **HR & Organisational Development** – none.
3. **Community Planning** –  
**Children and Young People** - none.  
**Community Care, Health & Well-being** - none.  
**Empowering our Communities** - none.  
**Greener** - Capital investment will make property assets more energy efficient.  
**Jobs and the Economy** - none.  
**Safer and Stronger** - none.
4. **Legal** – none.
5. **Property/Assets** – none.
6. **Information Technology** – none.
7. **Equality & Human Rights** – none.
8. **Health & Safety** – none.
9. **Procurement** – none.
10. **Risk** – none.
11. **Privacy Impact** – none.

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## List of Background Papers

- (a). Capital Investment Programme 2015/16 & 2016/17 – Council, 12<sup>th</sup> February 2015.
- (b). Housing Revenue Account Budget and Rent Levels 2015/16 and Housing Capital Investment Plan 2015/16 to 2017/18 – Council, 12<sup>th</sup> February 2015.

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**Author:** *Geoff Borland, Principal Accountant, 0141 618 4786, geoffrey.borland@renfrewshire.gov.uk.*



# Appendix 1

## CAPITAL PROGRAMME 2015/16 - BUDGET MONITORING REPORT TO 4 MARCH 2016 (£000s)

POLICY BOARD		Department	Council Approved Programme	Current Programme	Share of Available Resources	Year to Date Budget to 4-Mar-16	Spent to 4-Mar-16	Variance to 4-Mar-16	% variance	Unspent Cash Flow For Year	% Cash Spent
Finance & Resources		Corporate Projects (Non Property) TOTAL	3,945	1,233	1,233	855	872	-17	-2%	361	71%
			3,945	1,233	1,233	855	872	-17	-2%	361	71%
Education		Education Services Social Work Services(Child Care & Criminal Justice) TOTAL	23,847	10,934	10,934	9,925	9,942	-17	0%	992	91%
			0	0	0	0	0	0	0%	0	0%
			23,847	10,934	10,934	9,925	9,942	-17	0%	992	91%
Social Work, Health & Well-Being		TOTAL TOTAL	0	154	154	10	10	0	0%	143	7%
			0	154	154	10	10	0	0%	143	7%
Housing & Community Safety		Housing & Property (Housing - HRA) Housing & Property (Housing - non HRA) TOTAL	14,423	13,458	13,458	10,949	10,890	59	1%	2,568	81%
			2,766	1,173	1,173	951	928	23	2%	245	79%
			17,189	14,631	14,631	11,900	11,818	82	1%	2,813	81%
Environmental		Community Resources	10,142	13,669	13,669	10,664	10,752	-87	-1%	2,918	79%
			10,142	13,669	13,669	10,664	10,752	-87	-1%	2,918	79%
Planning & Property		Development & Housing(THI/LGAN) Corporate Projects(Property) TOTAL	829	1,193	1,193	597	586	10	2%	607	49%
			4,830	4,731	4,731	3,750	3,736	13	0%	995	79%
			5,659	5,924	5,924	4,347	4,323	24	1%	1,601	73%
Sport, Leisure & Culture		Leisure Services TOTAL	2,938	613	613	250	250	0	0%	363	41%
			2,938	613	613	250	250	0	0%	363	41%
Economy & Jobs		Development & Housing Services TOTAL	2,843	3,189	3,189	1,148	1,158	-10	-1%	2,031	36%
			2,843	3,189	3,189	1,148	1,158	-10	-1%	2,031	36%
TOTAL ALL BOARDS			66,563	50,347	50,347	39,098	39,124	-25	0%	11,224	78%
Made up Of:											
Housing Programme PSHG Non-Housing Programme  PROGRAMME TOTAL			14,423	13,458	13,458	10,949	10,890	59	1%	2,568	81%
			2,766	1,173	1,173	951	928	23	2%	245	79%
			49,373	35,716	35,716	27,198	27,306	-108	0%	8,410	76%
			66,563	50,347	50,347	39,098	39,124	-25	0%	11,224	78%

**RENFREWSHIRE COUNCIL**  
**2015/16 CAPITAL BUDGETS MONITORING SUMMARY REPORT TO PERIOD 4 MARCH 2016 (93% OF FINANCIAL YEAR 2015/16)**

2015/16					
	Housing Services	Non Housing Services	PSHG Programme	Total	
<b>A. RESOURCES AVAILABLE TO FUND CAPITAL PROGRAMME</b>	£'000	£'000	£'000	£'000	
1a. Supported Borrowing				0	
1b. Prudential Borrowing				13,608	
2a. General Capital Grant	8,485	5,123		19,187	
2b. Specific Capital Grant		262	1,052	262	
3a. Usable Capital Receipts	3,101	10,875		13,976	
3b. Usable Capital receipts b/fwd from 2014/15				0	
3c. Usable Capital receipts c/fwd to 2016/17				0	
3d. Resources c/fwd to 2016/17				0	
3e. Capital Receipts to be used to repay debt				0	
4a. Contribution from Developer/Owners				0	
5. Contribution From Current Revenue (CFCR)	1,872	1,321	121	3,314	
6 Total Resource Availability	<b>13,458</b>	<b>35,716</b>	<b>1,173</b>	<b>50,347</b>	
<b>B. CAPITAL PROGRAMME</b>					
7. Resources Available	13,458	35,716	1,173	50,347	
8. Current Programme	13,458	35,716	1,173	50,347	100%
<b>C. ACTUAL EXPENDITURE VS PROJECTED</b>					
10. Resource Availability	13,458	35,716	1,173	50,347	
11. Cash Spent as at 08/01/16	10,890	27,306	928	39,124	78%
12. Cash to be Spent by 31/03/16	2,568	8,410	245	11,223	
<b>D. ACTUAL RECEIPTS VS PROJECTED</b>					
13. Current Programme (total receipts expected)	3,101	29,010	1,052	33,163	
14. Actual Cash Received to 08/01/16	2,796	24,285	928	28,010	
15. Receipts available to augment capital programme to 08/01/16	2,796	24,285	928	28,010	84%
16. Receipts to be received by 31/03/16	305	4,725	124	5,153	



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**To:** Finance and Resources Policy Board

**On:** 16 March 2016

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

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**Heading:** Revenues Collection Statement

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1. **Summary**

- 1.1 The report details the collection performance as at 28<sup>th</sup> March 2016 for Council Tax and Non Domestic Rates. It also gives details of the total sums collected for the last year.
- 

2. **Recommendations**

- 2.1 It is recommended that the Board consider the content of the enclosed collection statement.
- 

3. **Background**

3.1 **Council Tax**

3.1.1 The billable sum for 2015/16 is £68,135,925

3.1.2 The Council Tax Reduction awarded is £12,622,127 amounting to 15.63% of the billable sum, which is 0.84% less than at the same point last year.

- 3.1.3 The sums collected to date for 2015/16 amount to £64.465.008 which is 94.61% of the billable sum. This is an increase in cash collection as a proportion of net charges billed of 0.14% compared with the same position for 2014/15.

## 3.2 **Non Domestic Rates**

- 3.2.1 The Non Domestic Rates (NDR) charges billed for 2015/16 amount to £94,071,699.
- 3.2.2 The cash receipts to date amount to £90,898,765 which is 96.63% of the sums billed. This is a decrease in cash collection as a proportion of net charges billed of 0.68% compared with the same position for 2014/15.
- 3.2.3 The decrease in cash collection is in part attributable to 2 large accounts with significant backdated bills; revenue is now being anticipated in 2016/17. In addition, a further large account remained outstanding at the year end as the company had gone administration.
- 3.2.4 The Service tracks NDR receipts closely. Where appropriate and in line with the recovery process the Service will proactively target businesses for payment.

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## Implications of the Report

1. **Financial** – The level of collection of Local Taxation continues to provide funding for the delivery of Council services throughout Renfrewshire.

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

3. **Community Planning** –

**Empowering our Communities** – The collection of Local taxes through electronic payments (e.g. Direct Debit, Website and Telephone) is increasing and provides an extensive range of payment opportunities for the public.

**Jobs and the Economy** – An efficient and effective billing and administrative process is vital in ensuring the recovery of income to the council in order to support the provision of local services.

4. **Legal** – None

5. **Property/Assets** – None

6. **Information Technology** - None

7. **Equality & Human Rights** - None

8. **Health & Safety** None

9. **Procurement** – None

10. **Risk** - None

11. **Privacy Impact** – None

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**Author:** Emma Shields, Ext 6880



## Appendix 1

### RENFREWSHIRE COUNCIL

#### REVENUES COLLECTION STATEMENT AS AT 28<sup>TH</sup> March 2016

<b>COUNCIL TAX</b>		
	<b>2014/15</b>	<b>2015/16</b>
	<b>£m</b>	<b>£m</b>
Projected Yield	77.358	77.434
Gross Charges	79.844	80.758
Less rebates	13.074	12.622
Net Charges Billed	<u>66.770</u>	<u>68.136</u>
Cash Collected	63.860	64.465
Rebate Grant	13.074	12.622
	<u>76.934</u>	<u>77.087</u>
Cash collected as % of Net Charges	95.64%	94.61%
Income as % of Projected Yield	99.45%	99.55%

<b>NON DOMESTIC RATES</b>		
	<b>2014/15</b>	<b>2015/16</b>
	<b>£m</b>	<b>£m</b>
Projected Yield	90.610	92.190
Gross Charges	112.052	114.621
Less reliefs	19.592	20.549
Net Charges Billed	<u>92.460</u>	<u>94.072</u>
Cash Collected	90.919	90.899
Cash collected as % of Net Charges	98.33%	96.63%
Cash collected as % of Projected Yield	100.34%	98.60%







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**To:** Finance and Resources Policy Board

**On:** 16 March 2016

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

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**Heading: BENEFITS ADMINISTRATION – WELFARE  
REFORM AND PERFORMANCE STATEMENT**

---

**1. Summary**

- 1.1. This report details the processing performance in relation to Housing Benefit and the Scottish Welfare Fund, as at the end of March 2016. The report provides an update on the funding and expenditure position in relation to Discretionary Housing Payments and the Scottish Welfare Fund.

**2. Recommendations**

- 2.1 The Finance and Resources Board note the content of this report.
- 

**3. Background**

**3.1 Service Information**

- 3.1.1 The Service continues to successfully balance a significant work load along with managing the impact of the ongoing effect from the welfare reform agenda.

### 3.2 Speed of Processing – Housing/Council Tax Benefit

- 3.2.1 As detailed in Table 1 below, processing speed for New Claims is within target for the period and year to date. In relation to New Claims processed within 14 days of all information received, this measure is also within target for the period and year to date.
- 3.2.2 Processing of Changes in Circumstance (CIC) is within target for the period, and year to date.

*(Supplementary processing information is attached in Appendix 1 for members' reference)*

**Table 1 – Performance Summary**

Performance measure	4 Week Reporting Period 12 February 2016 to 10 March 2016	Year to date position	Annual Target
New Claims – processing time	21.80 days	22.36 days	24 days
New Claims - % processed within 14 days of all information received	94.49%	94.17%	92%
Changes in Circumstance – processing time	6.27 days	6.88 days	10 days

### 3.3 Discretionary Housing Payments

- 3.3.1 The total budget for Discretionary Housing Payments is shown in table 2 below. The budget position has been adjusted to reflect the additional resources of £180,000 provided by the Council, approved at the Finance and Resources Board on 26 August 2015, with the additional Council resources exhausted by the end of March 2016.
- 3.3.2 Members may wish to note the application and award details shown in table 3 below. The table shows a larger proportion of decisions made compared with application volumes. This effect is due to the process put in place by the Service this year that; customers affected by the bedroom tax do not have to reapply for a DHP if they had made an application last year.
- 3.3.4 The DHP budget has been calculated to include the full Scottish Government estimate of the amount of funding required to fully mitigate the effect of the Bedroom Tax. This estimate included a 20% reserve allocation which would be paid in May 2016, if required. The balance of £123k is effectively reserve funding which is not required. In line with DHP policy and DHP Regulations, the Service has made awards to fully mitigate the effect of the Bedroom Tax and has maximised spend within the year.

**Table 2 – DHP Budget**

<b>Funding Source</b>	<b>amount</b>
DWP	£366,294
Scottish Government	£1,526,331
Renfrewshire Council	£180,000
<b>Total budget for the year</b>	<b>£2,072,625</b>

**Table 3 – DHP Performance Summary**

<b>Measure</b>	<b>1 April 2015 to 31 March 2016</b>
Volume of DHP applications received	2,664 applications
Volume of DHP decisions made	6,773 decisions
Number of DHP awards	6,245 awards (3,966 customers)
Average processing time (target 29 days)	17.78 days
<b>Total amount committed/paid</b>	<b>£1,949,245</b>

### **3.4 The Scottish Welfare Fund**

- 3.4.1 The Service continued to make awards in 2015/16, in line with Scottish Government guidance and had spent/committed 100% of its total budget for the Scottish Welfare Fund (SWF) by the end of March 2016.
- 3.4.2 The performance data relating to the fund is presented in table 4 below. The table has been updated to reflect the budget position, to include the additional resources of £100,000 provided by the Council, approved at the Finance and Resources Board on 26 August 2015

**Table 4 – SWF Performance Summary**

<b>Measure</b>	<b>1 April 2015 to 31 March 2016</b>
Number of Crisis Grant applications received	8,410
Number of Crisis Grant Awards	7,133
<b>Total amount paid for Crisis Grants</b>	<b>£462,549</b>
<b>Average Processing time (2 working days target)</b>	<b>1 day</b>
Number of Community Care Grant applications received	2,127
Number of Community Care Grant Awards	1,475
<b>Total amount paid for Community Care Grant</b>	<b>£786,308</b>
<b>Average processing time (15 working days target)</b>	<b>10 Days</b>
<b>Total amount paid/committed from the fund</b>	<b>£1,248,857</b>
<b>Funding from Scottish Government</b>	<b>£1,148,857</b>
<b>Funding from Renfrewshire Council</b>	<b>£100,000</b>
<b>Total Budget</b>	<b>£1,248,857</b>

\*Note that figures are adjusted each month to reflect awards previously made, but not fulfilled.

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## Implications of the Report

1. **Financial** - an efficient, effective Benefit Service assists council tenants meet their financial obligations in terms of rent and council tax and ensures overpayments are minimised and DWP subsidy maximised
2. **HR & Organisational Development** - None
3. **Community Planning –**  
**Community Care, Health & Well-being** – An effective Benefits service is vital to the quality of life of many of our citizens as it provides vital support for low income households in order to sustain tenancies and meet their rent obligations
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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**Author:** Emma Shields, Ext 6880



# Housing Benefit Statement – Appendix

## Supplementary KPIs – Finance & Resources Policy Board

### APPEALS

Where a claimant disputes a Benefits decision and also disputes a revision decision they can formally make an Appeal. The Benefits Service will prepare a detailed submission which is then considered by the Independent Tribunals Service. Preparation of a submission is a very involved process and requires significant data gathering.

Target processing speed (number of days)	60		
Result: last 3 months (days)	Jan: 79 days	Feb: 45 days	Mar: 35 days
Average (12 months to date)	53 days		
Average Appeals Completed (12 months to date)	9 Appeals per month		

**Comment:-**

The Service continues to manage Appeals processing well within target.

### REVISIONS

Where a claimant disputes a benefits decision in the first instance they can request for it to be looked at again. This is known as a Revision. The process involves a Senior Benefit Assessor reviewing the decision thoroughly to decide whether the decision should stand.

Target	28 days		
Result last report	November: 28	December: 31	January: 41
Result Last 3 months	January: 41	February: 39	March: 35

**Comment:-** The service continues to recover the processing time for Revisions and aims to be within target by the next reporting period.

### ACCURACY

The Service proactively monitors the accuracy of benefits decisions made through a robust audit checking programme. The Service targets to audit 3% of all calculations and measures the percentage where correct benefit has been paid to the customer

	Target %	Actual %
Volume of Audits	3%	15%
Accuracy – March 16	95%	95%
Accuracy – Year to Date	95%	96%

**Comment:-**

The Service has set a stretching target for Accuracy this year and is achieving this year to date.

### Overpayments

The value of overpayments reported at the last board was £6,712,842 the current value is £6,951,064 Levels are increasing due to the ongoing receipt of real time information from HMRC which has resulted in changes in circumstances identified, not reported directly by customers.

	Target %	Actual %
% recovery of debt raised	73%	83.5%
14/15: % recovery of debt raised	n/a	72.9%

**Comment:-**

The Service has more than achieved the target recovery rate for 15/16







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**To:** Finance and Resources Policy Board

**On:** 18 May 2016

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

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**Heading:** Finance and Resources Service Improvement Plan  
Outturn Report to 31<sup>st</sup> March 2016

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## 1. Summary

- 1.1 The Service Improvement Plan sets out what the department aims to achieve over the next three years based on the resources likely to be available. It reflects the main priorities, actions, outcomes and targets set out in the Council Plan and Community Plan/Single Outcome agreement and details specific actions that will be undertaken by the department to help make a real difference in Renfrewshire.
- 1.2 Implementation of the Service Improvement Plan is monitored and reported to the Finance and Resources Policy Board on a six monthly basis. A mid-year progress report detailing progress during the first six months of the year was presented to the board in November 2015. This outturn report gives an update on the progress of Service Improvement Plan (2015–2018) actions and performance for the full year to 31 March 2016.
- 1.3 Finance and Resources (FAR) main achievements in 2015/16 include:
  - Continuing to maintain the current and on-going financial stability of the Council whilst ensuring resources are available to support the Council to effectively and sustainably deliver on key priorities and plans particularly in the context of the challenging economic climate and a larger than anticipated reduction in government grants.

- Implementing major change projects, most significantly the delivery of the revised Corporate Support Model, to support the Council's financial position and provide a more flexible and responsive service to meet the needs of the Council.
- Transforming how we interact with our customers through the development of the customer portal which was launched in March 2016.
- Major changes within ICT service – co-location of ICT services, the agreement and implementation of new organisational structure, the establishment of a staff consultation group, the appointment of a hosting partner and WAN partner and the development and initiation of the transformation programme
- Establishing sound governance structures for key Council projects including the City Deal and Paisley 2021 and providing high quality ongoing support.
- Supporting the successful go live of Renfrewshire Health and Social Care Partnership on the 1<sup>st</sup> April 2016.
- Improvements in key areas of our measureable performance including reducing the time taken to process benefits (despite the changing and challenging environment), reducing the time taken to pay council invoices (benefiting local businesses) and reducing the cost of collecting council tax (through streamlining our support service functions)
- Commissioning advice agencies to deliver new advice services to our citizens (including Renfrewshire Citizens Advice Bureau and Renfrewshire Law Centre)
- Development of our Organisational Development Strategy which was approved by the Leadership Board in December 2015
- Since extending the Energy Advice Renfrewshire project in June 2015, the team has managed 257 referrals to date - this has resulted in £39k of ongoing savings and £17k of capital savings (including debt written off)
- Reduction of Council's energy consumption and carbon emissions, delivering over £140,000 in savings across the property estate
- Successful 18001 audits with no areas of non-conformance identified
- Retaining our gold standard Healthy Working Lives Award
- Johnstone Town Hall won Scottish Property Awards Development of the Year (Public Building) 2015 and a Civic Trust Award 2016 commendation
- Successfully administering the 2015 UK general election

- The Cross Organisational Mentoring Initiative won the Professional Development Award at the Scottish Mentoring Network Awards in November 2015
- Successful counter fraud pilot carried out in 2015, leading to the establishment of the permanent team within Internal Audit

1.4 The Service Improvement Plan for 2016 to 2019 was submitted to the board and approved in March 2016.

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## 2. Recommendations

- It is recommended that the Finance and Resources Policy Board:
  - (a) Notes the progress made to implement Service Improvement Plan (2015-18) actions during 2015/16.

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## 3. Background

- 3.1 One of the main purposes of the Service Improvement Plan is to enable elected members to take stock of what is happening in the service, and to consider and develop policy options which reflect changing circumstances, both in terms of customer needs and resource availability and in the context of the Council's priorities and the need to deliver Best Value.
- 3.2 The Service Improvement Plan forms part of the process to cascade the Council's priorities throughout the organisation. It also provides the means to integrate other operational plans and action plans. Service Improvement Plans also help to link council and community planning priorities to Individual Development Plans, so that every employee knows how they help contribute to the achievement of Council objectives.
- 3.3 The action plan in appendix one lies at the core of the Service Improvement Plan. It sets out service priorities, key tasks to be implemented, the implementation timetable and the outcomes and measures against which progress can be assessed. It highlights areas where significant progress has been made and also any actions that have been reviewed or delayed. Appendix two contains our strategic performance indicators which show how the service performed in 2015/16.
- 3.4 The Service Improvement Plan process is a key part of our Public Performance Reporting framework. Regular public performance reports are produced detailing financial and service performance in our annual accounts, Key Facts and Figures publication and annual report.

Information is also included on the Council website and in service level public performance reports.

#### **4 Action Plan progress**

- 4.1 Full details of FAR's progress, in terms of implementing the actions in the Service Improvement Plan (2015-2018) in the year to 31 March 2016, are detailed within appendix one.
- 4.2 The vast majority of actions have been completed within target timescales. Actions such as developing the Council's response to welfare reform to help reduce the impacts on local people have taken significant (and continuing) efforts by FAR employees of all levels and have made a real difference to the people of Renfrewshire.
- 4.3 There has also been significant progress across a number of HR and OD related actions due in part to the development of the new OD Strategy; an implementation plan for rolling this strategy out is now in development and will continue to be monitored through a series of related actions contained in the new SIP (2016-19).
- 4.4 There are a number of actions where lead responsibility has moved to other service areas. Developing and leading projects and new initiatives which can then be moved into other service areas reflects the dynamic and varied nature of Finance and Resources as a service.
- 4.5 There are very few actions which have had any significant slippage from the original target dates. In Finance, the development of a long-term financial strategy has been constrained by delays in the local government settlement and uncertainty over the scale of future reductions which are not expected to be announced by the Scottish Government until late 2016. Revisions will be made to the medium and longer term financial plans over the summer of 2016 with a view to an updated financial outlook and strategy being developed. This action is picked up in the new SIP (2016-2019).
- 4.6 In ICT, while the reorganisation is still on track, the speed of progress has been a marginally slower than anticipated, mainly due to the lengthy processes involved in significant restructures and successfully leading the workforce through this transition period.

#### **5. Progress against service scorecard**

- 5.1 Our key performance indicators are reported in appendix two. The majority of our indicators are within target and show that the department is performing well. 19 of our indicators have green status, 6 are amber, 5 are red, and the remainder are for data only.
- 5.2 Indicators where performance should be noted include:

- In addition to administering major changes in the national welfare system, the Benefits Service met all our performance indicator targets, processing housing benefit applications and Scottish Welfare Fund grants for some of our most vulnerable citizens well within target timescales. On average, the team processed new housing benefit applications in 22 days (against a target of 24 days); change of circumstance housing benefit applications were completed in an average of 6.88 days (against a 10 day target); the average speed of processing a crisis grant was 1 days (against our 2 day target) and the average time to process a Community Care grant was 10 days (against our 15 day target).
- Despite undergoing a significant period of change with a reorganisation, ICT indicators show excellent performance – above target and the customer satisfaction rating in particular is both above the target and above the rate this time last year.
- 60.31% of employees have completed IDPs (from MDP/MTIPD) which is lower than the 100% target and shows a year on year reduction since 2013/14. This performance during the course of 2015/16 reflects the impact of restructuring activity occurring across the service, including the significant change in relation to the implementation of the Corporate Support Model in 2015/16. With the implementation of the new Organisational Strategy and with many of the new structures now in place, we anticipate this performance will improve in 2016/17.
- The Customer Service Centre has experienced an unprecedented level of staff turnover since the autumn of 2015, with 68% of staff moving on, mainly to other posts in the council. Autumn through to Spring is historically the busiest period in the year and this has had an impact on performance levels with call wait times performing significantly below target (38% answered within 40 seconds against a target of 70%). This has understandably affected the customer satisfaction rating which is sitting at 75.11% against a target of 85%. Focussed management attention is devoted to recruiting and training new staff; introducing new switchboard and queue management technology; and working with services to reduce repeat and unfulfilled calls to the service centre all of which is expected to return the service back to a position which supports the sustainable delivery of target performance levels.

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## Implications of this report

- 1 **Financial** – none.
- 2 **HR & Organisational Development** – progress on actions which contribute to the development of our employees and delivery of our workforce planning priorities are contained in appendix one.
- 3 **Community Planning** –

- **Children and Young People** – an update on all actions relating to children and young people is included within appendix one
  - **Community Care, Health & Well-being** - an update on all actions relating to community, health and well-being is included within appendix one
  - **Empowering our Communities** - an update on all actions relating to encouraging our communities to participate is included within appendix one
  - **Greener** - an update on all actions relating to increased efficiency and minimising waste is included within appendix one
  - **Jobs and the Economy** - an update on all actions relating to supporting the local economy is included within appendix one
  - **Safer and Stronger** - an update on all actions relating to safer and stronger is included within appendix one
- 4     **Legal** - none.
- 5     **Property/Assets** - progress on property actions and developments are contained in appendix one.
- 6     **Information Technology** – progress on ICT actions and developments are contained in appendix one.
- 7     **Equality and Human Rights** – no negative impacts on equality groups or potential for infringement of individuals’ human rights have been identified from the recommendations contained in this report. 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 and Safety** – progress on health and safety actions and developments are contained in appendix one.
9.     **Procurement** – none
10.    **Risk** – none.
11.    **Privacy Impact** – none.

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## List of Background Papers

- (a)     None



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## FAR Service Improvement Plan 2015-2018 - Action Plan







1. Council Plan Theme: A Better Future 1. Service Priority: Tackling the causes and impact of poverty					
Code & Title	Description	Status	Progress Bar	Due Date	Latest Note
FR-SIP-15-1-1-01 Tackling Poverty Action Plan	Work with partners to implement an action plan which will address the recommendations from the Tackling Poverty Commission		<div><div>100%</div></div>	31-Mar-2018	Management of the Tackling Poverty programme has transferred to CEs although FAR continues to lead on specific projects within the TP programme. This is reflected in our new FAR SIP action plan.
FR-SIP-15-1-1-02 Fuel Poverty	Implementing the Fuel Poverty Strategy Action Plan		<div><div>70%</div></div>	31-May-2016	Next Fuel Poverty (FP) update arranged for 9 May 2016. Significant progress has been made on the existing action plan. A refresh of the FP plan will be created in consultation with the partners who attend the forum. This will have a new set of actions. Target date for completion June 16.
FR-SIP-15-1-1-03 Welfare Reform	Continue to develop the Council's response to the welfare reform changes to mitigate, where possible, the impact on people and communities. Working with partners to develop the Local Delivery Partnership agreement for the introduction of services to assist claimants through the Universal Credit claims process and agreeing data sharing arrangements between partners		<div><div>100%</div></div>	31-Mar-2016	The Council has worked with partners to ensure effective support was put in place for the introduction of Universal Credit in Renfrewshire, on 22 June 2015. Monitoring at an operational and strategic level continues to identify and address any issues at an early stage. Work is underway to plan for the welfare reform changes announced as part of the July 2015 budget as part of the tackling poverty programme
FR-SIP-15-1-1-04 Welfare Reform	Reviewing and redesigning processes for Benefits, including Housing Benefit, Council Tax Reduction, Discretionary Housing Payment and the Scottish Welfare Fund to reflect changes arising from the introduction of Universal Credit		<div><div>100%</div></div>	31-Mar-2016	Universal Credit has now been introduced and all related processes in Housing, Customer and Business Services have been amended and implemented. Regular updates with DWP will remain ongoing. New actions and activities will be required to ensure the Council is ready for an increased number of Universal Credit claimants, this should be planned when further details of increased roll out are available.
FR-SIP-15-1-1-05 Advice Services	Providing and commissioning effective and efficient advisory services and advocacy services to		<div><div>60%</div></div>	31-Mar-2018	Referral and tracking system has been developed and will be rolled out to the Advice Partnership during the next quarter. A new website and single advice telephone number are being progressed and will give all Renfrewshire residents



Code & Title	Description	Status	Progress Bar	Due Date	Latest Note
	enable residents to make informed decisions and access the financial and legal support they require				easy access to the correct advice. Referral and tracking system has been developed and will be rolled out to the Advice Partnership during the next quarter. A new website and single advice telephone number are being progressed and will give all Renfrewshire residents easy access to the correct advice.
FR-SIP-15-1-1-06 Digital Inclusion Strategy	Deliver additional support to residents with limited access to, or experience of using digital technologies to ensure that they can access digital access solutions that offer services that enrich the lives of the Renfrewshire community and meets their emerging needs		<div><div>100%</div></div>	31-Mar-2016	The management of the digital participation strategy has now transferred to CEs. This is reflected in the new CE SIP action plan.
FR-SIP-15-1-1-07 Scottish Welfare Fund	Embed and refine the local arrangements for the Scottish Welfare Fund to better support more vulnerable members of the community		<div><div>100%</div></div>	31-Mar-2016	Scottish Welfare Fund processes are now well embedded. The deployment of the fund is monitored and reviewed on an ongoing basis to ensure that it supports those most in need in Renfrewshire





1. Council Plan Theme: A Better Future					
2. Service Priority: Positively engaging, influencing and managing changes in public sector policy					
Code & Title	Description	Status	Progress Bar	Due Date	Latest Note
FR-SIP-15-1-2-08 Partnership Working	Supporting the development of new joint working arrangements with community planning partners, in particular the development of Renfrewshire Health and Social Care Partnership for the delivery of adult health and care services		<div><div>100%</div></div>	31-Mar-2016	The new IJB was formally established on 27 June 2015, and work across various workstreams (legal, operational, financial) ensured the integrated service was operational from 1 April 2016.
FR-SIP-15-1-2-09 Welfare Reform	Actively influence and engage with relevant stakeholders at a local and national level in adequately planning for and responding to the impact of the developing changes in the welfare system. Assess and implement strategies and plans to, where possible, mitigate potential negative financial impacts on the Council and partners arising from		<div><div>58%</div></div>	31-Mar-2018	Senior officers continue to engage in national and local fora in relation to welfare reform, focussing on the introduction of universal credit and the administration of the Scottish Welfare Fund and Discretionary Housing Payments. Attention is also focussed on understanding and planning to mitigate the impact on Renfrewshire and its people as a result of the welfare reform changes announced in the July 2015 Budget Statement.









Code & Title	Description	Status	Progress Bar	Due Date	Latest Note
	the long term welfare reform agenda.				
FR-SIP-15-1-2-10 Welfare Reform	Proactively engage in, and seek to influence, the UK and Scottish Government longer term intentions in respect to the administration of housing benefit and council tax reduction scheme		<div><div>45%</div></div>	31-Mar-2017	Senior officers continue to engage in UK, Scottish and local fora in relation to welfare reform and the devolution of welfare powers.
FR-SIP-15-1-2-11 Community Empowerment	Implement the outcome of the review of electoral arrangements by the Boundary Commission for Scotland. Preparing for and implementing the recommendations and ensuring that revised governance arrangements are in place.		<div><div>50%</div></div>	31-Mar-2017	The First stage of the review which related to Councillor number has been completed. The Commission has now commenced its public consultation on electoral ward boundaries within council areas. A report went to the Council meeting on 24 September 2015 providing details of the consultation. The consultation has now closed and the commissioner will publish a report for consideration by the Scottish Ministers who will decide whether or not to accept the Commission's recommendations. Any changes to councillor numbers and ward boundaries will require to be implemented ahead of the Local Government Elections in May 2017.
FR-SIP-15-1-2-12 Community Empowerment	Progressing Community Asset transfer proposals; this strategy supports the commitments contained in the Community Empowerment Action Plan (CEAP) published jointly by the Scottish Government and COSLA to establish community empowerment as an important means of supporting communities to own and develop local facilities and realise wider community benefits		<div><div>40%</div></div>	31-Mar-2017	The Community Empowerment (Scotland) Act 2015 was passed on 17th June 2015. This requires the council to review existing arrangements and guidance. Existing framework to be reviewed. We are currently responding to a Scottish Government consultation on draft Regulations which will impact on any changes/updates to our Policy.
FR-SIP-15-1-2-13 Pension Reforms	Implementing major pension reforms and the new Local Government Pensions Scheme (LGPS) and Teachers Scheme, new contracting out arrangements and preparing for Automatic Enrolment in 2017. Ensuring that employees are aware of the changes and revised payroll administration processes are in place		<div><div>70%</div></div>	31-Mar-2017	Communications have been sent out to all employees highlighting the April 16 changes to the state pension which affects the amount of national insurance employee pay. Pension awareness sessions run by SPF, supported by HR&OD have also taken place across all services through the months of February and March highlighting the benefits of the pension scheme and the April 16 state pension changes. In addition, the pension changes working group are on target to re-enrol eligible employees into the pension scheme in June 16.

## 2. Council Plan Theme: A Better Council

### 1. Service Priority: Leading the transformation programme to enable and deliver change and modernisation and to support preventative spend




Code & Title	Description	Status	Progress Bar	Due Date	Latest Note
FR-SIP-15-2-1-14 Better Council Change Programme	Managing the Better Council Change programme. Providing professional change support for initiatives to reduce organisational complexity, enhance customer intelligence, manage demand, develop new service delivery models and create new support models.			31-Mar-2016	Management of the Better Council Change Programme has moved to CEs although FAR continues to take the lead on a number of projects and also provides business, financial and governance support to the programme.
FR-SIP-15-2-1-15 Connect Renfrewshire	Delivering the Connect Renfrewshire ICT strategy to deliver: <ul style="list-style-type: none"> <li><b>Operational excellence and transformation</b> by creating a secure, accessible and efficient environment for information;</li> <li><b>Digital delivery and citizen engagement</b> by expanding and improving the range of Council services available through digital channels; engaging with community planning partners to develop an area wide digital strategy; and by developing the website to improve design and layout for customers to enable content to be stored and accessed once across all delivery channels;</li> <li><b>Information accessibility and data sharing</b> through the development of an Information Management strategy which creates a culture of valuing information as an asset; establishing good information management practices for information and delivers effective Business Intelligence solutions; <b>Enhancing ICT delivery and innovation</b> by reviewing the</li> </ul>			31-Mar-2018	ICT Delivery and Innovation - The ICT Transformation programme is progressing across all workstreams. The data centre hosting partnership is in place and stage 1 of the project has commenced. A new WAN partner has been appointed and again this project is in the planning stage. The ICT service is in the process of being reorganised to better align skills and resources to the technology demands of the Council.




Code & Title	Description	Status	Progress Bar	Due Date	Latest Note
	infrastructure and application portfolios and working in partnership with neighbouring councils on the ICT collaboration programme and managing capacity through application of good processes for service requests and programme management.				
FR-SIP-15-2-1-16 Change Management Skills	Implement the Organisational Development strategy Action Plan		<div><div>40%</div></div>	31-Mar-2018	An implementation plan to support the Council's newly approved Organisational Development Strategy 2016-19 is in development. The strategy was approved by Council in December 2015. The implementation plan highlights a number of key tasks to be undertaken under each of the 3 priority areas with clear timelines, responsible persons, measures of success/outcomes and a clear link to the Better Council Change Programme.
FR-SIP-15-2-1-17 Information Management Strategy	Implementing improvements in information management by developing a robust approach to knowledge management to support policy and strategic decision-making		<div><div>10%</div></div>	31-Mar-2017	As part of the reorganisation of ICT a number of new posts have been created that will focus on information management – this included a cyber security officer and Information Systems Architects – all posts will be in place by May 2016
FR-SIP-15-2-1-18 Information Management Strategy	Implementing business intelligence principles and tools to enhance analysis and reporting of information.		<div><div>100%</div></div>	31-Mar-2016	The responsibility for Business Intelligence now lies with Policy and Commissioning Team. ICT will support the development through the identification and development of appropriate tools.
FR-SIP-15-2-1-19 Corporate Support Model	Leading the development of the revised corporate support model to ensure that our corporate support arrangements deliver robust, efficient and effective professional support services.		<div><div>75%</div></div>	31-Mar-2016	Phase 1 of the review of the corporate support model is practically complete, with organisational restructure being completed in finance and policy/commissioning. The significant majority of planned changes have been successfully delivered although there remain some areas where a degree of slippage has been experienced. Phase 2 will focus on refining the model further through improved customer support (eg customer portal/improved website) and the development of ERP.
FR-SIP-15-2-1-20 Review of Financial and HR Systems	Leading the review of the Council's financial and HR systems to support transformational change, supporting the delivery of transactional services and the implementation of the second phase of the corporate support model, improve management information and deliver efficiency savings.		<div><div>20%</div></div>	31-Mar-2018	The procurement of a single ERP solution is nearly complete, with a preferred supplier selected. Internal work is well underway with regards data readiness and several workstreams are being developed aligned with data, implementation, testing, training and benefits realisation. Initial work will focus on data, with significant effort required regarding communications once a supplier is formally selected.





Code & Title	Description	Status	Progress Bar	Due Date	Latest Note
FR-SIP-15-2-1-21 Asset Management	Reviewing the Council's property portfolio and energy management arrangements to optimise utilisation of the property estate and maximise our approach to energy management		<div><div>100%</div></div>	31-Mar-2016	In November 2014, Renfrewshire Council approved its 3rd carbon management plan. The new plan has set a target of 36% reduction by 2020 and covers, electricity, water, gas and oil in buildings, along with waste, transport fleet, streetlighting and staff mileage. Current progress shows that 2014/15 had an overall reduction of 14%.





## 2. Council Plan Theme: A Better Council

### 2. Service Priority: Delivering efficient and effective customer and business services and achieving the best possible standards of service for our customers

Code & Title	Description	Status	Progress Bar	Due Date	Latest Note
FR-SIP-15-2-2-22 Customer Access Strategy.1	Implementing the Customer Access Strategy action plan: Increasing the availability of online services through the development of the Council website platform to increase the volume of customer transactions completed online;		<div><div>100%</div></div>	31-Mar-2016	The Customer Portal has gone live in March 2016, offering customers the ability to sign up for "My account" and securely view their Council Tax data on-line. They are also able to apply for discounts, exemptions and notify us of change of address / direct debit. Work is ongoing to provide Benefit and Housing information in the next of the project.
FR-SIP-15-2-2-22 Customer Access Strategy.2	Redesigning processes to encourage online customer transactions for high volume demand services including council tax, benefits, housing repairs, pest control, recycling and waste collection;		<div><div>100%</div></div>	31-Mar-2016	Revision of processes for Council Tax has been completed for the first stage of the Online Myaccount. Work is now underway with Housing to design new processes for viewing Rent accounts and Reporting Housing Repairs.
FR-SIP-15-2-2-22 Customer Access Strategy.3	Creating the capability for customers to create a secure account to enable our customers to manage their interactions with the Council through the national myaccount portal.		<div><div>100%</div></div>	31-Mar-2017	This element of the project is complete, the Council offers a secure on-line account that is facilitated by the national mygovscot my account.



Code & Title	Description	Status	Progress Bar	Due Date	Latest Note
FR-SIP-15-2-2-23 Digital Services/ Channel Shift	<p>Increase self service options for customers and enable streamlined, right first time services by:</p> <ul style="list-style-type: none"> <li>. Expanding and improving the range of Council services available through digital channels.</li> <li>. Defining the scope and objectives of the digital delivery and engagement project</li> <li>. Developing delivery channels from a customer's perspective</li> </ul>		<div><div>100%</div></div>	31-Mar-2016	The Customer Portal has gone live in March 2016, offering customers the ability to sign up for "My account" and securely view their Council Tax data on-line. They are also able to apply for discounts, exemptions and notify us of change of address / direct debit. Work is ongoing to provide Benefit and Housing information in the next of the project.
FR-SIP-15-2-2-24 Customer Service Delivery	Implementing a new customer and business services delivery model to increase capacity, streamline transactional customer services, reduce duplication and deliver an improved overall customer experience.		<div><div>41%</div></div>	31-Mar-2018	Customer and Business Services was created from the start of June 2015. Work has progressed to consolidate the new service and implement process improvements. Similar tasks are being aligned in teams and continuous improvement training has been delivered to the wider management team.
FR-SIP-15-2-2-25 Equality	Continue to work towards a fairer and more equal Renfrewshire through the implementation of key equality objectives and outcomes to address the Equality Act 2010 and Public Sector Equality duties.		<div><div>100%</div></div>	31-Mar-2016	Key agreed actions by the Council are continuing to be progressed in relation to achieving the equality outcomes due for statutory completion April 2017.

2. Council Plan Theme: A Better Council 3. Service Priority: Developing the organisation to create capacity to manage change and sustain a positive performance culture					
Code & Title	Description	Status	Progress Bar	Due Date	Latest Note
FR-SIP-15-2-3-26 Workforce Planning	Implementing the Council's People and Organisational Development Strategy and the key priorities of the Council Plan.		<div><div>40%</div></div>	31-Mar-2018	The Council's People and Organisational Development Strategy has been replaced by the Organisational Development Strategy 2016-2019, which was approved by Council in December 2015. The key purpose of the strategy is to ensure that the Council, in a climate of financial and resource constraints, can continue to deliver its core business, service objectives and Better Council Change Plan (BCCP) priorities, with a skilled, engaged motivated and adaptive workforce. The strategy focuses on 3 immediate priority areas to support the development of the workforce and deliver on key outcomes. These are Workforce Planning, People Development and Performance Appraisal. Regular progress reports will be submitted to the CMT and the Council.
FR-SIP-15-2-3-27 Workforce Planning	Ensuring that the rights skills and capacity are available to support the delivery of the Better Council programme through skills assessments, developing our employees and partnership working.		<div><div>100%</div></div>	31-Mar-2016	The OD Strategy 2016-2019 provides a refreshed framework to focus organisational development resources to provide the Council with a range of support arrangements that will help our workforce through the challenging period of change and help to build further on our culture of sustainable performance and continuous improvement. The strategy places specific focus on improving how the Council will manage and develop performance, support workforce planning and ensure that the Council's workforce is appropriately supported to be skilled, engaged, motivated and adaptive. The approach to delivering the strategy focuses on the 3 immediate priority areas which are Workforce Planning, People Development and Performance Appraisal.
FR-SIP-15-2-3-28 Modern Apprenticeship Programme	Support the creation of employment and training opportunities for young people in the community by exploring training schemes and supporting Modern Apprenticeships in various occupational areas.		<div><div>100%</div></div>	31-Mar-2016	The Council employed approximately 90 Modern Apprenticeships (MA's) throughout 2015 / 16. 38 new MA's were recruited within our 2015/16 SDS contract. The Council remains committed to expanding the MA programme within new occupational areas such as digital/media and procurement. Management of the modern apprentice scheme has now moved to D&Hs.
FR-SIP-15-2-3-29 Employee Development	Review and strengthen our Performance Development Review process to ensure that employees performance is measured, reviewed and staff have Performance Development Plans in place.		<div><div>100%</div></div>	31-Oct-2015	The Organisational Development Strategy 2016-2019 (implementation plan) highlights a number of key tasks to be undertaken under the key priority of Performance Appraisal. A new process for performance appraisal for all levels of the workforce is being developed and will be carried forward into the next service improvement plan. The process will support the development of the full workforce in the context of performance aligned to the Councils priorities and outcomes and supports the vision, aims, and objectives of the Better Council Change Programme.




Code & Title	Description	Status	Progress Bar	Due Date	Latest Note
FR-SIP-15-2-3-30 Employee Engagement	Development and implementation of an employee Communication and Engagement Plan		<div><div>100%</div></div>	31-Mar-2016	A new corporate internal communications plan has been drafted which will compliment engagement and communication activities within services. A draft comms plan 16-17 has been developed for FAR, outlining key themes for the FAR staff newsletter which is published quarterly. The FAR staff panel continues to meet quarterly, with full representation from all areas of the service.  In addition, as part of the ICT Transformation Programme a People Plan is being developed through engagement with staff. This included a comms and engagement plan.
FR-SIP-15-2-3-31 Health and Safety	Continue to ensure Council meets the BS OHSAS 18001:2007 standard.		<div><div>100%</div></div>	31-Mar-2016	The Health and Safety section continue to work with services to retain certification to BS OHSAS 18001:2007. This has been achieved through successful external health and safety audits during 15/16.
FR-SIP-15-2-3-32 Supporting Attendance	Support the improvement in the Council's attendance levels and Industrial Injury figures through the utilisation of Occupational Health and Counselling service, reviewing Health and Safety and Supporting Attendance policies and ensuring their consistent application.		<div><div>100%</div></div>	31-Mar-2016	Quarterly contract review meetings continue to be held with the Council's Occupational Health and Employee Counselling providers to ensure contracts are being managed efficiently and effectively. Supporting policies remain fit for purpose.
FR-SIP-15-2-3-33 Supporting Attendance	Promote health improvement amongst our employees and within the community by maintaining Healthy Working Lives Gold Award and Mental Health and Wellbeing Commendation Award.		<div><div>100%</div></div>	31-Mar-2016	The Health and Safety section continue to work with services to promote health improvement amongst our employees and within the community by maintaining the Healthy Working Lives Gold Award, last successful review was in December 2015. The mental health award has now been absorbed as a core element of the gold award and that criteria has been met.






**2. Council Plan Theme: A Better Council**  
**4. Service Priority: Reducing our carbon footprint to help create a greener Renfrewshire**

Code & Title	Description	Status	Progress Bar	Due Date	Latest Note
FR-SIP-15-2-4-34 Carbon Management	Implementing the key actions in the Carbon Management Plan: * To increase energy efficiency, reduce energy consumption and to reduce carbon emissions across the property estate * Ensuring energy management initiatives are aligned to our capital investment programme and corporate asset strategy to optimise use of our property estate and to reduce overall running costs and energy consumption levels * Monitoring and reporting revised targets for the measurable reduction of carbon emissions across the whole property estate to capture carbon emission savings and resultant financial savings Promoting reductions in energy usage and advising our employees and our residents about energy efficiency		<div><div>50%</div></div>	31-Mar-2018	The first carbon management plan working group took place in mid July. A variety of outcomes have been agreed to monitor progress and highlight and risk and barriers. Carbon emissions in buildings reduced by 12% during the year 2014/15. This is a direct result of energy efficiency and awareness projects. 4 Weekly MR meetings take place to ensure projects are on course. A new carbon awareness programme has been agreed at the carbon management working group.  Carbon management issues are now also being considered at the Community Planning partnership – Greener Thematic Board
FR-SIP-15-2-4-35 Corporate Asset Management Strategy	Completing implementation of the Corporate Asset Management Strategy to ensure that the property assets are managed effectively and efficiently through the provision of relevant management and performance information.		<div><div>100%</div></div>	31-Mar-2016	The Corporate Asset Strategy was approved by the Planning and Property board in August 2015.




















3. Council Plan Theme: A High Performing Council						
1. Service Priority: Delivering effective strategic management of the Council's financial, property, ICT and human resources and maintaining sound corporate governance across the Council						
Code & Title	Description	Status	Progress Bar	Due Date	Latest Note	
FR-SIP-15-3-1-36 Financial Planning	Develop and implement a financial strategy which maintains the Council's financial stability, supports the delivery of the Council's existing transformation and investment programmes, delivers the necessary saving requirements and addresses, on a sustainable basis, the financial challenges the Council will face over the medium term.		<div><div>30%</div></div>	31-Mar-2016	The local government settlement received for 2016/17 was significantly poorer than expectations and confined to a single year by the Scottish Government. It is not expected that a multi-year settlement will be provided by the Government until the second half of 2016. Given the scale of grant reduction experienced in 2016/17 and the lack of visibility of future year grant levels, there has been significant uncertainty which has been a limiting factor on the ability to produce an informed medium term financial strategy. This work will now take place over the summer of 2016 with a view to an updated financial outlook and strategy being developed and informed by an expected three year grant settlement being announced by the Scottish Government. On 3 March 2016 the Council approved the 2016/17 Revenue Budget and Council Tax which confirmed a balanced budget position for 2016/17.	
FR-SIP-15-3-1-37 Elections	Conduct elections (UK Government, Local Government and Scottish Parliament) during plan period taking cognisance of changing legislation, processes and use of e-counting systems: . UK Government elections (7 May 2015) . Scottish Parliament elections (5 May 2016) - Local Government elections (4 May 2017)		<div><div>65%</div></div>	31-May-2017	The UK General Election was conducted successfully in our two Parliamentary Constituencies and saw a significantly higher turnout than in 2010. The UK General Election was conducted successfully in our two Parliamentary Constituencies and saw a significantly higher turnout than in 2010. Preliminary preparations have commenced for the Scottish Parliament Election in 2016. The progress of the national e-voting tender for the Local Government Elections in 2017 is being monitored.	
FR-SIP-15-3-1-38 Corporate Governance	Implement and promote effective governance arrangements and provide appropriate advice and support to deliver major projects including the Glasgow and Clyde Valley City Deal, expansion of Renfrewshire Leisure, Paisley Heritage Strategy, Better Council Programme, Property Asset Management Strategy, Schools and Leisure Investment Programme and Clyde Valley Waste Management Project.		<div><div>100%</div></div>	31-Mar-2016	Effective governance arrangements are in place for the City Deal, the Clyde Valley Waste Project and the other project referred to. The expansion of Renfrewshire Leisure to include cultural services is now complete.	

Code & Title	Description	Status	Progress Bar	Due Date	Latest Note
FR-SIP-15-3-1-39 Corporate Governance	Maintaining good governance arrangements through suitable and proportionate application of internal control and risk management to ensure best value is delivered.		<div><div>100%</div></div>	31-Mar-2016	A corporate Risk Register and Internal Audit plan is in place to manage and monitor risk and the application of appropriate internal controls. Delivery of the internal audit plan is monitored and reported on a regular basis. The percentage of Audit Plan completed (cumulative) for 2015/16 was 95.1% (target of 95%).

3. Council Plan Theme: A High Performing Council					
2. Service Priority: Developing the organisation to create capacity to manage change and sustain a positive performance culture					
Code & Title	Description	Status	Progress Bar	Due Date	Latest Note
FR-SIP-15-3-2-40 Benchmarking /Performance Management	Development of performance metrics and enhancing our suite of performance indicators, measures and targets across all service areas and benchmarking with other with other local authorities and partners to share best practice and support service improvements.		<div><div>100%</div></div>	31-Mar-2016	There are a number of benchmarking/performance management activities within the service relating to specific service areas such as the Scottish LA asset benchmarking scheme for Property service etc. In addition, within the new ICT organisation a team has been established that will focus on performance and asset management. The team will ensure that robust processes and performance metrics and developed and implemented for the ICT service.  The new Policy and Commissioning function will provide performance management, benchmarking, and improvement activities to services and fulfil these duties on their behalf once the new structure is in place.
FR-SIP-15-3-2-41 Public Service Improvement Framework (PSIF)	Implement the PSIF self-assessment action plans across all service areas		<div><div>100%</div></div>	31-Mar-2016	Most service areas have completed or nearly completed their improvement actions where possible. The new Policy and Commissioning function will provide performance management, benchmarking, and improvement activities to services and fulfil these duties on their behalf once the new structure is in place. There are no plans to repeat the PSIF assessment process this year although other self-assessment models will be researched.







## FAR Service Improvement Plan 2015-2018 Performance Indicators

PI Status		Long Term Trends			Short Term Trends		
	Alert		Improving			Improving	
	Warning		No Change			No Change	
	OK		Getting Worse			Getting Worse	
	Unknown						
	Data Only						

1. Council Plan Theme - A Better Future													
1. Service Priority - Tackling the causes and impact of poverty													
PI Code & Short Name	Current Status	Short Term Trend	Long Term Trend	2013/14		2014/15		2015/16		2016/17	2017/18		Notes & History Latest Note
				Value	Target	Value	Target	Value	Target	Target	Target		
FCSKPI010 Average speed of processing a Crisis Grant (Scottish Welfare Fund) in days				1	2	1	2	1	2		2	2	
FCSKPI011 Average speed of processing a Community Care Grant (Scottish Welfare Fund) in days				12	15	9	15	10	15	15	15	15	




1. Council Plan Theme - A Better Future
















2. Service Priority - Positively engaging, influencing and managing changes in public sector policy.

PI Code & Short Name	Current Status	Short Term Trend	Long Term Trend	2013/14		2014/15		2015/16		2016/17		2017/18		Notes & History Latest Note
				Value	Target	Value	Target	Value	Target	Target	Target	Target	Target	
FCSKPI005a Time taken for processing new housing benefit applications up until the posting of notification of outcome of the application (cumulative)				28.88	29	25.41	29	22.36	24	24	24	24		
FCSKPI005c Time taken for processing change of circumstance housing benefit applications up until the posting of notification of outcome of the application (cumulative)				13.01	10	8.34	10	6.88	10	10	10	10		










2. Council Plan Theme - A Better Council













1. Service Priority - Leading the transformation programme to enable and deliver change and modernisation and to support preventative spend.

PI Code & Short Name	Current Status	Short Term Trend	Long Term Trend	2013/14		2014/15		2015/16		2016/17		2017/18		Notes & History Latest Note
				Value	Target	Value	Target	Value	Target	Target	Target	Target	Target	
FCSICT001 Percentage of IT incidents fixed within target fix time (annual cumulative to date figure)				88.9%	85%	83.3%	85%	86.1%	85%	85%	85%	85%		

PI Code & Short Name	Current Status	Short Term Trend	Long Term Trend	2013/14		2014/15		2015/16		2016/17		2017/18		Notes & History Latest Note
				Value	Target	Value	Target	Value	Target	Target	Target	Target	Target	
FCSICT002 Percentage of IT service requests fulfilled within target fix time (annual cumulative figure)				87.1%	85%	82.4%	85%	86%	85%	85%	85%	85%	85%	
FCSICT003 IT Customer Satisfaction Rating (out of 5)				4.94	4.72	4.75	4.8	4.92	4.8	4.8	4.8	4.8	4.8	
FCSICT004 Percentage of uptime for key IT systems				99.94%	99%	99.88%	99%	99.85%	99%	99%	99%	99%	99%	
FCSKPI173 Invoice Lines matched to Purchase orders (by volume)				97.24%	95%	97.75%	96%	97.91%	96%	96%	96%	96%	96%	This indicator reports on the percentage of matched orders placed for 2014/15. By Volume Number of matched lines = 167,167 Number of total lines = 170,738 Percentage of matched orders = 97.91% By Value Value of matched lines = £170,114,144.48 Value of total lines = £180,392,609.97 Percentage of matched orders = 94.30%
FTCMT13 Number of transactions conducted online				94,948	90,000	109,733	90,000	114,505	95,000	100,000	105,000	105,000	105,000	April 2015 - March 2016 Online Payments - 45,197 eForms (self service) - 12,462 (tagish) - 3,742 Libraries - 37,187 LocalView DiTV usage - 12,893 LocalView RenRepairs - 3,024 TOTAL - 114,505  Please note that as of 01/07/15




PI Code & Short Name	Current Status	Short Term Trend	Long Term Trend	2013/14		2014/15		2015/16		2016/17		2017/18		Notes & History Latest Note
				Value	Target	Value	Target	Value	Target	Value	Target	Value	Target	
														Libraries transferred to Renfrewshire Leisure but the 2015/16 figures continue to include their transactions for the purposes of the measuring the full year performance.













2. Council Plan Theme - A Better Council														
2. Service Priority - Delivering efficient and effective customer services and achieving the best possible standards of service for our customer														
PI Code & Short Name	Current Status	Short Term Trend	Long Term Trend	2013/14		2014/15		2015/16		2016/17		2017/18		Notes & History Latest Note
				Value	Target	Value	Target	Value	Target	Value	Target	Value	Target	
FCSCOMPYP Total % of complaints responded to within targets by FACS (cumulative to date)				92.1%	90%	96.7%	100%	95.78%	100%	100%	100%	100%	100%	166 Complaints were received in total (April - March). To date 155 complaints have been completed within the required timescale, 2 complaints received in April, 1 in August, 2 in October and 1 in January were not completed within the required timescale. 1 Complaint received during March is still being followed up but is now outwith timescale. Currently 4 complaints received in March are still being followed up within timescale.
FCSCSU03 % of calls answered by the Customer Service Unit within target (40 seconds)				70%	70%	74%	70%	38%	70%	70%	70%	70%	70%	Wait time increase due to festive closed period in Jan and annual billing as well as high levels of staff absence. To combat this additional staff taken on and being trained through the quarter, with 2 new staff selected following March assessment centre due to start in April.
FCSCSUENQ01c Percentage of customer enquiries resolved at first point of contact by Customer				99.9%	95%	99.98%	90%	100%	90%	90%	90%	90%	90%	

PI Code & Short Name	Current Status	Short Term Trend	Long Term Trend	2013/14		2014/15		2015/16		2016/17		2017/18		Notes & History Latest Note
				Value	Target	Value	Target	Value	Target	Target	Target	Target	Target	
Services advisor cumulative														
FCSCSUSAT09 Average waiting time of customers in the Customer Service Centre				17.45	20	13.43	20	16.45	20	20	20	20	20	
FCSCSUSAT10 Customer satisfaction rating for services delivered by the Customer Service Unit				0%	85%	80.97%	85%	75.11%	90%	90%	90%	90%	90%	Wait times impacting on customer satisfaction for March. Wait time increase due to annual billing and high levels of staff absence. To combat this training of 5 new staff going in March, with 2 new staff selected following March assessment centre due to start in April.
FCSFOI07 % of FOI reviews completed within 20 days				100%	100%	100%	100%	100%	100%	100%	100%	100%	100%	
FCSFOI08 % of Finance and Corporate Services FOI requests completed within timescale				97.38%	100%	98.21%	100%	95.19%	100%	100%	100%	100%	100%	Out of 110 single service requests responded to by Finance & Resources during this period, 9 were late due to information not being approved in time for release.












## 2. Council Plan Theme - A Better Council
















### 3. Service Priority - Developing the organisation to create capacity to manage change and sustain a positive performance culture

PI Code & Short Name	Current Status	Short Term Trend	Long Term Trend	2013/14		2014/15		2015/16		2016/17		2017/18		Notes & History Latest Note
				Value	Target	Value	Target	Value	Target	Target	Target	Target	Target	
CSADIV35MS Number of Elected Members with an annually reviewed Personal Development				33	40	31	40	31	40	40	40	40	40	Currently 31 Councillors have a PDP that they approved in 2015/16, 8 Councillors have commenced the process to put a PDP in place and 1 Councillor has refused to participate. Councillors will be asked to review

PI Code & Short Name	Current Status	Short Term Trend	Long Term Trend	2013/14		2014/15		2015/16		2016/17		2017/18		Notes & History Latest Note
				Value	Target	Value	Target	Value	Target	Target	Target	Target	Target	
Plan.														and update their PDPs or complete the process to put one in place (whichever is appropriate) during 2016/17. Progress is dependent on participation by Councillors.
FCSABS01dii Average number of work days lost through sickness absence per employee (FCS) (FTE)				7.33	6.6	7.68	6.5	6.79*	6.5	6.4	6.4			*This figure represents a position to 29 February 2016. We expect our year end position to fall short of our target.
FCSPERSOD08 % of managers, in the 360° process, with completed reports				86.21%	90%	60%	100%	97.95%	100%	100%	100%			The programme was successfully rolled out and is ongoing as planned. The remainder of the figure will be undertaking the 360 as planned to fit in with the two yearly review cycle.
FCSPERSOD09 % of employees having completed IDPs (from MDP/MTIPD) cumulative to date				93.02%	90%	87.1%	100%	60.31%	100%	100%	100%			The lower than target performance reflects the impact of restructuring occurring across the service during 2015/16, in particular the significant change in relation to the implementation of the Corporate Support Model.
FCSSPIEO10 % of posts of the highest 5% of earners among employees (excl. Teachers) who are women				54.55%	Data only	Data only	Data only	Data only	Data only	Data only	Data only			Data only



2. Council Plan Theme - A Better Council												
4. Service Priority - Reducing our carbon footprint to create a greener Renfrewshire												
PI Code & Short Name	Current Status	Short Term Trend	Long Term Trend	2013/14		2014/15		Value	Target	2015/16		Notes & History Latest Note
				Value	Target	Value	Target			Value	Target	
FRSIP22 % Reduction in overall CO2 emissions for Renfrewshire Council (CMP 2014-2020)						14.1%	2.3%	*	6%		7.9%	*This figure will not be available until mid June.
3. Council Plan Theme - A High Performing Council												
1. Delivering effective strategic management of the Council's financial, property, ICT and human resources and maintaining sound corporate governance across the Council												
PI Code & Short Name	Current Status	Short Term Trend	Long Term Trend	2013/14		2014/15		Value	Target	2015/16		Notes & History Latest Note
				Value	Target	Value	Target			Value	Target	
FCSCREDFCS01f % of invoices paid within 30 days - Finance & Corporate Services invoices				99.4%	98%	99.69%	98%		98%	99.17%	98%	
FCSKPI001 Percentage of Council Tax due in the year, collected by the end of the year (cumulative position to date)				94.69%	95.6%	96%	96%	*	93.93%		96%	*Figure not available yet due to year end calculations
FCSKPI002 Percentage of income due from Council Tax for prior years (cumulative position to date)				96.92%	97%	97.03%	97.25%	97.08%	97.27%		97.27%	Follow up continues to be run each month. We continue to monitor both the current year and previous years collection. The final instalment for current year was due in January payments will then be credited to previous year

PI Code & Short Name	Current Status	Short Term Trend	Long Term Trend	2013/14		2014/15		2015/16		2016/17	2017/18	Notes & History Latest Note
				Value	Target	Value	Target	Value	Target	Target	Target	
FCSKPI003 Number of invoices paid within 30 days of receipt, as a percentage of all invoices paid council wide (cumulative)				96.54%	96%	97.29%	96%	96.97%	96%	96%	96%	
FCSKPI004a Percentage of Non Domestic Rates due in the year, collected by the end of the year (cumulative to date)				98.4%	98%	97.31%	98%	*	96.66%	96.31%	98%	*Figure not available yet due to year end calculations
FCSKPI008 Cost of collecting council tax per chargeable dwelling				14.69	16.1	11.26	15.25	*	15.4	15.55	16.1	*Figure not available yet due to year end calculations
FCSKPI133 Percentage of Audit Plan completed (cumulative)				95.7%	94.7%	95.2%	94.8%	95.1%	95%	95%	95%	
FCSKPI172 No of Successful sanctions administered by the Benefit Investigation Team per month (Cumulative)				96	80	90	82	91	84	86	88	




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**To: Finance and Resources Policy Board**

**On: 18 May 2016**

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**Report by: Chief Executive.**

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**Heading: Chief Executive's Service Improvement Plan - Outturn report to 31 March 2016**

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## **1. Summary**

- 1.1** The Service Improvement Plan provides a comprehensive statement of what the service aims to achieve over the next three years. It sets out what the service will do, based on the resources available, and details the specific actions which will be actively progressed over the period to support the delivery of the Council Plan and the Community Plan. The Chief Executive's Service Improvement Plan for the period 2015/16 to 2017/18 was approved by the Board on 13 May 2015.
- 1.2** This report provides an update on the progress made by the service during 2015/16 in terms of implementing the Service Improvement Plan. It includes an update on the Service's action plan as at 31 March 2016 a balanced scorecard of indicators also as at 31 March 2016.
- 1.3** Key achievements of the service over the course of the year to 31 March 2016 include:
- The refreshing of the Council Plan as it had reached the half way point of delivery. This sets out the ambitions for the council for the next 18 months;
  - The creation of a Tackling Poverty Strategy in response to the recommendations from the Tackling Poverty Commission which are currently in the process of being delivered via a £6m programme.

- The development of an Open Data Strategy which is supported by the Renfrewshire Community Planning Partnership;
- A Community Planning Conference was held in March 2016 and was attended by approximately 90 people;
- The Community Planning Team supported the communities of Elderslie and Foxbar to host smaller Community Planning events in their area;
- The Communications Team developed an internal communications strategy which will aim to ensure that council employees feel informed and engaged and have an awareness of key council issues;
- The Communications Team led on the development and launch of the new Council website;
- The development of a Digital Participation Strategy which includes plans to introduce free wifi into our town centres
- The Communications and Marketing Teams have been involved in the launch of the UK City of Culture 2021 Bid – they have created a website and social media accounts for the Bid and have been involved in designing the brand for the Bid; and
- The Change Programme Team continue to implement the Better Council Programme with the team supporting key strategic projects such as: launching the My Account Customer Portal; and leading on the sourcing / delivery of a new ERP system.

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## 2. **Recommendations**

2.1 It is recommended that the Finance and Resources Policy Board:

- notes the progress that has been made with implementation of the 2015/16 – 2017/18 Service Improvement Plan actions and performance indicators.

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## 3. **Background**

3.1 One of the purposes of the Service Improvement Plan Outturn report is to provide an overview of activity and performance to elected members in relation to the Service Improvement Plan. Key elements of the outturn report include:

- An update on the Service Improvement Action Plan as at 31 March 2016.
- An update on the balanced scorecard containing key performance indicators for the service as at 31 March 2016.

3.2 Appendix 1 provides a summary of progress achieved in tackling the key areas set out in our Service Improvement Plan action plan to the end of March 2016. It highlights areas where significant advances have

been made and also any actions that have been targeted for improvement.

- 3.3 Appendix 2 provides the Board with the details of the Chief Executive's Service performance indicators.
- 3.4 The Service Improvement planning process is a key part of our Public Performance Reporting framework. Information is also included on our Council web pages.
- 3.5 During 2015/16, operational responsibility for the delivery of procurement and project management services transferred to the Head of Policy and Commissioning within the Chief Executive's Service. A restructure of policy and planning functions in the Council will also lead to a further transfer of operational responsibility to the Chief Executive's Service. These changes are reflected in the Service Improvement Plan for 2016/17 to 2018/19.

#### **4 Action Plan Progress**

- 4.1 A full progress report on the Service Improvement Plan Action Plan for the year to 31 March 2016 are included as Appendix 1 to this report. The majority of actions have been completed within timescales. There are a number of actions where progress has been delayed and there has been some slippage from the original targets dates:
- Work to refresh current processes for equality and human rights assessments is currently being undertaken by the Service.
  - The Chief Executive's Health and Safety action plan is being reviewed in light of changes to the structure of the Service which will be presented to the Finance and Resources Policy Board in August 2016.

#### **5. Progress against Scorecard**

- 5.1 Full details of the progress against the performance scorecard for the service are included at Appendix 2. The majority of the indicators are within target and show that the service is performing well. Performance is behind target in terms of only one indicator: the number of employees having completed an IDP, which has been impacted by restructure within the service. A new process will be implemented in order to ensure performance against this indicator is improved and the service will work to ensure that all staff have a completed IDP by Autumn 2016.

## Implications of the Report

1. **Financial** - none
2. **HR & Organisational Development** - none
3. **Community Planning –**  
**Children and Young People** – The Chief Executive’s Service will support services and partners to meet the targets set out in the Community Plan.  
**Community Care, Health & Well-being** - The Chief Executive’s Service will support services and partners to meet the targets set out in the Community Plan.  
**Empowering our Communities** - The Chief Executive’s Service will support services and partners to meet the targets set out in the Community Plan.  
**Greener** - The Chief Executive’s Service will support services and partners to meet the targets set out in the Community Plan.  
**Jobs and the Economy** - The Chief Executive’s Service will support services and partners to meet the targets set out in the Community Plan.  
**Safer and Stronger** - The Chief Executive’s Service will support services and partners to meet the targets set out in the Community Plan.
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:** None







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**Author:** Gemma Wilson, 0141 618 5796

## Appendix 1 - Chief Executive's Service Action Plan 2015/16 - 2017/18



Action Status	
	Completed
	In Progress; Assigned
	Overdue

### Service Outcome 01. The Council's vision and priorities are driven and communicated across Renfrewshire


Status	Action Title	Progress Bar	Due Date	Progress on actions
	Develop an integrated communications strategy underpinned by priority specific supporting strategies		31-Dec-2015	A cultural, economic and social regeneration communications strategy is now in place, underpinned by communications strategies for key priorities such as Tackling Poverty, Paisley Regeneration, City Deal and Better Council.
	Maintain partnership structures that drive actions in the Community Plan/Single Outcome Agreement		31-Mar-2018	The Community Planning Partnership Board and Thematic Boards continue to operate effectively and we are still on track to achieve our aspirational outcomes for Renfrewshire.  A Strategic Partnership Agreement with the University of the West of Scotland was approved by the Leadership Board in February 2016. Other agreements with key partners are under development.
	Develop effective monitoring arrangements to assess progress of the Council Plan		31-Mar-2016	From May 2016, monitoring of the progress of the Council Plan Refresh will be reported to CMT and the manager's forum on a quarterly basis.  Progress reports will then be presented to the Leadership Board on a six monthly basis.

Status	Action Title	Progress Bar	Due Date	Progress on actions
	Conduct Public Services Panel surveys to address Council and partner priorities.	<div><div>100%</div></div>	31-Mar-2016	The Council continues to use the Public Services Panel to consult the residents of Renfrewshire on their views of policies and services.
	Co-ordinate and drive the Council's progress in achieving its equality outcomes.	<div><div>50%</div></div>	31-Mar-2017	Statutory reporting on mainstreaming progress, equality outcome progress and equality information was produced and published in line with legislation in April 2015. Agreed that outcomes and performance measures will be refreshed by next reporting period which is due in April 2017.
	Monitor and co-ordinate progress of integrated approach to equality and human rights impact assessment.	<div><div>70%</div></div>	31-Mar-2016 Revised date: 30-Sep-16	Following evaluation of integrated EqHRIA process in 2014, a self assessment on progress was carried out. EqHRIA process will now be replaced with an integrated assessment which includes poverty, following approval of the Tackling Poverty Action Plan by Council in June 2015. New proposals are currently being developed and implementation of these will be supported by the new structure within the Policy and Commissioning Division.



### Service Outcome 02. The causes and impact of poverty on children and their families are reduced

Status	Action Title	Progress Bar	Due Date	Progress on actions
	Work with partners to develop and implement an action plan which will address the recommendations from the Tackling Poverty Commission.	<div><div>40%</div></div>	31-Mar-2018	Following the report of the Tackling Poverty Commission's findings and recommendations in March 2015, a £6 million early investment was made by Council to accelerate the delivery of the recommendations. In June 2015 a CPP Action Plan was approved, and this was followed by a Tackling Poverty Strategy which was approved in September 2015, and sets out Renfrewshire Council's approach to Tackling Poverty in the next 2 years. The Action Plan is currently within its delivery phase, with cross-organisational governance set up, and regular reporting to both Leadership Board and CPP Board.
	Continue to develop targeted communications schedule to support the Welfare Reform programme as part of the Tackling Poverty Communications Strategy.	<div><div>50%</div></div>	31-Mar-2018	The council continues to implement a communications plan for welfare reforms. Briefings on the upcoming welfare changes to local housing allowance, universal credit and tax credits were published Renfrewshire wide to ensure customers and staff are kept updated on changes.








Status	Action Title	Progress Bar	Due Date	Progress on actions
	Continue to drive the Council's policy on Fair Trade and support local campaign groups and schools.	<div><div>100%</div></div>	31-Mar-2016	The Renfrewshire Fairtrade Steering Group has continued to make progress in promoting fair trade across Renfrewshire. Local groups and organisations held numerous events across Fairtrade Fortnight which engaged hundreds of people and there has also been a push to ensure pupils are learning about the issue in our schools. Every school in Renfrewshire was given a Fairtrade football to support this. Attendance at the steering group meetings remains high with some additional new members joining the group recently. Fairtrade Fortnight was a success with a festival ceilidh, speakers night and fairtrade breakfasts all held to engage the Renfrewshire population and raise awareness.

### Service Outcome 03. People are effective, engaged and motivated at work



Status	Action Title	Progress Bar	Due Date	Progress on actions
	Contribute to and support the Organisational Development Strategy.	<div><div>20%</div></div>	31-Mar-2018	Staff continue to attend training sessions in response to training needs. Chief Executive's will be rolling out the new IDPs when launched. A programme for MDPs is also being developed for 2016.
	Develop and maintain the Chief Executive's Health and Safety action plan.	<div><div>60%</div></div>	31-Mar-2016 Revised date: 24-Aug-2016	Chief Executive's Health and Safety action plan for 2016/2017 is being drafted and will be submitted to the Finance and Resources Policy Board in August 2016. Actions included in the report are being progressed and updated on a regular basis.







### Service Outcome 04. The Better Council strategic change programme delivers change and modernisation across services to support preventative spend



Status	Action Title	Progress Bar	Due Date	Progress on actions
	Through the Better Council strategic change programme, provide professional change support for initiatives to reduce organisational complexity,	<div><div>50%</div></div>	31-Mar-2018	The Better Council Change programme continues to be implemented. Phase 1 has now delivered £14.5M of savings.

Status	Action Title	Progress Bar	Due Date	Progress on actions
	enhance customer intelligence, manage demand, develop new service delivery models and create new support models			
	Identify and roll out stage 2 of the Better Council strategic change programme	<div><div>50%</div></div>	31-Mar-2018	Initial savings have been identified for Phase 2 of the programme.
	Increase capacity of Project Management staff to effectively manage programme and risks	<div><div>50%</div></div>	31-Mar-2018	Recruitment has commenced for Programme Managers, Business Change Analysts and Project Officers to support the future programme of work.
	Increase wider capacity and capability across the Council to manage local projects effectively	<div><div>50%</div></div>	31-Mar-2018	The half day introduction to project management courses were successfully delivered by the PMU and uptake was high. The 2 day practitioner course will be prepared in line with the updated PMF. The Better Working toolkit taster sessions proved popular and some teams have requested further tailored sessions.
	Develop an internal communications strategy	<div><div>100%</div></div>	30-Sep-2015	An internal communications strategy was presented to the corporate management team on 3 November 2015 and will be actively implemented in 2016/17.




### Service Outcome 05. The Council is performing well and improving



Status	Action Title	Progress Bar	Due Date	Progress on actions
	Provide the CMT and relevant Policy Boards with performance reports on the Council's priorities	<div><div>100%</div></div>	31-Mar-2016	During 2015/16, spotlight reports were introduced to further strengthen the Council's monitoring of priorities on the key corporate areas e.g. city deal, city of culture every quarter for the CMT. The CMT and relevant Policy Boards continue to receive operational performance reports and the annual Local Government Benchmarking Framework benchmarking report.
	Ensure that all Services undertake suitable benchmarking activity to facilitate improved performance and working practices, as part of the Local Government Benchmarking Framework	<div><div>100%</div></div>	31-Mar-2016	Staff across the Council have participated in the following Local Government Benchmarking Framework meetings: Looked after Children, Council Tax, Waste Management, HR, Museums, Street Cleaning and Equalities. These meetings have provided an opportunity to discuss the data in detail,







Status	Action Title	Progress Bar	Due Date	Progress on actions
				understand variances and learn from best practice with Scottish Authorities.
	Ensure a robust Service Planning process across all services	<div><div>100%</div></div>	31-Mar-2016	Services continue to report progress on their Service Improvement Plans on a 6 monthly basis to Board. All services submitted service improvement plans to relevant policy boards in March 2016.
	Ensure all services are monitoring and implementing PSIF Improvement Plans from Cycle 2	<div><div>100%</div></div>	31-Mar-2016	All services that took part in the PSIF assessment sessions for cycle 2 have developed and submitted their improvement plans and are currently monitoring them. The overall PSIF results for Cycle 2 have been evaluated and presented to the CMT.
	Deliver on Audit Scotland's Statutory Performance Indicator Direction and fulfil our statutory duties	<div><div>100%</div></div>	30-Sep-2016	The Council met the Audit requirements submission date of collecting the Statutory Performance Indicators and publishing the data by the 31st March 2016, as stated in Audit Scotland's Direction.
	Contribute to the Council's code of corporate governance, and ensure that it is consistent with national guidance	<div><div>100%</div></div>	31-Mar-2016	The annual review of compliance with the Local Code of Corporate Governance took place in March 2016 and a report on how the Council had sufficient evidence to meet the code was presented to Audit, Scrutiny & Petitions Board on the 25th April.  As part of this process Internal Audit also carry out a review on a sample check of evidence to test if the Council is meeting the code, their findings were that we comply with the CEPFA Code.
	Improve and maintain detailed data about the demographic and health profile of the communities of Renfrewshire as well as businesses, industry, transport infrastructure and the economic profile of Renfrewshire.	<div><div>10%</div></div>	31-Mar-2018	This work is being progressed by the Data and Analytics Team within the Chief Executive's Service.
	Make thorough use of data, especially SIMD, to inform policy and strategy development and inform decisions that improve outcomes.	<div><div>50%</div></div>	31-Mar-2018	Restructure of Policy and Commissioning Service is ongoing. A new Data Analytics & Research Team manager has been appointed who will oversee this work.  A new 2016 SIMD is expected to be published in August 2016. It's expected that when the new SIMD is released a number of analysis reports based on areas within and Renfrewshire as a whole will be undertaken.

Status	Action Title	Progress Bar	Due Date	Progress on actions
	Develop and implement an open data strategy for the Council	<div><div>50%</div></div>	31-Mar-2017	Approval to move forward with the initial open data strategy has been given by the Corporate Management Team, Community Planning Partnership Board and Finance & Resources Policy Board. An Open Data 'Enlightenment' event was conducted on the 29th Jan 2016 to introduce partners to open data and encourage them to be part of Renfrewshire's open data strategy and vision. It is proposed that an open data advocates network consisting of representatives from council service areas and partners like the University of the West of Scotland, West College Scotland and other interested partners will be established soon to push forward with the initial open data strategy.
	Ensure all risk management arrangements are implemented and maintained.	<div><div>100%</div></div>	31-Mar-2016	The Service continues to attend the corporate risk meetings and reviews its risks on a quarterly basis with the next risk report being reported to Board in May 2016.

## Appendix 2 – Chief Executive's Service Performance Indicators Report 2014 2017

PI Status	
	OK
	Overdue
	Unknown

PI Code & Short Name	Data on target	2013/14		2014/15		2015/16		Explanation of Performance
		Value	Target	Value	Target	Value	Target	
CE08 % of FOI requests in a quarter completed within timescale in the Chief Executive's Department		100%	100%	100%	100%	100%	100%	FOI requests continue to be responded to within timescales.
CE119 % of Chief Executive's employees trained in equalities legislation		100%	100%	100%	100%	100%	100%	
CE120b % of PSIF improvement actions completed (cycle 2 –cumulative)		92%	90%	20%	25%	25%	40%	A PSIF improvement plan is in place for 23 service areas, for cycle 2 of the Council's PSIF programme. Services are monitoring progress against these actions. Progress has stagnated on a few areas of improvement due to the other

PI Code & Short Name	Data on target	2013/14		2014/15		2015/16		Explanation of Performance
		Value	Target	Value	Target	Value	Target	
								service priorities, change programme activity and staffing changes.
CE138 Number of followers on social media (twitter)		9,570	7,900	11,900	10,000	15,100	11,000	The twitter site continues to grow and is being used more frequently as a communications channel for all services.
CE151 Percentage of responses received for the Public Services Panel		49%	49%	64%	60%	54%	65%	The response rate for the Spring/Summer 2015 survey was 54% and the response rate for the Winter 2015 survey was 53%.
CE163 Number of website visits		1,432,982	1,400,000	1,642,259	1,600,000	1,619,225	1,800,000	The development of a new website with improved transactional capability should see website visits increase again.
CEABS01dii Average number of work days lost through sickness absence per employee (Chief Executive's) (FTE)		1.6	2	2.13	2		2	Sickness absence continues to be monitored.
CEPERSOD09 % of CE employees having completed IDPs (from MDP/MTIPD)		100%	100%	62%	100%	65%	100%	An improvement plan is in place to ensure all Chief Executive staff will have a completed IDP by 30 <sup>th</sup> September 2016.
FCSCRECE01f % of invoices paid within 30 days by the Chief Executive's Service		98.75%		100%	90.5%	99.48%		Performance has slipped slightly. Work will continue to ensure that performance

PI Code & Short Name	Data on target	2013/14		2014/15		2015/16		Explanation of Performance
		Value	Target	Value	Target	Value	Target	
								improves in this area.








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**To:** Finance and Resources Policy Board

**On:** 18 May 2016

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

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**Heading:** Finance & Resources Risk Management Plan, April 2016

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**1. Summary**

- 1.1 In keeping with 'Risk Matters', the council's combined risk management policy and strategy, the service risk management plan is refreshed on an annual basis and presented to the Board for approval each year.
- 1.2 This paper presents the Finance & Resources Risk Management Plan from April 2016 (Appendix 1) to the Board for approval.
- 

**2. Recommendations**

- 2.1 It is recommended that the Board approves the service risk management plan, April 2016.
- 

**3. Background**

- 3.1 The business and social environment that the Finance and Resources service operates within and provides services to continues to be a challenging and dynamic one and the proposed service risk management plan going forward from April 2016 reflects the key operational risks to be managed in line with the services key priorities and challenges.
- 3.2 The service actively promotes good and sensible risk management practice. In doing so the service aims to deliver high quality services for all service users, achieve high standards of performance, make the most of opportunity, and provide a safe environment for those it employs, contracts or partners with in providing a wide range of services.

- 3.3 Good risk management is about seeking to prevent harm or loss, seeking to ensure the right things happen and that 'risk-aware' not 'risk-averse' decisions are made in all aspects of council services.
- 3.4 The process to identify key risks seeks to focus on the significant challenges and uncertainties that may impact on the service's ability to deliver its key priorities and the risks identified are aligned to the Finance and Resources Service Improvement Plan which reflects the council's priorities.
- 3.5 The resulting service risk management plan is used to record, monitor and review the management of the key risks.
- 3.6 Risks have been evaluated using the council's standard risk matrix (final appendix) and involves multiplying the likelihood of occurrence of a risk by its potential impact. This produces an evaluation of risk as either 'low', 'moderate', 'high' or 'very high.' High/ very high risks are viewed as significant. The profile of the service's operational risk going forward from April 2016 (in addition to the service's responsibilities within the corporate risk register) is shown in the table below:

<b>Evaluation:</b>	<b>Low</b>	<b>Moderate</b>	<b>High</b>	<b>Very High</b>	<b>Total</b>
<b>No. of Risks:</b>	<b>0</b>	<b>05</b>	<b>08</b>	<b>01</b>	<b>14</b>

- 3.7 In preparing this paper for the Board, the Senior Management Team considers that the proposed service risk management plan suitably reflects the service's risk management focus for the forthcoming year, and in appraising the risks the following are perceived to be the 'top five' for the service:

<b>TOP 5 Risk/Opportunity Risk Areas</b>	<b>Likelihood</b>	<b>Impact</b>	<b>Score</b>	<b>Evaluation</b>
1) Financial Sustainability	04	05	20	Very High
2) Enterprise Resource Planning	03	04	12	High
3) Delivery of OD Strategy	03	04	12	High
4) Delivery of new ICT model	03	04	12	High
5) Sustaining and improving Customer & Business Services	03	04	12	High

- 3.9 In relation to individual risks recorded, the Senior Management Team believes that appropriate control measures are in place to prevent and/ or mitigate adverse effects and that further planned action is appropriate to the level of risk. Where no new actions are defined for any particular risk, this is indicative of a level of confidence in the current control measures in place and a consequent decision to tolerate the risk at this time.
- 3.10 Robust monitoring arrangements are in place to track the progress of planned actions. It should be noted that actions prefixed by "FRR" exist only for the benefit of reducing or containing the service risks, whereas actions prefixed by FRSIP reflect improvement activities that lie within the service improvement plan that have been linked through to the risk management plan for completeness where they have a knock on benefit to the related risk.

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## Implications of the Report

### 1. **Financial**

Recurring costs associated with the measures in place for each risk are considered proportionate to the level of risk, and new planned actions are also considered to be cost effective.

The financial requirements to support the service risk management plan should be met within the budget of each risk owner, nevertheless, any unplanned and unbudgeted cost pressures that arise in relation to any of the risks identified will be subject to review in consultation with the Chief Executive and the Director of Finance and Resources.

### 2. **HR & Organisational Development**

Any risks relating to HR and Organisational Development issues are reflected within Appendix 1.

### 3. **Community Planning**

**Children and Young People**  
**Community Care, Health & Well-being**  
**Empowering our Communities**  
**Greener**  
**Jobs and the Economy**  
**Safer and Stronger**

Any risks relating to the Community Planning themes are reflected within Appendix 1.

### 4. **Legal**

Any risks that may have legal implications are reflected within Appendix 1.

### 5. **Property/Assets**

Any property-related risks are reflected within Appendix 1.

### 6. **Information Technology**

Any risks relating to ICT are reflected within Appendix 1.

### 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**  
Any risks relating to health, safety and wellbeing are reflected within Appendix 1.
9. **Procurement**  
Any risks relating to procurement are reflected within Appendix 1.
10. **Risk**  
For member assurance, all Heads of Service have been consulted to ensure that the relevant risks have been identified.
- The risk scores are believed to be as realistic as possible taking account of the type of risks recorded and the effectiveness of the measures in place to manage them.
- The risk profile shows there are significant risks being managed by the service however for assurance, the senior management team believe that this risk can be managed and contained (in relation to the council's risk capacity and tolerance).
- Although the risks require close monitoring and scrutiny throughout the year, some are longer term risks that are likely to be a feature of the service risk management plan beyond this year.
11. **Privacy Impact**  
Any risks relating to privacy matters are reflected within Appendix 1
- 

### **List of Background Papers**

(a) Background Paper 1: Service risk management plan 2015/16

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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# Finance & Resources Risk Management Plan

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April 2016

Document Title:	Finance & Resources Risk Management Plan 2016			1
Service:	N/A	Lead Author	Risk Manager on behalf of the Director of F&R	
Date Effective:	18/05/2016	Review Dates:	6-monthly by to 31/03/2017	

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Document Title:	Finance & Resources Risk Management Plan 2016			2
Service:	N/A	Lead Author	Risk Manager on behalf of the Director of F&R	
Date Effective:	18/05/2016	Review Dates:	6-monthly by to 31/03/2017	

## 1. Risk management arrangements within Finance and Resources

- 1.1 During 2015/16, the Service has continued to implement a range of standard procedures in keeping with the council's risk management strategy, "Risk Matters." This includes using the agreed risk management process and the standardised risk matrix for analysis and evaluation of risk within the service.
- 1.2 The service's nominated risk management representative on the Corporate Risk Management Group (CRMG) is the Senior Finance Manager, however it should also be noted that a number of other officers from within the service are members of the CRMG in their professional capacity as technical experts (Audit, Risk & Insurance, Health & Safety and Information Governance officers).
- 1.3 The Service Risk Management Plan is developed in consultation with the Heads of Service and agreed by the SMT. The Plan is submitted to the Finance and Resources Policy Board for approval and a mid year report on progress is provided around November each year.

## 2. Report on service's contribution to relevant strategic risk management objectives

- 2.1. The Service continues to support the council's strategic risk management objectives, these being:
- (1) Leadership and management: We ensure our Director and Senior Managers fully support and promote risk management within their areas of responsibility
  - (2) Policy and strategy: We implement the policy and strategy within the service and through the CRMG provide feedback on any future revisions.
  - (3) People: We help ensure that our people are equipped and supported to manage risk well. Delegates from our service attend the Risk Management training days that are run by the council's Risk Manager every six months.
  - (4) Partnerships and resources: We help ensure that the organisation has effective arrangements in place for managing risks in partnerships. Our Risk Manager was very much involved in supporting the new Health and Social Care Partnership to establish its risk management arrangements.
  - (5) Processes: We help ensure that the risk management processes are effective in supporting the business activities of the service. We take account of risks during the budget planning processes and our service improvement plan links through to our risk register.
  - (6) Risk handling and assurance: We help ensure that risks are handled well and that the organisation has assurance that risk management is delivering successful outcomes and supporting innovation. Projects that we lead on always have risk registers to help us actively identify and monitor risk to the successful conclusion of the project.
  - (7) Outcomes and delivery: Ensuring that risk management does contribute to achieving positive outcomes for the organisation

## 3. Report on previous year's Risk Management Plan

- 3.1. In recent years the former Finance and Corporate services did not have a specific risk management plan since this had been seen as a duplication of reporting to the Board due to a very high volume of risks on the Corporate Risk Register being the responsibility of the service department to lead on.
- 3.2. Given the above, the service cannot therefore report on this particular section at this time, but will do so in future years. With substantial organisation change taking place over the past 18 months and with the appointment of new heads of service and the transfer of services between service departments there is not so much duplication with the Corporate Risk Register and so it is now important that Finance and Resources re-establishes the service risk management plan.

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#### 4. Current business context for Finance and Resources

4.1. This section closely reflects the council's service improvement plan and has been developed in consultation with Senior Officers within Finance and Resources in relation to the services we are responsible for:

- Supporting the delivery of Council Plan and Community Plan outcomes for Renfrewshire with other services and partners
- Engaging with Strategic Partners and Delivering Organisational Change
- Corporate Governance, Advice and Support
- Advising on Strategic Direction and Influencing National Policy Changes
- Providing Professional Transactional and Advisory Services to Customers
- Providing a range of services directly to the public and local businesses
- Administration and promotion of the election process

4.2. From the priorities set out in the Service Improvement Plan and an appraisal of our **external business environment** we would identify the following as key challenges:

▪ <b>Political</b>	▪ Administering the Scottish Parliamentary and Local Government Elections and the EU Referendum
▪ <b>Economical</b>	<ul style="list-style-type: none"> <li>▪ Maintaining the financial stability of the Council</li> <li>▪ Enabling transformational investment through the Glasgow &amp; Clyde Valley City Deal</li> <li>▪ Progressing the Council's strategic capital investment programme</li> </ul>
▪ <b>Social</b>	<ul style="list-style-type: none"> <li>▪ Targeting spend in ways which will have the greatest impact to tackle poverty</li> <li>▪ Implementing and supporting our citizens through major welfare reform changes</li> </ul>
▪ <b>Technological</b>	<ul style="list-style-type: none"> <li>▪ Delivery of the new ICT operating model</li> <li>▪ Developing and delivering Customer Access strategies</li> </ul>
▪ <b>Legislative</b>	<ul style="list-style-type: none"> <li>▪ Delivering Central and Scottish Government legislative change/ priorities that will impact on resources - Welfare Reform and increased Child Care hours are two examples</li> <li>▪ Supporting the implementation of Children and Young People's Act</li> <li>▪ Preparing for the enactment of the Limitation (Childhood Abuse) (Scotland) Bill, and potential financial implications</li> </ul>
▪ <b>Environmental</b>	<ul style="list-style-type: none"> <li>▪ Strategically managing the Council's property portfolio</li> <li>▪ Enabling opportunities to maximise energy and carbon management</li> </ul>

4.3. From the information available to us within our **internal business environment**, (such as circumstances that may impact on our priorities, trends from customer feedback surveys, claims, complaints, accidents, or from audit feedback or feedback from technical specialists), we would identify the following as key challenges:

<b>Service-wide</b>	<ul style="list-style-type: none"> <li>▪ Introduction of the ERP system - project management and cultural change</li> <li>▪ Procurement matters: ensuring compliance across all teams, meeting timescales and managing relationships with suppliers, particularly in the final year of contracts that will/ may not be renewed</li> <li>▪ Corporate projects: maintaining service delivery as key staff focus on wider corporate projects</li> </ul>
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Service:	N/A	Lead Author	Risk Manager on behalf of the Director of F&R	
Date Effective:	18/05/2016	Review Dates:	6-monthly by to 31/03/2017	



	<ul style="list-style-type: none"> <li>▪ Fraud: the service is mindful of activities that could be open to potential fraud. If these activities are not sufficiently scrutinised there could be financial and reputational impacts to the council</li> </ul>
<b>Corporate Governance</b>	<ul style="list-style-type: none"> <li>▪ Management of elections – also referred to in 4.2 above</li> </ul>
<b>Customer and Business Services</b>	<ul style="list-style-type: none"> <li>▪ Sustaining and improving Customer &amp; Business Services - requires all services to change how they work and move to less resource intensive processes.</li> <li>▪ Digital transformation - being able to provide services online that our customers will use and in order to facilitate a move away from using telephone / face to face contact (as per corporate risk register)</li> </ul>
<b>Finance</b>	<ul style="list-style-type: none"> <li>▪ Financial sustainability – also referred to in 4.2 above</li> </ul>
<b>HR and Organisational Development</b>	<ul style="list-style-type: none"> <li>▪ Workforce development: The achievement of our main priorities is dependent on the enthusiasm, skill and commitment of our workforce. We will require to continue to develop our employees to ensure that we retain a skilled, motivated and confident workforce which is both equipped to tackle the challenges ahead and able to deliver improved outcomes for our citizens</li> <li>▪ Recruitment and retention challenges where temporary contracts continue to be used employees perceive there is not longevity in their role</li> <li>▪ Induction: a review of induction procedures (both corporate and local) is required to ensure people that are new to the organisation, or who are moving into new positions internally, are aware/ reminded of key messages, information and expectations</li> </ul>
<b>ICT services</b>	<ul style="list-style-type: none"> <li>▪ New ICT operating model: The new model will quickly elicit demand from services. ICT will need to be in a position to meet these challenges if it is to establish credibility and meet expectations</li> <li>▪ Costly decisions may be made in relation to investment in technology through lack of engagement with the new ICT operating model</li> </ul>
<b>Internal Audit Services</b>	<ul style="list-style-type: none"> <li>▪ Counter fraud: we need to support all service departments to identify potential fraud and make appropriate referrals to the new Corporate Counter Fraud Team otherwise we may not maximise the desired outcomes of the counter fraud business plan</li> </ul>
<b>Property Services</b>	<ul style="list-style-type: none"> <li>▪ Asset management: the asset management strategy must be comprehensive, prioritised and aligned to the council's objectives otherwise there could be increased maintenance costs and difficulty in demonstrating best value in the disposal or transfer of assets. (As per financial sustainability risk on corporate risk register)</li> <li>▪ If quality information in relation to insurance reinstatement values is not regularly made available and reviewed there is a risk that assets will be underinsured with a shortfall in proceeds from insurance claims</li> </ul>

- 4.4. On the basis of the above review of the business context for the Service, the Senior Management Team has identified where there are key risks (section 5), to be recorded within its risk register for 2016/17.

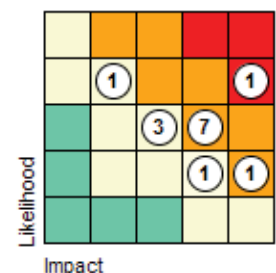
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Date Effective:	18/05/2016	Review Dates:	6-monthly by to 31/03/2017	

## 5. The service risk profile and top risks going forward from April 2016

- 5.1. The detailed service risk management plan from April 2016 (which includes corporate risks for which the service is lead or joint lead), is provided in the attached appendix. The risks are aligned to the themes of the council's business plan, "A Better Future, A Better Council" and the service improvement plan.
- 5.2. By way of summarising the information contained within the detailed service risk management plan, the remainder of this section provides:
- Table 5.2.1: the risk profile in terms of low, moderate, high and very high risks
  - Table 5.2.2: all risk areas ranked in descending order of significance;
  - Table 5.2.3: the TOP 5 risks with a brief narrative overview.
  - Table 5.2.4: an overview of how risks relate to the themes of the Council Plan.

**Table 5.2.1: Service Risk Profile**

Evaluation:	Low	Moderate	High	Very High	Total
No. of Risks:	0	05	08	1	14



**Table 5.2.2: Service risk areas in order of significance**

Risk areas	Likelihood	Impact	Score	Evaluation
1) Financial Sustainability	04	05	20	Very High
2) Enterprise Resource Planning	03	04	12	High
3) Delivery of Organisational Development Strategy	03	04	12	High
4) Delivery of new ICT operating model	03	04	12	High
5) Sustaining and improving Customer & Business Services	03	04	12	High
6) Serious Organised Crime, Insider Threat and Corporate Fraud	03	04	12	High
7) Information and Records	03	04	12	High
8) Induction procedures	03	04	12	High
9) Management of elections	02	05	10	High
10) Service fraud prevention	03	03	9	Moderate
11) Insurance Cover	03	03	9	Moderate
12) Procurement compliance, timescales & supplier management	03	03	9	Moderate
13) Return on ICT investment	02	04	8	Moderate
14) Corporate projects - capacity	04	02	8	Moderate

**For noting**, in addition to the above, the following are other corporate risks where the service has input to how the risks are being managed, and these include:

- Organisational Resilience
- Climate change, sustainability and adaptability
- Tackling Poverty
- Facilities & Environmental Infrastructure
- Digital Inclusion

Document Title:	Finance & Resources Risk Management Plan 2016			6
Service:	N/A	Lead Author	Risk Manager on behalf of the Director of F&R	
Date Effective:	18/05/2016	Review Dates:	6-monthly by to 31/03/2017	

**Table 5.2.3: TOP 5 Service Risks**

Title	Score	Risk	Overview
Financial Sustainability	20	If significant cost pressures and reducing available resources are not successfully planned for and managed effectively over the medium to longer term, there is a serious risk of unplanned/ reactive budget realignments that could jeopardise the financial stability of the council with significant impact on availability and quality of front-line services and capital resource	On 3 March 2016 the Council approved the 2016/17 Revenue Budget and Council Tax which confirmed a balanced budget position for 2016/17. The Council has continued to take a number of decisions as part of the ongoing Better Council Change Programme and Debt Smoothing Strategy which support the release of savings over the period 2016/17 – 2017/18 and there is an expectation of a budget gap of up to £6 million or beyond remaining over the two year period to 2017/18, subject to further decisions taken by members.
Enterprise Resource Planning	12	The introduction of the new ERP system will require the redesign of a number of key internal processes. If not carefully managed there is a risk of operational challenges during implementation, service disruption and an inability to maximise the full range of anticipated benefits.	Introducing a new Enterprise Resource Planning system will deliver more efficient strategic planning, service commissioning, financial management, property management, information technology, human resources and business support services for our internal customers. A change in culture will be a key success factor in maximising implementation of the system.
Delivery of OD Strategy	12	The delivery of the OD strategy is essential to ensuring that the workforce remains engaged, motivated, skilled, and supported during a period of significant change, otherwise there is a risk that the council and the service will not have the right skills mix with impact on service provision.	In December 2015, the Council approved a new Organisational Development Strategy (OD) 2016-19. The strategy focuses on 3 immediate priority areas to support the development of the workforce and deliver on key outcomes.  Key priority 1 - Workforce Planning Strategy Key priority 2 - People Development Key priority 3 - Performance Appraisal  A project implementation plan to deliver the key priorities of the Organisational Development strategy is in development.
Delivery of new ICT model	12	With challenges around capacity, there is a risk that ICT services may not be able to meet demand and customer expectations linked to the new ICT operating model	The establishment of the Partnering & Commissioning function creates an effective interface between the business and ICT provision keeping strategic decision making close to the organisation and always aligned with the Council's objectives whilst pushing out the day to day operational activities to 'world class' expert suppliers. The new ICT model will support the objective of adopting a commoditised approach to ICT.
Sustaining and improving Customer & Business Services	12	With challenges around capacity and demand for Customer & Business Services (CBS) there is a risk that Customer & Business Services may not be able to deliver improved services and agreed service standards	Key context here is the size and complexity of Customer & Business Services and that that all services will need to change how they work and move to less resource intensive processes.

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**Table 5.2.4: Relationship with the council's business plan**

1: A Better Future: PLACE		
03 Protecting the Public	FR.RR16.03.01 Serious Organised Crime, Insider Threat and Corporate Fraud	<u>Context:</u> (1) Serious and Organised Crime is a threat to national security (2) It costs the UK more than £24 billion a year (3) The council needs to protect its citizens and its business resources (4) Council Integrity Group established to look at Serious and Organised Crime, Fraud and Insider Threat (5) Tenancy fraud pilot undertaken to test fraud and recoveries in one area of business (6) Proposal agreed to establish a counter fraud team
3: A Better Council		
09 Supporting our Employees	FR.RR16.09.02 Delivery of Organisational Development Strategy	<u>Context:</u> (1) The achievement of our main priorities is dependent on the enthusiasm, skill and commitment of our workforce (2) Where temporary contracts continue to be used employees may perceive there is no longevity in their role impacting on ability to recruit and retain key knowledge and skills
	FR.RR16.09.03 Induction procedures	<u>Context:</u> (1) Corporate and Local Induction is mandatory (2) A review is required to ascertain levels of compliance
10 Continuing to be a Well Run Council	FR.RR16.10.04 Financial Sustainability	<u>Context:</u> Due to effective financial planning, the council is well placed to address the financial challenges forecast over the shorter term, however there are significant and rising pressures forecast from 2016/17 onwards. Consequently the risk remains very high and continues to be subject to significant and regular scrutiny.
	FR.RR16.10.05 Enterprise Resource Planning (transition and implementation)	<u>Context:</u> (1) Introducing a new Enterprise Resource Planning system that will deliver more efficient strategic planning, service commissioning, financial management, property management, information technology, human resources and business support services for our internal customers (2) Cultural change is key to successful implementation and delivery of benefits
	FR.RR16.10.06 Delivery of new ICT operating model	<u>Context:</u> (1) Capacity to meet demand and expectations linked to new ICT operating model (2) Disaster Recovery arrangements
	FR.RR16.10.07 Sustaining and improving Customer & Business Services	<u>Context:</u> (1) All areas of the council are reliant on CBS (2) Capacity to meet demand linked to recruitment and retention of staff and structured review of work practices across all services (3) Culture change is key to the sustainability of provision (4) CBS restoration plans in place
	FR.RR16.10.08 Information and Records	<u>Context:</u> The council has well established and embedded information governance arrangements. There is scope however to further improve on aspects of how the council manages information. Additionally the council has a Records Management Plan, approved by the Keeper of Scotland and this will require full implementation within 5 years.
	FR.RR16.10.09 Management of elections	<u>Context:</u> (1) Scottish Parliamentary Elections and European Referendum (2) Being cognisant of changing legislation, processes and use of e-counting systems. (De-escalated from corporate risk register, April 2016)
	FR.RR16.10.10 Service fraud prevention	<u>Context:</u> (1) Council Integrity Group established to look at Serious and Organised Crime, Fraud and Insider Threat (2) All service departments have been tasked with scrutinising arrangements for fraud prevention within their areas of responsibility
	FR.RR16.10.11 Insurance Cover	<u>Context:</u> (1) Long tail industrial related disease (2) The Limitation (Childhood Abuse) (Scotland) Bill and the removal of the three year limitation period on abuse claims (3) Review of all property reinstatement valuations
	FR.RR16.10.12 Procurement – compliance, timescales & supplier management	<u>Context:</u> (1) Compliance with EU procurement rules and timescales, and Council Standing Orders (2) Risk of supplier challenge and subsequent delays impacting service provision (3) Managing relationships in final year, where contracts may not be renewed

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	FR.RR16.10.13 Return on ICT investment	<u>Context:</u> (1) Services making ICT related decisions in isolation.
	FR.RR16.10.14 Corporate projects - capacity	<u>Context:</u> (1) ERP (2) Better Council Programme, etc...

- 1.1 The risk treatment activity planned for 2016 and beyond is shown within the service risk management plan in the appendix that follows. This activity (proportionate to the level of each risk) will further contribute to either the prevention of the risk occurring, where possible, or mitigating their potential effects. Where there are no actions linked to a risk this indicates that the risk is being managed as 'business as usual' taking account of the control measures currently in place.
- 1.2 The service risk management plan continues to underpin the key priorities of the council's Annual Strategic Audit Plan. Actions relating to planned audits for 2016/17 have been aligned to the relevant corporate or service risks in the appendix. Any improvement actions arising from 2015/16 internal audit work will continue to be integrated into the risk register as audit reports are finalised.
- 1.3 A midyear progress report on the service risk management plan will be reported in due course to the Finance and Resources Policy Board. Information on specific significant risks will be reported by the Senior Management Team to the Corporate Risk Management Group on an exceptional basis and where also appropriate to the Corporate Management Team.

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# Service risk management plan Appendix

Priority 1: A Better Future - PLACE Objective 03 Protecting the Public						
Context	Risk Statement	Owned by	Current Risk Control Measures	Likelihood	Impact	Evaluation
FR.RR16.03.01 Serious Organised Crime, Insider Threat and Corporate Fraud  Context: (1) Serious and Organised Crime is a threat to national security (2) It costs the UK more than £24 billion a year (3) The council needs to protect its citizens and its business resources (4) Council Integrity Group established to look at Serious and Organised Crime, Fraud and Insider Threat (5) Tenancy fraud pilot undertaken to test fraud and recoveries in one area of business (6) Proposal agreed to establish a counter fraud team	The council implements a range of measures to prevent and detect serious organised crime and corporate fraud. Should measures not implemented and monitored effectively there would be increased threat to resources and security of information.	Director of Community Resources; Director of Finance & Resources	<b>Top 5 controls</b> * Council Integrity Group established to look at the arrangements for managing this risk * New Corporate Counter Fraud Team (CCFT) established within Finance & Resources * Corporate Counter Fraud Business Plan developed 2016-18 * Process in place for all service departments to report any potential misuse of council resources to the CCFT * Other fraud specific controls are not detailed within the public domain	03	04	12 High
Action Codes	Linked Actions	Assigned To				
CRR16.03.05a	New cyber security role to be integrated into the work of the Integrity Group	Head of Public Protection	30-Sep-2016	Status		
CRR16.03.05b	Insurer audit of cyber security arrangements to be integrated into the work of the Integrity Group	Head of Public Protection	30-Nov-2016			
CRR16.03.05c	Internal Audit to review recruitment vetting arrangements	Chief Auditor	30-Jun-2017			
CRR16.03.05d	Internal Audit to review counter fraud and corruption policies and procedures	Chief Auditor	30-Jun-2017			
CRR16.03.05e	Internal Audit to review prevention and detection of fraud and corruption across all services	Chief Auditor	30-Jun-2017			

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**Priority 3: A Better Council  
Objective 09 Supporting our Employees**

Context	Risk Statement	Owned by	Current Risk Control Measures	Likelihood	Impact	Evaluation
FR.RR16.09.02 Delivery of Organisational Development Strategy  Context: (1) The achievement of our main priorities is dependent on the enthusiasm, skill and commitment of our workforce (2) Where temporary contracts continue to be used employees may perceive there is no longevity in their role impacting on ability to recruit and retain key knowledge and skills	The delivery of the OD strategy is essential to ensuring that the workforce remains engaged, motivated, skilled, and supported during a period of significant change, otherwise there is a risk that the council and the service will not have the right skills mix with impact on service provision.	Director of Finance & Resources	<b>Top 5 controls:</b> *A Workforce Planning Manager and Organisational Development Manager have been appointed on a temporary contract of employment for two years to implement the Organisational Development Strategy. *Regular progress reports for the Organisational Development Strategy are scheduled to be submitted to the CMT and Council *The HR & OD service is currently under review with the aim of creating a core service model that supports the direction of travel for the Council's workforce and is streamlined and aligned to the key priorities in OD strategy. *Regular one to one meetings take place between the Head of HR and Directors to embed a more effective Council wide approach and understanding of workforce planning. *A project implementation plan to deliver the key priorities of the Organisational Development strategy is in development. *The implementation of ERP in 2017 will provide services with real time reliable data to support the priorities of the Organisational Development Strategy.	03	04	12 High
Action Codes	Linked Actions	Assigned To	Due Date	Status		
F&R SIP Action Plan 2016-19.	Implement the Organisational Development Strategy, with a focus on three key priorities. Key Priority 1 – Workforce planning strategy Key Priority 2 – People development Key Priority 3 – Performance appraisal	Head of HR, OD and Workforce Strategy, HR Manager, Principal HR & OD Advisers	31-Mar-2019			
	Review HR policy & guidance to support our people going through future workplace change	Head of HR, OD and Workforce Strategy, HR Manager, Principal HR & OD Advisers	31-Mar-2017			
	Undertaking targeted people surveys to inform and support the direction of travel with OD interventions and cultural change.	Head of HR, OD and Workforce Strategy, HR Manager, Principal HR & OD Advisers	31-Mar-2017			
	Designing and implementing an approach to succession planning.	Head of HR, OD and Workforce Strategy, HR Manager, Principal HR & OD Advisers	31-Mar-2018			
	Designing and implementing an approach to talent management.	Head of HR, OD and Workforce Strategy, HR Manager, Principal HR & OD Advisers	31-Mar-2019			


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Context	Risk Statement	Owned by	Current Risk Control Measures	Likelihood	Impact	Evaluation
FR.RR16.09.03 Induction procedures  Context: (1) Corporate and Local Induction is mandatory (2) A review is required to ascertain levels of compliance	If people who are new to the service, or who are moving into new positions internally, are not aware/ reminded of key messages, information and expectations, then there is a risk of harm to individuals and breach of council policies and procedures	Director of Finance & Resources	<b>Top 5 controls:</b> * A Corporate Induction Programme is available for all new and existing Council employees on I'learn. A review of the programme content and accessibility will take place throughout 2016. * Local induction processes are in place across services; however these will be reviewed in line with the Corporate Induction Programme review and Recruitment procedures. * Implementation of ERP in 2017 will allow services to record both corporate and local inductions have been carried out. * Communications will be more frequent to the workforce reminding them of the importance of undertaking inductions. * Audits on the process and participation will be planned in following the reviews.	03	04	12 High
Action Codes	Linked Actions					
FR.RR16.nna	Review induction procedures (both corporate and local) to check compliance and take forward any improvements required		Assigned To	Due Date	Status	
			Head of HR & Organisational Development	31-Mar-2017		





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**Priority 3: A Better Council**  
**Objective 10 Continuing to be a Well Run Council**

Context	Risk Statement	Owned by	Current Risk Control Measures	Likelihood	Impact	Evaluation
FR.RR16.10.04 Financial Sustainability  Context: Due to effective financial planning, the council is well placed to address the financial challenges forecast over the shorter term, however there are significant and rising pressures forecast from 2016/17 onwards. Consequently the risk remains very high and continues to be subject to significant and regular scrutiny.  Ongoing challenges include: (1) Demand/ changing demographics (2) Reduction in resources available to deliver services (3) New 'Self Directed Support' agenda requires the council to make funds available to clients with no guarantee that they will use council services (4) Financial/ efficiency savings, inflation rates and reduced income from asset sales (5) Workforce/ Rising employee and pension costs, meeting increased demand with reduced workforce (6) Investment/ for roads, schools, housing stock to support existing services and economic growth. (7) Maintaining assets/ backlog maintenance and repair for the estate (8) Environmental/ uncertain energy and fuel costs, emission reduction targets (9) Potential financial impact of the extension of Universal Credit (10) Potential financial impact of the fiscal frame work underpinning the Scotland Bill (11) Potential financial impact arising from the Integration of Health and Social Care Services in Renfrewshire	If significant cost pressures and reducing available resources are not successfully planned for and managed effectively over the medium to longer term, there is a serious risk of unplanned/ reactive budget realignments that could jeopardise the financial stability of the council with significant impact on availability and quality of front-line services and capital resource	Director of Finance & Resources	<b>Top 5 controls:</b> <ul style="list-style-type: none"><li>• Council approved Medium Term Financial Strategy including key planning principles with regards use of reserves, addressing costs growth, investment in early intervention and preventative spend areas and the use of capital receipts.</li><li>• Well developed budget planning, budget setting and budget monitoring arrangements at both officer and member level; clear decision making and escalation process in place with regards budget management; improving budget reporting to both officer groups and Policy Boards</li><li>• As part of medium term financial planning arrangements there is continuous development of saving workstreams to ensure that the Council has an appropriate range of projects underway which will provide a sufficient scope and depth of saving options for elected members as part of delivering a balanced budget year on year. There is also close monitoring of agreed savings to ensure risk of double counting is minimised</li><li>• Regular updates provided to CMT and Council with regards the national fiscal position, likely developments and the impact on the council through close liaison with national groups and the Scottish Government</li><li>• Well developed debt strategy which ensures over the medium term the Council's current and future debt levels are prudent and sustainable in the context of reducing resources and also that maximum opportunity for recurring savings are taken advantage of as part of examining the profile of debt payments over the long term.</li></ul> <b>Other controls:</b> <ul style="list-style-type: none"><li>• Areas of improvement with regards financial management, efficiency and competitiveness identified from undertaking the BV2 toolkit self-assessments with actions agreed.</li><li>• Well developed forecasts for energy consumption and related costs based on national contract prices; role as a partner in the development of a waste management shared service allows the council to influence key decisions and be clear on related costs.</li><li>• Improving asset management planning has clarified priority areas for investment in the council's estate, supported by dedicated sources in both the capital plan and revenue budget.</li></ul>	04	05	20 V.High
Action Codes	Linked Actions	Assigned	Due Date	Status		
CRR15.02.09b	Internal Audit to review the council's arrangements for Debt Management	Chief Auditor	30-Jun-2016			

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CRR16.10.11a	Internal Audit to review programme management arrangements, focusing on options appraisal processes	Chief Auditor	30-Jun-2017	
CRR16.10.11b	Internal Audit to review the revised ICT operating model	Chief Auditor	30-Jun-2017	
CRR16.10.11c	Internal Audit to review rental income	Chief Auditor	30-Jun-2017	
CRR16.10.11d	Internal Audit to participate in internal project work which supports the better council change programme, as required	Chief Auditor	30-Jun-2017	

Context	Risk Statement	Owned by	Current Risk Control Measures	Likelihood	Impact	Evaluation
FR.RR16.10.05 Enterprise Resource Planning (transition and implementation)	The introduction of the new ERP system will require the redesign of a number of key internal processes. If not carefully managed there is a risk of operational challenges during implementation, service disruption and an inability to maximise the full range of anticipated benefits.	Director of Finance & Resources	<b>Top 5 controls:</b> Key controls relating to the introduction of ERP are aligned with good project management principles: -clear milestones -project manager appointed -strong project board -stakeholder buy in -appropriate raining -effective communications	03	04	12 High
Context: (1) Introducing a new Enterprise Resource Planning system that will deliver more efficient strategic planning, service commissioning, financial management, property management, information technology, human resources and business support services for our internal customers (2) Cultural change is key to successful implementation and delivery of benefits						
Action Codes	Linked Actions	Assigned To	Due Date	Status		
CRR16.10.13a	Ensure roles and responsibilities with the ERP supplier are clearly defined and ensure understanding of the balance of who is responsible for delivering what (ie in-house or supplier)	Head of Finance	30-Jun-2017			
CRR16.10.13b	Consult with other appropriate sites to learn lessons from their experience of introducing ERP	Head of Finance	30-Jun-2017			
CRR16.10.13c	Internal Audit to provide consultancy support in relation to process redesign during the implementation stage	Chief Auditor	30-Jun-2017			
CRR16.10.13d	Internal Audit to review key financial controls in order to provide an opinion on the financial internal control environment in place for those systems included within the roll out of ERP	Chief Auditor	30-Jun-2017			

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Context	Risk Statement	Owned by	Current Risk Control Measures	Likelihood	Impact	Evaluation
FR.RR16.10.06 Delivery of new ICT operating model  Context: (1) Capacity to meet demand and expectations linked to new ICT operating model (2) Disaster Recovery arrangements	With challenges around capacity, there is a risk that ICT services may not be able to meet demand and customer expectations linked to the new ICT operating model	Director of Finance & Resources	<b>Top 5 controls:</b> * The establishment of the Partnering & Commissioning function creates an effective interface between the business and ICT provision keeping strategic decision making close to the organisation and always aligned with the Council's objectives whilst pushing out the day to day operational activities to 'world class' expert suppliers. * The new ICT model will support the objective of adopting a commoditised approach to ICT.	03	04	12 High
Action Codes	Linked Actions			Assigned To	Due Date	Status


Context	Risk Statement	Owned by	Current Risk Control Measures	Likelihood	Impact	Evaluation
FR.RR16.10.07 Sustaining and improving Customer & Business Services  Context: (1) All areas of the council are reliant on CBS (2) Capacity to meet demand linked to recruitment and retention of staff and structured review of work practices across all services (3) Culture change is key to the sustainability of provision (4) CBS restoration plans in place	With challenges around capacity and demand for Customer & Business Services (CBS) there is a risk that Customer & Business Services may not be able to deliver improved services and agreed service standards	Director of Finance & Resources	<b>Top 5 controls:</b> * Development of CBS People Plan * Roles and responsibilities of CBS and Service staff are defined and established for revised business processes through the work of the ERP and Customer Access Projects Customer and Business Services business continuity and restoration plans in place * Other service departments include customer and business services activities in their BCPs/ restoration plans	03	04	12 High
Action Codes	Linked Actions			Assigned To	Due Date	Status
FR.SIP	Delivering a customer and business services delivery model able to increase capacity, streamline transactional customer services, reduce duplication and deliver an improved overall customer experience.					
FR.SIP	Supporting the Better Council Change programme workstreams led by Finance and Resources – Customer Access Strategy and ERP.					

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Context		Risk Statement	Owned by	Current Risk Control Measures	Likelihood	Impact	Evaluation
FR-RR16.10.08 Information and Records	<div>Context:</div> <p>The council has well established and embedded information governance arrangements. There is scope however to further improve on aspects of how the council manages information. Additionally the council has a Records Management Plan, approved by the Keeper of Scotland and this will require full implementation within 5 years.</p>	If information (in whatever format), is not effectively managed, and council records are not retained or destroyed in line with the Records Management Plan, there is a risk of unavailability of the right information in the right format and at the right time, with knock on impact to effective and efficient service delivery and organisational decision-making.	Director of Finance & Resources	<b>Top 5 controls:</b> *Roles and responsibilities for information governance and information management are defined and established (for individuals, teams and groups) *A full suite of policies and guidance is in place around how information is handled and shared securely and how data is protected, with many training and development requirements and opportunities for employees *There are technical ICT controls in place to protect the information handled by the council *There is an established incident management procedure in place for identifying, reporting, investigating and monitoring lessons learned from any information security incidents or near misses *Records Management Plan (approved by Council), which covers all the organisation's records.	03	04	12 High
Action Codes		Linked Actions	Latest Note		Assigned To	Due Date	Status
FR-SIP-15-2-1-15		Connect Renfrewshire	ICT Delivery and Innovation - The ICT Transformation programme is progressing across all workstreams. The data centre hosting partnership is in place and stage 1 of the project has commenced. A new WAN partner has been appointed and again this project is in the planning stage. The ICT service is in the process of being reorganised to better align skills and resources to the technology demands of the Council.		Head of ICT	31-Mar-2018	
FR-SIP-15-2-1-17		Information Management Strategy	As part of the reorganisation of ICT a number of new posts have been created that will focus on information management – this included a cyber security officer and Information Systems Architects – all posts will be in place by May 2016		Head of ICT	31-Mar-2017	
FR-SIP-15-2-1-18		Information Management Strategy	The responsibility for Business Intelligence now lies with Policy and Commissioning Team. ICT will support the development through the identification and development of appropriate tools.		Head of ICT	31-Mar-2016	
FR-SIP-15-2-2-22	Customer Access Strategy.1	Preferred supplier has been identified through the Government Gateway procurement process. A Project team has been set up to map current processes and define the customer journeys on the digital platform. The team remain focussed on delivering the council tax service online by Annual Billing 2016.		Customer services Manager	31-Mar-2016		
FR-SIP-15-2-2-22	Customer Access Strategy.3	Formally engaged with the Improvement Service who will work with the Customer Portal supplier to provide secure access to Council Tax data using the Myaccount authentication portal		Customer services Manager	31-Mar-2017		
FR-SIP-15-2-2-24	Customer Service Delivery	Customer and Business Services was created from the start of June 2015. Work has progressed to consolidate the new service and implement process improvements. Similar tasks are being aligned in teams and continuous improvement training has been delivered to the wider management team.		Head of Customer and Business Services	31-Mar-2018		



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Context	Risk Statement	Owned by	Current Risk Control Measures	Likelihood	Impact	Evaluation
FR.RR16.10.09 Management of elections  Context: (1) Scottish Parliamentary Elections and European Referendum (2) Being cognisant of changing legislation, processes and use of e-counting systems. (De-escalated from corporate risk register, April 2016)	If the council does not effectively manage the forthcoming series of elections this may be damaging to the council's reputation and that of those responsible for conducting elections, with significant adverse media attention and consequences for those directly involved.	Head of Corporate Governance	* Experienced team in place to oversee the management of the specific challenges of multiple and simultaneous elections; * Good governance in place; * Guidance from the Electoral Commission is always followed and implemented; * Detailed contingency plans and risk registers are always put in place for these events with responsibility for contingency/ mitigating actions clearly defined	02	05	10 High
Action Codes	Linked Actions	Latest Note				
FR-SIP-15-3-1-37	Elections	The UK General Election was conducted successfully in our two Parliamentary Constituencies and saw a significantly higher turnout than in 2010. Preliminary preparations have commenced for the Scottish Parliament Election in 2016. The progress of the national e-voting tender for the Local Government Elections in 2017 is being monitored.	Assigned To	Due Date	Status	
			Head of Corporate Governance	31-May-2017		

Context	Risk Statement	Owned by	Current Risk Control Measures	Likelihood	Impact	Evaluation
FR.RR16.10.10 Service fraud prevention  Context: (1) Council Integrity Group established to look at Serious and Organised Crime, Fraud and Insider Threat (2) All service departments have been tasked with scrutinising arrangements for fraud prevention within their areas of responsibility	The service is mindful of activities that could be open to potential fraud. If these activities are not sufficiently scrutinised there could be financial and reputational impacts to the council	Director of Finance & Resources	<b>Top 5 controls:</b> * Finance and Resources has key representatives on the Integrity Group to take forward the Integrity Group work plan * Process in place to report any potential misuse of council resources to the Corporate Counter Fraud Team * Other fraud specific controls are not detailed within the public domain	03	03	9 Moderate
Action Codes	Linked Actions					Status
FR.RR16.nna	Complete the service specific actions (due 2016/17) as detailed within the Integrity Group Work Plan					Chief Auditor
						31-Mar-2017
						

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Context	Risk Statement	Owned by	Current Risk Control Measures	Likelihood	Impact	Evaluation
FR.RR16.10.11 Insurance Cover	The council requires to review its insurance data in respect of property values and the tracing of historic liability insurers otherwise there is a risk that appropriate cover is either not in place or may be untraceable.	Director of Finance & Resources	<b>Top 5 controls:</b> * Insurance policy register in place * Employers' Liability Tracing Office (ELTO) - accessible database * Improved process agreed for data gathering with regards to property valuations * Contract in place with reputable broker for guidance and advice	03	03	9 Moderate
<b>Action Codes</b>	<b>Linked Actions</b>					
FR.RR16.10.08a	Instruct insurance archaeologist to trace historical periods of EL and PL cover for predecessor organisations			Assigned To Risk Manager	Due Date 30-Jun-2016	Status 
FR.RR16.10.08b	Monitor developments in relation to the progress of the Limitation (Childhood Abuse) (Scotland) Bill			Risk Manager	30-Sep-2016	

Context	Risk Statement	Owned by	Current Risk Control Measures	Likelihood	Impact	Evaluation
FR.RR16.10.12 Procurement – compliance, timescales and supplier management	Any Non compliance with EU procurement rules and council Contract Standing Orders could lead to supplier challenge, which could impact on the service's reputation, the ability to award contracts on time to meet service provision and where supplier relationships are not carefully managed, a risk of reduced service or reduced quality of service.	Director of Finance & Resources	<b>Top 5 controls:</b> *Centralised Procurement function supports: a) Standardised approach to procurement reduces the risk of error in the process. b) Transparency of contract strategies and authorisation of contracts. c) Better trained and qualified procurement professionals. d) Training for all staff involved in the procurement process to clarify roles and responsibilities. e) Annual training programme is now in place.  <b>Other controls:</b> * Urgent works can be awarded under Council Standing Orders using delegated authority where there are health and safety concerns * Term contracts have been setup with Building Services that the Maintenance Section can access using Schedule of Rates (SoRs). * Supplier management meetings * Key performance indicators * Key suppliers included in Business Impact Analysis * Business continuity arrangements in place	03	03	9 Moderate
Action Codes	Linked Actions					
No new actions – risk tolerated at present						
				Assigned To	Due Date	Status

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Context	Risk Statement	Owned by	Current Risk Control Measures	Likelihood	Impact	Evaluation
FR.RR16.10.13 Return on ICT investment  Context: (1) Services making ICT related decisions in isolation.	If there is not sufficient engagement with the new ICT operating model then there is a financial risk in terms of costly ICT investment decisions	Director of Finance & Resources	<b>Top 5 controls:</b> * The Business Relationship Managers (BRMs) will work with managers in directorates to ensure that their current and future ICT needs are aligned with their business requirements and are adequately met by the ICT service.	02	04	8 Moderate
Action Codes	Linked Actions					
No new actions – risk tolerated at present				Assigned To	Due Date	Status

Context	Risk Statement	Owned by	Current Risk Control Measures	Likelihood	Impact	Evaluation
FR.RR16.10.14 Corporate projects - capacity  Context: (1) ERP (2) Better Council Programme, etc...	Key officers are involved in a number of corporate projects and as they focus on the project activities there is an increasing threat to maintaining service delivery standards for 'business as usual' activities	Director of Finance & Resources	<b>Top 5 controls:</b> * Performance monitoring * Supervision and CPD	04	02	8 Moderate
Action Codes	Linked Actions					
No new actions – risk tolerated at present				Assigned To	Due Date	Status

Document Title:	Finance & Resources Risk Management Plan 2016		
Service:	N/A	Lead Author	Risk Manager on behalf of the Director of F&R
Date Effective:	18/05/2016	Review Dates:	6-monthly by to 31/03/2017



## Risk Matrix for Adverse Impact

### Introduction

Risk should be analysed consistently across the council in terms of the significance of its impact and the likelihood of occurrence. The Risk Matrix is therefore the tool that is to be used for this purpose. The impact element of the same matrix may be used for the grading of adverse events, complaints or claims.

### Impact

When considering the consequences of a potential risk, all scenarios must be considered. It may even be appropriate to consider the worst case scenario, however, those undertaking the risk analysis must be able to provide a robust rationale and have evidence to support their selection. For example, if 'death' could be the ultimate potential impact in relation to a specific problem, the risk assessors must have knowledge that this outcome has occurred in the past either internal or external to Renfrewshire Council. (A full list of descriptions to assist in analysing consequence is contained on the following two pages of this appendix);

### Likelihood

Similarly when considering the likelihood of occurrence, the risk assessor's judgement must be based on the prevalence of the event/ circumstance and outcome, backed up by experience and data such as relevant incidents/ events, complaints and/ or claims.

### Evaluation

As shown in the matrix below, Impact x Likelihood produces an evaluation of the significance of risk, described as 'Low', 'Moderate', 'High' or 'Very High'.

How a risk is evaluated will determine how the risk is then treated:

Likelihood	Consequent Impact				
	1 Insignificant	2 Minor	3 Moderate	4 Major	5 Extreme
5 Almost Certain	5	10	15	20	25
4 Likely	4	8	12	16	20
3 Possible	3	6	9	12	15
2 Unlikely	2	4	6	8	10
1 Remote	1	2	3	4	5

Low (1-3),

Moderate (4-9),

High (10-16), or

Very High (17-25)

## Consequence Impact

"Domains"	1 Insignificant	2 Minor	3 Moderate	4 Major	5 Extreme
Objectives and Projects	▪ Barely noticeable reduction in scope / quality / schedule	▪ Minor reduction in scope / quality / schedule	▪ Reduction in scope or quality, project objectives or schedule.	▪ Significant reduction in ability to meet project objectives or schedule.	▪ Inability to meet project objectives, reputation of the organisation seriously damaged and failure to appropriately manage finances.
Injury (physical and psychological) to clients/staff.	▪ Adverse event leading to minor injury not requiring first aid.	▪ Minor injury or illness, first-aid treatment needed. No staff absence required.	▪ Significant injury requiring medical treatment and/or counselling.	▪ Major injuries or long term incapacity/ disability (loss of limb), requiring medical treatment and/or counselling.	▪ Incident leading to death or major permanent incapacity.
Client experience / outcome	▪ Reduced quality of client experience / outcome not directly related to service delivery.	▪ Unsatisfactory client experience / outcome directly related to service provision – readily resolvable	▪ Unsatisfactory client experience / outcome, short term effects – expect recovery < 1Wk	▪ Unsatisfactory client experience / outcome, long term effects - expect recovery > 1Wk	▪ Unsatisfactory client experience / outcome, continued ongoing long term effects.
Complaints / claims	▪ Locally resolved complaint	▪ Justified complaint peripheral to direct service provision	▪ Below excess claim. ▪ Justified complaint involving inappropriate service.	▪ Claim above excess level. ▪ Multiple justified complaints.	▪ Multiple claims or single major claim.
Staffing and competence	▪ Short term low staffing level (< 1 day), where there is no disruption to service.	▪ Ongoing low staffing level results in minor reduction in quality of client care ▪ Minor error due to ineffective training / implementation of training.	▪ Late delivery of key objective / service due to lack of staff. ▪ Moderate error due to ineffective training / implementation of training. ▪ Ongoing problems with staffing levels	▪ Uncertain delivery of key objective / service due to lack of staff. ▪ Major error due to ineffective training / implementation of training.	▪ Non delivery of key objective/ service due to lack of staff. ▪ Loss of key staff. ▪ Critical error due to insufficient training/ implementation of training.
Service / business interruption	▪ Interruption in a service which does not impact on the delivery of client care or the ability to continue to provide service	▪ Short term disruption to service with minor impact on client care.	▪ Some disruption in service with unacceptable impact on client care. ▪ Temporary loss of ability to provide service.	▪ Sustained loss of service which has serious impact on delivery of client care resulting in major contingency plans being invoked.	▪ Permanent loss of core service or facility. ▪ Disruption to facility leading to significant "knock on" effect.

"Domains"	1 Insignificant	2 Minor	3 Moderate	4 Major	5 Extreme
Financial	<ul style="list-style-type: none"> <li>Negligible organisational financial loss (£&lt; 1k).</li> </ul>	<ul style="list-style-type: none"> <li>Minor organisational financial loss (£1-10k).</li> </ul>	<ul style="list-style-type: none"> <li>Significant organisational financial loss (£10-100k).</li> </ul>	<ul style="list-style-type: none"> <li>Major organisational financial loss (£100k-1m).</li> </ul>	<ul style="list-style-type: none"> <li>Severe organisational financial loss (£&gt;1m).</li> </ul>
Inspection / assessment / audit	<ul style="list-style-type: none"> <li>Small number of recommendations which focus on minor quality improvement issues.</li> </ul>	<ul style="list-style-type: none"> <li>Minor recommendations made which can be addressed by low level of management action.</li> </ul>	<ul style="list-style-type: none"> <li>Challenging recommendations but can be addressed with appropriate action plan.</li> </ul>	<ul style="list-style-type: none"> <li>Enforcement Action.</li> <li>Low rating.</li> <li>Critical report.</li> </ul>	<ul style="list-style-type: none"> <li>Prosecution.</li> <li>Zero Rating.</li> <li>Severely critical report.</li> </ul>
Adverse publicity / reputation	<ul style="list-style-type: none"> <li>No media coverage, little effect on staff morale.</li> </ul>	<ul style="list-style-type: none"> <li>Local Media – short term.</li> <li>Minor effect on staff morale / public attitudes.</li> </ul>	<ul style="list-style-type: none"> <li>Local Media – long term.</li> <li>Impact on staff morale and public perception of the organisation.</li> </ul>	<ul style="list-style-type: none"> <li>National Media (&lt; 3 days).</li> <li>Public confidence in the organisation undermined.</li> <li>Usage of services affected.</li> </ul>	<ul style="list-style-type: none"> <li>National Media (&gt; 3 days).</li> <li>MP / MSP Concern (Questions in Parliament).</li> </ul>
Council / Personal Security, and Equipment	<ul style="list-style-type: none"> <li>Damage, loss, theft (£&lt; 1k).</li> </ul>	<ul style="list-style-type: none"> <li>Damage, loss, theft (£1-10k).</li> </ul>	<ul style="list-style-type: none"> <li>Damage, loss, theft (£10-100k).</li> </ul>	<ul style="list-style-type: none"> <li>Damage, loss, theft (£100k-1m).</li> </ul>	<ul style="list-style-type: none"> <li>Damage, loss, theft (£&gt;1m).</li> </ul>

## Likelihood

	1 Remote	2 Unlikely	3 Possible	4 Likely	5 Almost Certain
Probability	<ul style="list-style-type: none"> <li>Will only occur in exceptional circumstances</li> </ul>	<ul style="list-style-type: none"> <li>Unlikely to occur but definite potential exists</li> </ul>	<ul style="list-style-type: none"> <li>Reasonable chance of occurring – has happened before on occasions</li> </ul>	<ul style="list-style-type: none"> <li>Likely to occur – strong possibility</li> </ul>	<ul style="list-style-type: none"> <li>The event will occur in most circumstances</li> </ul>






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**To:** Finance and Resources Policy Board

**On:** 18<sup>th</sup> May 2016

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**Report by:** Chief Executive

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**Heading:** Chief Executive's Risk Management Plan 2016/17

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**1. Summary**

- 1.1 In keeping with 'Risk Matters', the Council's combined risk management policy and strategy, the service risk management plan is refreshed on an annual basis.
  - 1.2 This paper presents the Chief Executive's Service Risk Management Plan for 2016/17 (Appendix 1) to the Finance and Resources Policy Board for approval.
  - 1.3 The Service has identified eleven risks which are core issues. Control measures and linked actions are in place to prevent and/or mitigate these risks and these are set out in Appendix 1.
- 

**2. Recommendations**

- 2.1 It is recommended that the Finance and Resources Board:
    - I. approves the Chief Executive's Service Risk Management Plan 2016/17.
- 

**3. Background**

- 3.1 The business and social environment that the service operates within and provides services to continues to be a challenging and dynamic one and the proposed service risk management plan going forward from April 2016 must continually evolve in order to keep pace with, and accurately reflect the service's key priorities and key challenges.

- 3.2 The Council actively promotes good and sensible risk management practice. In doing so the council aims to deliver high quality services for all service users, achieve high standards of performance, make the most of opportunity, and provide a safe environment for those it employs, contracts or partners with in providing a wide range of services.
- 3.3 Good risk management is about seeking to prevent harm or loss, seeking to ensure the right things happen and that 'risk-aware' not 'risk-averse' decisions are made in all aspects of Council business.
- 3.4 The process to identify key service risks seeks to focus on the significant challenges and uncertainties that may impact on the service's ability to deliver its key priorities and the risks are aligned to the themes of the Council plan.
- 3.5 The resulting service risk management plan is used to record, monitor and review the management of these risks.
- 3.6 A number of methods are used and information sources reviewed to ensure a broad and thorough approach to identifying the service's risks and these methods include but are not limited to:
- Consultation and benchmarking within and outwith the service.
  - Review of key reports (internal and external) specific to the service responsibilities.
  - Review of new/emerging legislation and extension of provision.

#### 4. **Core Risk for Chief Executive's Service**

- 4.1 In presenting the service risk management plan to the Board, the Senior Management Team would wish to draw the Board's attention to a number of specific matters.
- 4.2 The service risk management plan continues to bring to sharp focus the significant risks facing the service and this should be balanced with recognition of the benefits that also continue to be delivered.
- 4.3 The risks have been evaluated using the Council's risk matrix (final appendix) and involves multiplying the likelihood of occurrence of a risk by its potential impact. This produces an evaluation of risk as either 'low', 'moderate', 'high' or 'very high.' High/ very high risks are viewed as significant. The profile of the service's risk going forward from April 2016 is shown in the table below:

Evaluation:	Low	Moderate	High	Very High
No. of Risks:	0	6	5	0

- 4.4 In appraising the service risk management plan, the Senior Management Team have identified those risks that they perceive to be the 'top five' for the service and these relate to:

Risk 1 - Tackling Poverty, Programme Implementation: *The Council is committed along with its partners to tackling poverty in Renfrewshire.*

*Programme implementation is in the early stages and with levels of poverty estimated to rise across Scotland, if the partners do not provide an effective response to Renfrewshire then more citizens will experience poverty and its effects.*

Risk 2 - Corporate Events Management: *Effective preparation and co-ordination across a number of services, for high profile events coming to Renfrewshire is essential and should this not be achieved there is a risk of adverse reputational impact for the Council on a national and international level.*

Risk 3 - Marketing and Communications: *Poor information flow across services and with Renfrewshire citizens can result in inappropriate, ineffective or poorly timed communications both within and out with the Council. This will in turn impact on staff commitment, crisis response, service delivery, consultation, policy development and the organisation's reputation.*

Risk 4 - Better Council Programme: *The ongoing transformational change agenda makes for a highly complex and challenging business environment which, if not co-ordinated and managed effectively across all aspects of the Council's business, could result in financial savings and service improvements benefits not being delivered and impact significantly on future service delivery and the longer term effectiveness of the organisation.*

Risk 5 - Delivering Key Outcomes with Strategic Partners: *The Council is engaged with Strategic Partners in the delivery of key services and outcomes. The partnerships must work together effectively otherwise there will be a significant risk in relation to performance and reputation around the ability to effectively deliver strategic plans, community and financial outcomes and partnership aims and objectives.*

4.5 In preparing this paper for the Board, the Senior Management Team consider that the proposed corporate risk register suitably reflects the service's risk management focus for the forthcoming year.

4.6 In relation to individual risks recorded, the Senior Management Team believe that appropriate control measures are in place to prevent and/or mitigate adverse effects and that further planned action is appropriate to the level of risk. Where no new actions are defined for any particular risk, this is indicative of a level of confidence in the current control measures in place and a consequent decision to tolerate the risk at this time. Robust monitoring arrangements are in place to track the progress of planned actions.

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## **Implications of the Report**

### **1. Financial**

Recurring costs associated with the measures in place for each risk are considered proportionate to the level of risk, and new planned actions are also considered to be cost effective.

The financial requirements to support the service risk management plan should be met within the service budget allocations. Any unplanned and unbudgeted cost pressures that arise in relation to any of the risks identified will be subject to review in consultation with the

2. **HR & Organisational Development**  
Any risks relating to HR and Organisational Development issues are reflected within Appendix 1.
3. **Community Planning**  
  
**Children and Young People**  
**Community Care, Health & Well-being**  
**Empowering our Communities**  
**Greener**  
**Jobs and the Economy**  
**Safer and Stronger**  
  
Any risks relating to the Community Planning themes are reflected within Appendix 1.
4. **Legal**  
Any risks that may have legal implications are reflected within Appendix 1.
5. **Property/Assets**  
Any property-related risks are reflected within Appendix 1.
6. **Information Technology**  
Any risks relating to ICT are reflected within Appendix 1.
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**  
Any risks relating to health, safety and wellbeing are reflected within Appendix 1.
9. **Procurement**  
Any risks relating to procurement are reflected within Appendix 1.
10. **Risk**  
For member assurance, all areas of the service have been consulted to ensure that the relevant risks have been identified.

The risk scores are believed to be as realistic as possible taking account of the type of risks recorded and the effectiveness of the measures in place to manage them.



The risk profile shows there are significant risks being managed by the service however for assurance, the senior management team believe that this risk can be managed and contained (in relation to the council's risk capacity and tolerance).

Although the risks require close monitoring and scrutiny throughout the year, many are longer term risks that are likely to be a feature of the risk management plan over a number of years.

11.

**Privacy Impact**

Any risks relating to privacy matters are reflected within Appendix 1

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**List of Background Papers**

(a) Background Paper 1: Service Risk Management Plan 2016/17

The foregoing background papers 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 Nicola Irvine-Brown, 0141 618 7414.

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**Author:** *Nicola Irvine-Brown 0141 618 7414*



## Appendix 1



### **Chief Executive's Service**

### **Service Risk Management Plan**

**April 2016**

Document Title:	Chief Executive's Service Risk Management Plan, April 2016			<b>1</b>
Service:	C.E	Lead Author	Nicola Irvine-Brown	
Date Effective:	1 <sup>st</sup> April 2016	Review Dates:	Quarterly up to 31/03/2017	

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## 1. Risk management arrangements within Chief Executive's Service

- 1.1 During 2015/16, the Service has implemented a range of standard procedures in keeping with the Council's risk management strategy, "Risk Matters." This includes using the agreed risk management process and the standardised risk matrix for analysis and evaluation of risk within the service.
- 1.2 The Head of Policy and Commissioning takes the lead role for the management of risk within the Chief Executive's Service and is supported by the Head of Communications and Head of Marketing, all are accountable to the Chief Executive, the Corporate Management Team and the Finance and Resources Policy Board for the management of risk within the Service. Each risk and its associated actions are allocated to responsible officers. Progress against the management of the risks and actions are reported on a quarterly basis to the Senior Management Team. In keeping with the risk management strategy, any exceptional information regarding significant risks is reported to the Corporate Risk Management Group on a quarterly basis, which reports this information to the Corporate Management Team if appropriate.
- 1.3 The local risk forum for the Chief Executive's Service is the Senior Management Team.

## 2. Report on service's contribution to relevant strategic risk management objectives

- 2.1 During 2015/2016, the service has contributed to some of the Council's strategic risk management objectives in the following way:
- effectively managing community planning partnerships to ensure the delivery of key Council objectives and projects, and to deliver value for public money; and
  - leading on the Council's duty to comply with Equality and Human Rights legislation.

## 3. Report on previous year's Risk Management Plan

- 3.1 When the service's 2015/16 service risk management plan was approved by the Finance and Resources Policy Board on 13 May 2015, four risks were recorded and the evaluation of the risks at that time outlined the service's risk profile as four moderate risks.
- 3.2 In relation to the 2015/16 service risk management plan, 21 actions were identified and carried out as planned throughout the year.
- 3.3 A summary of the activity that took place in relation to last year's risks is detailed below.

### **1. Poor information flow leads to inappropriate, ineffective or late communications –**

Over 2015/16 a series of actions have been implemented to improve communication across the Council. A Head of Marketing was appointed during 2015, who now manages a team of staff across marketing and event management function. An internal communication plan was also approved by the CMT in January 2016.

### **2. Legal implications for the Council from failure to comply with equalities legislation -**

Meetings have been undertaken with the SMT and Officer Working Group to support the EQHRIA approach. New guidance and templates were issued and are now in place. The Diversity & Equality Alliance in Renfrewshire (DEAR) group has been re-established.

**3. Due to challenging times, there might be a failure to deliver on the ambitions of the community planning partners –** The Community Planning Partnership Board and Thematic Boards continue to operate effectively and the partnership remains focused on achieving achieving the aspirational outcomes for Renfrewshire. A Strategic Partnership Agreement

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with the University of the West of Scotland was approved by the Leadership Board in February 2016. Other agreements with key partners are under development.

**4. Failure to ensure that data sets are kept up to date leads to an inability to monitor and report progress on the strategic plans** – Accurate and complete returns were made to the Improvement Service as part of the Local Government Benchmarking Framework and Statutory Performance indicators were reported on the Council website. Appropriate council and partner organisations have been assigned to relevant Local Outcome Improvement Plan (LOI).

<b>Evaluation:</b>	<b>Low</b>	<b>Moderate</b>	<b>High</b>	<b>Very High</b>	<b>Total</b>
<b>No. of Risks:</b>	<b>0</b>	<b>1</b>	<b>3</b>	<b>0</b>	<b>4</b>

- 3.4 A number of required actions were identified and carried out as planned throughout the year. These actions were believed to be proportionate and cost effective in relation to the level of each risk. The Board received a midyear report on the progress being made in relation to this activity.
- 3.5 Of the 21 actions allocated under the four risks, 85% were completed by the 31<sup>st</sup> of March 2016. For the remaining 15% actions not completed, these were longer term actions and have been carried forward to the revised service risk management plan to monitor and ensure completeness.
- 3.6 Two risks (equalities and data) that feature in the revised risk register have been rolled forward from 2015/16, however the focus has been reviewed to ensure that they take account of any changes in context.

#### 4. Current business context for Chief Executive's Service

- 4.1 The Council continues to focus on the delivery of key policy priorities despite continued financial constraints and reducing resources. In order to adapt to new demands on the organisation, the Chief Executive's Service will undertake significant change over the coming year.
- 4.2 As approved by the Leadership Board on 18 February 2015, there has been a strengthening of the role of corporate policy, planning and performance management across the organisation, with the Chief Executive's Service managing this on behalf of the Council. This will ensure that activities are managed strategically and resources available to the Council continue to be focussed on the delivery of Council priorities. Procurement and Business Change services have also transferred into Chief Executive's Service, this will enable a strategic and policy led approach to the future commissioning of services, and delay of transformational change within the Council.
- 4.3 Senior Management Team members have considered the planned activity for delivering the forthcoming year's service priorities and any significant challenges for achieving the service priorities are reflected within the service risk management plan for 2016/2017. A number of the risks that have transferred into the Chief Executives Service are included within the Corporate Risk Register for 2016/17, such as Phase 2 of the Better Change Programme.
- 4.4 On the basis of the above review of the business context for Chief Executive's Service, the Senior Management Team has identified the key risks to be recorded within its risk register for 2016/17, as outlined in section 5.2.2.

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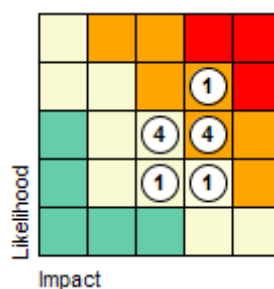
## 5. The service risk profile and top risks going forward from April 2016

- 5.1. The detailed service risk management plan from April 2016 is provided in the attached appendix. The risks are aligned to the themes of the Council's business plan, "Better Future, Better Council."
- 5.2. By way of summarising the information contained within the appendix, the remainder of this section provides:
- Table 5.2.1: the service risk profile in terms of low, moderate, high and very high risks
  - Table 5.2.2: all service risk areas ranked in descending order of significance;
  - Table 5.2.3: the service's TOP 5 risks with a brief narrative overview.
  - Table 5.2.4: an overview of how risks relate to the themes of the council's business plan.

**Table 5.2.1: Service Risk Profile**

Evaluation:	Low	Moderate	High	Very High	Total
No. of Risks:		6	5		

**Table 5.2.2: Risk Areas in Order of Significance**



Chief Executive's Service Risk matrix 2016:

Risk areas	Likelihood	Impact	Score	Evaluation
1. Tackling Poverty	04	04	16	High
2. Better Council Programme	03	04	12	High
3. Corporate Events Management	03	04	12	High
4. Marketing and Communications	03	04	12	High
5. Delivering Key Outcomes with Strategic Partners	03	04	12	High
6. Equality and Human Rights	03	03	9	Moderate
7. Community Empowerment Act	03	03	9	Moderate
8. Digital Participation	03	03	9	Moderate
9. Procurement Contract	03	03	9	Moderate
10. Data and Performance Management	02	04	8	Moderate
11. Inspection & self-assessment	02	03	6	Moderate

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**Table 5.2.3: TOP Risks**

Title	Score	Risk	Overview
Tackling Poverty	16	<b>The council is committed along with its partners to tackle poverty in Renfrewshire. With levels of poverty estimated to rise across Scotland, if the partners do not provide an effective response to Renfrewshire then more citizens will experience poverty and its effects.</b>	An extensive programme of work is being progressed locally through a range of projects and initiatives and the lead for delivering on the project is held by the Chief Executive's Service. The programme will run until the end of 2016/17 and a critical role of this service will be to ensure that projects are completed on time and on budget and crucially that the positive benefits of these programmes are realised. Officers from the service continue to work with other local authorities and a national level to identify best practice approaches, and will also develop longer term options to produce a long-term evidence based approach to tackling poverty, based on learning from the programme.
Better Council Programme	12	<b>The ongoing transformational change agenda makes for a highly complex and challenging business environment which, if not co-ordinated and managed effectively across all aspects of the council's business, could result in benefits not being delivered and impact significantly on future service delivery and the longer term effectiveness of the organisation</b>	The Council has successfully managed the impact of wider public sector financial constraints in recent years, implementing a significant programme of transformational change through our Better Council programme and through increased efficiency. However, the impact of the recent local government budget settlement will be felt acutely by this local authority and will require all Council services to identify further opportunities for budgetary savings and efficiencies whilst maintaining a commitment to deliver quality services to local people and businesses. The organisation will deliver the second phase of our Better Council Change Programme to further strengthen the savings already achieved from the first phase of the programme.
Corporate Events Management	12	<b>Effective preparation and co-ordination across a number of services, for high profile events coming to Renfrewshire is essential and should this not be achieved there is a risk of adverse reputational impact for the council on a national and international level</b>	2016 is an exciting time for Paisley as we continue with our bid to become UK City of Culture 2021. The Chief Executive's Service will lead on launching our new marketing campaign that will put Renfrewshire on the map and make it much easier for everybody to see what the area has got to offer and the benefits of visiting, living or investing here.
Delivering Key Outcomes with Strategic Partners	12	<b>The Council is engaged with Strategic Partners in the delivery of key services and outcomes. The partnerships must work together effectively otherwise there will be a significant risk in relation to performance and reputation around the ability to effectively deliver strategic plans, community and financial outcomes and</b>	The Service will continue to strengthen these partnership links through the development of Strategic Partnership Agreements. A review of community planning arrangements will also be undertaken to ensure that these meet the requirements of the Community Empowerment Act and facilitate wider, open access to the community planning process. The Service will continue to work with partners to adopt best practice approaches at a local level to the new legislation.

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Title	Score	Risk	Overview
		<b>partnership aims and objectives.</b>	
Marketing and Communications	12	<b>Poor information flow across services and with Renfrewshire citizens can result in inappropriate, ineffective or poorly timed communications both within and out with the council. This will in turn impact on staff commitment, crisis response, service delivery, consultation, policy development and the organisation's reputation.</b>	The Communications Team have developed an Internal Communications Strategy to ensure that employees are kept up-to-date on the workings of the Council. Our employees are at the centre of all the services that we deliver across Renfrewshire and it is important that they feel well-informed about what is happening across the Council.

**Table 5.2.4: Relationship with council business plan**

1: A Better Future - PLACE			
<b>Priority 2: Building on our Culture and Heritage</b>	CRR16.01.02 Corporate Events Management	<u>Context:</u> <ul style="list-style-type: none"> <li>Beer and Food Festival 20th - 23rd April</li> <li>British Pipe Band Championships - 21st May</li> <li>Sma Shot Day - 2nd July</li> <li>Paisley Pipe Band Champs- 16th July</li> <li>Fire Engine Rally - 13th Aug</li> <li>Paisley Make - 29th Aug - 4th Sept</li> <li>Doors open Day - 3rd and 4th Sept</li> <li>The Spree Festival 14th - 22nd Oct</li> <li>Halloween Festival 28th - 29th Oct</li> <li>Fireworks Display 5th Nov</li> <li>Christmas Lights On Events - Nov.</li> <li>European Curling Championships 18th - 26th Nov</li> <li>Ongoing desire to host Monte Carlo Rally</li> </ul>	
2: A Better Future - PEOPLE			
<b>Priority 5: Reducing the Level and Impact of Poverty</b>	CRR16.05.08 Tackling Poverty – Programme Implementation	<u>Context:</u> <ul style="list-style-type: none"> <li>Tackling Poverty Commission report published March 2015.</li> <li>Tackling Poverty strategy launched in October 2015.</li> <li>Extensive programme of projects and initiatives being progressed, with £6m of funding allocated by the Council to support delivery and achievement of key outcomes.</li> <li>Governance of programme established.</li> <li>Delivering approaches to help mitigate the impacts on low income households of the next phase of Welfare Reforms.</li> <li>Delivering a range of interventions to support financial inclusion across Renfrewshire.</li> <li>Producing a long-term, evidence based and sustainable approach to tackling poverty, based on learning from Tackling Poverty programme.</li> </ul>	
	CRR16.10.17 Digital Inclusion	<u>Context:</u> <ul style="list-style-type: none"> <li>Implementing the digital participation plan to support access to the internet.</li> <li>Providing customers with easy to use digital services.</li> <li>Addressing the known barriers to accessing the internet, lack of: <ul style="list-style-type: none"> <li>digital skills;</li> <li>access; cost and motivation (fear, internet safety, desire, limited understanding the benefits).</li> </ul> </li> <li>Targeting our efforts initially on those individuals who are most likely to be digitally excluded.</li> </ul>	
3: A Better Council			
<b>10 Continuing to be a Well Run Council</b>	CRR16.10.14 Better Council Programme	<u>Context:</u> <ul style="list-style-type: none"> <li>Implementation of a significant programme of transformational change</li> <li>Increased efficiency.</li> <li>Second phase of the programme, 2016/17 to facilitate identification of additional savings areas.</li> </ul>	

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	CRR16.10.16 Marketing & Communications	<p><u>Context:</u></p> <ul style="list-style-type: none"> <li>Supporting staff through change through effective internal communications</li> <li>Ensuring employees understand the key priorities being driven by the council through the Council Plan and their role in achieving these.</li> <li>Engaging Renfrewshire's communities in the objectives of the Community Plan.</li> <li>Communicating important information to local residents about initiatives such as the Tackling Poverty strategy and digital strategy and what it means for them.</li> <li>Crisis communications.</li> <li>Increasing demand for employees' access to social media sites and feeds for professional and personal purposes creates security and reputational concerns.</li> <li>Leading on the development and management of the Renfrewshire Brand promoting Renfrewshire are world-class tourist destination and supporting the regeneration of Paisley and Renfrewshire more widely.</li> <li>Providing branding and promotions to support the 2021 Bid</li> <li>Delivering a range of diverse and exciting events to increase visitor numbers to our town centre.</li> </ul>
	CERR16.P4.01 Data & performance mgt	<p><u>Context:</u></p> <ul style="list-style-type: none"> <li>LOI and Community Plan performance indicators held on Covalent to ensure that they are kept secure and easily accessible;</li> <li>Statutory Performance Indicators are held on Covalent and monitored to ensure that accurate information is reported to Audit Scotland within timescale;</li> <li>Local Government Benchmarking Indicators included as part of the SPIs from April 2014;</li> <li>Arrangements in place for collection of accurate and complete information;</li> <li>Arrangements in place that meet the criteria in Audit Scotland's Direction for reporting performance information;</li> <li>Audit Scotland SPI Direction and the council's statutory duties complied with; and</li> <li>Council and Community planning partner performance information available from the Council's website</li> </ul>
	CRR16.08.10 Delivering Key Outcomes with Strategic Partners	<p><u>Context:</u></p> <ul style="list-style-type: none"> <li>Expanding the Families First approach.</li> <li>Implementing the Children and Young People Act.</li> <li>Supporting the Renfrewshire Health and Social Care Partnership's Strategic Plan.</li> <li>Extending telecare and telehealth services.</li> <li>Support the third sector and community groups to develop and deliver support within their local communities, principally through partnership working with engage Renfrewshire and other key community groups.</li> <li>Integrating Renfrewshire Leisure services to increase opportunities for people to improve their health and well being.</li> </ul>
	CERR16.P1.04 Equalities	<p><u>Context:</u></p> <ul style="list-style-type: none"> <li>Corporate progress reported to CMT and Council's Leadership Board on an annual basis.</li> <li>Corporate guidance to support assessment of equality and human rights impacts accessible on Renfo and the Council's website.</li> <li>Equality and Human Rights Impact Assessment e-learning developed to support for employees and managers.</li> <li>Board Reports revised to ensure equality and human rights impacts are an integral part of the decision making.</li> <li>An Equality Awareness Week is run every year, demonstrating the Council's commitment to support employees to develop a better understanding.</li> <li>Continue to lead on Diversity and Equality Alliance in Renfrewshire Group in order to achieve better outcomes for everyone in Renfrewshire.</li> </ul>
	CERR16.P3.01 Community Empowerment (Scotland) Act 2015	<p><u>Context:</u></p> <ul style="list-style-type: none"> <li>Renfrewshire Council, supported by the Head of Policy and Commissioning, will ensure the requirements of the Act are followed up.</li> <li>The structure of Renfrewshire Community Planning Partnership includes a Forum for Empowering Communities and progress on implementing the Act is reported to each meeting. The Chief Executive of Engage Renfrewshire (single access point for community action, volunteering and social enterprise in Renfrewshire) chairs the forum.</li> <li>Renfrewshire Council has an asset transfer policy in place, which is being delivered to take account of the Community Empowerment Act and associated guidance.</li> <li>Engage Renfrewshire is organising an event on asset transfer for third sector organisations in spring 2016.</li> <li>In April 2015 agreed to the transfer of land at Linwood to a community</li> </ul>

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		<p>development trust.</p> <ul style="list-style-type: none"> <li>• Renfrewshire is a pilot area for developing revised national standards on community engagement;</li> <li>• Community Planning Partnerships are encouraged to use these standards as a tool for community empowerment; and</li> <li>• Renfrewshire Community Planning is currently conducting a review of its partnership arrangements in the context of the Community Empowerment (Scotland) act 2015.</li> </ul>
	CERR16P5.03 Procurement Contracts	<p><u>Context:</u></p> <ul style="list-style-type: none"> <li>• The Procurement Contracts (Scotland) Regulations 2015, which implements new EU public procurement directives, comes into force on 18 April 2016.</li> <li>• The draft Procurement (Scotland) Regulations 2016 also comes into force on 18 April 2016</li> </ul>
	CERR16P3.02 Inspection & self-assessment	<p><u>Context:</u></p> <ul style="list-style-type: none"> <li>• In December 2014, the Accounts Commission concluded its review of Best Value;</li> <li>• The review identified the need for more frequent assurance on Best Value across all 32 councils, with an increased emphasis on improvement, the quality of service experienced by the public and the outcomes achieved;</li> <li>• This new approach will take effect as part of the new local government audit appointments from 1st October 2016;</li> <li>• Thereafter, an integrated annual audit and a public report (Controller of Audit report to the Accounts Commission) for each council at least once in a five-year period;</li> <li>• As Renfrewshire Council last Best Value audit was in November 2005 we are anticipating to be one of the first Council's to be assessed by Audit Scotland; and</li> <li>• Undertake a corporate self-assessment in line with current best value guidance.</li> </ul>

- 5.3. The risk treatment activity planned for the risks is shown within the appendix that follows. This activity (proportionate to the level of each risk) will further contribute to either the prevention of the risk occurring, where possible, or mitigating their potential effects.
- 5.4. A midyear progress report on the service risk management plan will be reported in due course to the Board. Information on specific significant risks will be reported to the Corporate Risk Management Group and the Corporate Management Team as required on an exceptional basis.

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## Chief Executive's Service Risk Register 2016/17



Report Author: Nicola Irvine\_Brown  
Generated on: 02 May 2016













### Priority 1: A Better Future - PLACE

Context		Risk Statement	Owned by	Current Risk Control Measures	Likelihood	Impact	Evaluation
CRR16.01.02 Corporate Events Management		Effective preparation and co-ordination across a number of services, for high profile events coming to Renfrewshire is essential and should this not be achieved there is a risk of adverse reputational impact for the council on a national and international level	Head of Marketing	<b>Top 5 controls:</b> *Monthly Strategic Events Group in place to co-ordinate preparation for various events as per event schedule, with representation from all relevant council services and community partners *Events Guidance Manual in operation *Considerable pre-event liaison with in house teams and the emergency services *The events team and in-house specialists have considerable experience and a good track record in organising and managing events *Suppliers procured in accordance with Contract Standing Orders, with indemnity limits agreed and insurance covers checked  <b>Other controls:</b> Accredited and experienced stewards are employed and Paramedic and trained first aiders are on site at all large scale events. There is events cancellation insurance cover in place for higher cost events.	03	04	12
Context: *Beer and Food Festival 20th - 23rd April *British Pipe Band Championships - 21st May *Sma Shot Day - 2nd July *Paisley Pipe Band Champs- 16th July *Fire Engine Rally - 13th Aug *Paisley Make - 29th Aug - 4th Sept *Doors open Day - 3rd and 4th Sept *The Spree Festival 14th - 22nd Oct *Halloween Festival 28th - 29th Oct *Fireworks Display 5th Nov *Christmas Lights On Events - Nov. *European Curling Championships 18th - 26th Nov *Ongoing desire to host Monte Carlo Rally							
Action Codes	Linked Actions				Assigned To	Due Date	Status
CE.SIP.16.01.01	Deliver a range of diverse and exciting events to increase visitor numbers to our town centre				Head of Marketing	31-Mar-2018	


**Priority 1 Better Future - PEOPLE**

Context		Risk Statement	Owned by	Current Risk Control Measures	Likelihood	Impact	Evaluation
CRR16.05.08 Tackling Poverty - Programme Implementation	Context: *Tackling Poverty Commission report published March 2015 *Tackling Poverty strategy launched in October 2015 *Extensive programme of projects and initiatives being progressed, with £6m of funding allocated by the Council to support delivery and achievement of key outcomes *Governance of programme established *Delivering approaches to help mitigate the impacts on low income households of the next phase of Welfare Reforms *Delivering a range of interventions to support financial inclusion across Renfrewshire *Producing a long-term, evidence based and sustainable approach to tackling poverty, based on learning from Tackling Poverty programme	The council is committed along with its partners to tackling poverty in Renfrewshire. Programme implementation is in the early stages and with levels of poverty estimated to rise across Scotland, if the partners do not provide an effective response to Renfrewshire then more citizens will experience poverty and its effects.	Head of Policy & Commissioning	<b>Top 5 controls:</b> *Tackling Poverty strategy published in October 15 *Council funding allocated to progress range of targeted initiatives and interventions *Robust programme management processes in place *Governance structure agreed for reporting progress and budgetary monitoring *Annual report to be submitted to Leadership board in June 2016 Lead Officer working with services to progress long term sustainable options for tackling poverty post cessation of the funding in September 2017.	04	04	16
Action Codes		Linked Actions		Assigned To	Due Date	Status	
CE.SIP.16.02.01		Provide strategic leadership for the delivery of the overarching Tackling Poverty Strategy		Strategic Lead for Tackling Poverty & Welfare Reform	31-Mar-2018		
CE.SIP.16.02.02		Manage the delivery of projects within the Tackling Poverty Programme, ensuring delivery on time and budget, and that benefits are realised for people living in poverty		Strategic Lead for Tackling Poverty & Welfare	31-Mar-2017		


CE.SIP.16.02.03	Advise on and support service improvements that deliver the strategic outcomes of the Tackling Poverty Programme	Reform		
		Strategic Lead for Tackling Poverty & Welfare Reform	31-Mar-2017	
CE.SIP.16.02.04	Produce a long term, evidence based and sustainable approach to tackling poverty, based on learning from the Tackling Poverty Programme	Strategic Lead for Tackling Poverty & Welfare Reform	30-Sep-2017	
CE.SIP.16.02.05	Deliver communications activity which informs and engages citizens around the Tackling Poverty Programme, and that shares learning with partners locally and nationally	Head of Communications	30-Sep-2017	
CE.SIP.16.02.06	Deliver approaches to help mitigate the impacts on low income households of the next phase of Welfare Reforms	Strategic Lead for Tackling Poverty & Welfare Reform	31-Mar-2018	
CE.SIP.16.02.07	Deliver a range of interventions to support financial inclusion across Renfrewshire	Strategic Lead for Tackling Poverty & Welfare Reform	31-Mar-2018	
CE.SIP.16.02.10	Implement our digital participation plan to support low income families and other disadvantaged groups to benefit from access to the internet	Strategic Lead for Tackling Poverty & Welfare Reform	31-Mar-2018	





Context		Risk Statement	Owned by	Current Risk Control Measures	Likelihood	Impact	Evaluation
CRR16.08.10 Delivering Key Outcomes with Strategic Partners  <u>Context:</u> *Expanding the Families First approach *Implementing the Children and Young People Act *Supporting the Renfrewshire Health and Social Care Partnership's Strategic Plan *Extending telecare and telehealth services *Support the third sector and community groups to develop and deliver support within their local communities, principally through partnership working with engage Renfrewshire and other key community groups. *Integrating Renfrewshire Leisure services to increase opportunities for people to improve their health and well being		The Council is engaged with Strategic Partners in the delivery of key services and outcomes. The partnerships must work together effectively otherwise there will be a significant risk in relation to performance and reputation around the ability to effectively deliver strategic plans, community and financial outcomes and partnership aims and objectives.	Head of Policy & Commissioning	<b>Top controls:</b> *monitoring arrangements in place through appropriate boards and joint committees. *mature community planning partnership arrangements, recognised at national level. *Strategic Partnership Agreement in place with University of West of Scotland with others under development *service level agreements in place as appropriate * Community Planning Partnership arrangements ensure we are operating effectively for partners, delivering on the priority outcomes for Renfrewshire and compliance with the requirement of the Community Empowerment (Scotland) Act.	03	04	12
	<b>Action Codes</b>	<b>Linked Actions</b>					
	CE.SIP.16.04.06	Develop collaborative relationships across Local Authorities and other public sector bodies					
	CE.SIP.16.04.11	Develop Strategic Partnership Agreements between Renfrewshire Council and a number of key community planning partners					
	CE.SIP.16.04.15	Support the development of the Scottish Local Government Partnership					
CE.SIP.16.04.07	Undertake a review of current community planning structures within Renfrewshire and implement recommendations						
Action Codes		Linked Actions					
					<b>Assigned To</b>	<b>Due Date</b>	<b>Status</b>
					Partnership Planning & Development Manager	31-Mar-2018	
					Partnership Planning & Development Manager	31-Mar-2018	
					Strategic Planning & Policy Development	18-Mar-2018	
					Partnership Planning & Development	18-Mar-2018	





Priority 3: A Better Council						
Context	Risk Statement	Owned by	Current Risk Control Measures	Likelihood	Impact	Evaluation
<p>CRR16.10.14 Better Council Programme</p> <p>Context:</p> <ul style="list-style-type: none"> <li>*Implementation of a significant programme of transformational change</li> <li>*Increased efficiency</li> <li>*Second phase of the programme, 2016/17 to facilitate identification of additional savings areas.</li> <li>*Addressing capacity challenges (financial and workforce) to deliver change and improvement</li> </ul>	<p>The ongoing transformational change agenda makes for a highly complex and challenging business environment which, if not co-ordinated and managed effectively across all aspects of the council's business, could result in benefits not being delivered and impact significantly on future service delivery and the longer term effectiveness of the organisation</p>	<p>Head of Policy &amp; Commissioning</p>	<p><b>Top 5 controls:</b></p> <ul style="list-style-type: none"> <li>*Programme management approach adopted.</li> <li>*Monthly programme boards held as part of CMT agenda.</li> <li>*Effective budget tracking and monitoring</li> <li>*Regular reporting on progress to the Leadership board</li> <li>*Effective joint working with between PMU staff and service leads</li> <li>*Special development sessions held with all managers to third tier to assist in prioritising areas for further development and possible inclusion in the second phase of the programme.</li> </ul> <p><b>Other controls:</b></p> <ul style="list-style-type: none"> <li>*A workforce planning strategy will be developed by HR&amp;OD, aligned to the Organisational Development strategy and BCCP. The strategy will support the implementation of highly effective workforce planning approach across services to develop workforce capacity, creating a culture of performance and continuous improvement.</li> <li>*Directors will be supported by HR&amp;OD to implement highly effective workforce planning approaches to effectively scenario plan to deal with any major uncertain shifts in the Council's internal or external environments.</li> <li>*A range of learning and development solutions to support managers specifically on areas of change management and workforce planning will be developed.</li> </ul>	03	04	12
Action Codes	Linked Actions	Assessed				
CE.SIP.16.04.01	Identify the additional savings projects for Phase 2 of the Better Council Change Programme to address the	Assigned To			Due Date	Status
		Strategic Programme			31-Mar-	



	2017/18 gap		Manager	2017	
CE.SIP.16.04.02	Successfully deliver Phase 2 of the Better Council Change Programme		Strategic Programme Manager	31-Mar-2018	



Context		Risk Statement	Owned by	Current Risk Control Measures	Likelihood	Impact	Evaluation
CRR16.10.16 Marketing & Communications		Poor information flow across services and with Renfrewshire citizens can result in inappropriate, ineffective or poorly timed communications both within and out with the council. This will in turn impact on staff commitment, crisis response, service delivery, consultation, policy development and the organisation's reputation.	Head of Communications	<ul style="list-style-type: none"> <li>* Head of Communications and senior communications officers liaise with Services/Senior Management Teams on the co-ordination and timing of information communications, communication strategies, action plans and key milestones</li> <li>* Communications database (NASDAC) is used to track and manage media enquiries</li> <li>* Council information channels such as; website, social media, magazine are used effectively to promote council initiatives</li> <li>Head of Communications is full member of Corporate Management Team</li> <li>* Crisis Communications Strategy in place</li> <li>* All content on website and intranet have review dates set so that checks can be made on currency of information</li> <li>* The Communication Team continue to corporately approve web and intranet content</li> <li>* Communications employees are required to comply with council guidelines when using approved social media applications such as Facebook and Twitter</li> <li>* The Communications team monitors all social media accounts</li> <li>* Emergency Contacts Directory updated to reflect new contact details every 6 months</li> </ul>	03	04	12
	<p><u>Context:</u></p> <ul style="list-style-type: none"> <li>*Supporting staff through change through effective internal communications</li> <li>*Ensuring employees understand the key priorities being driven by the council through the Council Plan and their role in achieving these.</li> <li>*Engaging Renfrewshire's communities in the objectives of the Community Plan</li> <li>*Communicating important information to local residents about initiatives such as the Tackling Poverty strategy and digital strategy and what it means for them</li> <li>*Crisis communications</li> <li>*Increasing demand for employees' access to social media sites and feeds for professional and personal purposes creates security and reputational concerns</li> <li>*Leading on the development and management of the Renfrewshire Brand promoting Renfrewshire are world-class tourist destination and supporting the regeneration of Paisley and Renfrewshire more widely.</li> <li>*Providing branding and promotions to support the 2021 Bid</li> <li>*Delivering a range of diverse and exciting events to increase visitor numbers to our town centre</li> </ul>						
Action Codes		Linked Actions					
CE.SIP.16.03.01		Implement an internal communications strategy for the Council to improve the quality and nature of two-way		Assigned To	Head of Communicatio	Due Date	30-Jun-
						Status	

	communication with staff	ns	2016	
CE.SIP.16.03.02	Develop and implement a communications plan to promote awareness of the refreshed Council Plan internally	Head of Communicatio ns	30-Jun-2016	
CE.SIP.16.04.23	Implement the Communications Strategy and Action Plan for Renfrewshire Community Planning Partnership	Head of Communicatio ns	31-Mar-2017	
CE.SIP.16.04.24	Implement a communications strategy to cover all audiences (including internal) to support the public and our partners. The strategy will cover our development of all communications channels and support the council and community plans	Head of Communicatio ns	31-Mar-2017	
CE.SIP.16.04.25	Lead on the roll-out of the Council's new website	Head of Communicatio ns	30-Jun-2016	





Context		Risk Statement	Owned by	Current Risk Control Measures	Likelihood	Impact	Evaluation
CERR16.P1.04 Equality and Human Rights	Context: Renfrewshire Council as a public service provider and employer is committed to providing excellent services in a culture which helps to ensure that we are meeting the changing needs of individuals and groups across the diverse population of Renfrewshire.  The Council is required by legislation to pay due regard to the general equality duty set out in the Equality Act 2010 and ensure that everyone's rights are protected/upheld which enables individuals and groups to have the opportunity to realise their full potential free from discrimination as required by the Human Rights Act 1988	Legal implications for the Council from failure to comply with equalities legislation	Head of Policy & Commissioning	*Progress and areas of development and improvement reported to Best Value Working Group *Corporate progress reported to CMT and Council's Leadership Board on an annual basis *Corporate guidance to support assessment of equality and human rights impacts accessible on Renfo and the Council's website *Equality and Human Rights Impact Assessment e-learning developed to support for employees and managers *Board Reports revised to ensure equality and human rights impacts are an integral part of the decision making *An Equality Awareness Week is run every year, demonstrating the council's commitment to support employees to develop a better understanding *Continue to lead on Diversity and Equality Alliance in Renfrewshire Group in order to achieve better outcomes for everyone in Renfrewshire	03	03	9
Action Codes		Linked Actions	Assigned To	Due Date	Status		
CE.SIP.16.04.17	Coordinate and monitor progress of the Council's equality outcomes for our communities	Strategic Planning & Policy Development	31-Mar-2018				


Context		Risk Statement	Owned by	Current Risk Control Measures	Likelihood	Impact	Evaluation
CERR16.P3.01 Community Empowerment (Scotland) Act 2015	<p><u>Context:</u></p> <p>Renfrewshire Community Planning Partnership requires to respond effectively to guidance on the Community Empowerment Act to be issued in 2016.</p> <p>This will include responsibility for researching and understanding community needs and developing a partnership wide locality outcome improvement plan (LOIP) and area specific locality plans.</p> <p>The Council also requires to work with partners to ensure that responsibility for the Leadership and governance of community planning arrangements is shared and ensure that communities are empowered to be as involved in the management of assets and delivering of sources as they want to be.</p>	If the council and partners fail to respond to the Community Empowerment (Scotland) Act 2015 and associated guidance, and do not involve local people in the decision about services and empower local communities to deliver services or putting in place arrangements to assess and address local needs this could potentially damage the reputation of the council and our partners and lead to legal challenge.	Head of Policy & Commissioning	<ul style="list-style-type: none"><li>Renfrewshire Council, supported by the Head of Policy and Commissioning, will ensure the requirements of the Act are followed up.</li><li>The structure of Renfrewshire Community Planning Partnership includes a Forum for Empowering Communities and progress on implementing the Act is reported to each meeting. The chief executive of Engage Renfrewshire (single access point for community action, volunteering and social enterprise in Renfrewshire) chairs the forum.</li><li>Engage Renfrewshire is organising an event on asset transfer for third sector organisations in spring 2016. Renfrewshire Council has an asset transfer policy in place, which is being delivered to take account of the Community Empowerment Act and associated guidance.</li><li>In April 2015 agreed to the transfer of land at Linwood to a community development trust.</li><li>Renfrewshire is a pilot area for developing revised national standards on community engagement.</li><li>Community Planning Partnerships are encouraged to use these standards as a tool for community empowerment.</li><li>Renfrewshire Community Planning is currently conducting a review of its partnership arrangements in the context of the Community Empowerment (Scotland) act 2015.</li></ul>	03	03	9
Action Codes		Linked Actions	Assigned To	Due Date	Status		
CE.SIP.16.04.07	Undertake a review of current community planning structures within Renfrewshire and implement recommendations	Partnership Planning & Development Manager	31-Mar-2018				

CE.SIP.16.04.12	Support Engage Renfrewshire to ensure that community and voluntary groups are involved in and contribute to the Renfrewshire Local Outcome Improvement Plan	Partnership Planning & Development Manager	31-Mar-2018	
CE.SIP.16.04.14	Support the implementation of the Community Empowerment Act	Partnership Planning & Development Manager	31-Mar-2018	

Context		Risk Statement	Owned by	Current Risk Control Measures	Likelihood	Impact	Evaluation
CERR16.P3.02 Inspection & Self-assessment	<p>Context:</p> <p>* In December 2014, the Accounts Commission concluded its review of Best Value;</p> <p>* The review identified the need for more frequent assurance on Best Value across all 32 councils, with an increased emphasis on improvement, the quality of service experienced by the public and the outcomes achieved;</p> <p>* This new approach will take effect as part of the new local government audit appointments from 1st October 2016;</p> <p>* Thereafter, an integrated annual audit and a public report (Controller of Audit report to the Accounts Commission) for each council at least once in a five-year period;</p> <p>* As Renfrewshire Council last Best Value audit was in November 2005 we are anticipating to be one of the first Council's to be assessed by Audit Scotland.</p>	Failing to prepare effectively for a future Best Value Audit by not having a sound approach to self-assessment will have reputational damage for the Council.	Head of Policy & Commissioning	<u>Top Controls:</u> The Service are ensuring that they are being kept up to date on any developments e.g. attending national seminars; Informing CMT on recent BV audits; To undertake a mock self-assessment; and As part of this to carry out peer review activity on the outcome.	02	03	6
Action Codes		Linked Actions				Assigned To	Due Date
CE.SIP.16.04.18	Develop options for future self-assessment activities involving staff				Strategic Planning & Policy Development	31-Dec-2016	
CE.SIP.16.04.19	Undertake corporate self-assessment in line with current best value guidance				Strategic Planning & Policy Development	31-Mar-2018	



Context		Risk Statement	Owned by	Current Risk Control Measures	Likelihood	Impact	Evaluation
CERR16.P4.01 Data and Performance Management	A Data Analytics and Research Team is being shaped which will support increasing demands across the Council for high quality data required to inform change activities.	Failure to ensure that data sets are kept up to date leads to an inability to monitor and report progress on the strategic plans of the Council and community planning partners with the risk that the Council will be unable to deliver our statutory duties and/or identify improvements that can be made to services.	Head of Policy & Commissioning	<ul style="list-style-type: none"> <li>LOI and Community Plan performance indicators held on Covalent to ensure that they are kept secure and easily accessible</li> <li>Statutory Performance Indicators are held on Covalent and monitored to ensure that accurate information is reported to Audit Scotland within timescale;</li> <li>Local Government Benchmarking Indicators included as part of the SPIs from April 2014;</li> <li>Arrangements in place for collection of accurate and complete information;</li> <li>Arrangements in place that meet the criteria in Audit Scotland's Direction for reporting performance information;</li> <li>Audit Scotland SPI Direction and the council's statutory duties complied with; and</li> <li>Council and Community planning partner performance information available from the Council's website.</li> </ul>	02	04	8
Action Codes		Linked Actions			Assigned To	Due Date	Status
CE.SIP.16.04.13		Monitor progress of the Council Plan priorities and success measures			Strategic Planning & Policy Development	31-Mar-2018	
CE.SIP.16.04.20		Undertake a review of current complaints handling processes and data across Council services to ensure that this data is used to drive appropriate service improvement			Strategic Planning & Policy Development	31-Mar-2017	
CE.SIP.16.04.21		Establish and maintain an Open Data Portal which will revolutionise the way in which community planning data is used in Renfrewshire			Strategic Planning & Policy Development	31-Jan-2017	
CE.SIP.16.04.22		Ensure that the Council complies within the SPI Direction for local authorities			Strategic Planning & Policy Development	31-Mar-2018	

Context	Risk Statement	Owned by	Current Risk Control Measures	Likelihood	Impact	Evaluation
CERR16P5.03 Procurement Contracts  <u>Context:</u> * The Procurement Contracts (Scotland) Regulations 2015, which implements new EU public procurement directives, comes into force on 18 April 2016. * The draft Procurement (Scotland) Regulations 2016 also comes into force on 18 April 2016	Failure to comply with the Procurement Contracts (Scotland) Regulations 2015, which implements new EU public procurement directives and the Procurement (Scotland) Regulations 2016.	Head of Policy & Commissioning	<ul style="list-style-type: none"> <li>* Procurement will work with legal services to ensure the Councils standing orders relating to contracts are updated to reflect the changes.</li> <li>* A training plan will be developed for the team and rolled out across services to ensure Council officers are aware of the obligations and processes laid out under the new legislation.</li> <li>* The statutory guidance on fair working practices was released at the end of 2015 and in January 2016 the council set policy to include evaluation criteria (where appropriate) on fair working practices</li> <li>* The evaluation considers works and services contracts tendered by the Council will benefit if performed by employees who have an adequate remuneration package for the work they perform.</li> <li>* Fair work practices should be broadly comparable to those adopted by public sector organisations with those working on public contracts receiving fair, equitable and non-discriminatory pay, terms and conditions and reward packages.</li> </ul>	03	03	9
Action Codes	Linked Actions	Assigned To				
CE.SIP.16.04.05	Develop the Council's Commissioning and Procurement Strategy for the period 2016-2019 covering all key areas laid out in the Council's motion including sustainability, SMEs, Third Sector, Service Level agreements and the local agenda	Strategic Commercial & Procurement Manager				
		Due Date				
		31-Mar-2017				
		Status				
						

## Risk Matrix for Adverse Impact

### Introduction

Risk should be analysed consistently across the council in terms of the significance of its impact and the likelihood of occurrence. The Risk Matrix is therefore the tool that is to be used for this purpose. The impact element of the same matrix may be used for the grading of adverse events, complaints or claims.

### Impact

When considering the consequences of a potential risk, all scenarios must be considered. It may even be appropriate to consider the worst case scenario, however, those undertaking the risk analysis must be able to provide a robust rationale and have evidence to support their selection. For example, if 'death' could be the ultimate potential impact in relation to a specific problem, the risk assessors must have knowledge that this outcome has occurred in the past either internal or external to Renfrewshire Council. (A full list of descriptions to assist in analysing consequence is contained on the following two pages of this appendix);

### Likelihood

Similarly when considering the likelihood of occurrence, the risk assessor's judgement must be based on the prevalence of the event/ circumstance and outcome, backed up by experience and data such as relevant incidents/ events, complaints and/ or claims.

### Evaluation

As shown in the matrix below, Impact x Likelihood produces an evaluation of the significance of risk, described as 'Low', 'Moderate', 'High' or 'Very High'.

How a risk is evaluated will determine how the risk is then treated:

Likelihood	Consequent Impact				
	1 Insignificant	2 Minor	3 Moderate	4 Major	5 Extreme
5 Almost Certain	5	10	15	20	25
4 Likely	4	8	12	16	20
3 Possible	3	6	9	12	15
2 Unlikely	2	4	6	8	10
1 Remote	1	2	3	4	5

Low (1-3),

Moderate (4-9),

High (10-16), or

Very High (17-25)

## Consequence Impact

"Domains"	1 Insignificant	2 Minor	3 Moderate	4 Major	5 Extreme
Objectives and Projects	<ul style="list-style-type: none"> <li>Barely noticeable reduction in scope / quality / schedule</li> </ul>	<ul style="list-style-type: none"> <li>Minor reduction in scope / quality / schedule</li> </ul>	<ul style="list-style-type: none"> <li>Reduction in scope or quality, project objectives or schedule.</li> </ul>	<ul style="list-style-type: none"> <li>Significant reduction in ability to meet project objectives or schedule.</li> </ul>	<ul style="list-style-type: none"> <li>Inability to meet project objectives, reputation of the organisation seriously damaged and failure to appropriately manage finances.</li> </ul>
Injury (physical and psychological) to clients/staff.	<ul style="list-style-type: none"> <li>Adverse event leading to minor injury not requiring first aid.</li> </ul>	<ul style="list-style-type: none"> <li>Minor injury or illness, first-aid treatment needed. No staff absence required.</li> </ul>	<ul style="list-style-type: none"> <li>Significant injury requiring medical treatment and/or counselling.</li> </ul>	<ul style="list-style-type: none"> <li>Major injuries or long term incapacity/ disability (loss of limb), requiring medical treatment and/or counselling.</li> </ul>	<ul style="list-style-type: none"> <li>Incident leading to death or major permanent incapacity.</li> </ul>
Client experience / outcome	<ul style="list-style-type: none"> <li>Reduced quality of client experience / outcome not directly related to service delivery.</li> </ul>	<ul style="list-style-type: none"> <li>Unsatisfactory client experience / outcome directly related to service provision – readily resolvable</li> </ul>	<ul style="list-style-type: none"> <li>Unsatisfactory client experience / outcome, short term effects – expect recovery &lt; 1Wk</li> </ul>	<ul style="list-style-type: none"> <li>Unsatisfactory client experience / outcome, long term effects - expect recovery &gt; 1Wk</li> </ul>	<ul style="list-style-type: none"> <li>Unsatisfactory client experience / outcome, continued ongoing long term effects.</li> </ul>
Complaints / claims	<ul style="list-style-type: none"> <li>Locally resolved complaint</li> </ul>	<ul style="list-style-type: none"> <li>Justified complaint peripheral to direct service provision</li> </ul>	<ul style="list-style-type: none"> <li>Below excess claim.</li> <li>Justified complaint involving inappropriate service.</li> </ul>	<ul style="list-style-type: none"> <li>Claim above excess level.</li> <li>Multiple justified complaints.</li> </ul>	<ul style="list-style-type: none"> <li>Multiple claims or single major claim.</li> </ul>
Staffing and competence	<ul style="list-style-type: none"> <li>Short term low staffing level (&lt; 1 day), where there is no disruption to service.</li> </ul>	<ul style="list-style-type: none"> <li>Ongoing low staffing level results in minor reduction in quality of client care</li> <li>Minor error due to ineffective training / implementation of training.</li> </ul>	<ul style="list-style-type: none"> <li>Late delivery of key objective / service due to lack of staff.</li> <li>Moderate error due to ineffective training / implementation of training.</li> <li>Ongoing problems with staffing levels</li> </ul>	<ul style="list-style-type: none"> <li>Uncertain delivery of key objective / service due to lack of staff.</li> <li>Major error due to ineffective training / implementation of training.</li> </ul>	<ul style="list-style-type: none"> <li>Non delivery of key objective/ service due to lack of staff.</li> <li>Loss of key staff.</li> <li>Critical error due to insufficient training/ implementation of training.</li> </ul>

Service / business interruption	<ul style="list-style-type: none"> <li>▪ Interruption in a service which does not impact on the delivery of client care or the ability to continue to provide service</li> </ul>	<ul style="list-style-type: none"> <li>▪ Short term disruption to service with minor impact on client care.</li> </ul>	<ul style="list-style-type: none"> <li>▪ Some disruption in service with unacceptable impact on client care.</li> <li>▪ Temporary loss of ability to provide service.</li> </ul>	<ul style="list-style-type: none"> <li>▪ Sustained loss of service which has serious impact on delivery of client care resulting in major contingency plans being invoked.</li> </ul>	<ul style="list-style-type: none"> <li>▪ Permanent loss of core service or facility.</li> <li>▪ Disruption to facility leading to significant “knock on” effect.</li> </ul>
“Domains”	<b>1 Insignificant</b>	<b>2 Minor</b>	<b>3 Moderate</b>	<b>4 Major</b>	<b>5 Extreme</b>
Financial	<ul style="list-style-type: none"> <li>▪ Negligible organisational financial loss (£&lt; 1k).</li> </ul>	<ul style="list-style-type: none"> <li>▪ Minor organisational financial loss (£1-10k).</li> </ul>	<ul style="list-style-type: none"> <li>▪ Significant organisational financial loss (£10-100k).</li> </ul>	<ul style="list-style-type: none"> <li>▪ Major organisational financial loss (£100k-1m).</li> </ul>	<ul style="list-style-type: none"> <li>▪ Severe organisational financial loss (£&gt;1m).</li> </ul>
Inspection / assessment / audit	<ul style="list-style-type: none"> <li>▪ Small number of recommendations which focus on minor quality improvement issues.</li> </ul>	<ul style="list-style-type: none"> <li>▪ Minor recommendations made which can be addressed by low level of management action.</li> </ul>	<ul style="list-style-type: none"> <li>▪ Challenging recommendations but can be addressed with appropriate action plan.</li> </ul>	<ul style="list-style-type: none"> <li>▪ Enforcement Action.</li> <li>▪ Low rating.</li> <li>▪ Critical report.</li> </ul>	<ul style="list-style-type: none"> <li>▪ Prosecution.</li> <li>▪ Zero Rating.</li> <li>▪ Severely critical report.</li> </ul>
Adverse publicity / reputation	<ul style="list-style-type: none"> <li>▪ No media coverage, little effect on staff morale.</li> </ul>	<ul style="list-style-type: none"> <li>▪ Local Media – short term.</li> <li>▪ Minor effect on staff morale / public attitudes.</li> </ul>	<ul style="list-style-type: none"> <li>▪ Local Media – long term.</li> <li>▪ Impact on staff morale and public perception of the organisation.</li> </ul>	<ul style="list-style-type: none"> <li>▪ National Media (&lt; 3 days).</li> <li>▪ Public confidence in the organisation undermined.</li> <li>▪ Usage of services affected.</li> </ul>	<ul style="list-style-type: none"> <li>▪ National Media (&gt; 3 days).</li> <li>▪ MP / MSP Concern (Questions in Parliament).</li> </ul>
Council / Personal Security, and Equipment	<ul style="list-style-type: none"> <li>▪ Damage, loss, theft (£&lt; 1k).</li> </ul>	<ul style="list-style-type: none"> <li>▪ Damage, loss, theft (£1-10k).</li> </ul>	<ul style="list-style-type: none"> <li>▪ Damage, loss, theft (£10-100k).</li> </ul>	<ul style="list-style-type: none"> <li>▪ Damage, loss, theft (£100k-1m).</li> </ul>	<ul style="list-style-type: none"> <li>▪ Damage, loss, theft (£&gt;1m).</li> </ul>

## Likelihood

	<b>1 Remote</b>	<b>2 Unlikely</b>	<b>3 Possible</b>	<b>4 Likely</b>	<b>5 Almost Certain</b>
Probability	<ul style="list-style-type: none"> <li>▪ Will only occur in exceptional circumstances</li> </ul>	<ul style="list-style-type: none"> <li>▪ Unlikely to occur but definite potential exists</li> </ul>	<ul style="list-style-type: none"> <li>▪ Reasonable chance of occurring – has happened before on occasions</li> </ul>	<ul style="list-style-type: none"> <li>▪ Likely to occur – strong possibility</li> </ul>	<ul style="list-style-type: none"> <li>▪ The event will occur in most circumstances</li> </ul>






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**To: Finance and Resources Policy Board**

**On: 18 May 2016**

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

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**Heading: Corporate Risk Register, April 2016**

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**1. Summary**

- 1.1 In keeping with 'Risk Matters', the council's combined risk management policy and strategy, the corporate risk register is refreshed on an annual basis; led by the Corporate Risk Management Group on behalf of and in consultation with the Corporate Management Team.
- 1.2 This paper presents the corporate risk register from April 2016 (Appendix 1) to the Board for approval.
- 

**2. Recommendations**

- 2.1 It is recommended that the Board approves the corporate risk register, April 2016.
- 

**3. Background**

- 3.1 The business and social environment that the council operates within and provides services to continues to be a challenging and dynamic one and the proposed corporate risk register going forward from April 2016 must continually evolve in order to keep pace with, and accurately reflect the ongoing financial challenges in Scotland generally and specifically, the council's key priorities and key challenges.
- 3.2 The council actively promotes good and sensible risk management practice. In doing so the council aims to deliver high quality services for all service users, achieve high standards of performance, make the most of opportunity, and provide a safe environment for those it employs, contracts or partners with in providing a wide range of

services. The Council has a public protection role relating to child and adult protection and offending behaviour and works with partners to ensure risk to and by individuals is effectively managed.

- 3.3 Good risk management is about seeking to prevent harm or loss, seeking to ensure the right things happen and that 'risk-aware' not 'risk-averse' decisions are made in all aspects of council services.
- 3.4 The process to identify key risks seeks to focus on the significant challenges and uncertainties that may impact on the council's ability to deliver its key priorities and the risks are aligned to the themes of the council's business plan.
- 3.5 The resulting corporate risk register is used to record, monitor and review the management of the key risks.
- 3.6 A number of methods have been employed and information sources reviewed to facilitate a broad and thorough approach to identifying the council's corporate risks and these methods are outlined in paragraph 2.7 of Appendix 1.
- 3.7 In presenting the corporate risk register to the Board, the Corporate Management Team would wish to draw the Board's attention to a number of specific matters:
- 3.7.1 The corporate risk register continues to bring to sharp focus the significant risks facing the council however this should be balanced with recognition of the opportunities that the council continues to pursue along with the benefits that also continue to be delivered.
- 3.7.2 Risks have been evaluated using the council's standard risk matrix (final appendix) and involves multiplying the likelihood of occurrence of a risk by its potential impact. This produces an evaluation of risk as either 'low', 'moderate', 'high' or 'very high.' High/ very high risks are viewed as significant. The profile of corporate risk going forward from April 2016 is shown in the table below:

<b>Evaluation:</b>	<b>Low</b>	<b>Moderate</b>	<b>High</b>	<b>Very High</b>	<b>Total</b>
<b>No. of Risks:</b>	<b>0</b>	<b>04</b>	<b>12</b>	<b>01</b>	<b>17</b>

- 3.7.3 It should be noted that the total number of risks has changed from 20 to 17 and the reasons for this are explained in paragraphs 2.8.1 – 2.8.4 of the attached appendix.
- 3.8 In appraising the proposed corporate risk register, the Corporate Management Team and the Corporate Risk Management Group have identified specific risks that they perceive to be the 'top six' for the council. There is some change going forward regarding the risks making it into the top six list and this closely reflects the current impetus around major commitments made by the council to deliver on new regeneration activities and initiatives linked to the City Deal projects, the Heritage Asset Strategy and the Paisley 2021 bid. An outline of the current position in relation to each of these risks is provided on pages 9 and 10 of the appendix.



TOP 6 Risk/Opportunity Risk Areas	Likelihood	Impact	Score	Evaluation
1) Financial Sustainability	04	05	20	Very High
2) Tackling Poverty	04	04	16	High
3) Opportunity Management - Key Regeneration Outcomes	03	05	15	High
4) Opportunity Management - Key Cultural & Heritage Outcomes	03	05	15	High
5) Community Safety & Public Protection	03	05	15	High
6) Facilities and Environmental Infrastructure	03	05	15	High

- 3.9 In preparing this paper for the Board, the Corporate Management Team and the Corporate Risk Management Group consider that the proposed corporate risk register suitably reflects the council's risk management focus for the forthcoming year.
- 3.10 In relation to individual risks recorded, the Corporate Management Team and the Corporate Risk Management Group believe that appropriate control measures are in place to prevent and/ or mitigate adverse effects and that further planned action is appropriate to the level of risk. Where no new actions are defined for any particular risk, this is indicative of a level of confidence in the current control measures in place and a consequent decision to tolerate the risk at this time.
- 3.11 Robust monitoring arrangements are in place to track the progress of planned actions. It should be noted that actions prefixed by "CRR" exist only for the benefit of reducing or containing the corporate risks, whereas actions with any other prefix reflect improvement activities that lie within the services' improvement plans that have been linked through to the corporate risk register for completeness where they have a knock on benefit to the related risk.

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## Implications of the Report

- Financial**  
Recurring costs associated with the measures in place for each risk are considered proportionate to the level of risk, and new planned actions are also considered to be cost effective.  
  
The financial requirements to support the corporate risk register should be met within the budget of each relevant risk owner, nevertheless, any unplanned and unbudgeted cost pressures that arise in relation to any of the risks identified will be subject to review in consultation with the Chief Executive and the Director of Finance and Resources.
- HR & Organisational Development**  
Any risks relating to HR and Organisational Development issues are

reflected within Appendix 1.

3. **Community Planning**

**Children and Young People**  
**Community Care, Health & Well-being**  
**Empowering our Communities**  
**Greener**  
**Jobs and the Economy**  
**Safer and Stronger**

Any risks relating to the Community Planning themes are reflected within Appendix 1.

4. **Legal**

Any risks that may have legal implications are reflected within Appendix 1.

5. **Property/Assets**

Any property-related risks are reflected within Appendix 1.

6. **Information Technology**

Any risks relating to ICT are reflected within Appendix 1.

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**

Any risks relating to health, safety and wellbeing are reflected within Appendix 1.

9. **Procurement**

Any risks relating to procurement are reflected within Appendix 1.

10. **Risk**

For member assurance, all services have been consulted to ensure that the relevant risks have been identified.

The risk scores are believed to be as realistic as possible taking account of the type of risks recorded and the effectiveness of the measures in place to manage them.

The risk profile shows there are significant risks being managed by the council however for assurance, the corporate management team believe that this risk can be managed and contained (in relation to the

council's risk capacity and tolerance).

Although the risks require close monitoring and scrutiny throughout the year, many are longer term risks that are likely to be a feature of the corporate risk register over a number of years.

11.

**Privacy Impact**

Any risks relating to privacy matters are reflected within Appendix 1

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**List of Background Papers**

(a) Background Paper 1: Corporate Risk Register 2015/16

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



# Corporate Risk Register

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**April 2016**

Document Title:	Corporate Risk Register 2016			1
Service:	N/A	Lead Author	Risk Manager on behalf of the Director of F&R	
Date Effective:	18/05/2016	Review Dates:	Quarterly by CRMG to 31/03/2017	

## **CONTENT**

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2.	The current business environment and key impact areas for the Council .....	4
3.	The Corporate risk profile and Top Risks going forward from April 2016 .....	8
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Document Title:	Corporate Risk Register 2016			2
Service:	N/A	Lead Author	Risk Manager on behalf of the Director of F&R	
Date Effective:	18/05/2016	Review Dates:	Quarterly by CRMG to 31/03/2017	

## 1. Summary update on previous year's Corporate Risk Register

- 1.1 When the 2015/16 corporate risk register was approved by Board on 13 May 2015, 20 corporate risks were recorded and the evaluation of the risks at that time outlined the council's corporate risk profile as:

<b>Evaluation:</b>	<b>Low</b>	<b>Moderate</b>	<b>High</b>	<b>Very High</b>	<b>Total</b>
<b>No. of Risks:</b>	<b>0</b>	<b>5</b>	<b>14</b>	<b>1</b>	<b>20</b>

- 1.2 In relation to the council's capacity and tolerance for risk this indicated that the council had 19 corporate risks (moderate and high) that could be tolerated, albeit the 14 high risks were recognised as being significant.
- 1.3 Notably however, the council continued to have one very high risk, which ordinarily would not be an acceptable position. Nevertheless, it was acknowledged that this risk, relating to the financial sustainability of the council, had been carefully managed at that level since the beginning of the period of austerity and it continued to reflect the external pressures that the council had to respond to, by way of managing available resources with demographic and service changes and demand.
- 1.4 The Board received a progress report on all corporate risks on 11 November 2015. At that time there were no material changes to the risks.
- 1.5 At the year-end, the corporate risks actively being managed by the council remained evaluated as:

<b>Evaluation:</b>	<b>Low</b>	<b>Moderate</b>	<b>High</b>	<b>Very High</b>	<b>Total</b>
<b>No. of Risks:</b>	<b>0</b>	<b>5</b>	<b>14</b>	<b>1</b>	<b>20</b>

- 1.6 A number of required actions were identified and carried out as planned throughout the year. These actions were believed to be proportionate and cost effective in relation to the level of each risk. At the mid year report in November, progress against planned actions was largely in line with expectation. At the year-end, only very few actions had not been completed as anticipated by 31 March and these are being monitored to completion. Any overdue or longer term actions have been pulled through to the revised corporate risk register.
- 1.7 The Corporate Risk Management Group, in consultation with the Corporate Management Team, has agreed that many of the risks from the 2015/16 corporate risk register remain core issues for the council to address. Many risks therefore continue to be reflected within the revised corporate risk register in order to be effectively managed in order to support the council's objectives.
- 1.8 It should be noted that the cost of controlling the corporate risks and undertaking further action have been met within budget and the council has therefore continued to achieve cost effective risk management over the course of the year despite ongoing cost pressures.

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Service:	N/A	Lead Author	Risk Manager on behalf of the Director of F&R	
Date Effective:	18/05/2016	Review Dates:	Quarterly by CRMG to 31/03/2017	

## 2. The current business environment and key impact areas for the Council

2.1 In her recent statement following the approval of the council's [budget for 2016/17](#), the Chief Executive highlighted the significant financial challenge facing the council as a result of a reduction in local government funding at a time of increasing demands on council services. She further explained however that while Renfrewshire Council is not alone in facing this challenge, the council is in a unique position of setting a positive budget that focuses on investment and improvement and has avoided reductions and loss of services, and a reduction in staff numbers.



- 2.2 In “An overview of local government in Scotland 2016,” Audit Scotland reiterates that financial sustainability continues to be at risk as councils face the combined challenges of reduced funding, increasing cost pressures and rising demand for services from an ageing and growing population.
- “The scale of the challenge in 2016/17 and beyond has significantly increased because of the local government funding settlement.”
  - “In 2016/17, Scottish Government revenue funding for councils is 11% lower (in real terms) than in 2010/11.”
  - “In a climate of reducing resources the importance of scrutiny has never been greater.”
  - “Councils with good medium and longer-term financial plans and strategies are better equipped to manage these risks effectively.”
- 2.3 From another perspective, PWC suggest in a recent report that there are a number of areas which councils should focus on “to harness the power of participation” going forward and it is reassuring that many of these feature in Renfrewshire’s ‘better council programme,’ such as:
- The need for whole system transformation to achieve outcomes for citizens
  - Actively championing digital participation
  - Developing an empowered, networked and agile workforce
- 2.4 **Looking back** over a number of years it is now possible to see how the proactive approach taken by the council, the rigor applied to financial planning, the benefits and savings delivered through the Better Council Change Programme and the dedication of staff to meet the demands of the pace of change has served the council well in managing highly significant organisational risk and opportunities. The council is well placed going forward to continue to provide excellent services for local people, make significant investment in the community and protect vulnerable residents.
- 2.5 **Looking forward** the council will be progressing the City Deal project to enhance excellent connectivity, attract inward investors and visitors, and create new jobs. 2016 will also focus on Paisley’s bid to be UK City of Culture 2021. Over the next three years the council will invest £149m in capital projects, will reduce financial pressure on local people, improve outdoor spaces and help deliver major regeneration projects.
- 2.6 In response to all of the above the risk register is regularly and robustly reviewed and revised as necessary to ensure that it suitably reflects the current business environment, capturing the key challenges for the council whether aligned to the corporate priorities or inherent in the current day to day business environment of the council, or indeed other matters of importance that may be imminent or as yet on the horizon.
- 2.7 As in previous years, a number of methods have been employed and information sources reviewed (some of which have already been referred to in the preceding paragraphs), to stimulate a thorough approach to identifying the corporate risks. These are outlined in Table 2.7.1 overleaf.

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Service:	N/A	Lead Author	Risk Manager on behalf of the Director of F&R	
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**Table 2.7.1: Methodology for identifying corporate risks**

✔ <b>Consultation</b>	<ul style="list-style-type: none"> <li>(1) The Corporate Risk Management Group met to consider generic themes that apply across the majority of the council's services and that may impact on the council's key objectives</li> <li>(2) The Risk Manager engaged with the Corporate Management Team to consider potential challenges in the delivery of the Council Plan</li> <li>(3) Appraisal of service priorities to identify key challenges for delivery that may result in significant impact to central resources</li> <li>(4) Liaison with council insurance brokers/ advisors, insurers and risk management advisors</li> </ul>
✔ <b>Benchmarking</b>	<ul style="list-style-type: none"> <li>(5) Discussion with risk managers in other local authorities through Alarm Scotland, the national public risk management association/ Scottish Group</li> <li>(6) Other public sector risk registers available in the public domain</li> </ul>
✔ <b>Review of key reports specific to the council</b>	<ul style="list-style-type: none"> <li>(7) Audit Scotland: Renfrewshire Council Assurance and Improvement Plan 2014–17</li> <li>(8) Audit Scotland: Renfrewshire Council, Annual report on the 2014/15 Audit Report to Council 26 February 2016</li> <li>(9) A Better Future, A Better Council – Progress report to Council, 17 December 2015</li> <li>(10) Local Government Finance Settlement 2016/17: Report to Leadership Board, Feb 2016</li> <li>(11) Revenue Budget and Council Tax 2016/17 Report to Council 3 March 2016</li> <li>(12) Health and Social Care Integration – Financial Due Diligence and Governance Update Report to Council 3 March 2016</li> </ul>
✔ <b>Review of key external reports</b>	<ul style="list-style-type: none"> <li>(13) PWC: Beyond control – Local Government in the age of participation</li> <li>(14) Audit Scotland: An overview of local government in Scotland 2016 (March 2016)</li> </ul>
✔ <b>Consideration of legislative changes</b>	No material legislative changes that the council is not already addressing.

2.8 While many of the risks that feature in the revised corporate risk register have been rolled forward from 2015/16, the focus and scoring of some has been revised to ensure they accurately take account of any changes in context. Paragraphs 2.8.1 to 2.8.4 highlight various changes that have taken place.

#### 2.8.1 New risks coming onto the corporate risk register

##### Opportunity Management: Key Regeneration Outcomes:

This risk pulls together the various regeneration activities being progressed, including the City Deal Programme which was previously a separate risk as noted in 2.8.3 below, improvements to our Town Centres, our targeted approach to the regeneration of specific communities, the building of new homes and the encouragement of additional development and investment into Renfrewshire. All high profile regeneration programmes/ projects require significant community engagement, robust monitoring and implementation otherwise there is an inherent risk around funding availability, grant conditions, financial and economic assumptions and not delivering the benefits expected from the associated levels of investment.

##### Opportunity Management: Key Cultural & Heritage Outcomes:

This risk deals with the implementation of the key aspects of the Paisley Town Centre Heritage Asset Strategy as well as the progress with the Paisley bid for UK City of Culture in 2021. All

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Service:	N/A	Lead Author	Risk Manager on behalf of the Director of F&R	
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high profile cultural and heritage programmes/ projects require significant community engagement, robust monitoring and implementation otherwise there is an inherent risk around funding availability, grant conditions, financial and economic assumptions and not delivering the benefits expected from the associated levels of investment.

Delivering key outcomes with strategic partners:

The Council works successfully with a range of partners across all sectors to support and provide services to local people. In the current financial climate it is increasingly important that all partners work together to ensure that we achieve the best possible outcomes from our joint resources, otherwise there will be a risk in relation to performance and reputation around the ability to effectively deliver strategic plans, community and financial outcomes and partnership aims and objectives.

The Council will continue to strengthen these partnership links through the development of Strategic Partnership Agreements. A review of community planning arrangements will also be undertaken to ensure that these meet the needs of all partners and the requirements of the Community Empowerment Act and facilitate wider, open access to the community planning process. The Council will continue to work with partners to adopt best practice approaches at a local level to the new legislation.

Enterprise Resource Planning (ERP):

The Finance and Resources Service is leading the review of the Council's financial and HR systems to support transformational change improve management information and deliver efficiency savings. A new ERP system will be introduced from 1 April 2017. The council will require ensuring that internal processes are reviewed and where necessary, revised timeously to align with the new system's functionality. If not carefully managed, there is a risk of operational challenges and service disruption during implementation.

Digital Participation:

The council has invested and continues to invest in the improvement of connectivity and access to digital services across Renfrewshire. The council is implementing its digital participation plan to support low income families and other disadvantaged groups to benefit from access to the internet. It will be important to address challenges around desire and ability to engage with digital services so that Renfrewshire citizens, businesses and the council will benefit fully from the range of digital opportunities that will be available. The vision is that in a Digital Renfrewshire everybody has the opportunity to reach their digital potential.

2.8.2 Risks with increasing or decreasing scores/ evaluation:

- Risks being carried forward into 2016/17 have retained their existing scores

2.8.3 Risks moving off the corporate risk register (or merging with others)

- City Deal: Failure to Deliver and Unemployment and Economy: the challenges associated with delivering the City Deal projects and the economy risk are now being captured within the new "Opportunity Management - Key Regeneration Outcomes" risk (2.8.1 above). The unemployment risk is being de-escalated back to the relevant service department to manage and monitor 'business as usual' through their service risk management plan.
- Delivering on SOA outcomes through the Community Planning Partnership and – Health & Social Care Integration: both these risks have now been incorporated into the new "Delivering key outcomes with strategic partners" risk (2.8.1) above. The Health and Social Care Integration risk reflected the challenges in transition towards integrated Adult Services. Since delegation to the Integration Joint Board is effective from 1 April 2016, the transition risk has ended and any ongoing challenges in delivering the Integration Joint Board's strategic plan are captured in the new risk.
- Incident Management and Business Continuity: both risks are now being brought together into a single "Organisation Resilience" risk.

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- Information Governance, Information Management and Records Management: these risks are now being brought together into a single “Information and Records” risk.
- Equality and Human Rights: this risk has had corporate focus and specific impetus following the requirement for the council to comply with the general equality duty set out in the Equality Act 2010. Organisational arrangements are in place and so the corporate risk is being removed with the expectation that individual service departments will include a risk on their service risk management plans if and where appropriate.
- Management of Elections: this risk is being transferred back to the Finance and Resources risk management plan as ‘business as usual.’ Corporate arrangements and procedures for managing elections are well established and the council has a good track record in this area of activity.

#### 2.8.4 Risks with updates to definition or change in focus:

- Energy, carbon and waste management: this risk is being refocused on “Climate change, sustainability and adaptability” linking into the requirements to continue improvements in relation to the climate change duties.
- Facilities and Environmental Infrastructure: this risk which had included aspects such as the heritage asset strategy and the transfer of cultural properties is now being refocused on safety element relating to facilities and environmental infrastructure, specifically capturing risk information relating to fabric and condition, hard and soft facilities management and statutory inspections.

2.9 The corporate risk register continues to bring to sharp focus the significant risk facing the council and this should be balanced with recognition of the opportunities that the council continues to pursue along with the benefits that also continue to be delivered. As with previous years, the risk register continues to be aligned with the themes of the council’s business plan:

 <b>Better Future - Place</b>	 Driving physical and economic regeneration	 Protecting the public
	 Building on our culture and heritage	 Creating a sustainable Renfrewshire
 <b>Better Future - People</b>	 Reducing the level and impact of poverty	 Raising attainment and closing the attainment gap
	 Supporting and sustaining people into employment	 Improving care, health and wellbeing
 <b>Better Council</b>	 Supporting our employees	 Continuing to be a well run council

2.10 Many of the corporate risks continue to be inter-related and inter-dependent. Given the interdependencies between the council’s opportunities, risks and benefits, the oversight that the Corporate Risk Management Group applies on an ongoing basis in terms of close monitoring and review of the corporate risks and progress of associated action, is essential for understanding the complexity of the current risk environment of the council, particularly during a continued period of challenge and considerable organisational change.

2.11 On the basis of the review of the business context for the council, the Corporate Risk Management Group, in consultation with the Corporate Management Team has therefore agreed the key risks to be recorded within the corporate risk register going forward from April 2016.

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### 3. The Corporate risk profile and Top Risks going forward from April 2016

3.1 The detailed corporate risk register from April 2016 is provided in the attached appendix. The risk register is set out with risks aligned to the themes of the council's business plan, A Better Future, A Better Council.

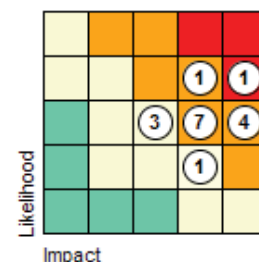
3.2 By way of summarising the information contained within the detailed corporate risk register, the remainder of this section provides:

- Table 3.2.1: the corporate risk profile in terms of low, moderate, high and very high risks
- Table 3.2.2: all corporate risk areas ranked in descending order of significance;
- Table 3.2.3: the council's TOP 6 corporate risks with a brief narrative overview.
- Table 3.2.4: an overview of how risks relate to the themes of the council's business plan.

**Table 3.2.1: Corporate Risk Profile**

Evaluation:	Low	Moderate	High	Very High	Total
No. of Risks:	0	04	12	01	17

\*Refer to Table 3.2.3 for details relating to the very high risk



**Table 3.2.2: Corporate risk areas in order of significance**

Risk areas	Likelihood	Impact	Score	Evaluation
1) Financial Sustainability	04	05	20	Very High
2) Tackling Poverty – Programme Implementation	04	04	16	High
3) Opportunity Management - Key Regeneration Outcomes	03	05	15	High
4) Opportunity Management - Key Cultural & Heritage Outcomes	03	05	15	High
5) Community Safety & Public Protection	03	05	15	High
6) Facilities and Environmental Infrastructure	03	05	15	High
7) Delivering Key Outcomes with Strategic Partners	03	04	12	High
8) Better Council Programme	03	04	12	High
9) Enterprise Resource Planning (transition and implementation)	03	04	12	High
10) Serious Organised Crime, Insider Threat and Corporate Fraud	03	04	12	High
11) Corporate Events Management	03	04	12	High
12) Information and Records	03	04	12	High
13) Marketing and Communications	03	04	12	High
14) Raising Attainment	03	03	9	Moderate
15) Organisational Resilience	03	03	9	Moderate
16) Climate change, sustainability and adaptability	02	04	8	Moderate
17) Digital Participation	03	03	9	Moderate

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**Table 3.2.3: TOP 6 Corporate Risks**

Title	Risk	Overview
Financial Sustainability	<p><b>If significant cost pressures and reducing available resources are not successfully planned for and managed effectively over the medium to longer term, there is a serious risk of unplanned/ reactive budget realignments that could jeopardise the financial stability of the council with significant impact on availability and quality of front-line services and capital resource</b></p> <p>On 3 March 2016 the Council approved the 2016/17 Revenue Budget and Council Tax which confirmed a balanced budget position for 2016/17. The Council has continued to take a number of decisions as part of the ongoing Better Council Change Programme and Debt Smoothing Strategy which support the release of savings over the period 2016/17 – 2017/18 and there is an expectation of a budget gap of up to £6 million or beyond remaining over the two year period to 2017/18, subject to further decisions taken by members.</p>	
Tackling Poverty – Programme Implementation	<p><b>The council is committed along with its partners to tackle poverty in Renfrewshire. With levels of poverty estimated to rise across Scotland, if the partners do not provide an effective response to Renfrewshire then more citizens will experience poverty and its effects.</b></p> <p>An extensive programme of work is being progressed locally through a range of projects and initiatives and the lead for delivering on the project is held by the Chief Executive's Service. The programme will run until the end of 2016/17 and a critical role of this service will be to ensure that projects are completed on time and on budget and crucially that the positive benefits of these programmes are realised. Officers from the service continue to work with other local authorities and a national level to identify best practice approaches, and will also develop longer term options to produce a long-term evidence based approach to tackling poverty, based on learning from the programme</p>	
Key Regeneration Outcomes	<p><b>All high profile regeneration programmes/ projects require significant community engagement, robust monitoring and implementation otherwise there is an inherent risk around funding availability, grant conditions, financial and economic assumptions and not delivering the benefits expected from the associated levels of investment.</b></p> <p>This risk pulls together the various regeneration activities being progressed, including the City Deal Programme, improvements to our Town Centres, our targeted approach to the regeneration of specific communities, the building of new homes and the encouragement of additional development and investment into Renfrewshire.</p>	
Key Cultural & Heritage Outcomes	<p><b>All high profile cultural and heritage programmes/ projects require significant community engagement, robust monitoring and implementation otherwise there is an inherent risk around funding availability, grant conditions, financial and economic assumptions and not delivering the benefits expected from the associated levels of investment.</b></p> <p>This risk deals with the implementation of the key aspects of the Paisley Town Centre Heritage Asset Strategy as well as the progress with the Paisley bid for UK City of Culture in 2021.</p>	

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Community Safety & Public Protection	<p><b>The Council has a public protection role relating to child and adult protection, offending behaviour and community safety. Effective partnership working with key agencies and the police is critical to ensuring risk to and from individuals is effectively managed.</b></p> <p>Public protection and community safety is a wide ranging agenda relating to the protection of vulnerable people, communities, businesses and organisations. What makes us vulnerable changes over time and through individual circumstances - and can sometimes occur unexpectedly as a result of a civil contingencies emergency or event. However there are some broad risks that can and should be foreseen and planned for. These include being very young, ill or very old, having limited or no positive support from family or friends, being financially vulnerable or being subject to anti-social behaviour, crime, violence or discrimination. The Council has effective governance structures in place to manage and deliver civil contingencies, public protection and community safety programmes that include class leading diversionary programmes, case management and referral processes. The joint public protection and community safety hub has been implemented, with state of the art CCTV systems supporting well trained and co-ordinated frontline staff that focus on evidence led early intervention and prevention activities.</p> <p>The phase 2 development will focus on further integration of services to be located within the Community Safety hub such as key holding facilities, community alarm response, development of the radio link system, concierge and out of hours service. Further development of the partnership will provide a focus for national priorities including Gender Based Violence, Multi Agency Risk Assessment Conference (MARAC), and Scotland's Missing Persons Strategy as well as providing a focus for diversionary services.</p> <p>The council commissioned an independent review of the Chief Officers Group for Public Protection in 2015 and is implementing the recommendations from that review to ensure the group continues to provide strong multi-agency leadership in relation to all elements of public protection.</p> <p>Children's social work services continue to experience a high level of demand particularly in relation to child protection referrals and the number of looked after children. The Council continues to work with agency and community partners to ensure that children receive support at the earliest opportunity and action is taken to mitigate and manage any identified risks. The implementation of a number of evidence-based programmes and a collaboration with the Centre for Excellence for Looked after Children in Scotland (CELCIS) in relation to permanency planning have been demonstrated as having positive impacts for children, young people and their families. Since 2013, in conjunction with Police Scotland and Barnardo's Scotland, the Council has had in place a robust system to identify and address child sexual exploitation. Similarly, Adult Services have seen increasing numbers of adult protection referrals and continue to adopt a multi-agency approach to managing identified risks in relation to vulnerable adults. Council actions in relation to the protection of adults and children are subject to scrutiny by the Community Protection Chief Officers Group.</p>
Facilities & Environmental Infrastructure	<p><b>If the council fails to implement effective asset management in respect of council facilities and environmental infrastructure there is a risk of increased statutory compliance requirements, uncertainty around inspections, liabilities and potential claims, and the potential for harm to service users and/ or employees.</b></p> <p>This risk covers a number of key areas including the condition of buildings, rationalisation of facilities, optimum capacity and hard and soft facilities management.</p> <p>The Council continues to maintain and improve its physical assets. The CAMIS system is utilised for information relating to Statutory Inspections. A review of depots is being progressed to rationalise the number of depots.</p> <p>Improvements continue in relation to the strategic road and rail connections to the conurbation and the wider motorway and rail network. The Council maintains the road network based on the most efficient whole life costs and is delivering the Street Lighting Strategy to replace conventional street lamps across Renfrewshire with more energy and cost effective LED alternatives.</p>

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**Table 3.2.4: Relationship with the council's business plan**

1: A Better Future - PLACE		
01 Driving Physical & Economic Regeneration	CRR16.01.01 Opportunity Management - Key Regeneration Outcomes	<p><u>Context:</u></p> <ul style="list-style-type: none"> <li>*City Deal and making sure local people &amp; business benefit as much as possible from these.</li> <li>*Working with Housing Association partners to build more affordable homes in Renfrewshire.</li> <li>*Progressing Community Growth Areas across Renfrewshire</li> <li>*Delivering actions that will improve our Town and Village centres.</li> <li>*Using new approaches to attract new development and investment.</li> </ul>
	CRR16.01.02 Corporate Events Management	<p><u>Context:</u></p> <ul style="list-style-type: none"> <li>*Beer and Food Festival 20th - 23rd April</li> <li>*British Pipe Band Championships - 21st May</li> <li>*Sma Shot Day - 2nd July</li> <li>*Paisley Pipe Band Champs- 16th July</li> <li>*Fire Engine Rally - 13th Aug</li> <li>*Paisley Make - 29th Aug - 4th Sept</li> <li>*Doors open Day - 3rd and 4th Sept</li> <li>*The Spree Festival 14th - 22nd Oct</li> <li>*Halloween Festival 28th - 29th Oct</li> <li>*Fireworks Display 5th Nov</li> <li>*Christmas Lights On Events - Nov.</li> <li>*European Curling Championships 18th - 26th Nov</li> <li>*Ongoing desire to host Monte Carlo Rally</li> </ul>
02 Building on our Culture & Heritage	CRR16.02.03 Opportunity Management - Key Cultural & Heritage Outcomes	<p><u>Context:</u></p> <ul style="list-style-type: none"> <li>*Developing the bid for Paisley to be the 2021 UK City of Culture</li> <li>*Implementing the Renfrewshire Tourism Framework and action plan.</li> <li>*Delivering the Paisley Town Centre Heritage Asset Strategy</li> <li>*The Paisley Museum and Museum Store developments</li> </ul>
03 Protecting the Public	CRR16.03.04 Community Safety & Public Protection	<p><u>Context:</u></p> <ul style="list-style-type: none"> <li>*With best systems and procedures in place this risk is always possible given human nature and unpredictability of some scenarios</li> <li>*Supporting Paisley First to achieve Purple Flag status and deliver the same standards of community safety in all town centres.</li> <li>*Reducing crime and unintentional harm.</li> <li>*Improving perceptions of safety and wellbeing.</li> <li>*Expand the range of activities provided by our successful Street Stuff programme and get more young people involved.</li> <li>*Ensuring the Council respond locally to the risks posed by serious organised crime.</li> <li>*Deliver the benefits expected from the new Renfrewshire Community Safety Hub.</li> </ul>
	CRR16.03.05 Serious Organised Crime, Insider Threat and Corporate Fraud	<p><u>Context:</u></p> <ul style="list-style-type: none"> <li>*Serious and Organised Crime is a threat to national security</li> <li>*It costs the UK more than £24 billion a year</li> <li>*Organised crime, insider threat, bribery and corporate fraud could become an area of concern for the council</li> <li>*The council needs to protect its citizens and its business resources</li> </ul>
	CRR16.03.06 Organisational Resilience	<p><u>Context:</u></p> <ul style="list-style-type: none"> <li>*Incident Response and Management (linked to Community Risk Register) (1) Industrial Accidents and Environmental Pollution, (2) Transport Accidents, (3) Severe Weather Incidents, (4) Structural Incidents, (5) Human Health, (6) Animal Health, (7) Industrial Action, (8) International Events, (9) Industrial Technical Failure</li> <li>*Business Continuity/ Resilience in relation to: (1) Non (or reduced) availability of premises (2) Non (or reduced) availability of employees (3) Non (or reduced) availability of systems ....impacting on critical services and functions.</li> </ul>
04 Creating a Sustainable Renfrewshire	CRR16.04.07 Climate change, sustainability and adaptability	<p><u>Context:</u></p> <ul style="list-style-type: none"> <li>*Protecting and enhancing the Green Belt and strengthening landscape character</li> <li>*Stabilising Renfrewshire's population</li> <li>*Protecting and sustaining human health and enhancing human well being.</li> <li>*Ensuring better integration between transport and land use planning and increasing the proportion of trips undertaken by walking, cycling and public transport</li> <li>*Protecting and enhancing the water environment and promoting sustainable flood risk management</li> <li>*Improving air quality and reducing the level of airborne pollutants</li> <li>*Reducing green-house gas emissions</li> <li>*Reducing Renfrewshire's carbon foot print</li> <li>*Increasing energy efficiency</li> </ul>

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## 2: A Better Future - PEOPLE

05 Reducing the level and impact of Poverty	CRR16.05.08 Tackling Poverty – Programme Implementation	<p><u>Context:</u></p> <ul style="list-style-type: none"> <li>*Tackling Poverty Commission report published March 2015</li> <li>*Tackling Poverty strategy launched in October 2015</li> <li>*Extensive programme of projects and initiatives being progressed, with £6m of funding allocated by the Council to support delivery and achievement of key outcomes,.</li> <li>*Governance of programme established</li> <li>*Delivering approaches to help mitigate the impacts on low income households of the next phase of Welfare Reforms</li> <li>*Delivering a range of interventions to support financial inclusion across Renfrewshire</li> <li>*Producing a long-term, evidence based and sustainable approach to tackling poverty, based on learning from Tackling Poverty programme</li> </ul>
06 Raising Attainment and Closing the Attainment Gap	CRR16.06.09 Raising Attainment	<p><u>Context:</u></p> <ul style="list-style-type: none"> <li>*Delivering the Literacy Development Programme</li> <li>*Making better use of data to support the learning and teaching of young people</li> <li>*Implementing the National Improvement Framework in our schools</li> </ul>
08 Improving Care, Health and Wellbeing	CRR16.08.10 Delivering Key Outcomes with Strategic Partners	<p><u>Context:</u></p> <ul style="list-style-type: none"> <li>*Expanding the Families First approach</li> <li>*Implementing the Children and Young People Act</li> <li>*Supporting the Renfrewshire Health and Social Care Partnership's Strategic Plan</li> <li>*Extending telecare and telehealth services</li> <li>*Support the third sector and community groups to develop and deliver support within their local communities, principally through partnership working with engage Renfrewshire and other key community groups.</li> <li>*Integrating Renfrewshire Leisure services to increase opportunities for people to improve their health and well being</li> </ul>

## 3: A Better Council

10 Continuing to be a Well Run Council	CRR16.10.11 Financial Sustainability	<p><u>Context:</u></p> <p>Ongoing challenges include:</p> <ol style="list-style-type: none"> <li>(1) Demand/ changing demographics</li> <li>(2) Reduction in resources available to deliver services</li> <li>(3) New 'Self Directed Support' agenda requires the council to make funds available to clients with no guarantee that they will use council services</li> <li>(4) Financial/ efficiency savings, inflation rates and reduced income from asset sales</li> <li>(5) Workforce/ Rising employee and pension costs, meeting increased demand with reduced workforce</li> <li>(6) Investment/ for roads, schools, housing stock to support existing services and economic growth.</li> <li>(7) Maintaining assets/ backlog maintenance and repair for the estate</li> <li>(8) Environmental/ uncertain energy and fuel costs, emission reduction targets</li> <li>(9) Potential financial impact of the extension of Universal Credit</li> <li>(10) Potential financial impact of the fiscal frame work underpinning the Scotland Bill</li> <li>(11) Potential financial impact arising from the Integration of Health and Social Care Services in Renfrewshire</li> </ol>
	CRR16.10.12 Facilities and Environmental Infrastructure	<p><u>Context:</u></p> <ul style="list-style-type: none"> <li>*Fabric and condition of buildings</li> <li>*Maintenance and hard and soft facilities management</li> <li>*Statutory compliance inspections/ ensuring assets are safe and fit for purpose for employees and service users</li> </ul>
	CRR16.10.13 Enterprise Resource Planning (transition and implementation)	<p><u>Context:</u></p> <p>Introducing a new Enterprise Resource Planning system that will deliver more efficient strategic planning, service commissioning, financial management, property management, information technology, human resources and business support services for our internal customers</p>
	CRR16.10.14 Better Council Programme	<p><u>Context:</u></p> <ul style="list-style-type: none"> <li>*Implementation of a significant programme of transformational change</li> <li>*Increased efficiency</li> <li>*Second phase of the programme, 2016/17 to facilitate identification of additional savings areas.</li> <li>*Addressing capacity challenges (financial and workforce) to deliver change and improvement</li> </ul>

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	CRR16.10.15 Information and Records	<u>Context:</u> The council has well established and embedded information governance arrangements. There is scope however to further improve on aspects of how the council manages information. Additionally the council has a Records Management Plan, approved by the Keeper of Scotland and this will require full implementation within 5 years.
	CRR16.10.16 Marketing & Communications	<u>Context:</u> *Supporting staff through change through effective internal communications *Ensuring employees understand the key priorities being driven by the council through the Council Plan and their role in achieving these. *Engaging Renfrewshire's communities in the objectives of the Community Plan *Communicating important information to local residents about initiatives such as the Tackling Poverty strategy and digital strategy and what it means for them *Crisis communications *Increasing demand for employees' access to social media sites and feeds for professional and personal purposes creates security and reputational concerns *Leading on the development and management of the Renfrewshire Brand promoting Renfrewshire are world-class tourist destination and supporting the regeneration of Paisley and Renfrewshire more widely. *Providing branding and promotions to support the 2021 Bid *Delivering a range of diverse and exciting events to increase visitor numbers to our town centre
	CRR16.10.17 Digital Participation	*Implementing the digital participation plan to support access to the internet *Providing customers with easy to use digital services *Addressing the known barriers to accessing the internet, lack of: - digital skills; - access; cost and motivation (fear, internet safety, desire, limited understanding the benefits). *Targeting our efforts initially on those individuals who are most likely to be digitally excluded.

3.3 The risk treatment activity planned for 2016 and beyond is shown within the corporate risk register in the appendix that follows. This activity (proportionate to the level of each risk) will further contribute to either the prevention of the risk occurring, where possible, or mitigating their potential effects. Where there are no actions linked to a risk this indicates that the risk is being managed as 'business as usual' taking account of the control measures currently in place.

3.4 The corporate risk register continues to underpin the key priorities of the council's Annual Strategic Audit Plan. Actions relating to planned audits for 2016/17 have been aligned to the relevant corporate risks in the appendix. Any improvement actions arising from 2015/16 internal audit work will continue to be integrated into the risk register as audit reports are finalised.

3.5 A midyear progress report on the corporate risk register will be reported in due course to the Corporate Management Team and the Finance and Resources Policy Board. Information on specific significant risks will be reported by the Corporate Risk Management Group to the Corporate Management Team as required on an exceptional basis.

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# Corporate Risk Register










Report Type: Risks Report  
Report Author: Risk Manager


## Appendix







### Priority 1: A Better Future - PLACE Objective 01 Driving Physical & Economic Regeneration

Context	Risk Statement	Owned by	Current Risk Control Measures	Likelihood	Impact	Evaluation
DHRR16.01.01 Opportunity Management - Key Regeneration Outcomes  Context: *City Deal and making sure local people & business benefit as much as possible from these. *Working with Housing Association partners to build more affordable homes in Renfrewshire. *Progressing Community Growth Areas across Renfrewshire *Delivering actions that will improve our Town and Village centres. *Using new approaches to attract new development and investment.	All high profile regeneration programmes/projects require significant community engagement, robust monitoring and there is an inherent risk around funding availability, grant conditions, financial and economic assumptions and not delivering the benefits expected from the associated levels of investment.	Director of Development & Housing Services	<b>City Deal</b> *All projects will be managed using the Council's established Project Management Framework and the City Deal Assurance Framework. *Internal governance is now in place via the City Deal Programme Board (chaired by the Chief Executive) and the Leadership Board. *Dedicated City Deal Project Team with Programme Director and relevant experience of delivering major infrastructure projects in place and making good progress. *Masterplanning exercise underway spring 2016 and initial discussions held with Airport on implementation of the Investment Area.  <b>Town Centre Regeneration</b> *Paisley Heritage Asset Strategy approved in January 2014 *Paisley BID (Business Improvement District) Steering Group established, the Council is represented on the BID. *Simplified Planning Zone established in Renfrew Town Centre in Aug 2015. *Bid submitted to HLF (Dec 2015) for funding for redevelopment of Paisley Museum. *Johnstone town hall project being implemented. Significant renewal project of old town hall/swimming pool/library complex. Brings together Council services into a new civic centre piece for the town. *Well received charrette process held in Erskine in Feb 2016 including proposals for town centre. *Retail incubator established in Paisley Town Centre. *Bid submitted Feb 2016 to HLF / HES for further townscape heritage priority projects in Paisley Town Centre. *Preparation and consultation on Town Centre Strategies for Linwood, Johnstone, Erskine, Braehead and Renfrew in 2015.  <b>Community Regeneration</b> The Council has identified a number of priority regeneration projects in local residential communities through the SHIP process. These include: *Paisley West End – Council is partnering with a RSL to bring forward a masterplan for this residential community during 2016. *Johnstone Castle – replacement of significant number of unpopular	03	05	15 High

			<p>tenemental properties and provision of new build social rented properties for local residents.</p> <p>*Bishopton – around 2,500 homes being provided in a new community on brownfield site which will also contain education and community facilities. Approx. 25% of the new housing will be in the affordable category.</p> <p><b>House building and encouragement of investment</b></p> <p>*Setting ambitious targets for new build housing in Renfrewshire.</p> <p>*Promotion/Marketing of Renfrewshire as a place to invest eg. attending MIPIM conference with Invest in Glasgow team, March 2016.</p> <p>*Review of Council's land and property assets to facilitate new development and commencing discussions with CPP partners on joint approaches to property solutions.</p>			
Action Codes	Linked Actions	Assigned To				Status
CRR16.01.01a	Internal Audit to review the co-ordination and oversight arrangements for external funding applications	Chief Auditor				30-Jun-2017 
CRR16.01.01b	Internal Audit to undertake reviews of compliance with external funding grant conditions	Chief Auditor				30-Jun-2017 
CRR16.01.01c	Internal Audit to work with the appointed internal auditors for City Deal	Chief Auditor				30-Jun-2017 
FRSIP	Property Services will work corporately and with Community Planning partners to develop and deliver regeneration projects for Paisley town centre and throughout Renfrewshire	Head of Property Services				31-Mar-2019 
DHRR16.01.01a	Evaluate the potential for an Airport Investment Area Steering Group with key partners.					30 Sept 2016 
DHRR16.01.01b	Produce a Town Centre Vision for Paisley in 2016.					31-Mar-2017 
DHRR16.01.01d	Progress the Proposed new Paisley Lending Library in town centre.					31-Mar-2017 
DHRR16.01.01e	Makers space (MAKLAB) proposed for Paisley town centre in 2016.					31-Mar-2017 
DHRR16.01.01f	Open the UK City of Culture Bid Base in Paisley High Street in summer 2016.					30 Sept 2016 

Context	Risk Statement	Owned by	Current Risk Control Measures	Likelihood	Impact	Evaluation
CRR16.01.02 Corporate Events Management <u>Context:</u> *Beer and Food Festival 20th - 23rd April *British Pipe Band Championships - 21st May *Sma Shot Day - 2nd July *Paisley Pipe Band Champs- 16th July *Fire Engine Rally - 13th Aug *Paisley Make - 29th Aug - 4th Sept *Doors open Day - 3rd and 4th Sept *The Spree Festival 14th - 22nd Oct *Halloween Festival 28th - 29th Oct *Fireworks Display 5th Nov *Christmas Lights On Events - Nov. *European Curling Championships 18th - 26th Nov *Ongoing desire to host Monte Carlo Rally	Effective preparation and co-ordination across a number of services, for high profile events coming to Renfrewshire is essential and should this not be achieved there is a risk of adverse reputational impact for the council on a national and international level	Head of Marketing	<b>Top 5 controls:</b> *Monthly Strategic Events Group in place to co-ordinate preparation for various events as per event schedule, with representation from all relevant council services and community partners *Events Guidance Manual in operation *Considerable pre-event liaison with in house teams and the emergency services *The events team and in-house specialists have considerable experience and a good track record in organising and managing events *Suppliers procured in accordance with Contract Standing Orders, with indemnity limits agreed and insurance covers checked <b>Other controls:</b> Accredited and experienced stewards are employed and Paramedic and trained first aiders are on site at all large scale events. There is events cancellation insurance cover in place for higher cost events.	03	04	12 High
Action Codes	Linked Actions					
CE.SIP	Deliver a range of diverse and exciting events to increase visitor numbers to our town centre					
				Assigned To Head of Marketing	Due Date 31-Mar-2018	Status 







**Priority 1: A Better Future - PLACE**  
**Objective 02 Building on our Culture & Heritage**

Context	Risk Statement	Owned by	Current Risk Control Measures	Likelihood	Impact	Evaluation
CRR16.02.03 Opportunity Management - Key Cultural & Heritage Outcomes  Context: *Developing the bid for Paisley to be the 2021 UK City of Culture *Implementing the Renfrewshire Tourism Framework and action plan. *Delivering the Paisley Town Centre Heritage Asset Strategy *The Paisley Museum and Museum Store developments	All high profile cultural and heritage programmes/ projects require significant community engagement, robust monitoring and implementation otherwise there is an inherent risk around funding availability, grant conditions, financial and economic assumptions and not delivering the benefits expected from the associated levels of investment.	Director of Development & Housing Services	<b>Top 5 controls:</b> <u>City of Culture</u> * Bid Director appointed Oct 2015 * Partnership Board and Executive Group set up to co-ordinate the Bid process in 2015. * Initial engagement commenced with local community and other stakeholders which will escalate during 2016. * UK City of Culture Bid Base to open in Paisley High Street in summer 2016. * Culture Events and Heritage Fund launched Feb 2016 for community groups to apply for financial support for building cultural capacity. * Multiple cross stakeholder groups (workstreams) established and progressing spring 2016 <u>Tourism</u> * Initial discussions commencing 2016 with key tourism sector stakeholders on formulation. * Workshop held with Visit Scotland October 2015 to discuss future vision and marketing of tourism offer in Renfrewshire. <u>PITCHAS</u> * Paisley Heritage Asset Strategy approved in January 2014 * Paisley BID (Business Improvement District) Steering Group established, the Council is represented on the BID. * Bid to HLF (Dec 2015) for funding for redevelopment of Paisley Museum. * Proposed new Paisley Lending Library in town centre. * Purple Flag status to be applied for in 2016 for Paisley Town Centre focusing on quality, accessibility and safety for users. * Retail incubator established in Paisley Town Centre. * Makers space (MAKLAB) proposed for Paisley town centre in 2016. * Bid submitted Feb 2016 to HLF / HES for further townscape heritage priority projects in Paisley Town Centre. * Town Centre Vision to be produced in 2016 for Paisley. <u>Museum</u> * Bid to HLF (Dec 2015) for funding for redevelopment of Paisley Museum. Decision expected summer 2016.	03	05	15 High
Action Codes	Linked Actions			Assigned To	Due Date	Status
CRR15.02.14a	Internal Audit to review the Heritage Asset Strategy			Chief Auditor	30-Jun- 2016	
CE.SIP	Provide branding and promotions to support the 2021 Bid			Head of Marketing	30-Jun- 2017	
CE.SIP	Implement the Renfrewshire Tourism Framework			Head of Marketing	31-Mar- 2018	
CE.SIP	Launch our marketing campaign to promote Renfrewshire as a world class destination			Head of Marketing	31-Mar- 2018	

**Priority 1: A Better Future - PLACE**  
**Objective 03 Protecting the Public**

Context		Risk Statement	Owned by	Current Risk Control Measures	Likelihood	Impact	Evaluation
CRR16.03.04	Community Safety & Public Protection	The council's community safety and public protection role, delivered within an integrated partnership model is critical to ensuring child and adult protection, and that offending behaviour and community safety services are effectively delivered, or risk of harm to and from individuals may arise.	Director of Children's Services; Director of Community Resources	<b>Top 5 controls:</b> *Multi-agency child and adult protection committees well established, with independent chair in place for both *Community safety and public protection steering group *Chief Officers Group (leaders from all relevant partner agencies meeting on a regular basis to discuss key issues) *Community Safety Hub, tasking and case management arrangements *Procedures developed and implemented across partnerships through the child and adult protection committees and through North Strathclyde Community Justice Authority.  <b>Other controls:</b> *Multi Agency Risk Assessment Conference (MARAC) *Development of national Missing Persons Strategy.	03	05	15 High
Action Codes		Linked Actions			Assigned To	Due Date	Status
CRR16.03.04a		Internal Audit to review arrangements for adults with incapacity			Chief Auditor	30-Jun-2017	
CRR16.03.04b		Internal Audit to review the civil contingencies unit			Chief Auditor	30-Jun-2017	
CR.SIP		Support Paisley First to achieve Purple Flag status for Paisley Town Centre and deliver similar standards of community safety in all town centres across Renfrewshire			Comm Res. SLT	31-Dec-2016	
CR.SIP		Develop and deliver phase 2 of the Renfrewshire Community Safety Partnership hub.			Head of Public Protection	31-Mar-2018	
CR.SIP		Deliver Safer & Stronger communities through improved intelligence sharing and provision of the Street Stuff youth diversionary programmes, through the Renfrewshire Multi-Agency Tasking Group and as part of the Building Safer Greener Communities programme			Head of Public Protection	31-Mar-2018	
CR.SIP		Lead on the public protection agenda, working with partners to improve the delivery of adult and child protection arrangements.			Head of Public Protection	31-Mar-2019	



Context	Risk Statement	Owned by	Current Risk Control Measures	Likelihood	Impact	Evaluation
CRR16.03.05 Serious Organised Crime, Insider Threat and Corporate Fraud	The council implements a range of measures to prevent and detect serious organised crime and corporate fraud. Should measures not implemented and monitored effectively there would be increased threat to resources and security of information.	Director of Community Resources; Director of Finance & Resources	<b>Top 5 controls</b> * Council Integrity Group established to look at the arrangements for managing this risk * Integrity group will deliver the oversight of development and implementation of strategies to respond effectively as an organisation to national strategies relating to serious and organised crime * ICT security arrangements including Understanding and mitigating risk with 3rd party providers/partners accessing our systems * Security arrangements in our Buildings * Establishment of the Clean and Clear Desk Policy	03	04	12 High
<b>Action Codes</b>	<b>Linked Actions</b>			<b>Assigned To</b>	<b>Due Date</b>	<b>Status</b>
CRR16.03.05a	New cyber security role to be integrated into the work of the Integrity Group			Head of Public Protection	30-Sep-2016	
CRR16.03.05b	Insurer audit of cyber security arrangements to be integrated into the work of the Integrity Group			Head of Public Protection	30-Nov-2016	
CRR16.03.05c	Internal Audit to review recruitment vetting arrangements			Chief Auditor	30-Jun-2017	
CRR16.03.05d	Internal Audit to review counter fraud and corruption policies and procedures			Chief Auditor	30-Jun-2017	
CRR16.03.05d	Internal Audit to review prevention and detection of fraud and corruption across all services			Chief Auditor	30-Jun-2017	
CR.SIP	Develop and deliver a strategy for how the Council will respond locally to the risks posed by serious organised crime			Head of Public Protection	31-Mar-2018	











Context	Risk Statement	Owned by	Current Risk Control Measures	Likelihood	Impact	Evaluation
CRR16.03.06 Organisational Resilience	If the council is not a resilient organisation, this could result in a poor response to external disruptive events such as those recorded in the Community Risk Register and/ or internal events such as loss of key employees, facilities or systems (impacting adversely on the community, council employees, services and reputation).	Director of Community Resources	<b>Top 5 controls:</b> * Council Incident Response Procedures, Council Business Continuity Arrangements and Council Crisis Communication Plan * Corporate and service department Resilience Management Teams * Generic Major Incident Plans * National and local contingency plans * Regular exercising of emergency plans  <b>Other controls:</b> * Civil Contingency Service - Joint service with Inverclyde and East Renfrewshire Councils * Senior staff trained as Council Incident Officers. * Exercise programme in place to test council response to incidents at an individual, service and corporate level * Debriefing arrangements to enable lessons to be learned and fed back into the planning process * Winter maintenance strategy with appropriate employees trained and exercises undertaken. * Corporate Business Continuity Plan in place and regularly reviewed. * Service Business Continuity Plans reviewed regularly across services – standing item on Resilience Management Teams * ICT Disaster Recovery and Management Plan in place. This document reflects all the critical IT applications/ business systems in use for a range of functions across all service departments and provides instruction on the priorities for restoration. the plan is supported by a detailed applications portfolio	03	03	9 Moderate
Action Codes	Linked Actions					
CRR15.02.13a	Internal Audit to review the schools' arrangements for business continuity	Assigned To				
		Due Date				
		Status				
		Chief Auditor	30-Jun-2016			
CRR15.02.13b	Internal Audit to review ICT Acquisition and Implementation/ Business Continuity – Cloud Services	Chief Auditor	30-Jun-2016			
CR.SIP	Ensure all relevant council officers have received appropriate civil contingencies training to ensure they can carry out their incident response roles in an emergency	Head of Public Protection	31-Mar-2017			
CR.SIP	Fulfil the requirements of the Flood Risk Management Act and develop action plans to address flooding risk	Head of Amenity Services	31-Mar-2019			
CR.SIP	Ensure all Council services have business continuity plans in place and that incident response guides are in place for key businesses and assets, so that we can react and recover quickly when things go wrong	Head of Public Protection	31-Mar-2018			

**Priority 1: A Better Future - PLACE**  
**Objective 04 Creating a Sustainable Renfrewshire**



Context		Risk Statement	Owned by	Current Risk Control Measures	Likelihood	Impact	Evaluation				
CRR16.04.07	Climate change, sustainability and adaptability	If the council does not make the most of opportunities associated with climate change, sustainability and adaptability, there is a risk of missed opportunities for maximising savings and the potential for financial penalties.	Director of Development & Housing Services	<b>Top 5 controls:</b> *The Council has used the Climate Change Assessment Tool – helps public sector organisations in Scotland self-evaluate their performance under the public sector duties of the Climate Change (Scotland) Act 2009 *The Carbon Management Plan has specific objectives to reduce emissions and these are included in other key documents such as the Council Plan *Implementation of the Corporate Asset Management Strategy ensures that property assets are managed effectively and efficiently through the provision of relevant management and performance information *The Energy Management Team: -ensure energy management initiatives are aligned to the capital investment programme and corporate asset strategy to optimise use of property estate and reduce overall running costs and energy consumption levels -promote reductions in energy usage and advise employees and residents about energy efficiency *Through the Procurement Unit, sustainability and community benefits are considered in the development of all contract strategies	02	04	8 Moderate				
	Context: *Protecting and enhancing the Green Belt and strengthening landscape character in Renfrewshire *Stabilising Renfrewshire's population *Protecting and sustaining human health and enhancing human well being. *Ensuring better integration between transport and land use planning and increasing the proportion of trips undertaken by walking, cycling and public transport *Protecting and enhancing the water environment and promoting sustainable flood risk management *Improving air quality and reducing the level of airborne pollutants *Reducing green-house gas emissions *Reducing Renfrewshire's carbon foot print *Increasing energy efficiency										
Action Codes								Linked Actions			
CRR16.04.07	Undertake a review of all climate change declarations submitted by other authorities during 2015 to identify good practice and inform further potential council activity								Assigned To	Due Date	Status
CRR16.04.07a	Internal Audit to review carbon management							Chief Auditor	30-Jun-2017		
FR.SIP	Implement the key actions in the Carbon Management Plan to increase energy efficiency, reduce energy consumption and to reduce carbon emissions across the property estate		Head of Property Services								
CR.SIP	Ensure that CO2 emissions are minimised through the management of our fleet and street lighting assets		Head of Amenity Services								
CR.SIP	Deliver the project to replace all street lighting in Renfrewshire with LEDs.		Comm Res. SLT								
CR.SIP	Ensure a residual waste treatment and disposal facility is fully operational by 2019 as part of the Clyde Valley Waste Management solution, to ensure that all waste collected by the partner authorities is diverted from landfill		Comm Res. SLT								

**Priority 2: A Better Future - PEOPLE**  
**Objective 05 Reducing the level and impact of Poverty**

Context		Risk Statement	Owned by	Current Risk Control Measures	Likelihood	Impact	Evaluation
CRR16.05.08 Tackling Poverty – Programme Implementation		The council is committed along with its partners to tackling poverty in Renfrewshire. Programme implementation is in the early stages and with levels of poverty estimated to rise across Scotland, if the partners do not provide an effective response to Renfrewshire then more citizens will experience poverty and its effects.	Head of Policy & Commissioning	<b>Top 5 controls:</b> *Tackling Poverty strategy published in October 15 *Council funding allocated to progress range of targeted initiatives and interventions *Robust programme management processes in place *Governance structure agreed for reporting progress and budgetary monitoring *Annual report to be submitted to Leadership board in June 2016 Lead Officer working with services to progress long term sustainable options for tackling poverty post cessation of the funding in September 2017.	04	04	16 High
Action Codes	Linked Actions	Assigned To			Due Date	Status	
CRR16.05.08n	Internal Audit to to work with services to ensure that initiatives are subject to suitable and proportionate internal controls to protect the council's resources without putting barriers on accessibility	Chief Auditor			30-Jun-2017		
CE.SIP	Provide strategic leadership for the delivery of the overarching Tackling Poverty Strategy	Strategic Lead Officer (Tackling Poverty and Welfare Reform)			March 2018		
CE.SIP	Manage the delivery of projects within the Tackling Poverty Programme, ensuring delivery on time and budget, and that benefits are realised for people living in poverty	Strategic Lead Officer (Tackling Poverty and Welfare Reform)			March 2017		
CE.SIP	Advise on and support service improvements that deliver the strategic outcomes of the Tackling Poverty Programme	Strategic Lead Officer (Tackling Poverty and Welfare Reform)			March 2017		
CE.SIP	Produce a long term, evidence based and sustainable approach to tackling poverty, based on learning from the Tackling Poverty Programme.	Strategic Lead Officer (Tackling Poverty and Welfare Reform)			September 2017		
CE.SIP	Deliver communications activity which informs and engages citizens around the Tackling Poverty Programme, and that shares learning with partners locally and nationally.	Communications Manager			September 2017		
CE.SIP	Deliver approaches to help mitigate the impacts on low income households of the next phase of Welfare Reforms	Strategic Lead Officer (Tackling Poverty and Welfare Reform)			March 2018		
CE.SIP	Deliver a range of interventions to support financial inclusion across Renfrewshire	Strategic Lead Officer (Tackling Poverty and Welfare Reform)			March 2018		
CE.SIP	Implement our digital participation plan to support low income families and other disadvantaged groups benefit from access to the internet	Head of Policy and Commissioning			March 2018		






CE.SIP	Implement our digital participation plan to support low income families and other disadvantaged groups benefit from access to the internet	Head of Policy and Commissioning	31-Mar-2018	
FR.SIP	Prepare for further welfare changes arising through the phased introduction of Universal Credit across the UK during 2016 and beyond			
FR.SIP	Reviewing and redesigning processes for Benefits, including Housing Benefit, Council Tax Reduction, Discretionary Housing Payment, Scottish Welfare Fund, Advice Services and assessment of eligibility for grants and other entitlements in line with changes arising from the introduction of Universal Credit; and the opportunity to bring together services within Customer and Business Services to streamline the way in which these services engage with and support the poorest citizens within Renfrewshire			
FR.SIP	Refining the local arrangements for the Scottish Welfare Fund to better support more vulnerable members of the community and developing relationships with Community Planning partners to deliver a holistic approach for the administration of the fund			
FR.SIP	Providing and/or commissioning advisory and advocacy services to support our residents through the benefits changes, to help them maximise their income and make informed decisions about their money			
FR.SIP	Continue to engage with key partners at both a local and national level to influence the policy changes relating to these areas outlined above and to protect as far as possible the interests of the Council and its citizens			
FR.SIP	Implementing key actions in the Fuel Poverty action plan: ensuring people have access to good quality energy advice and support in relation to fuel poverty; reducing bills and increasing energy efficiency of homes			
FR.SIP	Review the pay and grading model to continue our support of the living wage commitment by the Council			


Priority 2: A Better Future - PEOPLE Objective 06 Raising Attainment and Closing the Attainment Gap						
Context	Risk Statement	Owned by	Current Risk Control Measures	Likelihood	Impact	Evaluation
CRR16.06.09 Raising Attainment  Context: *Delivering the Literacy Development Programme *Making better use of data to support the learning and teaching of young people *Implementing the National Improvement Framework in our schools	If the council does not focus sufficiently on improving attainment for all young people and closing the attainment gap, there is a risk of an ongoing attainment gap where young people from poorer households could continue to perform at a lower level than those from wealthier backgrounds.	Director of Children's Services	<b>Top 5 controls:</b> *Programme of work to ensure compliance with provisions of the Children & Young People (Scotland) Act 2014 *Self-evaluation: - Establishments and services engage in self-evaluation to improve learning and teaching - Establishment Review Teams monitor performance and link to inspection activity *Raise levels of attainment: - Implementation of the National Improvement Framework - Implementation of standardised assessments for literacy and numeracy at key stages - Improvement of information sharing on children's progress by increased parental engagement *Support high quality teaching and learning: - Implementation of GTCS - Professional Review and Development and Professional Update for all teachers across Renfrewshire. - High quality professional development opportunities through leadership development programme for teachers at all levels.	03	03	9 Moderate
Code	Linked Actions	Assigned To			Due Date	Status
CS.SIP	Close the educational attainment gap between children from low-income families and their better-off peers	Head of Schools			March 2017	
CS.SIP	Implement the use of standardised assessments at key stages to support teacher professional judgement and establish a baseline in the attainment of literacy and numeracy	Education Manager (Planning and Performance)			June 2016	
CS.SIP	Review allocation of ASN support to schools through a staged intervention process	Education Manager (GIRFEC)			March 2017	
CS.SIP	Review our social, emotional behavioural needs (SEBN) provision for secondary sector learners to reflect current curriculum structure including access to senior phase provision up to S6	Education Manager (GIRFEC)			March 2017	
CS.SIP	Implement the National Improvement Framework in our schools	Education Manager (Planning and Performance)			August 2016	
CS.SIP	Make better use of the data we hold to support the learning and teaching of young people	Education Manager (Planning and Performance)			March 2017	
CS.SIP	Improve the sharing of information on children's progress through increased parental engagement	Education Manager (Curriculum and Early Years)			March 2017	
CS.SIP	Improve outcomes for young people in Renfrewshire through youth work, youth information, empowerment activities and outdoor learning	Education Manager (policy & strategy)			March 2017	
FR.SIP	Deliver our flagship new special school in Linwood	Head of Property Services			31-Mar-2017	
FR.SIP	Deliver agreed new builds for St John Bosco/ Bargarran Primary School in Erskine and St Paul's Primary School/ Foxlea in Paisley	Head of Property Services			31-Mar-2017	
FR.SIP	Progress work regarding the scope of refurbishment and collocation of St Anthony's Primary School and	Head of Property Services			31-Mar-	

	Spateston Nursery School			2017	
FR.SIP	Complete the project to refurbish and extend Mossvale and St James' Primary School shared campus (estimated completion date January 2017)	Head of Property Services		31-Mar-2017	
FR.SIP	4 new build extensions to be delivered in 2016 in Bridge of Weir Primary School, St Margaret's Primary School, Glendee Pre 5 centre and Wallace Primary School	Head of Property Services		31-Mar-2017	












**Priority 2: A Better Future - PEOPLE**  
**Objective 08 Improving Care, Health and Wellbeing**





Context	Risk Statement	Owned by	Current Risk Control Measures	Likelihood	Impact	Evaluation
CRR16.08.10 Delivering Key Outcomes with Strategic Partners	The Council is engaged with Strategic Partners in the delivery of key services and outcomes. The partnerships must work together effectively otherwise there will be a significant risk in relation to performance and reputation around the ability to effectively deliver strategic plans, community and financial outcomes and partnership aims and objectives.	Head of Policy & Commissioning	<b>Top controls:</b> *monitoring arrangements in place through appropriate boards and joint committees. *mature community planning partnership arrangements, recognised at national level. *Strategic Partnership Agreement in place with University of West of Scotland with others under development *service level agreements in place as appropriate *Community Planning Partnership arrangements ensure we are operating effectively for partners, delivering on the priority outcomes for Renfrewshire and compliance with the requirement of the Community Empowerment (Scotland) Act.	03	04	12 High
Action Codes	Linked Actions	Assigned To			Due Date	Status
CRR16.08.10a	Internal Audit to review the governance and reporting arrangements for arms length external organisations	Chief Auditor			30-Jun-2017	
CE.SIP	Develop Strategic Partnership Agreements between Renfrewshire Council and a number of key community planning partners	Partnership Planning and Development Manager			31-Mar-2018	
CE.SIP	Undertake a review of current community planning structures within Renfrewshire and implement recommendations	Partnership Planning and Development Manager			31-Mar-2017	
CE.SIP	Support the development of the Scottish Local Government Partnership	Head of Policy and Commissioning			31-Mar-2018	
CE.SIP	Develop collaborative relationships across Local Authorities and other public sector bodies	Strategic Commercial and Procurement Manager			31-Mar-2018	

Priority 3: A Better Council Objective 10 Continuing to be a Well Run Council						
Context	Risk Statement	Owned by	Current Risk Control Measures	L'hood	Impact	Evaluation
<p>CRR16.10.11 Financial Sustainability</p> <p><u>Context:</u> Due to effective financial planning, the council is well placed to address the financial challenges forecast over the shorter term, however there are significant and rising pressures forecast from 2016/17 onwards. Consequently the risk remains very high and continues to be subject to significant and regular scrutiny.</p> <p>Ongoing challenges include:</p> <p>(1) Demand/ changing demographics</p> <p>(2) Reduction in resources available to deliver services</p> <p>(3) New 'Self Directed Support' agenda requires the council to make funds available to clients with no guarantee that they will use council services</p> <p>(4) Financial/ efficiency savings, inflation rates and reduced income from asset sales</p> <p>(5) Workforce/ Rising employee and pension costs, meeting increased demand with reduced workforce</p> <p>(6) Investment/ for roads, schools, housing stock to support existing services and economic growth.</p> <p>(7) Maintaining assets/ backlog maintenance and repair for the estate</p> <p>(8) Environmental/ uncertain energy and fuel costs, emission reduction targets</p> <p>(9) Potential financial impact of the extension of Universal Credit</p> <p>(10) Potential financial impact of the fiscal frame work underpinning the Scotland Bill</p> <p>(11) Potential financial impact arising from the Integration of Health and Social Care Services in Renfrewshire</p>	<p>If significant cost pressures and reducing available resources are not successfully planned for and managed effectively over the medium to longer term, there is a serious risk of unplanned/ reactive budget realignments that could jeopardise the financial stability of the council with significant impact on availability and quality of front-line services and capital resource</p>	<p>Director of Finance &amp; Resources</p>	<p><b>Top 5 controls:</b></p> <ul style="list-style-type: none"> <li>• Council approved Medium Term Financial Strategy including key planning principles with regards use of reserves, addressing costs growth, investment in early intervention and preventative spend areas and the use of capital receipts.</li> <li>• Well developed budget planning, budget setting and budget monitoring arrangements at both officer and member level; clear decision making and escalation process in place with regards budget management; improving budget reporting to both officer groups and Policy Boards</li> <li>• As part of medium term financial planning arrangements there is continuous development of saving workstreams to ensure that the Council has an appropriate range of projects underway which will provide a sufficient scope and depth of saving options for elected members as part of delivering a balanced budget year on year. There is also close monitoring of agreed savings to ensure risk of double counting is minimised</li> <li>• Regular updates provided to CMT and Council with regards the national fiscal position, likely developments and the impact on the council through close liaison with national groups and the Scottish Government</li> <li>• Well developed debt strategy which ensures over the medium term the Council's current and future debt levels are prudent and sustainable in the context of reducing resources and also that maximum opportunity for recurring savings are taken advantage of as part of examining the profile of debt payments over the long term.</li> </ul> <p><b>Other controls:</b></p> <ul style="list-style-type: none"> <li>• Areas of improvement with regards financial management, efficiency and competitiveness identified from undertaking the BV2 toolkit self-assessments with actions agreed.</li> <li>• Well developed forecasts for energy consumption and related costs based on national contract prices; role as a partner in the development of a waste management shared service allows the council to influence key decisions and be clear on related costs.</li> <li>• Improving asset management planning has clarified priority areas for investment in the council's estate, supported by dedicated sources in both the capital plan and revenue budget.</li> </ul>	04	05	20 V.High
Action Codes	Linked Actions					
CRR15.02.09b	Internal Audit to review the council's arrangements for Debt Management	Assigned	Due	Status		
		Chief Auditor	30-Jun-2016			








CRR16.10.11a	Internal Audit to review programme management arrangements, focusing on options appraisal processes	Chief Auditor	30-Jun-2017	
CRR16.10.11b	Internal Audit to review the revised ICT operating model	Chief Auditor	30-Jun-2017	
CRR16.10.11c	Internal Audit to review rental income	Chief Auditor	30-Jun-2017	
CRR16.10.11d	Internal Audit to participate in internal project work which supports the better council change programme, as required	Chief Auditor	30-Jun-2017	
CR.SIP	Further develop asset management plans to ensure that whole life costs are understood and annual investment is sustained at the most efficient level for: <ul style="list-style-type: none"> <li>roads and infrastructure</li> <li>parks, cemeteries and open spaces</li> <li>fleet</li> </ul>	Community Resources Senior Leadership Team	31-Mar-2019	



Context	Risk Statement	Owned by	Current Risk Control Measures	Likelihood	Impact	Evaluation
CRR16.10.12 Facilities and Environmental Infrastructure	If the council fails to implement effective asset management in respect of council facilities and environmental infrastructure there is a risk of increased statutory compliance requirements, uncertainty around inspections, liabilities and potential claims, and the potential for harm to service users and/ or employees.	Director of Community Resources	<b>Top 5 controls:</b> *Planned statutory compliance inspections of assets are undertaken by trained personnel. The CAMIS system is utilised for storing information relating to Statutory Inspections. *Inspections of roads, structures and lighting by trained employees. *Council's Energy Asset Unit provides energy efficiency support for new build projects and monitors the energy efficiency of existing assets. *Council project management review board are progressing the review of depots to rationalise the number of depots to make better efficiencies of Council assets and also the LED street lighting programme. As well as greatly improved reliability of street lamps across Renfrewshire, the LED conversion programme will save over 60% of energy consumption compared to the current situation and reduce maintenance. All LEDs should be in place during 2017.  <b>Other controls:</b> *Council fleet - efficient vehicles with built in safety technologies	03	05	15 High
Context: *Fabric and condition of buildings *Maintenance and hard and soft facilities management *Statutory compliance inspections/ ensuring assets are safe and fit for purpose for employees and service users						
Action Codes	Linked Actions	Assigned To			Due Date	Status
CRR15.02.14b	Internal Audit to review arrangements for Roads Maintenance	Chief Auditor			30-Jun-2016	
DHRR15.02.15c	Deliver the savings/income targets as detailed in the Better Council Board papers	Craig Thorpe			31-Mar-2016	
CR.SIP	Ensure that Renfrewshire Council buildings are compliant with all relative legislative requirements	Head of Facilities Management			31-Mar-2019	
CRR16.10.12a	Undertake an audit of the school estate following on from incidents that have occurred at schools other local authorities	Head of Facilities Management			31-Mar-2017	

Context	Risk Statement	Owned by	Current Risk Control Measures	Likelihood	Impact	Evaluation
CRR16.10.13 Enterprise Resource Planning (transition and implementation)	The introduction of the new ERP system will require the redesign of a number of key internal processes. If not carefully managed there is a risk of operational challenges during implementation, service disruption and an inability to maximise the full range of anticipated benefits.	Director of Finance & Resources	<b>Top 5 controls:</b> Key controls relating to the introduction of ERP are aligned with good project management principles: -clear milestones -project manager appointed -strong project board -stakeholder buy in -appropriate training -effective communications	03	04	12 High
<u>Context:</u> Introducing a new Enterprise Resource Planning system that will deliver more efficient strategic planning, service commissioning, financial management, property management, information technology, human resources and business support services for our internal customers						
Action Codes	Linked Actions	Assigned To	Due Date	Status		
CRR16.10.13a	Ensure roles and responsibilities with the ERP supplier are clearly defined and ensure understanding of the balance of who is responsible for delivering what (ie in-house or supplier)	Head of Finance	30-Jun-2017			
CRR16.10.13b	Consult with other appropriate sites to learn lessons from their experience of introducing ERP	Head of Finance	30-Jun-2017			
CRR16.10.13c	Internal Audit to provide consultancy support in relation to process redesign during the implementation stage	Chief Auditor	30-Jun-2017			
CRR16.10.13d	Internal Audit to review key financial controls in order to provide an opinion on the financial internal control environment in place for those systems included within the roll out of ERP	Chief Auditor	30-Jun-2017			

Context		Risk Statement	Owned by	Current Risk Control Measures	Likelihood	Impact	Evaluation
CRR16.10.14 Better Council Programme	<p>The ongoing transformational change agenda makes for a highly complex and challenging business environment which, if not co-ordinated and managed effectively across all aspects of the council's business, could result in benefits not being delivered and impact significantly on future service delivery and the longer term effectiveness of the organisation</p>	Head of Policy & Commissioning	<p><b>Top 5 controls:</b></p> <ul style="list-style-type: none"><li>*Programme management approach adopted.</li><li>*Monthly programme boards held as part of CMT agenda.</li><li>*Effective budget tracking and monitoring</li><li>*Regular reporting on progress to the Leadership board</li><li>*Effective joint working with between PMU staff and service leads</li><li>*Special development sessions held with all managers to third tier to assist in prioritising areas for further development and possible inclusion in the second phase of the programme.</li></ul> <p><b>Other controls:</b></p> <ul style="list-style-type: none"><li>*A workforce planning strategy will be developed by HR&amp;OD, aligned to the Organisational Development strategy and BCCP. The strategy will support the implementation of highly effective workforce planning approach across services to develop workforce capacity, creating a culture of performance and continuous improvement.</li><li>*Directors will be supported by HR&amp;OD to implement highly effective workforce planning approaches to effectively scenario plan to deal with any major uncertain shifts in the Council's internal or external environments.</li><li>*A range of learning and development solutions to support managers specifically on areas of change management and workforce planning will be developed.</li></ul>	03	04	12 High	
Action Codes	Linked Actions	Assigned To			Due Date	Status	
CRR14.02.13c	Implementation of monitoring of benefits	Strategic Change Programme Manager			31-Mar-2017		
CRR15.02.12a	Internal Audit to review arrangements for Workforce Planning	Chief Auditor			30-Jun-2016		
CRR16.10.11a	Internal Audit to review programme management arrangements, focusing on options appraisal processes	Chief Auditor			30-Jun-2017		
CRR16.10.11d	Internal Audit to participate in internal project work which supports the better council change programme, as required	Chief Auditor			30-Jun-2017		
CE.SIP	Identify the additional savings projects for Phase 2 of the Better Council Change Programme to address the 2017/18 gap.	Strategic Change Programme Manager			March 2017		
CE.SIP	Successfully deliver Phase 2 of the Better Council Change Programme	Strategic Change Programme Manager			March 2018		

Context	Risk Statement	Owned by	Current Risk Control Measures	Likelihood	Impact	Evaluation	
CRR16.10.15 Information and Records  Context: The council has well established and embedded information governance arrangements. There is scope however to further improve on aspects of how the council manages information. Additionally the council has a Records Management Plan, approved by the Keeper of Scotland and this will require full implementation within 5 years.	If information (in whatever format), is not effectively managed, and council records are not retained or destroyed in line with the Records Management Plan, there is a risk of unavailability of the right information in the right format and at the right time, with knock on impact to effective and efficient service delivery and organisational decision-making.	Director of Finance & Resources	<b>Top 5 controls:</b> *Roles and responsibilities for information governance and information management are defined and established (for individuals, teams and groups) *A full suite of policies and guidance is in place around how information is handled and shared securely and how data is protected, with many training and development requirements and opportunities for employees *There are technical ICT controls in place to protect the information handled by the council *There is an established incident management procedure in place for identifying, reporting, investigating and monitoring lessons learned from any information security incidents or near misses *Records Management Plan (approved by Council), which covers all the organisation's records.	03	04	12 High	
Action Codes	Linked Actions				Assigned To	Due Date	Status
FR.RR	Development and adoption of a Data Quality policy and management plan to increase the quality of the Council's information assets				Information Systems Architect	30-Sep-2016	
FR.RR	Develop a baseline Information Architecture for the Council allowing senior officers to view the Council's entire Information Architecture in a consumable medium				Solution Architect - Data	30-Jun-2016	
FR.RR	Development and implementation of a new Information Management Strategy				Enterprise Architect	31-Jul-2016	
FR.RR	Develop a range of practical data and information management guidance to allow individuals, team and services management their information assets more effectively				Solution Architect - Data	31-Aug-2016	
FR.RR	Develop and implement Records Management online training module for all staff				Records Manager	30-Jun-2016	
FR.RR	Consultation with service areas to identify record types and locations against Business Classification Scheme				Records Manager	30-Jun-2016	
FR.RR	Development of disposal procedures for line of business applications				Records Manager	31-Dec-2016	
FR.RR	Implementation of Business Classification Scheme across the organisation				Records Manager	31-Jul-2019	

Context	Risk Statement	Owned by	Current Risk Control Measures	L'hood	Impact	Evaluation
CRR16.10.16 Marketing & Communications	Poor information flow across services and with Renfrewshire citizens can result in inappropriate, ineffective or poorly timed communications both within and out with the council. This will in turn impact on staff commitment, crisis response, service delivery, consultation, policy development and the organisation's reputation.	Head of Communications	* Head of Communications and senior communications officers liaise with Services/ Senior Management Teams on the co-ordination and timing of information plans and key milestones * Communications database (NASDAC) is used to track and manage media enquiries * Council information channels such as; website, social media, magazine are used effectively to promote council initiatives * Head of Communications is full member of Corporate Management Team * Crisis Communications Strategy in place * All content on website and intranet have review dates set so that checks can be made on currency of information * The Communication Team continue to corporately approve web and intranet content * Communications employees are required to comply with council guidelines when using approved social media applications such as Facebook and Twitter * The Communications team monitors all social media accounts * Emergency Contacts Directory updated to reflect new contact details every 6 months	03	04	12 High
Action Codes	Linked Actions					
CE.SIP	Implement an internal communications strategy for the Council to improve the quality and nature of two-way communication with staff	Assigned				
CE.SIP	Develop and implement a communications plan to promote awareness of the refreshed Council Plan internally	Comms Manager	June 2016			
CE.SIP	Implement the Communications Strategy and Action Plan for Renfrewshire Community Planning Partnership	Comms Manager	June 2016			
CE.SIP	Implement a communications strategy to cover all audiences (including internal) to support the public and our partners. The strategy will cover our development of all communications channels and support the council and community plans	Comms Manager	March 2017			
CE.SIP	Lead on the roll-out of the Council's new website	Comms Manager	March 2017			
CE.SIP		Comms Manager	June 2016			

Context		Risk Statement	Owned by	Current Risk Control Measures	Likelihood	Impact	Evaluation
CRR16.10.17 Digital Participation	<p>Should challenges around engagement in digital improvements not be suitably addressed there is a risk that anticipated benefits will not be fully realised</p>	Director of Finance & Resources; Head of Policy & Commissioning	<p><b>Top 5 controls:</b></p> <p>*Recruitment of a Digital Volunteer Co-ordinator to recruit digital volunteers. To support organisations working with those who are digitally excluded and building digital capacity within organisations and local business to ensure they reach their digital potential across Renfrewshire. The coordinator will establish after school coding clubs to develop cutting edge digital skills of young people (targeting schools in areas of deprivation, looked after children). 2 of the clubs will be based in UWS and WCS.</p> <p>*Recruitment of a Digital Participation Co-ordinator to trial a new approach in supporting 2 digitally excluded groups within a trusted organisation where relationships already exist (Disability Resource Centre and ROAR Connections for Life). If successful we would look at expansion and sustainability.</p> <p>*A Digital Participation Group has been set up to bring together public, private and third sector organisations to share learning and increase partnership working. Led by Renfrewshire Council and chaired by Engage CEO.</p> <p>*A digital participation plan has been developed and shaped by over 40 public, private and third sector organisations through face to face sessions and online survey. The Digital Participation Plan is in draft and has been through a final review stage. A condensed version will be prepared including an easy ready version. The plan includes a map of digital exclusion in Renfrewshire to assist us in targeting efforts and resources.</p> <p>*The digital participation plan will inform and drive the forthcoming digital strategy.</p>	03	03	9 Moderate	
Action Codes	Linked Actions			Assigned To	Due Date	Status	
CE.SIP	Develop and implement plans to expand free public wifi in Paisley and other town centres			Head of Policy and Commissioning	31-Mar-2017		
CE.SIP	Implement our digital participation plan to support low income families and other disadvantaged groups benefit from access to the internet			Head of Policy and Commissioning	31-Mar-2018		



## Risk Matrix for Adverse Impact

### Introduction

Risk should be analysed consistently across the council in terms of the significance of its impact and the likelihood of occurrence. The Risk Matrix is therefore the tool that is to be used for this purpose. The impact element of the same matrix may be used for the grading of adverse events, complaints or claims.

### Impact

When considering the consequences of a potential risk, all scenarios must be considered. It may even be appropriate to consider the worst case scenario, however, those undertaking the risk analysis must be able to provide a robust rationale and have evidence to support their selection. For example, if 'death' could be the ultimate potential impact in relation to a specific problem, the risk assessors must have knowledge that this outcome has occurred in the past either internal or external to Renfrewshire Council. (A full list of descriptions to assist in analysing consequence is contained on the following two pages of this appendix);

### Likelihood

Similarly when considering the likelihood of occurrence, the risk assessor's judgement must be based on the prevalence of the event/ circumstance and outcome, backed up by experience and data such as relevant incidents/ events, complaints and/ or claims.

### Evaluation

As shown in the matrix below, Impact x Likelihood produces an evaluation of the significance of risk, described as 'Low', 'Moderate', 'High' or 'Very High'.

How a risk is evaluated will determine how the risk is then treated:

Likelihood	Consequent Impact				
	1 Insignificant	2 Minor	3 Moderate	4 Major	5 Extreme
5 Almost Certain	5	10	15	20	25
4 Likely	4	8	12	16	20
3 Possible	3	6	9	12	15
2 Unlikely	2	4	6	8	10
1 Remote	1	2	3	4	5

Low (1-3),

Moderate (4-9),

High (10-16), or

Very High (17-25)

## Consequence Impact

"Domains"	1 Insignificant	2 Minor	3 Moderate	4 Major	5 Extreme
Objectives and Projects	<ul style="list-style-type: none"> <li>Barely noticeable reduction in scope / quality / schedule</li> </ul>	<ul style="list-style-type: none"> <li>Minor reduction in scope / quality / schedule</li> </ul>	<ul style="list-style-type: none"> <li>Reduction in scope or quality, project objectives or schedule.</li> </ul>	<ul style="list-style-type: none"> <li>Significant reduction in ability to meet project objectives or schedule.</li> </ul>	<ul style="list-style-type: none"> <li>Inability to meet project objectives, reputation of the organisation seriously damaged and failure to appropriately manage finances.</li> </ul>
Injury (physical and psychological) to clients/staff.	<ul style="list-style-type: none"> <li>Adverse event leading to minor injury not requiring first aid.</li> </ul>	<ul style="list-style-type: none"> <li>Minor injury or illness, first-aid treatment needed. No staff absence required.</li> </ul>	<ul style="list-style-type: none"> <li>Significant injury requiring medical treatment and/or counselling.</li> </ul>	<ul style="list-style-type: none"> <li>Major injuries or long term incapacity/ disability (loss of limb), requiring medical treatment and/or counselling.</li> </ul>	<ul style="list-style-type: none"> <li>Incident leading to death or major permanent incapacity.</li> </ul>
Client experience / outcome	<ul style="list-style-type: none"> <li>Reduced quality of client experience / outcome not directly related to service delivery.</li> </ul>	<ul style="list-style-type: none"> <li>Unsatisfactory client experience / outcome directly related to service provision – readily resolvable</li> </ul>	<ul style="list-style-type: none"> <li>Unsatisfactory client experience / outcome, short term effects – expect recovery &lt; 1Wk</li> </ul>	<ul style="list-style-type: none"> <li>Unsatisfactory client experience / outcome, long term effects - expect recovery &gt; 1Wk</li> </ul>	<ul style="list-style-type: none"> <li>Unsatisfactory client experience / outcome, continued ongoing long term effects.</li> </ul>
Complaints / claims	<ul style="list-style-type: none"> <li>Locally resolved complaint</li> </ul>	<ul style="list-style-type: none"> <li>Justified complaint peripheral to direct service provision</li> </ul>	<ul style="list-style-type: none"> <li>Below excess claim.</li> <li>Justified complaint involving inappropriate service.</li> </ul>	<ul style="list-style-type: none"> <li>Claim above excess level.</li> <li>Multiple justified complaints.</li> </ul>	<ul style="list-style-type: none"> <li>Multiple claims or single major claim.</li> </ul>
Staffing and competence	<ul style="list-style-type: none"> <li>Short term low staffing level (&lt; 1 day), where there is no disruption to service.</li> </ul>	<ul style="list-style-type: none"> <li>Ongoing low staffing level results in minor reduction in quality of client care</li> <li>Minor error due to ineffective training / implementation of training.</li> </ul>	<ul style="list-style-type: none"> <li>Late delivery of key objective / service due to lack of staff.</li> <li>Moderate error due to ineffective training / implementation of training.</li> <li>Ongoing problems with staffing levels</li> </ul>	<ul style="list-style-type: none"> <li>Uncertain delivery of key objective / service due to lack of staff.</li> <li>Major error due to ineffective training / implementation of training.</li> </ul>	<ul style="list-style-type: none"> <li>Non delivery of key objective/ service due to lack of staff.</li> <li>Loss of key staff.</li> <li>Critical error due to insufficient training/ implementation of training.</li> </ul>
Service / business interruption	<ul style="list-style-type: none"> <li>Interruption in a service which does not impact on the delivery of client care or the ability to continue to provide service</li> </ul>	<ul style="list-style-type: none"> <li>Short term disruption to service with minor impact on client care.</li> </ul>	<ul style="list-style-type: none"> <li>Some disruption in service with unacceptable impact on client care.</li> <li>Temporary loss of ability to provide service.</li> </ul>	<ul style="list-style-type: none"> <li>Sustained loss of service which has serious impact on delivery of client care resulting in major contingency plans being invoked.</li> </ul>	<ul style="list-style-type: none"> <li>Permanent loss of core service or facility.</li> <li>Disruption to facility leading to significant "knock on" effect.</li> </ul>



"Domains"	1 Insignificant	2 Minor	3 Moderate	4 Major	5 Extreme
Financial	<ul style="list-style-type: none"> <li>Negligible organisational financial loss (£&lt; 1k).</li> </ul>	<ul style="list-style-type: none"> <li>Minor organisational financial loss (£1-10k).</li> </ul>	<ul style="list-style-type: none"> <li>Significant organisational financial loss (£10-100k).</li> </ul>	<ul style="list-style-type: none"> <li>Major organisational financial loss (£100k-1m).</li> </ul>	<ul style="list-style-type: none"> <li>Severe organisational financial loss (£&gt;1m).</li> </ul>
Inspection / assessment / audit	<ul style="list-style-type: none"> <li>Small number of recommendations which focus on minor quality improvement issues.</li> </ul>	<ul style="list-style-type: none"> <li>Minor recommendations made which can be addressed by low level of management action.</li> </ul>	<ul style="list-style-type: none"> <li>Challenging recommendations but can be addressed with appropriate action plan.</li> </ul>	<ul style="list-style-type: none"> <li>Enforcement Action.</li> <li>Low rating.</li> <li>Critical report.</li> </ul>	<ul style="list-style-type: none"> <li>Prosecution.</li> <li>Zero Rating.</li> <li>Severely critical report.</li> </ul>
Adverse publicity / reputation	<ul style="list-style-type: none"> <li>No media coverage, little effect on staff morale.</li> </ul>	<ul style="list-style-type: none"> <li>Local Media – short term.</li> <li>Minor effect on staff morale / public attitudes.</li> </ul>	<ul style="list-style-type: none"> <li>Local Media – long term.</li> <li>Impact on staff morale and public perception of the organisation.</li> </ul>	<ul style="list-style-type: none"> <li>National Media (&lt; 3 days).</li> <li>Public confidence in the organisation undermined.</li> <li>Usage of services affected.</li> </ul>	<ul style="list-style-type: none"> <li>National Media (&gt; 3 days).</li> <li>MP / MSP Concern (Questions in Parliament).</li> </ul>
Council / Personal Security, and Equipment	<ul style="list-style-type: none"> <li>Damage, loss, theft (£&lt; 1k).</li> </ul>	<ul style="list-style-type: none"> <li>Damage, loss, theft (£1-10k).</li> </ul>	<ul style="list-style-type: none"> <li>Damage, loss, theft (£10-100k).</li> </ul>	<ul style="list-style-type: none"> <li>Damage, loss, theft (£100k-1m).</li> </ul>	<ul style="list-style-type: none"> <li>Damage, loss, theft (£&gt;1m).</li> </ul>

## Likelihood

	1 Remote	2 Unlikely	3 Possible	4 Likely	5 Almost Certain
Probability	<ul style="list-style-type: none"> <li>Will only occur in exceptional circumstances</li> </ul>	<ul style="list-style-type: none"> <li>Unlikely to occur but definite potential exists</li> </ul>	<ul style="list-style-type: none"> <li>Reasonable chance of occurring – has happened before on occasions</li> </ul>	<ul style="list-style-type: none"> <li>Likely to occur – strong possibility</li> </ul>	<ul style="list-style-type: none"> <li>The event will occur in most circumstances</li> </ul>





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**To: Finance and Resources Policy Board**

**On: 18 May 2016**

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

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**Heading: Report on the Voluntary Redundancy/Early Retirements Schemes**

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## **1. Summary**

- 1.1. A report detailing the numbers of employees leaving the service through the voluntary redundancy or early retirement schemes (VR/VER) and associated financial implications for the Council are presented to Board annually.
  - 1.2. This report provides an update for the period from 1 April 2015 to 31 March 2016 confirming that 127 employees (109.84 fte) have left the service through voluntary redundancy or early retirement. In each case an assessment of the costs and the attributed savings has been carried out and the average period for savings to accrue is **21 months**.
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## **2. Recommendations**

- 2.1 To note the report.

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### 3. Background

- 3.1. This report provided details of the workforce planning arrangements to support service transformation and the delivery of budget savings over 2015/16. Expressions of interest in voluntary redundancy/early retirement from across the workforce were reviewed to assess the impact of any proposed reduction in headcount on services and the rest of the workforce, including the cost to the Council of early release. As part of the Council's 2015/16 budget strategy VR/VER has been utilised to achieve service changes and savings.
- 3.2. The Chief Executive, in consultation with the Head of HR, OD & Workforce Strategy, is authorised to determine all requests which are received from employees for voluntary redundancy/early retirement under the schemes.
- 3.3. During the financial year 2015-2016 a total of 127 employees (109.84 fte) accepted voluntary redundancy/early retirement or early retirement in the interests of the efficiency of the service.
- 3.4. The financial costs and savings of these decisions are detailed in Appendix A. An assessment is carried out in each VR/VER exercise to confirm the length of time for savings to accrue. For the 127 individuals being released from service this averages at **21 months**.
- 3.5. In deciding on requests for voluntary redundancy/early retirement, the Chief Executive and the Head of HR, OD & Workforce Strategy, in conjunction with the appropriate service Director, continue to take into account the potential to implement efficiencies and support the modernisation of the Council's workforce in addition to the financial savings to be gained. Consideration was given to both the one off costs of voluntary redundancy / early retirement and the additional ongoing annual costs and in these cases it has been deemed to be of benefit to the Council for voluntary redundancy/early retirement to be agreed.
- 3.6. Appendix A contains the following information:-

The number of employees leaving the Council through either voluntary redundancy / voluntary early retirement or early retirement in the interests of the efficiency of the service.

Redundancy Payment - the total lump sum redundancy payments paid to employees leaving the service.

Enhanced Element of Pension (Annual Compensation) - where the employee is a member of the Pension Fund and is awarded compensatory added years by Renfrewshire Council, it requires to pay on a monthly basis to the Pension Fund the amount which covers the costs associated with these added years.

Enhanced Element of the Lump Sum - where an employee is a member of the Pension Fund and is awarded compensatory added years by Renfrewshire Council, it requires to pay the lump sum directly to the employee as a one off payment.

Strain / Factored Costs - where an employee is retired early on grounds of efficiency / redundancy and is a member of the Pension Fund, the Council requires to pay to the Pension Fund a 'strain on the fund' charge for early payment of retirement benefits or where the employee would otherwise have suffered an actuarial reduction to their benefits for early retirement. The strain on the fund charge is paid as a one off payment.

Pay in Lieu of Notice - where an employee has not received the appropriate notice of their employment terminating, a payment in lieu of notice is paid by the Council.

Full Year Savings – these will accrue from the release of staff under the scheme.

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## Implications of the Report

1. **Financial** – as outlined in the report.
2. **HR & Organisational Development** – as outlined in the report.
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

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**Financial Implications 1 April 2015 - 31 March 2016**

SERVICE	No of Employees	FTE	Total Annual Salary	Redundancy	Enhanced Element of Pension	Enhanced Element of Lump Sum	Strain / Factored Costs	Payment in Lieu of Notice	Full Year Savings
Clyde Muirshiel Regional Park, Chief Executive, Community Resources, Children's Services, Finance & Resources, Development & Housing Services	127.00	109.84	3,079,952.01	1,762,328.89	158,507.32	296,018.92	3,703,434.14	-	3,897,816.86
<b>TOTALS</b>	127.00	109.84	3,079,952.01	1,762,328.89	158,507.32	296,018.92	3,703,434.14	-	3,897,816.86







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**To:** Finance and Resources Policy Board

**On:** 18 May 2016

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

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**Heading:** Council Tax – Empty Properties Operational Policy

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## 1. Summary

- 1.1 The Council on 3 March 2016 agreed a change to the Council Tax discount regime for empty and unfurnished properties. This change utilised discretionary powers made available to the Council by the Scottish Government which previously implemented the Council Tax (Variation for Unoccupied Dwellings) (Scotland) Regulations 2013.
- 1.2 The purpose of this report is to present for approval the proposed policy to support the implementation of the revised arrangement and provide Board members with information in relation to the operation of the Council Tax – Empty Properties Policy, which will support day to day decision making by Council officers in relation to the new Empty Properties discount regime.

## 2. Recommendations

- 2.1 It is recommended that members of the Board
- Note the contents of the report
  - Approve the Council Tax–Empty Properties Operational Policy attached at Appendix 1
  - Note the Operational Guidance (attached as Appendix 2) and that the Director of Finance and Resources will review and adapt the guidance as appropriate following experience of managing the process.
-

### **3. Background**

- 3.1 From 1 April 2013, the Council Tax (Variation for Unoccupied Dwellings) (Scotland) Regulations 2013 allowed local authorities the discretionary power to remove the empty property discount or set a council tax increase of a maximum 100% on certain properties which have been empty for 1 year or more. Previously, local authorities were only able to vary the level of discounts, ranging between 10% and 50%.
- 3.2 The legislative changes apply only to long-term unoccupied properties. Properties which are 'second homes', defined in section 5 of the Policy, continue to be entitled to a discount which authorities may set between 10% and 50%. From April 2014 this was set at 10% for Renfrewshire.
- 3.3 The greater flexibility provided by the legislation is intended to act as an additional tool to help local authorities encourage owners to bring empty properties back into use. The intention is both to increase the supply of housing for those who need homes and to reduce the blight on communities caused by houses being left empty and allowed to fall into disrepair. The council tax increase can be used a part of a wider approach to tackle long-term empty homes including support and guidance to owners and provision of loans and grants if available.
- 3.4 On 3 March 2016 the Council approved that, The council tax discount regime for empty and unfurnished properties be changed under discretionary powers available to the Council, providing the mandatory 100% exemption period of 6 months, a 10% discount for the next 6 months, moving to a 100% levy applying after 1 year unless the property is being actively marketed for sale or rent, in which circumstances the 10% discount will apply for a further period of up to 12 months after which the 100% levy would apply. The change to the existing discount arrangements will take effect from July 2016."

### **4 Council Tax – Empty Properties Operational Policy**

- 4.1 The purpose of the Empty Properties Operational Policy is to specify that Officers will operate the legislation detailed in section 3.1 above, aligned with the Council approvals detailed in section 3.4
- 4.2 The Policy highlights that, in line with legislation, discretion can be applied in appropriate circumstances. The policy does not set rigid, pre-defined rules, stating that discretion must always be considered if requested and that decisions should be taken on a case by case basis
- 4.3 One of the main objectives of the Policy is to encourage owners to return long term empty properties back into use and maintain the supply of housing in Renfrewshire.

- 4.4 An Equality Impact Assessment has been carried out (attached as Appendix 3,) in line with the Council's approach and no issues have been identified that require mitigating actions. The Equality Impact Assessment will be reviewed as data becomes available following introduction of the changes.
- 

### **Implications of the Report**

1. **Financial** – increased revenue to the Council
  2. **HR & Organisational Development** - None
  3. **Community Planning** –  
**Community Care, Health & Well-being** –
  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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**RENFREWSHIRE COUNCIL**

**FINANCE & RESOURCES**

**COUNCIL TAX – EMPTY PROPERTIES OPERATIONAL POLICY**

**1.0 Background**

From 1 April 2013, the Scottish Government implemented the Council Tax (Variation for Unoccupied Dwellings) (Scotland) Regulations 2013 which allowed local authorities the discretionary power to remove the empty property discount or set a council tax increase of a maximum 100% on certain properties which have been empty for 1 year or more. Previously, local authorities were only able to vary the level of discounts, ranging between 10% and 50%.

The legislative changes apply only to long-term unoccupied properties. Properties which are 'second homes', defined in section 5, continue to be entitled to a discount which authorities may set between 10% and 50%. *From April 2014 this was set at 10% for Renfrewshire.*

The greater flexibility provided by the legislation is intended as an additional tool to help local authorities encourage owners to bring empty properties back into use. The intention is both to increase the supply of housing for those who need homes and to reduce the blight on communities caused by houses being left empty and allowed to fall into disrepair. The council tax increase can be used as a part of a wider approach to tackle long-term empty homes including support and guidance to owners and provision of loans and grants if available.

On 3 March 2016 the Council approved that the council tax discount regime for empty and unfurnished properties be changed under discretionary powers available to the Council, providing the mandatory 100% exemption period of 6 months, a 10% discount for the next 6 months, moving to a 100% levy applying after 1 year unless the property is being actively marketed for sale or rent, in which circumstances the 10% discount will apply for a further period of up to 12 months after which the 100% levy would apply. The change to the existing discount arrangements is to take effect from July 2016."

## **2.0 Policy Purpose & Objectives**

### **2.1 Purpose**

The purpose of this policy is to

- specify how the Council's Revenues Team and Finance Recovery Team will operate the legislation, detailed in section 1.
- detail the appropriate exemption/discount and/or increased Council Tax charge for empty properties.
- highlight that discretion can be considered and awarded in appropriate cases,

(the policy does not set rigid, pre-defined criteria as this would prevent the council from exercising discretion properly)

Detailed Operational Guidance has been prepared for Officers to support the operation of this Policy. This guidance also describes the discretion and flexibility which can be used in appropriate, individual circumstances.

### **2.2 Policy commitments**

- All decisions will be made in a manner that is consistent with the ordinary principles of good decision making as described by Administrative Law (refer to section 11)
- The council will endeavour to act fairly, reasonably and consistently.
- Discretion will be used reasonably and lawfully and will not extend to giving more weight to certain groups and/or claimant because they are seen as more deserving than others.

### **2.3 Policy Objectives**

The objectives of this policy are to:

- Encourage owners to return long term empty properties back into use and maintain the supply of affordable housing in Renfrewshire

## APPENDIX 1

- Ensure the correct levels of reductions are awarded and the 100% increase is applied appropriately and for the correct period
- Raise awareness that discretion can be applied in appropriate, individual cases.
- In partnership with the Empty Homes Officer (refer to section 7) support customers by ensuring that, where appropriate, help to sell or let a home is given. In addition information is provided on initiatives which provide loans to help empty homeowners bring their properties back into use is provided

### 3 Council Tax Charges: Empty Property Properties

- All properties (refer to note section 11.3) deemed to be unoccupied and unfurnished, in line with the Operational Guidance, will attract a maximum 6 month 100% exemption, followed by a maximum 6 month 10% discount. Thereafter, a 100% increase will be applied to the council tax charge.
- If a property is classed as unoccupied but furnished, a maximum 12 month 10% discount will be awarded. Thereafter a 100% increase will be applied to the council tax charge.

### 4 Council Tax Charges: Second Homes

- The legislation, referred to in section 1, aims to ensure that only homes that are well maintained and which the owner is likely to visit regularly, therefore making some contribution to the local economy, can qualify as a second home. It defines a second home as being, *furnished and lived in for at least 25 days in any 12 month period*.
- Properties deemed to be a second home, in line with the Operational Guidance, will attract a 10% discount until such times the property becomes a sole/main address or the appropriate is no longer met.

### 5 Empty properties excluded from the increased charge

#### 5.1 Other appropriate exemption

## APPENDIX 1

The legislation will not affect a council tax payer's eligibility to claim council tax exemptions/discounts under the Council Tax (Exempt Dwellings) (Scotland) Order 1997.

These exemptions include:

- Occupant in long-term residential care
- Occupant in hospital long term
- Occupant in prison
- Where a property has been repossessed by a lender
- Where a property is being structurally repaired (for up to one year after it becomes unoccupied)
- Where the council tax payer has died (in which case the exemption is up to 6 months after the estate has settled).

Where a property is no longer eligible for an exemption detailed above, but it remains unoccupied, it will become eligible for the council tax increase after 1 year, if no other appropriate exemption applies

### **5.2 Properties being marketed for sale or rent**

Properties being marketed for sale or rent will be excluded from the increased council tax charge, detailed in section 3, for a further 12 months following the initial 6 month exemption and 6 month 10% discount periods .

These properties will remain liable for council tax and will continue to attract a discount of 10% for 12 months. Thereafter a 100% increase will be applied to the council tax charge, as detailed in section 3.

This exclusion is conditional on the property being genuinely marketed for sale or let at a realistic market price. In considering whether a home is genuinely being marketed for sale or let, the Council will have regard to any unduly restrictive conditions being attached to the sale or let as well as the sales price/rent level.

In coming to a decision on whether or not the dwelling is being genuinely marketed for sale or let, the Council can request and take into account additional evidence. The Operational Guidance, prepared for Officers, details examples of the type of evidence which can be requested.

### **6.0 Use of Discretion**

The legislation, allows the Council to *"make different modifications for different cases or different classes of case, including different areas"*.



## APPENDIX 1

This policy does not impose any variance to the application of the increased charge, other than by discretion on a case by case basis.

- The Council will consider requests for discretion to be applied in relation to the charge or discount being applied.
- The Council will proactively consider the use of discretion in circumstances described in section 11.3.
- Requests should be made in writing or email detailing the reasons for the request.
- Each request will be considered on a case by case basis
- The Council will aim to respond to these requests within 10 working days
- Should further evidence or property visit be required the 10 working day deadline may be extended
- All requests for the application discretion will be logged and the decision recorded.
- The discretion request log will be monitored and reviewed by Senior Officer(s) to ensure consistency is applied.

### **7.0 Homes Again Renfrewshire Initiative**

'Homes Again Renfrewshire' is a joint initiative which has been established in partnership between Renfrewshire Council, West Dunbartonshire Council (WDC) and the Scottish Government.

The key aim of the initiative is to bring private sector empty homes which have been lying empty for more than 6 months back into use.

An appointed Empty Homes Officer (shared with WDC) can provide additional support to customers. Advice on letting, selling, renovations can be provided along with one to one support through the selling/letting processes.

Loans are accessible to help empty homeowners bring their properties back into use. To be eligible for a loan, owners must ensure properties are used for affordable housing for a 5 year period after refurbishment.

Homes owners requiring support will be sign posted, where appropriate to the Empty Homes Officer by the Revenues/Finance Recovery Teams.

## **8.0 Dispute Process**

There is no formal right of appeal in relation to the level of discount awarded or the 100% increase added to the council tax charge. It is proposed however that customers are provided with the opportunity to seek a review of decisions, and the appropriateness of discretion being applied in the specific circumstances of individual cases.

Any disputes received regarding the level of discount or the 100% council tax increase will be dealt with as a request for discretion. If a customer does not agree with the initial decision they can ask for it to be reviewed by another officer, seeking the application of discretion based on the specific circumstance of the individual case.

## **9.0 Property Review Programme**

The Council operates an empty property review programme, the aim of this work is to ensure that discounts are applied appropriately. The aim of the review is to ensure that the empty status of a property is correct. Review checks may include visits to properties and credit activity checks

## **10.0 Debt Recovery Action**

The Council's normal recovery action will be taken, where appropriate.

The Finance Recovery Team will work in partnership with the Empty Homes Officer, as detailed in section 8, with the aim of bringing the property back into use and avoiding arrears.

## **11.0 Notes**

### **11.1 Scots administrative law**

This law governs the rules of administrative law in Scotland, the body of case law, statutes, secondary legislation and articles which provide the framework of procedures for judicial control over government agencies and private bodies.<sup>[1]</sup>

**Administrative law** is the body of law that governs the activities of administrative agencies of government. Government agency action can include rulemaking, adjudication, or the enforcement of a specific regulatory agenda. Administrative law is considered a branch of public law.

## APPENDIX 1

As a body of law, administrative law deals with the decision-making of administrative units of government (for example, tribunals, boards or commissions) that are part of a national regulatory scheme in such areas as police law, international trade, manufacturing, the environment, taxation, broadcasting, immigration and transport.

### **11.2 Scottish Water**

The changes detailed in this policy are relating only to Council Tax and have no effect on the charges for Water and Sewerage, imposed by Scottish Water, billed and collected by the Council

### **11.3 Initial Six Month Exemption/six month 10% discount**

Section 3 describes that all properties deemed to be unoccupied and unfurnished will attract a maximum 6 month 100% exemption, followed by a maximum 6 month 10% discount. Liable parties e.g. a new owner will not be entitled to the initial 6 month exemption if a previous award of six months has been granted and the property has not subsequently been occupied for 3 months.

A new owner's award of 10% discount may also be reduced by the number of weeks previously awarded, if the property has not been occupied for 3 months since the end of the last unoccupied period.

In the circumstances described above the Council will proactively make contact with customers to discuss their individual circumstances and consider the appropriateness of applying discretion.

## RENFREWSHIRE COUNCIL

### CUSTOMER & BUSINESS SERVICES

#### EMPTY PROPERTIES OPERATIONAL GUIDANCE

## 1. Introduction

The note provides guidance on Renfrewshire Council's operational policy in respect to new powers enabled by the Local Government Finance (Unoccupied Properties etc.) (Scotland) Act, and related regulations:

- The Council Tax (Variation for Unoccupied Dwellings) (Scotland) Regulations 2013
- The Council Tax (Administration and Enforcement) (Scotland) Amendment Regulations 2012
- The council Tax (Exempt Dwellings) (Scotland) Amendment Order 2012

The above regulations can be applied from 1 April 2013 and replace The Council Tax (Discount for Unoccupied Dwellings) (Scotland) Regulations 2005.

## 2. Background

From 1 April 2013 new legislative changes were brought in to allow local authorities the discretionary power to remove the empty property discount or set a council tax increase of 100% on certain properties which have been empty for 1 year or more. Previously, local authorities were only able to vary the level of discounts, ranging between 10% and 50%.

It is important to note that the regulations only apply to long-term unoccupied properties. Properties which are second homes will continue to be entitled to a discount which authorities may set between 10% and 50%.

This greater flexibility is intended as an additional tool to help local authorities encourage owners to bring empty properties back into use, both to increase the supply of housing for those who need homes and to reduce the blight on communities caused by houses being left empty and allowed to fall into disrepair. The council tax increase could be used as a part of a wider approach to tackle long-term empty homes including support and guidance to owners and provision of loans and grants if available.

For eligible unoccupied properties, local authorities can set a discount of between 50% and 0% or an increase of up to 100%. The provision also gives local authorities discretion to vary the council tax charged for different circumstances, and to apply discounts or increases in all or part of their areas. This could include charging different rates for a variety of different reasons as a local authority considers appropriate, and is intended to recognise that different pressures and factors will affect different areas.

On 3 March 2016 the Council approved that the council tax discount regime for empty and unfurnished properties be changed under discretionary powers available to the Council, providing the mandatory 100% exemption period of 6 months, a 10% discount for the next 6 months, moving to a 100% levy applying after 1 year unless the property is being actively marketed for sale or rent, in which circumstances the 10% discount will apply for a further period of up to 12 months after which the 100% levy would apply. The change to the existing discount arrangements will take effect from July 2016."

## 3. Council Tax Increase

### 3.1 Unoccupied Properties

The council tax increase can be applied to homes which have been unoccupied for 1 year or more. An unoccupied Property is any Property which is not someone's sole or main residence, but does not fall within the definition of a second home (defined below.) An unoccupied Property may be either furnished or unfurnished.

### 3.2 Second Homes

The council tax increase will not apply to second homes. In general, second homes are maintained well and are occupied for periods of the year when their owners contribute to the local economy.

Under the new legislation, a second home is defined as being furnished and lived in for at least 25 days in any 12 month period, but not as someone's sole or main residence. This aims to ensure that only homes which are likely to be reasonably well maintained and which the owner is likely to visit regularly (and therefore make some contribution to the local economy) can qualify as a second home. Local authorities will not be able to charge a council tax increase for second homes but will, as was previously the case, have flexibility to set a discount level of between 10% and 50%.

## **4. Exclusions from the Increase**

### 4.1 Existing Mandatory Discounts and Exemptions

The new flexibility will not affect a council tax payer's eligibility to claim other council tax exemptions/discounts under the Council Tax (Exempt Properties) (Scotland) Order 1997. There are a number of exemptions in place for unoccupied Properties, such as where an occupant/council tax payer is:

- In long-term residential care,
- In hospital long term
- In prison,
- Where a Property has been repossessed by a lender
- Where a Property is being structurally repaired (for up to one year after it becomes unoccupied)
- Where the council tax payer has died (in which case the exemption is up to 6 months after the estate has settled).

As long as a council tax payer is eligible for an exemption, they would not be charged any council tax, however, where a Property becomes no longer eligible for the exemption, but remains unoccupied, it will become eligible for the council tax after the property has been empty for 1 year.

### 4.2 Homes actively being marketed for sale or rent

Homes being marketed for sale or let will be exempt from the council tax increase until they have been unoccupied for 2 years or more, these homes will remain liable for council tax and will attract a discount of between 10% and 50%. New build properties can also qualify for this exemption from the increase. This exemption is conditional on the home being genuinely marketed for sale or let at a realistic market price. In considering whether a home is genuinely being marketed for sale or let, the Council can have regard to any unduly restrictive conditions being attached to the sale or let as well as the sales price/rent level.

In coming to the decision on whether or not the property is being genuinely marketed for sale or let, the Council can request and take into account evidence including:



### *Home Report*

If the property is being marketed for sale, does it have a valid home report? Most houses for sale in Scotland require a home report which also includes a valuation of the property. If the home report valuation is significantly below the advertised price, it may be that the owner is not making a genuine attempt to sell their property.

### *Marketing*

Is the owner's marketing efforts providing adequate exposure to the market? Is the property being actively marketed by an agent and/or property sale/letting website?

## 4.3 Additional Flexibility to vary discount/increase

The new legislation also gives local authorities discretion to vary the council tax charged for different cases. This could include charging different rates according to, for example, the area the Property is in; the length of time that the Property has been unoccupied and other circumstances as a local authority considers appropriate.

This additional flexibility is included so that local authorities can modify provision by

- Not charging a council tax increase,
- Charging a reduced level of increase,
- Offering a higher level of discount.

This allows a local authority to avoid charging a council tax increase, or to charge a lower level of council tax than for other unoccupied Properties, where it considers there are reasons why the owner is justified in leaving the Property unoccupied and/or reasons why the Property could not be lived in sold or let.

For all cases, the maximum discount of 50% and a maximum increase of 100% as set in the legislation must not be exceeded. Under the legislation, local authorities are prevented from using their discretion to vary council tax charges in a way that gives more favourable treatment to unoccupied social rented Properties just because they are owned by a social landlord. It is important that all owners take steps to bring unoccupied homes back into use as soon as possible, rather than leaving them empty.

**The Operational Policy developed by the Council following the motion described in section 1 (above) does not detail any variance to the application of the increased charge, other than by discretion on a case by case basis**

## **5. Renfrewshire Council Empty Property Procedures (pre 1/7/16)**

Generally, there are 3 scenarios involving empty property discounts:

- Properties unoccupied and furnished
- Properties unoccupied and unfurnished
- Properties unoccupied due to structural repair

The table below shows the reductions available for each of these scenarios.

Scenario	1 – 6 Months	7 – 12 Months	13 – 18 Months	19 – 24 Months
Furnished	10% Discount			

Unfurnished	100% Exemption	50% Discount	10% Discount	
Structural Repair	100% Exemption		50% Discount	10% Discount

After the 24 months, in each of the scenarios, the 10% discount would continue until the property is occupied again.

## 6. New Renfrewshire Council Empty Property Procedures (from 1/7/16)

The Council Tax Increase, of 100%, is to be applied to appropriate council tax accounts from 1/7/16.

In addition to this, any property where 6 months unoccupied and unfurnished or 12 months Structural Repair exemption has lapsed, the discount will reduce to 10%.

**No period of 6 months 50% discount will be made available after the exemption period ends.**

This means any customer with a property, that has been vacant for 12 months, will no longer be entitled to any discount and the property will also attract a 100% increase which will be added to their bill, unless they meet any of the other qualifying conditions detailed in section 4.

## 7. New Rules For Each Vacant Property Scenario

The table below shows the reductions available for each scenario for the new procedures and are covered in more detail further on in the section.

As per previous rules, liable parties e.g. a new owner will not be entitled to the initial 6 month exemption if a previous award of six months has been granted and the property has not subsequently been occupied for 3 months.

A new owner's award of 10% discount may also be reduced by the number of weeks previously awarded, if the property has not been occupied for 3 months since the end of the last unoccupied period.

Scenario	1-6 Months	7-12 Months	13-24 Months	25-36 Months	Onwards
Unoccupied & Unfurnished	100% Exemption	10% Discount	100% Increase		
Unoccupied & Unfurnished – property up for sale/let	100% Exemption	10% Discount		100% Increase	
Unoccupied & furnished	10% Discount		100% Increase		
Unoccupied & furnished – property up for sale/let	10% Discount			100% Increase	
Second Home – occupied for at least 25 days	10% Discount - Unlimited				
Structural Repair	100% Exemption		10% Discount	100% Increase	
Unoccupied and exempt (e.g. prohibited by law,	100% Exemption – for as long as the property is eligible for exemption, thereafter, 10% discount for 12 months before 100% increase. (as long as property remains unoccupied)				

repossessed, in care etc)	
Purpose built holiday homes	50% Discount - Unlimited
Job related Properties	50% Discount - Unlimited

### ***Unoccupied and Unfurnished***

Where a property is unoccupied and unfurnished, however, is not up for sale/let and is not being renovated, the property will be eligible for a 6 months unoccupied and unfurnished exemption, followed by a **10%** discount for 6 months before the council tax charge is increased by 100%.

This scenario sees the liable party being levied with the 100% additional charge after 12 months as they not showing to be bringing the property back into use.

If after the 100% increase has been levied the liable party then advises the property is up for sale/rent, an application for **10%** discount would be required to be made however the discount will only be granted from that date the evidence shows the property has been advertised from.

### ***Unoccupied & Unfurnished – property up for sale/let***

Where a property is unoccupied and unfurnished and is up for sale or is available for let the property would be eligible for the same as the scenario above; a 6 months unoccupied and unfurnished exemption, followed by a **10%** discount for 6 months.

However, if the property still remains up for sale/available for let then a further 10% discount can be granted for 12 months before the 100% increase would be levied.

A review of the account will be carried out leading up to the end of the 1<sup>st</sup> 12 months to ensure the property is still being marketed. At this point a further 12 months 10% discount will be granted before the 100% increase is levied.

### ***Unoccupied and Furnished***

Where a property is unoccupied and furnished, however, is not up for sale/let, is not being renovated and is not lived in for at least 25 days in any 12 month period, the property would be eligible for a **10%** discount for 12 months before the council tax charge is increased by 100%.

Again, this scenario sees the liable party being levied with the 100% additional charge after 12 months as they not showing to be bringing the property back into use.

If after the 100% increase has been levied the liable party then advises the property is up for sale/rent, an application for **10%** discount be required to be made however the discount will only be granted from that date the evidence shows the property has been advertised from.

### ***Unoccupied and Furnished – property up for sale/let***

Where a property is unoccupied and furnished and is up for sale or is available for let and is not lived in for at least 25 days in any 12 month period; then the property would be eligible for a **10%** discount for 12 months.

However, if the property still remains up for sale/available for let then a further 10% discount can be granted for 12 months before the 100% increase would be levied.



Again, a review of the account would be carried out leading up to the end of the 1<sup>st</sup> 12 months to ensure the property is still being marketed. At this point a further 12 months 10% discount will be granted before the 100% increase is levied.

### *Second Homes*

As detailed in section 3.2, the new legislation states a second home is defined **as being furnished and is lived in for at least 25 days in any 12 month period but must not be someone's sole or main residence.**

Should this criteria be met, the Property would be entitled to an unlimited 10% discount and would not be subject to the 100% increase.

To be entitled to the **10%** second home discount, evidence would have to be supplied to confirm that the property is occupied for part of the year.

The suggested evidence would be a copy of a TV Licence however a property visit may also be carried out to confirm the property is furnished.

### *Structural Repair*

The normal rules apply for a structural repair exemption where a Property is eligible for a 12 month exemption from the last date of occupation. Thereafter, should the property remain unoccupied a further **10%** discount is available before the 100% increase is levied.

It should be noted that if the property is sold after the original 12 month structural repair exemption has been granted, and the new property remains unoccupied, the new owner would be entitled to a **50%** discount from the date of purchase for 6 months, followed by a further 10% discount before the 100% increase would be levied.

### *Unoccupied and exempt (e.g. prohibited by law, repossessed, in care etc)*

The normal rules apply for each exemption category which is detailed in section 4.1. Should the Property no longer be entitled to the original exemption, the relevant scenario above should be followed to determine the level of reductions available.

### *Purpose built holiday homes*

An unlimited 50% discount is available for purpose built holiday homes however to date Renfrewshire do not have any of this type of Property registered on the council tax system. This will be reviewed should we receive an application for a purpose built holiday home.

### *Job related Properties*

An unlimited 50% discount is available for any council tax payer whose 2<sup>nd</sup> home is owned or rented but they live in tied accommodation. This would include members of the clergy, farm workers and publicans who are required to live in the licensed premises where they are tenants.

Proof would be required to confirm the property must be lived in as part of their employment. This could be a letter from their employer.

## **8. Requests For Discretionary exclusion from the increase**

As detailed in section 4.3 the new regulations includes provision for local authorities to apply additional exemption from the increased charged out with the exemptions advised in sections 4 and 7.

Supplementary guidance was provided by the Scottish Government on 31 March 2015 to advise local authorities what circumstances may merit flexibility in terms of not charging the council tax increase where properties have been empty for over a year. This includes:

- The owner is finishing renovations prior to moving in/selling/letting and can demonstrate that these works are progressing.
- A long-term second home where the owner was unable to meet the 25 day occupancy criteria in the previous 12 months due to personal circumstances but where a history of 25 day occupancy can be shown in previous years.
- A property that is taking a long time to sell/let in a stagnant market despite being priced appropriately.
- Any other circumstances where the owner has agreed with an Empty Homes Officer to take positive steps to re-occupy their property and it is in the view of the Empty Homes Officer that a time-limited council tax increase “holiday” would encourage the property to be brought back into use sooner.

Should any customer wish request a discretionary exclusion from the council tax increase they should write/email, detailing their case for the exclusion.

Each case will be looked at on a case by case basis with a decision being made within 10 working days. Should any further evidence be required or a property visit be appropriate, this 10 working day deadline can be extended. As stated in section 10 below, responsibility for use of discretion will lie with the Finance Recovery Team.

### **9. Where It Is Claimed a Property Is Now Occupied**

The customer should provide information to confirm:

- Date of occupation
- Name of occupants
- Occupants previous address
- Payment method
- Contact Details (telephone and email)

The case will be reviewed and a property visit may be required to confirm the property is furnished. Further credit checks will be carried out to confirm credit activity at the property to ensure it is someone's sole and main residence.

Cases involving couples where one party is residing in the previous property and the other party is claiming to reside in the 2<sup>nd</sup> property should be investigated to ensure the claim is not simply a way to avoid the increase. The credit check carried out would confirm this.

### **10. Appeals**

There is no right of appeal in relation to the level of discount awarded or the 100% increase added to the council tax charge.

A customer may ask for the decision to be looked at again in which case it should be allocated to a different officer to review.

Appeals can be made against the following decisions:

- Council decision not to class Property as 2<sup>nd</sup> home
- Council decision not to class Property as purpose built holiday home
- Council decision not to class Property as job related
- Decision to reject application for structural repair exemption
- Decision to reject application for unoccupied and unfurnished exemption.

Should a customer disagree with a decision, from the list above, they can advise that they wish to dispute the original decision made. This can be done in writing, by email or by telephone.

Should the customer still disagree with the decision they can then request for a formal review of the decision. This must be done in writing and a response will be issued detailing the outcome and appeal rights.

If the customer still disagrees with the decision they can then request to be forwarded to the Valuation Appeal Committee to review the case. As stated above decisions regarding the imposition of the 100% increased charge cannot be heard by the Valuation Appeal Committee.

## 11. Complaints

Should a customer be unhappy with the service provided by Renfrewshire Council in relation to any part of this process, they may submit a formal complaint at any point. This can be done in writing, email or by telephone..

Each complaint will be investigated as part of the council's complaints procedures and should the customer still be dissatisfied with the outcome after stage 2 of the complaint, they may forward the complaint onto the Scottish Public Services Ombudsman.

## 12. Reviews

All empty property discount reviews from July 2016 will be carried out by the new Review Officer based within the Finance Recovery Team. Due to the impact of the council tax increase, a tighter control on discounts is required therefore functionality such as Equifax will be used to identify electoral/credit activity on empty properties.

The review process will be split into moving out, moving in, deceased and second home categories, appropriate verification activities should be undertaken.

## 13. Debt Recovery Process

Current debt recovery procedures are aimed at '*can pay, wont pay*' debtors. The main consideration regarding the increased charge is the ability for an owner to maintain an ongoing instalment.

Certain owners will have little or no disposable income and in cases like this the Finance Recovery Team will work in partnership with the Empty Homes Officer (see section 14 below) with the purpose of bringing the property back into use.

Consideration will be given to these cases for discretion to be awarded with the **10%** discount remaining in place on the basis that the owner is engaging with the team. Payment arrangements will also be considered where payment is made at the point the property is sold or let.

All cases where the 100% increase is in place, and is disputed by the owner, will be routed to the Finance Recovery Team. Debt Management Officers will be responsible for applying the discretion and collecting the outstanding charges whether the charge is 90% or 200%.

#### **14. Homes Again Renfrewshire Initiative**

'Homes Again Renfrewshire' is a joint initiative which has been established in partnership between Renfrewshire Council, West Dunbartonshire Council (WDC) and the Scottish Government.

The key aim of the initiative is to bring private sector empty homes which have been lying empty for more than 6 months back into use.

An appointed Empty Homes Officer, Kathryn Kelly (shared with WDC) can provide additional support to customers. Advice on letting, selling, renovations can be provided along with one to one support through the selling/letting processes.

Loans are accessible to help empty homeowners bring their properties back into use. To be eligible for a loan, owners must ensure properties are used for affordable housing for a 5 year period after refurbishment.

Homes owners requiring support will be sign posted, where appropriate to the Empty Homes Officer by the Revenues/Finance Recovery Teams.

**RENFREWSHIRE COUNCIL**  
**COUNCIL TAX – EMPTY PROPERTIES**  
**EQUALITY IMPACT ASSESSMENT**

**1. The Proposal**

From 1 April 2013, the Scottish Government implemented the Council Tax (Variation for Unoccupied Properties) (Scotland) Regulations 2013 that allowed local authorities the discretionary power to remove the empty property discount or set a council tax increase of a maximum 100% on certain properties which have been empty for 1 year or more. Previously, local authorities were only able to vary the level of discounts, ranging between 10% and 50%.

The legislative changes only apply to long-term unoccupied properties. Properties which are classed second homes, as defined in the legislation, will continue to be entitled to a discount which authorities may set between 10% and 50%.

Purpose built holiday homes and job related Properties will continue to attract a discount of 50%.

From July 2017, Renfrewshire Council will no longer offer a 50% discount on empty properties, excluding purpose built holiday homes and job related Properties.

The discount offered for empty dwelling will now be 10% and this will also apply to properties that have previously been granted 6 months unoccupied and unfurnished exemption.

Where a property has been unoccupied for 1 year, a council tax increase of 100% will be levied on the account.

Legislation dictates however that properties actively being marketed for sale or rent will be exempt from the increase until they have been unoccupied for 2 years. The increase of 100% will therefore commence after year 2 in these cases.

**2. Information**

There is no evidence to suggest that any vulnerable groups will be affected by the legislative change.

## APPENDIX 3

Council tax records do not hold information on the following equalities groups that may be affected by the increased charge:

- Age
- Disability
- Gender reassignment
- Marriage and civil partnership
- Pregnancy and maternity
- Race
- Religion or belief
- Sex
- Sexual orientation

Council tax records indicate that a total of 1740 properties are currently classed as unoccupied. 546 of these properties are owned by local authority or social landlords.

It should be noted that not all of these properties will be affected by the council tax increase as any number could become occupied prior to the increase being levied.

The change to legislation will not affect a council tax payer's eligibility to claim council tax exemption under the Council Tax (Exempt Properties) Order 1997.

There are a number of exemptions/discounts in place for unoccupied properties for the scenarios below:

- Occupant in long-term residential care
- Occupant in hospital long term
- Occupant in prison
- Where a dwelling has been repossessed by a lender
- Where a dwelling is being structurally repaired (for up to 1 year after it becomes unoccupied)
- Where the council tax payer has died (in which case the exemption is up to 6 months after the estate has settled)

Where a property is no longer eligible for an exemption detailed above, but it remains unoccupied, it will become eligible for the council tax increase after 1 year, unless it is being marketed for rent/sale.

### **3. Proposal Impact**

It is anticipated that the vast majority of groups impacted by the council tax increase will be:



## APPENDIX 3

- Home owners
- Builders
- Local authority properties
- Social landlord properties
- Private landlord properties

It is recognised that some owners may have little or no disposable income available in order to bring their property back into use or a property may take a long time to sell/let in a stagnant market despite being priced appropriately. Requests for discretion will be considered in these circumstances as detailed in section 4.

A positive impact of the council tax increase will be that owners are encouraged to bring empty properties back into use, increasing the supply of housing for those who need homes and reducing the blight on communities caused by houses being left empty and falling into disrepair.

### **4. Recommendations**

The new regulations include provision for local authorities to apply additional discretion from the increased charged and this is available to all customer groups.

Supplementary guidance was provided by the Scottish Government on 31 March 2015 to advise local authorities what circumstances may merit flexibility in terms of not charging the council tax increase where properties have been empty for over a year. This includes:

- The owner is finishing renovations prior to moving in/selling/letting and can demonstrate that these works are progressing.
- A long-term second home where the owner was unable to meet the 25 day occupancy criteria in the previous 12 months due to personal circumstances but where a history of 25 day occupancy can be shown in previous years.
- A property that is taking a long time to sell/let in a stagnant market despite being priced appropriately.
- Any other circumstances where the owner has agreed with an Empty Homes Officer to take positive steps to re-occupy their property and it is in the view of the Empty Homes Officer that a time-limited council tax increase “holiday” would encourage the property to be brought back into use sooner.

Renfrewshire Council will accept requests for exclusion from the 100% increase as well as discretionary awards of discounts greater than 10%.

## APPENDIX 3

Discretion will be used reasonably and lawfully and will not extend to giving more weight to certain groups and/or claimant because they are seen as more deserving than others.

Home owners affected by the council tax increase will be sign posted to a dedicated empty homes officer who is part of an initiative called Homes Again Renfrewshire. Loans are being made available to help empty homeowners bring their properties back into use. To be eligible for the loan, owners must ensure the property is being used for affordable housing for a 5 year period after refurbishment.

The key aim of the initiative is to bring private sector empty homes which have been lying empty for more than 6 month back into use.

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**To: Finance and Resources Policy Board**

**On: 18 May 2016**

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

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**Heading: Policy and Guidelines on Surveillance**

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## **1. Summary**

- 1.1 The Council's Policy and Guidelines on Surveillance was first approved by the General Management Policy Board on 19th December 2001 and has been subject to review by the General Management and by the Finance Policy Board in January 2008, January 2011 and Finance and Resources Policy Board in August 2014 . It is considered useful to further update the policy by way of some minor amendments, predominantly to reflect changes to Council structure.
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## **2. Recommendations**

- 2.1 It is recommended that the Board approve the amended Policy and Guidelines on Surveillance which form the appendix to this report and authorises the Managing Solicitor (Information Governance) to update the guidance note appended to the Policy, as required.

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### 3. Background

- 3.1 The Human Rights Act 1998 obliges all public authorities to act in a manner compatible with the rights contained in the European Convention of Human Rights. The Regulation of Investigatory Powers (Scotland) Act 2000 ("RIPSA") provides a legal framework for covert surveillance by public authorities. If RIPSA is complied with, any interference with the right of privacy contained in the European Convention will be in accordance with law.

### 4. Renfrewshire Council's Policy

- 4.1 Renfrewshire Council's Policy and Guidelines, approved in 2001, as amended in 2008, 2011 and 2014, outlines the procedures which should be followed when the Council is carrying out covert surveillance, making it easier for Council officers to ensure compliance with RIPSA and thus the Human Rights Act. Only minor amendments to the existing policy have been made. The main changes, highlighted in bold, for ease of reference, relate to:-

- Guidance on use of social media for investigation purposes
- Additional guidance on situations where a member of the public is providing the Council with information
- Updates to the designations of officers who can authorise covert surveillance, further to changes to the Council structure.

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### Implications of the Report

1. **Financial** – None.
2. **HR & Organisational Development** – None
3. **Community Planning** – None.
4. **Legal** - The Council's existing Policy and Guidelines ensure compliance with the Regulation of Investigatory Powers (Scotland) Act 2000 and the Human Rights Act 1998. The amendments to the Policy will ensure best practice by Council officers involved in covert surveillance by providing additional guidance on use of social media by officers.

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. The purpose of the report is to ensure compliance with the Human Rights Act 1998. 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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**RENFREWSHIRE COUNCIL**

**POLICY AND GUIDELINES**

**on**

**SURVEILLANCE**

## RENFREWSHIRE COUNCIL

### POLICY AND GUIDELINES ON SURVEILLANCE

#### PART 1 - BACKGROUND

##### 1.1 INTRODUCTION

In some circumstances it may be necessary for Council employees, in the course of their duties, to make observations of a person(s) in a covert manner, i.e. without that person's knowledge, or to instruct third parties to do so on the Council's behalf. Actions of this sort are potentially intrusive. The Human Rights Act 1998 obliges all public authorities to act in a manner compatible with the rights contained in the European Convention of Human Rights ("the Convention"). Article 8 of the Convention affords everyone the right to respect for private and family life including home and correspondence. Surveillance activities by public authorities may therefore result in a legal challenge in terms of Article 8.

Article 8 of the Convention is not however an absolute right. Interference with this right of privacy may be justified if this is:

- in accordance with law;
- necessary to pursue a legitimate aim, for example, the public interest; and
- the interference is proportionate to the legitimate aim, i.e. the interference with the right is not greater than is necessary to achieve the aim.

The Regulation of Investigatory Powers (Scotland) Act 2000 ("RIPSA") provides, for the first time, a legal framework for covert surveillance by public authorities and an independent inspection regime to monitor these activities. If RIPSA is complied with, any interference with the right to privacy will be in accordance with law. As long as the action taken is also necessary and proportionate there will be no breach of Article 8 of the Convention.

##### 1.2 OBJECTIVES

The objective of this policy is to ensure that all covert surveillance by Council employees is carried out effectively, legally and **proportionately**. This policy should be read in conjunction with the Scottish Ministers' **revised** Code of Practice on Covert Surveillance and Property Interference ("the Code of Practice") **and any amendments thereto**.

If the procedures outlined in this policy are not followed, any evidence acquired as a result of surveillance activities may be susceptible to a human rights challenge. As a result, it may not be admissible in court, and the Procurator Fiscal is unlikely to take proceedings on the basis of such

evidence. The Council may also be exposed to legal action **for any breach of human rights**.

### 1.3 SCOPE OF THE POLICY

The policy only applies where surveillance is covert **i.e. carried out without the knowledge of the subject**. It does not apply to observations or surveillance that is not carried out covertly, e.g. use of overt CCTV cameras, or unplanned observations made as an immediate response to events. It should be noted however, that although use of CCTV is generally classed as overt surveillance, due to the presence of signage, alerting the public to the fact that they are being monitored, if CCTV operators decide that targeted surveillance of a specific subject(s) or for a particular investigation becomes necessary, then this could fall within the definition of directed surveillance and an authorisation should be obtained in accordance with this policy.

#### **Directed Surveillance**

The policy applies in all cases where "directed surveillance" is being planned or carried out. Directed surveillance is **covert surveillance** undertaken "for the purposes of a specific investigation" and "in such a manner as is likely to result in the obtaining of private information about a person". The policy does not apply to further activities undertaken by the Council as a result of information discovered through the use of surveillance.

#### **Intrusive Surveillance**

RIPSA does not permit the authorisation by council officers of intrusive surveillance. Intrusive surveillance means surveillance in relation to any residential premises (but not common areas such as common stairs and closes) or in any private vehicle.

Some additional points should be made about intrusive surveillance. Surveillance is not intrusive if directed into a home or private vehicle from outside unless the information is consistently of the same quality as a device actually present in the home or vehicle would provide. Advice from the Office of Surveillance Commissioners ("OSC") suggests that the sort of surveillance undertaken by the Council is unlikely to reach this level of sophistication. Thus activities such as filming goods being sold from the back of a car, or monitoring the level of noise generated by an anti-social tenant (but not the actual words) are unlikely to be classed as intrusive, and so, these activities can be safely carried out, subject to appropriate authorisation. Furthermore, devices, such as listening and audio visual equipment, carried into a home or a private vehicle by a Covert Human Intelligence Source ("CHIS") do not constitute intrusive surveillance as long as the CHIS has been invited in. However, the device must not be left behind when the CHIS leaves the premises or vehicle. Services are reminded of the need to have proper authorisation before any use is made of a CHIS.

## Covert Human Intelligence Sources

A "Covert Human Intelligence Source" or "CHIS" is a person who establishes or maintains a personal or other relationship with another person for the covert purpose of either using the relationship to obtain information or to provide access to any information. The principles outlined in this policy are fully applicable to such undercover operations, which must meet the same tests as directed surveillance and be properly authorised. However, additional rules apply to the use of a CHIS, as outlined at 2.2.2 of this policy and in the question and answer briefing note on use of a CHIS, annexed as Appendix A. For this reason, any Service considering use of a CHIS should first consult Legal **and Democratic** Services.

Council officers making undisclosed site visits or straightforward test purchases do not count as CHIS (as this does not involve the establishment or maintenance of a relationship) and such activities do not require formal authorisation.

Particular care should be taken when a member of the public is acting as an informant. If information is simply volunteered, no application for CHIS is required, as there is no relationship established or maintained for the purposes of obtaining that information covertly. **Information is volunteered by members of the public to the Council across a number of its functions and for a variety of reasons, from supplementing complaints, to concerned relatives highlighting potential issues to Children's Services.** However, if the member of the public is asked to make contact or maintain an existing relationship to obtain information, an authorisation for CHIS will be needed, as he/she is establishing or maintaining a relationship to covertly obtain private information. In such cases, sufficient safeguards, as outlined in 2.2.2, must be in place to protect the source and consideration must be given to the risk of reprisals if the information covertly supplied is used as a basis for further action. Services should consult Legal **and Democratic** Services before using any information obtained in this way.

### 1.4 PRINCIPLES OF SURVEILLANCE

In planning and carrying out covert surveillance, Council employees must comply with the following principles:

- lawful purposes - covert surveillance shall only be carried out where necessary to achieve one or more of the permitted purposes (as defined in RIPSA) i.e., it must be:
  - (a) for the purpose of preventing or detecting crime or the prevention of disorder;
  - (b) in the interest of public safety; or
  - (c) for the purpose of protecting public health.



Employees carrying out surveillance should not cause damage to any property or harass any person.

- necessity - covert surveillance shall only be undertaken where there is no reasonable and effective alternative way of achieving the required objective i.e. one of the above lawful grounds of surveillance
- effectiveness - planned covert surveillance shall be undertaken only by, or under the supervision of, suitably trained or experienced employees.
- proportionality - the use and extent of covert surveillance shall not be excessive i.e. the aim could not have been achieved by less intrusive means. Further information on proportionality is provided at paragraph 2.7
- intrusive surveillance - no surveillance shall be undertaken which comes within the definition of "intrusive surveillance".
- collateral intrusion - reasonable steps shall be taken to minimise the acquisition of information that is not directly necessary for the purposes of an investigation and operation being carried out.
- authorisation - all surveillance must be authorised in accordance with the procedures described below.

## **PART 2 - THE AUTHORISATION PROCESS**

### **2.1 Who may seek an authorisation?**

Any officer whose duties involve directed surveillance or use of a CHIS may seek authorisation to do so and must seek and be granted authorisation prior to carrying out the surveillance. This is most likely to arise in Services responsible for policing, enforcement or security functions.

### **2.2 Who may grant/refuse an authorisation?**

#### **2.2.1 Directed Surveillance**

Authorisation will be granted/refused by the Chief Executive, the Director of **Community Resources, the Head of Public Protection, the Regulatory and Enforcement Manager, the Strategic Change Manager, the Head of Corporate Governance**, the Chief Auditor and **the Homeless and Community Services Manager**. Authorisation levels are prescribed by the Regulation of Investigatory Powers (Prescription of Officers, Ranks and Positions) (Scotland) Order 2000. In relation to local authorities, the Regulations refer to Assistant Head of Service and Investigation Manager, titles which are little used within Councils. Where possible, there should be at least two organisational tiers of separation between the applicant and the authorising officer. Authorising Officers must not authorise investigations or

operations in which they are directly involved unless this is unavoidable, for example, when it is necessary to act urgently.

### 2.2.2 Urgency

Applications should be made in writing using the approved form. In urgent cases, however, oral applications may be approved by the Chief Executive, the Director of Community Resources or the Consumer Protection Manager. In any such cases, a statement that the Authorising Officer has expressly authorised the action and the considerations in doing so should be recorded as soon as is reasonably practicable. Where an urgent application is made this should be renewed or cancelled within 72 hours.

A case is not normally regarded as urgent unless the time that would elapse before the Authorising Officer was available to grant the authorisation would, in the judgment of the person giving the authorisation, be likely to endanger life or jeopardise the investigation or operation for which the authorisation was being given.

An authorisation is not to be regarded as urgent where the need for an authorisation has been neglected or the urgency is of the Authorising Officer's own making.

### 2.2.2 Covert Human Intelligence Sources

The process for granting authorisations for the use or conduct of CHIS is the same as for directed surveillance. In addition, however, authorisations for use of a CHIS can only be granted if sufficient arrangements have been in place for handling the source's case. The arrangements therefore considered necessary are that:-

- (1) there will at all times be an appropriate officer within the Council who will have day to day responsibility for dealing with the source on behalf of the Council and for the source's security and welfare (the handler).
- (2) there will at all times be another person who will have general oversight of the use made of that source (the controller).
- (3) there will at all times be a person who will have responsibility for maintaining a record of the use made of that source. This should be an authorising officer.

The record relating to the use of that source maintained by the Council will always contain particulars of such matters as may be specified in regulations made by the Scottish Ministers.

The records maintained by the Council that disclose the identity of the source will not be available to persons, except to the extent that there is a need for access to them to be made available to those persons.

### **2.2.3 Juvenile Sources**

There are special safeguards in relation to the use or conduct of juvenile sources i.e. sources under the age of 18 years and some additional rules for under 16s. On no occasion should the use or conduct of a source under 16 years of age be authorised to give information against his parents or any person who has parental responsibility for him. Officers must ensure that an appropriate adult is present at any meeting with the source if the source is under 16 years old. Authorisations for use of a juvenile source must be granted by the Chief Executive.

When dealing with juvenile sources i.e. under 18s, a full risk assessment considering the nature and magnitude of any risk of physical injury to the source arising in the course of, or as a result of carrying out the conduct described in the authorisation must be identified and evaluated. The nature and magnitude of any risk of psychological distress to the source must also be identified and evaluated. Any such risks must be justified and properly explained to and understood by the source and the officer granting or renewing the authorisation must know whether the relationship to which the conduct or use would relate is between the source and a relative, guardian or person with responsibility for the source's welfare. If it is, particular consideration must be given to whether the authorisation is justified in light of that fact.

### **2.2.4 Vulnerable Individuals**

A "vulnerable individual" is a person who is or who may be in need of community care services by reason of mental or other disability, age or illness and who is unable to take care of himself, or unable to protect himself against significant harm or exploitation. Any such individual should only be authorised to act as a source in the most exceptional circumstances. In any such cases, authorisations must be granted by the Chief Executive.

## **2.3 Granting and recording authorisations and refusals**

The authorising officer's job is to be satisfied that the applicant has correctly identified the lawful purpose for the proposed surveillance, has planned the operation properly so as to minimise collateral intrusion and the collection of confidential information, is not proposing to stray beyond permissible bounds of directives and has correctly applied the proportionality test. Only if satisfied with these points should the authorisation be granted. Any restrictions imposed on the authorisation should be noted as authorising officer comments.

## 2.4 **Receipt and logging of applications**

All departments carrying out surveillance activities must forward all relevant documentation to the Head of **Corporate Governance**, who is the Senior Responsible Officer (“SRO”) in order that a central register detailing the surveillance activities carried out by the Council can be maintained. This confidential register will be open to inspection by the OSC and represents evidence of the Council’s compliance with the law and the Scottish Ministers’ Code of Practice.

## 2.5 **Duration, renewal, review and cancellation of authorisations**

An authorisation for directed surveillance lasts for three months. The authorising officer should note the time and date of the grant/refusal of the application on the relevant form. However, if the reasons justifying carrying out the surveillance cease to apply, then the authorisation should be cancelled and the cancellation form forwarded to the Head of Legal and Democratic Services for filing on the central register.

If surveillance is to be continued for longer than the original period authorised, it is necessary to have a renewal authorised. The tests applicable to renewals are identical to those for initial applications. A renewal will take effect at the time at which an authorisation would have ceased to have effect but for the renewal. An application for renewal should not be made until shortly before the authorisation period is drawing to an end. Authorisations may be renewed more than once, if necessary, provided they continue to meet the criteria for authorisation.

Authorisations for the conduct or use of a CHIS run for twelve months. The ongoing security and welfare of the source, even after cancellation of the surveillance, should be considered before an authorisation is granted, on review and prior to any renewal. Applications for the renewal of the conduct or use of a CHIS should not be granted unless the authorising officer is satisfied that a review has been carried out of the use made of the source during the period since the grant, the task given to the source during that period and the information obtained from the conduct or use of the source and the authorising officer has considered the results of such a review. The authorisation should be cancelled if the person who granted or last renewed an authorisation is satisfied that the authorised conduct is no longer required or no longer satisfies the purpose for which it is granted.

Regular reviews of authorisations should be undertaken to assess the need for the surveillance to continue. The results of a review should be recorded on the central record of authorisations. Authorisations should be reviewed frequently where the surveillance provides access to confidential information or involves collateral intrusion. The Authorising Officer should determine how often a review should take place. This should be as frequently as is considered necessary and practicable.

## 2.6 When is covert surveillance appropriate?

Before an application is granted, the authorising officer must be satisfied that the surveillance is necessary, that the action is proportionate with what it seeks to achieve and that the aim could not have been achieved by any other means. **There is no “one size fits all” formula for considering whether an authorisation should be granted. Each application for an authorisation must be carefully considered by an Authorising Officer on its own merits and can only be authorised when the particular circumstances justify use of covert surveillance.**

By its very nature, covert surveillance intrudes on people's privacy and so, the Authorising Officer must be satisfied that there is a necessity to use this. There must be an identifiable offence to prevent or detect before an authorisation can be granted. It should therefore be regarded as a final option, only to be considered when all other methods have either been tried and failed, or where the nature of the activity the surveillance relates to is such that it can be reasonably concluded other action will be able to acquire the information being sought. Thus, for example, if a vending machine is regularly being broken into, consideration should be given to installing overt CCTV cameras with appropriate signage before installing hidden cameras.

Any use of covert surveillance must be proportionate to the objective being pursued.

## 2.7 Is use of social media by Council officers covert surveillance?

**2.7.1 Officers must not assume that because monitoring and research of activities via the internet and social networking sites e.g. purchase of illicit goods by Trading Standards officers or monitoring by fraud investigators, is routine or easy to conduct, that no authorisation is needed for this.**

**2.7.2 Social networking sites are designed to enable users to create profiles and form relationships with other users within that site. Profiles will have varying levels of access and disclosure which are controlled by the user and website administrator e.g. all content may be publicly available or some may be restricted to ‘friends’. Not all social networking sites work in the same way and so, care must be taken by officers to understand how the sites being used operate. Where privacy settings/access controls are applied to social media sites, the author has a legitimate expectation of privacy. If there is any covert use made of internet or social networking sites (i.e. the other party does not know that the enquirer is a Council employee) to support a particular investigation or operation, particularly where any privacy settings are passed, then an authorisation should be considered. If there is any covert use made of internet or social networking sites (i.e. the other party does not know that the enquirer is a Council employee)**

to support a particular investigation or operation, particularly where any privacy settings are passed, then an authorisation for directed surveillance should be considered. Where a relationship is established or maintained for the covert purpose of obtaining private information, an authorisation for a CHIS should be considered.

- 2.7.3** However, officers should not assume that viewing “open source” materials, where there are no such controls in place, for the purposes of an investigation will never require an authorisation because this is publicly available. Repeat viewing of this information may require an authorisation, depending on the circumstances, as this becomes targeted and focused. Although officers may make overt use of publicly available information, advice should be obtained from the Managing Solicitor (Information Governance) before repeated viewing of social media sites for investigatory purposes, as targeting users can render overt use covert.
- 2.7.4** Officers should not set up a false identity for a covert purpose without first obtaining an authorisation. Photographs of other people should never be used without their permission.
- 2.7.5** Officers must never adopt the identity of a person known to users of the site without explicit permission and without considering the protection of that person.

## **Proportionality**

Proportionality is a concept of human rights fully designed to ensure that measures taken by the state (and its public authorities, such as the Council) which impact on the rights of citizens are kept within proper bounds.

It means that if the same legitimate end can be reached by means of less intrusion on people’s rights, or none at all, then the less intrusive option should be taken. There should also be a reasonable relationship between the seriousness of the issue being addressed and the degree of intrusion into people’s rights, although it is insufficient to simply assert that the ‘seriousness’ of the crime justifies any or every method available.

Covert surveillance involves a potentially serious breach of an individual’s right to privacy. Compelling reasons are therefore required to justify this, particularly if the surveillance is to continue for an extended period. Thus surveillance of a staff member on sick leave is likely to be disproportionate if all that is being assessed is a possibly fraudulent claim for a very small amount of statutory sick pay, but it may be proportionate when detecting a fraudulent legal claim against the Council for thousands of pounds.

It is useful to consider how serious the breach sought to be rectified is. For criminal offences the potential sentence may be a useful guide. However, many regulatory offences, while attracting only very small fines, are designed



to prevent potentially life threatening occurrences (such as sale of dangerous goods or contaminated food, or the overcrowding of licensed premises). Such factors weigh in favour of surveillance being proportionate.

Guidance from the OSC indicates that four elements of proportionality should be considered:-

- Balancing the size and scope of the operation against the gravity and extent of perceived mischief;
- Explaining how and why the methods to be adopted will cause the least possible intrusion on the target and others;
- That the activity is an appropriate use of the legislation and the only reasonable way, having considered all others, of obtaining the necessary result and
- Evidencing what other methods had been considered and why they were not implemented.

## 2.8 Confidential material and collateral intrusion

Confidential material covers a number of areas: professional legal advice, health information, spiritual counselling, journalistic material and material held under an obligation of confidentiality. So far as possible, surveillance operations should be designed so as to minimise or eliminate the possibility of confidential information being acquired. If confidential information is in fact acquired, special care should be taken to avoid unnecessary disclosure of it. If there is any likelihood that confidential information will be acquired, the authorisation should be granted by the Chief Executive.

Collateral intrusion refers to the fact that very often surveillance operations will inadvertently intrude on the privacy of persons other than those at whom the operation is directed. Operations should be planned so as to minimise or eliminate so far as possible the risk of collateral intrusion, and the extent to which it remains is a factor to consider when determining the proportionality of the operation.

## 2.9 Surveillance by other public authorities and external partners

Council officers are occasionally asked to assist in surveillance operations being conducted by other public authorities such as the police, the Benefits Agency, Customs and Excise etc. In such cases it is for the organisation seeking assistance from the Council to ensure that it has appropriate authorisations in place. These authorisations should be shown to Council staff involved or written confirmation should be given that the authorisations have been duly granted. If the Council is carrying out its own surveillance as part of a joint operation, however, Council officers should arrange for its own authorisations to be put in place too. The OSC have indicated that they would prefer one public authority to take the lead in joint operations and for authorisations to be made all inclusive, where possible. There may be occasions when the Council wishes to engage a third party in **to conduct** covert surveillance **on its behalf**. **When a person who is not an**

employee of the Council is authorised to conduct covert surveillance on behalf of the Council, he is an agent of the Council. In any such case, the Authorising Officer should obtain written acknowledgement of this agency arrangement and confirmation that the agent will comply with the authorisation.

## 2.10 Security and retention of documents

Documents created under this procedure are highly confidential and shall be treated as such. The Head of **Corporate Governance**, as SRO, shall ensure that the central register is kept secure and shall make proper arrangements for the retention and destruction of documentation in accordance with the requirements of the Data Protection Act 1998 and the Code of Practice. It should be noted that refusals, as well as approved applications, must be retained. The Code of Practice **states that although** retention of authorisations **is required** for at least three years from the ending of the authorisation, or longer, if required for ongoing proceedings, **retention for five years is recommended to ensure that no records are destroyed until a Surveillance Commissioner has had an opportunity to see them.**

In accordance with guidance issued by the OSC, documents will be inspected periodically by the Head of **Corporate Governance**, to ensure that consistent approach is being adopted by different Council Services. The OSC has statutory powers of inspection and all records (applications, authorisations, cancellations and refusals) must be available for inspection.

## 2.11 Training

Each Service is responsible for ensuring that their staff receive adequate training to deal with the authorisation process and any enquiries. Training, advice and guidance is available, as required, from Legal and Democratic Services.

## 2.12 Public Access

Copies of the Policy and Codes of Practice will be made available to the public on request.

## 2.13 Complaints

In the event of any member of the public being unhappy or dissatisfied with the conduct of any covert surveillance, in addition to the Council's complaints procedure, they have the right to complain to the Investigatory Powers Tribunal. Copies of the Complaints Procedure will be made available to the public by post or e-mail, on request.



## USE OF A COVERT HUMAN INTELLIGENCE SOURCE (CHIS)

### Questions and Answers

**1. Q: What is a CHIS?**

**A:** A CHIS is a person who establishes a relationship with another person for the covert purpose of obtaining information e.g. when acting undercover or when dealing with informants.

**2. Q: Why is it important to have a proper authorisation in place for use of a CHIS?**

**A:** Admissibility of evidence depends on whether evidence is fairly and lawfully obtained. An authorisation will provide lawful authority for use of a source.

**3. Q: When is it necessary to obtain an authorisation for use or conduct of a CHIS?**

**A:** Officers should obtain an authorisation where the use or conduct of a source is likely to interfere with a person's right to privacy, whether or not that person is the actual subject of the investigation or operation.

**4. Q: Is an authorisation for a CHIS needed in relation to test purchases?**

**A:** If a Council officer, or someone acting on his behalf, makes a straightforward test purchase no authorisation is required e.g. If an officer or a juvenile purchases cigarettes from a retailer. This is due to the fact that there is unlikely to be a breach of privacy as the officer or juvenile is simply entering the shop in the same way as any other customer. If, however, the officer or the juvenile develops a relationship with the person from whom he is purchasing to elicit further information, it is likely that an authorisation for a CHIS will be necessary. Alternatively, if the shopkeeper is placed under covert surveillance by the use of a device an authorisation for directed surveillance will be more appropriate.

**5. Q: Is a member of the public who volunteers information a CHIS?**

**A:** There is no 'one size' fits all when deciding whether an authorisation for a CHIS is needed. This will depend on the specific circumstances of any given case. However, officers must know when to seek advice on this. Particular care should be taken when a member of the public is acting as an informant. If information is

simply volunteered, no application for CHIS is required, as there is no relationship established or maintained for the purposes of obtaining that information covertly. However, if the member of the public is asked to make contact or maintain an existing relationship to obtain information, an authorisation for CHIS will be needed, as he/she is establishing or maintaining a relationship to covertly obtain private information. In such cases, sufficient safeguards, as outlined in 2.2.2 of the Surveillance Policy, must be in place to protect the source and consideration must be given to the risk of reprisals if the information covertly supplied is used as a basis for further action. Services should consult Legal **and Democratic** Services before using any information obtained in this way.

**6. Q: What about concerned relatives who report issues to Children's Services?**

Once again, this will depend on the circumstances of the case. Social workers, for example, frequently act on information supplied, often in confidence by relatives of a child. No authorisation is need for this. However, should contact become repeated and regular, this should be kept under review and advice sought, as necessary. Whilst Children's Services exercise their statutory powers and duties overtly, staff should be aware of the difference between overt and covert surveillance.

**7 Is an authorisation for a CHIS needed if internet or social networking sites are used by officers for research or investigation?**

**A: Do not assume that because monitoring and research of activities via the internet and social networking sites e.g. purchase of illicit goods by Trading Standards officers or monitoring by fraud investigators, is routine or easy to conduct, that no authorisation is needed for this.**

Social networking sites are designed to enable users to create profiles and form relationships with other users within that site. Profiles will have varying levels of access and disclosure which are controlled by the user and website administrator e.g. all content may be publicly available or some may be restricted to 'friends'. Not all social networking sites work in the same way and so, care must be taken by officers to understand how the sites being used operate. Where privacy settings/access controls are applied to social media sites, the author has a legitimate expectation of privacy. If there is any covert use made of internet or social networking sites (i.e. the other party does not know that the enquirer is a Council employee) to support a particular investigation or operation, particularly where any privacy settings are passed, then an authorisation for directed surveillance should

be considered. Where a relationship is established or maintained for the covert purpose of obtaining private information, an authorisation for a CHIS should be considered.

Officers should not assume that viewing “open source” materials, where there are no such controls in place, for the purposes of an investigation will never require an authorisation because this is publicly available. Whilst an authorisation may not be required for single viewing of publicly available information, repeat viewing of this information may require an authorisation, depending on the circumstances, as this becomes targeted and focused. Although officers may make overt use of publicly available information, advice should be obtained from the Managing Solicitor (Information Governance) before repeated viewing of social media sites for investigatory purposes, as targeting users can render overt use covert.

**8. Will obtaining an authorisation mean that there is no breach of human rights?**

A: Interference with the Article 8 ECHR right to privacy can only be justified if it is lawful, necessary and proportionate. It is therefore essential that the authorisation is necessary for one or more of the lawful grounds for surveillance listed at Answer 9. Proportionality involves balancing the right of the person or persons whose privacy is being infringed with the greater good. The use of a CHIS will not be proportionate if the information which is sought could reasonably be obtained by other, less intrusive, means.

**9. Q: What are the lawful grounds for use of a CHIS?**

A: The lawful grounds are:-

- Prevention and detection of crime or disorder;
- Public safety;
- Protection of public health;
- Any other purpose prescribed in an order made by the Scottish Ministers

**10. Q: What about other people i.e. people who are not the subject of the surveillance?**

A: Authorising officers must take into account the risk of intrusion into the privacy of people who are not the subject of the investigation i.e. collateral intrusion. Measures should be taken, where practicable, to

avoid unnecessary intrusion into the lives of those not directly connected with the operation or investigation. The application for use or conduct of a CHIS should include an assessment of the risk of any collateral intrusion and the authorising officer should take this into account when considering the proportionality of the use and conduct of a source.

**11. Q: What if there is unexpected collateral intrusion?**

A: If the investigation or operation unexpectedly interferes with the privacy of individuals who are not covered by the authorisation, the authorising officer should be informed. If there is a possibility that the original authorisation may be insufficient, consideration should be given to whether a new authorisation is required.

**12. Q: What about the wider community?**

A: Authorising officers and officers applying for authorisations will also need to be aware of any particular sensitivities in the local community where the source is being used and of similar activities being undertaken by other public authorities which could impact on the deployment of the source e.g. police. Consideration should be given to any adverse impact on community confidence or safety that may result from the use or conduct of a source or of information obtained from that source. If an authorising officer considers that conflicts may arise, they should consult a senior officer within the police force area in which the source is deployed. In addition, the authorising officer should make an assessment of any risk to a source in carrying out the conduct in the proposed authorisation.

**13. Q: What if there is a need to carry out surveillance on a potential source?**

A: It may be necessary to deploy directed surveillance against a potential source in order to assess their suitability for recruitment. In such cases, an authorisation for a CHIS authorising an officer to establish a covert relationship with a potential source could be combined with a directed surveillance authorisation so that both the officer and the potential source could be followed.

**14. Q: What about “confidential information”?**

A: Confidential information includes matters subject to legal privilege, confidential personal information and confidential journalistic material. RIPSA does not provide any special protection for such information. However, particular care should be taken in cases where the subject of

the investigation or operation might reasonably expect a high degree of privacy, or where confidential information is involved.

In cases where the use or conduct of a CHIS is likely to result in confidential information being acquired, authorisations must be granted by the Chief Executive.

Where there is any doubt as to the handling and dissemination of confidential information, advice should be sought from Legal Services.

**15. Q: Can a vulnerable individual be authorised as a CHIS?**

A: A “vulnerable individual” is a person who is or who may be in need of community care services by reason of mental or other disability, age or illness and who is unable to take care of himself, or unable to protect himself against significant harm or exploitation. Any such individual should only be authorised to act as a source in the most exceptional circumstances. **In any such cases, authorisations must be granted by the Chief Executive.**

**16. Q: What about juvenile sources?**

A: There are special safeguards in relation to the use or conduct of juvenile sources i.e. sources under the age of 18 years and some additional rules for under 16s. On no occasion should the use or conduct of a source under 16 years of age be authorised to give information against his parents or any person who has parental responsibility for him. Officers must ensure that an appropriate adult is present at any meeting with the source if the source is under 16 years old.

When dealing with juvenile sources i.e. under 18s, a full risk assessment considering the nature and magnitude of any risk of physical injury to the source arising in the course of, or as a result of carrying out the conduct described in the authorisation must be identified and evaluated. The nature and magnitude of any risk of psychological distress to the source must also be identified and evaluated. Any such risks must be justified and properly explained to and understood by the source and the officer granting or renewing the authorisation must know whether the relationship to which the conduct or use would relate is between the source and a relative, guardian or person with responsibility for the source’s welfare. If it is, particular consideration must be given to whether the authorisation is justified in light of that fact.

**17. Q: How long will an authorisation for a CHIS last?**

A: An authorisation for a CHIS relating to juveniles will only last for one month.

In urgent cases an authorisation is valid for 72 hours. Authorisations may be granted orally for urgent cases, but officers should only authorise on this basis in exceptional circumstances.

In all other cases, an authorisation is valid for 12 months.

**18. Q: What about renewals?**

A: Before an authorising officer renews an authorisation, he must be satisfied that a review has been carried out of the use of a CHIS. This review should include the use made of the source during the period of authorisation, the task given to the source and the information obtained from the source. The results of a review should be recorded on the relevant review form. Authorisations should be reviewed frequently where the use of a source provides access to confidential information or involves collateral intrusion. It is for the authorising officer to determine how often a review should take place. However, this should be as frequently as is considered necessary and practicable.

If at any time before an authorisation would cease to have effect, the authorising officer considers it necessary for the authorisation to continue, he may renew it in writing for a further period of 12 months. Renewals may also be granted orally in urgent cases and last for a period of 72 hours.

The renewal will take effect at the time at which the authorisation would have ceased to have effect but for the renewal. An application for renewal should not be made until shortly before the authorisation period is drawing to an end. Authorisations may be renewed more than once, if necessary, provided they continue to meet the criteria for authorisation.

**19. Q: Why are cancellations important?**

A: The authorising officer who granted or renewed the authorisation must cancel it if he is satisfied that the use or conduct of the CHIS no longer satisfies the criteria for authorisation or that satisfactory arrangements for the source's case no longer exist. Where the authorising officer is no longer available, this duty will fall on the person who has taken over the role of the authorising officer or who is acting as authorising officer. Where necessary the safety and welfare of the source should continue to be taken into account after the authorisation has been cancelled.

20. **Q: How do I manage a source?**

A: Tasking - tasking is the assignment given to the source asking him to obtain information, to provide access to information or to otherwise act for benefit of the Council. Authorisation is required prior to any tasking where this requires the source to establish or maintain a personal or other relationship for a covert purpose.

The officer obtaining the authorisation will have day to day responsibility for:-

- dealing with the source on behalf of the Council;
- directing the day to day activities of the source;
- recording the information supplied by the source; and
- monitoring the source's security and welfare

In some cases, the tasking given to a person will not require the source to establish a personal or other relationship for a covert purpose, e.g. a Trading Standards Officer may be involved in the test purchase of items which have been labelled misleadingly or are unfit for consumption. In such cases, it is for the officers involved to determine where, and in what circumstances, such activity may require authorisation (see also Question 4). If in doubt, advice should be obtained from Legal **and Democratic Services**.

It is not the intention authorisations are so narrow that a separate authorisation is required each time that a source is tasked. An authorisation may cover, in broad terms, the nature of the source's task. If this changes, then a new authorisation may be needed.

It is difficult to predict exactly what might happen each time a meeting with a source takes place, or the source meets the subject of an investigation. There may be occasions when unforeseen action or undertakings occur. When this happens, this must be recorded as soon as practicable after the event and, if the existing authorisation is insufficient, it should be cancelled and a new authorisation should be obtained before any further action is carried out.

Similarly, where it is intended to task a source in a new way or a significantly greater way than previously identified this must be referred to the authorising officer, who should consider whether a separate authorisation is needed. This should be done before any tasking and the details of such referrals must be recorded.



**21. Q: What about the security and welfare of a source?**

A: When deploying a source, the Council should take into account the safety and welfare of that person, when carrying out actions in relation to the authorisation or tasking and to foreseeable consequences to others of that tasking. Before authorising the use or conduct of a source, the authorising officer should ensure that a risk assessment is carried out to determine the risk to the source and likely consequences should the role of the source become known. The ongoing security and welfare of the source, after cancellation of the authorisation, should also be considered at the outset.

Any concerns about personal circumstances of the source should be brought to the attention of the authorising officer if they might affect:-

- the validity of the risk assessment;
- the conduct of the source; and
- the safety and welfare of the source

The authorising officer should make a decision on whether or not to allow the authorisation to continue further to consideration of such matters.

**22. Q: What is the link between intrusive surveillance and a source wearing or carrying a surveillance device invited into a house?**

A: The Council cannot authorise intrusive surveillance. Placing a surveillance device into residential premises of private vehicles is usually classed as intrusive.

However, a CHIS wearing or carrying a surveillance device who is invited into residential premises or a private vehicle, does not require an additional authorisation to record any activity taking place inside those premises or vehicles which take place in his presence. Authorisation for the CHIS may be obtained in the usual way.





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**To: Finance & Resources Policy Board**

**On: 18 May, 2016**

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

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**Heading: Civic Hospitality**

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**1. Summary**

1.1 The following requests for civic hospitality have been received for financial years 2016/17.

- (a) The Paisley Pirates Ice Hockey team recently won the Scottish Cup. To jointly celebrate this achievement and to mark their 70<sup>th</sup> year anniversary they asked for a civic reception.

Following consultation with the Provost, the Director of Finance & Resources made the necessary arrangements to host a civic reception on Friday, 13 May 2016 in the Glynhill Hotel in the form of a 3-course buffet at an estimated cost of £3,000. The Board is asked to homologate the action taken.

- (b) The educational programme Mission Discovery will once again take place in Renfrewshire from 6<sup>th</sup> to 10<sup>th</sup> June 2016. During this period a group of astronauts, trainers and scientists will spend the week working at West of Scotland University with secondary school pupils from across Renfrewshire, Inverclyde and East Renfrewshire with the aim of designing a real-life experiment to be launched into space.

Following consultation with the Provost, it is proposed that the Director of Finance & Resources liaise with Children's Services to provide civic hospitality at a reception being held on Wednesday 8<sup>th</sup> June at the cost of approximately £1250.

- (c) A letter has been received from 102 Field Squadron Royal Engineers to request Civic Hospitality to mark the occasion of the 300<sup>th</sup> anniversary of the formation of the First Royal Regiment of Engineers. They also plan to mark the 100<sup>th</sup> anniversary of the Battle of the Somme at their Army Reserve Centre on Saturday 18<sup>th</sup> June, 2016.

Following consultation with the Provost it is proposed that the Council contribute £1,000 towards the cost of this reception, and that it be delegated to the Director of Finance & Resources in consultation with the Provost to make the necessary arrangements for appropriate civic hospitality to be provided.

- (d) A delegation of approximately 55 Teachers and pupils from Furth's Hallemann Music School will be visiting Renfrewshire and the surrounding areas from 21<sup>st</sup> to 29<sup>th</sup> July 2016. A request has been received to provide civic hospitality for the children in the form of a lunch on Tuesday 26<sup>th</sup> July at Paisley Town Hall.

Following consultation with the Provost it is proposed that the Council agree to the cost of £1250 for this reception, and that it be delegated to the Director of Finance & Resources in consultation with the Provost to make the necessary arrangements.

- (e) A Charity Motorcycle ride around the coast of Scotland, England & Wales will be arriving in Paisley on Wednesday 3<sup>rd</sup> August, 2016. A request has been received to provide civic hospitality in the form of a lunch with the Provost and riders.

Following consultation with the Provost, it is proposed that the Council agree to provide this civic hospitality at the cost of approximately £200 and that it be delegated to the Director of Finance & Resources in consultation with the Provost to make the necessary arrangements.

- (f) A request has been received from Renfrew Community Council to hold a civic reception after the unveiling of the new Air Ambulance Memorial in Renfrew on Thursday 18<sup>th</sup> August 2016. This also coincides with the 50<sup>th</sup> Anniversary of the Air Ambulance operating from Glasgow Airport.

Following consultation with the Provost it is proposed that the Council agree to the cost of £400 for this reception, and that it be delegated to the Director of Finance & Resources in consultation with the Provost to make the necessary arrangements.

- (g) The Paisley & District Battalion of the Boys' Brigade has asked the Council to provide a civic reception to mark the presentation of the Queen's Badge Certificates and Duke of Edinburgh Gold Award Certificates in September 2016. The Council has supported this event in previous years.

Following consultation with the Provost, it is proposed that the Council provide a civic reception at the cost of approximately £700, and that it be delegated to the Director of Finance & Resources in consultation with the Provost to make the necessary arrangements to provide appropriate civic hospitality.

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## **2. Recommendations**

- 2.1 That the Board agrees to: (a) provide civic hospitality to Paisley & District Battalion of the Boys Brigade, Mission Discovery, 102 Field Squadron Royal Engineers, Furth's Hallemann Music School, Renfrew Community Council and for the Charity Motorcycle Ride around the UK and (b) that it be delegated to the Director of Finance & Resources in consultation with the Provost to make the necessary arrangements for appropriate civic hospitality to be provided.
- 2.2 That the Board homologates the action taken in respect of the arrangements for the civic reception for the Paisley Pirates Ice Hockey Team.
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## **Implications of the Report**

1. **Financial** – The costs of the request from civic hospitality will be met from the current budget
  2. **HR & Organisational Development** – None
  3. **Community Planning** – Civic receptions provide recognition of the contributions made by individuals and organisations to the fabric of life in Renfrewshire.
  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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**List of Background Papers**

(a) Background Paper 1 – Correspondence Received 2<sup>nd</sup> March 2016

The foregoing background papers will be retained within Finance & 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 Donna Gallagher, Member Services Officer (Telephone – 0141 618 6794, e-mail – donna.gallagher-pt@renfrewshire.gov.uk

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