



**Clackmannanshire
Council**

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Comhairle Siorrachd
Chlach Mhanann

Kilncraigs, Greenside Street, Alloa, FK10 1EB (Tel.01259-450000)

Audit and Scrutiny Committee

Thursday 27 October 2022 at 9.30 am

**The meeting will be held by
Video Conference (MS Teams)**



Audit and Scrutiny Committee

The remit of the Audit and Scrutiny Committee is:

Audit & Finance

- a) Receive, review and consider reports on the Council's finance
- b) Receive, review and consider reports on value for money and best value
- c) Consideration and monitoring of the Council's Annual Governance Statement
- d) Consider internal audit reports and results of internal audit investigations
- e) Consider external audit and resultant action plans
- f) Monitor and review actions taken on internal and external audit recommendations
- g) Consider the effectiveness of the Council's risk management procedures and the control environment
- h) Receive and consider reports on countering fraud and corruption.

Scrutiny

- a) Monitor council services, including the Health and Social Care Partnership (HSCP) against agreed outcomes, standards and targets
- b) Monitor the achievement of organisation-wide agreed outcomes, standards and targets
- c) Monitor the achievement of agreed outcomes, standards and targets by the community planning partnership
- d) Monitor Police and Fire performance against Plans approved by the Council
- e) Scrutiny of Council decision-making, with the ability to call in decisions
- f) Initiate or undertake scrutiny reviews
- g) Deal with matters referred by the Council for scrutiny purposes.

Members of the public are welcome to attend our Council and Committee meetings to see how decisions are made.

Details of all of our Council and Committee dates and agenda items are published on our website at www.clacks.gov.uk

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19 October 2022

A MEETING of the AUDIT AND SCRUTINY COMMITTEE will be held virtually via VIDEO CONFERENCE (MS TEAMS), on THURSDAY 27 OCTOBER 2022 at 9.30 am.



STUART CRICKMAR
Strategic Director (Partnership and Performance)

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2. Declaration of Interests Members should declare any financial or non-financial interests they have in any item on this agenda, identifying the relevant agenda item and the nature of their interest in accordance with the Councillors' Code of Conduct. A Declaration of Interest form should be completed and passed to the Committee Officer.	--
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Audit and Scrutiny Committee – Committee Members (Membership 8 - Quorum 4)

Councillors

Wards

Councillor	Kenneth Earle (Chair)	4	Clackmannanshire South	LABOUR
Councillor	Denis Coyne (Vice Chair)	5	Clackmannanshire East	CONSERVATIVE
Councillor	Phil Fairlie	1	Clackmannanshire West	SNP
Councillor	Martha Benny	2	Clackmannanshire North	CONSERVATIVE
Councillor	William Keogh	2	Clackmannanshire North	LABOUR
Councillor	Janine Rennie	3	Clackmannanshire Central	LABOUR
Councillor	Ellen Forson	4	Clackmannanshire South	SNP
Councillor	Bryan Quinn	4	Clackmannanshire South	SCOTTISH GREEN

The Council agreed that the Convenor of the Audit Committee will rotate between the 2 Opposition parties on an annual basis.



**MINUTES OF MEETING of the AUDIT COMMITTEE held in Council Chambers,
Kilncraigs, Alloa on THURSDAY 25 AUGUST at 9.30 AM.**

PRESENT

Councillor Denis Coyne (Vice Chair)
Councillor Martha Benny
Councillor Phil Fairlie
Councillor Ellen Forson
Councillor William Keogh
Councillor Janine Rennie (Via Teams)

Religious Representative:

Mr George Marcinkiewicz, representing the Catholic Church (Via Teams)

IN ATTENDANCE

Pete Leonard, Strategic Director (Place)
Colin Bruce, Chief Education Officer (People)
Mark Ferris, Audit Scotland (Via Teams)
Lindsay Sim, Chief Finance Officer (Partnership & Performance) (Via Teams)
Derek Barr, Procurement Manager (Partnership & Performance) (Via Teams)
Sharon Robertson, Chief Social Work Officer (People)
Chris Alliston, Senior Manager, HR & Workforce Development (Partnership & Performance)
Cherie Jarvie, Senior Manager, Partnership & Transformation (Partnership & Performance)
(Via Teams)
Iain McDonald, Senior Manager (Environment) (Place) (Via Teams)
Murray Sharp, Senior Manager (Housing) (Place) (Via Teams)
Catriona Scott, Education Senior Manager (Secondary) (People) (Via Teams)
Gillian Scott, Senior Manager (Early Intervention) (People) (Via Teams)
Lynda McDonald, Education Senior Manager (ELC & Primary) (People) (Via Teams)
Johan Roddie, Senior Manager (Permanence) (People) (Via Teams)
Margaret Lewis, Senior Manager (Care & Protection) (People) (Via Teams)
Veronica Cully, Partnership & Inclusion Manager (People) (Via Teams)
Whitney Barrett, Principal Educational Psychologist (People) (Via Teams)
Lynne McBain, Quality Improvement Officer (People) (Via Teams)
Joanne O'Suilleabhain, NHS Forth Valley (Via Teams)
Ali Hair, Organisational Development Adviser (Partnership & Performance) (Via Teams)
Elizabeth Hutcheon, Management Accountancy Team Leader (Partnership & Performance)
(Via Teams)
Helen Coleman, Accountant (Partnership & Performance) (Via Teams)
Rose Hetman, Strategy & Performance Adviser (Partnership & Performance) (Via Teams)
Judi Richardson, Performance & Information Adviser (Partnership & Performance) (Via
Teams)
Lee Robertson, Senior Manager, Legal and Governance (Partnership & Performance) (Clerk
to the Committee)
Gillian White, Committee Services, Legal and Governance (Partnership & Performance)
Melanie Moore, Committee Services, Legal and Governance (Partnership & Performance)

The Vice Chair advised Councillor Earle thanked everyone for their wishes.

AS(22)01 APOLOGIES

Apologies for absence were received from Councillor Kenneth Earle, Councillor Bryan Quinn, Rev Sang Y Cha and Rev David Jess. In the absence of the Chair, Councillor Kenneth Earle, Councillor Denis Coyne as Vice Chair, chaired the meeting.

AS(22)02 DECLARATIONS OF INTEREST

None.

AS(22)03 COUNCIL FINANCIAL PERFORMANCE 2021/22

The report, submitted by the Chief Finance Officer, provided an update on the financial performance for the Council as at 31 March 2022, in respect of the General Fund (GF) revenue and capital spend and the achievement of savings, for the current financial year 2021/22, the Clackmannanshire element of the Stirling & Clackmannanshire Health and Social Care Partnership (H&SCP) revenue spend and Housing Revenue Account (HRA) revenue and capital spend, for the financial year, 2021/22.

Motion

That Committee agrees the recommendations set out in the report.

Moved by Councillor Denis Coyne. Seconded by Councillor Martha Benny.

Decision

Having commented on and challenged the report, the Committee agreed to note the report on:

1. the General Fund (GF) revenue and capital spend and the achievement of savings, for the current financial year, 2021/22;
2. the Clackmannanshire element of the Stirling & Clackmannanshire Health and Social Care Partnership (H&SCP) revenue spend; and
3. the Housing Revenue Account (HRA) revenue and capital spend, for the financial year, 2021/22.

AS(22)04 DRAFT ANNUAL ACCOUNTS 2020/21

The Council is required by law to prepare a statement of accounts in accordance with 'proper practices' which set out its financial position at the end of each financial year. This is defined as meaning compliance with the terms of the Code of Practice on Local Authority Accounting in the United Kingdom prepared by the CIPFA/LASAAC.

The Local Authority Accounts (Scotland) 1985 Regulations require the Chief Finance Officer, as the Council's s95 officer, to prepare the Statement of Accounts as soon as practicable after the end of each financial year and to submit for Audit to the Councils External Auditor. This is normally by the 30 June, however due to COVID 19 pandemic, this was extended in agreement with the External Auditors.

Within the Draft Annual Accounts, a Management Commentary is included that presented the collective view of those charged with governance and apply relevant sections of the Companies Act 2006 in respect of the preparation of a Strategic Report. The Management Commentary is signed by the Leader of the Council, Chief Executive and Chief Finance Officer (as s95 officer). The Management Commentary includes information on the financial year just passed along with a forward financial outlook for the Council for 2022/23. Further detail of the Councils financial forecast for 2022/23 will be presented to the Audit and Scrutiny Committee during the year.

The Council's Draft Annual Accounts also include the annual Remuneration Report, and the Annual Governance Statement (AGS) which is signed on behalf of the Council by the Leader of the Council and the Chief Executive. Improvement actions associated with the AGS are incorporated within routine performance reporting using the Pentana system.

The report, submitted by the Chief Finance Officer, provided the Committee with the Draft Annual Accounts for the Council for the financial year 2020/21.

Motion

That Committee agrees the recommendations set out in the report.

Moved by Councillor William Keogh. Seconded by Councillor Janine Rennie.

Decision

The Committee agreed to :

1. note the 2020/21 draft Annual Accounts;
2. note that the draft annual accounts will be submitted for audit to the Council's external auditors on 31 August;
3. note that audited annual accounts will be presented to Council following conclusion of the audit, and
4. Note the contents of the report.

AS(22)05 CORPORATE RISK REGISTER

The report, submitted by the Strategic Director, Partnership and Performance, provided the regular update on Clackmannanshire Council's Corporate Risk Log (Appendix A) and information on the revised arrangements for the Corporate Risk & Integrity Forum (Appendix B).

Motion

That Committee agrees the recommendation set out in the report.

Moved by Councillor Martha Benny. Seconded by Phil Fairlie.

Decision

Having commented and challenged the report, the Committee agreed to note the report as appropriate.

AS(22)06 CORPORATE PLAN REPORT

The report, submitted by the Strategic Director, Partnership and Performance, presented a performance summary for Clackmannanshire Council's Corporate Plan 2018-22.

Motion

That Committee agrees the recommendations set out in the report.

Moved by Councillor Ellen Forson. Seconded by Councillor Denis Coyne.

Decision

Having commented on and challenged the report, the Committee agreed to note the report.

AS(22)07 INTERNAL AUDIT ANNUAL ASSURANCE REPORT 2021/22

The report, submitted by the Internal Audit Manager, provided an overall assurance on the Council's arrangements for risk management, governance and control, based on Internal Audit work undertaken during 2021/22.

Motion

That Committee agrees the recommendations set out in the report.

Moved by Councillor Denis Coyne. Seconded by Councillor Phil Fairlie.

Decision

The Committee agreed to note:

1. Sufficient Internal Audit work was undertaken to support a balanced assurance;
2. Internal Audit can provide **SUBSTANTIAL** assurance on the Council's arrangements for risk management, governance and control for the year to 31 March 2022; and
3. Internal Audit met, or exceeded, each of its Key Performance Indicators.

AS(22)08 INTERNAL AUDIT CHARTER

The report, submitted by the Internal Audit Manager, sought Committee approval of an updated Internal Audit Charter. The Charter set out the role, authority and responsibility of the Internal Audit Team.

Motion

That Committee agrees the recommendation set out in the report.

Moved by Councillor Ellen Forson. Seconded by Martha Benny.

Decision

The Committee agreed to consider and approve the Internal Audit Charter attached at Appendix 1.

Action

Internal Audit Manager

AS(22)09 EXCEPTIONS FROM THE APPLICATION OF CONTRACT STANDING ORDERS

It is a requirement of Contract Standing Orders that exceptions should be reported to the next available Audit Committee. The purpose of the report, submitted by the Strategic Director, Partnership and Performance, provided detail on Exceptions to Contract Standing Orders submitted in the previous quarter.

Motion

That Committee agrees the recommendation set out in the report.

Moved by Councillor Ellen Forson. Seconded by Councillor Martha Benny.

Decision

Having commented on and challenged the report, the Committee agreed to note the report.

AS(22)10 PEOPLE DIRECTORATE BUSINESS REPORT 2021/22 AND BUSINESS PLAN 2022/23

The report, submitted by the Education Senior Manager (People), presented to Committee the People Business Report 2021/22 (Appendix 1) and the People Business Plan 2022/23 (Appendix 2).

Motion

That Committee agrees the recommendation set out in the report.

Moved by Councillor Ellen Forson. Seconded by Councillor Phil Fairlie.

Decision

The Committee agreed to:

1. Note and provide comment on the People Business Report 2021/22;
2. Note and provide comment on the People Business Plan 2022/23; and
3. Note the results of the Education and Social Work Staff Survey results at Appendices 3 and 4.

* * *

This Committee would be Cathy Quinn's last meeting as she is retiring. The Committee wished her all the best for the future.

* * *

AS(22)11 NATIONAL IMPROVEMENT FRAMEWORK REPORT AND PLAN, SCOTTISH ATTAINMENT CHALLENGE FUND PLAN

The report, submitted by the Senior Manger, People, presented the National Improvement Framework (NIF) Report and Plan 2022/23 and the Scottish Attainment Challenge Fund Plan 2022/23.

Councillor Forson asked why the report has not gone to Council for approval first. This is the first time that Members had seen report and it is for noting only. The Service confirmed that the report is due to go to Scottish Government in August, which would confirm that it has been approved, which it is not.

The Committee adjourned the meeting for 10 minutes for Committee to discuss way forward (actual time was 10:38 am until 10.42 am).

That Committee agreed that the item be withdrawn and presented to Council in October 2022.

AS(22)12 CLACKMANNANSHIRE LOCAL CHILD POVERTY ACTION REPORT 2021/22

The report, submitted by the Strategic Director, Partnership and Performance, presented the Clackmannanshire's Local Child Poverty Action Report for the period 2021/22 as required under the Child Poverty (Scotland) Act 2017. The report had been jointly prepared with NHS Forth Valley with contributions from a wide range of additional partners in line with the statutory guidance.

Motion

That Committee agrees the recommendations set out in the report.

Moved by Councillor Ellen Forson. Seconded by Councillor Phil Fairlie.

Decision

Having commented on and challenged the report, the Committee agreed to note that the report will be considered by the Clackmannanshire Alliance on 7 October 2022 and published on our website thereafter in line with requirements set out in the Child Poverty (Scotland) Act 2017.

AS(22)13 STAFF SURVEY 2021

The report, submitted by the Team Leader, Workforce Development and Learning, provided the Committee with details of the 2021 Clackmannanshire Council Staff Survey, and gave further information as to how results will be communicated, and used to inform future work.

Motion

That Committee agrees the recommendation set out in the report.

Moved by Councillor Denis Coyne. Seconded by Councillor Martha Benny.

Decision

Having commented on and challenged the report, the Committee agreed to note the report.

AS(22)14 AUDIT & SCRUTINY COMMITTEE FORWARD PLAN 2022/23

The report, submitted by the Strategic Director, Partnership and Performance, presented a forward plan for Audit & Scrutiny Committee.

Motion

That Committee agrees the recommendation set out in the report.

Moved by Councillor Denis Coyne. Seconded by Councillor Martha Benny.

Decision

The Committee agreed to endorse the forward plan as set out in Appendix 1, subject to it being approved by Council

Ends 1058 hrs

Report to Audit and Scrutiny Committee

Date of Meeting: 27 October 2022

Subject: Annual Report of the Chief Social Work Officer 2021-2022

Report by: Chief Social Work Officer

1.0 Purpose

- 1.1. To present the Chief Social Work Officer (CSWO) Annual Report reflecting the period 1 April 2021 – 31 March 2022 (attached as Appendix 1). The report and its consideration are a requirement to ensure oversight and accountability within the local authority for all social work and social care services, including those delegated to the Integration Joint Board. Following scrutiny and consideration by Council, the report is required to be submitted to Scottish Government.
- 1.2. The report provides an overview of professional activity for social work and social care within Clackmannanshire through the delivery of statutory functions and duties held by the Chief Social Work Officer.

2.0 Recommendations

- 2.1. The Committee is asked to:
- 2.1.1. note, challenge and comment on the report as appropriate; and,
- 2.1.2. note that the Chief Social Work Officer Annual Report 2021/22 is submitted to the Office of The Chief Social Work Advisor, Scottish Government subject to Council approval.

3.0 Considerations

- 3.1. The requirement that every local authority should have a professionally qualified CSWO is contained within Section 45 of the Local Government (Scotland) Act, 1994. The particular qualifications are set down in regulations and this is one of a number of officers, roles or duties with which local authorities have to comply. The role replaced the requirement in Section 3 of the Social Work (Scotland) Act, 1968 for each local authority to appoint a Director of Social Work.
- 3.2. CSWOs produce Annual Reports, based on a template agreed with the Office of the Chief Social Work Adviser, for relevant Committees and/or the full Council, Integration Joint Boards and Health and Social Care Partnerships.

- 3.3. The structure of the report focuses on the following areas:
- Governance and Accountability
 - Service Quality and Performance
 - Resources
 - Workforce
- 3.4. Within Clackmannanshire, children’s social work services and justice services are managed and governed by Clackmannanshire Council, sitting within the People’s Directorate. Adult social work services are delegated to the IJB which spans Clackmannanshire Council and Stirling Council. Clackmannanshire Adult Services are delivered and managed by the Health and Social Care Partnership (HSCP).
- 3.5. The report provides an overview of the delivery of social work and social care services in Clackmannanshire during 2021/22 including performance information in relation to key areas of social work and social care and public protection. The report also reflects on service development through transformation programmes and new service delivery approaches.
- 3.6. Staff across the workforce have worked incredibly hard as they have responded to the challenges and impacts of the Covid-19 pandemic and in services recovery. This has been achieved through their commitment and dedication to deliver high quality, safe care and support to the people who need it across Clackmannanshire.
- 3.7. The achievements outlined in the CSWO annual report is recognition for all that they have done over the last year.

4.0 Sustainability Implications

- 4.1. None

5.0 Resource Implications

5.1. Financial Details

- 5.2. There is no financial implication from this report.

6.0 Exempt Reports

- 6.1. Is this report exempt? Yes (please detail the reasons for exemption below) No **X**

7.0 Declarations

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

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

- Clackmannanshire will be attractive to businesses & people and ensure fair opportunities for all
- Our families; children and young people will have the best possible start in life X
- Women and girls will be confident and aspirational, and achieve their full potential X
- Our communities will be resilient and empowered so that they can thrive and flourish X

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

8.0 Equalities Impact

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

9.0 Legality

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

10.0 Appendices

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

Appendix 1: Chief Social Work Officer Annual Report 2021-22


11.0 Background Papers

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

Author(s)

NAME	DESIGNATION	TEL NO / EXTENSION
Sharon Robertson	Chief Social Work Officer	5184

Approved by

NAME	DESIGNATION	SIGNATURE
Lorraine Sanda	Strategic Director of People	



**Clackmannanshire
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**Clackmannanshire
Chief Social Work Officer**

Annual Report 2021/2022

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- 7. Workforce**
- 8. Key Priorities 2022-2023**

1.0 Introduction

I am pleased to present the Chief Social Work Officer (CSWO) Annual Report for Clackmannanshire which reflects the period from **1 April 2021 to 31 March 2022**. The report provides an overview of professional activity for social work and social care within Clackmannanshire through the delivery of statutory functions and duties held by the Chief Social Work Officer.

In last year's report I highlighted the significant and unprecedented challenges that we faced by the Covid-19 pandemic and huge impact on service delivery which necessitated changes to the way we operated and delivered our services. This impact is still being very much felt by the workforce and for our service delivery as we continue to respond and recover from the pandemic.

Staff across the social work and social care workforce responded quickly and effectively, adapting to new ways of working, embracing hybrid working approaches in continuing to ensure the delivery of safe and effective services for the people of Clackmannanshire who require care and support.

A key strength has been the multi-agency and partnership working across our children's, justice and adult and social care service areas. Our recovery from the pandemic remains just as persistent as we continue to adapt and respond in more flexible and innovative ways in delivering services to our most vulnerable citizens, carers and communities through innovative programmes of transformation and new service delivery approaches.

My heartfelt thanks and appreciation goes out to all staff across the whole of the social work and social care workforce and to local partners in the NHS, Council, the Third Sector and our communities. You have all shown great resilience, dedication and tenacity and worked tirelessly over this past year to overcome the significant and continuing challenges posed by the pandemic to continue to deliver high quality, safe care and support to the people and communities who need it across Clackmannanshire.

2.0 Purpose and Background

This report is produced to satisfy the requirement to prepare and publish a report in relation to the Chief Social Work Officer's (CSWO) role in professional leadership, oversight of practice, governance, values and standards as described in national guidance. The report also relates to the specific areas of decision-making and practice where legislation confers functions directly on the Chief Social Work Officer¹. The report refers to the contribution of social work and social care services, working in partnership with others in relation to the wider safety and wellbeing of Clackmannanshire residents.

The Chief Social Work Adviser to the Scottish Government provides guidance on CSWO reporting to ensure a degree of consistency. The report for Clackmannanshire adopts the following structure:

- Governance and Accountability
- Service Quality and Performance

¹ <https://www.gov.scot/publications/role-chief-social-work-officer/pages/4/>

- Resources
- Workforce

3.0 Governance and Accountability

In Clackmannanshire, the Social Work Service, and CSWO, operates in the context of the following governance structures:

- Clackmannanshire Community Planning Partnership Board (The Alliance)
- Clackmannanshire Council
- Clackmannanshire & Stirling Integrated Joint Board (IJB)

Clackmannanshire Council and Community Planning Partnership strategic planning framework is set out in our Corporate Plan Be the Future and our Local Outcome Improvement Plan (LOIP) 2017-27.

Our Corporate Plan sets out our key performance measures which we report on annually. Information on the Council's performance reports can be found here <https://www.clacks.gov.uk/council/performance/>

Within Clackmannanshire, Children's Service and Justice Service are managed and governed by Clackmannanshire Council, sitting within the People's Directorate (which includes Education Services). During 2020, following a restructure of all Council services, the People Service brought together Education, Children's Social Work and Justice Services into one Directorate. The management functions of these services are coordinated by the Strategic Director, to improve communication, create efficiencies, and develop co-production thereby achieving a more integrated service. The People Directorate progressed the management redesign which included the recruitment of new Senior Manager posts within the Children's Social Work Service. Work is well underway to complete the People service redesign.

Adult Social Work Services are delegated to the Integrated Joint Board which spans Clackmannanshire Council and Stirling Council. Clackmannanshire Adult Services are delivered and managed by the Health and Social Care Partnership (HSCP).

The CSWO, as a member of the Council's Extended Senior Leadership Team, works in partnership with Elected Members, the Chief Executive, the Chief Officer of the Health and Social Care Partnership, senior officers, managers and practitioners to provide professional governance, leadership and accountability and oversight in regard to social work practice standards and service delivery. The CSWO also has professional responsibility for ensuring that social work services fulfil their statutory duties and that both staff and the Council work in accordance with the Code of Practice for employees and employers as set out by the Scottish Social Services Council (SSSC).

The CSWO is also a member of the Chief Officer Group (COG) for Public Protection to advise and provide oversight of all aspects of social work service delivery. The Chief Officer Group has

responsibility for the strategic leadership and oversight of delivery of services and for improved outcomes for Child Protection, Adult Protection and Offender Management - Multi Agency Public Protection Arrangements (MAPPA). Leaders are kept informed and engaged through regular reporting on key social work priorities, pressures and the wider social work agenda through The Alliance, Council Committees and the Clackmannanshire and Stirling Integrated Joint Board.

As a result of the COVID-19 pandemic, a number of enhanced governance arrangements and senior leadership groups, particularly for care homes and care at home services were established to ensure strategic oversight of the impact of Covid-19 and oversee implementation of response plans. Across Forth Valley, the Care Home Strategic Oversight and Assurance Group consisting of strategic leaders have continued to meet weekly, working collaboratively to support our local care homes and be assured about the level of care being provided to people, alongside consideration of infection control measures and to review and analyse data.

4.0 Clackmannanshire Profile

Our People

- Clackmannanshire is one of the smallest mainland councils in Scotland, covering an area of **61.4** square miles, with **292** kilometres of road, and classed as semi-rural.
- The population of Clackmannanshire is **51,540** (nearly 1% of the Scottish population), with the local population set to **fall** between now and 2043 by **2.9%**, while the Scottish population is expected to **increase** by 2.5%.
- We have a slightly higher than average proportion of older people in the local population – **20.8%** aged 65 and over, while this is 19.6% across Scotland.
- We have **7,505** nursery & school pupils (**928** pre-school, **3,961** primary and **2,616** secondary), and **569** teachers (full time equivalent).
- **25%** of children in Clackmannanshire are entitled to free school meals, and **34%** have additional educational support needs.
- **270** children are care experienced in Clackmannanshire. This is a rate of **31.6 per 1,000 children** (more than **double** the Scottish rate of 14.5), and **4.6 per 1,000** children were on the Child Protection Register in 2021/22 (compared to the Scottish rate of 2.3 per 1000 population).
- Poverty is also linked to **lower than average** local academic attainment and, while this is also the case in primary school literacy and numeracy, significant progress has been made in reducing the gap between pupils from the least and most deprived areas, to among the lowest in Scotland.

Our Health & Wellbeing

- Life expectancy for females in Clackmannanshire is **80.6 years** and for males is **76.2 years** (just **below** the Scottish figures of 81.0 and 76.8, respectively).
- **24.8%** of people in Clackmannanshire smoke compared to 17.5% in Scotland.
- Alcohol-specific mortality is **18.6 per 100,000 population**, while the Scottish rate is 20.8, and our rate of drug-related deaths is **21.5 per 100,000 population**, with a Scottish rate of 25.4.
- The area has **higher** than average rates of domestic abuse – **151 per 10,000 population**, with a Scottish rate of 115 and third highest in Scotland.
- There is a higher than average rate of suicide in young people (11-25 year olds) – **16.3 per 100,000 population**, while the Scottish rate is 10.8.

- **79%** of children are meeting their developmental milestones compared to 85% in Scotland.

Our Local Economy

- **62.0%** of local residents are of working age (16-64), with a Scottish figure of 63.8%.
- **23.9%** of children in Clackmannanshire live in poverty after housing costs (Scotland = 20.9%), and **22.9%** of residents earn less than the Real Living Wage (Scotland = 16.9%).
- **95.9%** of school leavers go to positive destinations, similar to the Scottish rate of 95.5%, and the participation rate of 16-19 year olds in education, training or employment is **90.0%**, below the Scottish rate of 92.2%.
- There are **higher** rates of unemployment, both in working age people (16-64) – **6.5%** versus 6.1% across Scotland, and in young people (16-24) – **9.3%** versus 7.2% nationally.
- Last year, **9.0%** of unemployed people were assisted into work through Council employability programmes (Clackmannanshire Works), while this figure was 6.0% nationally.

Our Council

- The Council consists of 5 wards, each represented by 3 or 4 elected members, with a total of 18 councillors (9 SNP, 5 Labour, 3 Conservative and 1 Green), and run by an SNP administration.
- We have **2,031** full time equivalent staff and, among the most senior employees (the top 5% of earners), **53.8%** are female, while women make up 50.8% of the Scottish working age population.
- We also have one of **the lowest** gender pay gaps of any local authority, with the average male wage **0.9%** higher than females' (3.6% across all Scottish local authorities).
- Further information on Council and partnership performance, and other facts and figures, can be found at: <https://www.clacks.gov.uk/council/performance/>

5.0 Service Quality and Performance 2021/22

5.1 Children’s services

Referrals to Children’s Services

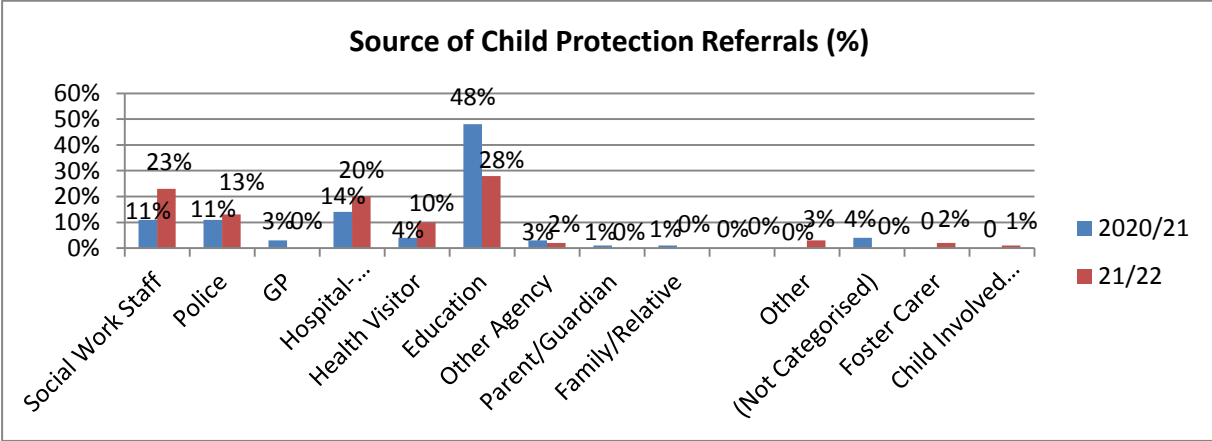
New Referrals - There were **1375** requests for assistance (referrals) in 2021/22 **up 2%** from 1344 in 2020/21.

Child Welfare Concerns - There were **241** child welfare concerns in 2021/22 **down 28%** from 308 in 2020/21.

Number of child protection concerns - There were **177** child protection concerns in 2021/22 (rate of 19.9% per 1,000 of the 0-15 population) **down 49%** from 345 in 2020/21 (38.7% per 1,000 of the 0-15 population).

Initial Referral Discussions (IRDs) - IRDs are instigated when one or more partners (Police, Health, Social Work) believe the referral requires a child protection response. During 2021/22, there were **208** IRDS **down 5%** from 218 in 2020/21. The Forth Valley e-IRD system was implemented in July 2022 and this has been a successful improvement in agencies working together in ‘live’ time to quickly respond to Child Protection referrals. The IRD Steering Group meets monthly to review and quality assure all IRD’s.

Child Protection Investigations - There were **90** child protection investigations in 2021/22 **down 38%** from 145 in 2020/21.



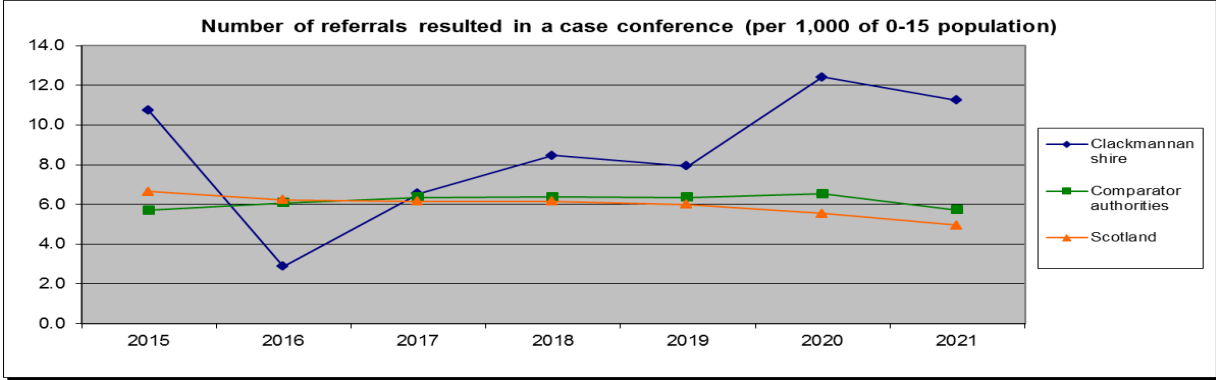
2020/21	21/22	Main Source of Referrals
11%	23%	Social Work Staff
11%	13%	Police
14%	20%	Hospital-Medical Staff
4%	10%	Health Visitor
48%	28%	Education

Education referred the highest number of child protection notifications of concern. However referrals from Education **decreased** from 48% to **28%**. During the same period, there was a slight increase in referrals from Social Work, Police and Hospital based Health Services.

Analysis has shown that as a result of robust screening by Social Work and use of IRD discussions, cases progressing to child protection investigation have reduced. Alongside this, restorative practice, more proportional response as well as the GIRFEC model being utilised by partner agencies to reduce risk has contributed to the decrease in child protection referrals. There has also been a reduction in referrals being re-referred into the service as robust multi-agency identification and early intervention to mitigate risk has been applied.

Child Protection Conferences

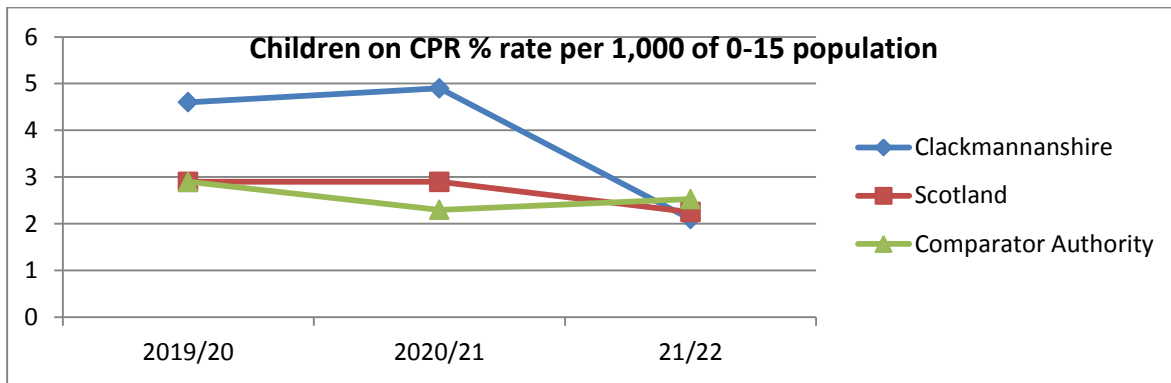
The number of referrals that resulted in a Child Protection Case Conference as at 31 March 2021 was **94** (a **decrease of 10%** from 104 in 2020). The chart below shows the rate (per 1,000 of 0-15 population) as at 31 July 2021 where Clackmannanshire’s rate is greater than the Scotland average rate of 4.9 at **11.2** (100 child protection conferences).



Child Protection Registrations (CPR)

As at 31 March 2022, there were **19** children on the Child Protection Register (rate of 2.1 per 1,000 of the 0-15 population). This is a **significant decrease of 57%** from 31 March 2021 where there were **44** children on the register (rate of 4.9 per 1,000 of the 0-15 population) compared to the Scottish average rate of 2.3 per 1000 population). The table below presents the number as families and sibling groups. There were **55% more** sibling groups on the register as at 31 March 2021 compared to same period of 31 March 2022 which helps to explain the significant decrease.

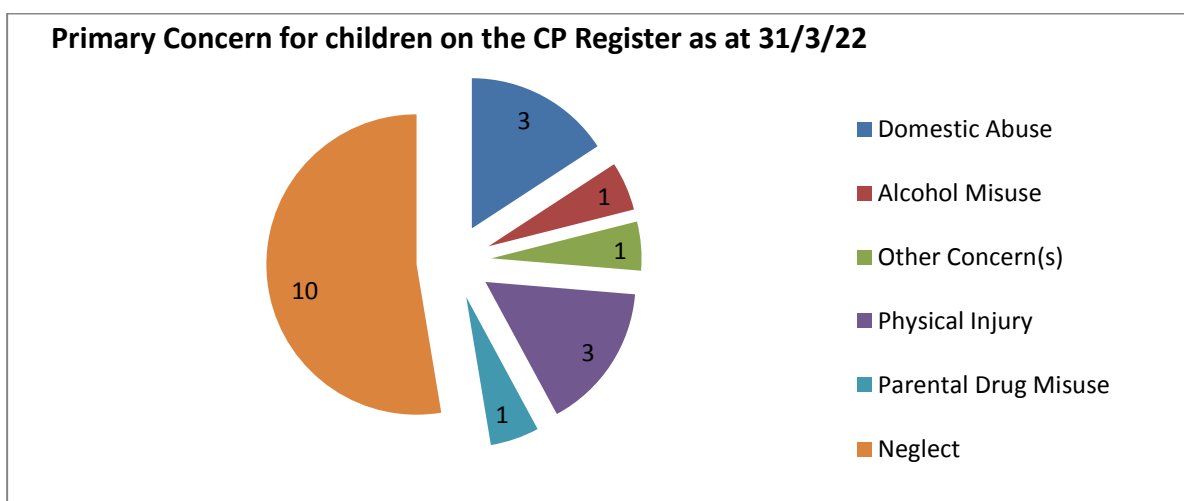
As at	NUMBER OF CHILDREN ON REGISTER	TOTAL NUMBER OF FAMILIES	NUMBER OF SIBLING GROUPS
March 2021	44	21	11
March 2022	19	9	5



As at 31st March 2022 – Primary Concern of those children on the register

The Children’s Social Work Statistics 2020/21² showed that of all concerns identified across Scotland, the most common concerns were: domestic abuse (16%), neglect (15%), parental mental health problems (15%), parental substance use (15%), and emotional abuse (12%). In Clackmannanshire, neglect and domestic abuse were also the highest registered concerns for children on the register for both 2021 and 2022.

Primary Concern	As at 31/03/2022	As at 31/03/2021
Domestic Abuse	3	9
Parental Alcohol Misuse	1	2
Other Concern(s)	1	2
Physical Injury	3	2
Parental Drug Misuse	1	1
Neglect	10	18
Child Placing themselves at risk	0	3
Emotional Abuse	0	5
Sexual Abuse	0	1
Parental Mental Health	0	1



² <https://www.gov.scot/publications/childrens-social-work-statistics-scotland-2020-21/>

Children receiving a service from Children's Social Work Services

There were **1339** children involved with Children's Social Work services as at 31 March 2021, an **increase of 24%** from the previous year (1078). As at 31 March 2022, there were **965** children, **down 28%** from the previous year. There has been a greater focus on ensuring cases are closed more timeously on the client system by workers and managers when an intervention or work with the child/family has concluded, which ensures a more accurate record of caseload numbers.

Early Help

During 2021 the service was allocated COVID recovery funding to assist in the development of our early help responses. This was used to recruit a Team leader and Family Support Workers.

This Early Help team (which includes our Family Group Decision Making Service), has begun to develop effective partnership working with Health through the provision of Baby Massage and THRIVE groups. The development of the service and introduction of a new screening mechanism has enabled an early and effective response to be offered by the Early Help team.

Although the team was not fully staffed until February 2022, the development of the service and introduction of a new screening mechanism has enabled an early and effective response to be offered by the Early Help team. This has been especially helpful in relation to Police vulnerable persons reports which are now being screened by the early help manager.

Between May 2021 and March 2022 **56%** of new referrals to the social work service were offered early help via the new team which has had a positive impact both for the families who were offered early intervention as well as the associated reduction in the workload to area teams.

In addition, throughout the past year our commissioned third sector partners have worked flexibly with the practice teams to identify the families most in need of support and to ensure that a broad range of support was provided.

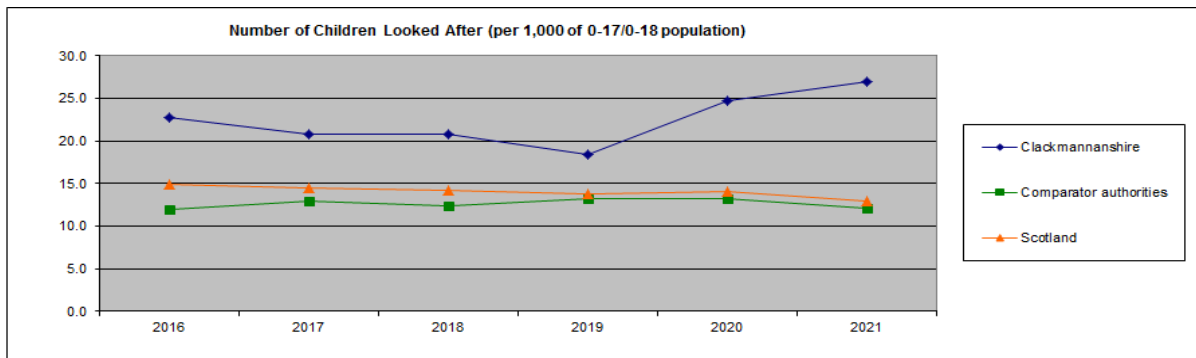
We have developed a family support focus group with key multiagency partners who have worked together to complete the evaluation tool: 'Supporting Families: A National Self-Assessment Toolkit for Change'.

Referrals to Children's Reporter

In 2021/22, **161** children were referred to the Children's Reporter, a **third less** than the year before. The highest proportion of referrals came from the Police (139). The majority of children were referred on non-offence grounds (146) and 28 referred on offence grounds. The highest referral is in relation to parental care/neglect, which accounts for 50% of all referrals in 2021/22; followed by Schedule 1 offences (22%), committed an offence (16%) and experienced domestic abuse (8%).

Care Experienced Children and Young People

The total number of care experienced children across Clackmannanshire as at 31 July 2021 was **270 2.7%** of the 0 to 17 year population; **higher** than the previous year of 2.5% and **higher** than the Scottish average of **1.3% [27 rate per 1000 population 0-17 compared to the Scottish average of 12.9 per 1000 population]**.

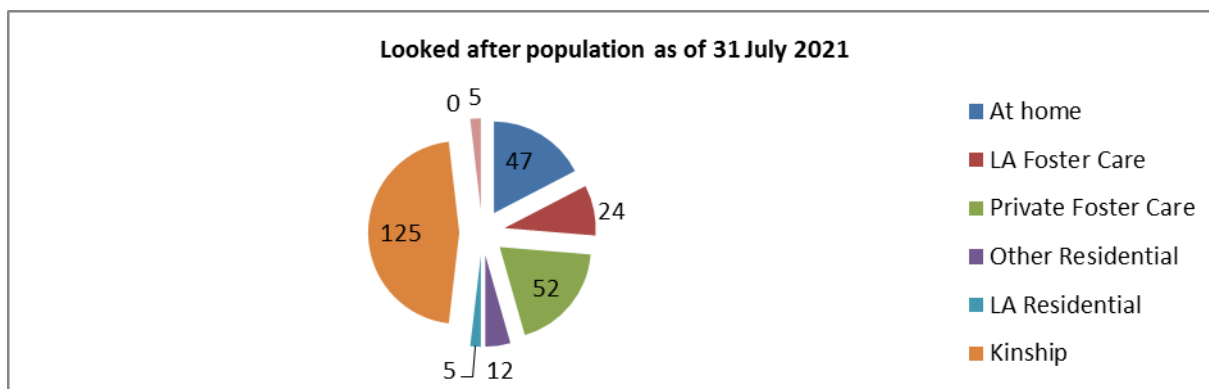


The largest proportion of care experienced children continue to be cared for by friends/relatives, **almost half at 46%**; which is **higher** than the Scottish average (33%). Kinship families play a vital role in providing stable, nurturing homes for children who are unable to live with their parents.

The following table provides a breakdown of the types of accommodation for Clackmannanshire’s care experienced children compared to Scotland for the reporting year 2020-21:

Local authority area	In the community					In residential accommodation		Total looked after children
	At home with parents	With friends / relatives	With foster carers provided by LA	With foster carers purchased by LA	In other community	In local authority home/ Voluntary Home	In other residential care	
Clackmannanshire	18.5%	45.9%	8.9%	20.4%	0.0%	1.9%	4.4%	270
Scotland	21.6%	33.2%	23.8%	9.9%	1.8%	4.7%	5.0%	13255

Placement Type



As at 31 July 2022, there were **264** care experienced children, down 2% from 270 in July 2021.

During 2021, **5%** of care experienced children in Clackmannanshire had 3 or more placements and similar to the Scotland average of 4%. Continued effort to increase local community placements will minimise unnecessary moves and maintain children and young people within their own community.

Clackmannanshire continues to be reliant on externally provided foster care placements, **20.4%** compared to the Scottish average of 9.9%. This is due to insufficient local foster carers to meet the needs of our care experienced children and young people. Clackmannanshire has increased

significantly the number of children placed with kinship carers in the past four years in an effort to keep children and young people within their extended families and local communities wherever possible and our Family Group Decision Making (FGDM) Service has supported this outcome.

Over the past year the FGDM Team have continued to work proactively alongside social work teams to ensure that wherever possible family support plans are drawn up which build capacity within families, support children to remain with their parents and where this is not possible, increase rates of family placements. The team have also worked closely with the kinship workers to ensure that family members receive appropriate levels of support at the earliest opportunity and made significant progress in avoiding the accommodation of children. Examples include:

- **Potential kinship families identified** - for **36** of the 73 referrals made to the FGDM team.
- **Prevention of accommodation** - **18** children were placed with kinship families. Within these figures were several sibling groups of 2-4 children, all of which were kept together and not separated, in line with the foundations of The Promise.
- **Prevention of accommodation** – **16** children assessed as on the edge of care remained with their parents, with family support plans involving informal network support.

The reduction of children placed out with our authority area continues to remain a key priority target for the service to keep children and young people in their local community wherever possible in line with The Promise. Positively, Clackmannanshire has not placed any children in secure accommodation for several years.

Practice models that focus on restorative, strength based approaches such as our Family Group Decision Making approach will continue to be front and centre in how we work with families. Our continued investment in intensive family support with our Third sector partners remain an important aspect to delivering early intervention and prevention services focussed on safely maintaining as many children at home with their families and within their community. The focus of family support continues through development of our strategic commissioning approach to ensure we meet the changing needs of Clackmannanshire's children, young people and families.

Given the high rate of child protection investigations and proportion of care experienced children in Clackmannanshire, reported last year, we have undertaken significant work to try and redress this balance. This is clearly evidenced in our children's services plan, which has a number of priorities relating to strengthening prevention, early intervention and whole family support. In addition, the council took the decision to appoint a new Senior Manager for Early Intervention, whose role is to drive a multiagency focus toward early intervention and prevention, in line with the commitments outlined in The Promise. This post was filled in March 2022.

Fostering and Adoption Services

Foster care provided by the local authority

As at 31 March 2022, there were **29** children placed in locally provided foster placements, up from 27 (7%) compared to the same reporting period in 2021.

Kinship Family Care

During the same reporting period Clackmannanshire had **173** children living in kinship family arrangements. Of this total, **61** children were in their kinship family on a Residence Order and **112** were care experienced children on compulsory supervision orders through the Children's Hearing or supported through voluntary measures.

Outwith Authority Care Placements

There were **87** care experienced children in care placements outside of the Clackmannanshire area with **53** of these children residing in the local authority areas of Stirling, Falkirk, Fife and Perth & Kinross, all which share borders with Clackmannanshire.

Children placed in locally provided foster placements

Number of children/carers	Jan 2021 – July 22
Requiring to be registered for permanence	13
Matched with permanent foster carers	9
Matched with adoptive carers	3
Foster carers presented for review of registration	12
Registered as new foster carers	4
Registered as adopters	1
De registered foster carers	4
Total number of fostering households (as of July 2022)	24

Improvement and developmental work is ongoing within the Family Placement Service focusing on support for carers, safeguarding, quality assurance and self evaluation, learning and development, and recruitment. The Covid-19 pandemic impacted significantly on the sense of support and community available to carers, and that there is a need to focus on building and strengthening relationships and support to carers post recovery.

Recruitment is a key area for the team given the high numbers of children placed in external foster care placements. In 2019 a contract was agreed with a recruitment agency to source and undertake the preparation of 12 applicants. The purpose of this was to increase our internal fostering resource. This contract has now concluded within the reporting period and provided a total of 6 new fostering households in total.

The service received 11 enquiries over the period which is low compared to previous years and reflective of the Covid-19 pandemic and national trends. One of which has progressed beyond initial screening, this is indicative of what is known through research, that only one in ten enquiries will successfully meet the initial screening requirements.

In terms of the service's recruitment strategy for 2022, there continues to be a need for local foster carers who can provide interim placements and particularly for older children and sibling groups. An increasing number of teenage placements have been requested over the past 6 months with no capacity to meet this need within internal resources. This is not unique to Clackmannanshire Council and is reflected across other local authority areas.

Short Breaks

The Covid-19 pandemic has meant that four of our short break carers have been unable to provide placements during the pandemic whilst the remaining three households have continued to support children and their families who are in need of short breaks as and when required including on a rolling basis.

Continuing Care

In early 2021 Clackmannanshire was approved as a continuing care provider as an extension to our fostering service. There are currently nine young people in continuing care placements. This is an increase of two from 2021.

Through Care and After Care

There are currently **75** young people (aged 16-26 years) with an allocated Through Care and After Care worker, with an additional 16 young people aged 15+ who will be entitled to a Through Care and After Care service in 2022/23. Our care leavers have a range of different accommodation needs, with five young people currently receiving purchased supported accommodation and 11 young people in continuing care placements (3 of which are residential). A number of young people have been supported into their own tenancy. The development of a range of local supports for care experienced young people is a key priority area for the service.

Permanence and Parenting Capacity Assessments

The Permanence and Parenting Capacity Team merged in January 2022, to create the Permanence and Assessment Team. Work has been undertaken over the reporting period to progress improvements in this area and progress planning for children.

Since its inception in 2020, the team has undertaken parenting capacity assessments with **23** families, involving a total of **57** children. The team has also provided consultation and mentoring across the service and supported two assessments undertaken by staff in other teams, building skills and capacity within the service.

Completion of Parenting Capacity Assessments has enabled robust planning to progress for children. **33%** of children returned home, **14%** remain looked after in kinship or foster care placements, and for **32%** of children planning is progressing to achieve permanence.

One significant area of improvement has been the appointment of a solicitor designated to progress applications through court. This was initially a temporary appointment made in August 2021 and has since been made permanent. This has been instrumental in progressing legal plans for children to secure permanent care arrangements where there had been delays.

Another area of improvement has been that of Looked After Child Reviews. Additional resource has been provided in this area to address the backlog and ensure that reviews for children have taken place where there has been a delay to these being arranged over the Covid-19 pandemic.

Local Authority Residential Provision

Woodside is a locally provided children's house registered for **5** young people aged from 11 years to 18 years. There were **5** young people residing at Woodside as at 31 March 2020/2021.

Care Inspections of Registered Services

During the period 1 April 2021 to 31 March 2022 there were no external children’s services inspections.

The **Fostering Service** was last inspected in Aug 2019 and graded **Adequate** for the quality of care and support and quality of management and leadership and graded **Good** for the quality of staffing.

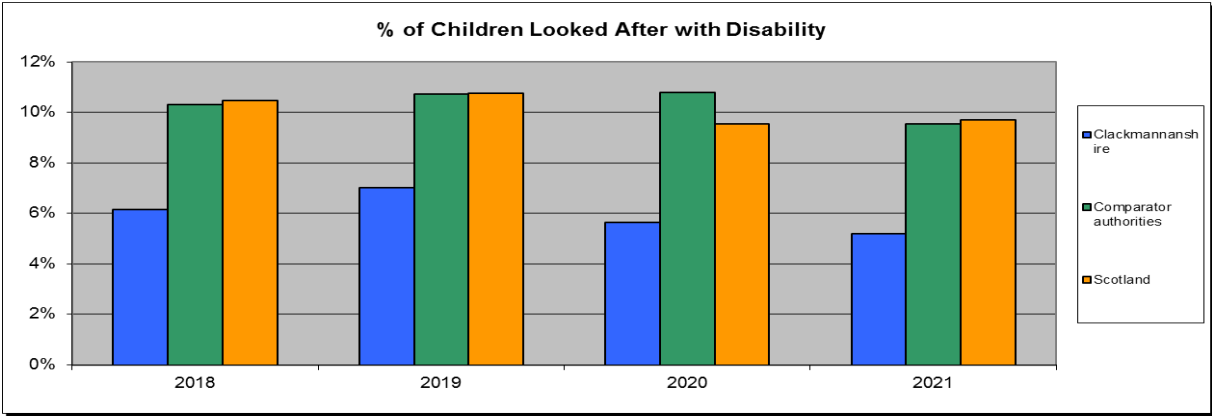
The **Adoption Service** was last inspected in Aug 2019 and graded **Adequate** for the quality of care and support and management and leadership and graded **Good** for the quality of staffing.

Woodside Children’s House was last inspected in February 2020 and graded **Very Good** for the Quality Indicator - How well do we support children and young people's wellbeing? And graded **Good** on the How well is our care and support planned?

Children with Disabilities

The year 2021 to 2022 has continued to be challenging for many children with complex health needs due to their increased vulnerability to COVID. Referral rates to the service have **increased** from **26** in the year 2020/2021 to **45** in the year 2021/2022. The Children with Disabilities team is working with **140** children, an **increase of 13%** (from 123) in 2021. In the past year, the team have undertaken more assessments as they have been able to undertake home visits again. Last year **12** Section 23 assessments were completed, this year the figure has increased to **29**, with **70** reviews completed (in 20-21 this figure was 20), so it can be seen the easing of restrictions has significantly increased the services capacity to respond to need.

As the chart below shows, the percentage of care experienced children with a disability is **5%**, less than both the comparator average and Scottish average of 10%. This equates to **14** out of **270** care experienced children.



Key services such as residential respite have returned, benefitting those children and carers who had been very isolated in earlier stages of the pandemic. In 2021/2022 we have had **12** children regularly attending residential respite.

The small disabilities team in Clackmannanshire have worked creatively with families to utilise additional Covid funding to extend the range of SDS options available and to support families. This has included payments for family members to provide respite at home, pieces of equipment to promote exercise opportunities and play in the garden where children are socially isolated.

As restrictions have eased and vaccinations have progressed, children have returned to services and care at home levels have increased. However, in line with national trends, parents frequently report challenges in finding care providers or recruiting personal assistants. We have fully utilised the range of support available from providers in the area to provide care at home, social opportunities for children and breaks in care for carers. All the providers are reporting that they are working to capacity and many report ongoing recruitment issues which impact on their ability to increase provision. We continue to liaise with providers to support them with these issues and prioritise accordingly.

Care Experienced Children – Scottish Attainment Challenge (SAC) Fund

The Care Experienced Children and Young People Fund continues to enable Clackmannanshire Council, as corporate parents, to make strategic decisions around how best to improve the attainment of Care Experienced children and young people. Decisions are informed by robust data and take account of care experienced voices in order to ensure that activity is centred on overcoming the barriers to achieving the best outcomes for care experienced children and young people.

The Clackmannanshire Attainment Programme continues to build on the recognised themes within the Clackmannanshire Attainment Challenge 5 Year Impact Report to ensure that there is a relentless focus on excellence, equity and closing the poverty related attainment gap. Good progress has been made through the alignment of all Attainment Scotland Funding SEF (Strategic Equity Funding), Pupil Equity Fund (PEF), Care Experienced Children and Young People (CECYP) and targeting of resources and associated governance focused on improving outcomes for the children and young people impacted by poverty and Covid 19.

In 2021 Clackmannanshire Council agreed a programme to roll out digital devices for all school pupils including all care experienced children and care leavers. The programme aims to provide all pupils with a digital device to support their learning whilst ensuring equity of digital access for all pupils. Programme delivery is in its second year with over 1900 Chromebooks and 130 iPads deployed.

Family Wellbeing Partnership

The Council has invested significantly in the work of the Family Wellbeing Partnership, and the Values Based Leadership (VBL) approach (in conjunction with Columba 1400 - our delivery partner for values-based leadership experiences and I-SPHERE - our learning partner. The partnership is funded by the Scottish Government's Social Innovation Partnership. The Clackmannanshire Family Wellbeing Partnership seeks to improve the wellbeing and capabilities of families and young people in Clackmannanshire, working with our families to support what matters to them; helping to improve their wellbeing and capabilities, leading to flourishing lives. This includes a focus on what needs to change within the existing system, shifting values and behaviours of the people designing, delivering, and receiving support within Clackmannanshire. The current focus is on developing opportunities to support families and tackle inequalities through early intervention activities, flexible childcare and routes into employment.

To date, over 100 key staff members have participated in Columba 1400 VBL experiences focusing on how we can all work together to improve the wellbeing and capabilities of children and families in Clackmannanshire. In addition, VBL experiences have been provided for young people in our three secondary schools with all participants reporting increased confidence as a result.

Over 2022/2023, the Family Wellbeing Partnership will work with up to 65 families, providing holistic support, tailored to what matters to them. This will involve consultation about what families have reason to value and providing a range of choices, including opportunities to participate in community VBL experiences.

Safeguarding through Rapid Intervention (STRIVE)

STRIVE is a multi-agency project which adopts the whole systems approach to service delivery. In last year's annual report, I highlighted the work of STRIVE as an example of good practice. This initiative has progressed through 2021/2022. While we have continued to face various restrictions, the team have worked together to provide a rapid multi agency response to provide individuals and families much needed support to prevent the need for crisis intervention and diverted families from statutory intervention. For year 2021/2022, **168** families or individuals were supported with 68% of those referred reported concerns with their mental wellbeing, 37% referred suffered from addiction issues, 12% had immediate financial concerns, 14% were at risk of eviction and 11% had experienced domestic abuse.

The team are currently evaluating and analysing data to consider what interventions are working well, where there may be gaps in the services STRIVE can offer and how these can be addressed. STRIVE use a chart for each client to rate each issue out of ten and the beginning and end of their STRIVE involvement.

Some key outcomes:-

- 37 customers referred onto mental health support services
- Homelessness prevented for 17 tenants
- 20 customers given immediate financial assistance or furniture to enable them to remain in their home
- 11 customers referred onto addiction support services

There has also been significant positive impact reported by core agencies represented and reduction in referrals has been noted in Social Work. As a key workstream of the Council's 'Be the Future' transformation programme, we continue to develop STRIVE as an agile business model extending its scope upstream to deliver earlier help and prevent as many people as possible from requiring statutory intervention.

Our key service priorities:

- Continue to strengthen investment in prevention and early intervention that enhances community and family support services.
- Investment in intensive resources for children and young people on the edge of care.
- Enable more looked after children to be maintained safely within their families at the point of need.
- Reduce reliance on out of authority placements and greater use of local family based placements.

5.2 Justice Services

Whilst Justice Services remained operational throughout the COVID Pandemic, 2021/2022 saw staged progress towards returning to pre-Covid levels of service delivery. With the development of a 'hybrid' model of working staff returned to a combination of being office based and working from home which meant face to face appointments could again take place with those subject to supervision.

With Courts also returning to normal working practices the back log of Court cases was addressed which in turn had the expected effect of an increase in Court Report requests and Community Payback Orders. Clackmannanshire Council were able to utilise additional Covid Recovery funding of £160,280 provided by the Scottish Government to meet this pressure on service, employing additional staff which included an additional part time Women's Worker (Caledonian) and a full time agency Social Worker as well as commissioning additional supports/services to address the back log in unpaid work hours.

Unpaid Work continued to steadily open up to include weekend working once again from mid Sept 2021. Ratio of supervisor/squad numbers increased from 1:1 to 1:3. From Nov 2021 the Service commenced a new Third sector partnership arrangement with APEX's social enterprise 'All Cleaned Up'. This provided additional Unpaid Work resources in the form of a full-time supervisor and vehicle. Together with the continued use of online social education modules as part of Community Payback Orders 'Other Activity', this enabled the backlog of hours incurred due to the pandemic to be significantly reduced. Currently approximately 9600 hrs are outstanding, this includes new Orders imposed as the courts have continued to increase activity.

For the period 2021-2022 there were **330** Criminal Justice Reports requested and **177** Community Payback Orders imposed. There were **47** Diversion from Prosecution Assessment requests, **10** of these were relating to Youth Justice (aged 16/17yrs). In addition to this **2** Drug Treatment and Testing Orders imposed.

Throughout the Covid-19 period the Social Work team in HMP Glenochil have continued to provide a service that is as close as possible to pre-pandemic levels. Since the beginning of restrictions, the team have worked a hybrid model of home/prison based working meaning that staff have been physically present to some extent throughout. Meetings, case conferences and Parole Board oral hearings have been conducted via telephone conference or MS Teams, thereby preventing unnecessary delays to many statutory and core processes. Social Workers have continued to meet with prisoners in person, with PPE and other mandatory adjustments in place however, access to prisoners has been unavoidably restricted when an area of the prison has to be closed off due to Covid infections/isolation. There have also been some issues with regard to interviewing facilities due to the need for properly ventilated rooms that are large enough to maintain social distancing. Both of these issues have had a significant impact on the team's ability to undertake some statutory tasks within timescales, however, the team have managed to maintain a significantly high level of service despite ongoing resource issues and the additional challenges relating to Covid.

As part of the disaggregation of the Forth Valley Accredited Programmes, Clackmannanshire Justice Services took responsibility for the delivery of both the *Moving Forward Making Changes* and Caledonian Programme. Both group work elements are now delivered locally in partnership with Stirling Criminal Justice Services and SACRO with Clackmannanshire returning to national forums as part of ongoing implementation and development of these groups. During the pandemic Clackmannanshire saw an increase in reported domestic abuse incidents and an overall increase in Caledonian Orders imposed. As well as recruiting additional staff to work with perpetrators and support survivors of domestic abuse, a new Violence Against Women and Girls (VAWG) Lead Officer was appointed in order to co-ordinate the core activities of the VAWG Partnership and develop Clackmannanshire Councils VAWG Strategic Plan.

Clackmannanshire Council was successful in its application to pilot a Non Court Mandated Caledonian Programme and was awarded additional funding by the Scottish Government to recruit a part time Women's Worker. This intensive programme of intervention is designed to

work with perpetrators of domestic abuse whilst also providing support for survivors. This service is being delivered in partnership between Clackmannanshire Council Children's Service and Justice Service teams and is aimed at providing earlier intervention and support.

During the reporting period Community Planning Partnership (CJP) reviewed the Clackmannanshire Community Justice Outcome Improvement Plan (CJOIP) 2018-2023 and a revised Plan was produced in July 2021 based on progress against priorities. The 3 local priorities set out by the CJOIP are:

- Developing healthy relationships, healthy minds and healthy gender constructs
- Enabling worthwhile work and financial inclusion-particularly within Alloa South and East
- Addressing misuse of alcohol and other substances.

A new Community Justice Coordinator came into post in January 2022. To help meet the outcomes of the CJP Strategic Plan, the partners took the decision in 2021/2022 to facilitate some test of change work within communities with young people at risk or with criminal records and with a specific alignment to areas that were experiencing higher levels of youth vandalism as reported by Clackmannanshire Police. A Youth Diversionary Fund was established and administrated through CTSI with local organisations invited to apply for funding to support diversion activities for young people. An award of £1900 each was made to 8 local community groups.

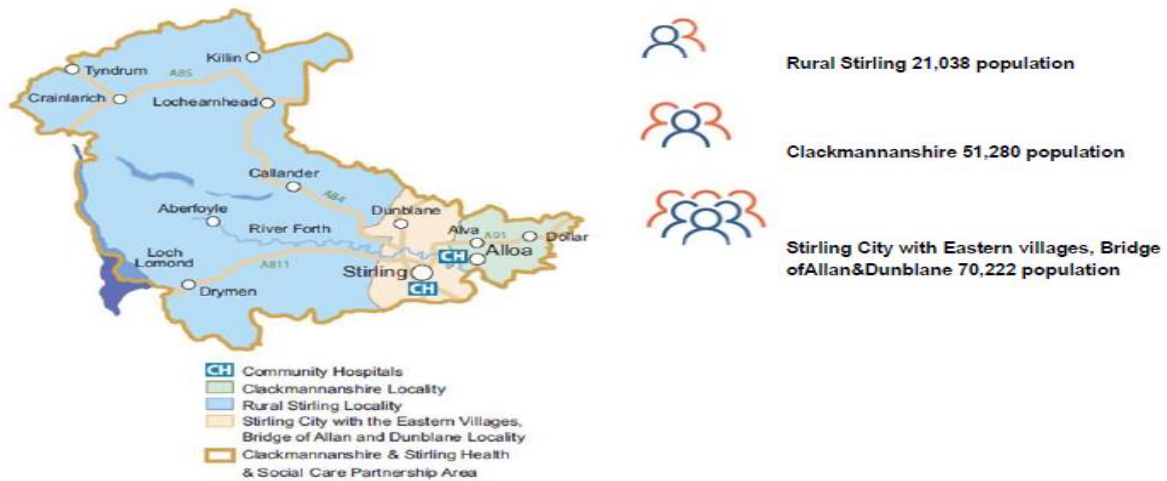
The CJP worked with the Resilience Learning Partnership (RLP), a locally based, lived experience-led social enterprise. Between November 2020 and November 2021 the CJP commissioned RLP to engage directly with individuals in the area with experience of the criminal justice system. The aim was to research individual's experience of the justice system, consider the role of Trauma Informed Practice within this and to better understand the needs of people within the justice system. The final report was published by RLP in January 2022.

During 2021/22 the CJP continued to actively participate in a wide range of partnerships and forums including the Clackmannanshire and Stirling Public Protection Committee, Children and Young People's Strategic Partnership, Clackmannanshire and Stirling Alcohol & Drug Partnership, Violence Against Women and Girls Partnership, Learning & Practice Development Multi –Agency Public Protection Sub-Group, Local Employability Partnership. In addition CJP contributed to national consultations on the new Community Justice Strategy; Bail and Release from Custody Arrangements and the National Care Service.

Performance information for Criminal Justice Social Work Services is reported publicly by the Scottish Government. National available information, as well as some local authority breakdowns, on criminal justice social work activity in Scotland for 2020/21 can be accessed here. <https://www.gov.scot/collections/criminal-justice-social-work/>

5.3 Adult Services - Clackmannanshire and Stirling Health and Social Care Partnership

Clackmannanshire and Stirling Health & Social Care Partnership are set out in the map below. The total population is approximately 142,540. The population of Clackmannanshire is 51,540.



Clackmannanshire Council plays an active part in the leadership and management of the Clackmannanshire & Stirling Health & Social Care Partnership (HSCP) through participation in the Integration Joint Board (IJB) and in the HSCP Transforming Care Board. The IJB is responsible for the strategic planning and operation of adult community health and social care services as outlined in the Integration Scheme. The Integration Scheme is the agreement between Clackmannanshire Council, NHS Forth Valley, and Stirling Council to establish Integrated Health and Care as required by the Public Bodies (Joint Working) (Scotland) Act 2014.

The HSCP Transforming Care Board, chaired by the Chief Officer, is delivering on a highly ambitious programme of transformational and developmental work which supports our staff and services to meet the demands of our changing population. The programme of work reflects legacy commitments linked to local care home capacity as well as recent activity to further integrate community health and social care services. Our focus is on redesigning the model of care and support locally. Some of these activities are outlined below.

Care Home Assessment and Review Team (CHART)

The Care Home Assessment and Review Team (CHART) was first established to support care homes to support people who become unwell in the care home to avoid admissions to hospital and support care home residents, their families and staff throughout the pandemic. The team has subsequently evolved to provide support and advice to care home staff to help monitor care and effectively manage their response to Covid-19. CHART continues to perform well and receives positive feedback from Care Home managers.

RAPID model of care and Permanent Rural Care at Home team

Both of these developments were approved at 23 March 2022 Integration Joint Board. The RAPID model of care is to maximize our potential to discharge people home by increasing our internal capacity through redevelopment, redesign and additional investment of our current resources already based in the community. This will cover Discharge to Assess, Reablement, Crisis Care and Discharge. The Model of Care that would be in operation allows the team to flex and importantly, be flexible to patients needs to support a rapid discharge from hospital or prevent admission to hospital. A short Life Working Group has been established and next steps include developing a timeline and performance indicators for RAPID.

The permanent rural care at home team will work with providers to ensure sustainable, effective and efficient provision of care at home services. Whilst the implementation of the Scotland Excel Care & Support Framework and other capacity building work has alleviated some of the pressures in the more densely populated towns and villages, the availability of care in the more

rural areas has significantly decreased. These challenges have been further exacerbated by the ongoing recruitment and retention issues, which are being experienced nationally, during the COVID19 pandemic. Ultimately, this has resulted in providers being unable to cover their planned hours and seeking to withdraw from service delivery in particularly challenging areas. The Rural care at home team will work with providers in this area to ensure care at home is provided in a sustainable, effective and efficient way to achieve personal outcomes for people.

Technology Enabled Care (TEC) Analogue to Digital

A Technology Enabled Care (TEC) first approach has been agreed and is being implemented with additional project management support. Funding has been secured in both Clackmannanshire and Stirling councils to invest in purchasing equipment for this switchover. Good progress has been made to date in preparation for the delivery of the Analogue to Digital MECS Switchover project throughout Clackmannanshire & Stirling.

Self-Directed Support (SDS) Re-design

There has been a continued focus on moving from the planning phase of Self-Directed Support (SDS) implementation, to setting up the foundation/structure that will support the implementation of SDS across the HSCP and ensure service users and their unpaid carers can exercise choice and control over their care and support.

The HSCP has established a multi-agency SDS Steering Group, to oversee this work, of supported people, carers, third sector provider, partners, trade union representation, HSCP senior managers, practitioners, and commissioners. This provides a forum for planning, reviewing, monitoring, and reporting on the progress of the work. The Steering Group will oversee the delivery of the SDS implementation plan, influence the re-design of the approach and provide regular reports on progress to the Transforming Care Board.

The IJB approved funding for a dedicated Self-Directed Support Lead Officer to ensure that the principles and practices of SDS are embedded across the Partnership and to make ongoing improvements to SDS. The Self Directed Support Lead Officer is delivering on;

- Refreshing operational guidance for practitioners and staff, including reviewing current eligibility criteria
- Reviewing assessment methodology and tools to comply with SDS legislation
- Developing a Continuous Professional programme, practitioner learning and training opportunities across whole system
- Creating up to date public information on SDS options
- Fostering positive working relationships
- Seeking opportunities for supported people to be key influencers in the delivery of a refreshed approach to SDS.

Engagement with supported people, carers and their families will continue to be a critical part of the SDS implementation approach, planning and delivery. Supported people are sharing their experiences and stories; the aim of which is to provide opportunities for people to feel listened to and their story valued; for real life accounts that can be used to develop learning and good practice across HSCP; to raise awareness of SDS across the wider public; and to help inform the HSCP approach to SDS implementation.

Locality Planning Networks

Locality Planning Group meetings are now established, with each meeting having an average of 50 representatives from across the public and third sector including: GP Locality Leads, Scottish

Ambulance Service, Housing, Social Work, Carers, Community Groups, Charities and more. The next meeting will seek to conduct a process of engagement with their respective localities with the aim of creating a 5-year action plan. The approach will be strengths based and collaborative.

The format for each of the meetings is to: network, discuss locality strengths, areas of development and opportunities, propose draft terms of reference and elect a chair for each group. In addition to the Locality Planning Groups, there will also be a Locality Multi-Disciplinary Working Group – this will be an operational group, comprising of GP Locality Leads, HSCP Locality Managers, Professional Leads, Service Improvement Manager and Head of Community Care who will meet in interim period between the Locality Planning Group meetings to oversee the delivery of service redesign in each locality area.

Commissioning Consortium – dementia, carers and mental health

Development of a Commissioning Consortium approach is an important part of our transformational programme of change; seeking to deliver and reinforce a whole systems approach to strategic commissioning and monitoring alongside delivering outcomes for supported people and the principles of self-directed support. The Clackmannanshire & Stirling HSCP is seeking to re-imagine how care and support is delivered and how care and support services are commissioned. This approach demonstrates a shift in policy direction towards collaboration, ethical commissioning and commissioning for the public good, rather than competition. The purpose of the Consortium is to:-

- Create, develop, maintain and grow high quality service delivery in and around Clackmannanshire & Stirling in order to service the needs of local people and communities; especially those who are most disadvantaged;
- Create and deliver flexible and holistic service packages which are joined up and responsive to need and demand;
- Augment provision through the ability of service providers to maximise resource efficiency and support the development of sustainable community capacity.

The HSCP will work together with its strategic partners (including third and independent sector), partner authorities and our citizens, particularly those with lived experience of care either directly or indirectly:-

- to generate collective insight;
- to develop integrated strategies for delivering common outcomes;
- to co-design and commission appropriate services;
- to make decisions about who provides what and how; and
- to review and evaluate how well they are doing.

We currently are working on Consortiums for Carers, Dementia and Mental Health, with Alcohol and Drug Partnership Services (in conjunction with Falkirk HSCP) commencing September 2022.

Development of new Strategic Commissioning Plan for 2023/24 – 2033/34

The Public Bodies Act (2014) sets out Integration Joint Boards (IJBs) must prepare a Strategic Plan and must consult with partner bodies, stakeholders and the public on the Strategic Plan. They must review their Strategic Plan at least every three years. The Strategic Planning Group fully supported this proposal to go forward to the Integration Joint Board. The Integration Joint Board approved on 22 September 2021 to roll forward the Strategic Plan priorities for one year and to develop a ten year plan for 2023/24 to 2033/34.

HSCP Integrated Workforce Plan 2023-2028

Scottish Government requested a workforce plan for the period 2023 – 2028. The Integrated Workforce Plan aligns with other local strategic, service and financial plans. A small working group met and engaged with others (operational services, third sector etc.) to draft the Integrated Workforce Plan 2023 – 2028. This has been submitted to Scottish Government for comment with final amendments made prior to full publication in October 2022.

Winter Planning

The HSCP has refreshed its approach to winter planning. A group was established to consider winter plans and put in place approaches to service delivery. For example, nursing support in the Bellfield centre and additional support to District Nursing service for palliative and end of life care support in Rural Stirling.

Joint Specialist Housing & HSCP forum

The establishment of Joint Specialist Housing & HSCP forum to discuss housing needs of residents in the Clackmannanshire and Stirling HSCP area.

Review of community equipment service

The Joint Loan Equipment Service (JLES) offers a range of equipment to enable people to remain in their own home, across Forth Valley. The service primarily operates from a store in Falkirk, with small satellite stores geographically dispersed across the area. Additionally, Falkirk has a complimentary service, known as Living Well, which enables service users to access equipment and aids to self-manage some conditions. Clackmannanshire Council area has its own equipment service, which sources and delivers some equipment locally for social work, however patients can also receive JLES sourced equipment via NHS Forth Valley.

Over recent years funding partners have acknowledged that the Joint Loan Equipment Service requires to be reviewed and modernised, to better meet the needs of current and anticipated future demands as well as modernised practice relating to recycling. To assist this process, an independent review of the Joint Loan Equipment Service was commissioned via the Improvement Service by Falkirk HSCP and Clackmannanshire & Stirling HSCP. The outcome of this review was that a Forth Valley wide equipment service was the preferred option and a short life working group has been established to consider how this can be achieved.

Investment in support for carers

Over the past year, the HSCP has reinvigorated the multi-agency Carers Planning Group, as carers are key partners in the delivery of care and support across our communities. An agreed programme of joint working to deliver improved carers support and a more consistent response to carers' needs across Clackmannanshire and Stirling has been developed and is being delivered by the HSCP and partners collectively. For example, by listening to the needs of carers, the HSCP has developed a Short Break Co-ordinator post for an agile and rapid response to carers in crisis as well as to ensure agreed planned respite for carers and those they care for, joint recommissioning of the carers centre and funding to recruit a Carers lead. The Carers Centre in Clackmannanshire currently has 897 carers registered and active. A carer's recovery plan is also in development. In addition, an operational focus across HSCP teams to support all staff to identify and offer assessment to carers is underway.

Hospital redesign

- Hospital discharge pathways redesign which lead to improvement in delays and bed days lost (Nov 21 = 1184 to 689 in July 22).

- Hospital @ Home has increased virtual ward capacity from 11 to 25 and is now looking at ways of using telecare to double this to 50.
- Daily flow meetings introduced (bottom up approach) to understand patients journey and focus of intervention.

We are also raising awareness of the IJB and HSCP through the production of a number of videos which have been uploaded to the HSCP YouTube channel [HSCP you tube channel](#)

Mental Health Officer (MHO) Service

The Mental Health Officer (MHO) team continues to experience challenges due to the amount of statutory work which is increasing. The Covid-19 pandemic added to these challenges for what is a very small MHO team. However the MHO service has continued to meet the challenges it experiences and ensure that our statutory priorities are met. During the last year the team has recruited a new mental health social worker into post and also had Scottish Government funding for a part time (3 day) new MHO post which has also been filled. This has increased capacity within the team. A further 3 MHOs work within the wider social work services including 1 who passed their MHO training this year and is now an accredited MHO.

Rates of Detention under the Mental Health (Care and Treatment) (Scotland) Act 2003 for period April 2021 to March 2022:

Emergency Detention Certificates (EDC) During 2021/22 - 34 EDCs in comparison to 36 in the year 2020/2021.

Short Term Detention Certificates (STDC) During 2021/22 - 64 STDCs in comparison to 70 in the year 2020/2021.

Forth Valley Emergency Social Work Service

The out of hours emergency social work service known as the Emergency Duty Team (EDT) provides all aspects of emergency social work statutory intervention including child protection, adult protection and Mental Health Officer duties for Falkirk, Clackmannanshire and Stirling Councils. This continued to be the case during 2021/22.

The staffing level of 4.5 Senior Social Workers and one Manager was maintained. As is always the case 2 senior social workers were available per shift period. A pool of social work colleagues from across the 3 Councils continued to assist the service when necessary. The team continued to work remotely and access all three Councils social work systems. Alternative communication processes were developed which resulted in a more direct pathway between EDT staff and callers to the service.

Clackmannanshire referrals have remained fairly consistent over the period 2021/2022 (1471 emergency referrals). Although there were slight fluctuations between adult and children's services, this is a pattern which has remained consistent over a number of years.

Clackmannanshire Referrals	2021/2022	
Children	865	58.8%
Adults	600	40.8%
CJS	6	0.4%
Total	1471	

5.4 Public Protection

Clackmannanshire & Stirling Child Protection Committee

Multi-agency work in relation to child protection across Clackmannanshire was taken forward throughout 2021-2022.

In response to the COVID-19 pandemic the Clackmannanshire & Stirling Public Protection Committee continued to meet and brought together all aspects of public protection activity including child protection, adult support and protection, gender based violence, alcohol and drugs and Multi-agency Public Protection Arrangements (MAPPA) business and affiliated sub-groups. The CPC maintains a risk register, which specifies risk, assesses the impact and accordingly actions to mitigate those risks. The register is subject to regular review.

Over the last year Clackmannanshire and Stirling CPC **Performance Management and Quality Assurance subgroup** progressed work relating to the Clackmannanshire Significant Case Review Improvement Action Plan; the Performance Management Framework; the Risk Register; and single agency audit activity.

The Lead Officer Child Protection and the Multi-agency Public Protection Learning and Development Advisor worked with the Who Cares? Advocacy and Participation Workers in Clackmannanshire and Stirling and with the Children's Rights Officer in Stirling to consult with children and young people with experience of child protection and care experienced regarding how to improve their participation in decision-making about their lives. Based on the findings from this work a participation checklist was produced which has been widely promoted with staff for use in preparation for multi-agency meetings.

The Forth Valley Child Sexual Exploitation Project Board progressed a wide range of work, including CSE awareness-raising; guidance on harmful sexual behaviour; training for foster carers, residential units and supported lodgings; the CAERA (Complex Abuse and Exploitation Risk Approach) pilot work being led by Barnardos; gaining the views of children and young people in relation to CSE; the CSE interface with missing children; the CSE learning e-module; contextual safeguarding; Managing Sexualised Behaviour in Schools guidance; developing a list of CSE resources; the interface between the night time economy, child sexual exploitation and community safety; in progressing the CSE Project Board Work Plan 2021-22. It was agreed to include child criminal exploitation (CCE) in the group remit going forward and Forth Valley Child Trafficking and Child Criminal Exploitation guidance was developed.

A **Forth Valley short life working group working on the implementation of the Age of Criminal Responsibility (Scotland) Act 2019** was established to ensure staff awareness prior to the legislation going live on 17th December, 2021. A seven minute briefing prepared by the Forth Valley Lead Officers for Child Protection was shared with Lead Officers across Scotland by the Social Work Professional Advisor in the Scottish Government ACRA Implementation Team as good practice.

The **Forth Valley Public Information, Communication and Engagement Subgroup** progressed work on the Practitioner Pages; the Children: Equal Protection from Assault (Scotland) Act, 2019; the increasing concern about online sexual harm of children and young people; the Age of Criminal Responsibility (Scotland) Act 2019; the promotion of the national 'For Kids' Sake' child protection campaign over the school Summer holidays by the three councils; the promotion of the 16 Days of Action campaign; the promotion of Under Pressure: Understanding Child Neglect, the CPCScotland campaign in January, 2022; communication relating to the Equal Protection

from Assault Act, 2019; and communication to staff and the wider community relating to the new National Guidance for Child Protection in Scotland, 2021.

The **Forth Valley Policies, Procedures and Protocols Subgroup** continued to meet and new/refreshed guidance was developed relating to Trafficking and Child Criminal Exploitation, Honour Based Violence, Female Genital Mutilation, Domestic Abuse, Working with Resistance, The Unseen Child and the Child's Plan (GIRFEC), Equal Protection, Missing Persons, Escalation, Professional Curiosity and Care and Risk Management. The Work Plan for 2021-22 was reviewed in the context of the National Guidance for Child Protection in Scotland, 2021.

An Impact of Parental Substance Use (IPSU) short life multi-agency working group was set up to progress work in relation to the roll out of this assessment tool across Forth Valley.

The **Forth Valley Practitioner Pages** were formally launched on 16 August 2021 with information on how to use the resource and a seven minute briefing promoted through the councils' communications teams and multi-agency partnerships. The Practitioner Pages Governance Group consulted with newly qualified staff and sought the views of all staff on their use of the Practitioner Pages through an online survey.

The **Central E-Safety Partnership** was re-established and rebranded as the Forth Valley West Lothian RIC E-Safety Partnership to promote digital wellbeing with schools across the Regional Improvement Collaborative. The Partnership promoted Safer Internet Day, 8th February, 2022, the theme of which was "All fun and games?"

Self-evaluation and improvement work

Between 23 August 2021 and 10 November 2021, inspectors from the Care Inspectorate, Education Scotland, Her Majesty's Inspectorate of Constabulary in Scotland (HMICS) and Healthcare Improvement Scotland worked in collaboration with the Clackmannanshire children and young people's partnership. Together, a focussed programme of self-evaluation and improvement work to support our partnership to make improvements was undertaken. This included file reading activity using the Care Inspectorate's guidance and approach to reviewing children's records, and delivered record reading training. Working alongside 21 local practitioners from partner agencies, we reviewed practice by reading records for a sample of 31 children and young people at risk of harm. Through the review of records, we found that the majority of children had an opportunity to develop a relationship with a key professional although it was to a lesser extent than the opportunity afforded to parents in the sample. Several areas of strength were identified in relation to the meaningful and appropriate involvement of parents or carers. However, this was less evident with regards to children and young people. As a recognised area for improvement, we are developing alternative ways to support children to contribute to multi-agency meetings and ways to further improve how children are listened to, heard, and meaningfully involved by staff.

We are carrying out further multi-agency case audit activity, specifically focussed on notifications of concern and an audit on child participation. This work is planned end of September 2022.

Clackmannanshire Adult Support and Protection (ASP)

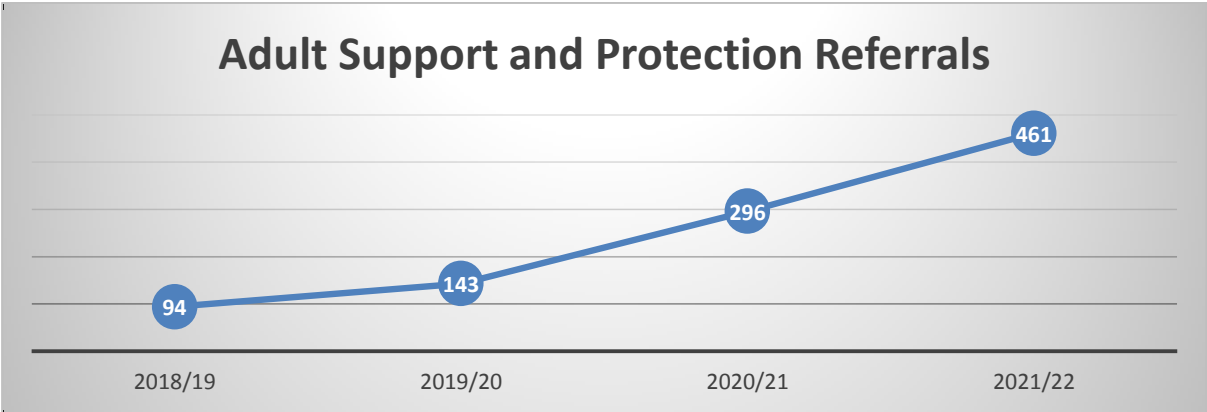
Throughout the reporting period, enhanced strategic oversight of Adult Support and Protection continued by the Public Protection Committee (established as a result of the pandemic) and affiliated sub-groups. The Clackmannanshire & Stirling Public Protection Committee has overseen a number of developments to further strengthen the multi-agency pandemic response

to adults at risk of harm. This included a multi-agency corporate risk register, commissioning of the eIRD system from NHS Lothian, short life working groups in response to national reports and expansion of the role of the Care Home Assessment and Review Team (CHART). In January 2022, CHART was nominated for a COSLA Excellence award in recognition of their work to support care home residents and staff throughout the pandemic. CHART is currently developing an 'Early Indicator of Concern Framework' in conjunction with a plan for CHART to support and manage all adult support and protection activity within care homes.

This is also supported by an online Care Home Practitioners Group chaired by the CHART team manager and attended by the Care Inspectorate (as required) and the Adult Support and Protection Lead Officer. This has provided a platform for managers and deputies to share practice issues and seek support/resolutions from their peers and partnership staff during an unprecedented global pandemic.

Early intervention initiatives such as CHART and STRIVE effectively supported care homes and adults at risk of harm throughout the pandemic.

Data Source 1 - ASP Referrals 01.04.21 – 31.03.22



The number of adult support and protection referrals received during the reporting period was **461**. This represents a significant year on year increase from 2018.

The top three referral sources were:

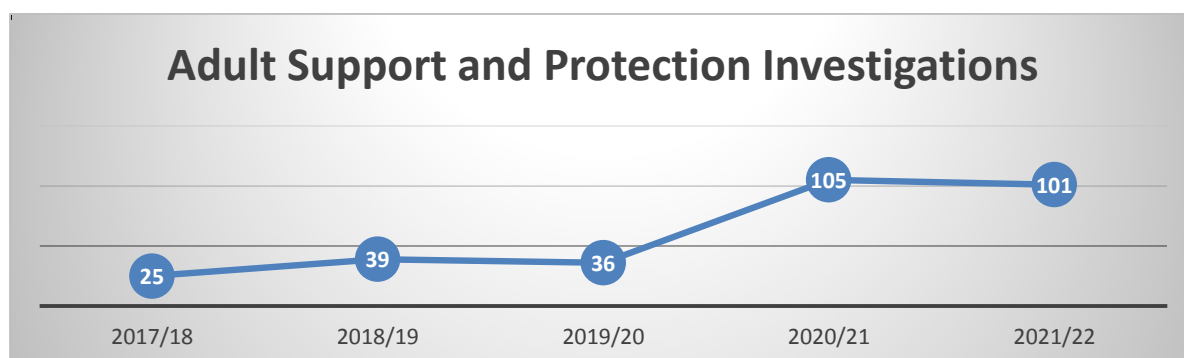
- other organisations – **276 referrals**
- unpaid carers – **42 referrals**
- NHS partners – **34 referrals**

The sustained higher referral rates are attributable to a number of factors including:

- Increased promotion and awareness of adult support and protection – is **'everyone's business**.
- Increased recognition of adult support and protection and improved recording processes.
- A well-publicised national inspection programme commissioned by the Scottish Government covering all health and social care partnerships.
- Covid – 19 Pandemic – individuals evidently struggled with their mental health and isolation which resulted in increased incidences of self-harm, suicide, domestic violence and problematic substance use.

- There were also financial pressures associated with the pandemic and more sophisticated scams linked to Covid e.g. testing kits.
- The creation and presence of CHART and the NHS quality assurance team within care homes. This ensured a more visible presence within care homes and early identification of harm.
- The creation of STRIVE who refer into Adult Care if there are ASP concerns.

Data Source 2 - ASP Investigations 01.04.21 – 31.03.22



Data Source 3 - Summary of Investigations, Type of Harm and Outcomes 01.04.21 – 31.03.22

	2017/18	2018/19	2019/20	2020/21	2021/22
Investigations (principal harm)					
Financial Harm	9	13	10	19	10
Psychological Harm	0	2	5	4	2
Physical Harm	11	13	14	53	65
Sexual Harm	2	1	1	7	2
Neglect	3	5	4	16	18
Self-harm	0	0	0	2	0
Other	0	5	2	4	4
Outcomes of Investigations:					
Further ASP Action	9	11	4	27	5
Further non-ASP Action	10	13	8	10	95
No Further Action	5	15	24	68	0
Not Known	1	0	0	0	1
Initial ASP Case Conference	3	3	3	12	6
Review ASP Case Conference	0	0	0	4	2

The data above, illustrates a **slight decrease** in adult support and protection investigations, **reducing** from **105** in 2020/21 compared to 101 in 2021/22.

The most prevalent category of harm was physical followed by neglect which has increased steadily across the reporting periods. A lot of work has been undertaken by staff around hoarding and self-neglect which is evidenced by more accurate recording and recognition of this risk category. There is a marked reduction in initial adult support and protection case conferences. There has been a lack of clarity regarding definitions for meetings including 'planning meetings'. At times the work has been carried out timeously but it has been categorised erroneously. Work is currently underway to review the Adult Support and Protection case conference process.

Adult Support and Protections referrals and investigations have **increased significantly** across the last five reporting years. Council Officers, HSCP staff and partner agencies have worked hard to absorb and manage the increased workloads and to ensure that adults at risk of harm are supported and safe.

During the reporting period, five large scale investigations (LSIs) commenced across care homes and care at home services. The LSIs have been completed supported by the HSCP and remedial actions have been put in place. There was one Initial Case Review (ICR) convened during the reporting period and a corresponding action plan was devised to aid and support learning. Following the implementation of new Scottish Government guidance with respect to 'Learning Reviews' work is ongoing to devise local guidance and templates to support practice.

Adult Support and Protection Inspection

Notice was received on 24 May 2021 from the Care Inspectorate, Healthcare Improvement Scotland and HM Chief Inspector of Constabulary in Scotland that under section 115 of part 8 of the Public Services Reform (Scotland) Act 2010 that a joint inspection of Adult Support and Protection (ASP) arrangements will be undertaken within the next six months. The NHS Board, IJBs and Councils all received this formal notice. Appropriate organisational arrangements were put in place to respond to the requirements. The inspections were carried out remotely (in line with COVID19 restrictions).

The final **Clackmannanshire Council** report was published on 15 February 2022. The report can be accessed [here](#)³.

The report found that keeping adults at risk of harm in Clackmannanshire safe is a key priority, and this multi-agency inspection report highlighted that staff across agencies in Clackmannanshire worked together to ensure these adults experienced improved safety outcomes as a result of this collaboration and intervention. The report also noted that partners consistently carried out all adult support and protection processes in a timely manner, including the Police who contributed effectively and efficiently to all aspects of the delivery of key processes to keep adults at risk of harm safe and protected. Early intervention initiatives, such as safeguarding through rapid intervention and the early intervention to welfare concerns initiative (STRIVE), effectively supported vulnerable individuals across Clackmannanshire. The leadership for adult support and protection was also noted to be effective throughout the Covid-19 pandemic and the partnership maintained critical services to adults at risk of harm. Together with our partners, we have identified the areas for improvement highlighted in the report and had already started on an improvement journey, with a plan in place which will continue to be reviewed.

The Public Protection Committee has an ongoing Adult Support and Protection Improvement Group which is reviewing current policy and practice. The HSCP Head of Community Health and Care chairs the group, with support from the two CSWOs, Independent Chair of Public Protection Committee, ASP Co-ordinator, ASP Training and Development Lead, HSCP Head of Strategic Planning and Health Improvement as well as all HSCP Locality Managers.

The previous ASP Lead retired recently, and their replacement started on 1 April 2022.

We had some care homes that were subject to a Large Scale Inquiry (LSI) for 18 months. Initial concerns were raised as the Covid pandemic commenced regarding the quality of care and

³ [Joint inspection of adult support protection in the Clackmannanshire partnership \(careinspectorate.com\)](#)

infection control, which resulted in the Care Home Assessment and Review Team (CHART) having a deeper dive into the quality of life for residents. During this time, there have been fluctuations of improvements and subsequent deteriorations in performance. These care homes are now all closed.

Multi-agency public protection arrangements (MAPPA)

MAPPA governance and scrutiny are delivered across a number of different strands within Forth Valley MAPPA. The MAPPA Strategic Oversight Group and the MAPPA Operational Group both meet quarterly, the Independent Strategic MAPPA Chair also attends the regular meetings of the joint Clackmannanshire and Stirling Public Protection Chief Officers Group and the national SOG and the MAPPA Co-ordinator attends the joint Clackmannanshire and Stirling Public Protection Committee. In addition, MAPPA case management within Clackmannanshire is also subject to a quarterly case file audit when MAPPA processes and outcomes are reviewed against nationally agreed criteria.

MAPPA administration and process within Clackmannanshire Council forms part of Forth Valley MAPPA along with the other local Responsible Authorities, Falkirk Council, Stirling Council, Police Scotland and NHS Forth Valley. The other national Responsible Authorities who complete the MAPPA partnership are SPS and the State Hospital.

During the year under review 2021/2022 MAPPA partners continued to deliver services and work together to identify and minimise risk against a back drop of changing restriction and staff absences due to illness or isolation. During this period any case review work undertaken clearly identified staff across agencies working together to ensure key assessments and contact with clients were maintained. One key area of potential change was the proposed action by partners in Police Scotland to amend the means by which they shared information and with whom. The impact of these changes could have been wide-reaching with potentially a reduced and more limited flow of information however in more recent times any changes have been delayed to allow for a period of reflection and multi-agency discussion at a strategic national level.

The 5 MAPPA administration/support staff posts are all fully funded by the Scottish Government with Clackmannanshire Council employing and providing business support for them on behalf of Forth Valley MAPPA.

Community Based Case Numbers by MAPPA Level and Category as at 31/03/22

	RSO	Level 1	Level 2	Level 3	Category 3	Restricted Patient
31/03/22	54	54	0	0	3	0
31/03/21	53	51	2	0	2	0

Re-offending – All cases of sexual or serious re-offending are subject of review to identify either learning opportunities or areas of good practice. During the period under review three cases of sexual re-offending by MAPPA clients were recorded in the Clackmannanshire area with two of the cases involving the same perpetrator. All were reviewed by the Independent Strategic MAPPA Chair, the Chair of the MOG and the MAPPA Coordinator with no significant learning or need to proceed with any additional MAPPA reviews identified.

MAPPA Meetings – MAPPA case review meetings are now held exclusively via Microsoft Teams providing savings in both staff time and travel costs. Within Clackmannanshire Level 2 MAPPA meetings are chaired by either the Justice Social Work Senior Manager or the Police Scotland

Area Commander with Level 1 Meetings being chaired by a JSW Team Manager. During the year under review there were no Level 3 cases.

Training – Local training for staff involved in the MAPPA process was delivered via MS Teams due to the restriction on face to face meetings. Topics covered during the past year included Community Disorder, Links between Adult Protection and MAPPA and Managing Individuals on the Autistic Spectrum.

Future Developments – One key MAPPA consideration in the year ahead will be to closely monitor and participate as appropriate in discussions relative to the future of information sharing amongst MAPPA partners. The effective sharing of information between partner agencies is a key component in the identification and management of risk and any reduction in this could be detrimental to public safety across our communities.

Available information on data for 2020/21 can be accessed here:

<https://www.clacks.gov.uk/site/documents/community/forthvalleymappaannualreport/>

Clackmannanshire & Stirling Alcohol and Drugs Partnership

Clackmannanshire & Stirling Alcohol and Drugs Partnership (CSADP) role is to coordinate the whole system response to substance use harms. CSADP has been working more actively with colleagues across social work services in Clackmannanshire in 2020-21 and have supported the development of a peer recovery worker post within the criminal justice social work team, to support people affected by substance use at key points of their journey. The review of commissioned services for children and young people includes consideration of specialist substance use provision for those most at risk of harm.

CSADP is also leading on the implementation of recommendations in the Whole Family Approach Framework in Substance Use, published by Scottish Government in December 2021. This work is being coordinated through the CSADP Children, Young People and Families subgroup with input from social work colleagues, and will align with work across the whole system to #Keep the Promise.

CSADP also benefits from social work input in other subgroups including alcohol and drug harms, and a specific justice subgroup. These contributions are developing strategic links across the whole system and we are grateful for the continued contributions of social work colleagues.

CSADP continues to ensure that investments funded through CSADP align with strategic priorities in other areas, including those exercised by Clackmannanshire Council Social Work.

Violence against Women and Girls – VAWG Partnership

There were **735** local incidents of Domestic Abuse reported between the period of 1st April 2021 and 31st March 2022, **485** of these cases included child concerns. Clackmannanshire remained in the top 3 areas nationally for reported Domestic Abuse.

There were **16** Caledonian Orders imposed during 2021-2022.

Multi-Agency Risk Assessment Conferences (MARAC) where domestic abuse is a significant factor are held monthly. The new MARAC coordinator came into post in May 2021.

Clackmannanshire Women’s Aid (CWA) and Police Scotland worked in partnership to co-locate the MARAC Co-ordinator and CWA fund the post. Part of this role involves an element of training and education to social workers and partner professionals, including third sector services to raise awareness of the MARAC process and to ensure more professionals in their varying capacities, firstly, recognise domestic abuse, and secondly do something about it. The result is that more referrals have been made to MARAC from partners, and regular discussions take place about the consideration of a referral and additional safety planning that can be implemented if the MARAC threshold not met.

Our public protection learning and development advisor facilitates Safe& Together briefings to a multi-agency audience as part of the multi-agency public protection training agenda. The focus of the briefings is to make practitioners aware of the principles and components of Safe & Together to help in the systems change and the culture shift to domestic abuse. A four day Safe & Together Core practice training was delivered in December 2021 to a multi- agency audience (13 participants) including child care staff. Routine Enquiry is also undertaken in health settings.

MARAC sessions delivered in 21/22:

10	13/05/2021
12	25/08/2021
14	08/10/2021
19	13/01/2022

Safe & Together Briefings delivered in 21/22:

13	16/04/2021
19	04/08/2021
15	08/10/2021
9	28/01/2022

A new Violence against Women and Girls (VAWG) Lead Officer was appointed in February 2022 following the post being vacant for ten months. This appointment has enabled the partnership to progress the development of a new VAWG Strategic Plan for Clackmannanshire. A half day strategy development day facilitated by staff from the Improvement Service has supported the partnership to identify local priorities aligned to the national Equally Well strategy. The VAWG partnership is chaired by the Strategic Director People, Clackmannanshire Council.

There are clear pathways and links into the relevant thematic partnerships. The VAWG partnership reports to the Clackmannanshire Alliance (CPP), Community Justice Partnership, Clackmannanshire and Stirling Chief Officers Group and the Alcohol and Drug Partnership.

All secondary schools and colleges engaged in National 16 days of Action in 2021/22 to raise awareness of all forms of Gender Based Violence.

Clackmannanshire Women’s Aid (CWA) have undertaken work in schools with children living with domestic abuse and also offered on line support during lockdown periods. They also work in partnership with FV College, Alloa Campus including attending the Fresher’s Fayre Event.

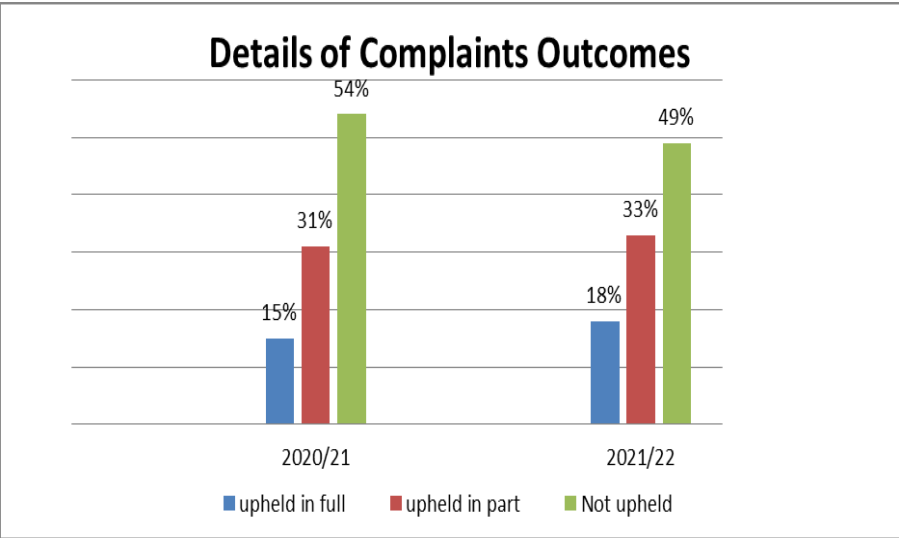
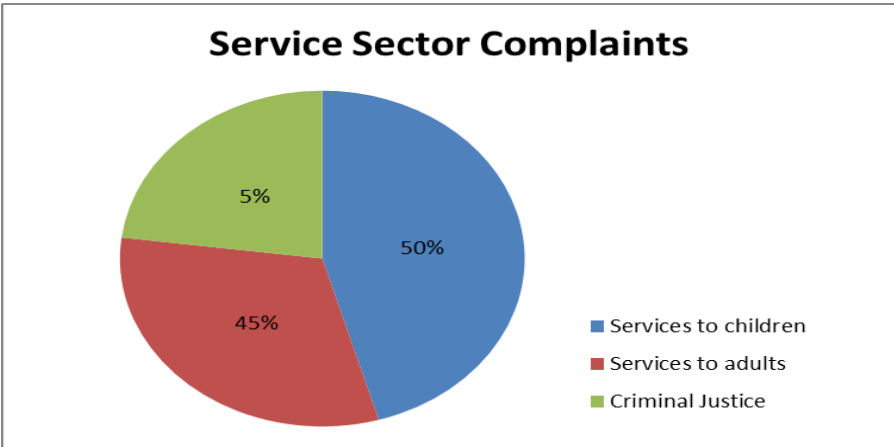
5.5 Social Services Complaints 2021-2022

Over the year 2021/2022 there were **33 complaint enquiries** to Social Services that were resolved on a formal basis by local managers, in line with the new Scottish Public Service Ombudsman’s (SPSO) Social Work Complaints Handling Procedures (CHP). The **total number of complaints formally registered by the Service was 40**. These enquiries comprised of **25 Stage 1** and **14 Stage 2** complaints. There was **1 Stage 3 independent review** that was examined by the Scottish Public Service Ombudsman (SPSO) with the complaint outcome by the Service, being upheld by the Complaint Reviewing Officer.

In 2021/2022 we responded to **90%** of complaints within target timescales (5 or 20 working days). The remaining **10% being outwith** target timescales, there was two complaints at Stage 1 and two at Stage 2 completed within a maximum of 10 days. The reasons for delays in responding to complaints were due to a range of contributory factors, including complexity of the investigation and the non-availability of the complainant or key staff. The Service advised complainants of the progress of their complaints and where necessary extended time scales were agreed, in line with procedures.

Of the complaints received, these can be broken down into service sectors as follows:

- Services to children (50%)
- Services to adults (45%)
- Criminal Justice (5%)



Complaint enquiry figures across Social Services in Clackmannanshire would indicate a **4.76% decrease**, from **42** in 2020-2021 to **40** in 2021-2022. The number of complaints from Children's Services **decreased by 20%** with HSCP Adult services **rising by 20%** than the number received in the previous year 2020/21. Justice Service complaints remained consistent with the previous year figures. The main areas of dissatisfaction were mainly in relation to staff conduct or attitude (22%) communication by staff or the service (20%), service standard or quality (20%), Resources not available or adequate (20%) application of policy (11%), Health & Safety (4%) and other council policy (3%)

The Quality Assurance framework allowed us the scope to identify these learning and improvement action points and to highlight the need for further investigation of individual or team performance, through effective supervision, in order to address any performance issues quickly and effectively, to make improvements to service provision where required. This mainly resulted in the provision of additional staff training; change to procedures where required; focussed team development meetings, and consultation with commissioned services to improve the overall quality of service provision.

Social Services have made a successful transition to the SPSO (CHP) over recent years and now operate under a standardised 2 stage corporate procedure which also incorporates Health services.

In 2021/2022 there were no Duty of Candour referrals recorded across Social Services.

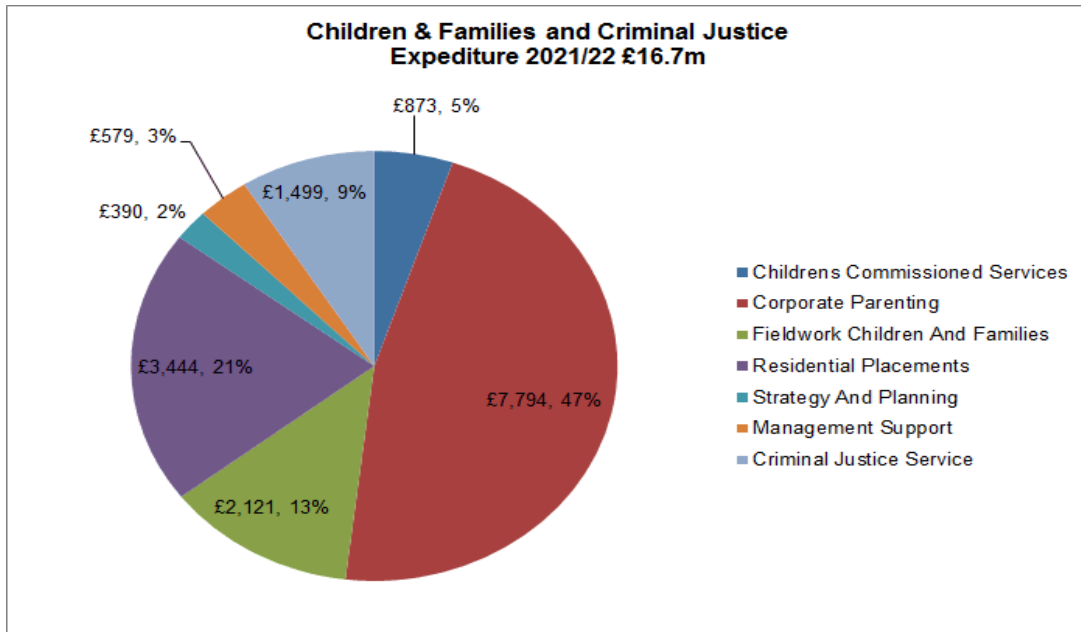
6.0 Resources

6.1 Children's and Justice Services

In 2021/2022 the total net budget for Social Services was £16.8m with expenditure of £16.7m. This near break even position was achieved as a result of the allocation of Covid funding in to the Service. However, significant underlying pressures remain across all parts of the service, in particular kinship payments, fostering and residential care placements. Despite the additional complexities presented by covid good progress was made in reducing the number of residential placements and developing more local services.

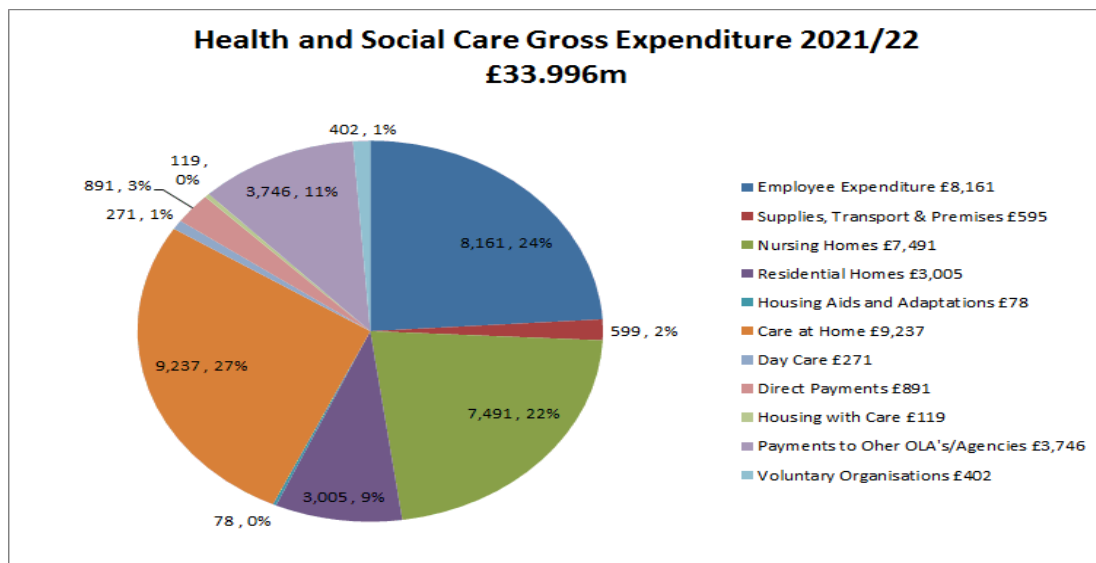
Children's services continues to focus on addressing resource pressures through the development of alternatives to reduce residential care placements through the use of Family Group Decision Making, Restorative Practice and the targeting of commissioned services.

In 2021/2022 expenditure on Justice Services amounted to £2.196m, with £0.520m relating to the provision of a social work service at Glenochil prison under a service agreement with the Scottish Prison Service. Funding from the Scottish Government for the provision of Justice services amounted to £1.528m against expenditure of 1.676m. The service is actively pursuing ways to manage this shortfall in funding.



6.2 Health and Social Care

The total net budget for Health and Social Care Services delegated to the IJB was £19.041m. Total gross expenditure amounted to £34.0m. Expenditure was significantly impacted by the Covid-19 pandemic with many services interrupted for lengthy periods. There continue to be significant underlying across the service as a result increased demand and demography and these are being addressed through the programme of service transformation.



7.0 Workforce

Whilst the COVID pandemic has had an acute impact on the provision of social work services within the Council, we have also been cognisant of the significant impact on our workforce, both within social services and Council wide. Over the reporting period the level of organisational change, such as with physical working locations (remote working), working practices, and team culture has been significant.

As such, over the reporting period colleagues within corporate support areas such as HR, Health & Safety, Emergency Planning, Communications, and Learning & Development have worked collaboratively together to ensure the ongoing physical and mental well being of our staff through the provision of a variety of staff support measures, both targeted at particular staff cohorts, and undertaken on a staff wide basis.

Allied to this, the Council continues to prioritise workforce planning as a means to understanding the medium to long term changes to our workforce (with a revised Strategic Workforce Plan for 2022-25 due shortly).

However, over the reporting period many of the anticipated workforce changes noted within our current Strategic Workforce Plan (2019-22) have been brought into sharp focus as a result of the pandemic, and as result has shifted the way we assess, report and address these challenges. Workforce planning, and wellbeing initiatives undertaken over the reporting period and in support of ensuring that social work staff, despite the challenges created by the pandemic, can work in a supportive and safe working environment.

7.1 Workforce Planning

The Council's Strategic Workforce Plan (2019-22) identifies four key priorities, which are to:

- Create a positive and inclusive organisational culture;
- Have a sustainable and resilient workforce;
- Ensure our workforce feels supported, empowered, respected and engaged; and
- Ensure our workforce has the knowledge, skills and behaviours capable of meeting future demands.

Whilst the Council is due to revise its workforce plan for the 2022-25 period, work has continued to support the four pillars of our current Strategic Workforce Plan, and in particular address some of the key workforce challenges which the COVID pandemic has created for our organisation. This has included:

- Continuation of a revised staff survey question set designed to focus on changes to ways of working for our staff (e.g. remote working), communication with staff, and staff physical and mental wellbeing.
- Completion of a Capacity and Skills audit of our organisation, undertaken by independent consultants, aimed at defining key skills gaps, cultural factors and the capacity for change within Council services.
- Collaborative working with Forth Valley College to define and roll out a management development programme designed to support managers with managing remote teams and the changes to workplace dynamics and culture.
- Workplace based supports including a bi-annual wellbeing week, stress management classes, mental health advisors, Health Working Lives group, and a range of online 24/7 wellbeing supports accessed through our staff internet site.
- Directorate based workforce planning workshops to assist senior management uncover, define and plan for the key drivers which are impacting service delivery both now, and in the future.
- Roll out of a new Clacks Academy online platform, creating learning pathways and bespoke learning communities for groups of staff across the Council.

During 2021/2022 we supported the following external accredited learning:

- 4 x SVQ Level 6 via Stirling Council SVQ Centre eLearning platform
- 1 x SVQ Level 7 via Stirling Council SVQ Centre eLearning platform
- 2 x SVQ Level 9 via Stirling Council SVQ Centre eLearning platform
- 4 Practice Educator qualifications, 2 via the Open University/RGU and part funded by the Scottish Government – 3 Children’s Services and 1 HSCP
- 2 x Family Group Decision Making certificates via Children First
- 2 x Lifestory Works with Richard Rose certificates via Children in Scotland
- 1 x Management and Leadership certificate, year 2, via University of Stirling

Newly Qualified Social Workers (NQSWS)

During year 2021-2022 Social Services provided **11** placements for students, predominantly from the University of Stirling, over 3 cohorts. **8** students were placed within Children’s Services, **1** in Justice Services and **2** in HSCP. One student secured a full time position with us within Justice Services.

In line with SSSC Policy and research, that consistently reported the need for a more robust, systematic and consistent approach to supporting the transition from qualifying training to the workplace and continuing the learning and development of Newly Qualified Social Workers (NQSWS) in Scotland through their first year in practice, Clackmannanshire Council, Social Services, Continuous Improvement Team introduced a NQSWS programme in July 2019.

To date we have delivered 3 NQSWS groups from July 2019 to Dec 2019 (6 sessions), December 2020 to March 2021 (14 sessions) and October 2021 to February 2022 (14 sessions) the initial aim was to offer NQSWSs the opportunity to receive support and information that would assist them in settling quickly into their work environment. The planned sessions were designed to be complimentary to the current Induction support that is offered by their Line Managers, Colleagues and Business support staff in terms of professional supervision, protected caseload, protected learning time and peer support and mentoring.

The Continuous Improvement Team, NQSWS Group sessions focussed mainly on the professional themes and topics that are relevant to NQSWS in their development as Social Work practitioners. To date the team have provided introductory modules and offered tools which can assist in developing workers skills and theoretical knowledge in all aspects of their Social Work role within the service, and to provide an insight into the multi disciplinary approach established across the Clackmannanshire area.

The Continuous Development Team have also provided further support to NQSWSs ensuring that they have access to all professional training that is available to Social Work staff which includes Clacks Academy on-line eLearning, Adult and Children’s Public Protection training, Team specific training, Accredited Learning and peer led training to promote and enhance their professional development through a continuous learning programme.

7.2 Staff Health and Wellbeing

Over the course of the pandemic, and the reporting period, the wellbeing of our staff both within social services and council wide has never been so important.

As such, there has been considerable effort undertaken in ensuring our workforce are well supported and safe in the new working environments they find themselves operating within.

Through our Healthy Working Lives (HWL) Group (which is a cross service group looking at all aspects of staff wellbeing) there have been numerous interventions rolled out to support staff. It should be noted that this is an ongoing concern, and our HWL group continues to respond to the needs of our workforce as our COVID response progresses.

The following wellbeing initiatives to ensuring the ongoing wellbeing of our staff:

- Dedicated staff wellbeing and homeworking resources on our 'keeping staff connected' website (accessible from any device)
- Staff Wellbeing Kit issued to all staff in digital and print formats
- Staff Wellbeing section created on our Clacks Academy E-Learning Platform
- Staying Active sessions including lunchtime fitness, desk exercises, and weekly staff walks
- Roll out of digital wellbeing apps and platforms, including Sleepio, Daylight, Silvercloud Self Help for Wellbeing, 'Feeling Good: Positive Mindset' and One Million Lives.
- Stress management and mindfulness webinars, 'Managing Stress' guide for managers, individual stress risk assessments, and stress control classes.
- Ongoing support for homeworking including over 600 DSE assessment undertaken, and webinars as part of our Winter Wellbeing Week
- Winter Wellbeing Week (held 25-29 Jan 2021) and Pre-Festive Wellbeing week (24 Nov – 3 Dec) which included various webinars including -self-care, mindfulness, learn to listen, skin and heart care, Work Life Balance, Avoiding Burnout, yoga sessions, Friday fun activities, and many more.
- Roll out of Shout, where the Council has worked to roll out text based crisis intervention support for anyone struggling with mental health.
- Development and roll out of a new leadership and management programme – 'Promoting Good Conversations' in conjunction with Forth Valley College, designed to upskill managers in managing remote teams; and
- Redrafting and roll out of our Stress and Wellbeing Policy clarifying roles, responsibilities, mandatory health and wellbeing awareness training, and wellbeing ambassadors.
- Roll out of free Keep Well Health Assessments for staff in collaboration with NHS Forth Valley Keep Well Service.

Going forward into 2022/2023 we remain committed to ensuring that wellbeing support continues to be a key priority with the following planned thus far:

- Collaboratively working with the workforce to support health and wellbeing and to maximise wellbeing opportunities for all
- Development of a staff wellbeing strategy (2022 – 2025)
- Development of the 2022/2023 Clackmannanshire and Stirling Health and Social Care Partnership Wellbeing Plan
- Development and delivery of winter wellbeing week 2022

Staff engagement and communication has also included:

- Council and HSCP Newsletters
- Meet the Chair of the Integrated Joint Board, Chief Officer and Chief Executive
- Monthly People Connected session with the Strategic Director, People
- Monthly People Connected Newsletter
- People Catch Ups (sharing information about specific team/projects in People, monthly)
- People podcasts (event based)
- Monthly Standing Briefs for HSCP staff
- Programmed meetings between management and staff
- Staff Engagement Sessions for Team Leaders and Managers
- Meet the teams – Senior Leadership Team regularly attending team meetings
- HSCP Joint Staff Forum - co-chaired by HSCP Chief Officer & Trade Union Representative
- HSCP Social Work Forums (established April 2022)
- Imatter and pulse surveys

7.3 Learning and Development

The Learning and Practice Development Sub-group has continued to meet virtually on a quarterly basis to oversee the implementation of the Clackmannanshire and Stirling Multi-Agency Public Protection Workforce Learning and Practice Development Strategy 2020-2023.

Throughout another challenging year due to the pandemic we have continued to maintain a full multi-agency public protection training calendar. Multi-agency training continues to be facilitated virtually.

Multi agency Child Protection Training

Key training priorities have included the learning from local ICRs, Training on neglect toolkit, IPSU Assessment Framework & Guidance and Safe & Together Framework. To ensure child protection remains central to practice we continue to deliver monthly multi-agency child protection for the general contact workforce training.

Throughout the year new e-modules have been developed in partnership with Police Scotland 'C' Division and with the permission of other local authorities.

In addition to the new e-modules we have in partnership with NHS Forth Valley developed and delivered Vulnerability of Babies training and Harmful Sexual Behaviour training. Both are accessible to services and agencies across the Forth Valley area.

In readiness for the implementation of E-IRDs we have developed and delivered IRD training. This training provides the foundations of what should be part of the IRD process. This includes what is an IRD, the priorities of an IRD, how to prepare and participate in an IRD and the IRD decision & planning process.

The following Forth Valley groups continue to progress with specific learning & practice development opportunities:

- The Child Sexual Exploitation Project Board continues to meet to plan further actions required to raise awareness of CSE amongst Children & Young People, Licenced premises and Parent Councils.
- The Impact of Parental Substance use (IPSU) Steering Group & implementation group has refreshed the IPSU guidance to reflect changes in current Government policy. The IPSU training and guidance has been relaunched and includes a podcast with inputs from the ADP Lead Officer, a parent who has been part of an IPSU assessment and a practitioner who has conducted an IPSU Assessment with a parent.
- The Age of Criminal Responsibility (ACRA) Steering Group & Implementation Group has posted the national ACRA awareness training with guidance on the Forth Valley Practitioner Pages for practitioners to access. The local authority has identified social work practitioners to attend the national ACRA training for social workers. On going discussions on how Forth Valley will continue to implement the necessary procedures in regards to the change in legislation and what this will mean for practice and interventions with children and their families.
- The Missing Children and Young People Steering & Implementation Group have secured each of the Residential unit's access to complete the Return Discussion emodule developed by Missing people. This will then inform the revision of local procedures in response to children and young people reported missing. Forth Valley is now included in the next round of the national missing children and young people and vulnerable missing adults pilot. This will help progress further learning and development opportunities.

Follow up Evaluation- Learning & Practice Development 2021/22

Participant Neglect Toolkit Training

"Just wanted to say that I found the training this morning really useful. Despite my mic not working and not receiving the pre-course reading prior to today, I got a lot out of the material presented and listening to the discussions. I am relatively new in post and I work with a family that are on the CP register for neglect. This tool will be helpful in assessing more objectively where the family are at and what we perhaps prioritise, in terms of the different areas that neglect is divided into. Thanks"

Participant Protecting Children with Disabilities Training

"I felt the course was informative and upto date with evidence based practises. I have knowledge of this subject but it is always good to go over it again. "

Participant Inter agency Child Protection Key Processes Roles & Responsibilities Training

"From the 3rd sector, I found the course really informative and useful for me to have a whole picture of the processes in place by various professionals"

Participant Trigger Trio Training

"I had never thought of the impact of all three elements discussed from a child's perspective and felt all presentations really pushed this aspect, as working in adult services it can be easy to forget about the impact on others particularly children."

Learning & Development Priorities for the year ahead

- National Guidance for Child Protection in Scotland

- Revised GIRFEC Guidance
- Specific Child Sexual Abuse Training
- Returned Discussion for Children Missing from Care

Adult Support and Protection

Throughout another challenging year due to the pandemic we have maintained a full multi-agency public protection training calendar. Multi-agency training continues to be facilitated virtually. To ensure adult support & protection remains central to practice we continue to deliver monthly multi-agency adult support & protection for the general contact workforce training.

Throughout the year new e-Learning modules have been developed in partnership with Police Scotland 'C' Division, Life-pod and with the kind permission of other local authorities we have been able to upload other e-modules. These include: Power of Attorney, Person Centred Recording, Making Protection Personal, Defensible Decision making & Professional Curiosity.

We have continued to offer a multi-agency public protection training calendar over the course of the year. This year in partnership with Falkirk Council Adult Support & Protection IRD training has been developed. This is in readiness for the implementation of E-IRDs. This training provides the foundations of what should be part of the IRD process: this includes what is an IRD, the priorities of an IRD, how to prepare and participate in an IRD and the IRD decision & planning process.

We have facilitated Council Officer Refresher training. This refresher training was last delivered November 2019- January 2020. In parallel Adult Support & Protection Investigative Interviewing Skills Training has been facilitated. This training was delivered in two parts. Council Officers asked to read and complete a Theory and Reflective Workbook followed by an observed simulation exercise. Council Officers are asked to take the reflective workbook and observed feedback into supervision.

In preparation for the launch of the HSCP Hoarding & Self-neglect Strategy, the National Coordinator for Adult Support & Protection facilitated a 2-hour seminar on The Impact of Hoarding and How it Affects Family Functioning. This was followed up with an Introduction to a Hoarding Podcast with an interview with the National Coordinator for Adult Support & Protection discussing what is hoarding, the research and tools available in the assessment of hoarding.

As part of National Hoarding Awareness Week a local Forth Valley wide multi-agency professional's seminar was held to launch the HSCP Hoarding Self-neglect Strategy. This was alongside a Public Awareness event with stalls from various agencies on what help is available locally to help those affected by hoarding.

To help promote Adult Support & Protection awareness amongst GPs, Registrars and Consultants an Adult Support & Protection Podcast has been shared. The podcast supports the Adult Support & Protection posters that have been designed to raise the awareness and complement Adult Support & Protection training for each of the following professional groups: medical staff, nursing staff and social care staff.

Follow up Evaluation- Learning & Practice Development 2021/22

Participant Council Officer Refresher Training

“Can I just say that was one of the best refresher sessions I have been involved with. It had just the right balance of reading, listening, participating and learning. I can see the rationale behind a slightly longer session.”

Participant Council Officer Refresher Training

“The new training is well constructed and informative, especially helpful when considering the reasons why an adult may be unwilling or unable to engage in relation to the 3 PT. The discussion around capacity is very relevant and helped by setting out the legal definition. Also very helpful to include links and references for associated learning”

Learning & Development Priorities for the year ahead

- Adult Support & Protection Renewed Guidance
- Adult Support & Protection Case Conferences
- Adult Support & Protection Risk Assessment & Management of Risk
- Returned Discussions for Vulnerable Missing Adults
- Impart the Learning from recent ICR Learning Reviews

8.0 Key Priorities for 2022/2023

The context and complexity of need in our communities continues to be challenging with a higher than average care experienced population, increased levels of domestic abuse, rising poverty and higher levels of deprivation currently being experienced. The present cost-of-living crisis only risks making the situation worse. The impacts of an ageing population, increased demand on services within a challenging and uncertain financial environment are significant. Notwithstanding the additional challenges as we recover from the Covid pandemic, impacts on staff wellbeing and ongoing recruitment difficulties.

In working towards recovery and renewal from the pandemic, our social work and social care services, working in partnership with wide range of agencies, continue to focus on delivering our local response to meeting the needs of our communities who require care and support through a range of service transformation programmes. Our *Be the Future* Programme sets out the ambitious programme of transformation which the Council is taking forward in collaboration with our partners and our communities.

We remain persistent in our commitment to tackling poverty and mitigating its impact for children, families and communities. This work is underpinned by our commitment as early adopters of the Scottish Government's Wellbeing Economy that seeks to build an economy that is inclusive, promotes sustainability and resilience in delivering local growth and wellbeing.

Children's Services priorities:

- Conclude work on the People service redesign to support improved ways of working with and for families and communities.
- Deliver on the core priorities of our Integrated Children's Services Plan 2021/24. Integrated work streams include our continued work delivering on The Promise, Family Wellbeing Partnership, STRIVE and Mental Health Transformation. This includes development of a new early intervention service.
- Through the Clackmannanshire Family Wellbeing Partnership developing opportunities to support families and tackle inequalities through early intervention activities, flexible childcare and routes into employment.
- Continue to develop STRIVE as an agile business model extending its early intervention scope by developing new and creative ways of working together to prevent crisis.
- Develop and implement a strategic approach to commissioning third sector children's services that aligns with our priorities in our Children's Services Plan and delivering on The Promise relating to strengthening prevention, early intervention and whole family support.
- Development of the new Scottish Child Interview Model (SCIM) for joint investigative interviews with our Forth Valley partners that will ensure children and their families receive the practical and emotional support they require to recover.

- Continued focus on increasing local family based carers and strengthen the support provided to kinship and foster carers.

Justice Service's priorities

- Conclude restructure of Community Justice Team to better meet current operational needs.
- Continue to implement the Non court mandated Caledonian Programme.
- Implement electronic bail supervision.
- Continue to develop our whole system response to domestic violence in collaboration with our partners as well as increased development in areas of bail supervision, structured deferred sentences as alternatives to custody or CPO disposals.
- Redesign of Youth Justice Service in partnership with Children's Services.
- Support development of the new 2023–28 Community Justice Outcome Improvement Plan.

Adult Services/HSCP priorities

- Deliver on the core priorities of the Health and Social Care Partnership Transformational Plan and programme of work which support staff and services to meet the demands of our changing population: Care Closer to Home: Caring and Connected Communities: Primary Care Transformation.

This includes:

- Development of a Commissioning Consortium approach to deliver and reinforce a whole systems approach to strategic commissioning.
- Design RAPID model of care and Permanent Rural Care at Home team
- Delivering a TEC First approach.
- Development of new Strategic Commissioning Plan.
- Implementation of the Self Directed Support Implementation Plan.
- Develop and implement the Integrated Strategic Workforce Plan 2022-2025.

Sharon Robertson
Chief Social Work Officer

Report to Audit & Scrutiny Committee

Date of Meeting: 27th October 2022

Subject: Police Performance Report for Clackmannanshire October 2021 to March 2022

Report by: Local Police Commander

1.0 Purpose

- 1.1. The purpose of this report is to provide the committee with information on the performance of Police Scotland in the Clackmannanshire local authority area for the period 1st October 2021 to 31st March 2022. The statistics provided at the rear of the report cover the financial year.
- 1.2. The report is aligned with the headings of the [Clackmannanshire Local Policing Plan 2020-2023](#) priorities (i.e. **Responsive to the concerns of our communities, Protecting people most at risk from harm, Promoting confidence through our actions, Enhancing our collective resilience to emerging threats, and Road Safety and Road Crime**).
- 1.3. The Clackmannanshire Police Performance Report (Appendix 1) contains the current information on performance against selected performance indicators. This report provides complementary information to that in the table to present a summary of performance of policing in Clackmannanshire Council area and also identifies emerging trends, threats and issues.
- 1.4. Data for this report is sourced from Police Databases that are subject to changes as enquiries progress. They can be best regarded as Point in Time figures. 3 year average figures are not available for all measures. The information in the table should be regarded as provisional.

2.0 Recommendations

- 2.1. It is recommended that committee notes, comments on and challenges the report as appropriate

3.0 Considerations

- 3.1. Attention of members is drawn to the Management Information now published via Police Scotland Website which can be found at the following location - <https://www.scotland.police.uk/about-us/what-we-do/how-we-are-performing/>

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3.2. Some of the risks and threats which continue to present in Clackmannanshire are:

- Domestic Abuse
- Crimes of Violence
- Possession and Supply of Controlled Drugs
- Cyber Fraud

3.3. By their nature, these remain longer-term threats and Forth Valley Division continues to focus on intervention and enforcement to address them.

3.4. There were no significant new operational issues emerging during the previous reporting period.

3.5. There were no significant new operational issues emerging during the current reporting period.

Author(s)

NAME	DESIGNATION	TEL NO / EXTENSION
Laura McNab	Command Support, Forth Valley Division	101

Approved by

NAME	DESIGNATION
Alan Gibson	Chief Superintendent Forth Valley Division

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CLACKMANNANSHIRE COUNCIL

AUDIT & SCRUTINY COMMITTEE



POLICE PERFORMANCE REPORT
October 2021 – March 2022

ALAN GIBSON
CHIEF SUPERINTENDENT

OFFICIAL

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BACKGROUND TO THIS REPORT

As from April 2013, the Police and Fire Reform (Scotland) Act 2012 has required Police Scotland to produce and publish a Local Policing Plan (LPP) for each local authority area. The LPP clearly sets out the policing priorities for Clackmannanshire.

Performance in relation to the identified policing priorities is monitored on an ongoing basis. Six monthly reports are produced to allow scrutiny by Clackmannanshire Council Partnership and Performance Committee. This report covers policing activity from the 1st October 2021 to the 31st March 2022 and statistics are provided at the rear for the financial year.

In order to support effective scrutiny and determine whether our preventative approach is having a lasting positive impact, members of the Public Safety Committee will consider information linked to the priorities outlined within this plan which include:

- Responsive to the concerns of our communities
- Protecting people most at risk from harm
- Promoting confidence through our actions
- Enhancing our collective resilience to emerging threats
- Road Safety and Road Crime

This report will make reference to crime groupings. Groups 1-5 refer to an amalgamation of five crime groups. They are Group 1, consisting of violent crime; Group 2 covering sexual offences; Group 3 covers a wide range of crimes of dishonesty, Group 4 includes vandalism, fire-raising and malicious mischief; and group 5 includes proactive crimes. All statistics are provisional and should be treated as management information.

RESPONSIVE TO THE CONCERNS OF OUR COMMUNITIES

Reckless Conduct

Community Police Officers (CPT) were made aware of a video going viral on Facebook, showing a female apparently injecting heroin into her groin and exposing herself within a public bus stop during the day. The actions by this female exposed numerous members of the public and children to the risk of harm from the discarded needles and placed them in a state of fear and alarm at the openly reckless conduct by the person involved.

Officers secured the footage from the social network site, identified potential witnesses and obtained statements from them. The officer, through her local knowledge, identified the female suspect and apprehended her. Through diligent investigation and responding quickly to community unrest, this increased the confidence in local policing and reduced community tensions.

Proactive Drugs Search Operation

The CPT had been receiving information about a large quantity of controlled drugs being stored at an address in the area. Due to the volume and frequency of information being received, the CPT craved and were granted a drugs search warrant for the address from the Sheriff. Upon the warrant being received it was established the resident had vacated the address to live up North, returning once a week to check on the property.

The team arranged for a council joiner and a police dog handler to attend along with them and the warrant was executed. Whilst executing the warrant a number of neighbours showed an interest in the operation and officers provided reassurance and advice. The neighbours all stated they were very impressed with the police action which increased the confidence in local policing to the communities.

Antisocial Behaviour – CPT Intervention

PC Katie Lawson, community officer covering Alva and Tillicoultry, identified an increase in calls to Police from a local resident regarding antisocial behaviour and persistent bullying behaviour directed towards their family, property and their son. This was from a local youth and had been ongoing for four years. PC Lawson reviewed all the relevant calls to police and met with the victim to gain an understanding of the ongoing issues. PC Lawson developed a strategy to resolve the problem, made contact with relevant partners in housing, social work and education and visited the youth responsible and his parents, providing clear instructions and a warning, should the problems persist.

As a result of PC Lawson's early and effective intervention the antisocial behaviour stopped and the victim sent an email of thanks to PC Lawson regarding her good work and problem solving capabilities.

Operation Christmas – Tackling Acquisitive Crime

The objective of Operation Christmas is to conduct high visibility patrols and provide reassurance to the public and retailers in response to the increase in acquisitive crime around Christmas, focussing on Alloa Town Centre and Sterling Mills, Tillicoultry.

In December 2021 PC Miller from the CPT conducted foot patrols in Sterling Mills where he proactively recovered £175 worth of stolen property stolen from the Nike store and drugs were also recovered from a known drug user. Two parking tickets were issued for a driver parking within a disabled bay and another for parking on double yellow lines. This proactive work helped to increase trust and confidence in police from the public.

Violent Crime

In January 2022 a particularly violent incident occurred where a male was attacked by two males within a house in the Clackmannanshire area. During this assault weapons were used to beat the victim and stab him, causing a serious injury. The victim was reluctant to involve police and did not report the incident however his mother notified police.

Response officers attended and after a considerable time built up a rapport with the victim by gaining their trust and explaining safeguarding procedures to the victim, who was fearful of the consequences of reporting the incident to police. As a result of the information provided by the victim, officers were quickly able to obtain the required evidence and identify and apprehend the two offenders.

All of the enquiry was completed the same day by the officers, which helped to keep the public safe through the early apprehension of two violent offenders. The feedback received from the neighbours at the location of the incident was very positive with praise given to the swift and robust action of the police, keeping the community safe.

Detecting Serious Crime

Detecting serious crime remains a priority for police, as is securing evidence, protecting the victim and apprehending offenders at the earliest opportunity to ensure public protection.

In January 2022 two males attended at an address in Sauchie, forced entry to a house by kicking the door open. The victim exited and two males assaulted him by striking him to the head and body with pieces of wood, resulting in him sustaining serious facial injuries.

Response and community officers immediately attended, secured and preserved the scene, obtained initial information from witnesses and identified one of the suspects. The local Criminal Investigation Department (CID) attended along with a Scene Examiner. During the subsequent examination a footwear impression was recovered along with weapons believed to have been used in the assault. Following

extensive enquiries, police identified and arrested both suspects who were arrested and the recovered footwear worn at the time of the crime by the suspect matched the impression taken from the scene.

Through joint internal working, this resulted in a positive outcome, detecting serious crime and safeguarding of the victim.

Police Funding for Community Clubs

The local Sauchie community officer, PC Baillie has been involved in supporting the local football group which provides a valuable service in the community to divert people away from antisocial behaviour. Sauchie Juniors Football Academy operate a community training facility at the Tullibody Civic Centre using a disused bowling green. This has serviced the community for over ten years but both the club and PC Baillie identified a need to upgrade their club equipment.

The Academy has over 250 members ranging from 3 years to 74 years of age and provides fitness, education and wellbeing services for all involved, not just football, including a walking football session and disability provisions for those in need.

This is all community based and relies on funding to operate. No membership fees are taken and the club collaborate with local partners to offer counselling, support, education and guidance.

PC Baillie secured community funding for the academy and has now presented the academy with enough money to provide a fantastic range of equipment for the academy and enable them to make their service available to more people and continue the excellent service it provides for many years to come.

Weapons and Antisocial Behaviour

In February 2022, officers were called to deal with a disturbance from a residential address in Clackmannan. The sole male occupant was shouting, swearing and playing music at an excessively loud level. Numerous officers attended due to the previous knowledge of the male, who is a career criminal and has a history of disorder, violence, possessing weapons and assaulting police. A subsequent call was received reporting the male was in the street brandishing a piece of wood and a metal pole.

Upon officers' arrival, the male was back in his address and refused to answer the door and had his music blaring. The officers utilised the relevant legislation and gained entry to the property and the male was arrested. Officers were alive to the male's violent history and his use of weapons and observed a Taser device within the property. The device was safely recovered and the male was charged with numerous offences and appeared in court from police custody.

Acquisitive Crime

From November 2021 to January 2022, numerous incidents of shoplifting occurred at the three main supermarkets in Alloa. Twelve separate incidents were reported and recorded with relatively high value goods being stolen, including television sets. The community officer began collating the details of these incidents and the images captured of the sole offender. It transpired the offender was not known to any of the

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local officers in Forth Valley. The officer identified key times the thefts occurred, which tied in with the approximate times of a train arriving at Alloa train station.

The officer carried out patrols around Alloa railway station on specific days/times and observed the male, captured on the CCTV, leaving the train station heading for a supermarket. Colleagues apprehended the male who was in possession of tag cutting equipment used in recent thefts. The male was charged with all the thefts and officers shared the information with Retailers Against Crime Scotland (RACS), should there have been any further undetected offences across the country attributed to the offender. The three supermarkets thanked the police for the effort put into this case and for identifying the serial shoplifter. Security advice was provided to allow the supermarkets to put measures in place to prevent any reoccurrence.

Vandalisms in Tillicoultry

Local community officers in Tillicoultry were made aware of numerous incidents of vandalism in the village in February 2022, particularly in relation to the defibrillator situated outside a local pharmacy, to the electronic bus timetable at Murray Square and other nearby vehicles and houses that were damaged.

Community officers PC Miller and PC Lawson conducted enquiries into all these incidents of vandalism, all of which were detected and local young people were charged and reported for the crimes committed. Both officers continued to conduct extra patrols in the village, to deter any future incidents.

PROTECTING PEOPLE MOST AT RISK FROM HARM

Drugs Search – Protecting the Vulnerable in our Communities

Information was received by the CPT, from concerned residents of an address in Alloa, relating to the number of persons attending a specific address for short periods. From the information received there were indications that drugs were being sold from the premises. As a result, the team craved and were granted a drugs search warrant for the address from the Sheriff. Officers attended the address, executed the warrant and three females were found within however no trace of controlled drugs.

The female occupier was noted to be a heavy intravenous heroin user who, from her condition and appearance, was suffering badly from the effects of drugs, which were having a clear impact on her health. The female was provided with numerous contacts and signposted to support agencies by police, to aid her with her medical issues and provide assistance in terms of drug withdrawal.

Despite the warrant operation recovering no controlled drugs, the officers took the opportunity to provide care and support for the female who was spiralling into a very unhealthy and dangerous state of health as a result of heavy drug use, to improve her wellbeing.

Protecting Vulnerable Children

Tillicoultry community officers had been dealing with a ten year old boy for a number of months who had come to the adverse attention of police initially for disorder related incidents. His offending then escalated to include persistent criminal damage, violent incidents and theft.

Officers led regular partnership meetings with support agencies, adopting a problem solving approach to deal with the incidents and address the root cause. After extensive collaboration, the child is now being helped by Barnardo's and are some way to identifying potential learning difficulties that may be contributing to the unruly behaviour displayed by the child, in order to ensure that the correct interventions can be put in place.

Public Protection

In November 2021, two separate crimes were reported in quick succession in the Dollar and Muckhart areas of Clackmannanshire. These crimes occurred on different dates but were reported to police on the same date. The nature of the offences involved a male following lone females on footpaths and in wooded areas, walking closely behind them to their alarm and distress.

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The community officers took ownership of these incidents, conducted systematic and diligent enquiries, whereby they were able to link the male to the two reported incidents, which showed a pattern of concerning escalation.

The day the incidents were reported, the CPT completed the enquiry by identifying and arresting the male. He was charged for both incidents and held in police custody to appear at court the next day before being remanded pending the trial date.

This extremely diligent police work, due to the extensive local knowledge of the CPT, led to his quick arrest, protecting the public. The details of the arrest was circulated on social media by the police which prompted a wealth of positive comments, increasing public reassurance for women and girls and increasing the trust and confidence in the police.

Elderly and Vulnerable Community Groups

PC Leigh Allen, the community officer for Tullibody has been actively involved in ensuring personal safety is a priority for elderly and vulnerable community groups. Due to the work he has done with other community groups, he was approached by the Women's Institute to provide some advice to their organisation.

In November 2021, PC Allen attended the Scottish Women's Institute within Menstrie Parish Church and provided a safety input for attendees around bogus workers, scam calls and internet based crime. The session was very well attended by the group and increased their confidence

This information session was very well attended who took a lot of information away which will increase their confidence of the group to challenge such scammers and notify the police, to keep themselves safe. PC Allen received a card thanking him for his input and the manner in which it was presented.

Funding Support for new Community Groups

The Menstrie community identified that the area was not providing valuable support and education for local youths outside of school hours. PC Allen, the community officer, in consultation with the local Community Support Group managed to identify premises from where they could create and start up Menstrie's first youth club.

PC Allen sought police funding to support the club which was approved and gave the group a significant sum for them to purchase club equipment. The club provides a safe base for children and young adults to meet, socialise and receive help and support, whilst creating an enjoyable and friendly environment for all. The club plan to join with local partner agencies and volunteer groups to provide drug and alcohol awareness, trauma counselling and support for children living in poverty.

This has been a great initiative to be part of from the outset and the support provided by police has been greatly received by the community.

Mental Health Vulnerability

In January 2022, police were called to an address in the Alloa area by a concerned neighbour reporting that the male occupier sounded as if he required help. Community and response officers attended. On arrival they were met by a male who was in mental health crisis. The officers communicated with the male through the closed door and the male's condition deteriorated, resulting in him causing harm to himself by striking his head off the ground within the property.

Due to the potential for serious injury being caused, police identified quickly the requirement to enter the property as quickly as possible to prevent harm being caused to the occupant. Additional officers were requested to effect safe entry by force. Prior to the equipment arriving at the locus, the community officers managed to negotiate with the male and he opened the door to the address, before continuing to cause himself further harm.

The officers in attendance knew the male to suffer from several confirmed mental health conditions which had been exasperated by alcohol and prescription medication. His condition was also identified by the officers as potentially Acute Behavioural Disturbance (ABD) which is classed as a medical emergency, so an ambulance was summoned.

Officers were required to periodically restrain the male to prevent him harming himself for almost an hour until the ambulance arrived. The male was escorted to hospital in the ambulance with four officers to prevent him further harming himself. This continued for several hours at the hospital until his condition eased.

This was a purely medical matter with no criminality but the officers spent considerable time preventing the male harming himself. The efforts by the officers was exemplary considering the strength of the male and the condition he was in. The male ultimately received the appropriate medical treatment and suffered no injuries.

The mother of the male was present at the location and she commented on the exceptional efforts by the officers involved and the care and support they showed to her son who was having a mental health crisis.

Cultural Differences

The community officers in Clackmannan, PC Ritchie and PC Reiter, have been heavily involved with the local primary schools, delivering inputs and dealing with issues affecting the wellbeing of the pupils. Due to this regular interaction with pupils and staff, officers quickly identified a case of bullying involving primary seven pupils. The incidents involved bullying borne out of poor attitudes and intolerance of other cultures and around race and age, and a general lack of respect for the property of others.

The officers engaged with the group and began an early intervention process mirroring an initiative that they were aware of from the Stirling school network. The officers liaised with the Community Learning and Development team and by working in partnership they delivered a six week programme to address the identified issues

and encourage inclusion and understanding of different perspectives and the impact of behaviours on others.

Tackling Youth Disorder - Tullibody

During February 2022, there was serious spike in antisocial behaviour in Tullibody. The offenders were youths that had not previously come to the attention of police in any significant way. On return from annual leave when these incidents had been perpetrated, local community officers, PC Allen and PC Boyle, engaged with multiple groups across the community with a view of ascertaining the names of those responsible.

Visits were then carried out with all of the children and their parents; work conducted at school in a group setting and assistance sought from Intensive Family Support.

As a result of the work carried out the ASB stopped almost instantly and really promising meaningful work is being conducted in the background with the support of Alloa Social Work, police and Barnardos. The main individual responsible was identified as being vulnerable in various respects that police had been unaware of and support networks have now been put in place for the child.

Community Partner Engagement

PC Miller, Tillicoultry community officer has been involved in work being carried out by the newly formed Ochil Youths Community Improvement (OYCI). This is a new youth action charity for young people in the local area. After a huge refurbishment, it opened at premises in Tillicoultry.

Police have engaged with the organisers who run the OYCI and the venture is shaping up to be a fantastic addition to the local area, providing such things as outdoor education, cyber games creation and cooking classes, as well as a safe space for youths to come and make friends to support their wellbeing. Their services are free of charge which removes any financial barriers which may otherwise stop a lot of young people from participating in these kind of activities.

The group are currently working with an established database of vulnerable children but there is an open link between the group and the local police for referrals for those who meet the criteria, ensuring all children in need are considered.

The group have been extremely grateful for the input by local police and the continued support that has been offered.



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Safeguarding Through Rapid Intervention (STRIVE)

In February 2022 STRIVE received a referral from council housing regarding a male who had recently moved into one of their tenancies. At the time of him being accommodated, the housing officer was made aware he had some complex needs due to suffering from mental health issues, likely as a result of his time served in the army. The housing officer was informed that the male had support in place however she quickly became concerned he did not have sufficient support when she noted a deterioration in his behaviour. This coincided with the male beginning to come to the attention of police regarding poor mental health, misuse of alcohol and associated behaviours.

STRIVE screened the case and were able to quickly establish that he was not known locally to a GP practice or any mental health services. Subsequently STRIVE made contact with his support worker from the local authority area he had moved from and she informed STRIVE the male had support from a charity but due to Covid this support was limited to sporadic phone calls which was simply not enough. The male had moved from supported accommodation where he had intensive support and was clearly struggling with the sudden change of support available to him. The case had not been transferred to the new local authority mental health service.

STRIVE brought this to the attention of Change Grow Live (CGL) and mental health services who both agreed to attempt engagement with the male as a priority. CGL very quickly made contact with the male who was delighted at the opportunity to work with their service and has engaged well ever since.

With the support of STRIVE and CGL the male has been allocated to psychiatry services where his complex needs have been assessed and a package of care agreed, as appropriate. The male has not come to the attention of either housing or police since this support was put in place.

STRIVE Intervention

In January 2022 STRIVE received a referral from child care social work regarding a female who had young children and had fled domestic abuse. The case was complex in respect that the female spoke very little English, was not particularly keen to engage with services and, as it quickly transpired, had no access to any funds. As she had pre-settled status in the UK, she had a specific condition that she would have to work prior to being entitled to any benefits. As such, the female was left unable to claim any benefits for herself or her children.

STRIVE held an emergency meeting during which it was agreed that Clackmannanshire Council would house the female and her children, to allow time to resolve the issue with benefits. They also agreed to fund the cost of the electricity and gas on a temporary basis. STRIVE provided the female with a mobile telephone and essentials were provided for her and the children such as clothing, food and some emergency funding. Referrals were made to SHAKITI and OPOKA charities to

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provide the female with the relevant support in respect of the domestic abuse and assistance with immigration issues.

It quickly became apparent that the lady was suffering from mental health issues when she began coming to the attention of Police due to some very concerning behaviour. STRIVE held an emergency meeting with mental health services at which time they agreed to assess the female which subsequently resulted in her having to be detained at hospital. As social work were already involved and aware of the situation, alternative care was able to be arranged for the children quickly.

STRIVE kept in regular contact with the hospital during the female's eight week stay with them and took part in her discharge planning meeting to ensure mental health professionals were fully aware of the situation and the best needs of not only the female, but also her children were considered. The lady is no longer coming to the attention of police.

PROMOTING CONFIDENCE THROUGH OUR ACTIONS

Proactive Licensing Checks



During October 2021, whilst coming out of the most recent Covid lockdown and returning to social normality, the Divisional Alcohol and Violence Reduction Unit (DAVRU) officers conducted proactive licensing visits to all licensed premises within Clackmannanshire. The purpose of these visits was to ensure that all the licensed premises were up to date on training, documentation and legislation changes as a result of the new COVID 19 guidance, particularly in relation to night clubs with dancefloors, requiring patrons to provide proof of their COVID 19 passport to gain entry to said premises.

These licensing visits have proved extremely beneficial in sharing experiences and guidance between establishments, all to ensure customers and staff were kept safe and free from harm. The visits have included advice and guidance for licensing staff and customers on the dangers of drink spiking, following national news coverage. Licensed premises visits continue and form part of every weekend policing plan.

Scottish Women and Girls in Sport Week

In October 2021, PC Lorna McPherson and PC Claire Harman from the CPT provided assistance in policing the Alloa Park run for the fifth annual Scottish Women and Girls in Sport week. This event took place in West End Park, Alloa. PC Harman took the opportunity to participate in the run, in full police uniform, to assist in raising awareness and increase visibility and coverage of women's sport.

Supporting Volunteer Community Groups – Flood prevention

The Alva and Tillicoultry community officer, PC James Miller, has been actively involved in supporting and engaging with volunteer groups working on flood defences. The area is a hotspot due to the location of the River Devon and the flooding routinely causing road closures and damage to properties.

As a result several groups have come together to create a flood defence partnership, which has also purchased flood defence equipment. By working with the volunteers and emergency service partners, a real time exercise was carried



out to test the process and equipment. This exercise went extremely well and prepared the partners for protecting life and property in the area during any future incident.

Festive Safety Awareness

Officers from the Police Preventions and Interventions team at Stirling deployed in Clackmannanshire at both Sterling Mills and Alloa Town Centre as part of Operation Festive. This work, along with the dedicated patrols by the Clackmannanshire officers, provided engagement and reassurance to members of the public. A lot of positive engagement was had with welcome praise from the public. Crime prevention and personal safety advice was delivered by police and partners which was well received.

Thirteen members of the public were also trained in the administration of Naloxone, to help keep vulnerable people safe. Numerous partners attended also including Transform, Change Grow Live, Neil's Hugs and Text Clacks. All the security staff working in the area have also now been trained in the administration of Naloxone.



Operation Festive - December 2021

During the month of December each year, Clackmannanshire Police undertake an operation, mainly within Alloa Town Centre to target recidivist offenders from committing crime in the town centre, targeting shops and the public who will generally carry more cash with them due to the festive shopping period. This year saw the Operation continue under Operation Festive.

As a result of the proactive patrols:

9 uninsured vehicles were seized by police with 9 people reported for road traffic offences.

2 drunk drivers were arrested and reported to the court for driving whilst intoxicated.

7 drugs cases were detected for possession or supply of controlled drugs and a substantial quantity of drugs and cash was recovered, with some offenders appearing at court from custody.

3 offenders were apprehended for breaching specific bail conditions imposed on them by the court.

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120 hours of foot patrol by uniformed police officers.

64 hours of cycle patrol by uniformed police officers was also completed, keeping the



communities of Clackmannanshire safe.

Protecting Vulnerable People – Development of Training

Part of the DIVERT strand of the Scottish Government Serious and Organised Crime Strategy is to divert people from becoming involved in serious and organised crime.

During this reporting period, specialist officers from our national Serious Organised Crime Prevention team worked with the Public Protection Learning and Development Advisor for Stirling and Clackmannanshire councils to develop an e-learning module on the criminal exploitation of adults and children by organised crime groups. This training module is now available for social work, education and housing staff in the local area with work ongoing to extend this package to NHS and third sector partners for inclusion in their learning platforms.

Forth Valley Chinese Community

An information session was hosted by our Prevention and Interventions team for the Forth Valley Chinese Community. An interpreter was utilised, with information being

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provided on a variety of topics including the pandemic, scams, hate crime, anti-social behaviour, methods of reporting to police and community concerns regarding drug issues.

ENHANCING OUR COLLECTIVE RESILIENCE TO EMERGING THREATS

Substantial drugs recovery – Alloa – Disruption in organised crime and protecting the public



In October 2021, community officers uncovered a cannabis cultivation at a private address in the Alloa area. Whilst on patrol dealing with parking problems, the officers became suspicious of activity they had observed. A drugs search warrant was craved and executed at an address, resulting in a cannabis cultivation being found with controlled drugs to the value of £20,000 being recovered and a substantial quantity of cash was also seized in connection with the proceeds of crime. Two males were subsequently arrested and charged in connection with producing and being concerned in the supply of controlled drugs and were held in custody to appear at court.

This is a great example of proactive policing, where local officers were addressing local concerns regarding problem parking. Whilst dealing with these issues, their attention was drawn to suspicious activity of two males nearby, resulting in a substantial recovery of drugs and cash with 2 males being apprehended. This activity has kept drugs off our streets and prevented criminals from benefitting financially from producing controlled drugs.

Drugs Search Warrant – Proactive Policing

Intelligence was received regarding the potential for a cannabis cultivation being grown at an address in the Tullibody area. As a result, officers from the CPT craved and were granted a warrant from the Sheriff to enter and search the premises.

In February 2022, the warrant was executed and officers found an operational cannabis cultivation with 21 cannabis plants growing within. The set-up of the cultivation was sophisticated, with LED lights to reduce the heat emitted from the growing area and the value of the cultivation was estimated at around £6k.

The electric meter was bypassed causing damage to the main power supply to the address and neighbouring houses, which was made safe by Scottish Power. Further controlled drugs were found in the premises and the operation was an excellent example of disrupting criminals involved in the sale and supply of drugs.

Substantial Drugs Recovery

Officers from the CPT and our Divisional Alcohol and Violence Reduction Unit (DAVRU), craved and were granted a Sheriff search warrant to enter and search an address Tullibody. This warrant was granted on the information and intelligence gathered by local officers, indicating that the resident of a flat was involved in producing and supplying cannabis in the local area.

In March 2022, officers executed this warrant where a substantial cannabis cultivation was uncovered. The male resident and producer of this controlled drug was arrested and charged with producing and selling cannabis. He was further charged with by-passing his electricity meter to operate the cultivation without having to pay the substantial energy cost involved in its production. The by-passing of his meter put all residents of the block of flats potentially in danger.

The recovery of drugs from this address exceeded £25,000, which were all destined for the streets of Clackmannanshire, to the detriment of the local community. This was an excellent example of proactive intelligence gathering and enquiry by the local officers.



Fraud

Fraud and scams remain of key concern with numerous reports being received of scams being carried out using a number of different methods which include:

- Doorstep scams;
- Impersonation fraud;
- Romance fraud;
- Bogus investment opportunities;
- Energy and environmental deals / product scams; and
- People phishing for personal data by purporting to be from a reputable company or agency.

A social media campaign has been delivered to warn people of what to look out for and how to keep themselves safe. To ensure we are able to reach those members of our communities who do not have access to social media, we placed articles within print media and organised leaflet drops in key areas to spread this information widely.

We continue to work with local banks and Trading Standards as part of the banking protocol to identify vulnerable victims who are in the process of being defrauded of funds from their bank account and intervene to prevent this from happening. Officers have visited local banks and provided advice to customers about how they can protect themselves from a range of scams.

Work has also been undertaken with local supermarkets to raise awareness amongst staff of gift card fraud. A protocol has been established to ensure attempted high value purchases are escalated to store management prior to completing the sale and police are notified where criminality is suspected.



Counter Terrorism

Centre for Protection of National Infrastructure (CPNI) presentations have been undertaken and attended by various organisations including Forth Valley Colleges. These presentations focused on security practices and specific security infrastructure which can be added to Publicly Accessible Locations (PALs) to mitigate the effect of any terrorist attacks.

Specific presentations were delivered to members of the Multi-Agency Contest Group and covered a specific case study about Involuntary Celibates (InCels) and their ideologies.

Third Party reporting training was also undertaken with Victim Support Scotland for their staff who cover all the Sheriff Courts in Forth Valley. Plans are in place to train all of their volunteers who will have meetings with families and survivors of criminal acts.

Serious Organised Crime Interventions

Serious organised crime groups can target a multitude of different areas in order to take advantage of members of the public. One such area of risk identified is the way some groups seek to exploit individuals to enable them to use their homes as a base for criminal activity.

In order to help support housing staff to identify the warning signs, Police Scotland's national serious and organised crime interventions team delivered a virtual training input to local authority housing officers across Forth Valley in February. This session was attended by over 120 housing officers.

The input sought to raise awareness of the signs of criminal activity in areas such as controlled substance production, 'county lines' drug dealing and human trafficking.

The event was well received and it is hoped the information provided will increase staff confidence to identify and report suspicious activity to police which will, in turn, help to protect vulnerable members of our communities from the harms caused by serious and organised crime groups.

High Value Frauds

Between October 2021 and March 2022 a series of high value frauds were committed across Scotland that were observed to be similar in victim selection, methodology and perpetration. This crime series involved suspects contacting elderly victims claiming to be from the fraud department of their bank and identifying irregular transactions on their account; at times suggesting that bank staff were involved with the irregular transactions and police were assisting them with their enquiries.

They thereafter coerced the victims to attend at their bank and either withdraw funds in cash or transfer money online. Suspects would then attend the victims' home address or arrange to meet them at a public place and hand over money to a person purporting to be from the police. It is estimated the organised crime group responsible has amassed £1 million with a further £500,000 in attempted transactions in this short space of time. Of that figure, in excess of £300,000 of the defrauded funds relates to victims in the Forth Valley area.

Investigation by our Priority Crime Team / CID identified a number persons of interest and, working in partnership with specialist resources, police conducted a number of "executive days of action" to mitigate further threat. This led to the arrest and charge of a number of career criminals with fraud and other associated crimes which was a fantastic result.

ROAD SAFETY AND ROAD CRIME

Proactive Parking patrols around primary schools

Following enquiries in November 2021 from our local Councillors, regarding problems caused by traffic congestion around local primary schools, the CPT increased their patrols around their local primary schools to provide a visible presence to prevent careless and inconsiderate parking around the school area. Following this work, the local community groups praised the increased police presence which created a notable improvement in the issues around the school. In addition, Clackmannanshire Council have agreed in principle to a number of improvements to the road layout and signage at Sunnyside Primary, to provide a better long term solution to some of the issues regularly raised.

Local initiatives by each school have been supported by the local police such as park and stride, walking buses and Junior Road Safety Officers, all of which have encouraged more children and parents to walk to school. The feedback and support received from the schools and road safety officers from the council has shown that improvements are being made and the local communities appreciate the time and attention provided by the local police and council.

School Parking – Issues addressed through joint partnership working and funding secured

The CPT have regularly patrolled local primary schools at the start and conclusion of the school day, all in an effort to tackle the ongoing complaint of inconsiderate parking around the school gates, causing a danger to the children entering and leaving the school grounds.

As a result, some of the local schools, particularly Strathdevon Primary School in Dollar, have worked closely with the local police to take personal ownership of the issue, raise awareness and tackle the problem utilising their own school pupils in order to get the message across.



Police funding was secured for the necessary safety equipment for the schools appointed pupil Junior Road Safety Officers (JRSO) who were selected by the staff as being role models, respected and trusted to patrol and lead by example.



Safety equipment has been purchased to allow the pupils to operate a walking bus which is a way of parents parking out with the area of the school and being led in a line (bus) from the parking area to the school with the assistance of staff and the JRSO. This eases the congestion around the school and keeps the area of the school as a safe zone for pupils to enter and exit. Additionally the pupils patrol at the relevant times, with staff and provide education to drivers parking in the above manner. This

conveys the safety message clearly and from the group most at risk, rather than by adult staff or Police.

Operation Close Pass – Road Safety

In October 2021, local Community Police officers and colleagues from the Roads Policing Unit, conducted a joint operation in the Clackmannanshire, Operation Close Pass. This is a national operation designed to increase the safety of vulnerable groups utilising the road networks throughout Scotland. This Operation was conducted on the road networks within Clackmannanshire, designed to tackle the issue of drivers passing too close to cyclist, causing danger to life.

The Community Police Officers deployed on cycles with the support of a Roads Policing vehicle and any drivers passing too close would be stopped, education provided where appropriate and enforcement conducted when required.

This operation found no vehicles breaching any of the Road Traffic Laws which was refreshing to see in the Clackmannanshire area, meaning the message from previous operations and initiatives has been getting across, thus increasing the safety of persons utilising our roads network.

In addition to the above staff, a fully marked Roads Policing vehicle was positioned at a busy car park with the Operation Close Pass mats laid out, providing a highly visible representation of the safe driving position whilst passing cyclists. This attracted local attention and was clearly an operation which was welcomed by the local residents, all feeling the benefit of the police presence and increasing their confidence in the police service.



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In March 2022, the CPT and colleagues from the Roads Policing Unit, continued with their joint operation – Close Pass.

This operation found only one vehicle travelling too close whilst passing the cyclists. The driver was stopped and afforded further education in relation to his driving manner.

A total of 493 vehicle passed the cyclists with only one travelling too close, which is good evidence that the safety message is getting through to the public and is being taken on board by the vast majority of motorists travelling through Clackmannanshire.

Disqualified Driver

In November 2021, community officers were on patrol, whilst covering response policing due to COP26 abstractions. Despite being sent to numerous calls, they maintained vigilant in their community ward areas and observed a vehicle being driven by a known disqualified driver.

On seeing the police the male made off from his vehicle. Using legislation available, the male's vehicle (valued at £60,000) was seized by police due to it not being insured. The male was then reported for warrant for the offences. This disruption led to a vehicle being taken off the roads, which had been used regularly by the male, without insurance.

Festive Road Safety Campaign – Drunk Driver

Response officers were carrying out additional proactive patrols in December 2021 during the Festive Road Safety Campaign, when their attention was drawn to a vehicle within a supermarket car park in Alloa. The officers detected a strong smell of cannabis from the vehicle and as a result the driver was searched under the Misuse of Drugs Act 1971 where a personal amount of cocaine was recovered along with trace amounts of cannabis.

Road Policing Unit colleagues joined the response crew and the driver provided a positive drugs wipe for cannabis, resulting in his arrest for driving whilst under the influence of drink/drugs. This was a good display of proactive work in line with the national campaign, dealing with one of the Fatal Five, and kept an intoxicated driver off the roads, thus protecting the public from potential harm.

Town Centre Parking Enforcement

Illegal parking in Alloa town centre is an important ongoing community concern, in particular double yellow line parking and parking within disabled bays with no badge displayed. CPT and officers on



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duty for court have increased patrols in this area as much as possible. .

The feedback from the community has been extremely positive as they are feeling that their concerns are being addressed and are robust when necessary.

The CPT continue to provide education where appropriate and otherwise robust enforcement. Three days of action took place during the reporting period, with 64 Fixed Penalty Notices issued during those days for contraventions of parking regulations. This is an ongoing area of focus on a daily basis by the two Alloa community officers and further days of action will be held in future.

Intoxicated driver apprehended

In January 2022, DAVRU and community officers, PC Law and PC Reid, were proactively patrolling Clackmannanshire roadways when they were alerted to a report of a vehicle with the driver potentially intoxicated, posing a risk to the public.

Due to the officers already being on their beat patrolling, they observed the vehicle quickly and signalled for it to stop. The male driver failed to do so and a short pursuit ensued before the driver stopped his vehicle and ran from police.

Officers gave chase and the driver was quickly traced and apprehended after he resisted arrest. The driver was intoxicated, refused to provide any samples for analysis and was found in possession of controlled drugs. He was later conveyed to hospital for a welfare examination and was also reported for touching himself in an inappropriate manner within the hospital, in front of police and nursing staff.

Due to the patrols carried out and police being ready for any call and highly visible, the officers apprehended an intoxicated driver along with detecting a multitude of other offences. They ensured the public was kept safe and the vehicle used by the driver was seized, preventing further like incidents.

Protecting vulnerable road users

In February 2022, a serious Road Traffic Collision occurred on the A91 between Menstrie and Alva. The circumstances were a 45 year old male was cycling from Menstrie to Alva, it was dark, snowing and no street lighting was present. The cyclist was wearing a high-visibility tabard but with a backpack over same, due to the circumstances the cyclist was not clearly visible. A male was driving a works van in the same direction and failed to observe the cyclist, striking him from the rear, causing him to traverse over a 6ft hedge into a neighbouring field. Police were contacted immediately and arrived within seconds of the call. It was clearly obvious to the attending officers the male was seriously injured and likely to prove fatal. The male was on the other side of a high and thick well-formed hedge and they could not get access to the male to provide lifesaving treatment. The Fire Service arrived seconds after the Police and both the Police and Fire service were able to quickly cut an opening into the hedge and get to the injured party, stabilising him and keeping his airway open until paramedics took over.

The male was escorted to Edinburgh Royal due to the serious injury sustained. The officers in attendance thereafter secured the driver of the van which struck the cyclist, securing all evidence and ensuring his wellbeing also as he was clearly in shock. Due to the quick actions of the emergency services the cyclist survived.

Speed Detection - Tackling the Fatal 5

Roads Policing officers, PC Towler and PC Steel carried out speed detection on the A91 at Alva (one of our priority routes) at peak morning travelling time. The officers detected 7 vehicles speeding in the 30mph and 20mph zones; 5 were dealt with by Conditional Offer of Fixed Penalty (COFP), 1 by report to the Procurator Fiscal and 1 by a warning.

Road Safety Operation – Clackmannanshire

Protecting our communities and vulnerable road users is always a priority in the Clackmannanshire area. Due to the layout of our County, which borders the two other areas within C Division, along with P Division and D Division, our roadways are vulnerable to travelling criminals. We have two main trunk roads passing through our county which require patrolling to prevent and deter both antisocial driving and reckless behaviour on our roads, endangering other road users.



Our CPT are tasked with patrolling our road networks regularly to prevent and deter criminality on our roads, ultimately making our road networks a safer place to be.

During the last week in March 2022 our community police officers planned and executed a Road Safety Operation. PC Lawson led the operation which was designed to tackle, non-roadworthy vehicles, document offences and educate road users on the dangers of speeding. This operation was policed specifically by our CPT. During the four day operation, our officers stopped and checked a total of

1,591 vehicles on the Clackmannanshire road network. Three drivers were found not to have insurance and were reported for this offence and their vehicles were seized by police. Two drivers were found to be driving without a driving licence and were reported for these offences and the vehicles seized by police. One driver was issued a fixed penalty ticket for speeding. Two vehicles were found driven without an MOT test certificate and each driver received a ticket for this offence. Speed detection patrols were carried out on all Clackmannanshire roads to tackle local complaints of speeding vehicles, with a total of thirteen hours of dedicated speed patrols completed.

This Operation was in direct response to local concerns over road safety and was designed to provide education and enforcement, when required, in relation to all aspects of road safety, to make the roads safer for drivers, cyclists and pedestrians.

**LOCAL AUTHORITY SCRUTINY BOARD STATISTICS – Clackmannanshire
April 2021 – March 2022**

Violence, Disorder & Antisocial Behaviour						
		April 2020- March 2021	April 2021- March 2022	Victim s	% Change	3 year average 2019- 2021
1	Total No Group1: Crimes of Violence	140	118	22 less	-15.7%	121.0
2	Murder	1	0	1 less	-100%	0.3
3	Attempted Murder	5	2	3 less	-60%	3.7
4	Culpable Homicide (common law)	0	0	0	0	0
5	Culpable Homicide (other)	1	0	1 less	-100	0.3
6	Serious Assault detection rate	77.6%	82.1%		4.5	80.7%
7	Serious Assault	58	39	19 less	-32.8%	53.7%
8	Robbery detection rate	82.8%	90.9%		8.2%	77.4%
9	Robbery	29	11	18 less	-62.1%	28.0
10	Common assault detection rate	78.0%	72.8%		-5.2%	73.0%
11	Common assault	492	523	31 more	6.3%	563.7
12	Number of complaints regarding disorder	3534	2437	1097 less	-31.0%	X

**LOCAL AUTHORITY SCRUTINY BOARD - Clackmannanshire
April 2021- March 2022**

Violence, Disorder & Antisocial Behaviour (continued)						
		Apr 2020 – March 2021	Apr 2021 - March 2022	Victims	% Change	3 year average 2019- 2021
13	Number of Domestic Abuse Incidents Reported to the Police	787	740		-6.0%	757.3
14	Total Crimes and offences in domestic abuse incidents	357	286		-19.9%	338.3
15	Percentage of Domestic Incidents that result in a crime being recorded	45.4%	38.6%		-6.7%	44.7%
16	Total crimes and offences in domestic abuse incidents detection rate	78.5%	78.8%		0.3%	76.3%
17	Total Detections for Domestic Bail Offences	49	37		-24.5%	45.7
18	Ensure 95% of domestic abuse initial bail checks are conducted within a prescribed timeframe (24hrs)*	91.2%	96.1%		5.3%	X
* No data available for 2019						
19	Hate Crime and offences detection rate	89.0%	78.9%		-10.1%	85.1%
Violence, Disorder & Antisocial Behaviour - Stop and Searches						
		Apr 2020 – March 2021	Apr 2021 - March 2022 Positive	Victims	% Change	3 year average
20	Number of stop and searches conducted (total)	188	136			
On the 11th May 2017 Police Scotland adopted a new code of practice on the use of stop and search. At this time the use of non-statutory (Consensual) search ceased. Further information on Police Scotland's use of stop and search and on the code of practice is available on the Police Scotland Website.						

**LOCAL AUTHORITY SCRUTINY BOARD - Clackmannanshire
April 2021- March 2022**

Additional Identified Local Priorities						
		Apr 2020 - March 2021	Apr 2021 – March 2022	Victims	% Change	3 year average 2019- 2022
21	Number of detections for drugs supply, drugs productions, drugs cultivation	55	52		-5.5%	55.0
22	Theft by housebreaking (including attempts) detection rate	50.0%	26.2%		-23.8%	35.3%
23	Theft by housebreaking (including attempts)	86	61	25	-29.1%	89.7
24	Theft by shoplifting detection rate	81.3%	77.7%		-3.6%	79.9%
25	Theft by shoplifting	160	188	28 more	17.5	226.0
26	Vandalism & Malicious Mischief detection rate	37.3%	39.6%		2.3%	35.6%
27	Vandalism & Malicious Mischief	501	424	77 less	-15.4%	494.0
28	Number of detections for Consuming Alcohol in a designated place (where appropriate byelaws exist)	8	10		25.0%	7.7%
Public Protection						
		Apr 2020 – March 2021	Apr 2021 – March 2022	Victims	% Change	3 year average 2019- 2021
29	Number of Sexual Crimes	118	150	32 more	27.1%	131.3
30	Sexual Crimes detection rate	55.9%	59.3%		3.4%	54.6%
31	Rape detection rate	50.0%	33.3%		-16.7%	48.0%

OFFICIAL

Road Safety & Road Crime - Detected						
		Apr 2020 – March 2021	Apr 2021 - March 2022	Victims	% Change	3 year average 2020-2022
32	Dangerous driving	24	27		12.5%	24.7
33	Speeding	96	79		-17.7	106.3
34	Disqualified driving	16	12		-25.0%	16.0
35	Driving Licence	60	79		31.7%	45.3
36	Insurance	154	183		18.8%	114.3
37	Seat Belts	9	12		33.3%	13.3
38	Mobile Phone	6	4		-33.3%	7.3

OFFICIAL

Road Traffic Casualty Statistics					
	Apr 2020 – March 2021	Apr 2021 – March 2022	Victims	% Change	3 year average financial years - 2019/2020 2020/2021 2021/2022
People Killed	1	0	1 less	-100%	2.3
People Seriously injured	5	15	10 more	200.0%	9
People Slightly Injured	11	9	2 less	-18.2%	14
Children (aged<16) Killed	0	0	-	-	-
Children (aged<16) Seriously Injured	0	0	-	-	0.3

OFFICIAL

Public Confidence					
		Apr 2021 – March 2022			
		Number of Complaints about the Police	Number of Complaints per 10,000 Police Incidents		
39	Complaints received about the Police	34	25.9		
		On Duty Allegations	Off Duty Allegations	Quality of Service Allegations	Total Number of Allegations
40	Total Allegations Recorded	47	0	8	55

The complaints received are the total Complaints about the Police received and logged on our system. One complaint about the Police can have several allegations contained within, similar to one crime report having several charges contained within. The allegations are similar to individual charges, for example a member of the public can submit a complaint about the Police which is recorded as one complaint, within this complaint they could outline their dissatisfaction in relation to not receiving adequate updates in relation to the crime reported (allegation 1), not being satisfied with the time taken to progress their crime report (allegation 2) and the uncivil manner of the subject Police Officer investigating their crime (allegation 3).

Report to: Partnership & Performance Committee

Date of Meeting: 27th October 2022

Subject: Fire Performance Report – Annual Report 2021/22

**Report by: Local Senior Officer, Stirling-Clackmannanshire-Fife LSO
Area**

1.0 Purpose

- 1.1 The purpose of this report is to provide Committee with an overview of the half year performance of the Scottish Fire and Rescue Service (SFRS) in Clackmannanshire covering the period 1st April 2021 to 31st March 2022. The report is based on performance against objectives and targets set out in the Local Fire and Rescue Plan for Clackmannanshire. Performance indicators are detailed in the summary report at appendix 1.

2.0 Recommendations

- 2.1. It is recommended that committee note and challenge the report as appropriate.

3.0 Considerations

- 3.1. A number of significant trends are worth highlighting.
- 3.2. There has been no fire related fatalities and 3 fire casualties in the reporting period.
- 3.3. A Serious Fire Task Group has been set up within the SFRS. This group will produce a quarterly report providing information on fire fatalities which will assist in local Community Safety Engagement activity.
- 3.4. The SFRS deliver Seasonal Thematic Action Plans from 1st April 2021 to 31st March 2022. Targets include reducing accidental dwelling fires, reducing fire fatalities and casualties, reducing deliberate fire setting, reducing the number of outdoor fires, and reducing fire related anti-social behaviour.
- 3.5. There were forty-two Accidental Dwelling Fires (ADF), a decrease of twelve when compared with the same period the previous year. The cause of these fires has predominantly been cooking related activities which in Scotland is the number one cause of fires in the home. This will continue to be a focus of our on-going prevention work.

- 3.6. Work continues to identify and support vulnerable people in Clackmannanshire, through the Home Fire Safety Visit (HFSV) Programme and fire safety referrals through multi-agency activity. The quantity and quality of referrals from partners allow the service to target resources within Clackmannanshire, with the aim of reducing the number of accidental dwelling fires and casualties from these fires in the long term.

During the reporting period, local operational crews and the Community Action Team carried out five hundred and ninety-six HFSV's. Due to the COVID pandemic, phone engagement and virtual group talks have also been carried out. Post fire advice was also offered on thirty-one occasions after an ADF.

- 3.7. A Youth Volunteer scheme was launched at Alloa station and will become a pivotal part of youth engagement within the Clackmannanshire area.
- 3.8. There were sixteen deliberate primary fires, an increase of two compared with the same period last year. There were eighty-one deliberate secondary fires, which is an increase of seven compared with the same period last year.
- 3.9. The number of Unwanted Fire Alarm Signals during the reporting period was one hundred and eighty-five. This is a decrease of sixteen compared to the same period last year. We continue to monitor all UFAS activity and contact all duty holders to discuss the implications of UFAS and identify where improvements can be made. We are also informing duty holders of the latest fire detection technology available which has a proven record in reducing unwanted signals.

Author(s)

NAME	DESIGNATION
Paul Cunningham	Group Commander for Stirling-Clackmannanshire-Fife LSO Area
Mark Bryce	Area Commander & LSO for Stirling-Clackmannanshire-Fife LSO Area



PERFORMANCE REPORT

Covering the activities and performance in support of the Local Fire and Rescue Plan for Clackmannanshire



SCOTTISH
FIRE AND RESCUE SERVICE
Working together for a safer Scotland

**Working together
for a safer Scotland**

About the Statistics in this Report

The activity totals and other statistics quoted in this report are provisional in nature and subject to change because of ongoing quality assurance and review.

Because all statistics quoted are provisional there may be differences in the period totals quoted in our reports after original publication which result from revisions or additions to the data on our systems.

From 2015-16 onwards responsibility for the publication of end-year statistical data transferred from the Scottish Government to the SFRS. This change of responsibility does not change the status of the figures quoted in this and other SFRS reports reported to the Committee.

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DEFINITIONS

Accidental Dwelling Fire

Building occupied by households, excluding hotels, hostels and residential institutions. In 2000, the definition of a dwelling was widened to include any non-permanent structure used solely as a dwelling, such as caravans, houseboats etc. Caravans, boats etc. not used as a permanent dwelling are shown according to the type of property. Accidental includes fires where the cause was not known or unspecified.

Fire Fatality

A person whose death is attributed to a fire is counted as a fatality even if the death occurred weeks or months later.

Fire Casualty

Non-fatal casualties consist of persons requiring medical treatment including first aid given at the scene of the fire, but not those sent to hospital or advised to see a doctor for a check-up or observation (whether or not they actually do). People sent to hospital or advised to see a doctor as a precaution, having no obvious injury are recorded as precautionary 'check-ups'.

Deliberate Fire

Includes fires where deliberate ignition is merely suspected, and recorded by the SFRS as "doubtful".

Non-Domestic Fires

These are fires identified as deliberate other building fires or accidental other building fires.

Primary Fires:

- Buildings (including mobile homes) fit for occupation (i.e. not wholly derelict) and those under construction.
- Caravans, trailers etc.
- Vehicles and other methods of transport (not derelict unless associated with business e.g. scrap metal).
- Outdoor storage (including materials for recycling), plant and machinery.
- Agricultural and forestry premises and property.
- Other outdoor structures including post-boxes, tunnels, bridges, etc.

Secondary Fires

- Single derelict buildings.
- Grassland etc., including heath, hedges, railway embankments and single trees.
- Intentional straw or stubble burning.
- Outdoor structures, including: lamp-posts, traffic signs and other road furniture, private outdoor furniture, playground furniture, scaffolding, signs and hoarding etc.
- Refuse and refuse containers.
- Derelict vehicles (a vehicle without a registered keeper).

Home Fire Safety Visit

A comprehensive assessment carried out by a trained assessor, which examines the level of fire risk within a home. It provides a means to mitigate the risk through the provision of guidance, advice and, if required, the installation of long life battery operated smoke and heat alarm(s).

Adult Protection Referral (AP1)

This is a process where SFRS Community Action Teams or operational crews can refer an Adult at risk of harm to Social Services. There are specific criteria that require to met when identifying an Adult at risk of harm and also certain SFRS Safeguarding procedures which must be followed to ensure compliance with various legislation. Similar procedures are in place to refer a Child at risk of harm.

False Alarms

Where the SFRS attends a location believing there to be a fire incident, but on arrival discovers that no such incident exists, or existed.

Unwanted Fire Alarm Signal

Where the SFRS attends a non-domestic location believing there to be a fire incident, but on arrival discovers that no such incident exists, or existed.

Introduction





































This is the 2021-2022 annual monitoring report covering the SFRS's performance and activities in support of the seven priorities in the Local Fire and Rescue Plan for Clackmannanshire 2022, namely:







- **Priority 1 – Local Risk Management and Operational Preparedness**
- **Priority 2 – Unintentional Harm and Injury**
- **Priority 3 – Domestic Fire Safety**
- **Priority 4 – Deliberate Fire Setting**
- **Priority 5 – Built Environment**
- **Priority 6 – Unwanted Fire Alarm Signals**
- **Priority 7 – Transport and Environment**

As well as supporting the seven priorities in the Local Fire and Rescue Plan for Clackmannanshire, this monitoring report shows how SFRS activities and performance contribute to the wider priorities of the Clackmannanshire Council Community Planning Partnership (CPP), as set out in the Local Improvement Plan for Clackmannanshire.

Annual Performance Summary

The table below provides a summary of activity between **1st April 2021 to 31st March 2022** compared to the same activity on the previous years, against headline indicators (HI) and annual targets. It aims to provide an at a glance of our direction of travel.

	Headline Indicators	2018-19	2019-20	2020-21	2021-22	Short Trend	Long Trend
	1. Accidental Dwelling Fires (ADF)	45	40	54	42		
	2. ADF Fatal Casualties	0	0	2	0		
	3. ADF Non-Fatal Casualties	16	8	21	3		
	4. Deliberate Primary Fires	15	20	14	16		
	5. Deliberate Secondary Fires	59	63	74	81		
	6. Non-domestic Building Fires	17	17	21	23		
	7. Fatal Casualties in Non-Domestic Building Fires	0	0	0	0		
	8. Non-Fatal Casualties in Non-Domestic Building Fires	0	2	1	0		
	9. Unwanted Fire Alarm Signals	231	225	201	185		
	10. Road Traffic Collision (RTC) Incidents	13	21	11	14		
	11. Fatal RTC Casualties	0	2	1	1		
	12. Non-Fatal RTC Casualties	11	16	5	5		

KEY TO SYMBOLS	Improving	No Change	Getting Worse
Short Trend This year compared with last year			
Long Trend This year compared with the previous 3-year average			

Annual Performance Highlights

Of the 12 headline indicators, the following performance figures should be noted for the 2021-2022 Annual report:

- There were **forty-two** ADF's. This is a reduction of **twelve** compared to the same period last year.
- There were **zero** ADF Fatal Casualties. This is a reduction of **two** from the previous year.
- There were **three** ADF Non-Fatal Casualties. This is a decrease of **eighteen** compared to the same period last year.
- There were **sixteen** Deliberate Primary Fires. This is an increase of **two** compared to the same period last year.
- There were **eighty-one** Deliberate Secondary Fires. This is an increase of **seven** compared to the same period last year.
- There were **Twenty-Three** Non-Domestic Building Fires. This is an increase of **two** compared to the same period last year.
- There were **zero** Fatal Casualties in Non-Domestic Building Fires. This is the seventh consecutive year where there were no Fatal Casualties in Non-Domestic Building Fires.
- There were **zero** Non-Fatal Casualty in Non-Domestic Building Fires. A decrease of **one** compared to the same period last year.
- The number of Unwanted Fire Alarm Signals (UFAS) caused by automatic fire alarms (AFAs) in non-domestic buildings was **one hundred and eighty-five**. This is a decrease of **sixteen** compared to the same period last year.
- There were **fourteen** Road Traffic Collisions (RTC). This is an increase of **three** compared to the same period last year.
- There was **one** Fatal RTC Casualty. This is the same as compared to the same period last year.
- There were **five** Non-Fatal RTC Casualties. This is the same as compared to the same period last year.

Priority 1: Local Risk Management and Operational Preparedness

Description;

Risk Management and operational preparedness is a key area of work for the SFRS. In Clackmannanshire, this means:

- Knowing what the risks are in Clackmannanshire and then making plans, so we are resilient to respond to any event.
- Being prepared to respond to national threats or major emergencies.
- Developing flexibility to deploy crews, to take on a broadening role within the community.
- Firefighters being equipped to deal with emergencies safely and effectively and our stations being in a constant state of readiness.
- Ensuring that firefighter safety is paramount in everything we do. This will ensure that our personnel are able to meet the challenges we face

Activity;

Operational Intelligence (OI); Local operational crews regularly carry out a process to identify risk, gather information and collate relevant data and ensure that it is made available, in an easily understood format, at the point of need. State of the art portable tablets are installed in all fire appliances in the area to allow ease of access to this data at emergency incidents. The provision of OI is a key component to firefighter safety and resolving operational incidents in a safe and effective manner.

Emergency/Events Planning; Local SFRS officers liaise regularly with Clackmannanshire Council emergency planning and other partner agencies, to plan for, prepare and mitigate the effect of major incidents within the area and attend Safety Advisory Group meetings as and when required, to provide Fire and Rescue related advice and guidance regarding local events planning.

Flooding; The local multi agency Flood Partnership group is supported by locally based SFRS officers, providing guidance and support to local flood groups in Menstrie and Tillicoultry to prevent, prepare and mitigate the effect of flooding events on local communities.

Firefighter Training; During 1st April 2021 – 31st March 2022 we delivered training aligned to our Training for Operational Competence framework to all operational staff. This ensures staff are trained and tested their preparedness to deal with various incident types.

Priority 2: Unintentional Harm and Injury

The Building Safer Communities programme is a collaborative initiative which seeks to help national and local partners and communities work together to make Scotland safer and stronger. The programme vision is of a flourishing, optimistic Scotland in which resilient individuals, families and communities live safe from crime, disorder, danger and harm.

In October 2016 a strategic assessment of Unintentional Harm in Scotland was completed. This assessment aims to provide a picture across Scotland and is intended for use as a resource of information for policy makers and local practitioners. This is the first time that the different sources of relevant data and information that inform incidents of unintentional harm in Scotland has been put together into one single strategic assessment.

The strategic assessment is designed to complement the wide range of good work that is underway across the country, both at national and local partnership level. In so doing it provides a snapshot in time of trends and is designed to inform strategic planning and help direct future action and intervention.

In setting this out, the strategic assessment identifies five areas of priority, representing both those identified as most at risk of unintentional harm; and those areas for focus of partnership activity:

- Under 5s
- Over 65s
- Areas of increased deprivation
- Strategic data gathering, analysis and sharing
- Bridging the gap between strategy and delivery

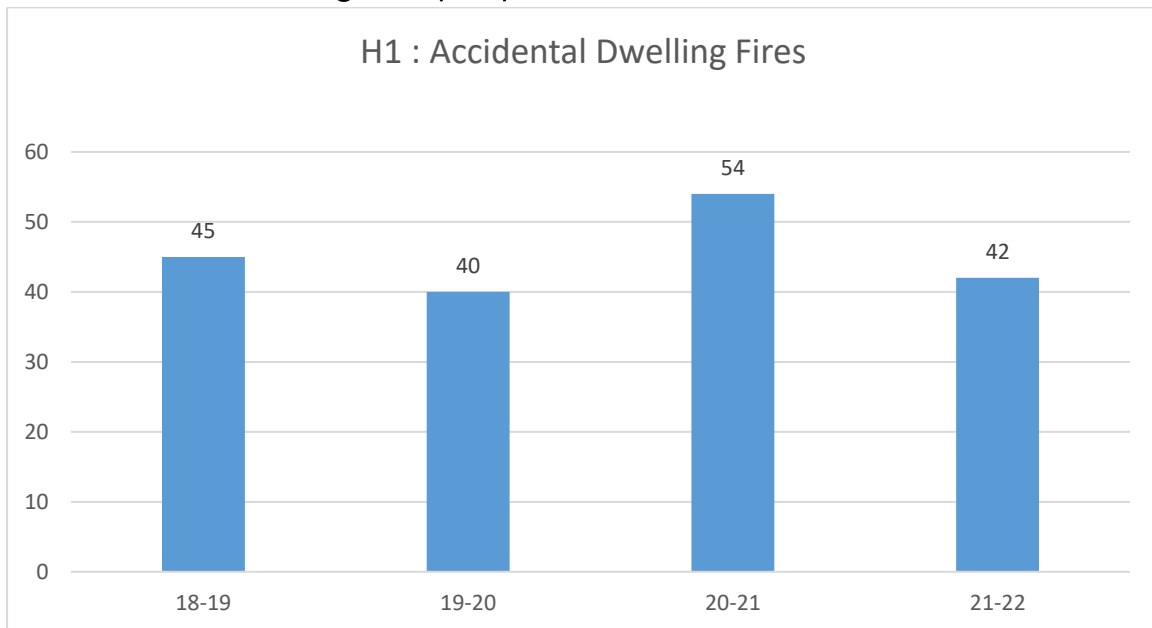
The strategic assessment is complimented by a summary document that captures the main findings and recommends for some next steps to action. Case studies and a short literature review of interventions to prevent and reduce unintentional harm have also been produced.

In addition, a number of thematic briefing papers are available for practitioners which cover key points relating to specific unintentional harm and set out in clear format the key trends and considerations relating to:

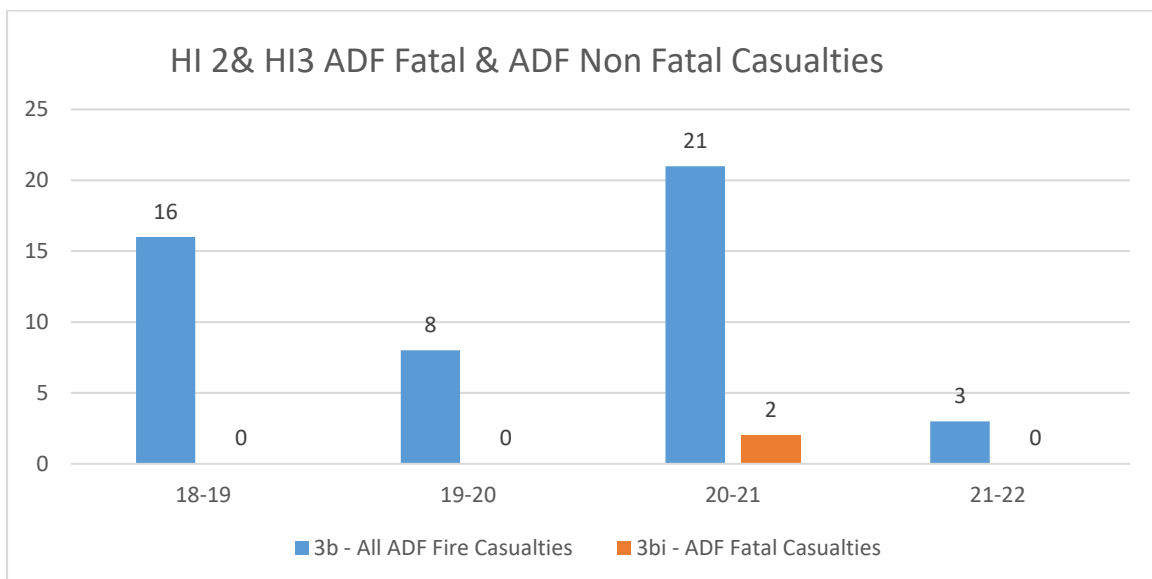
- Children and Young People
- Older People
- Deprivation
- Home Safety
- Road Safety
- Outdoor Safety

Priority 3: Domestic Fire Safety

HI 1: Accidental Dwelling Fires (ADF)



HI 2: ADF Fatal Casualties and HI 3: ADF Non-Fatal Casualties



Indicator Description;

The largest single type of primary fire in Clackmannanshire is accidental fires in the home and their prevention is a key focus of the Service's community safety activity.

HI 1 – Accidental Dwelling Fires (ADF)

As a headline target, the aim is to reduce the rate of ADF's, in a growing Clackmannanshire population, by keeping these fires **below 62** each year.

HI 2 – ADF Fatal Casualties

This indicator counts those people for whom fire has been clearly identified as the cause of death, even if they die some-time after the actual fire. Those who die at, or after, the fire but where fire is **not** identified as the cause of death are not included in these figures. As a headline target, the aim is to have **zero** ADF Fire Fatalities.

HI 3 – ADF Non-Fatal Casualties

This headline target counts all types of non-fatal fire injury in the home, including precautionary checks. As a headline target, the aim is to reduce the risk of injury from fire in the home, in an increasing Clackmannanshire population, by keeping fire injuries **below 13** each year.

Performance Management;

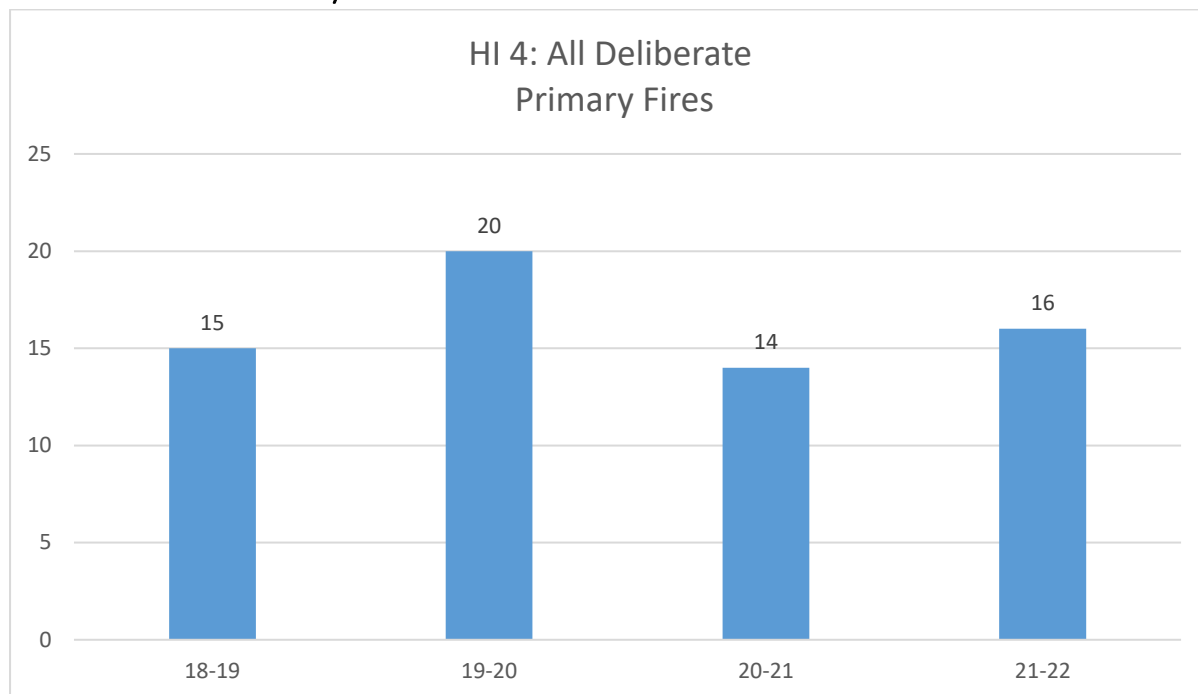
There were **42** ADF's during the reporting period, with **27** of these ADF's cooking related and location of fire was within the Kitchen, **7** ADF's started within the Bedroom.

There were **0** ADF Fatal Casualties during the reporting period.

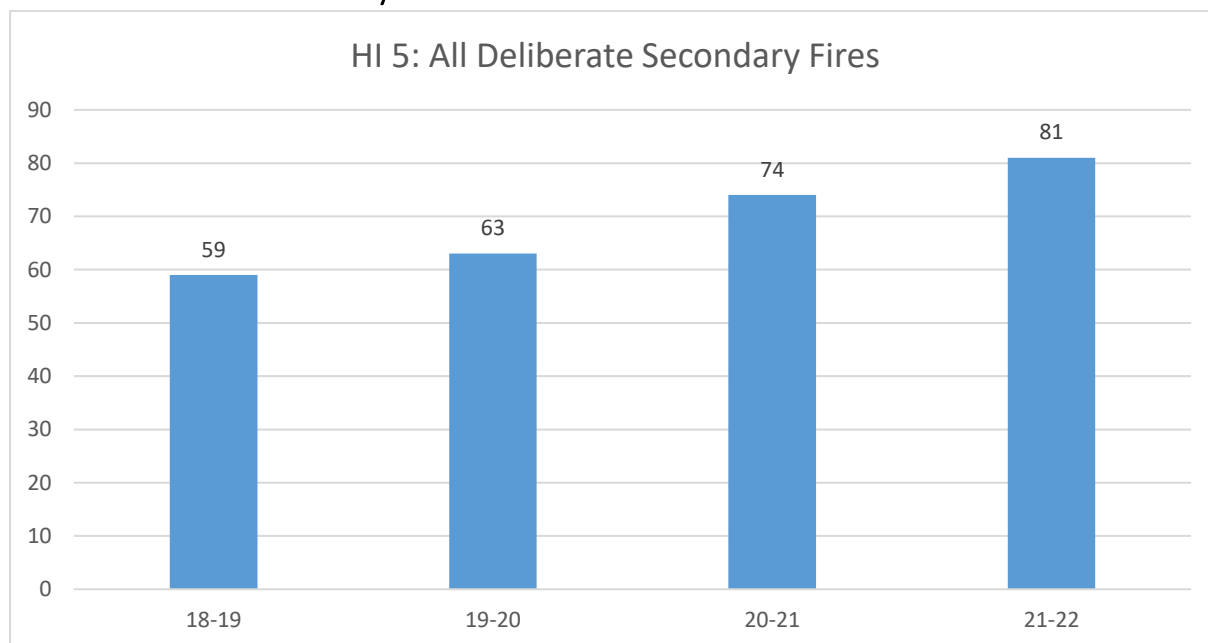
There were **3** ADF Non-Fatal Casualties during the reporting period with **two** casualties given first aid at the scene and **one** precautionary check was recommended. Oxygen was given to **one** casualty.

Priority 4: Deliberate Fire Setting

HI 4: Deliberate Primary Fires



HI 5: Deliberate Secondary Fires



Indicator Description;

These headline and indicators targets account for all types of fire that are believed to have been started intentionally, and are categorized as Deliberate Fires and Deliberate Secondary Fires.

HI 4 – Deliberate Primary Fires

These deliberate fires cover the following types:

- Fires in the home
- Fires in non-domestic buildings
- Fires in motor vehicles

As a headline target the aim is to reduce the rate of deliberate primary fires in Clackmannanshire by keeping these fires **below 19** each year.

HI 5 – Deliberate Secondary Fires

These deliberate fires cover the majority of outdoor fires including grassland and refuse fires and includes fires in derelict buildings, but not chimney fires.

As a headline target the aim is to reduce the rate of deliberate secondary fires in Clackmannanshire by keeping these fires **below 74** each year.

Performance Management;

There were **16** Deliberate Primary Fires during the reporting period which is an increase **2** from last year.

Premise type details:

- 4 within Dwellings including single occupancy and Tenements.
- 1 Public admin, security & safety, prison premises.
- 3 involving cars.
- 6 Involving grass land wood lands and crops.
- 1 Outdoor structure.
- 1 Education/primary schools.

There were **81** Deliberate Secondary Fires reported during the reporting period, this is an increase of **7** compared to last year.

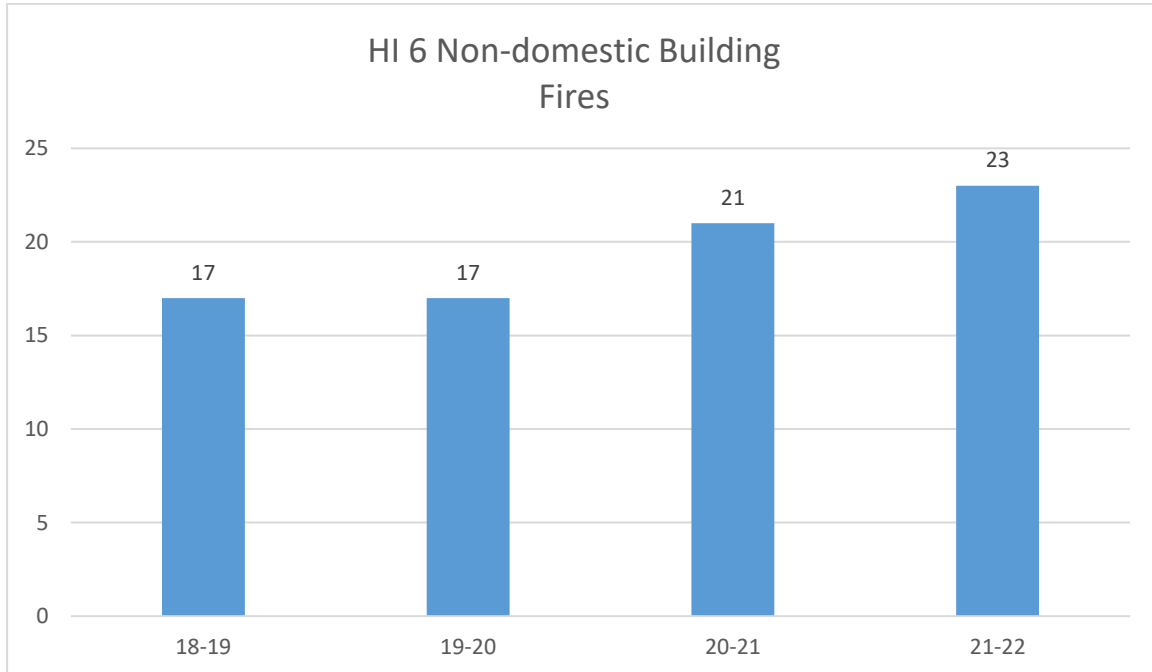
The most common property types and locations included:

- 28 involving Grassland crops and scrub land.
- 13 fires involving loose refuse.
- 7 involving outdoor structures/wheelie bins.
- 5 involving Wheelie bin.

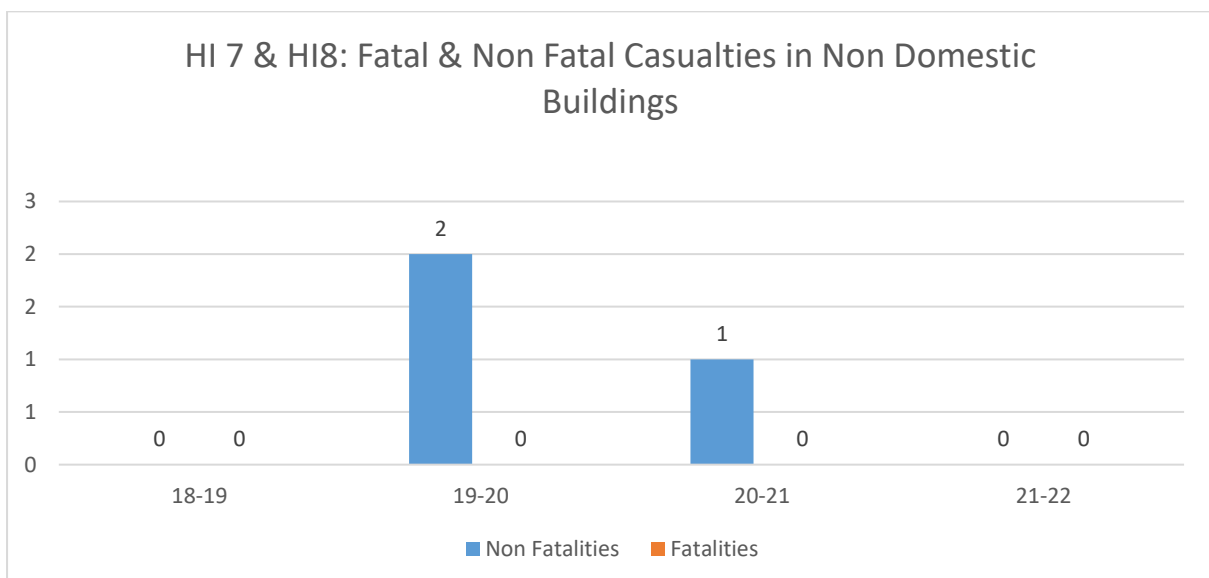
The remaining 28 incidents were located in other outdoor structures and property types.

Priority 5: Built Environment

HI 6: Non-Domestic Building Fires



HI 7: Fatal Fire Casualties in Non-Domestic Buildings and HI 8: Non-Fatal Fire Casualties in Non-Domestic Buildings



Indicator Description;

These headline and indicators targets cover the types of non-domestic buildings applicable to Part 3 of the Fire (Scotland) Act 2005 and is designed to reflect the effectiveness of fire safety management in respect of these types of building. These include buildings such as Care Homes, Hotels, and Hospitals.

HI 6 Non-domestic Building Fires Applicable to the Act

As a headline target, the aim is to reduce the rate of accidental fires in non-domestic buildings (where the Act applies), by keeping these fires **below 21**, in Clackmannanshire each year.

HI 7 Fatal Fire Casualties in Non- Domestic Building Fires Applicable to the Act

As a headline target the aim is to have **zero Fatal Fire Casualties** in Non- Domestic buildings.

HI 8 Non- Fatal Fire Casualties in Non-Domestic Building Fires Applicable to the Act

As a headline target, the aim is to reduce the rate of Non-Fatal Fire Casualties in Non-Domestic Buildings by keeping these **below 1** in Clackmannanshire each year.

Performance Management;

There were **23** Non- Domestic Building Fires during the reporting period.

The main property type and location for these incidents include.

- 5 fires involving a garden sheds.
- 2 in Public admin, security and safety, prison.
- 2 in Education premises.

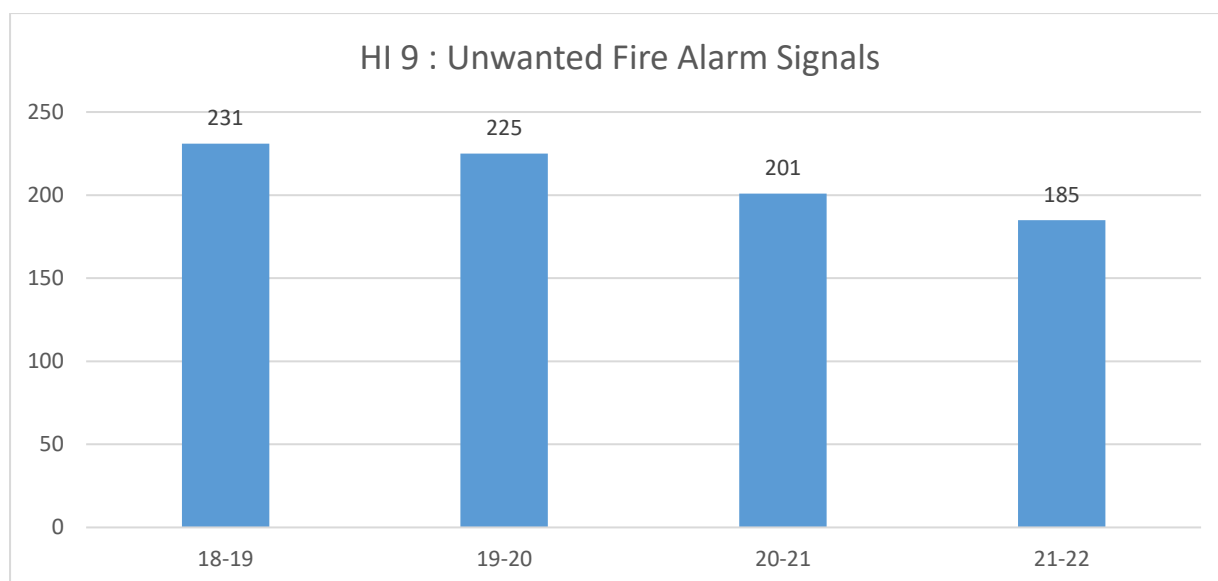
The remainder of the instances were single occurrences in various property types. This is an increase of 2 compared to the same period last year.

There were **no** Non-Domestic Fatal Casualties during the reporting period.

There was **zero** Non-Domestic Non-Fatal Casualty during the reporting period, this is a decrease of 1 compared to the same period last year.

Priority 6: Unwanted Fire Alarm Signals

HI 9: Unwanted Fire Alarm Signals



Indicator Description;

Automatic Fire Alarms (AFA) are fundamental to providing early warning from fire, giving people the chance to evacuate safely. However, to be effective, they must be properly installed, and a good fire safety management regime must be in place by the duty holder, so they do not activate where there is no fire.

Every Unwanted Fire Alarm Signal (UFAS) from an AFA has an impact in terms of unnecessary blue light journeys, redirecting SFRS resources away from other activities such as community safety work and causing considerable disruption to businesses.

HI 9: Unwanted Fire Alarm Signals (UFAS)

As a headline target, the aim is to improve fire safety management and awareness, by reducing the number of attendances to unwanted fire alarm signals from automatic systems in non-domestic buildings to **less than 239** each year.

Performance Management;

During the reporting period we were called out to **185** Unwanted Fire Alarm Signals (UFAS). This was a decrease of 16 compared to the same period last year.

Below are examples of the most common type of UFAS incidents during the reporting period;

- Education Facilities 75
- Industrial Premises, warehouses, engineering 7
- Residential Home, Nursing/Care 9
- Industrial Processing including distillery 6

UFAS incidents create a significant number of unnecessary blue light journeys, placing our firefighters and communities at risk, and tying up resources that may be needed at a real emergency elsewhere. To reduce the impact of UFAS, we have introduced a process, that will ensure our weight and speed of response to UFAS incidents is based on risk.

Time for Change - Public Consultation

Each year the SFRS attend more than 28,000 false alarms from workplace automatic alarms. This makes up 31% of the incidents we attend nationally losing over 64,000 productive hours and an equivalent cost of £3.5 million. We want to reduce this activity and are reviewing how we respond to false alarms from AFAs in the workplace.

Following a 12-week public consultation in December 2021 and following feedback from stake holders SFRS will be implementing a new UFAS policy as of 1st April 2023, Option A, this is as detailed below.

Option A

Call challenge all AFAs from non-domestic premises, unless exempt.

No response is mobilised, if questioning confirms there is no fire, or signs of fire.

Automatic exemption applied to hospitals, is increased to a PDA of two appliances regardless time of day and shall be subject to periodic review.

Sleeping risk premises are exempt from call challenging and will receive the following immediate response:

Residential Care Homes receive a PDA of two fire appliances regardless time of day.

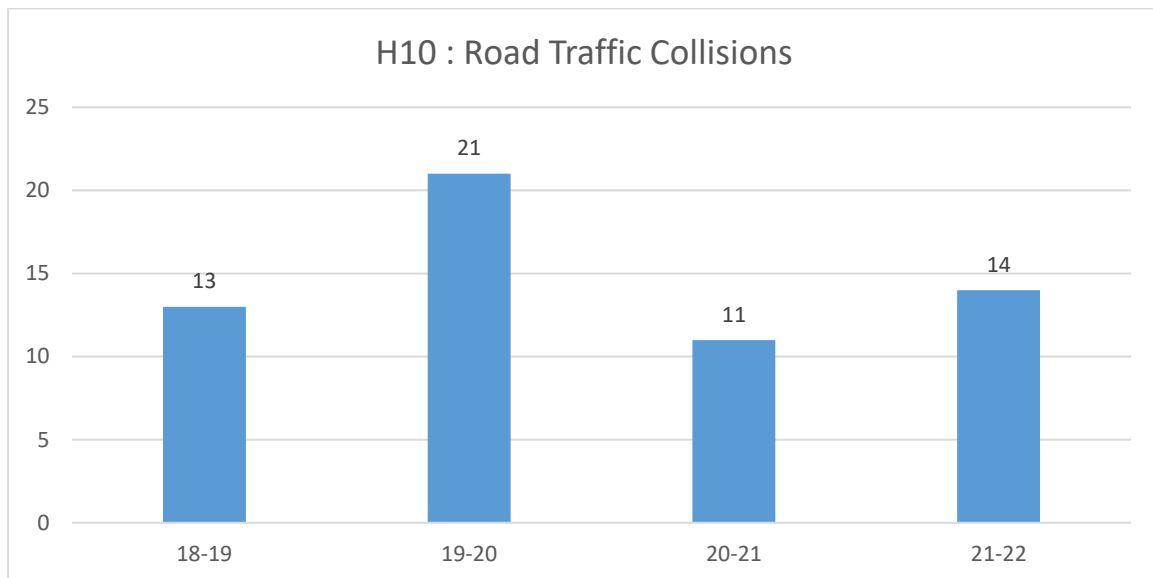
All other sleeping risks receive a PDA of one fire appliance between 0700-1800hrs and two fire appliances out-with these hours.

Implementation of the preferred option is postponed by 12-months until April 2023, and

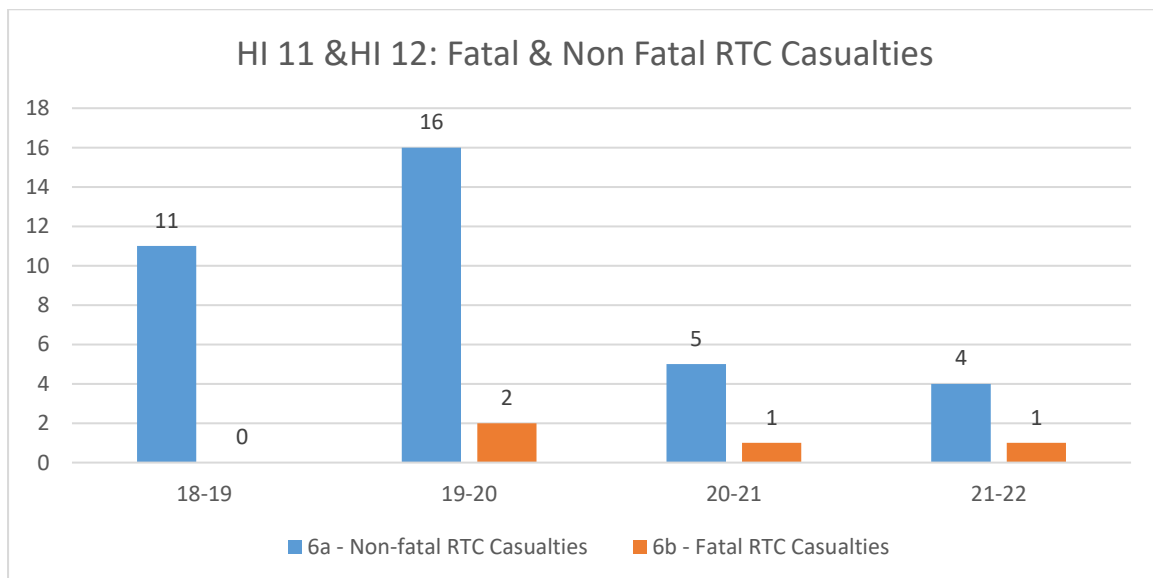
The COVID-19 interim response to AFAs, will remain in place until go live of the preferred option.

Priority 7: Transport and Environment

HI 10: Road Traffic Collision (RTC) Incidents



HI 11: Fatal RTC Casualties and HI 12: Non-Fatal RTC Casualties



Indicator Description;

The SFRS has become increasingly involved in more non-related fire prevention work, in support of its role in promoting the wider safety and wellbeing of its communities. The headline indicators and targets reflect the fact that most of the non-fire related incidents attended by the SFRS in Clackmannanshire are RTC incidents.

HI 10: RTC Incidents

As a headline target, the aim is to reduce the rate of RTC's in Clackmannanshire, by keeping them **below 16** each year.

HI 11: Fatal RTC Casualties

As a headline target, the aim is to reduce the risk of death from RTC's in Clackmannanshire, by keeping **zero** Fatal RTC Casualties.

H12: Non- Fatal RTC Casualties

As a headline target, the aim is to reduce the risk of injury from RTC's in Clackmannanshire by keeping them **below 12** each year.

Performance Management;

We attended **14** RTC Incidents, to assist in the release/extrication of the occupants of the vehicles an increase **3** of from the previous year.

- **4** Incidents required SFRS to release or extricate the occupants.
- **10** of the incidents we attended was to make the scene, vehicle safe or no action was required by SFRS.

There was **1** Fatal RTC Casualty during the reporting period at RTC Incidents we attended.

There were **4** Non-Fatal casualties during the reporting period at RTC Incidents we attended.

This is the same as the previous year.

Appendix 1 – Community Safety Engagement Activities – Clackmannanshire Council Area

Home Fire Safety Visits (HFSV) – 01/04/21 to 31/03/22	
High Risk	340
Medium Risk	67
Low Risk	189
Total Completed	596

AP1 Referrals	22
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In the absence of being able to complete as many home fire safety visits as we would in normal years, all referrals were called and had extensive phone conversations regarding their home fire safety. An SFRS online home fire safety checker was developed (<https://www.firescotland.gov.uk/your-safety/online-hfsv-checker.aspx>) and where appropriate a link was sent onto the occupant or their family.

Safety Equipment Dispensed – 01/04/21 to 31/03/22	
Fire retardant bedding	6
Fire retardant throws	8
Ashtrays / Bins	18 Ash Trays/10 Bins
Letterbox defenders	12

Community Safety Engagement Activities – 01/04/21 to 31/03/22	
Virtual Group Talks / engagements	22
Post Domestic Incident Responses	57

Other Community Safety Engagement Activities throughout 2021/22

Due to Covid-19 restrictions most engagement activities have had to be cancelled or postponed. In it's place, SFRS has adapted to virtual, online and telephone support and engagement.

In the build-up to bonfire night and in the absence of being able to visit the schools in person, local videos were made and shared with every primary school in the area. Additional partner work was done with the secondary schools and the campus police to delivery bonfire / firework safety information for all its pupils.

Appendix 2 - Acts of Violence

There were **no** reports of acts of violence towards firefighters during the reporting period, which reflects on the positive partnership working carried out within the Clackmannanshire Council area.

Report to: Audit and Scrutiny Committee

Date of Meeting: 27th October 2022

Subject: Business Plan 2021/23 - Update Report

Report by: Strategic Director: Partnership and Performance

1.0 Purpose

- 1.1. Partnership & Performance delivers a diverse range of services, including a number of statutory and essential support functions. This report provides the Committee with an update on performance, risks and achievements, relating to the Business Plan 2021-23 which was agreed in August 2021.
- 1.2. Appendix 1 provides a fuller update on the progress, however a number of areas are highlighted with the Considerations section of this report.

2.0 Recommendations

- 2.1. Committee is asked to note, comment on and challenge the report.

3.0 Considerations

- 3.1. This report provides Committee with an update on progress to date with the Partnership & Performance Business Plan 2021-23.
- 3.2. Partnership and Performance continues to be central to the coordination and management of recovery work in relation to the pandemic, and increasingly threats and risks from an emerging global recession. This work ranges from emergency planning, business continuity, support to businesses, major incident response; communications and health and safety.
- 3.3. The report outlines a changing risk profile, with cost inflation being a significant risk, not just for the Council's resource base but also impacting our citizens and communities. Labour supply issues have continued to deteriorate impacting on recruitment and retention, and organisational capacity and capability. Our external auditors have highlighted the heightened risk of fraud and corruption in the current context, and this is an area where increased focus is being placed. Finally, as the report outlines significant work continues on deployment of improved ICT infrastructure, including M365. This is crucial in the context of ongoing cyber security context.

- 3.4. Whilst Appendix 1 provides a more detailed description of performance and risk within our Business Plan, which was approved by Council in August 2021, this cover report draws out a number of highlights, including achievements and areas for improvement.

4.0 HR and Workforce Development

- 4.1. Ongoing progress continues to be made in relation to digital transformation. This includes:
- 4.1.1. Ongoing development and roll out of our new cloud based health and safety management information system;
 - 4.1.2. Continued conversion of paper based change forms to electronic format as well as development of a number of management processes within the iTrent system;
 - 4.1.3. Implementation of payroll services from our HR systems provider aimed at providing capacity to the payroll team.
 - 4.1.4. Significant work was undertaken to ensure our HR system was able to provide Real Time Reporting to the Local Government Pension Scheme. This is a significant change and eliminates the need for year end pension returns.
- 4.2. Significant work has been undertaken over the last year to improve the health and safety culture across the organisation. This includes completion of a behavioural safety culture audit, development/review of H&S policies, Health and Safety training, premises audits and health surveillance checks. Committee are provided with the H&S Manager's annual report.
- 4.3. Employee wellbeing has and continues to be a major feature of our recovery from COVID, with its importance no less as the impending global recession driving demand, in turn stretching an aging workforce. A draft Wellbeing Strategy is being developed which Council will be asked to consider later in the year.
- 4.4. The service has continued to develop and deploy a range of management and leadership development products across all supervisory levels, and has substantially assisted with the Columba 1400 Values Based Leadership programme supporting the Council's Promise ambitions. In addition our suite of e-courses has continued to be developed and implemented.
- 4.5. In late March 2022 the HR & WFD Team launched a new Clacks Academy platform, with the aim of embedding a learning culture across our organisation based on bespoke learning communities, and learning pathways. The platform also allows the management of all in person, virtual and elearning training events, creating a 'one stop shop' for corporate learning and development in the Council.
- 4.6. The team continues to develop bespoke video and e-learning content in support of both service specific, and council wide messaging and learning. In particular, the team has led on the development of in-house created video and animations which have been used as the basis of corporate messaging, and

to support projects such as the family wellbeing partnership, climate change, and health and safety messaging.

- 4.7. The team has supported the development of the Health and Social Care Partnerships Interim Workforce Plan, by providing facilitation at staff and management events, and drafting support where required.
- 4.8. There has been continued positive engagement and consultation with Trade Union Colleagues including joint working on a range of new and revised policies.

5.0 Finance and Revenues

- 5.1. As with many other services the work of Finance and Revenues during the year has been significantly impacted by COVID19 pandemic and its aftermath, which if anything, may be even more challenging. Services have adapted successfully to new ways of working with most staff continuing to work from home. One of the key changes was to put in place electronic payments to individuals which had been previously made via face to face issuing of cash.
- 5.2. The Revenues team in particular have been impacted with the increase in volume of queries, changes to individuals' circumstances and new claims for Council Tax Reduction and Benefits; however services continue to function successfully despite the challenges, including the Scottish Welfare Team, providing essential crisis support to vulnerable citizens.
- 5.3. Business critical annual activities continued to be delivered. The Council's draft annual accounts were prepared and submitted to the External Auditors for 2020/21.. Work is underway to support the annual budget process for 2023/24 and the 2021/22 annual accounts The service continues to facilitate core governance processes, including supporting, advising and providing solutions for services with outturns, business cases and major procurement and commissioning enabling progression with Be the Future priority areas. Recruitment and retention issues continue to impact on strategic aims, with ongoing challenges to bring in resources for corporate accounting and procurement.

6.0 Partnership and Transformation

- 6.1. Civil contingencies response continues to be a significant area of focus. A further rise in Covid cases in June 2022 and the death of HM The Queen are included as notable areas of response. . Despite the challenges, ongoing organisational learning is enabling many business areas to continue to deliver service continuity to citizens irrespective of any ebbs and flows. For the first time since the start of the pandemic, the emergency planning team organised a successful multi-agency desk top exercise concerning the Blackgrange bonded warehouse site.
- 6.2. Work on ICT development and Digital Transformation projects have continued.. Capital works are progressing, with a number of new investments aimed at enabling increased resilience. In support of attainment challenge and digital learning strategy outcomes, there is continued good progress with

the procurement and set up of digital devices for young people and the replacement interactive board programme in schools continued over the summer. Major milestones in the rollout of The implementation of M365 is a significant foundation in the digital transformation for the Council. To that end, over the course of the spring and summer, substantial Discovery Phase work was completed, which has established a route map for change. Implementation planning continues and a members briefing has been arranged to provide an update on progress. .

- 6.3. Work is being progressed on a refreshed Wellbeing LOIP with support from the Scottish Government.

7.0 Legal & Governance

- 7.1. Working with IT colleagues, committee services continued to build capability for remote meetings, with significant developments during the year to improve protocols and accessibility and sound and picture quality as part of the M365 programme. .
- 7.2. The Licencing. Team continue to support Licencing Board responsibilities and the business community as we move beyond Covid19 restrictions. A major achievement included a significant development in Animal Licencing regulations introduced during the year in line with legislative requirements and support to communities are galas resumed in year.
- 7.3. The Election team has also continued with another busy year; it successfully delivered the Local Government Elections in May 2022 and supporting Community Council elections in autumn 2022.
- 7.4. The legal team has continued to enable capital and Be the Future projects, including key infrastructure projects. Changing licencing requirements, including short terms lets, has seen a need for ongoing development work, and information governance advice and support remains a substantial area of focus given potential levels of risk.

As with many areas of service, Registrars has had to deal with resource pressures at a time when expectation for service to return to pre-pandemic models. Workforce challenges remain, however additional services are being opened up and the service continues to deliver much valued core services.

Conclusion

- 7.5. The pandemic and emerging factors such as inflation and the cost of living crisis continue to impact on Partnership and Performance, with environmental scanning suggesting that our main challenges lie ahead. Despite this, Partnership and Performance can demonstrate a considerable impact in terms of delivering business critical and essential governance functions, whilst also playing a crucial role in enabling delivery of the Council's recovery and transformational priorities, whether Be the Future or the supporting an investment-led recovery through the capital plan.
- 7.6. Not all of the intended actions within the plan have been delivered to planned timelines but work continues across the scope of the Plan. Staff continue to

be stretched due to ongoing response activity and capacity and skills gaps have impacted at times on plans, partly as a result of global supply chain and national labour market issues. However, despite challenges and emerging risks, such as inflation, cyber security and labour supply, the Portfolio demonstrates considerable achievements and responses in the context of enabling delivery of Council priorities. This is testament to the flexibility, expertise and resilience of its many dedicated staff.

8.0 Sustainability Implications

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

9.0 Resource Implications

9.1. *Financial Details*

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

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

9.4. *Staffing – no direct implications.*

10.0 Exempt Reports

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

7.0 Declarations

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

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

Clackmannanshire will be attractive to businesses & people and ensure fair opportunities for all

Our families; children and young people will have the best possible start in life

Women and girls will be confident and aspirational, and achieve their full potential

Our communities will be resilient and empowered so that they can thrive and flourish

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

8.0 Equalities Impact

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

9.0 Legality

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

10.0 Appendices

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

Appendix A – 2021/22 Performance Report

11.0 Background Papers

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

Author(s)

NAME	DESIGNATION	TEL NO / EXTENSION
Stuart Crickmar	Strategic Director	2127

Approved by

NAME	DESIGNATION	SIGNATURE
Stuart Crickmar	Strategic Director	























Partnership & Performance

APPENDIX 1

















Business Plan 2021-23

















2021-22 Progress Report

Key to symbols used in this report

PIs		ACTIONS		RISKS	
Long Trend (Overall trend over longer term)	Status (Compares actual performance with target)	Status	Status	Current Rating Likelihood x Impact (1 - 5)	Status
 Performance has improved	 Alert	 Completed	 Completed		 Rating 16 and above
 Performance has remained the same	 Warning	 In progress/Not started	 In progress/Not started		 Rating 10 to 15
 Performance has declined	 OK	 Check progress	 Check progress		 Rating 9 and below
 No comparison available - May be new indicator or data not yet available	 Unknown	 Overdue	 Overdue	The likelihood of a risk occurring, and the impact if it does occur are each scored on a scale of 1 to 5, with 1 being the least likely or the least significant impact. Detailed guidance on scoring is provided in the Risk Management Policy and guidance.	
		 Cancelled	 Cancelled		

Key Organisational Performance Results

Code	INDICATOR	2021/22				Latest Note	Lead
		Value	Target	Long Trend	Short Trend		
ALL FRD L&D	Instances of Fraud detected	0	0			No confirmed cases though investigation ongoing.	Senior Manager - Legal & Governance
ALL H01 HWD	Percentage of Health & Safety risk assessments up to date - Council	6%	100%			This is the number that we can confirm are up to date. Senior Management have asked for all risk assessments to be submitted to the H&S Team by 31st August which will give us a better reflection.	Senior Manager HR & Workforce Development
ALL H02 HWD	Percentage of applicable employees who have received a toolbox talk on new Health & Safety policies - Council	0%	90%			No data has been able to be gathered as toolbox talks have been paused due to pandemic restrictions.	Senior Manager HR & Workforce Development
ALL H03 HWD	Percentage of employees completing core Health & Safety training - Council	15.7%	90%			A communication campaign around this was released in September 2022 to encourage further uptake.	Senior Manager HR & Workforce Development
ALL H04 HWD	Number of violent incidents to employees expressed as a % of the overall number of employees - Council	5.28%				Nearly all incidents reported are in Education. Work in ongoing at a national level to address this with Clackmannanshire represented on the working group.	Senior Manager HR & Workforce Development
ALL ICO L&D	Number of organisational data breaches reportable to the Information Commissioner	4	0			We continue to operate a robust process investigating data breaches which are reported to the data protection email address. None of these reports has resulted in enforcement action against the Council.	Senior Manager - Legal & Governance
ALL S05 HWD	Staff Survey - All Council staff - I am given the opportunity to make decisions relating to my role	70%	80%			Full staff survey report was submitted to A&S Committee on 25 August 2022, providing Council wide analysis. Individual portfolio results were discussed at Service Bipartite meetings. Service results will inform Portfolio Workforce Plans, in addition to the Council's revised Strategic Workforce Plan.	Senior Manager HR & Workforce Development
ALL S12 HWD	Staff Survey - All Council staff - I feel valued for the work I do	57%	70%			Full staff survey report was submitted to A&S Committee on 25 August 2022, providing Council wide analysis. Individual portfolio results were discussed at Service Bipartite meetings. Service results will inform Portfolio Workforce Plans, in addition to the Council's revised Strategic Workforce Plan.	Senior Manager HR & Workforce Development















Code	INDICATOR	2021/22				Latest Note	Lead
		Value	Target	Long Trend	Short Trend		
ALL S15 HWD	Staff Survey - All Council staff - I feel a sense of achievement for the work I do	74%	85%			Full staff survey report was submitted to A&S Committee on 25 August 2022, providing Council wide analysis. Individual portfolio results were discussed at Service Bipartite meetings. Service results will inform Portfolio Workforce Plans, in addition to the Council's revised Strategic Workforce Plan.	Senior Manager HR & Workforce Development
ALL S17 HWD	Staff Survey - All Council staff - I feel that I am treated with dignity and respect within my team	74%	85%			Full staff survey report was submitted to A&S Committee on 25 August 2022, providing Council wide analysis. Individual portfolio results were discussed at Service Bipartite meetings. Service results will inform Portfolio Workforce Plans, in addition to the Council's revised Strategic Workforce Plan.	Senior Manager HR & Workforce Development
ALL S21 HWD	Staff Survey - All Council staff - I am clear about how I contribute to the organisation's goals	69%	85%			Full staff survey report was submitted to A&S Committee on 25 August 2022, providing Council wide analysis. Individual portfolio results were discussed at Service Bipartite meetings. Service results will inform Portfolio Workforce Plans, in addition to the Council's revised Strategic Workforce Plan.	Senior Manager HR & Workforce Development
RAP CTA 002	Cost of collecting Council Tax (per dwelling)	£3.70	£6.64			Remains within target.	Senior Manager Finance & Revenues
RAP CTA 01a	Council tax collected within year (excluding reliefs & rebates)	96.0%	96.2%			Remains similar to target.	Senior Manager Finance & Revenues
HWD SWP 001	Percentage of targets met for implementation of Strategic Workforce Plan	74%	75%			Actions relate to the Council's Workforce Programme which concluded in September 2022. Actions outstanding relate to internal comms initiatives, with the majority of other actions completed in time. Any outstanding actions will be taken forward into the revised Strategic Workforce Plan.	Senior Manager HR & Workforce Development
ALL AB1 GOV	Average FTE days lost through sickness absence per employee (All Council staff)	13.2				Longer term absences remain the largest causes of absence. As a Council we endeavor to ensure the right support to our staff at the right time to enable our employees to thrive and be productive at work, remain at work and return to work at the earliest opportunity when absent. The Council has a number of agreed processes in place to ensure absences are managed proactively.	Senior Manager HR & Workforce Development
GOV PRC 003	The percentage of procurement spend on local small to medium size enterprises	25.4%	16.5%			Ongoing improvement. Local initiatives and projects such as Community Wealth Building suggest a positive impact.	Procurement Manager

Code	INDICATOR	2021/22				Latest Note	Lead
		Value	Target	Long Trend	Short Trend		
RAG CRD 003	Invoice Payment Within 30 Days		95.0%	?	?	As the year end position is not yet available for the current year, full updates will be provided within future reports later in the reporting calendar.	Senior Manager Finance & Revenues
GOV EQO 02b	The percentage of the highest paid 5% of earners among council employees that are women	59.8%	50.8%	↑	↑	Performance has improved since the previous reporting period and exceeds the agreed target set for the period.	Senior Manager Partnership & Transformation
GOV EQO 03a	The gap between the average hourly rate of pay for male and female Council employees	2.1%	0.0%	↓	↓	The % pay gap figure has risen since the previous reporting year however remains below the national figure for Scotland. Work undertaken by the Council to implement the real living wage is anticipated to improve this figure in the next reporting cycle.	Senior Manager Partnership & Transformation

Partnership & Performance: Financial Results

Code	INDICATOR	2021/22				Latest Note	Lead
		Value	Target	Long Trend	Short Trend		
P&P SAV FRV	Percentage of Partnership & Performance budget savings achieved	83%	95%	?	?	Mostly achieved though external factors impacted on achievement of a Homelessness income as report previously to committee.	Strategic Director - Partnership & Performance
P&P VAR FRV	Outturn variance based on budget - Partnership & Performance		0%	?	?	There was an overall underspend for 2021/22 however the precise % figures will be confirmed and report in the next report.	Strategic Director - Partnership & Performance

Partnership & Performance: Customer Results

Code	INDICATOR	2021/22				Latest Note	Lead
		Value	Target	Long Trend	Short Trend		
P&P CNQ BUS	% Councillor Enquiries responded to within timescale - Partnership & Performance	54.3%	100.0%			Performance is still below the target so further focus will be targeted to improve performance on this measure over the next reporting period within the context of available resource. Covid abstractions were a factor.	Strategic Director - Partnership & Performance
P&P FOI GOV	% Freedom of Information requests responded to within timescale - Partnership & Performance	72.7%	100.0%			This has been challenging for the Directorate during the period of Covid response in particular. It is hoped that response times will improve as service delivery returns to normal.	Senior Manager - Legal & Governance
P&P MPQ BUS	% MP/MSP enquiries responded to within timescale - Partnership & Performance	17.4%	100.0%			Performance in relation to this measure has reduced over the reporting year when compared with the preceding year linked with the service supporting Covid recovery activity. It is acknowledged that this level of performance needs to be improved over the next reporting period.	Strategic Director - Partnership & Performance
GOV AUD 001	Percentage of Internal Audit plan completed		80%			Internal Audit's Plan for 2021/22 was agreed by the Audit Committee on 27 April 2021. It proposed fifteen assignment areas (seventeen reviews). Sixteen main assignments were completed by Internal Audit during 2021/22. The main change to the Plan over the course of the year was the deferment to 2022/23 of the planned review of Non-Domestic Rates.	Internal Audit Officer
ICT ICT 002	Percentage of available hours lost on ICT systems due to unplanned incidents					Reliable data is not available therefore this indicator will be reviewed.	Senior Manager Partnership & Transformation
CUS CTC 003	Satisfaction with overall experience of the Contact Centre		97.0%			A performance figure is not available for this reporting period. The service has recently completed a full consultation on customer service approaches following changes to service delivery which was necessary as part of Covid restrictions. Feedback is being analysed and options being developed as part of the Future Ways of Working programme.	Senior Manager Partnership & Transformation
CUS REG 001	Customer satisfaction with overall experience of the Registrars Service		100.0%			As the year end position is not yet available for the current year, full updates will be provided within future reports later in the reporting calendar.	Senior Manager - Legal & Governance










Partnership & Performance: People Results












Code	INDICATOR	2021/22				Latest Note	Lead
		Value	Target	Long Trend	Short Trend		
P&P MDT HWD	Percentage of employees who have completed mandatory training by the due date		100%	?	?	As the year end position is not yet available for the current year, full updates will be provided within future reports later in the reporting calendar.	Strategic Director - Partnership & Performance
P&P S05 HWD	Staff Survey - Partnership & Performance staff - I am given the opportunity to make decisions relating to my role	77%	75%	↑	↑	P&P SMT have discussed these results at Service Bipartite, and as part of their Workforce Planning sessions undertaken in September 2022. As such, these results will be considered and addressed as part of the Portfolio Workforce Plan with a view to developing managers approach to staff engagement in a hybrid working environment.	Strategic Director - Partnership & Performance
P&P S12 HWD	Staff Survey - Partnership & Performance staff - I feel valued for the work I do	53%	70%	↑	↓	P&P SMT have discussed these results at Service Bipartite, and as part of their Workforce Planning sessions undertaken in September 2022. As such, these results will be considered and addressed as part of the Portfolio Workforce Plan with a view to developing managers approach to staff engagement in a hybrid working environment.	Strategic Director - Partnership & Performance
P&P S15 HWD	Staff Survey - Partnership & Performance staff - I feel a sense of achievement for the work I do	69%	75%	↑	↑	P&P SMT have discussed these results at Service Bipartite, and as part of their Workforce Planning sessions undertaken in September 2022. As such, these results will be considered and addressed as part of the Portfolio Workforce Plan with a view to developing managers approach to staff engagement in a hybrid working environment.	Strategic Director - Partnership & Performance
P&P S17 HWD	Staff Survey - Partnership & Performance staff - I feel that I am treated with dignity and respect within my team	65%	95%	↓	↓	P&P SMT have discussed these results at Service Bipartite, and as part of their Workforce Planning sessions undertaken in September 2022. As such, these results will be considered and addressed as part of the Portfolio Workforce Plan with a view to developing managers approach to staff engagement in a hybrid working environment.	Strategic Director - Partnership & Performance










Code	INDICATOR	2021/22				Latest Note	Lead
		Value	Target	Long Trend	Short Trend		
P&P S21 HWD	Staff Survey - Partnership & Performance staff - I am clear about how I contribute to the organisation's goals	68%	100%			P&P SMT have discussed these results at Service Bipartite, and as part of their Workforce Planning sessions undertaken in September 2022. As such, these results will be considered and addressed as part of the Portfolio Workforce Plan with a view to developing managers approach to staff engagement in a hybrid working environment.	Strategic Director - Partnership & Performance
P&P AB1 GOV	Average FTE Days Sickness Absence (Partnership & Performance)	8.2				Despite a challenging context and an aging workforce performance continues to improve.	Strategic Director - Partnership & Performance

Improvement Actions

Code	ACTION	By When	Progress	Expected Outcome	Latest Note	Lead
P&P 20 001	Co-ordinate major incident response/recovery and ensure that statutory plans for resilience are in place, updated and tested as part of a scheduled programme of work which included Covid response and recovery and EU Withdrawal risk and mitigation. Implementing workforce development around Integrated Emergency Management and Business Continuity Management will also be taken forward in 2021/22.	31-Mar-2022			The Council's MEOPS plan was reviewed in early 2020 and has been tested throughout the Global Pandemic. Further waves of Covid were co-ordinated, as was a number of challenging winter storms from Arwen to Eunice. A number of supporting plans are being reviewed as part of a programme of work being led through the FV Local Resilience Partnership. Development work continues on a number of major exercises, including the multiagency Ex Blackgrange run in August 2022. In early September an incident team coordinated local aspects of Operation Unicorn following the death of HM Queen Elizabeth. Further incident teams are planned to ensure winter preparedness and to ensure adequate measures are in place to support the expected impacts associated with the cost of living crisis.	Strategic Director - Partnership & Performance
P&P 20 003	Support consultation and engagement activities (budget and corporate strategies).	31-Mar-2022			The Council's budget engagement consultation for 2022/23 was supported and work is underway for the 2023/24 budget engagement.	Senior Manager Partnership & Transformation


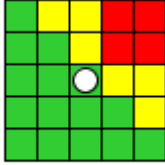
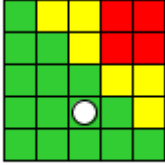
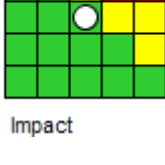
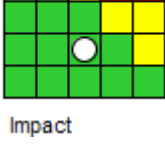
Code	ACTION	By When	Progress	Expected Outcome	Latest Note	Lead
P&P 20 004	Develop and publish key corporate and partnership strategies and annual reports as part of an agreed programme.	31-Mar-2022	<div style="width: 100%;"><div style="width: 100%;"></div></div> 100%		This work was completed but after the deadline due to a combination of the pre-election period and disruption associated with the pandemic.	Senior Manager Partnership & Transformation
P&P 20 005	Refresh our Corporate Communications Strategy, related policies and Communications channels in line with Be the Future and the Strategic Roadmap.	31-Mar-2022	<div style="width: 75%;"><div style="width: 75%;"></div></div> 75%		Various elements have been developed to support Be the Future programme, however development work overall is overdue. The strategy will support a revised LOIP/corporate plan with a revised estimated completion date of late 2022.	Senior Manager Partnership & Transformation
P&P 20 006	Implement approved Mainstreaming Equalities and Diversity Report 2021/25.	31-Mar-2022	<div style="width: 100%;"><div style="width: 100%;"></div></div> 100%		The Council's progress on Mainstreaming Equalities and Diversity report was agreed at Council in April 2021 and published on the Council's website thereafter.	Senior Manager Partnership & Transformation
P&P 20 007	Develop a new Wellbeing Local Outcomes Improvement Plan with partners as part of the work to achieve a wellbeing economy. Review partnership structures, planning and performance management structures as part of this work.	31-Mar-2022	<div style="width: 75%;"><div style="width: 75%;"></div></div> 75%		Considerable progress has been made with significant support from the Scottish Government. The Clackmannanshire Alliance will consider a draft document when it meets in October 2022.	Senior Manager Partnership & Transformation
P&P 20 009	Maintain Healthy Working Lives (Silver Level)	31-Mar-2022	<div style="width: 100%;"><div style="width: 100%;"></div></div> 100%		Retained. The programme has been suspended nationally due to the pandemic, but our group has continued to meet and to deliver a programme of interventions to support the workforce in line with the HWL programme.	Senior Manager HR & Workforce Development
P&P 20 010	Undertake Staff Survey	31-Dec-2021	<div style="width: 100%;"><div style="width: 100%;"></div></div> 100%		Survey is completed. Results compiled and reported to Committee.	Senior Manager HR & Workforce Development
P&P 20 011	Develop & Implement a Leadership and Management Development programme that support our vision and values	31-Dec-2021	<div style="width: 75%;"><div style="width: 75%;"></div></div> 75%		Significant work being undertaken, including Values Based Leadership work facilitated through the Columba 1400 programme, and work on commissioning a wider support programme is well underway based on learning through VBL and Covid response.	Senior Manager HR & Workforce Development
P&P 20 012	Embed new Health & Safety Management System	31-Mar-2022	<div style="width: 100%;"><div style="width: 100%;"></div></div> 100%		Ongoing progress and development of the system which will continue for the foreseeable future.	Senior Manager HR & Workforce Development
P&P 20 013	Substantially conclude and Implement P&P Redesign, including implementation of immediate workforce plan priorities	31-Mar-2022	<div style="width: 40%;"><div style="width: 40%;"></div></div> 40%		This work is overdue due to competing priorities however a renewed focus has been applied with a view to ensure an input to the upcoming budget.	Strategic Director - Partnership & Performance


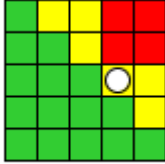
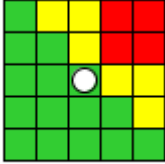
Code	ACTION	By When	Progress	Expected Outcome	Latest Note	Lead
P&P 20 014	Develop further the principles of the Fair Work Convention	31-Mar-2022	<div style="width: 100%;"><div style="background-color: #4f81bd; height: 100%;"></div></div> 100%		Progress continues to me made as part of the agreed Community Wealth Building Action Plan including achievement of Real Living Wage accreditation status.	Senior Manager HR & Workforce Development
P&P 20 018	Lead on the approach to enable improved governance through the Annual Governance Statement	31-Mar-2022	<div style="width: 100%;"><div style="background-color: #4f81bd; height: 100%;"></div></div> 100%		Completed on schedule and reported to Audit Committee. Work is well underway for the current year.	Senior Manager - Legal & Governance
P&P 20 019	Lead on the approach to deliver approved Annual Accounts	31-Dec-2021	<div style="width: 100%;"><div style="background-color: #4f81bd; height: 100%;"></div></div> 100%		Completed on schedule and reported to Audit Committee.– clean audit opinion received. Work is well underway for the current year.	Senior Manager Finance & Revenues
P&P 20 021	Make preparations for the May 2022 Local Government Elections	31-Mar-2022	<div style="width: 100%;"><div style="background-color: #4f81bd; height: 100%;"></div></div> 100%		Work is complete on this major project.	Senior Manager - Legal & Governance
P&P 20 022	Complete a review Standing Orders & Scheme of Delegation	31-Mar-2022	<div style="width: 75%;"><div style="background-color: #4f81bd; height: 100%;"></div></div> 75%		This work is overdue but work is being progressed as reported to Council.	Senior Manager - Legal & Governance
P&P 20 023	Lead on the approach to deliver an approved balanced budget 2022/23	31-Mar-2022	<div style="width: 100%;"><div style="background-color: #4f81bd; height: 100%;"></div></div> 100%		Completed and approved by Council. Work underway for 2023/24.	Senior Manager Finance & Revenues
P&P 20 027	Refresh the Digital Transformation Strategy in light of the new Scottish Digital Strategy and refine the Digital Roadmap for Clackmannanshire.	31-Mar-2022	<div style="width: 100%;"><div style="background-color: #4f81bd; height: 100%;"></div></div> 100%		Plans refreshed and considered by Council as part of the 2022/23 budget proposals. Further work underway through Be the Future programme.	Strategic Director Transformation
P&P 20 028	Refresh the ICT infrastructure Improvement Plan and ICT Asset Management Plan. This work will include a review of ICT policies on a programmed basis.	31-Mar-2022	<div style="width: 100%;"><div style="background-color: #4f81bd; height: 100%;"></div></div> 100%		Discovery work complete and route map developed. Business Case being developed .	Senior Manager Partnership & Transformation
P&P 20 029	Implement Scottish Cyber Security Resilience Framework and identify associated improvement plan.	31-Mar-2022	<div style="width: 75%;"><div style="background-color: #4f81bd; height: 100%;"></div></div> 75%		Linked to the above, progressing.	Senior Manager Partnership & Transformation
P&P 20 031	Consolidate corporate support Information management approaches and develop an action plan to address gaps	31-Mar-2022	<div style="width: 50%;"><div style="background-color: #4f81bd; height: 100%;"></div></div> 50%		This work is overdue though work is progressing, with further progress expected over the coming year.	Senior Manager - Legal & Governance
P&P 20 032	Implement M365 and the Digital Champions Programme to support deployment across the workforce.	31-Dec-2021	<div style="width: 75%;"><div style="background-color: #4f81bd; height: 100%;"></div></div> 75%		Linked to actions 028 and 029 above. Good progress has been made with the digital champions project.	Senior Manager Partnership & Transformation


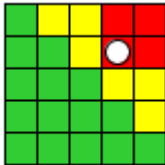
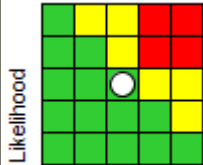
Code	ACTION	By When	Progress	Expected Outcome	Latest Note	Lead
P&P 20 033	Deliver the agreed IT capital plan	31-Mar-2022	<div style="width: 100%;"><div style="background-color: #4F81BD; height: 10px; width: 100%;"></div></div> 100%		Concluded for last year. Progress is being made for this year with a recent issue of an ITT for telephony. There is uncertainty over deployment of the fibre rollout in year due to competing priorities.	Senior Manager Partnership & Transformation
P&P 21 001	Refresh the Councils Prevent strategy and approaches including implementing a programme of training and reviewing the Prevent Multi-agency Panel (PMAP) process in line with CONTEST statutory duties and as part of the Corporate Risk and Integrity approach.	31-Mar-2022	<div style="width: 50%;"><div style="background-color: #4F81BD; height: 10px; width: 50%;"></div></div> 50%		This work remains overdue due to competing priorities. Progress has included a review of refreshed guidance and PMAP arrangements. Participation in national and regional CONTEST networks is ongoing. Current operational and strategic processes remain in place, including mandatory training programmes for staff. Finalisation of a refreshed Contest strategy remains to be completed.	Senior Manager Partnership & Transformation
P&P 21 002	Undertake a Covid debrief process following the national review and debrief protocol.	30-Sep-2021	<div style="width: 100%;"><div style="background-color: #4F81BD; height: 10px; width: 100%;"></div></div> 100%		Complete, although delayed. It was reported to Audit Committee in February 2022. It is acknowledged that this will be an ongoing learning process.	Senior Manager Partnership & Transformation
P&P 21 003	Put in place Hybrid Working approaches to support COVID recovery and organisational transformation	31-Mar-2023	<div style="width: 50%;"><div style="background-color: #4F81BD; height: 10px; width: 50%;"></div></div> 50%		Work progressing through 3 working groups at present. Arrangements will be in place to support staff within the context of the Strategic Recovery Framework announced by the SG in February 2022.	Strategic Director - Partnership & Performance
P&P 21 004	Publish Local Child Poverty Action Plan Implementation and annual report; Gaelic Language Plan Implementation and annual report; BSL annual report.	31-Mar-2022	<div style="width: 100%;"><div style="background-color: #4F81BD; height: 10px; width: 100%;"></div></div> 100%		Complete.	Senior Manager Partnership & Transformation
P&P 21 005	Support Census 2022 process for Clackmannanshire.	31-Mar-2022	<div style="width: 100%;"><div style="background-color: #4F81BD; height: 10px; width: 100%;"></div></div> 100%		Complete.	Senior Manager Partnership & Transformation
P&P 21 006	Following formation of a New Administration develop a refreshed Corporate Plan 2022-27	31-Mar-2023	<div style="width: 0%;"><div style="background-color: #4F81BD; height: 10px; width: 0%;"></div></div> 0%		Work has commenced though this will align with the LOIP which is being developed as priority.	Senior Manager Partnership & Transformation
P&P 21 007	Procurement Strategy Review	31-Mar-2023	<div style="width: 0%;"><div style="background-color: #4F81BD; height: 10px; width: 0%;"></div></div> 0%		Work not started. Updates will be provided within future reports.	Senior Manager Finance & Revenues
P&P 21 008	Major emergencies operational procedures Civil Contingencies Guidance Review	31-Mar-2023	<div style="width: 50%;"><div style="background-color: #4F81BD; height: 10px; width: 50%;"></div></div> 50%		Work is ongoing with no issues anticipated at this time.	Senior Manager Partnership & Transformation

Code	ACTION	By When	Progress	Expected Outcome	Latest Note	Lead
P&P 21 009	Business Planning Guidance and Performance Management Framework Review	31-Mar-2023	<input type="text" value="0%"/>	✓	Work not started. No issues expected.	Senior Manager - Legal & Governance
P&P 21 010	Consultation Guidance and Toolkit Review	31-Mar-2023	<input type="text" value="0%"/>	✓	Work not started. Updates will be provided within future reports.	Senior Manager Partnership & Transformation
P&P 21 011	Customer Charter Review	31-Mar-2023	<input type="text" value="50%"/>	✓	Work on a revised charter is under way. Consultation will be required.	
P&P 21 012	Unacceptable Behaviour Policy Review	31-Mar-2023	<input type="text" value="50%"/>	✓	Work ongoing a revised policy is being drafted.	
P&P 21 013	Reporting Concerns at Work (Whistleblowing) Policy Review	31-Mar-2023	<input type="text" value="50%"/>	✓	Work ongoing. A revised policy has been drafted.	
P&P 21 014	Financial Regulations Review	31-Mar-2023	<input type="text" value="0%"/>	✓	Work not started. Updates will be provided within future reports.	Senior Manager Finance & Revenues
P&P 21 015	Contract Standing Orders Review	31-Mar-2023	<input type="text" value="0%"/>	✓	Work not started. Updates will be provided within future reports.	Senior Manager Finance & Revenues

Risk Register

ID & Title	P&P SRR 001	Breakdown or significant interruption in service provision for internal and or external customers as a result of catastrophic systems or knowledge loss or major incident.	Status		Managed By	Strategic Director - Partnership & Performance	Current Rating	9	Target Rating	6
Potential Effect	Breakdown or significant interruption in service provision for internal and or external customers as a result of catastrophic systems or knowledge loss or major incident.									
Related Actions	P&P 20 001	Co-ordinate major incident response/recovery and ensure that statutory plans for resilience are in place, updated and tested as part of a scheduled programme of work which included Covid response and recovery and EU Withdrawal risk and mitigation. Implementing workforce development around Integrated Emergency Management and Business Continuity Management will also be taken forward in 2021/22.	Internal Controls	Business Continuity Plans						
Latest Note	Staffing resources continue to be impacted in dealing with the impacts of the ongoing global pandemic and other civil contingencies, however, this has lessened by and large and most Business as usual services are operating to a significant extent. Concurrent risks from supply chain and labour issues, the cost of living crisis, adverse weather, geopolitical events or major outage continue to pose an ongoing risk to business continuity. IMTs continue to be convened as necessary and a substantial review of business continuity plans will be undertaken over the current year.									

ID & Title	P&P SRR 003	Sub optimisation of community empowerment opportunities and the risk that we will not be able to achieve our corporate priority to empower families and communities. Ineffective communication and engagement with communities may result in poor relationships, breakdown of trust and loss of confidence which impacts on the Councils reputation.	Status		Managed By	Senior Manager Partnership & Transformation	Current Rating	12	Target Rating	9
Potential Effect	Sub optimisation of community empowerment opportunities and the risk that we will not be able to achieve our corporate priority to empower families and communities. Ineffective communication and engagement with communities may result in poor relationships, breakdown of trust and loss of confidence which impacts on the Councils reputation.									
Related Actions	P&P 19 031	Ensure that community planning structures are effective and enable the integrated delivery of the Local Outcomes Improvement Plan 2017/27.	Internal Controls	Customer Consultation & Engagement	 Likelihood	 Impact				
	P&P 19 032	Develop options with partners to consider community research and surveys to inform strategic planning and performance (replace Clacks 1000).		Community Learning & Development Strategy						
	P&P 20 003	Support consultation and engagement activities (budget and corporate strategies).		Mainstreaming Equality & Diversity						
	P&P 20 005	Refresh our Corporate Communications Strategy, related policies and Communications channels in line with Be the Future and the Strategic Roadmap.		Community Asset Transfer Guidance						
Latest Note	P&P resources for this area of work are modest during Business as Usual, though this was wholly displaced during the worst of the pandemic. In the last 6 months we have managed to get some resources back to support community activities, e.g. galas, Joint Community Council Forum, community council elections.									

ID & Title	P&P SRR 004	Ineffective or poor engagement with staff resulting in poor relations and an inability to be unable to embed our values and achieve our vision. Workforce gaps as a result of difficulties with recruitment and retention and or displacement as a result of ongoing Covid response matters leading to difficulties in meeting statutory or regulatory requirements both now and possibly more acutely in the future.	Status		Managed By	Senior Manager HR & Workforce Development	Current Rating	16	Target Rating	9
Potential Effect	Ineffective or poor engagement with staff resulting in poor relations and an inability to be unable to embed our values and achieve our vision. Workforce gaps as a result of difficulties with recruitment and retention and or displacement as a result of ongoing Covid response matters leading to difficulties in meeting statutory or regulatory requirements both now and possibly more acutely in the future.									
Related Actions	P&P 20 005	Refresh our Corporate Communications Strategy, related policies and Communications channels in line with Be the Future and the Strategic Roadmap.	Internal Controls	Staff Survey			Likelihood	Impact	Likelihood	Impact
	P&P 20 010	Undertake Staff Survey		Strategic Workforce Plan						
	P&P 20 013	Substantially conclude and Implement P&P Redesign, including implementation of immediate workforce plan priorities								
Latest Note	Substantial progress has continued on this area of work as part of work commenced during the pandemic response. A number of workforce policies have been developed and implemented, in-year and workforce. Further work is plan as part of Be the Future programme. Labour shortages continue to cause difficulties across the board, impacting on operations, staff and strategic priorities. Forecast suggest that labour shortages and supply chain issues may continue for at least the next 36 months, with the potential to impact on the existing, ageing workforce. This will require an ongoing response of flexibility, adaptability and ingenuity. The service is currently reviewing its strategic workforce plan.									

ID & Title	P&P SRR 006	There is a risk that the current pandemic and labour shortage environment amplifies the risk of a significant governance failure that could lead to a potential for serious financial, reputational or workforce harms.	Status	?	Managed By	Strategic Director - Partnership & Performance	Current Rating		Target Rating	9
Potential Effect	There is a risk that the current pandemic environment amplifies the risk of a significant governance failure that could lead to a potential for serious financial, reputational or workforce harms.									
Related Actions	P&P 20 006	Implement approved Mainstreaming Equalities and Diversity Report 2021/25.	Internal Controls		Internal Audit Programme					
	P&P 20 012	Embed new Health & Safety Management System			External Audit Assurance & Improvement Plan					
	P&P 20 019	Lead on the approach to deliver approved Annual Accounts			Annual Governance Statement					
	P&P 20 029	Implement Scottish Cyber Security Resilience Framework and identify associated improvement plan.								
	P&P 20 031	Consolidate corporate support Information management approaches and develop an action plan to address gaps								
	P&P 21 001	Refresh the Councils Prevent strategy and approaches including implementing a programme of training and reviewing the Prevent Multi-agency Panel (PMAP) process in line with CONTEST statutory duties and as part of the Corporate Risk and Integrity approach.								
	P&P 21 007	Procurement Strategy Review								
	P&P 21 014	Financial Regulations Review								
Latest Note	The pandemic and concurrent risks profile, temporary pausing of audit and scrutiny activity in 2020 combined with staff turnover and a stretched workforce has created risks that could result in failures of governance. Capability and remains variable across the directorate, and therefore this risk will require ongoing significant focus. Our External Auditor raised the risk and Fraud and Corruption in its most recent audit opinion within the current pandemic response environment therefore this area is a priority in the current year, including a review of our Whistleblowing policy.									

ID & Title	P&P SRR 007	Risk that current resource base cannot meet rising demand resulting from emerging environmental factors including Brexit, the cost of living crisis, high inflation and climate change.	Status		Managed By	Strategic Director - Partnership & Performance	Current Rating	16	Target Rating	9
Potential Effect	Risk that current resource base cannot meet rising demand resulting from Covid pandemic and other environmental factors including Brexit and climate change.									
Related Actions	P&P 20 023	Lead on the approach to deliver an approved balanced budget 2022/23	Internal Controls	Budget Strategy & Monitoring			Likelihood	Impact		
	P&P 21 015	Contract Standing Orders Review		Corporate Transformation Programme						
				Procurement Strategy						
Latest Note	Demand pressures are indicating a high degree of uncertainty in regard of short to medium term budget planning. It is looking increasingly unlikely that inflationary costs pressures will return to pre-Covid levels in the short term. This is exacerbated by current geopolitical events in Eastern Europe, and a deteriorating world economic climate suggesting our greatest challenges lie ahead. Whilst this is impacting on costs to the Council, it is also impacting on our communities, which in turn poses a risk of increasing service demands. Given the extent of external environmental factors there is a large element of this risk that the Council may need to tolerate and react to in the short to medium term.									

ID & Title	P&P SRR 008	Covid biosecurity requirements and increasing financial constraint are driving accelerated demand and expectation for increased digital service provision. There is a risk that the Council will not be able to meet these changes or that increased reliance on digital services increases the risks associated with outages or related to information security.	Status		Managed By		Current Rating		Target Rating	9
Potential Effect	Covid biosecurity requirements have driven accelerated demand and expectation for increased digital service provision. There is a risk that the Council will not be able to meet these changes or that increased reliance on digital services increases the risks associated with outages or related to information security.									
Related Actions	P&P 20 029	Implement Scottish Cyber Security Resilience Framework and identify associated improvement plan.	Internal Controls				Likelihood	Impact		
	P&P 20 031	Consolidate corporate support Information management approaches and develop an action plan to address gaps								
	P&P 20 032	Implement M365 and the Digital Champions Programme to support deployment across the workforce.								
	P&P 20 033	Deliver the agreed IT capital plan								
Latest Note	The Council has made significant investment in digital infrastructure during the Covid pandemic, including M365. This work will need to continue at pace to meet citizen demand and to sufficiently realise benefits. Given the general increased risk profile across the board, including the impacts and consequences of geopolitical developments in Eastern Europe, this is an important area of ongoing focus.									

Report to: Audit & Scrutiny Committee

Date of Meeting: 27 October 2022

Subject: Internal Audit Plan 2022/23

Report by: Internal Audit Manager

1.0 Purpose

1.1. This report presents a 2022/23 Internal Audit Plan for approval.

2.0 Recommendations

2.1 It is recommended that the Committee:

- notes the resources available to Internal Audit;
- notes that the plan is indicative and flexible;
- agrees the Internal Audit Plan for 2022/23; and
- notes that progress will be reported to the Audit Committee on an ongoing basis.

3.0 Considerations

3.1 The Public Sector Internal Audit Standards 2017 (PSIAS) require the preparation of a risk based Internal Audit Plan setting out the team's annual work programme. For 2022/23, this has again been done within the context of a Joint Working Agreement with Falkirk Council (this Agreement covers the period to 31 March 2023).

3.2 Priorities, resource, and Directorate capacity has, and will continue to, fluctuate and change over the course of 2022/23. This Internal Audit Plan must be considered indicative and flexible. There is a chance that all planned assignments will not be completed as Internal Audit resource will continue to be directed to areas where there is the greatest need.

4.0 Clackmannanshire Council Internal Audit Plan: Internal Audit Resources and Reporting Arrangements

4.1 Internal Audit's role is to provide a balanced and evidence based opinion on the adequacy of the Council's arrangements for risk management, governance, and control.

4.2 To do this, the Internal Audit team must be:

- independent;

- objective in performing audit work; and
- adequately resourced, experienced, qualified, and knowledgeable.

4.3 The Internal Audit team are experienced and professionally qualified. The role, authority, and responsibility of the team is formalised within an Internal Audit Charter. The updated Charter was approved by the Committee at the August 2022 meeting. The Charter is clear that Internal Auditors will have no direct operational responsibility or authority over any of the activities audited, and that they must exhibit the highest level of professional objectivity at all times.

4.4 The resource available to deliver the 2022/23 Internal Audit Plan is summarised in the table below:

Activity	Planned Days
Annually Recurring Assignments	45
Committed Assignments	261
Consultancy Work	15
Work on Recommendations Outstanding	15
Central Scotland Valuation Joint Board	20
Clackmannanshire and Stirling IJB	25
Total	381

4.5 Key points relating to this table are:

- **Annually Recurring Assignments:** these are assignments that Internal Audit is committed to undertaking on an annual basis. They will be completed as demand requires, and time permits, over the course of the year. A summary of each of these assignments is set out at Appendix 1;
- **Committed Assignments April 2022 to March 2023:** It is inevitable that there will be changes to the council's risk profile over the course of the year. On that basis, Internal Audit will commit to undertaking a programme of assignments, however, a degree of flexibility is required to react to any changes in the Council's risk profile. Details of these reviews are set out at Appendix 2.

4.6 As required by PSIAS, this Plan was developed taking account of key financial and other risks. This was done by:

- considering the Council's Corporate Risk Log;
- reviewing key governance documents (such as the Corporate Plan and Committee papers); and
- consulting with senior managers.

4.7 For each assignment a more detailed Terms of Reference will be agreed with the relevant Strategic Director prior to the commencement of fieldwork. This

will be linked to the relevant corporate risk(s) and set out the scope of work to be undertaken.

- 4.8 On completion of each review, Internal Audit will issue a draft report to the Strategic Director. In most instances, this will include an opinion on the adequacy of risk management, governance, and control arrangements in the area under review, and an action plan setting out any recommendations for improvement. The assurance will be provided in line with the definitions set out at Appendix 3.
- 4.9 For some assignments no overall assurance will be provided. This may be the case where, for example, Internal Audit undertake work in relation to a developing system and issue a Position Statement rather than a full report (although recommendations may still be raised), or where we are involved as part of a longer term workstream.
- 4.10 Where Internal Audit makes recommendations, the Strategic Director will be required to provide formal responses (including action dates). The report and completed action plan will then form the final record of the assignment. Chief Officers are responsible for ensuring that all recommendations are implemented by the agreed action date, and the corporate Pentana system is used to monitor and manage this.
- 4.11 Recommendations for 2022/23 onwards will be subject to a grading process, as per the table below. This will ensure recommendations are addressed according to priority.

Grade	Description
1	Key risks and / or significant deficiencies which are critical to the achievement of the strategic objections. Consequently management needs to address and seek resolution urgently.
2	Risks or potential weaknesses which impact on individual objectives, or impact the operation of a single process, and so require prompt, but not immediate action by management.
3	Less significant issues and / or areas for improvement which we consider merit attention, but do not require to be prioritised by management.

- 4.12 Progress with completing the 2022/23 Internal Audit Plan will be reported to Committee throughout the year. Internal Audit will work closely with the Council's appointed External Auditors to ensure that work is co-ordinated and complimentary.
- 4.13 Each year, an Internal Audit Annual Assurance Report will be presented to Committee. This will give an overall opinion on the Council's risk management, governance, and control arrangements, based on the work Internal Audit has carried out over the course of the year.

5.0 Sustainability Implications

- 5.1. None Noted.

6.0 Resource Implications

Financial Details

- 6.1. The full financial implications of the recommendations are set out in the report. This includes a reference to full life cycle costs where appropriate. Yes
- 6.2. Finance have been consulted and have agreed the financial implications as set out in the report. Yes

Staffing

- 6.3. No implications other than those set out in the report.

7.0 Exempt Reports

- 7.1. Is this report exempt? Yes (please detail the reasons for exemption below) No

8.0 Declarations

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

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

- Clackmannanshire will be attractive to businesses & people and ensure fair opportunities for all
- Our families; children and young people will have the best possible start in life
- Women and girls will be confident and aspirational, and achieve their full potential
- Our communities will be resilient and empowered so that they can thrive and flourish

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

9.0 Equalities Impact

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

10.0 Legality

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

11.0 Appendices

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

- Appendix 1: Internal Audit Plan 2022/23 Annually Recurring Assignments.
- Appendix 2: Internal Audit Plan 2022/23 Committed Assignments.
- Appendix 3: Definition of Internal Audit Assurance Categories.

12.0 Background Papers

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

Yes (please list the documents below) No

Author(s)

NAME	DESIGNATION	TEL NO / EXTENSION
Isabel Wright	Internal Audit Manager	01324 506342

Approved by

NAME	DESIGNATION	SIGNATURE
Stuart Crickmar	Strategic Director Partnerships and Performance	

INTERNAL AUDIT PLAN 2022/23 ANNUALLY RECURRING ASSIGNMENTS

No.	Directorate	Purpose and Scope of Assignment
A01	All Directorates	<p>National Fraud Initiative The National Fraud Initiative (NFI) is a bi-ennial counter fraud exercise using data matching to identify potential fraud and error. In Scotland, the NFI is administered by Audit Scotland, with the results of the data matching exercise made available to individual Councils via a secure website. Data matches relate to areas such as Housing Benefit, Council Tax Discount, Payroll, Pensions, and Creditors.</p> <p>The Internal Audit Manager and Senior Internal Auditor are 'key contacts' for Clackmannanshire Council. The role of the 'key contact' is to co-ordinate the gathering of data from Services and to upload that data to the secure NFI web portal (November 2022). When the outcomes arising from Audit Scotland's data matching are released back to the Council (from January 2023 onwards) it is the responsibility of the 'key contact' to co-ordinate and support Services in their investigation of those matches.</p> <p>Risks Mitigated:</p> <ul style="list-style-type: none"> • Insufficient Financial Resilience; and • Failure to Address Serious Organised Crime.
A02	All Directorates	<p>Continuous Auditing This will focus on the testing of payments to suppliers of goods and services to identify any potential duplicate amounts paid.</p> <p>Risk Mitigated:</p> <ul style="list-style-type: none"> • Insufficient Financial Resilience.
A03	Place	<p>Climate Change Act Public Body Duties Audit The Climate Change (Scotland) Act introduced the requirement for public bodies to report on their climate change duties. The Council must submit an Annual Report to the Sustainable Scotland Network (SSN). This report must cover areas such as climate change governance, management and strategy, emissions, targets, and projects. Internal Audit will review reporting arrangements, and the accuracy of the information included in the report, prior to submission to the SSN.</p> <p>Risk Mitigated:</p> <ul style="list-style-type: none"> • Continued Contribution to Climate Change
A04	All Directorates	<p>Consultancy Work The Public Sector Internal Audit Standards are clear that the provision of ad hoc consultancy and advice to Services is a key element of Internal Audit's role. This time will be used to work closely with Services on things like: involvement in corporate projects and working groups; the provision of advice on guidance and controls; short term assignments requested by Services; and input into the investigation of actual or alleged irregularities.</p>
A05	Clackmannanshire and Stirling Integration Joint Board	<p>Clackmannanshire and Stirling Integration Joint Board NHS Forth Valley's Chief Internal Auditor has fulfilled that role for the Integration Joint Board (IJB) for the three years since 01 April 2019. From 2022/23 that lead role transfers to the Clackmannanshire Council Internal Audit Manager for three years. The Internal Audit Plan for 2022/23 will be presented to the IJB Audit Committee once 2021/22 work has been finalised and handover has taken place.</p>

No.	Directorate	Purpose and Scope of Assignment
A06	Central Scotland Valuation Joint Board	<p>Central Scotland Valuation Joint Board Agreed with Board management on 1 July 2022.</p>
A07	All Directorates	<p>Work on Recommendations Outstanding All recommendations made by Internal Audit are uploaded to the Pentana performance management system, with accountability and responsibility for implementing each recommendation allocated to the relevant manager.</p> <p>While Internal Audit will not follow up on the implementation of all recommendations, we have allocated time to the targeted follow up of a sample of these.</p>

INTERNAL AUDIT PLAN 2022/23 COMMITTED ASSIGNMENTS

No.	Directorate	Purpose and Scope of Assignment
A08	Partnership and Performance / All Directorates	<p>Non Domestic Rates This review will evaluate the controls established in the calculation of Non Domestic Rates (NDR). We will focus on reviewing the controls over the processing, checking, and authorisation of a sample of each of the following NDR transaction types; Calculation of Rates, Changes in Liability, Exemptions, and Reliefs.</p> <p>Risks Mitigated:</p> <ul style="list-style-type: none"> • Insufficient Financial Resilience; and • Impact of poverty, inequality, and changing demographics.
A09	All Directorates	<p>Building Security We will perform unannounced visits to a number of sites across the Council to ensure compliance with physical security requirements.</p> <p>Risks Mitigated:</p> <ul style="list-style-type: none"> • Health and Safety breach; and • Harm to Child(ren).
A10	Partnership and Performance / All Directorates	<p>Payroll Transactional Testing We will focus on a sample of overtime, new starts, leavers, and payroll related change transactions to ensure that they are properly authorised, actioned in a timely manner, and accurately processed.</p> <p>Risks Mitigated:</p> <ul style="list-style-type: none"> • Insufficient financial resilience.
A11	Partnership and Performance / All Directorates	<p>IT and Information Security Governance This high level review will cover governance arrangements in relation to IT and information security, including accountabilities, roles (group and individual), responsibilities, and the framework of policies, guidance, and training.</p> <p>Risk Mitigated:</p> <ul style="list-style-type: none"> • Information not managed effectively; • IT system failure; and • Health and Safety breach.
A12	People / All Directorates	<p>Purchase Order Arrangements at Clackmannanshire for Adult Social Care This audit will test a sample of Adult Social Care payments made, and review purchase order and invoice authorisation to ensure compliance with policies and procedure.</p> <p>Risk Mitigated:</p> <ul style="list-style-type: none"> • Insufficient financial resilience; and • Failure to address Serious Organised Crime.

No.	Directorate	Purpose and Scope of Assignment
A13	All Directorates	<p>Physical Income Security Arrangements We will perform unannounced visits to a number of income generating and cash storing sites across the Council.</p> <p>Risk Mitigated:</p> <ul style="list-style-type: none"> • Insufficient financial resilience; and • Health and Safety breach.
A14	Partnership and performance / People	<p>Leisure Income Follow Up Review This review will follow up on the previous 2021/22 report to ensure recommendations have been implemented. This will include sample testing.</p>
A15	People	<p>Refugee Schemes Governance This is a high level review, therefore, we will undertake walkthrough testing. We will review the roles and responsibilities, policies and procedures, and financial management information.</p> <p>Risk Mitigated:</p> <ul style="list-style-type: none"> • Impact of poverty, inequality, or changing demographics; • Insufficient Financial Resilience; and • Increasing attainment gap.
A16	All Directorates	<p>Supplier Set Up and Bank Account Changes This review will test a sample of new suppliers, and suppliers with a change in bank account details, to ensure policies and procedures are followed.</p> <p>Risk Mitigated:</p> <ul style="list-style-type: none"> • Insufficient Financial Resilience; • Failure to address Serious Organised Crime; and • Information not managed effectively.

DEFINITION OF INTERNAL AUDIT ASSURANCE CATEGORIES

Level of Assurance	Definition
Substantial Assurance	Largely satisfactory risk, control, and governance systems are in place. There may be some scope for improvement as current arrangements may undermine the achievement of objectives or leave them vulnerable to error or abuse.
Limited Assurance	Risk, control, and governance systems have some satisfactory aspects. There are, however, some significant weaknesses likely to undermine the achievement of objectives and leave them vulnerable to an unacceptable risk of error or abuse.
No Assurance	The systems for risk, control, and governance are ineffectively designed and operated. Objectives are not being achieved and the risk of serious error or abuse is unacceptable. Significant improvements are required.

Report to: Audit & Scrutiny Committee

Date of Meeting: 27 October 2022

Subject: Council Financial Performance 2022/23 as at June 2022

Report by: Chief Finance Officer

1.0 Purpose

1.1 This paper provides an update on the financial performance for the Council, as at June 2022, in respect of:

- the General Fund (GF) revenue and capital spend and the achievement of savings, for the current financial year, 2022/23,
- the Clackmannanshire element of the Stirling & Clackmannanshire Health and Social Care Partnership (H&SCP) revenue spend; and
- the Housing Revenue Account (HRA) revenue and capital spend, for the financial year, 2022/23

2.0 Recommendations

2.1 Committee is asked to note the report, commenting and challenging as appropriate on:

- 2.1.1 General Fund revenue overspend of £2.226m for the year to 31 March 2023;
- 2.1.2 the Clackmannanshire element of the Health and Social Care Partnership (H&SCP) underspend of £(0.840)m as at June, for the year to 31 March 2023;
- 2.1.3 the HRA revenue forecasted surplus of £(0.019m) over the budgeted surplus for the year to 31 March 2023;
- 2.1.4 the HRA Capital programme underspend of £(1.300)m which it is proposed to be carried forward;
- 2.1.5 the General Fund Capital Programme underspend of £(3.855)m, and
- 2.1.6 progress to date in delivering the £1.838m approved savings programme, currently forecast to achieve £1.490m, 81%, as at 31 March 2023.

3.0 Background

- 3.1 This report summarises the draft financial position of the Council for the financial year ended 31 March 2023. This report consolidates all of the detailed financial data to provide a summary position for the Council. The report also provides detail of individual Directorate positions within the appendices.

4.0 General Fund Revenue

- 4.1 As at 30 June 2022 the General Fund is forecasting an overspend of £2.226m. The Clackmannanshire element of the H&SCP is forecasting an underspend of £(0.840)m, however, any underspend is transferred to the HSCP at the year end in line with the integration scheme.
- 4.2 **Appendix 1** provides the breakdown by each Directorate and centrally held Corporate Service areas along with the position for Partnerships and Sources of Funding.
- 4.3 The Council Summary at **Appendix 1** shows the under and overspend positions for each of the Directorates and Corporate Areas. The overall overspend is attributable to the following Directorates: People £0.953m, Place £0.467m and Partnership & Performance £0.108m. Corporate Services is showing an overspend of £0.412m which includes centrally held savings achieved within the individual services.
- 4.4 **Appendices 3 to 6** provide details of individual Directorate financial performance.

5.0 Clackmannanshire & Stirling Health and Social Care Partnership (H&SCP)

- 5.1 The Clackmannanshire element of the Health and Social Care Partnership is projecting a underspend of £(0.840)m for the financial year based on financial information as at June 2022 and care commitments recorded in the social care management information service (CCIS) forecast for the remainder of the year.
- 5.2 Details of the forecast variances that make up this underspend are shown in **Appendix 7**. Due to the timing of reporting cycles, an updated forecast has been provided to the Integrated Joint Board as at July, reflecting an overspend for the year of £0.667m. This has been included in the recent consolidated financial report for the Partnership which showed a projected overspend of £2.882m including the set aside budget. This position was presented to the Board at its meeting on the 21st September 2022.

6.0 General Fund Capital

- 6.1 For 2022/23, the approved General Fund Capital programme set out significant gross investment in Clackmannanshire amounting to £14.886m. Following the draft outturn position for 2021/22 (subject to audit), a further £4.378m was added to the approved program and a further £0.288m has since been approved by Council in August 2022 for Clackmannan Regeneration, increasing the approved budget for 2022/23 to £19.550m.
- 6.2 Work on capital projects is at an early stage in the year and on review of the forecasts as at August, spend is estimated to be £15.695m for the year resulting in an underspend of £3.855m against the approved budget. **Appendix 10** provides detail of the forecasted expenditure to 31 March 2023 and variance against budget by project.
- 6.3 A summary of the projected outturn position for each of the Asset plans with main variances are shown in the table below:

Asset Management Strategy	Budget	Forecast to 31 March 2023	Forecast Over / (under) Spend	Main Variances
	£m	£m	£m	
Community Investment Strategy	4.721	4.562	(0.159)	The underspend against budget is primarily due to the following projects: -Wellbeing Hub £0.166m - proposed to be carried forward -Renewable energy projects £0.080m, £0.050m proposed to be carried forward.
Property	5.704	2.861	(2.843)	The underspend is primarily due to the following projects: -Wellbeing Complex – interim pool £2.154m due to cessation of project. Budget to be repurposed in line with overall Wellbeing Complex. - Learning estate contingencies £0.376m, not expected to be required at this time - Cemetery Wall Upgrade £0.299m postponed until 2023/24 due to weather and contractual delays
Roads	3.412	3.446	0.034	Slight overspend forecast on Bridge Improvements and Road Safety, however this may be offset through additional grant funding.
Land	0.538	0.293	(0.245)	Underspend due to rephasing of the budget for demolition of St Mungo's into 2023/24.

Asset Management Strategy	Budget	Forecast to 31 March 2023	Forecast Over / (under) Spend	Main Variances
	£m	£m	£m	
Fleet	0.973	0.973	-	Spend forecast in line with budget.
IT	4.202	3.560	(0.642)	Underspend driven predominately by four projects: <ul style="list-style-type: none"> - Social Services adaptations due to focus on analogue to digital £0.075m, - Analogue to Digital project due to delays, underspend carried forward to 2023/24 £0.086m - Digital infrastructure £0.177m, - Digital Learning Strategy £0.181m
Gross Capital Expenditure	19.550	15.695	(3.855)	
Allocation of Capital Funding	(5.553)	(5.553)	-	All funding forecast to be utilised in year. Funding is allocated to projects as it is spent. Any funding that is not utilised in full will be carried forward to 2023/24 where grant conditions allow or repaid.
Net Capital Programme	13.997	10.142	(3.855)	

7.0 Delivery of 2022/23 Approved Savings

7.1 At its budget meeting in March 2022, Council approved savings of £1.838m for the financial year 2022/23. The table below shows the split of these savings across Directorates and achievement of those savings by 31 March 2023.

General Services Revenue Budget 2022/23 - Progress of Approved Savings by Directorate

Directorate	Total Approved Savings £000	Achieved £000	At risk/unachievable £000
People	505	442	63
Place	505	220	285
Partnership & Performance	828	828	0
Total Approved Savings	1,838	1,490	336
		81%	19%

7.2 The above table indicates that 81% of savings will be achieved, with 19% unachieved in 2022/23. Detail of individual savings within each directorate is provided in **Appendix 2**.

8.0 Housing Revenue Account (HRA)

Revenue

8.1 The HRA June forecast is a surplus of £(5.644)m which is £(0.019)m above the budgeted surplus of £(5.625)m. **Appendix 8** provides a summary of the variances and the explanations for these.

Capital

8.2 The HRA Capital Programme for 2022/23 is £12.582m. This reflects the adjustments approved by Council at its meeting in August 2022 and amendments to the final carry forward from the October position that was indicated when setting the Budget. **Appendix 9** provides the detail for all the projects along with comments on their progress.

8.3 The new build development at Lochies Road Clackmannan has been delayed and it is forecast that the expenditure will be £0.800m this financial year. It is anticipated that the Scottish Government Grant can be claimed against this with the remaining budget being carried forward to complete the project.

8.4 The net budget of £1.845m for the purchase of properties is presently forecast to spend in full. However, this will require a clear strategy and sufficient resources to be in place to achieve this. This is a significant increase in expenditure from previous years and any underspend would be carried forward to future years to support the programme.

9.0 Conclusions

- 9.1 General Fund Revenue Services are forecasting an overspend of £2.226m for the year to 31 March 2023
- 9.2 The Clackmannanshire element of the H&SCP is forecasting to underspend £(0.840)m as at June for the year to 31 March 2023. This underspend remains in the partnership contributing to its overall year end financial position.
- 9.3 The HRA revenue is forecast to achieve a surplus over budget for the year of £(0.019)m to 31 March 2023.
- 9.4 The HRA Capital programme is forecast to underspend by £(1.300)m which is proposed to be carried forward.
- 9.5 The General Fund Capital programme is forecast to underspend of £(3.855)m.
- 9.6 Of the £1.838m approved savings programme, £1.490m (81%) are forecast to be achieved by 31 March 2023.

10.0 Sustainability Implications

- 10.1 There are no direct environmental sustainability implications arising from this report.

11.0 Resource Implications

11.1 *Financial Details*

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



- 11.3 Finance has been consulted and has agreed the financial implications as set out in the report. Yes

11.4 *Staffing*

- 11.5 There are no direct staffing implications arising from this report.

12.0 Exempt Reports

- 12.1 Is this report exempt? Yes (please detail the reasons for exemption below) No



13.0 Declarations

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

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

Clackmannanshire will be attractive to businesses & people and ensure fair opportunities for all

Our families; children and young people will have the best possible start in life

Women and girls will be confident and aspirational, and achieve their full potential

Our communities will be resilient and empowered so that they can thrive and flourish

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

14.0 Equalities Impact

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

Yes No

15.0 Legality

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

16.0 Appendices

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

Appendix 1 – Draft Council Summary at 30 June 2022

Appendix 2 – Summary Savings by Directorate at 30 June 2022

Appendix 3 – People Variances at June 2022

Appendix 4 – Place Variances at June 2022

Appendix 5 – P&P Variances at June 2022

Appendix 6 – Corporate Variances at June 2022

Appendix 7 – HSCP Variances at June 2022

Appendix 8 – HRA Revenue Variances at June 2022

Appendix 9 – HRA Capital Forecast as at June 2022

Appendix 10 – GF Capital Forecast 2022-23

17.0 Background Papers


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

Yes (please list the documents below) No

Author(s)

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Approved by

NAME	DESIGNATION	SIGNATURE
Lindsay Sim	Chief Finance Officer	
Stuart Crickmar	Director of Partnership & Performance	

At June 2022

	<i>Annual Budget 2022-23 £'000</i>	<i>Forecast to March 2023 £'000</i>	<i>Variance - Forecast to Budget £'000</i>
Directorate			
People	73,365	74,319	953
Place	31,793	32,260	467
Partnership & Performance	10,125	10,233	108
Transformation	569	569	0
Directorate Expenditure	115,852	117,380	1,528
Corporate			
Corporate Centrally Held	986	986	0
Corporate Services	(1,068)	(655)	412
Misc Services - Non Distributed Costs	1,100	1,100	0
	1,018	1,430	412
	116,870	118,811	1,941
less allocated to non general fund	(1,305)	(1,305)	0
	115,565	117,506	1,941
Add Requisitions from Joint Boards			
Central Scotland Valuation Joint Board	453	453	0
Corporate Expenditure	116,018	117,959	1,941
Add/Deduct			
Interest on Revenue Balances	(91)	(15)	76
Loans Fund Contribution	4,073	4,283	210
Contribution to Bad Debt Provision	200	200	0
Total Expenditure	120,200	122,426	2,226
Sources of Funding			
General Revenue Funding/Non-Domestic Rates	(116,393)	(116,393)	0
Council Tax	(24,427)	(24,427)	0
Contribution from Reserves	(2,742)	(2,742)	0
Contribution from Earmarked Reserves	(569)	(569)	0
Contribution from Uncommitted Reserves	(1,200)	(1,200)	0
Total Funding	(145,331)	(145,331)	0
Projected (Surplus)/Shortfall	(25,131)	(22,905)	2,226
Health & Social Care Partnership	25,131	24,291	(840)

Management Efficiency Savings 2022-23

Directorate	Department	Responsible Officer	Saving Reference	Description	Cash/ Permanent	2022/23 £	Achieved/ Likely to be achieved £	At Risk £	Unachieved £	Total £	Budgetholders Comments
P&P	Corporate	N Bridle	P&PMGT01	Turnover across services	Permanent	500,000	500,000			500,000	Likely to be achieved in full
P&P	Corporate	N Bridle	P&PMGT02	Hybrid Working - Reduction in Mileage	Cash	20,000	20,000			20,000	Saving achieved
P&P	Finance & Revs	L Sim	P&PMGT03	Vacancy Senior Accountancy Asst (12 mths)	Cash	48,000	48,000			48,000	Saving achieved
P&P	Finance & Revs	C Janvie	P&PMGT04	Cash Handling Consolidation	Permanent	15,000	15,000			15,000	Saving achieved
P&P	Finance & Revs	L Sim	P&PMGT05	Housing Benefit of homelessness income	Cash	20,000	20,000			20,000	Saving likely to be achieved
P&P	Corporate	N Bridle	P&PMGT06	Staff Salary Sacrifice Scheme Income	Permanent	1,000	1,000			1,000	Saving achieved
P&P	Partnership & Trans	C Janvie	P&PMGT07	Capitalisation of Digital Transformation posts supporting capital plan implementation	Cash	42,000	42,000			42,000	Saving achieved.
P&P	Partnership & Trans	C Janvie	P&PMGT08	Capitalisation of ICT posts supporting capital plan implementation	Cash	123,300	123,300			123,300	Saving achieved.
P&P	Partnership & Trans	C Janvie	P&PMGT09	Removal of Research and Information Vacancy	Permanent	30,000	30,000			30,000	Saving achieved
P&P	Partnership & Trans	C Janvie	P&PMGT10	Temporary Reduction in Kinlraigs Reception Resource	Cash	18,450	18,450			18,450	Saving achieved
P&P	HR & Workforce Development	C Alliston	P&PMGT11	Reduction to HR Legal budget	Permanent	10,000	10,000			10,000	Saving achieved
People	Primary non devolved	C Bruce	PEMGT07	Capitalisation of Project Manager for Digital Technology within People for Digital Rollout	Cash	50,155	50,155			50,155	Saving achieved
People	Strategic Director	L Sanda	PEMGT2	External Recharge to Regional Improvement Collaborative	Cash	67,241	67,241			67,241	Saving achieved
People	Early Years	L McDonald	PEMGT1B	ELC Staffing Models and Centre Support	Cash	17,468	17,468			17,468	Saving achieved
People	Primary	L McDonald	PEMGT2	Primary Schools Efficiency (Falling Rolls)	Permanent	95,292	95,292			95,292	Saving achieved
People	Strategic Director	L Sanda	PEMGT3	External Recharge to Regional Improvement Collaborative	Cash	14,980	14,980			14,980	Saving achieved
People	Libraries and Leisure	L McDonald	PEMGT8	Vacant libraries post	Permanent	34,314	34,314			34,314	Saving achieved
People	Care & Protection	S Robertson	PEMGT9	Withdraw support for external organisations Apex and CAB	Permanent	14,000	14,000			14,000	Saving likely to be achieved
People	Care & Protection	S Robertson	PEMGT11	Review SLA with SPS for Glenochil	Permanent	30,000		30,000		30,000	No SLA in place and discussions ongoing with SPS on this.
People	Care & Protection	S Robertson	PEMGT12	Align Criminal Justice spend with funding	Permanent	50,000	50,000			50,000	Saving likely to be achieved
People	Care & Protection	S Robertson	PEMGT13	Residential placements	Permanent	98,500	98,500			98,500	Saving likely to be achieved
People	Care & Protection	S Robertson	PEMGT15	Reduction in external foster places (further saving 23/24)	Permanent	33,000		33,000		33,000	Staff capacity shortages has halted progress on this review.
Place	Secondary PPP	P Leonard	PEMGT6	PPP Contract Management	Permanent	43,000		43,000		43,000	Dependent on an increase in agreed contract deductions
Place	Development	E Fyvie	PLMGT01	Trading Standards SLA	Cash	40,000	40,000			40,000	On track to be achieved
Place	Development	E Fyvie	PLMGT02	Economic Development Budget Realignment	Cash	25,000	25,000			25,000	Achieved
Place	Property	A Morrison	PLMGT03	Rental Properties	Permanent	45,390	45,390			45,390	Saving likely to be achieved
Place	Environment	I McDonald	PLMGT04	Street Lighting Maintenance	Cash	20,000	20,000			20,000	Saving likely to be achieved
Place	Environment	I McDonald	PLMGT05	Fleet Diesel	Cash	15,000		15,000		15,000	Unachievable due to rise in fuel price.
Place	Environment	I McDonald	PLMGT06	Fleet Tyres	Cash	10,000	10,000			10,000	Saving likely to be achieved
Place	Housing	T Cain	PLMGT07	Homelessness Income - increase previous cash saving of £100,000	Cash	200,000		200,000		200,000	Income being received but may not be achieved in full.
Place	Housing	T Cain	PLMGT10	Reconfiguration of staffing funding from other sources.	Cash	45,000	45,000			45,000	Saving likely to be achieved
Place	Property	A Morrison	PLMGT14	Rental Income	Permanent	12,000		12,000		12,000	Unlikely to be achieved in 2022/23 as new lease with tenant is predated on completion of essential works to the property by Council. Additional income streams in full should be available in 2023/24
				TOTAL		1,788,090	1,455,090	318,000	15,000	1,788,090	

Policy Savings 2022-23

Directorate	Department	Responsible Officer	Saving Reference	Description	Cash/ Permanent	2022/23 £	Achieved/ Likely to be achieved £	At Risk £	Unachieved £	Total £	Budgetholders Comments
Place	Waste Management	I McDonald	PLPOL2	Waste Income - internal charges	Cash	5,000	5,000			5,000	Likely to be achieved
Place	Environment	I McDonald	PLPOL3	Waste Income - Brown Garden Waste Bin Permit Charge	Cash	15,000	15,000			15,000	Likely to be achieved
Place	Environment	I McDonald	PLPOL4	Roads Charges Income	Permanent	12,000	3,300	8,700		12,000	Full income may not be achieved in 2022/23
Place	Environment	I McDonald	PLPOL5	Land Services Burials income	Cash	10,000	10,000			10,000	Income likely to be achieved
Place	Environment	I McDonald	PLPOL7	Waste Income - increase in bulky waste collection charge	Cash	5,000		5,000		5,000	Full income may not be achieved in 2022/23
Place	Environment	I McDonald	PLPOL8	Waste Income - Introduction of charges for bins at new developments	Cash	3,000	1,500	1,500		3,000	Income likely to be achieved but may not be in full for 2022-23
				TOTAL		50,000	34,800	15,200	0	50,000	

P&P	827,750	827,750	-	-	827,750
People	504,950	441,950	63,000	-	504,950
Place	505,390	220,190	270,200	15,000	505,390
Total	1,838,090	1,489,890	333,200	15,000	1,838,090
		81%		19%	

People	Annual Budget 2022/23	Forecast to March 2023	Variance Forecast to Budget at March 2023	Narrative
	£'000	£'000	£'000	
Strategic Director	64	64	(0)	No variance
Support & Wellbeing				
Strategy & Customer Services	688	580	(108)	Libraries: £(0.108)m underspend - due to unfilled posts and vacancy management.
Leisure & Sports Development	1,189	1,186	(2)	Sports Development: £(0.035)m underspend - due to staffing underspends from discontinued programmes. Leisure: £0.033m overspend - £(0.037) underspend due to staff turnover, £0.045m due to income shortfall and £0.025m non staffing costs.
Total Support & Wellbeing	1,877	1,766	(110)	
Education & Learning				
Devolved Schools	32,544	32,323	(221)	Devolved Schools: £(0.221)m underspend - £(0.514)m Primary due to staffing turnover and vacant posts; £0.168m Secondary due to £0.119m overspend on per capita and £0.049m overspend on staffing; £0.125m overspend in ASN due to £0.060m overspend on staffing, £0.035m income shortfall and £0.030m overspend on per capita. Any underspend in Devolved budgets is moved to earmarked reserves at year end and is available for use in the next financial year.
Early Years	10,314	10,283	(31)	Early Years: £(0.031)m underspend - £0.020m overspend on ABC nursery due to budget shortfall after realignment as facility now closed, £(0.077)m underspend on staffing due to staff turnover and £0.026m overspend in various minor non staffing. Forecast includes £0.300m additional funding for ELC Deferral Pilot.
ASN Non Devolved	5,692	5,936	243	ASN Non Devolved: £0.243m overspend - £0.074m overspend in Learning Assistants due to increasing demand; £0.125m overspend on pupil transport due to £0.034m for travel escorts and £0.091m pupil transport, which are both demand led; £0.024m overspend on accessibility strategy (budget shortfall based on previous years trends); £0.010m overspend on staffing and £0.010m overspend on various non staffing.
Primary Non Devolved	1,026	1,117	91	Core primary: £(0.030)m underspend - £(0.089)m underspend on teachers supply, £(0.022)m underspend in staffing as a result of turnover, £(0.018)m underspend on pupil transport, £0.099m overspend on non staffing (parent pay charges £0.008m, cleaning £0.026m, Seemis £0.082m, maintenance & repairs £0.020m less unallocated budget £(0.037)m). Teachers "Flexibility": £0.121m overspend - reflects a shortfall in flexibility reserves. This currently includes DSM related savings "Primary Schools Efficiency - Falling Roles" £0.095m and "Transforming Secondary curriculum - Year 2" £0.148m. It should be noted that until devolved staffing budgets are re-aligned to reflect Academic Year 22-23 and these savings are reflected in schools staffing budgets there will be a degree of uncertainty around balances in flexibility.
Secondary Non Devolved	1,730	1,771	41	Secondary Non Devolved: £0.041m overspend - £(0.025)m underspend in teachers supply, £(0.015)m underspend in staff turnover, £0.081m overspend on school transport due to inflationary pressures (assumes a 10% increase in bus contract rates).
Pupil Equity Funding	2,343	2,343	(0)	PEF (Pupil Equity Funding) is allocated on an Academic Year basis and any underspend is carried forward with the requirement that it is fully spent by July of the following year.

People	Annual Budget 2022/23	Forecast to March 2023	Variance Forecast to Budget at March 2023	Narrative
	£'000	£'000	£'000	
Business Management	731	748	17	Business Management: £0.017m overspend - £0.012m staffing and £0.005m various others.
Other Areas	878	835	(43)	Other Areas: £(0.043)m underspend - £(0.023)m underspend school crossing patrols and £(0.021)m underspend in youth and adult services due to staffing vacancies.
Education & Learning Total	55,258	55,356	98	
Care & Protection				
Children's Commissioned Services	686	836	150	Children's Commissioned Services: £0.150m overspend due to Payments to Voluntary organisations, which is in line with previous years. Commissioning review report first draft due in October 22.
Corporate Parenting	7,563	8,439	876	Kinship: £0.334m - £0.299m overspend on kinship payments as there are 183 children in kinship placements; £0.035m overspend on residence order payments. External Fostering Payments: £0.332m overspend due to there being 64 external fostering placements as our in house fostering capacity is fully utilised. Each external placement costs £0.026m per year. Home Care: £0.088m - This overspend is within the Home Care, Day Care and Self Directed Care costs within Children with Disabilities (CWD) budget. Woodside Childrens Unit: £0.054m overspend in employee costs. Intensive support services for youths within Throughcare/Aftercare: £0.037m Continuing Care: £0.029m due to assumed inflation of 5% of step up / step down support and care costs on current placements. Corporate Parenting: £(0.002)m - £0.011m overspend on transport and other supplier; £(0.009)m underspend in vacancy management throughout corporate parenting.
Fieldwork Children And Families	2,141	2,154	13	Fieldwork Children and Families: £0.013m overspent in client travel costs based on previous year actuals.
Residential Placements	2,847	2,918	71	Residential Placements: £0.111m overspend in Supported Accommodation due to an additional placement; £(0.040)m underspend in residential placements.
Strategy And Planning	207	215	8	Strategy and Planning: Overspend in employee costs.
Management Support	820	755	(65)	Underspend due to vacancies
Permanence Team	296	207	(89)	Permanence Team: £(0.093)m underspend on employee costs; £(0.002)m underspend on supplies.
Criminal Justice Service	1,386	1,386	0	No variance. Additional Covid funding expected from Scottish Government, value to be confirmed.
Community Justice	221	221	0	No variance
Total Care & Protection	16,167	17,131	964	

People	Annual Budget 2022/23	Forecast to March 2023	Variance Forecast to Budget at March 2023	Narrative
	£'000	£'000	£'000	
Directorate Total	73,366	74,317	952	

Place	Annual Budget 2022/23	Forecast to March 2023	Variance Forecast to Budget at March 2023	Narrative
	£'000	£'000	£'000	
Strategic Director	214	212	(2)	No variance - on budget
Development	1,770	1,761	(10)	Trading Standards: £(0.025)m underspend - due to lower estimated cost of service provided by Stirling Council. Planning and Building standards: £(0.006)m underspend - due to vacancy management. Economic Development: £0.029m overspend - due to the staffing costs within the training unit as service provision reduces. Service are looking at options to divert staff to other funded projects. Environmental Health - £(0.007)m underspend - due to additional income for testing.
Environment	9,016	9,227	211	Fleet: £0.087m overspend - £0.102m overspend on diesel due to rising prices, £(0.014)m underspend due to increase in avoidable repair recharges as the individual service areas are accountable for avoidable damages to vehicles. Streetcare: £0.087m overspend - £0.050m overspend on overtime as a result of 19/20 saving that removed the budget. £0.037m overspend on agency costs to cover absence and vacancies, which permanent recruitment is ongoing. Waste Management: £0.037m overspend - £0.052m overspend for share of transfer loading station and share of green waste costs (due to increase haulaged costs passed on from service provider). £(0.015)m various small underspends throughout Waste Management. Grounds Maintenance & Land: £(0.008)m underspend - various small underspends. Roads: £0.006m overspend - Various small overspends.
Housing	(117)	56	173	Homelessness: The continued requirement to place clients outwith our own stock has resulted in an overspend of £0.241m on accommodation. Rental income is forecast to be over by £(0.119)m if no change is made to the current level. Premises costs, partculary utilities, overspend of £0.040m, security costs over by £0.012m, and others by £0.014m. Strategic Housing - savings within staffing of £(0.015)m help to compensate the overspend on Homelessness.
Property	20,910	21,005	95	Catering: £0.095m overspend - Due to lower income as a result of decline in uptake of school meals. Although, the volume of food purchased is decreasing, food prices are rising.
Directorate Total	31,793	32,260	467	

Partnership & Performance	Annual Budget 2022/23 £'000	Forecast to March 2023 £'000	Variance Forecast to Budget at June £'000	Narrative
Strategic Director - P&P	89	89	0	Strategic Director : Forecast expenditure in line with budget.
Finance & Revenues	3,523	3,546	23	<p>Accountancy Manager: overspend £0.028m due to unachieved savings £0.030m offset by vacancies within the service and underspend on Publications £(0.002)m.</p> <p>Corporate Accountancy: underspend £(0.062)m due to saving on Computer Maintenance Costs £(0.020)m and Staff Costs £(0.047)m, other overspend £0.005m.</p> <p>Creditors : underspend £(0.013)m due to Computer Maintenance £(0.005)m and Staff Costs £(0.007)m.</p> <p>Procurement: underspend £(0.028)m due to a vacancy that has been difficult to recruit to.</p> <p>Billing & Assessment: underspend £(0.118)m due to Staff costs savings £(0.046)m and increase in Income £(0.076)m, offset by overspend in Professional Fees £0.004m - Secure Trading.</p> <p>Collection : underspend £(0.020)m due to Staff Costs saving £(0.040)m, offset by unachieved savings £0.020m.</p> <p>Recovery : underspend £(0.034)m due to Staff vacancies</p> <p>Rent Rebates & Allowances : overspend £0.100m due to decrease in income.</p> <p>Revenues Administration : overspend £0.023m due to increased Postage Costs - based on prior year actuals, this is a centralised cost for all Council services.</p> <p>Scottish Welfare Fund : overspend £0.142m due to: increased payments for Crisis & Community Care grants to individuals £0.029m, overspend of £0.166m on Northgate contract which providing support due to vacancies, offset by staff vacancies within SWF £(0.053)m and across the service.</p> <p>Small variances £0.005m</p>
HR & Workforce Development	1,673	1,653	(21)	HR & Payroll underspend £(0.021) due mainly to staffing vacancies
Legal & Governance	1,463	1,486	23	<p>Elections : Overspend £0.036m. Shortfall in Grant income £0.024m & overspend in Rent costs £0.012m.</p> <p>Legal & Democracy underspend £(0.015)m due to staffing vacancies. Other various overspends £0.002m.</p>
Partnership & Transformation	3,378	3,460	82	<p>IT : overspend £0.072m due mainly to unrealised VR saving and Telephony/mobile phone costs, however overspends are partly offset by vacancies within the service.</p> <p>Strategy & Performance : overspend £0.010m mainly due to Computer Equipment purchases.</p>
	10,125	10,233	108	

**Corporate Budgets & Sources of Funding
Forecast Variances at June 2023**

Appendix 6

Corporate	Annual Budget 2022/23	Forecast to March 2023	Variance Forecast to Budget at March	Narrative
	£'000	£'000	£'000	
Corporate Centrally Held	986	986	0	Nil variance
Corporate Services	(1,068)	(655)	412	Unachieved redesign saving £0.021m and corporate savings £0.392m achieved within services- family friendly, turnover and mileage.
Misc Services - Non Distributed Costs	1,100	1,100	0	Nil variance
Central Support	(1,305)	(1,305)	0	Nil variance
Central Scotland Valuation Joint Board	453	453	0	Nil variance
Interest on Revenue Balances	(91)	(15)	76	Interest income forecast lower than budget due to low interest rates on deposits during the start of the year
Loans Fund Contribution	4,073	4,283	210	Premium charge
Contribution to Bad Debt Provision	200	200	0	Nil variance
Sources of Funding	(144,762)	(144,762)	(0)	
Directorate Total	(140,414)	(139,716)	698	

	Annual Budget 2022/23	Forecast to March 2023	Variance Forecast to Budget at March 2023	Narrative
	£'000	£'000	£'000	
Employees				
	9,186	8,406	(781)	Underspend across a range of services: including: Integrated Mental Health £(540k); Disability Day Care £(226k); Assessment & Care Management including Hospital Discharge £(175k) Intermediate Care £(60k). There are overspends at Menstrie House of £221k and Ludgate Respite £77k (Excludes Covid related costs to be charged to NHS Mobilisation Fund)
Long Term Care				
Nursing Homes	9,812	9,820	8	Nursing Home places stand at 225 and exceed pre-covid levels, having fallen below 200 last year. This forecast is potentially subject to significant volatility depending on the future course of the pandemic and pressure across the health and social care system. The budget includes a provisional allocation of the growth funding pending strategic re-alignment.
Residential Homes	3,169	3,512	344	Overall numbers remain stable at around 53.
Community Based Care				
Care at Home	11,176	11,003	(174)	Weekly hours currently stand at around 12,000 compared to pre covid levels of 10,000. Forecast is subject to volatility given uncertainty in both demand and availability of care. The budget includes a provisional allocation of the growth funding pending strategic re-alignment.
Day Care	230	206	(24)	Day Care for approximately 42 service users of which 19 have complex needs.
Direct Payments	1,279	1,465	186	The numbers of people receiving a direct payment stands 76, having increased by 10 since October 2021. The budget includes a provisional allocation of the growth funding pending strategic re-alignment.
Housing Aids and Adaptations	159	159	0	Demand driven adaptations within private sector homes. The number of adaptations was significantly impacted by Covid, but are now progressing.
Housing with Care	163	116	(47)	This budget is for Supported Accommodation provided by external organisations. Expenditure is less than budget as some care has moved to Care at Home.
Respite	129	126	(3)	Costs for respite continue to increase as Respite plans for the year are confirmed.
Misc. Third Party Payments				
Payments to Oher OLA's/Agencies	16	49	33	This heading covers various payments to other agencies including other local authorities, registration fees and payments to voluntary organisations. The overspend is on payments for complex care and third sector organisations.
Voluntary Organisations	0	16	16	
Misc Third Party Payments	890	897	7	This budget holds the budget growth funding allocated to HSCP.
Supplies and Services				
Premises Expenditure	11	108	96	The budget covers cleaning materials within operational buildings. Overspend due to additional costs of materials due to increased covid related cleaning.
Supplies and Services	403	449	46	Includes equipment, food and insurance, postage, printing and administration.
Transport Expenditure	48	40	(8)	Travel costs underspent as a result of Covid but expenditure is now picking up.
Income				
Income	(4,269)	(4,480)	(211)	This income is largely client contributions towards the cost of care.
Resource Transfer (Health)	(7,271)	(7,600)	(329)	Includes Income from NHS, integration funding and contributions for complex care as well as forecast contributions from the NHS Mobilisation fund for Covid.
Total	25,131	24,291	(840)	

Housing Revenue Account	Annual Budget 2022/23	Forecast to March 2023	Variance	Narrative
	£'000	£'000	£'000	
Employee expenditure	8,485	8,165	(320)	At present the Service continues to operate with a number of posts vacant. It is forecast that a good number of those will remain vacant for a significant part of the year £(200)k. This underspend may reduce if the pay award is agreed at a level greater than the 2% allowed in the budget. There is currently an underspend of £(100)k forecast in the staffing budget due to delays in progressing the restructure. There is a £(20)k underspend in other employee expenditure, mainly onstaff training.
Premises expenditure	1,416	1,517	101	Forecast overspend in void rent loss £38k, Utilities costs £28k, shared costs of Kelliebank £20k, insurance £12k and others 33k.
Transport expenditure	359	369	10	Recharge from fleet for maintaining vehicles.
Supplies and Services	2,666	2,563	(103)	The delay in restarting the kitchen programme has resulted in reduced direct materials costs.
Third Party Payments	1,392	1,581	189	Extra costs from Environment in respect of disposing of waste over the weighbridge and at polmaise that were not included in the budget, forecast to be £228k over. These are offset by forecast savings of £(39)k within payments to contractors and voluntary organisations.
Support Services	1,204	1,204	0	No variance
Capital financing costs	1,707	1,707	0	No variance
Total Gross Expenditure	17,229	17,106	(123)	
Income	(22,854)	(22,750)	104	There is a reduction in income from the kitchen programme of £0.250m as the staffing resources to carry out the work are not in place yet. The income for HRA staff currently carrying out General Fund responsibilities is forecast to be £(172)k. This is offset by the continued non achievement of income for factoring.
Total Net Expenditure	(5,625)	(5,644)	(19)	

	Project Code	Revised 2022-23 Budget	Net Expenditure to 30-06-22	Forecast as at 30/06/22	Forecast to Budget Variance	Comment	C/F to 2023-24
SCOTTISH HOUSING QUALITY STANDARD							
TACKLING SERIOUS DISREPAIR PRIMARY BUILDING ELEMENTS							
Structural Works							
Structural Upgrades	10192	430,000	1,788	430,000	0	Spend will appear shortly for works completed at Stirling Street and Branshill Park Project due to start August. Will spend out	
Asbestos Testing for Council Houses	10071	20,000	2,300	20,000	0		
Asbestos Removal Works for Council Houses	10072	50,000	3,791	50,000	0		
Structural Works		500,000	7,879	500,000	0		
SECONDARY BUILDING ELEMENTS							
Damp/Rot							
Damp & Rot Works	10195	120,000	33,322	120,000	0	Consistent spend - Will spend out	
Damp/Rot		120,000	33,322	120,000	0		
Roofs / Rainwater / External Walls							
Roof & Render Upgrading Works	10196+1 0264	1,000,000	61	1,000,000	0	Procurement to be completed- no contract awarded	
Roofs / Rainwater / External Walls		1,000,000	61	1,000,000	0		
Windows							
Window Replacement	10247	1,800,000	0	1,800,000	0	Contract now awarded - Will spend out - expected start August - First invoice received 75k	
Windows		1,800,000	0	1,800,000	0		
		2,920,000	33,383	2,920,000	0		
ENERGY EFFICIENCY							
Central Heating - Design and Installation 2019-22	10193+1 0263	650,000	4,079	650,000	0	Contract awarded- meeting with contractor confirmed spend 14/07/2022 - Will spend out. Small issue with boilers but we are managing this through procurement means	
Renewable Central Heating Systems	10232	60,000	0	60,000	0		
Energy Performance Certificates Programme	10233	50,000	171	50,000	0	Pilot Property Confirmed - will spend	
Internal Wall Insulation	10249	50,000	0	50,000	0		
Full/Efficient Central Heating		810,000	4,250	810,000	0		
MODERN FACILITIES & SERVICES							
Kitchen Renewal							
Kitchen Replacement	10158	1,000,000	18,571	1,000,000	0	Due to start August 2022 - Operational Capacity	
Kitchen Renewal		1,000,000	18,571	1,000,000	0		
Bathrooms							
Bathroom Replacements	10141	50,000	0	50,000	0	Will spend out	
Bathrooms		50,000	0	50,000	0		
		1,050,000	18,571	1,050,000	0		
HEALTHY, SAFE & SECURE							
Safe Electrical systems 2018-22	10171+1 0265	1,544,200	47,310	1,544,200	0	Further invoices received and remedial works beginning onsite August - Spend profile being reviewed, new contact due Jan 2023	
Safe Electrical Systems		1,544,200	47,310	1,544,200	0		
Communal Areas (Environmentals)							
External Works : Fencing, Gates, Paths	10090	426,500	38	426,500	0	Invoice to be submitted Aug 2022 - 150k already committed and land services will be doing work starting August to improve stairs at Branshill Park	
Secure Door Entry Upgrade 2021-25	10160	200,000	46,951	200,000	0		
CCTV Security	10250	100,000	0	100,000	0		
Communal Areas (Environmentals)		726,500	46,989	726,500	0		
		2,270,700	94,300	2,270,700	0		
NON-SHS ELEMENTS PARTICULAR NEEDS HOUSING (CITC)							
Conversions & Upgradings							
Conversions & Upgradings	10092	70,000	28,750	70,000	0	Will spend out, budget allocated already for works at 22 Stirling Street - There will be an overspill into the structural works code	
Conversions & Upgradings		70,000	28,750	70,000	0		
Disabled Adaptations							
Aids & Adaptations	10161	500,000	21,291	500,000	0	Contract currently being procured through SPA to meet need demand. PCU still carrying out weekly works however large spend will come from contractor.	
Disabled Adaptations		500,000	21,291	500,000	0		
Environmental Improvements							
HRA Roads & Footpaths Improvements	10099	100,000	458	100,000	0	Argyll Place will be charged against this.	
MCB Tenant Community Improvement Fund	10100	305,000	0	305,000	0		
Environmental Improvements		405,000	458	405,000	0		
		975,000	50,499	975,000	0		
Council New Build Housing							
Off The Shelf Purchase	10105	1,845,000	89,080	1,845,000	0	The strategy is to ensure that the budget is optimised on house purchase to help alleviate pressures that the lack of accommodation is causing elsewhere	
Estate Management Redesign	10234	0	0	0	0		

	Project Code	Revised 2022-23 Budget	Net Expenditure to 30-06-22	Forecast as at 30/06/22	Forecast to Budget Variance	Comment	C/F to 2023-24
Lochies Road Clackmannan Council New Build Housing	10248	1,385,000	0	85,000	(1,300,000)	Initial expenditure of £800,000 anticipated this year offset by Grant with balance carried forward to complete project in 2023/24	1,300,000
		3,230,000	89,080	1,930,000	(1,300,000)		
		3,230,000	89,080	1,930,000	(1,300,000)		
OTHER							
Other Costs / HBMS							
Construction Design Management	10143	20,000	0	20,000	0	Being procured requiring a mini competition, expected to spend in 2023 with implementation to start in 2023-24	
Computer Equipment - New (HBMS)	10111	372,000	0	372,000	0	Plans in place to spend budget	
Lock Up Strategy	10185	278,700	100	278,700	0		
Westhaugh Travelling Site - Alva	10186	0	-60,574	0	0		
IT Infrastructure - Clacks IT	10188	21,000	0	21,000	0		
Demolitions	10200	134,800	0	134,800	0	Plans in place to spend budget	
Other Costs / HBMS		826,500	-60,474	826,500	0		
TOTAL CAPITAL EXPENDITURE		12,582,200	237,487	11,282,200	(1,300,000)		1,300,000

Project ID	Management Code	Project Manager	Project ID Description	Amended Budget	Expenditure	Commitments	Total Expenditure	Income	Projected Out-turn	Projected (Under)/Overspend	Proposed C/fwd to 2023/24
				£	£	£	£	£	£	£	£
Community Investment Strategy											
All Clackmannanshire Areas											
10042	A43	CJARVIE	Community Investment Grants	60,000	17,893	-798	17,095	0	60,000	0	
10156	A67	PLEONARD	City Deal (Land)	36,250	0	0	0	0	0	-36,250	
10174		SCRICKMAR	Fitness Suite Replacement	12,000	-3,887	615	-3,272	0	12,000	0	
10209		PLEONARD	City Deal RPMO	100,000	0	100,000	100,000	0	100,000	0	
		PLEONARD	City Deal - Japanese Garden	0	0	580,000	580,000	-580,000	0	0	
10213		PLEONARD	Innovation Hub Delivery	400,000	0	0	0	0	400,000	0	
10086		PLEONARD	Renewable Energy Projects	80,000	0	0	0	0	0	-80,000	50,000
10246		LSANDA	WELLBEING HUB RESOURCING	0	10,258	299	10,557	0	0	0	
10251		LSANDA	Wellbeing Hub - Permanent	370,313	3,841	62,319	66,160	0	203,841	-166,472	-166,472
				1,058,563	28,105	742,435	770,540	-580,000	775,841	-282,722	-116,472
Alloa Cluster											
10000	A1	JALLAN	Schools ICT Replacement - Alloa	20,661	1,037	0	1,037	0	61,827	41,166	
10005		PLEONARD	Park, Play Area & Open Space Improvements - Alloa	91,800	5,345	45,743	51,088	0	91,800	0	
10006	A3	PLEONARD	Park Primary School - School Development	359,265	17,977	49,169	67,146	0	359,265	0	
10007		JALLAN	School Interactive Display Replacement - Alloa	4,935	3,039	0	3,039	0	3,039	-1,896	
10168		IMCDONALD	Forthbank Road Operational Facilities	20,000	0	0	0	0	20,000	0	
10183		IMCDONALD	Forthbank Recycling Centre Improvements	0	3,511	2,825	6,337	0	3,511	3,511	
				496,661	30,909	97,737	128,646	0	539,442	42,781	0
Hillfoots Cluster											
10030		PLEONARD	Village and Small Town - Tillicoultry	100,000	0	0	0	0	100,000	0	
10031	A32	JALLAN	Schools ICT Replacement - Alva Academy	1,373	3,227	0	3,227	0	41,870	40,497	
10035		JALLAN	School Interactive Display Replacement - Alva	3,935	3,039	0	3,039	0	3,039	-896	
10039	A40	PLEONARD	Village and Small Town - Dollar	51,617	0	0	0	0	51,617	0	
10118	A65	PLEONARD	Coalsnaughton Primary School - School Development	106,000	0	0	0	0	106,000	0	
10140		PLEONARD	Village and Small Town - Alva	412,949	401,051	17,879	418,930	0	418,930	5,981	
				675,874	407,318	17,879	425,197	0	721,456	45,582	0
Lornshill Cluster											
10011	A12	JALLAN	Schools ICT Replacement - Lornshill	31,036	3,039	0	3,039	0	68,831	37,795	
10014	A15	PLEONARD	Craigbank Primary School Refurbishment	-7,354	0	3,497	3,497	0	0	7354	0
10015		GMACLACHLAN	Safer Routes to School	705,918	0	43,080	43,080	0	705,918	0	
10017	A18	PLEONARD	School Estate - Tullibody South Campus	50,000	14,700	186,875	201,575	0	40,000	-10,000	10,000
10020		JALLAN	School Interactive Display Replacement - Lornshill	38,555	0	0	0	0	38,555	0	
10125	A61	PLEONARD	Banchory Primary School - School Development	16,079	0	0	0	0	16,079	0	
10149	A57	PLEONARD	Clackmannan Regeneration	1,562,550	465	129,943	130,408	0	1,562,550	0	
10164	A60	CJARVIE	Clackmannan CAP	93,000	0	0	0	0	93,000	0	
				2,489,784	18,204	363,394	381,598	0	2,524,933	35,149	10,000
Total Community Investment Strategy				4,720,882	484,536	1,221,445	1,705,982	-580,000	4,561,672	-159,210	-106,472
Fleet Asset Management Strategy											
10062	E1	kphilliben	Vehicle Replacement	973,448	237,249	155,880	393,129	0	973,448	0	
Total Fleet Asset Management Strategy				973,448	237,249	155,880	393,129	0	973,448	0	0
IT Asset Management Strategy											
All Clackmannanshire Areas											
10041	A42	JALLAN	Schools ICT Replacement - All Primaries	203,851	52,812	1,043	53,855	0	202,939	-912	
10227		JALLAN	CRB System	40,000	0	0	0	0	40,000	0	
10229		JALLAN	Interactive Screen Replacement (Secondary Schools)	123,000	123,001	0	123,001	0	123,000	0	
10230		JALLAN	ICT Replacement (Secondary Schools)	125,000	0	0	0	0	0	-125,000	

Project ID	Management Code	Project Manager	Project ID Description	Amended Budget	Expenditure	Commitments	Total Expenditure	Income	Projected Out-turn	Projected (Under)/Overspend	Proposed C/fwd to 2023/24
				£	£	£	£	£	£	£	£
10255		FCOLLIGAN	Digital Transformation - Work Smarter	750,000	92,013	9,988	102,000	0	750,000	0	
10256		CJARVIE	IT Resourcing - Corporate	165,300	0	0	0	0	165,300	0	
10257		JALLAN	IT Resourcing - Digital Rollout	50,155	0	0	0	0	50,155	0	
				1,457,306	267,825	11,031	278,855	0	1,331,394	-125,912	0
IT Asset Management Strategy											
10064	F1	JALLAN	IT Infrastructure	160,515	35,451	6,313	41,764	0	160,515	0	
10065	F2	lbarker	Social services adaptations	75,000	0	0	0	0	0	-75,000	
10253		lbarker	Tech Analogue to Digital Trans	386,000	0	515,326	515,326	0	300,000	-86,000	86,000
10066	F3	FCOLLIGAN	Social Services IT System	331,500	0	0	0	0	331,500	0	
10067	F4	JALLAN	Digital Transformation	0	2,695	17,213	19,908	0	0	0	
10187		JALLAN	Digital Infrastructure	805,827	1,675	15,000	16,675	0	628,390	-177,437	
10202		JALLAN/MBOYLE	Digital Learning Strategy	494,241	74,640	403,230	477,870	0	313,488	-180,753	
10207		JALLAN	Digital Foundations : M365	43,833	995	23,420	24,415	0	43,833	0	
10210		JALLAN	Homeworking	17,355	401	5,232	5,633	0	19,580	2,225	
10225		JALLAN	Upgraded Telephony System	348,931	0	0	0	0	350,000	1,069	
10231		PLEONARD	Building Energy Management System	81,620	48,675	0	48,675	0	81,620	0	0
				2,744,822	164,531	985,735	1,150,266	0	2,228,926	-515,896	86,000
Total IT Asset Management Strategy				4,202,128	432,356	996,765	1,429,121	0	3,560,320	-641,808	86,000
Land Asset Management Strategy											
Alloa Cluster											
10245		PLEONARD	West End Park Improvements	119,158	39,429	8,639	48,067	0	119,158	0	
10262		PLEONARD	St Mungos Primary - Demolition	250,000	0	0	0	0	0	-250,000	250,000
				0							
				369,158	39,429	8,639	48,067	0	119,158	-250,000	250,000
Land Asset Management Strategy											
10061	D1	IMCDONALD	Wheeled Bins	27,143	24,794	6,560	31,354	0	31,354	4,211	
10258		PLEONARD	Kilncraigs - Stone Preservation	120,000	0	0	0	0	120,000	0	
10096		PLEONARD	Gartmorn Dam Country Park	22,000	0	0	0	0	22,000	0	
				169,143	24,794	6,560	31,354	0	173,354	4,211	0
Total Land Asset Management Strategy				538,301	64,222	15,199	79,421	0	292,512	-245,789	250,000
Property Asset Management Strategy											
All Clackmannanshire Areas											
10224		PLEONARD	Learning Estate Cleaning Equipment	35,129	0	0	0	0	35,129	0	0
10226		PLEONARD	Wellbeing Hub - Demolition of ALB	397,335	34,506	372,398	406,904	0	388,335	-9,000	9,000
10252		LSANDA	Wellbeing Hub - Interim Pool	2,154,386	0	0	0	0	0	-2,154,386	
10259		PLEONARD	Strategic Estates Enhancements	315,000	0	0	0	0	315,000	0	
10254		SCRICKMAR	Capital Program Legal Resource	110,000	15,335	6,891	22,226	0	110,000	0	
10219		PLEONARD	Learning Estate - Condition Surveys	74,748	0	0	0	0	172,411	97,663	
10260		PLEONARD	Learning Estates - Option Appraisals	213,512	35,480	300	35,780	0	190,956	-22,556	
10261		PLEONARD	Learning Estates - Contingencies	476,488	7,805	0	7,805	0	25,000	-451,488	451,488
				3,776,598	93,125	379,589	472,714	0	1,236,831	-2,539,767	460,488
Alloa Cluster											
10191		PLEONARD	Town Centre Regeneration Fund	455,472	93,249	99,349	192,599	0	455,472	0	
10208		PLEONARD	Bowmar Community Hub	2,637	11,677	8,293	19,971	0	11,677	9,040	8,847
10214		PLEONARD	Kilncraigs - Roof	0	0	3,573	3,573	0	0	0	4,341

Project ID	Management Code	Project Manager	Project ID Description	Amended Budget	Expenditure	Commitments	Total Expenditure	Income	Projected Out-turn	Projected (Under)/Overspend	Proposed C/fwd to 2023/24
				£	£	£	£	£	£	£	£
				458,109	104,927	111,216	216,143	0	467,149	9,040	13,188
Property Asset Management Strategy											
10045	B1	PLEONARD	Statutory Compliance DDA Schools	17,000	0	7,849	7,849	0	17,000	0	
10046	B2	PLEONARD	Compliance - Asbestos Removal (Schools)	10,000	0	0	0	0	10,000	0	
10212		PLEONARD	Car park works	64,905	0	18	18	0	64,905	0	
10220		PLEONARD	Clackmannan Town Hall Roof and Wall Upgrade	1,078,852	291,233	848,298	1,139,532	0	1,065,002	13,850	13,850
10221		PLEONARD	Cemetery Walls Upgrade	298,784	0	0	0	0	-	298,784	298,784
				1,469,541	291,233	856,165	1,147,398	0	1,156,907	-312,634	312,634
Total Property Asset Management Strategy				5,704,248	489,285	1,346,970	1,836,255	0	2,860,887	-2,843,361	786,310
Roads Asset Management Strategy											
All Clackmannanshire Areas											
10176		GMACLACHLAN	Electric Vehicle Charge Points	0	9,348	60,080	69,428	-129,507	0	0	
10093		GMACLACHLAN	Active Travel Route Railway Station	25,000	0	0	0		25,000	0	
				25,000	9,348	60,080	69,428	-129,507	25,000	0	0
Road Asset Management Strategy											
10049	C2	GMACLACHLAN	Flood Prevention	78,931	23,082	17,429	40,511	0	78,931	0	
10050	C3	GMACLACHLAN	Cycle Routes	235,495	6,432	147,026	153,458	0	235,495	0	
10051	C4	IMCDONALD	Carriageways	2,532,142	690,114	974,319	1,664,432	0	2,532,142	0	
10054	C7	GMACLACHLAN	Bridge Improvements	175,569	18,526	4,909	23,436	0	189,600	14,031	
10055	C8	GMACLACHLAN	Road Safety	0	19,390	11,996	31,387	0	19,390	19,390	
10056	C9	IMCDONALD	Lighting Replacement	303,423	25,703	256,545	282,248	0	303,423	0	
10218		GMACLACHLAN	Bus Priority Rapid Development Fund	31,794	0	0	0	0	31,974	180	
10222		GMACLACHLAN	Active Travel Route - Alloa-Alva-Menstrie	30,000	0	0	0	0	30,000	0	
				3,387,354	783,247	1,412,225	2,195,472	0	3,420,955	33,601	0
Total Road Asset Management Strategy				3,412,354	792,595	1,472,305	2,264,899	-129,507	3,445,955	33,601	0
Total Capital Programme				19,551,361	2,500,243	5,208,565	7,708,808	-709,507	15,694,794	-3,856,567	1,015,838

Report to: Audit & Scrutiny Committee

Date of Meeting: 27 October 2022

Subject: Housing Benefit Performance Audit

Report by: Chief Finance Officer

1.0 Purpose

- 1.1. Audit Scotland recently carried out an audit on the Councils Housing Benefit Service. Appendix A contains the final report with proposed recommendations and agreed management actions.

2.0 Recommendations

2.1 Committee is asked to:

- 2.1.1 note the content of the report and the recommendations (Appendix A).

3.0 Considerations

3.1. The purpose of the audit was to determine the extent to which the benefit service is meeting its obligations to achieve continuous improvement in its activities.

3.2. The findings of the report set out three recommendations covering:

- Business planning and reporting;
- Accuracy, and
- Overpayment Recovery.

4.0 Conclusion

4.1 The report highlights areas for improvement that will be taken forward by the service over the coming year.

5.0 Sustainability Implications

5.1 Not applicable

6.0 Resource Implications

6.1 Financial Details

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

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

6.4 Staffing

7.0 Exempt Reports

7.1 Is this report exempt? Yes (please detail the reasons for exemption below) No

8.0 Declarations

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

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

Clackmannanshire will be attractive to businesses & people and ensure fair opportunities for all

Our families; children and young people will have the best possible start in life

Women and girls will be confident and aspirational, and achieve their full potential

Our communities will be resilient and empowered so that they can thrive and flourish

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

9.0 Equalities Impact

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

10.0 Legality

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

11.0 Appendices

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

Appendix A – Housing Benefit Performance Audit

12.0 Background Papers

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

Author(s)

NAME	DESIGNATION	TEL NO / EXTENSION
Lindsay Sim	Chief Financial Officer	2022

Approved by

NAME	DESIGNATION	SIGNATURE
Lindsay Sim	Chief Finance Officer	
Stuart Crickmar	Director of Partnership and Performance	

Clackmannanshire Council

Audit of housing benefit
Risk assessment report



 AUDIT SCOTLAND

Prepared for Clackmannanshire Council

July 2022

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Business planning and reporting	5
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Key messages

- The benefit service does not feature in the corporate plan, or the directorate business plan. Consequently, aside from monthly reporting to the Chief Financial Officer in respect of claims processing performance, there is no reporting of benefit service performance to senior management or elected Members.
 - Since the last housing benefit performance audit in 2015, the council has significantly improved its claims processing times. In 2020/21 the council's new claims processing performance was the best in Scotland, and this level of performance is continuing in 2021/22.
 - However, there is a lack of documented management checks in place which would ensure that claims are being processed accurately. We are therefore unable to confirm the council's reported claims processing performance.
 - The benefit service does not have a separate policy or procedures for the recovery of housing benefit overpayments. Between 2018/19 and 2020/21, the council reported a 47 per cent decrease in the level of overpayments from £342,000 to £180,000. This could be evidence of good performance, however the lack of evidence of management checking could also indicate that overpayments are occurring, but not being identified.
 - There is significant scope for improvement in the council's overpayment recovery performance. Since 2018/19, the council's performance has placed them 29th, 32nd and 27th respectively out of the 32 Scottish councils.
-

Introduction and background

1. The Local Government in Scotland Act 2003 introduced new statutory duties relating to Best Value and Community Planning. The key objective of the risk assessment is to determine the extent to which the benefit service is meeting its obligations to achieve continuous improvement in its activities.

2. The risk assessment considers the effectiveness of the benefit service's business planning and reporting in meeting priorities and delivering outcomes.

3. This risk assessment was completed as part of Audit Scotland's housing benefit (HB) programme. It does not represent a full audit of Clackmannanshire Council's benefit service.

4. Information for this risk assessment was gathered from a range of sources including:

- the self-assessment, performance matrix, and supporting documentation provided by the council.
- Department for Work and Pensions (DWP) indicators, and other performance measures.
- scrutiny of internal and external audit reports.
- discussions with the appointed external auditor.

5. The council was selected for this HB performance audit as the risk assessment process identified significant improvement in claims processing performance since our last engagement in 2015. The purpose of this work was to recognise the improvement and identify good practice that could be shared across the wider benefit community.

6. However our engagement with the council has been challenging. Although we recognise the pressures facing the council, we had to extend the submission deadline and struggled to maintain communication on progress. When the council submitted its self-assessment and performance matrix, the information and supporting evidence provided was limited.

7. In the absence of detailed supporting evidence, we were unable to conduct a full and comprehensive review of performance. Therefore, this report is based on the limited data provided and information obtained from the council's website.

Business planning and reporting

The performance of the benefit service is not being formally reported to senior management and elected Members

8. An effective business plan provides an opportunity for the council to set out the aims and objectives of each service. It should contain key deliverables against which performance is measured, monitored, and reported.

9. The council's [Corporate Plan 2018/22](#) sets the strategic direction of the council and contains its vision, key priorities, outcomes, values, and performance indicators. The council's values are to:

- **Be the customer** - Listen to our customers, communicate honestly and with respect and integrity.
- **Be the team** - Respect each other and work collectively for the common good.
- **Be the leader** - Make things happen, focusing always on our vision and outcomes, and deliver high standards of people leadership and corporate governance.
- **Be the collaborator** - Work collaboratively with our partners and communities to deliver our vision and outcomes.
- **Be the innovator** - Look outwardly, be proactive about improvement, and strive always for innovation and inclusive growth.
- **Be the future** - Work always towards ensuring that we deliver our vision and live our values, so that we become a valued, responsive council with a reputation for innovation and creativity.

10. The benefit service is a key area within Finance and Revenues, part of the council's Partnership and Performance Directorate. The [Partnership and Performance Business Plan 2021/23](#) sets out the key role of the directorate in supporting the delivery of the council's strategic objectives.

11. Although the business plan contains 37 performance indicators and 38 actions, there are no performance indicators or actions for the work of the benefit service. We note that the benefit service does not feature in either the corporate plan, or the directorate business plan.

12. Consequently, aside from monthly reporting to the Chief Financial Officer in respect of claims processing performance, there is no reporting of benefit service performance to senior management or elected Members.

13. In addition, as there has been no internal audit of the benefit service since 2014, the council has limited independent assurance that the service is operating efficiently and effectively. In the absence of a management checking framework, there is no assurance that payments issued are accurate, or that overpayments or underpayments are being identified. This leads to a lack of information on where errors have occurred to enable them to be recorded, monitored, and corrected.

14. In 2020/21 the benefit service's expenditure was more than £13 million. The lack of performance data and scrutiny in respect of the accuracy of payments and the management and recovery of overpayments is of concern.

Recommendation 1

The council should develop a suite of benefit service performance indicators, set targets, and routinely report performance to senior management and elected Members.

Delivering outcomes

The council's new claims processing performance was the best in Scotland in 2020/21

15. When customers claim housing benefit it is at a time of financial uncertainty. It is therefore essential that the benefit service has sufficiently trained staff to make informed decisions on complex benefit claims and make payments promptly.

16. Since the last HB performance audit in 2015, the council has significantly improved its claims processing times. As at 31 December 2021 the average time for new claims had reduced from 32 days to 6 days, and from 14 days to 5 days for change events.

17. The council attributed these improvements to a number of procedural changes and initiatives. These include:

- creating a dedicated benefit mailbox for all new applications, reported changes and other benefit mail
- having an experienced decision-maker responsible for assessing and prioritising HB incoming mail and dealing with general enquiries
- providing an online facility for customers to complete a benefit application, and to report a change of circumstances
- weekly team meetings to discuss performance and areas to be targeted for action.

18. In addition, the service analysed its benefit data and identified that most new claims were received from customers in homeless accommodation. Training was subsequently provided to housing and homeless staff resulting in claim forms being completed and sent to the benefit mailbox at the same time as the customer is signed up for accommodation.

19. This is a good example of using data analysis to improve understanding and identify an appropriate response. These claims are now being regularly processed within one day of receipt.

20. Clackmannanshire Council's reported claims processing performance in 2020/21 was exceptional. The council was the best performer in Scotland for the time taken to process new claims, and equal 2nd best for the time taken to process change events. This is detailed in [Exhibit 1](#).

Exhibit 1**Speed of processing performance (average number of days)**

	2018/19	2019/20	2020/21	2021/22 (at 31 Dec 21)	Scottish Average 2021/22 (at 31 Dec 21)
New claims	17 days	12 days	7 days	6 days	18 days
Change events	3 days	2 days	3 days	5 days	7 days

Source: Clackmannanshire Council and DWP

21. The council advised that it regularly monitors and reviews its speed of processing performance internally and with DWP. The purpose of these reviews is to ensure that processing speeds are maintained during peak workloads, and the service advised that it could utilise an overtime budget, if required.

As there are no documented management checks in place the council has limited assurance that claims are being processed accurately

22. The accurate and secure administration of HB should be a key priority for every council. To support this it is vital that a robust quality assurance framework is in place.

23. The council advised that senior benefit officers carry out random quality assurance checks on processed claims to identify performance and training needs. In addition, once a month, the service carries out 'topical' training and operates a 1-2-1 'buddy' scheme where less experienced staff are paired with more experienced staff to support knowledge sharing and development.

24. The council has recently signed up to the DWP's Housing Benefit 'Accuracy Award Initiative' designed to encourage councils to proactively check undeclared change events. However, at the time of our audit, the council had not yet carried out any checks and therefore we were unable to report on the effectiveness of its participation in the scheme.

25. Although the council stated that it carries out random quality assurance checks, it was unable to provide us with any evidence as they were undocumented. We also did not receive details of the outcomes, lessons learned or changes to working practices following analysis of these checks.

26. We also note that there are no targets for accuracy, and therefore the benefit service does not report on accuracy performance. This was a recommendation from the previous audit in 2015 and remains outstanding.

27. Management checks are a fundamental aspect of delivering a benefit service to:

- provide assurance that claims are being processed accurately and, when errors are found, that corrective action is taken.
- help reduce the potential for overpayments to occur and the associated costs of pursuing this debt.
- provide the service with invaluable information on the type of financial and non-financial errors occurring, allowing for the identification of specific training to target areas of greatest risk.

28. Although it is recognised that the council has reported an excellent level of claims processing performance, including positive changes to the way in which the service is delivered, there is a lack of documented management checks.

29. These checks are necessary to ensure that claims are being processed accurately. In the absence of these checks we are unable to fully assess the council's claims processing performance. In addition the council cannot have assurance that the right amount of benefit is being paid to the right customer, every time, which is fundamental to the delivery of a secure, efficient, and effective benefit service.

Recommendation 2

A robust framework of management checks should be developed and introduced to ensure the accuracy of claims processing.

There is significant scope for improvement in the council's overpayment recovery performance

30. To protect public funds, councils should take appropriate steps to ensure that benefit overpayments are minimised and that, when they do occur, they are correctly classified and recovered. The [Corporate Debt and Write Off Policy 2018](#) sets out the council's approach to the collection and recovery of debt.

31. The key aims of the policy are to:

- develop a consistent, council-wide approach to debt collection
- ensure a professional and timely approach to income collection and recovery action undertaken by fully trained staff
- reduce the levels of debt owed to the council
- treat customers fairly and consistently, and to provide advice and support where required
- offer a range of cost-effective payment methods.

32. We note that the policy states that debt recovery actions, including clear and transparent segregation of duties, should be detailed in operational manuals and procedures. The benefit service does not have a separate policy or procedures for the recovery of HB overpayments.

33. The council uses an annual review of debtors' report, which sets out all outstanding council debt and details the proposed debt to be written off. However, the benefit service provides no information to senior management or elected Members on its HB overpayment recovery performance.

34. This is contrary to the [Corporate Debt and Write Off Policy 2018](#) which states under 'Performance Monitoring' that the council will regularly assess recovery methods to ensure maximum returns and monitor irrecoverable debts and those proposed for write off.

35. Our scrutiny of the [Annual Review of Debtors Report 2020/21](#) showed that the HB overpayment information reported is limited. It includes the value of HB overpayment sundry debtor accounts and the number and value of sundry debtor accounts proposed for write off. There is no information on HB overpayment recovery performance, despite information being available, as detailed in [Exhibit 2](#).

Exhibit 2

Overpayment levels and recovery performance

	2018/19	2019/20	2020/21	2021/22 (at 31 Dec 21)
Total value of HB overpayments carried forward	£2,261,563	£2,419,223	£2,459,540	£2,361,780
Total value of overpayments identified in-year	£342,253	£72,007	£178,965	£34,758
Total value of HB debt	£2,603,816	£2,491,230	£2,638,505	£2,396,538
Total value of all HB debt recovered in-year*	£375,280	£112,376	£171,455	£99,209
Total value of HB debt written off	£62,900	£48,898	**	Data not yet available
Percentage of total HB debt recovered	14.4%	4.5%	6.5%	4.1%

* No data available for the total value of HB debt raised and recovered in year.

** No sundry debt written off in 2020/21 due to the additional work responding to Covid-19.

Source: Clackmannanshire Council

36. The council advised that it was unable to report on the value of debt raised and recovered in-year, an indicator of its recovery performance when debt is relatively current.

37. We analysed the overpayment data provided by the council to DWP for 2018/19, 2019/20 and 2020/21 as this provides an insight into the level of error within the caseload.

38. Since 2018/19, the level of overpayments identified by the council and reported to DWP had decreased from £342,000 to £180,000 in 2020/21, a reduction of approximately 47 per cent.

39. If the council had a robust management checking framework the reduction in the value of identified overpayments would be indicative of encouraging performance. However, as the council was unable to provide documentary evidence of its management checking activities, the reduction in the value of overpayments identified becomes an area of concern. It could be an indicator that the lack of management checks is resulting in overpayments not being identified.

40. We also noted a number of discrepancies in the data provided to us as audit evidence in respect of the value of overpayments identified and recovered in 2019/20 and 2020/21 when compared to the data submitted to DWP, as detailed in [Exhibit 3](#).

Exhibit 3

Overpayment levels and recovery performance discrepancies

	Council 2019/20	DWP 2019/20	Council 2020/21	DWP 2020/21
Total value of overpayments identified in-year	£72,007	£273,000	£178,965	£180,000
Total value of all HB debt recovered in-year	£112,376	£232,000	£171,455	£276,000
Percentage of total HB debt recovered	4.5%	8.7%	6.5%	10.7%

Source: Clackmannanshire Council and DWP

41. These significant discrepancies confirm that there is a need to improve the checks and controls in this area. The council has mis-reported the value of overpayments identified and recovered and consequently its overpayment recovery performance.

42. If the data provided to DWP is correct, even when factored into the council's overall debt recovery performance for 2018/19, 2019/20 and 2020/21, recovery levels remain very low placing the council 29th, 32nd and 27th respectively out of the 32 Scottish councils.

43. The lack of comprehensive overpayment data means we are unable to determine the effectiveness of the council's debt recovery activity for current debt. In addition, the service does not make use of an aged debt report to target debt that has been outstanding for some time. Our broader experience tells us that the older debt becomes the more difficult it can be to recover.

Recommendation 3

The benefit service should carry out a full review of its management and reporting of benefit overpayments. Evidence should be available to show where overpayments are being identified and recorded. Recovery performance should be reported to senior management and elected Members.

Recommendations

2022/23 recommendations

Issue / risk	Recommendation	Agreed management action / timing
<p>1. Business planning and reporting</p> <p>There is a lack of management information on the benefit service and performance is not being formally documented and reported to senior management and elected Members.</p>	<p>The council should develop a suite of benefit service performance indicators, set targets, and routinely report performance to senior management and elected Members.</p> <p>Paragraph 14.</p>	<p>The Directorate Business Plan is a high-level overview of the whole of Partnership and Performance and as such cannot cover all areas within it in detail. However, we will review this and look to include appropriate performance indicators in relation to Housing Benefit performance.</p> <p>The P&P Committee has been disestablished and all service committees have been replaced with one Audit & Scrutiny Committee. We will include at least two indicators on HB Performance within the next iteration of the P&P Business Plan.</p> <p>A date is not set for this yet, the current plan covers up to 2023 so it will be reported in the next plan.</p> <p>Updates on performance will continue to be provided to the Senior Manager for Finance and Revenues and quarterly indicators on performance, overpayments and quality assurance checks will now be included as part of this information by December 2022.</p>

Issue / risk	Recommendation	Agreed management action / timing
<p>2. Accuracy</p> <p>There are currently no documented management checking procedures to confirm the accuracy of the claims being processed.</p>	<p>A robust framework of management checks should be developed and introduced to ensure the accuracy of claims processing.</p> <p>Paragraph 29.</p>	<p>A procedure has now been put in place to check a random sample of 5% of all successful and unsuccessful claims processed. This will be carried out by the Senior Benefits Officer on a monthly basis.</p> <p>Commencing: July 2022</p>
<p>3. Overpayment recovery</p> <p>There are no HB overpayment recovery policies or procedures and no reporting of overpayment recovery performance. The lack of management checking means there is an increased risk of overpayments not being identified and pursued.</p>	<p>The benefit service should carry out a full review of its management and reporting of benefit overpayments. Evidence should be available to show where overpayments are being identified and recorded. Recovery performance should be reported to senior management and elected Members.</p> <p>Paragraph 43.</p>	<p>HB Overpayment Recovery forms part of the overall corporate debt recovery. As part of the Revenues restructure, we will look to review our policies and procedures in this area during 2023/24.</p> <p>Errors in data previously reported to the DWP for financial years 2019/20 and 2020/21 as detailed in Exhibit 3 had previously been identified by the Council, revised figures were provided to the DWP for those years, and the reporting error has been corrected for 2021/22.</p> <p>As noted in recommendation 2, quality assurance checks will be carried out monthly on the accuracy of claims processing from July 2022.</p> <p>Recovery performance will be included in future Annual Debtors Reports alongside outstanding HB debt by December 2022.</p>

Clackmannanshire Council

Audit of housing benefit - Risk assessment report

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Report to **Audit & Scrutiny Committee**

Date of Meeting: 27th October 2022

Subject: **Corporate Risk Register**

Report by: **Strategic Director – Partnership & Performance**

1.0 Purpose

- 1.1. This report provides Committee with the 2022/23 half year update on Clackmannanshire Council's Corporate Risk Register (Appendix A).

2.0 Recommendations

- 2.1. That Committee notes the report, commenting and challenging as appropriate.

3.0 Considerations

3.1. Purpose of Risk Management

- 3.1.1. The Council has several key goals regarding how it will achieve the priorities set out in the Local Outcomes Improvement Plan (LOIP) and how it will transform services under the Be the Future programme. In order to effectively plan how we will achieve these goals, we must also consider the internal and external challenges with the potential to prevent or hinder their achievement. An effective risk management approach ensures that the Council is aware of such factors and, where appropriate, takes action to reduce or remove risks to ensure the success of its initiatives.
- 3.1.2. The purpose of risk management is not to prevent activities from taking place, but to ensure that all relevant factors are taken into account in their planning and execution so that the best possible outcomes are realised. In recent years it has been well-recognised that Council officers and services deal, on a daily basis, with a wide variety of operational risks to individuals, communities and internal management processes. However, the corporate risk management approach must take a wider, more strategic view and consider short-, medium- and long-term implications, as well as (often complex) inter-dependencies.
- 3.1.3. The impact of the pandemic and other recent global events on Council services and the local community has been significant, and this approach remains critical in light of the Council's ongoing response and recovery planning. The hierarchy of risk logs from teams, services, directorates and partnerships up to the corporate log should ensure that each level has holistic oversight of the most significant issues which must be monitored and managed. In addition, consideration of risk at a Civil Contingencies and Incident Management level has been critical, as has the risk assessment process which has formed a significant part of the Council's ability to respond and manage service provision safely.

3.2. Corporate Risk Management Process

- 3.2.1. The corporate risk register is owned by the Strategic Leadership Group, and the Strategic Director – Partnership & Performance is responsible for the corporate Risk Management approach. The Council follows a systematic process, reporting corporate and service risks to Committee on a regular basis. The process is assessed via internal and external governance and audit mechanisms, and peer-reviewed by other authorities and partners.
- 3.2.2. Each corporate risk review involves gathering information from internal and external sources (environmental scanning) and review of the register by a range of individuals and groups. Discussions are held at the Corporate Risk & Integrity Forum (including risk owners and/or delegated officers) to:
- Review changes and developments in existing corporate and service risks;
 - Investigate emerging externally-identified risks for local relevance;
 - Evaluate emerging internally-identified risks (Internal Audit/self-assessment); and
 - Consider significant risks, or those with implications across multiple services, for escalation to the corporate log, where they are managed until their severity reduces.
- 3.2.3. It would be impossible to remove all risk from our operations as most of our functions have inherent risks, as do most changes. Moreover, we cannot choose not to make changes, as this would involve exposure to other risks, such as failing to fulfil statutory duties, comply with new legislation or take advantage of new opportunities/technologies. The aim, therefore, is not to be ‘risk averse’ but ‘risk aware’.
- 3.2.4. We identify our approach to managing each risk as:
- | | |
|------------|--|
| Treat: | we will take action to reduce the risk; |
| Tolerate: | actions within our control have been completed and plans are in place; |
| Transfer: | the risk will be passed to another party, such as insurers; |
| Terminate: | the activity that is causing the risk will be ceased. |

3.3. Current Risk Profile & Development Activity

- 3.3.1. As can be seen from Appendix A, while several issues remain of significant concern, some progress has been made in reducing scores. Workforce Planning has reduced from red to amber, and ongoing work towards the Council’s Net Zero ambitions has also reduced the Climate Change score (remaining within amber thresholds). Industrial Unrest was last reported as amber (Quarter 1 report, August), was temporarily increased to red in an interim assessment due to pay disputes, but has now been downgraded again.
- 3.3.2. In a number of other areas, the positive impact of mitigations is outweighed by worsening external factors, resulting in little direct change in many scores. Interdependencies are also clearly evident, and the impact of several substantial external factors is expected to continue for quite some time, presenting economic, environmental, geopolitical, societal and technological concerns. While the register summarises an extremely challenging time, we are not alone, and one factor within our control is how we lead by example to ensure that high standards of diligence are applied in all areas of our work.
- 3.3.3. The Corporate Risk & Integrity Forum continues to lead progress on mitigations and provide challenge and peer-review. Training is ongoing via our risk management partners, Gallagher Bassett, with 7 staff members achieving accreditation in 2021/22, additional Health & Safety training for senior managers, and the circulation of guidance and materials internally. Work also continues on supporting services and reviewing the corporate risk strategy, as well as partnership work with the Health & Social Care joint risk forum.

4.0 Sustainability Implications

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

5.0 Resource Implications

5.1. *Financial Details – There are no direct financial implications arising from this report.*

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

5.3. Finance have been consulted and have agreed the financial implications as set out. Yes ✓

5.4. *Staffing – There are no direct staffing implications arising from this report.*

6.0 Exempt Reports

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

7.0 Declarations

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

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

Clackmannanshire will be attractive to businesses & people and ensure fair opportunities for all ✓

Our families; children and young people will have the best possible start in life ✓

Women and girls will be confident and aspirational, and achieve their full potential ✓

Our communities will be resilient and empowered so that they can thrive and flourish ✓

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

8.0 Equalities Impact

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

9.0 Legality

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

10.0 Appendices

10.1 Please list any appendices attached. If there are no appendices, please state "none".

Appendix A – Corporate Risk Log

11.0 Background Papers

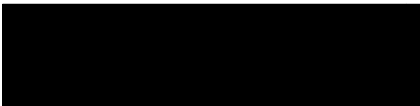
11.1 Have you used other documents to compile your report? (All documents must be kept available by the author for public inspection for four years from the date of meeting at which the report is considered)

Yes (please list the documents below) No ✓

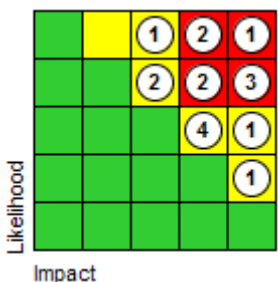
Author(s)

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Judi Richardson	Performance & Information Adviser	2105

Approved by

NAME	DESIGNATION	SIGNATURE
Stuart Crickmar	Strategic Director – Partnerships & Performance	



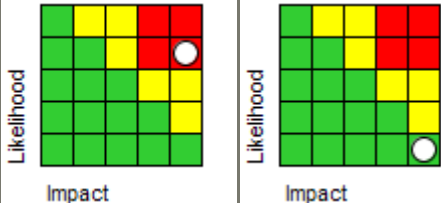
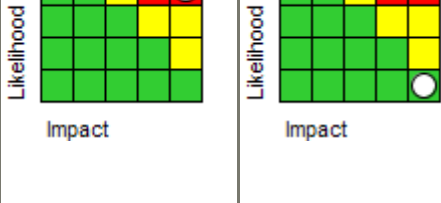
Appendix A - Corporate Risk Log



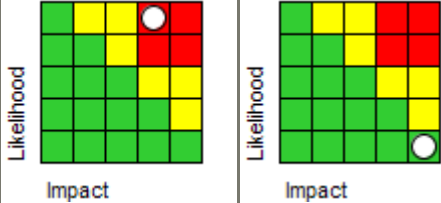
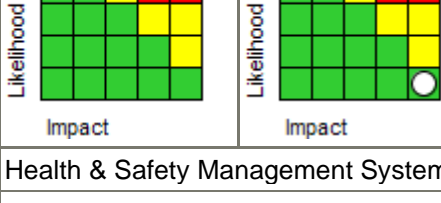
Summary of Changes	Distribution of Scores
<p>At the 2022/23 half year stage (out of a total of 17 risks):</p> <p>Status</p> <p>8 risks are red (9 in previous report - 2022/23 Quarter 1) 9 risks are amber (previously 8) No risks are green (same as previous – fewer green as normally demoted to lower-level registers unless particular scrutiny needed)</p> <p>Approach</p> <p>12 risks are being Treated (same as previous) 5 risks must be Tolerated (same as previous)</p> <p>Change in Scores Since Last Review</p> <p>No risks have increased 14 risks remain the same 3 risks have reduced No risks have been added or removed</p>	 <p>The matrix shows a 5x5 grid of Likelihood (Y-axis) vs Impact (X-axis). The top row has a yellow cell (1,1) and red cells (1,2) and (1,3). The second row has green cells (2,1) and (2,2), and red cells (2,3) and (2,4). The third row has green cells (3,1) and (3,2), and yellow cells (3,3) and (3,4). The fourth row has green cells (4,1) and (4,2), and a yellow cell (4,3). The fifth row has green cells (5,1) and (5,2). Circles with numbers indicate score changes: 1 (green to yellow), 2 (green to red), 3 (green to red), 4 (green to yellow), and 1 (green to yellow).</p>



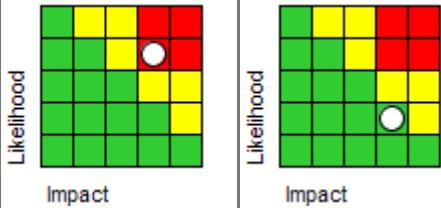
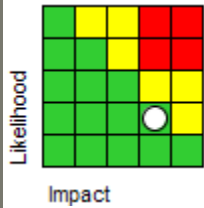


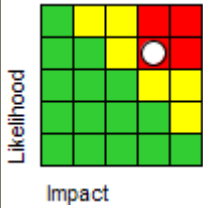
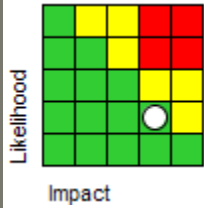
Code	Title	Score	Status	Approach	Change
COU CRR 008	Insufficient Financial Resilience	25		Treat	
COU CRR 022	Public Health Emergency	20		Tolerate	
COU CRR 005	Impact of Poverty, Inequality & Changing Demographics	20		Treat	
COU CRR 034	Insufficient Pace and Scale of Organisational Transformation	20		Treat	
COU CRR 050	Supply Chain & Labour Market Disruption	20		Tolerate	
COU CRR 012	Health & Safety Breach	20		Treat	
COU CRR 048	Increasing Attainment Gap	16		Treat	
COU CRR 009	Information Not Managed Effectively	16		Treat	
COU CRR 046	IT System Failure	15		Treat	
COU CRR 038	Failure to Prevent Extremism and/or Radicalisation	15		Treat	
COU CRR 047	Inadequate Workforce Planning	12		Treat	
COU CRR 011	Harm to Child(ren)	12		Treat	
COU CRR 037	Failure to Address Serious Organised Crime	12		Treat	
COU CRR 023	Industrial Unrest	12		Tolerate	
COU CRR 040	Failure of Public Utility Supply	12		Tolerate	
COU CRR 031	Failure to Prepare for Severe Weather Events	12		Tolerate	
COU CRR 049	Continued Contribution to Climate Change	10		Treat	



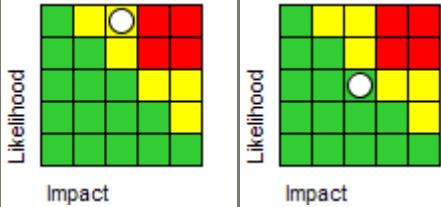
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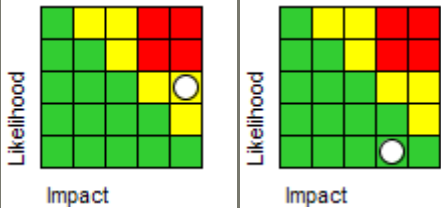
	Insufficient Financial Resilience	Senior Manager Finance & Revenues	Current Score	25
			Target Score	5
Risk	The Council does not have a balanced budget to meet essential service demands, customer needs, or external agendas.		<div style="display: flex; justify-content: space-around;"> <div style="text-align: center;"> Likelihood Impact </div> <div style="text-align: center;"> Likelihood Impact </div> </div>	
Potential Impact	Reputational and legal implications and severe, extended loss of service provision. Possibility of Alliance, Health & Social Care and other partners also experiencing budget pressures contributes to potential impact, given the interdependencies.			
Note	Reviewed and assessment of risk remains the same based on current financial resourcing situation.			
Related Actions	Audit of 2021/22 Accounts by Audit Scotland	COU EXA 212	Existing Controls	Budget Strategy & Monitoring
	Use the agreed strategic change framework and organisational design principles to implement a whole organisation redesign	EXA BVA 1A0		Contract Standing Orders
	Balance the drive for savings with the need for sufficient officer time and skills to support change and consider how to make more use of external assistance to support improvement	EXA BVA 4F0		Financial Regulations
	Impact of Poverty, Inequality & Changing Demographics	Chief Executive	Current Score	20
			Target Score	5
Risk	Services are not appropriately redesigned based on changing needs in relation to the ageing population, health, complexity of care or socio-economic factors, specifically poor outcomes associated with welfare reform, poverty and/or inequality.		<div style="display: flex; justify-content: space-around;"> <div style="text-align: center;"> Likelihood Impact </div> <div style="text-align: center;"> Likelihood Impact </div> </div>	
Potential Impact	Inappropriate allocation of resources & assets, misalignment of corporate objectives to need, inability to demonstrate Best Value, and possible financial and reputational consequences of responding to unplanned situations.			
Note	The LOIP and Health & Care Strategic Plan set out partnership outcomes to strengthen community & place-based services. Key priorities are to reduce children living in poverty, develop inclusive growth and empower families & communities. Relevant actions include City Region Deal, Community Wellbeing & Community Wealth Building, as well as data analysis to inform decision-making and Poverty Impact Assessments. The risk score takes into account EU withdrawal, pandemic impacts and recent Child Poverty statistics.			
Related Actions	Clackmannanshire Alliance Local Outcomes Improvement Plan 2017-27	CPP LOI	Existing Controls	Customer Consultation & Engagement
	Implement Health & Care Partnership Strategic Delivery Plan	CRR HSC SDP		Budget Strategy & Monitoring



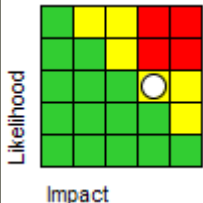
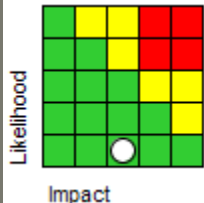
		Insufficient Pace and Scale of Organisational Transformation	Chief Executive	Current Score	20	Target Score	5
Risk	The Council fails to proactively drive the fundamental redesign of services and organisational planning/development with the speed required to address the funding gap due to ineffective change management.						
Potential Impact	Failure to maintain the required level of provision for statutory services. The corporate business improvement programme does not establish sustainable service delivery and a sustainable cost base for the future.						
Note	Council meeting of 11th August 2022 gave approval to develop a Target Operating Model (TOM) that will provide a consistent foundation and framework within which future organisation change and redesign can be developed and accelerated. Accompanying the TOM will be a Communications and Engagement Strategy. The proposed TOM prioritises getting the basis right for the users of our services by placing the needs of residents, communities and businesses at the heart of Council decision making. It also reflects a mixed economy model of service delivery, underpinned by objective analytical evaluations of the most effective ways of addressing customer needs, delivering outcomes, ensuring resilience in service delivery and securing financial sustainability. The TOM will guide the organisation through the next stage of its transformation journey.						
Related Actions	Be the Future Transformation Programme		COU BTF	Existing Controls	Be the Future Board		



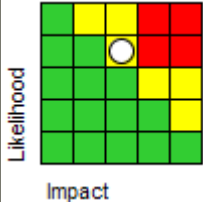
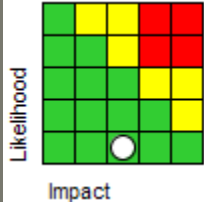
		Health & Safety Breach	Chief Executive	Current Score	20	Target Score	5
Risk	Incident or statutory breach results in injury or death of staff member or customer due to lack of awareness or non-compliance with policies and procedures. Incidents may also arise from third parties actions, outwith Council control.						
Potential Impact	The effects on individuals and their families, financial penalties (including Health & Safety Executive intervention fees), criminal proceedings, adverse publicity, increased insurance or damage to Council assets.						
Note	Significant risk still remaining. H&S Strategy developed to help address concerns and reduce the risk.						
Related Actions	Revised Health & Safety Strategy & Actions Plan		CRR P&P HR1	Existing Controls	Health & Safety Management System		
	Governance improvement actions across all services		CRR P&P LD1		Health & Safety Corporate Training Programme		



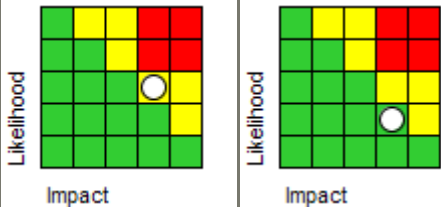
		Increasing Attainment Gap	Chief Education Officer	Current Score	16	Target Score	8
Risk	The Council fails to reduce the educational attainment gap between pupils from more and less deprived areas due to financial pressures, workforce issues, or wider economic, demographic and poverty-related issues.						
Potential Impact	Poor school leaver destinations/participation, young people failing to reach potential, longer-term impacts on social mobility, poverty, life chances & economic growth, plus reputational damage and implications for inspections & funding.						
Note	Recovery Plans now form part of School Improvement Plans and support continues from Centre Teams & government funding. Health & wellbeing impacts and emerging challenges being addressed by Educational Psychology & partners. Redesigned approach to Scottish Attainment Challenge has seen funding to 9 Challenge Authorities (£43m) distributed equitably between all 32 local authorities - now named Strategic Equity Funding. This significantly reduces finance available for local Programme Plans, tapering down over next 4 years (2022-25). We continue to monitor attainment closely, with targeted support to close any identified gaps, and funding will be carefully allocated to mitigate risks.						
Related Actions	Increased attainment in Literacy and Numeracy		NIF 21 10	Existing Controls	Education Senior Management Team		
	Collective efforts ensure that interventions continue to be targeted to those areas of greatest need to improve outcomes and close the poverty related attainment gap		NIF 21 16		Strategic Equity Funding		
	Covid-19 Education Recovery Plan		PPL EDU CRP		National Improvement Framework		
		Information Not Managed Effectively	Senior Manager - Legal & Governance	Current Score	16	Target Score	8
Risk	Information is not protected, managed or used effectively due to lack of compliance with information sharing, data protection, records management or IT principles/protocols, potentially leading to data breaches, inefficiency/duplication and strategic/performance management decisions based on poor quality/inaccurate business intelligence.						
Potential Impact	Legal/reputational/financial implications from breaches (regulators being the ICO and SIC can impose monetary penalties and enforcement notices), inefficiencies costing time/money, non-completion of (possibly statutory) duties. Loss of productivity, impacting morale, or misinformed decision-making if information not available/used.						
Note	There is currently no Records Management Officer in post, and the Data Protection Officer is externally appointed. The likelihood of this risk occurring increased at the last review in relation to external cyber security threats, with cyber essentials accreditation remaining outstanding. Work continues around opportunities from MS365, review of Data Protection policies and partnership sharing agreements, and ensuring the completion of mandatory training by all staff.						
Related Actions	Develop & deliver the Council's Digital Transformation Strategy		CRR P&P IT1	Existing Controls	Data Sharing Agreements GDPR Guidance & Training		



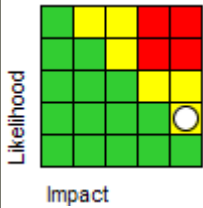
		IT System Failure	Senior Manager Partnership & Transformation		Current Score	15	Target Score	9
Risk	Full or partial loss of network/hardware/software/telecoms technologies (temporary or prolonged) due to cyber attack/other emergency, failure to manage maintenance/backups/suppliers/contracts, or lack of investment in systems/staff/training (i.e. failure of IT services to uphold priorities of Confidentiality, Integrity and Availability).							
Potential Impact	Financial impact from loss of productivity, service disruption (inc. statutory/vulnerable groups), inability to communicate, harm to staff/customers (access to records/Potentially Violent Persons register) & legal/regulatory/reputational implications.							
Note	The Council is investing in ICT infrastructure as part of its Digital Transformation Strategy. This will introduce cloud hosted services, retire/replace legacy systems, implement m365 & invest in modern technology to support delivery, future ways of working & Digital Transformation ambitions. Digital Maturity Assessment, Audit Scotland review and work in partnership with Digital Office is helping shape this work. A report on Cyber Security compliance is scheduled, however, recent global issues increased this risk at the last review, and work is ongoing around security and improving staff & public awareness.							
Related Actions	Develop & deliver the Council's Digital Transformation Strategy		CRR P&P IT1	Existing Controls	Business Continuity Plans			
	Complete actions from IT Asset Management Plan		CRR P&P IT2		Service Level Agreements & Contracts			

		Failure to Prevent Extremism and/or Radicalisation	Senior Manager Partnership & Transformation		Current Score	15	Target Score	4	
Risk	Radicalisation of someone from the area results in terrorist incident (or other malicious attack), causing physical or financial harm to individuals or groups (here or elsewhere), or fear of such an incident affects quality of life.								
Potential Impact	Casualties/fatalities, property/infrastructure damage, need for evacuation/temporary housing or wider economic damage. Financial harm to individuals, businesses or the Council. Disruption to services or reputational/legal implications.								
Note	Continue to implement CONTEST delivery plan through work with our partners and through the Forth Valley CONTEST Board. Prevent is the strand within CONTEST focussed on preventing radicalisation and extremism in communities. Training for staff is provided as part of mandatory training programmes and on specific aspects of the national Prevent strategy. The national Prevent referral pathway has also been reviewed in 2021.								
Related Actions	Actions from Internal Audit of CONTEST, Prevent & Serious Organised Crime Readiness		CRR P&P SP2	Existing Controls	FV Local Resilience Partnership				
					CONTEST Delivery Plan & Working Groups				
					WRAP Training (High Priority Staff)				

		Inadequate Workforce Planning	Senior Manager HR & Workforce Development	Current Score	12	Target Score	3
Risk	Due to lack of workforce planning the Council fails to ensure sufficient capacity/resource to deliver key Council service or fails to adequately develop its workforce to ensure that skills, knowledge and structures are appropriate, sustainable financially viable and compatible with our corporate vision.						
Potential Impact	Loss of key staff from posts identified as single points of failure, including statutory officers, leading to inability to delivery key functions and lack of adequate professional advice to Council Officers/Elected Members.						
Note	The main continues to relate to a stretched and fatigued workforce as a result of balancing "business as usual" with ongoing pandemic recovery as well as progressing key transformation activities. Beyond this an aging workforce, with a number of key staff approaching potential retirement, turnover in key posts or single points of failure, impacted by turnover or absence overlays presents significant future challenges. Workforce Planning Session are being arranged with Portfolios, facilitated by the Team Leader - Workforce Development and Learning. These outputs together with the outputs of the demands/capacity/skills audit will inform the review of our Strategic Workforce Plan 22-25						
Related Actions	Develop & implement the strategic workforce plan 2022-25		CRR P&P HR3	Existing Controls	Strategic Workforce Plan		

		Harm to Child(ren)	Strategic Director - People	Current Score	12	Target Score	3
Risk	A lack of capacity or stability in key roles reduces the Council's ability to fulfil statutory requirements and intervene to prevent the serious harm of a child/children.						
Potential Impact	Effects of injury or death on individual, family, friends & staff members, reputational & legal implications, with associated costs, as well as impact of reputational damage & negative publicity on morale, workforce development and sustainability.						
Note	Planning and measures are in place to address staffing, leadership, assurance and improvement planning, including quarterly reports to Committee. We are currently recruiting to the vacancies for team leaders and social workers.						
Related Actions	Children's Services Plan 2021-24		PPL CHC CSP	Existing Controls	Child Protection Procedures		
	Covid-19 Education Recovery Plan		PPL EDU CRP		Public Protection Chief Officers Group		
	People Business Plan 2021-22		PPL PBP 212		Public Protection Committee		

 	Failure to Address Serious Organised Crime	Senior Manager Partnership & Transformation	Current Score	12	Target Score	8
Risk	Public bodies fail to address organised crime involving drugs, violence, fraud, corruption, money laundering and/or human trafficking (with women and girls particularly vulnerable), due to a lack of preventative processes or information sharing.					
Potential Impact	Physical or financial harm to individuals, businesses, communities or the Council. Direct or indirect disruption to Council services and associated reputational and/or legal implications.					
Note	Situational awareness and monitoring of significant developments or intelligence is ongoing. Web pages for staff have been updated with the latest advice on cyber crimes and keeping safe and briefings are shared with staff from Scottish Business Resilience Centre and the National Crime Agency.					
Related Actions	Serious Organised Crime action plan, based on Police Scotland self-assessment	COU SOC	Existing Controls	Serious Organised Crime Delivery Plan		
	Implement Council CONTEST Delivery Plan, based on the Government's CONTEST Strategy	CRR P&P SP1		Let Scotland Flourish Strategy		
	Actions from Internal Audit of CONTEST, Prevent & Serious Organised Crime Readiness	CRR P&P SP2		National Fraud Initiative		



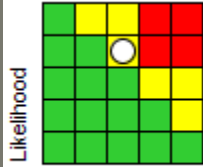


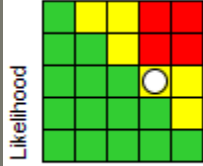
 	Continued Contribution to Climate Change	Strategic Director - Place	Current Score	10	Target Score	5
Risk	The Council fails to play its part in addressing the climate emergency, such as by not adapting to climate change, by not reducing waste and the need to travel, making available adequate resources, developing/using/promoting sustainable practices, materials & technologies (including energy efficiency & emissions) or failing to act as an ambassador for national & international good practice as it emerges.					
Potential Impact	Worsening environmental impacts including flooding (see related Severe Weather risk), increased fuel poverty (with knock-on health/social impacts), missed efficiency savings, economic opportunities and poorer air quality. Political/reputational impacts of not supporting national/international policy, and potential legal implications of not meeting targets or demonstrating progress.					
Note	We submit Climate Change Duties reports annually, and are developing/implementing several related strategies & projects around our own practice and dissemination to local residents & businesses. These relate to assets, housing stock, energy & fuel poverty advice, community food growing, waste reduction, low-carbon technology and sustainable transport. A comprehensive Net Zero/Climate Change Strategy and Climate Emergency Action Plan is being prepared and a Council Climate Emergency Group and community Climate Change Forums are being established to support this process. Scotlands International Environment Centre proposal, as part of the City Region Deal, will place Clackmannanshire at the forefront of Scotland's Climate Change mitigation efforts. A recent internal audit found systems to be largely satisfactory, and provided recommendations around reporting processes, strategy review and establishing a Carbon Management Group. However, a comprehensive Climate Change/Net Zero Strategy is now required to guide the Council and communities to a net zero future.					
Related Actions	Develop Net Zero strategy and action plan	PLC 213 101	Existing Controls	Local Biodiversity Action Plan		
	Develop routemap to compliance with ESSH2 for all Council Housing stock.	PLC 213 104		Regional Energy Masterplan		
	Deliver CRD programme in line with delivery plan/financial profile	PLC 213 111		Sustainable Food Growing Strategy		

Approach Tolerate

Public Health Emergency	Chief Executive	Current Score	20	Existing Controls
Risk	Significant numbers of Council staff and customers become ill due to the occurrence of a public health emergency, such as a flu pandemic, with spread potentially exacerbated through failure to vaccinate or follow hygiene protocols.			Business Continuity Plans
Potential Effect	Short- & long-term health implications for public & staff (inc. absence if ill or caring for others). Disruption to support & front-line services, inc. to already vulnerable groups. Consideration required of minimal service provision requirements.			Pandemic Flu Plan
Note	The Covid 19 pandemic remains an ongoing incident requiring Council's continued response and recovery activity. The Council's Incident Management Plan was implemented on the 9 March, 2020 and Major Emergency Operating Procedures (MEOPs) were agreed and enacted. All Business Continuity plans have been reviewed and we are actively involved in response planning with the Forth Valley Resilience Partnership. Continuity of crucial services has been achieved and response and recovery work for outbreak management, community testing, vaccinations and community support for those people isolating has been established. Council has agreed an internal debrief process and a survey was undertaken to identify lessons learned and inform the ongoing process of response and recovery.			Major Incident Procedures

Supply Chain & Labour Market Disruption	Chief Executive	Current Score	20	Existing Controls
Risk	Disruption to UK supply chains & labour markets as a result of EU withdrawal, increasing costs & delays in sourcing goods (particularly in construction), already materialising and could continue for an extended period or escalate			SLAs & Contracts
Potential Effect	The Council could fail to recruit or retain staff with the required knowledge & experience, and/or be subject to direct or third-party impacts if suppliers are unable to source goods/materials or staff to fulfil contractual obligations			Recruitment & Retention Policy
Note	While contracts and other mechanisms may reduce impact to a certain extent, we must broadly tolerate this significant external risk. Where possible, mitigations are being sought, particularly in Procurement and Human Resources, as well as analysis, forecasting and contingency planning.			Procurement Processes & Procedures

Industrial Unrest	Chief Executive	Current Score	12	Existing Controls
Risk	Industrial action by Council staff, partners or suppliers arises, normally in relation to local or national budget-related changes to terms and conditions, or restructuring.			Business Continuity Plans
Potential Effect	Immediate effects on service delivery & those dependent on services, with financial and reputational damage, and residual impact on staff morale & productivity. In case of partners/suppliers may have to support or reduce activity/service delivery.			Trade Union Comms Protocol
Note	SJC Unions are balloting members on the revised pay award agreed by Leaders on 02/09/22, Unions are recommending acceptance. Until ballot concluded strike action is suspended. Teaching unions have however rejected a 5% pay award and will look to ballot members on potential industrial action. If teaching staff strike this will impact on educational delivery.			Forth Valley Local Resilience Partnership

		Failure of Public Utility Supply	Strategic Director - Partnership & Performance	Current Score	12	Existing Controls
Risk	Loss of gas, electricity, water or communications over a significant area due to failure of a provider's infrastructure as a result of a local or national event.				Business Continuity Plans	
Potential Effect	Fatality, injury or health risk, requirement to evacuate & find alternative accommodation, including for vulnerable people. Disruption to businesses, with potentially large costs, and impact on contact with health, care and emergency services.				Major Incident Procedures	
Note	This risk remains a concern due to infrastructure & power interdependencies, particularly black start outage recovery time (now believed to be minimum 7 days). Priority for the Resilience community, particularly due to Councils' duty of care. Planning & work ongoing, regular testing of plans, lessons learned from previous incidents and quarterly meetings with resilience partners including SPEN, SGN and Scottish Water.				Emergency Response Plan	
		Failure to Prepare for Severe Weather Events	Strategic Director - Place	Current Score	12	Existing Controls
Risk	Inability to respond to severe weather events due to lack of appropriate planning & equipment (e.g. 4x4 vehicles). Most likely flooding from rain/coastal surge, winter weather or heatwave (increasing frequency & severity due to climate change).				Business Continuity Plans	
Potential Effect	Widespread community dislocation, damage to property, businesses, roads & utility infrastructure (inc. telecoms & power), or inability of staff to get to workplace. Impact on delivery, reputation & finances, and increased workload in numerous services to support communities, and clear roads and the core path network (e.g. from fallen trees & other debris).				Winter & Flood Management Plan	
Note	Resilience groups continue to plan and mitigate risks, and discussions held with Police Scotland on how to improve community resilience response for flooding e.g road closures on minor roads. Increased resilience is, however, seasonably dependant and in light of the potential 'layering' of risks this year including ongoing pandemic response, the score remains consistent. Lessons learnt from Storm Arwen are being built into plans, including mutual aid with neighbouring Councils.				Forth Valley Local Resilience Partnership	

Report to Audit & Scrutiny Committee

Date of Meeting: 27 October 2022

Subject: Regulation of Investigatory Powers (Scotland) Act 2000

Report by: Senior Manager Legal & Governance

1.0 Purpose

- 1.1. This report updates the Committee on the outcome of a recent inspection of the Council's use of The Regulation of investigatory Powers (Scotland) Act 2000 (RIPSA) by a representative of the Investigatory Powers Commissioner's Office (IPCO), the recommendations made and actions required following on from that.

2.0 Recommendations

- 2.1. The Committee is asked to:-
- 2.1.1. note there have been no authorisations granted under RIPSA since the previous inspection; and
- 2.1.2. note, challenge and comment on the report as appropriate.

3.0 Considerations

- 3.1. In limited circumstances, it may be necessary for Clackmannanshire Council employees, in the course of their duties, to make observations of a person in a covert manner (i.e. without that person's knowledge). Actions of this sort are potentially intrusive and may give rise to legal challenge. RIPSA was introduced to make sure that such surveillance was properly regulated and to ensure compliance with Human Rights legislation. There are statutory codes of practice which sit alongside the Act.
- 3.2. The Council has a RIPSA Policy in place, along with staff guidance and standard forms which require completion and authorisation by the Senior Leadership Group.
- 3.3. The Council is subject to an inspection on its use of RIPSA powers by an inspector from the Investigatory Powers Commissioner's Office (IPCO) every three years. A remote inspection took place on 4 June 2022. Evidence was

provided by Stuart Crickmar as Senior Responsible Officer and Lee Robertson as RIPSAs Co-ordinator.

3.4. The inspection was generally positive overall, with a number of key improvement areas recommend as follows:

3.4.1. whilst covert surveillance authorisation levels remain low (there have been none since the previous inspection),, it is recommend that training is provided for all authorising officers (that is strategic directors) and the RIPSAs Coordinator;

3.4.2. that there is a requirement to raise awareness of the consequences of using the internet and social media as an investigative resource; to ensure that use (inadvertent or otherwise) of such resources is proportionate and legitimate; there is proper oversight, and that it is auditable;

3.4.3. that whilst our authority had not made use of covert human intelligence sources (CHIS) over the period, and our policy contains appropriate guidance for staff, it could be enhanced with the use of examples and direction to the appropriate sections in the Code of Practice;

3.5. The above recommendations have been accepted and steps will be taken to implement these over the coming business planning period.

4.0 Sustainability Implications

4.1. There are no direct impacts to note

5.0 Resource Implications

5.1. *Financial Details*

5.2. Any financial implications arising from this report, e.g. training, will be contained within approved budgets.

5.3. *Staffing*

6.0 Exempt Reports

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

7.0 Declarations

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

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

Clackmannanshire will be attractive to businesses & people and ensure fair opportunities for all

Our families; children and young people will have the best possible start in life

Women and girls will be confident and aspirational, and achieve their full potential

Our communities will be resilient and empowered so that they can thrive and flourish

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

RIPSA Policy - Authorising Covert Surveillance Operations

8.0 Equalities Impact

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

9.0 Legality

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

10.0 Appendices

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

11.0 Background Papers


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

Inspection Outcome Letter from the IPCO to the Chief Executive dated 13 June 2022

Author(s)

NAME	DESIGNATION	TEL NO / EXTENSION
Lee Robertson	Senior Manager of Legal & Governance	2087

Approved by

NAME	DESIGNATION	SIGNATURE
Stuart Crickmar	Strategic Director	

Report to Audit & Scrutiny Committee

Date of Meeting: 27th October 2022

Subject: Annual Complaints Report 2021/22

Report by: Strategic Director, Partnership & Performance

1.0 Purpose

- 1.1. This report presents an overview of performance in relation to complaints handling during the year 2021/22.

2.0 Recommendations

- 2.1. It is recommended that Committee note, comment on and challenge the performance of Council services in handling complaints.

3.0 Considerations

- 3.1. Complaints provide a first-hand account of customers' views and experiences, and can highlight problems we may otherwise miss. This can help us address a customer's dissatisfaction and prevent the same problem from happening again. Complaints also offer valuable information that can help us to improve services and customer satisfaction.
- 3.2. Clackmannanshire Council's commitment to customer service is reflected in our values, in particular: Be the **Customer** - Listen to our customers, communicate honestly and with respect and integrity.

Complaints Handling Procedure

- 3.3. A complaint is:

An expression of dissatisfaction by one or more members of the public about our action or lack of action, or about the standard of service provided by us or on our behalf.

- 3.4. Complaints we receive are dealt with according to our Complaints Handling Procedure (CHP), which is in line with guidance produced by the Scottish Public Services Ombudsman (SPSO). The full CHP can be found on the Council website:

<https://www.clacks.gov.uk/site/documents/customerfeedback/clackmannanshirecouncilscomplaintshandlingprocedure/>

3.5. The CHP follows a 2 stage process:

Stage 1 (frontline response) aims to respond quickly (within five working days) to straightforward complaints that require little or no investigation.

Stage 2 is appropriate where:

- the customer is dissatisfied with the frontline response or refuses to engage at the frontline stage;
- the complaint is not simple and straightforward and therefore requires investigation; or
- the complaint relates to a serious, high-risk or high-profile issue

3.6. If, after the Council has fully investigated the complaint, the customer is still not satisfied with the decision or the way the Council has dealt with the complaint, then they can refer it to the SPSO.

3.7. By recording and tracking complaints we can analyse the causes of complaints, identifying any common themes or possible systemic problems, and ensuring that complaints are being dealt with efficiently and appropriately.

3.8. Under the LAMCHP, councils are required to publish annual performance information against a number of indicators, including complaints volumes, outcomes and timeliness of response.

3.9. The Complaints Performance Report for 2021/22 is shown in appendix 1.

4.0 Improvement Actions

4.1. Tying in with the launch of the revised CHP, in April 2021, a number of staff information sessions were run to support the roll-out of the new procedure.

4.2. Changes were made to the complaints database, reflecting changes to the CHP.

4.3. A review of The Council's Customer Charter has been agreed.

5.0 Sustainability Implications

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

6.0 Resource Implications

6.1. Financial Details

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

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

6.4. Staffing

7.0 Exempt Reports

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

7.0 Declarations

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

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

Clackmannanshire will be attractive to businesses & people and ensure fair opportunities for all

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Our communities will be resilient and empowered so that they can thrive and flourish

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

Customer Charter

8.0 Equalities Impact

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

9.0 Legality

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

10.0 Appendices

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

Appendix: Annual Complaints Performance Report 2021/22

11.0 Background Papers


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

Yes (please list the documents below) No

Author(s)

NAME	DESIGNATION	TEL NO / EXTENSION
Rose Hetman	Strategy & Performance Adviser	2052

Approved by

NAME	DESIGNATION	SIGNATURE
Stuart Crickmar	Strategic Director	

APPENDIX



Clackmannanshire
Council

www.clacks.gov.uk

Comhairle Siorrachd
Chlach Mhanann

Clackmannanshire Council

Annual Complaints Performance Report 2021/22

Clackmannanshire Council aims to provide the highest possible quality of service to our customers, but we recognise that sometimes things can go wrong and we fail to meet expectations. We value all complaints and use information from them to help us improve our services.

We manage complaints in line with the Scottish Public Services Ombudsman (SPSO) Local Authority Model Complaints Handling Procedure, which consists of 2 stages:

Stage 1: (Frontline response) covers straightforward complaints that require little or no investigation, and should be responded to within 5 working days;

Stage 2: (Investigation) concerns complaints that have not been successfully resolved at Stage 1, or more complex or serious complaints that require investigation. Stage 2 complaints should be answered within 20 working days.

This report presents the Council's performance in relation to complaints handling from 1st April 2021 until 31st March 2022, against key performance indicators defined by the SPSO.

NB At the time of writing, the most recent Scottish benchmarking data available was for 2020/21. These figures have been included to allow comparison.

Scottish Public Services Ombudsman Performance Indicators

Indicator 1 Complaints received per thousand population

The steady increase in the number of complaints received has continued, while complaints closed has also increased during the last year.

	2019/20	2020/21		2021/22
	Clacks	Clacks	Scotland	Clacks
1a Number of complaints received per 1,000 population	4.0	4.8	9.87	5.5
1b Number of complaints closed per 1,000 population	4.2	3.8	9.34	5.6

Indicator 2 Complaints closed at stage 1 and stage 2 as a percentage of all complaints closed

The majority of complaints are dealt with at stage 1. The volume of complaints that went straight to stage 2 declined significantly during 2020/21, but has returned to what has been the usual level historically. Meanwhile, complaints dealt with at stage 2 following escalation increased during 2020/21 and returned to their usual level historically during 2021/22.

Complaints can be classed as stage 2 either on receipt (if they are considered to be particularly complex or serious), or they can be escalated from stage 1 (if they have not been closed after 10 days or if the customer is unhappy about the outcome of their stage 1 complaint).

	2019/20	2020/21		2021/22
	Clacks	Clacks	Scotland	Clacks
2a Number of complaints closed at stage 1 as % all complaints	84.6%	87.1%	88.8%	85.0%
2b Number of complaints closed at stage 2 as % all complaints	9.3%	2.6%	8.4%	9.8%
2c Number of complaints closed at stage 2 after escalation as % all complaints	6.1%	10.3%	2.8%	5.2%

Indicator 3 Number of complaints upheld/partially upheld/not upheld at each stage as a percentage of complaints closed in full at each stage

With the introduction of the new Model Complaints Handling Procedure in April 2021, a new category of outcome, "**resolved**", was introduced. A complaint is **resolved** when both the Council and the customer agree what action (if any) will be taken to provide full and final resolution for the customer, without making a decision about whether the complaint is upheld or not upheld.

Not upheld remains the most common outcome for complaints closed at stage 1. However, a higher proportion (57.1%) of complaints dealt with at stage 2 were either upheld or partially upheld.

	2019/20	2020/21		2021/22
	Clacks	Clacks	Scotland	Clacks
3a Number of complaints upheld at stage 1 as % of all complaints closed at stage 1	36.5%	29.6%	47.2%	25.9%
3b Number of complaints not upheld at stage 1 as % of all complaints closed at stage 1	46.4%	53.3%	35.9%	42.4%
3c Number of complaints partially upheld at stage 1 as % of all complaints closed at stage 1	17.1%	17.2%	14.2%	14.0%
NEW Number of complaints resolved at stage 1 as % of all complaints closed at stage 1				17.7%
3d Number of complaints upheld at stage 2 as % of all complaints closed at stage 2	25.0%	0.0%	24.4%	10.7%
3e Number of complaints not upheld at stage 2 as % of all complaints closed at stage 2	55.0%	60.0%	48.4%	42.9%
3f Number of complaints partially upheld at stage 2 as % of all complaints closed at stage 2	20.0%	40.0%	19.3%	46.4%
NEW Number of complaints resolved at stage 2 as % of all complaints closed at stage 2				0.0%
3g Number of escalated complaints upheld at stage 2 as % of all escalated complaints closed at stage 2	23.1%	10.0%	21.2%	6.7%
3h Number of escalated complaints not upheld at stage 2 as % of all escalated complaints closed at stage 2	61.5%	60.0%	49.5%	46.7%
3i Number of escalated complaints partially upheld at stage 2 as % of all escalated complaints closed at stage 2	15.4%	30.0%	23.6%	40.0%
NEW Number of escalated complaints resolved at stage 2 as % of all escalated complaints closed at stage 2				0.0%

Indicator 4 Average time in working days for a full response to complaints at each stage

The average time for responding to complaints at stages 1 and 2 has increased, with both categories failing to reach their targets of closure within 5 and 20 days respectively.

The average time for dealing with complaints that had been escalated to stage 2 has improved significantly during 2021/22, although it should be borne in mind that some of these complaints may have been escalated because of failure to meet the deadline for closure at stage 1.

	2019/20	2020/21		2021/22
	Clacks	Clacks	Scotland	Clacks
4a Average time in working days to respond to complaints at stage 1	7.6	5.8	6.5	6.1
4b Average time in working days to respond to complaints at stage 2	20.9	19.6	22.9	20.4
4c Average time in working days to respond to complaints after escalation	20.7	26.9	20.7	17.9

Indicator 5 Number and percentage of complaints at each stage which were closed in full within the set timescales of 5 and 20 working days

The proportion of complaints closed within their target times has declined significantly across the board during 2021/22. This could be partly due to the increase in the volume of complaints received, as well as the impact of work backlogs caused by Covid.

	2019/20	2020/21		2021/22
	Clacks	Clacks	Scotland	Clacks
5a Number of complaints closed at stage 1 within 5 working days as % of total number of stage 1 complaints	69.6%	78.7%	71.1%	60.9%
5b Number of complaints closed at stage 2 within 20 working days as % of total number of stage 2 complaints	85.0%	80.0%	62.7%	75.0%
5c Number of escalated complaints closed within 20 working days as a % of total number of escalated stage 2 complaints	84.6%	70.0%	65.5%	66.7%

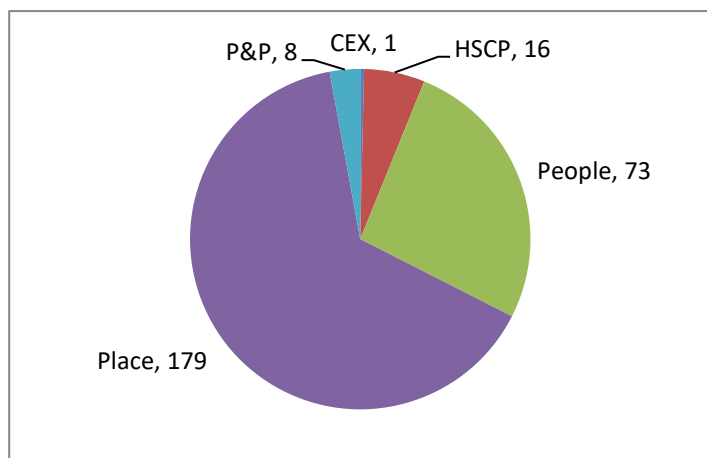
Indicator 6 Number and percentage of complaints at each stage where an extension to the 5 or 20 working day timeline has been authorised

Extensions authorised at stage 1 complaints continued to fall last year, while extensions at stage 2 continued to increase. Extensions for complaints that had been escalated to stage 2 fell last year, but remain higher than historic levels.

	2019/20	2020/21		2021/22
	Clacks	Clacks	Scotland	Clacks
6a Number of complaints closed at stage 1 where extension was authorised, as % all complaints at stage 1	5.5%	4.7%	4.6%	3.7%
6b Number of complaints closed at stage 2 where extension was authorised, as % all complaints at stage 2	10.0%	20.0%	14.3%	21.4%
6c Number of complaints closed after escalated where extension was authorised as % of all complaints escalated	7.7%	25.0%	16.1%	20.0%

Why people complain

Complaints by Service



Complaints by Subject



Complaints referred to the SPSO

During 2021/22, 12 complaints against Clackmannanshire Council were received and 12 determined by the SPSO. None of the complaints was upheld.

Complaints received by SPSO, by service

Subject Group	Number of Complaints
Economic Development	1
Education	2
Environmental Health & Cleansing	1
Housing	2
Legal & Admin	1
Planning	3
Roads & Transport	1
Social Work	1
Total	12

Outcome of complaints determined by SPSO

Stage	Outcome Group	
Advice	Premature	4
	Unable to proceed	1
Early Resolution	Discretion – Insufficient benefit would be achieved by investigation	1
	Discretion - Good complaint handling	6
Total		12

Report to: Audit and Scrutiny Committee

Date of Meeting: 27 October 2022

Subject: Health & Safety Annual Report 2021/22

Report by: Health & Safety Manager

1.0 Purpose

- 1.1. This report provides the 2021/22 annual report on Health & Safety performance across the Council.

2.0 Recommendations

- 2.1. Committee is asked to note the report, commenting and challenging as appropriate.

3.0 Considerations

- 3.1. The Council has a legal duty to ensure the health and safety of the staff its employees and anyone who comes into contact with the services we provide. As well as ensuring no person comes to harm, this also helps prevent loss or damage to property, disruption due to incidents and claims being made against the Council.
- 3.2. Committee should note that the Health & Safety Team have been heavily involved in the response to the pandemic. This has impacted on work which had previously been planned.
- 3.3. Despite these challenges, significant work has been undertaken over the last year to improve the health and safety culture across the organisation and the report provides detail of this activity and performance measures. The success of this has been underlined by the fact that no statutory breaches or enforcement action was taken against the Council in 2021-22. This is the first time that this has been the case since 2014-15.
- 3.4. However, work remains to be undertaken to ensure the Council fully meets its legal obligations. To support this a Health & Safety Strategy 2022-2025 has been developed and this was considered and approved at the Council meeting on 6th October.

4.0 Sustainability Implications

- 4.1. None Noted.

5.0 Resource Implications

- 5.1. *Financial Details*

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

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

5.4. *Staffing*

6.0 Exempt Reports

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

7.0 Declarations

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

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

Clackmannanshire will be attractive to businesses & people and ensure fair opportunities for all

Our families; children and young people will have the best possible start in life

Women and girls will be confident and aspirational, and achieve their full potential

Our communities will be resilient and empowered so that they can thrive and flourish

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

8.0 Equalities Impact

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

9.0 Legality

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

10.0 Appendices

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

- **Appendix 1:** Health & Safety Annual Report 2021/22

11.0 Background Papers


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

Yes (please list the documents below) No

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Health and Safety

Annual Report 2021–2022

Be the
Future



Be the Future

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1. INTRODUCTION

1.1 Aims and Objectives

In order to manage Health and Safety (H&S) effectively, it is essential to carry out and report on periodic reviews of H&S performance. This report aims to provide senior management and Elected Members with insight into the deployment of H&S across the Council. Management information is included for the period between 1st April 2021 and 31st March 2022. Information relating to the use and performance of the Occupational Health contract is also considered.

The report also provides information on H&S risks and any enforcement action / Health and Safety Executive (HSE) involvement where the effectiveness of internal controls and H&S risk management have not achieved their intended aim(s).

The Council uses the system set out in the HSE publication *Managing for Health and Safety (HSG65:2013)* as the basis for its H&S Management System. This is based on principles of Plan, Do, Check and Act which are common to many management systems.



The ultimate objective of this report is to monitor performance and to provide an indication of the level of assurance on the achievement of statutory compliance.

1.2 H&S Team goals

The H&S Team aims to ensure, as far as is reasonably practicable, that Council business is conducted and services are delivered without causing harm or ill health to our staff, or any others affected by our activities. Advice provided on the management of H&S will be reasonable, proportionate to the level of risk and benchmarked with similar organisations. The team also manages the Council Occupational Health Services contract. The H&S service contributes to maintaining a healthy workforce, improving efficiency, reducing costs and claims, managing risk and reducing absence.

The corporate H&S Team satisfies the statutory requirement to appoint an adequate number of competent persons to assist the Council and its Directorates to comply with legal duties, without removing the direct responsibility on Services to assess risk and operate in a safe manner.

Over the past year the team has continued to play a significant role in the Council's response to the Covid19 pandemic as well as supporting the Council's recovery from the pandemic. This has involved providing advice and guidance to staff and managers on the national guidance and regulations, carrying out assessments of all buildings to ensure they are "Covid Secure", carrying out individual risk assessments to ensure appropriate measures are in place for staff with underlying health conditions and co-ordinating and issuing PPE to Council services and to wider groups on behalf of the HSCP. This has all been undertaken while continuing a wide range of business as usual activities.

2. EXECUTIVE SUMMARY

Highlights from the broad range of work undertaken from the period 2021-22 include:

- No statutory breaches or enforcement action against the Council for the first time since 2014-15.
- Completion of a Behavioural Safety Culture Audit
- Development or review of 5 policies,
- Completion of 2966 Health and Safety training activities,
- Completion of General Health & Safety Audit visits to 12 Council properties in conjunction with trade union representatives,
- Completion of 326 Health Surveillance checks,
- Support provided through 854 contacts with PAM Assist and 29 referrals to Physiotherapy,
- Completion of the analysis of 35 Stress Risk Assessments.

All of the above support the Council in achieving statutory compliance and enhancing the health, safety and wellbeing of staff.

As a result of the Covid-19 pandemic, the team has also been involved in the following during 2021/22:

- supporting the Emergency Planning team in providing access to Covid testing,
- completing 156 individual risk assessments, bringing the total completed to 632,
- regularly reviewing and updating building risk assessments for all operational buildings,
- reviewing 84 DSE self-assessments and completing 46 full assessments,
- providing over 241,000 items/boxes of PPE to Council locations as well as 14,000 boxes of PPE through the HSCP Hub
- answering a large number of queries on the subject from across all Council Service areas, and on a re-active basis.

3 PERFORMANCE - H&S MANAGEMENT SYSTEM

3.1 Key Performance Indicators

In March 2018 a set of Key Performance Indicators were agreed for Health and Safety Performance across the Council. The results from this can be found at Appendix 1.

Objective	Description	Measure
Monitor and review risk assessment programmes	Monitor the implementation of risk assessment procedures	Number of assessments completed against number expected as a %
Ensure effective communication of Policies and Guidance	Measure of how well policies have been disseminated through the organisation	Number of employees receiving a toolbox talk on new H&S policies expressed as a % of those who should have received such a talk.
Ensure employees have completed basic H&S training recently.	Measure of implementation of core H&S Training (H&S Intro, Electricity, First Aid, Fire, Slips & Trips MicroLearn or Toolbox Talk)	Number of employees completing core H&S Training (refreshed each year) expressed as a % of total number of employees.
Ensure appropriate controls are in place to protect employees from violent behaviour	Measure of the number of violent incidents experienced by employees.	Number of violent incidents to employees expressed as a % of the overall number of employees.
Ensure Incidents are reported promptly	Measure the implementation of accident reporting procedures	Number of incidents reported within 5 working days expressed as % of incidents reported.
Ensure Health Surveillance is carried out in line with statutory requirements.	Monitor implementation of the health surveillance programme.	Number of HS appointments attended expressed as a % of the number of appointments offered by Occupational Health.
Ensure that Health & Safety is embedded throughout the organisation	Monitor how well employees feel health and safety is being managed using an HSE tool	Score out of 100 provided.

Work has been undertaken to create a new Health & Safety Strategy for 2022-2025 with a new set of Key Performance Indicators. This is the subject of a separate report to Audit & Scrutiny Committee.

3.2 Statutory Breaches & Enforcement Action

There were no Statutory Breaches found or Enforcement Action taken during the 2021-22 period. This is the first time this has occurred since the 2014-15 reporting period.

Scottish Fire and Rescue Service have continued to carry out regular fire safety audits across the Council estate and Ludgate House received a report with no recommended improvements required.

3.3 Significant Incidents/Accidents

During 2021/22 there were no full HSE investigations following the reporting of accidents under the RIDDOR Regulations. Where requested by HSE further additional information was provided.

3.4 Accident Data

A new accident reporting system was launched on 1st April 2022. This online system allows incidents to be reported from any internet enabled device. This has greatly increased the efficiency of the system as data is only entered once, whereas previously it could be entered up to three times. The system also allows the H&S team and senior management greater visibility of up to date incident data.

Paper based reporting is also available for those who do have, or are unable to, access IT equipment.

Table 1 below summarises the accident data for employees for the financial year 2021/22, previous years are included for comparison.

TABLE 1 - COUNCIL ACCIDENT STATISTICS – 2019/20, 2020/21 and 2021/22			
Number of Reports	2019/20	2020/21	2021/22
Staff	375	264	532
Others	Not available	Not available	1903
RIDDOR (HSE) reportable accidents within the above			
Staff	8	7	9
Others	Not available	Not available	6
Staff accident incidence rate (AIR) Total riddor reportable x 100,000 / FTE employees.	8 x 100000 /2029 = 394.28	7 x 100000 / 2090 = 334.93	9 x 100000 / 2127 = 423.13

There has been a significant increase in the number of incidents reported, which is due to the introduction of a new system for reporting accidents which is more accessible, and was widely promoted across the Council during this period. There has been a moderate increase in the number of incidents requiring reporting to the Health & Safety Executive under the Reporting of Injuries, Diseases and Dangerous Occurrences Regulations (RIDDOR). All nine were due to injuries which prevented the employee carrying out their normal duties for more than seven days. Table 2 illustrates the proportion of incidents across all services areas. During the 2021/22 financial year the Transformation Team were established as a separate Directorate, but no accidents were reported from this area during this period.

TABLE 2 – COUNCIL STAFF ACCIDENT STATISTICS – by Directorate													
	P&P			People			Place			HSCP			Transformation
	19/20	20/21	21/22	19/20	20/21	21/22	19/20	20/21	21/22	19/20	20/21	21/22	21/22
Non RIDDOR	17	19	0	244	145	468	98	85	46	8	8	9	0
RIDDOR	0	0	0	1	2	5	7	4	3	0	1	1	0
Total	17	19	0	245	147	473	105	89	49	8	9	10	0

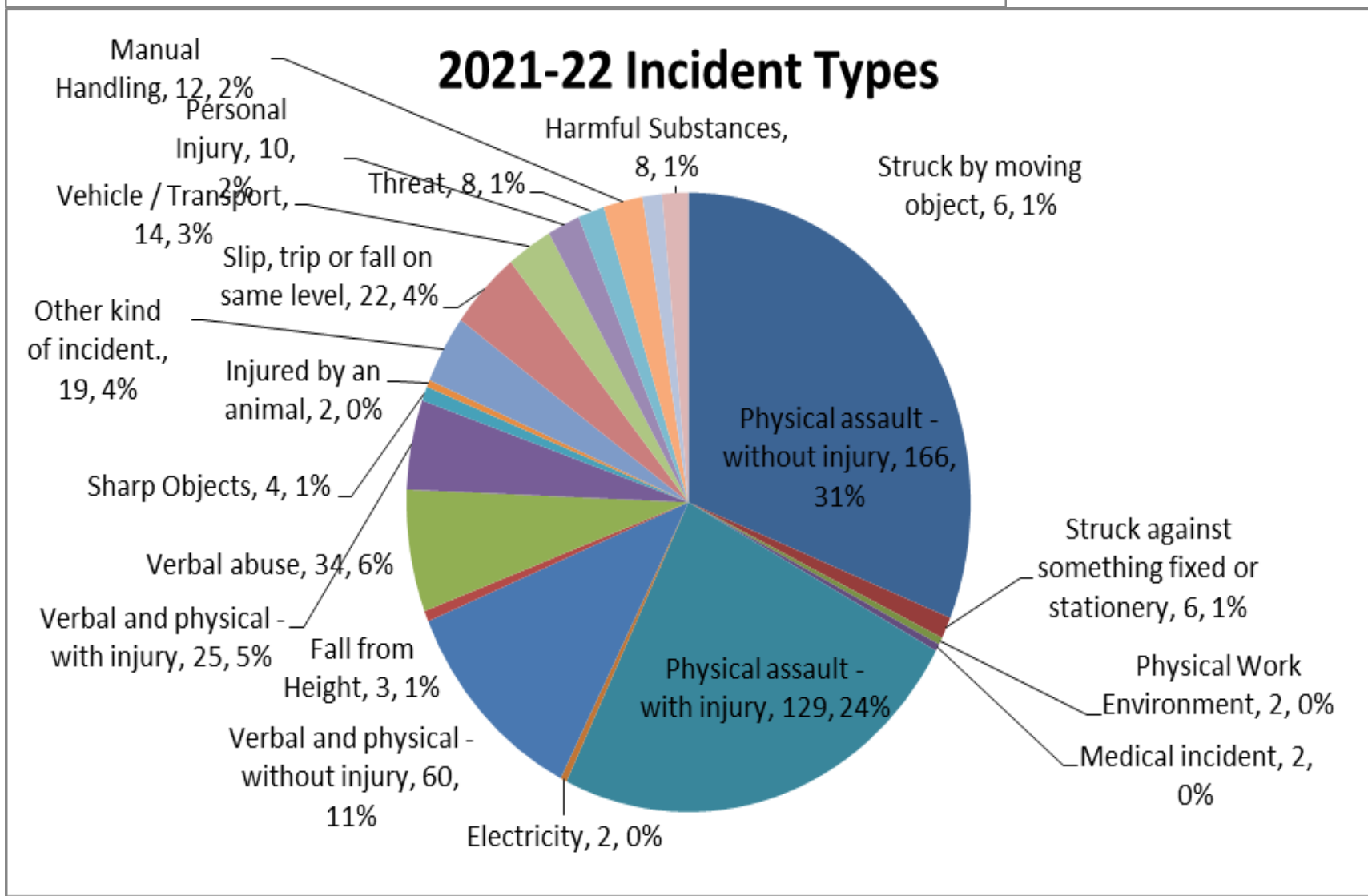
All accident reports are scrutinised by the H&S team and action(s) taken where required in the identification of trends and the provision of recommendations in order to prevent a reoccurrence. From April 2021 all incidents were reported via our new H&S system, Evotix Assure, which allows all managers to see accident data in real time with powerful tools for easily analysing these.

The number of incidents reported in 2021/22 increased but it should be noted that the previous years were impacted by changing work practices as a result of the Covid pandemic with fewer employees in the workplace for significant periods.

Figure 1 displays incident types for 2021-22. The highest types of incident were physical assaults, with nearly all of these taking place within educational establishments. The Council is taking part in a project with Health & Safety Executive to look at reasons for this trend and possible control measures to reduce the number of such incidences.

In 2021/22 the proportion of Near Miss events has dropped significantly. Work is ongoing across services to increase this near miss reporting allows early identification of potential issues before they cause actual harm.

same level, 21,
6%



3.5 Audits

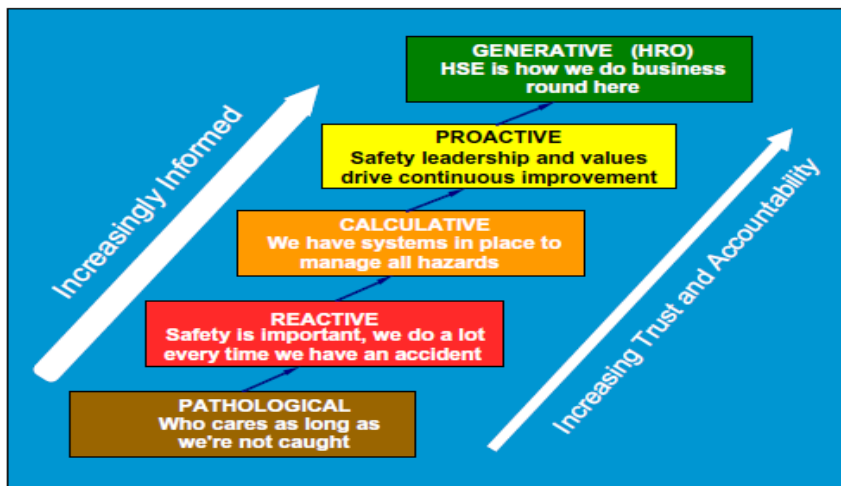
A programme of general Health & Safety Audit visits to 105 identified Council properties commenced in October 2017. These are properties which the Council maintains the responsibility for safety and upkeep. The final 20 buildings were assessed during 2019/20 which concluded the programme. Basic Health & Safety management arrangements are in place for most buildings, although some issues with the building fabric are now being addressed by the Planned Works & Compliance Team.

A new programme has been drawn up for the next round of visits. These will again take place in conjunction with our trade union representatives and commenced once Covid restrictions allowed. Our audit programme will focus on the 47 buildings in operational use. 12 visits had been completed by 31st March 2022.

In addition to this the Health & Safety team have completed a number of visits to worksites. The main issue identified from these visits has been a failure to wear Personal Protective Equipment (PPE) correctly. Toolbox talks have been undertaken to help resolve these issues.

Work is nearing completion to develop a new audit tool on Evotix. As well as providing a more in depth audit for our buildings, it will also allow us to undertake benchmarking with similar properties or services in Angus and Perth & Kinross Councils. There is scope to roll this out to a number of other Authorities in the future.

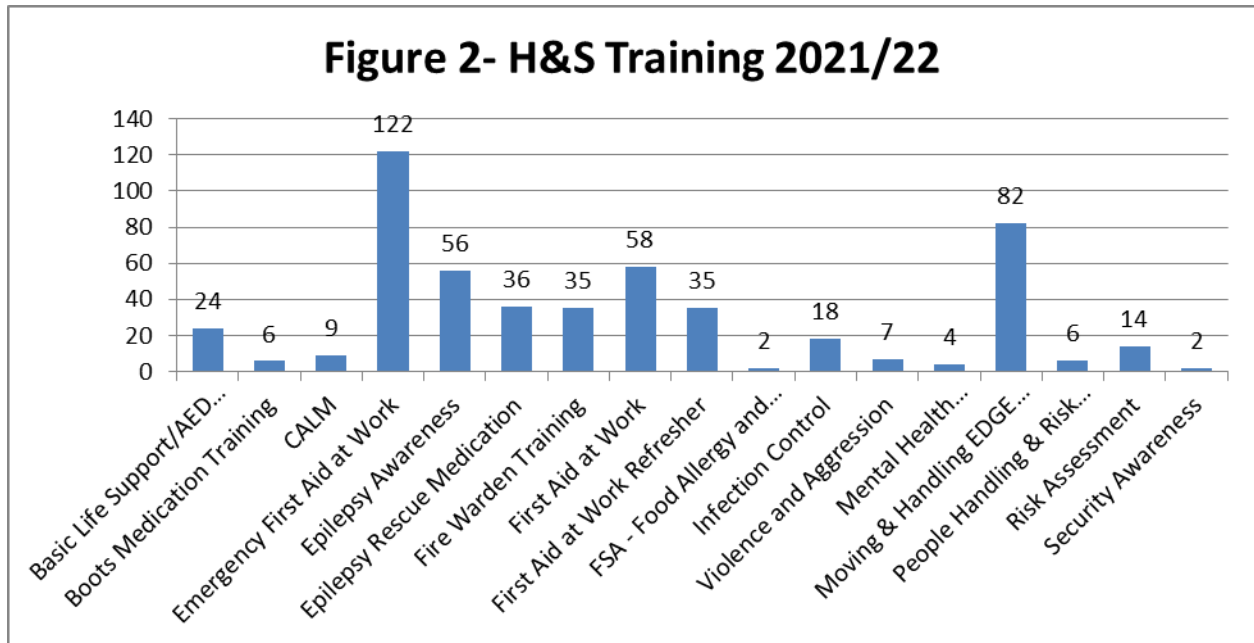
An audit of the Safety Culture took place and found the Council to be “Reactive”. This was based on interviews with a number of staff from all services across the Council. This means that there is some good work going on, but that it tends to be in reaction to specific events rather than a more systematic approach. The Council is committed to progressing towards a “Generative” culture.



3.6 Training

H&S training plays a significant role in reducing overall H&S risk. In 2021/22 there were 539 attendances at events which would improve the safety and health of employees and service users.

Figure 2 details the attendance at H&S training courses during the financial year 2021/22.



In November 2020 a First Aid Officer was employed within the Health & Safety Team. A significant part of his role is to provide First Aid Training across all Council Services. This has led to a decrease in the costs experienced by the Council and improved satisfaction with the courses as they can be tailored to different groups of staff. It is anticipated that this will be extended to partner organisations in future years with the potential to generate income through this.

A growing number of courses are being run as e-learning, allowing employees to choose where and when they access the course. Table 3 shows the number of employees completing key courses across each of the last three financial years. These were deemed to be mandatory courses for all employees. No reminder about these courses was sent out during this period which may explain the low uptake.

TABLE 3 – H&S E-learning			
Course	2019/20	2020/21	2021/22
H&S Intro	172	478	60
Electricity	76	239	39
First Aid	93	285	64
Fire	184	1313	1503
Slips & Trips	86	261	44
Total	611	2576	1710

In addition, Toolbox Talks have been developed for key aspects of Health & Safety. Table 4 shows the number of employees who have received these since 2020.

Table 4 – Toolbox Talk		
Subject	2020/21	2021/22
H&S Policy		55
Fire Safety Policy		203
Construction (Design & Management) Policy	22	
Accident Reporting & Investigation Policy	172	71
Management of Asbestos Policy	177	
Management of Contractors Policy	45	
Control of Vibrations Policy	8	
Catheter Care Guidance		30
Covid 19 Guidance for Care Homes		73
Covid Social Care Setting Update		25
Covid Visiting Guidance update		21
Employee Health Assessment		26
Infection Control		19
OPUS Guide to Safeguarding Issues with Medication		13
Returning to work for HSCP staff		26
Service Users Meaningful Activity		32
SI for residents in Adult Care Homes		24
Updated Public Health Actions		32
Winter Response – SI for SC staff		32
Care Assured and Clinical Outreach Team		17
TOTAL	424	717

The increase has largely happened due to the resumption of talks following the relaxing of pandemic restrictions. We are likely to see an even bigger increase in uptake for the 2022/23 year.

A Training Needs Analysis for Health & Safety training is underway and from this a matrix will be developed showing what training is required for different types of roles across the organisation. This will then inform the development of a training programme over the next few years.

Work is also progressing to ensure the corporate rollout of mandatory health and safety training. This will be done as e-learning for most staff, with other forms of communication such as video content being developed for hard to reach groups.

4 OCCUPATIONAL HEALTH PROVISION

The Occupational Health Provision (OHP) is an important risk/absence management tool, allowing the Council to optimise productivity whilst reducing costs related to health issues. OHP's perform the following functions:

- Identification of the legacy of impairment/disease in new employees and the establishment of a 'baseline' of health.
- Pre employment health assessment.
- Advising on adjustments as required to comply with the Equality Act 2010.
- Identification of work-related disease and defence in the event of legal challenge.
- Provision of advice on preventing/minimising work-related illness.
- Compliance with statutory health surveillance requirements.
- Assessment of fitness for work during and after illness/disease onset and recommending adjustments and restrictions to reduce absence costs.
- Employee Assistance such as Counselling, CBT, EDMR.
- Physiotherapy.

The main OHP is currently delivered by Optima Health, with Employee Assistance provided by PAM Assist and Physiotherapy provided by Framework. The value of these contracts is £84,000 per annum, with some additional costs agreed separately for more specialist services. The initial OH Contract ran until 31st March 2021, but the option to extend this until 31st March 2023 has been implemented.

4.1 OH (Management) referrals

Table 5 below shows the number of referrals made to our OHP. These are mainly made by managers in relation to employee attendance issues, but occasionally may be made to request advice in cases where there has not been any absence.

Referral Type	Number of referrals 2019/20	Number of referrals 2020/21	Number of referrals 2021/22
Management referrals	366	365	489
Pre employment screening	535	318	439
Case conferences	0	0	0

The number of management referrals has increased largely due to cumulative effects of the pandemic with employees experiencing delays in medical treatment, an increase in mental health concerns and several experiencing difficulties following covid infection. The number of pre employment screening requests reflects recruitment activity across the Council.

4.2 Health surveillance

Health surveillance checks are required by legislation and include checks for:

- Noise Induced Hearing Loss;
- Hand Arm Vibration Syndrome;
- Occupational Asthma / lung function;
- Occupational Dermatitis (skin);
- Night worker medicals;

Table 6 below shows the number of staff attending OH for statutory health surveillance appointments over the last three years. In line with guidance from the Health & Safety Executive surveillance was paused during the initial stages of the pandemic, with paperscreen surveillance having taken place until October 2021.

There are 259 individual staff members currently included in the health surveillance programme and 43 staff on the night worker medicals programme.

TABLE 6 - Health Surveillance Appointments			
	2019/20	2020/21	2021/22
HAVS	97	59	29
Audiometry	82	64	58
Skin checks	221	121	108
Lung checks	222	122	108
Night worker assessment	16	0	23

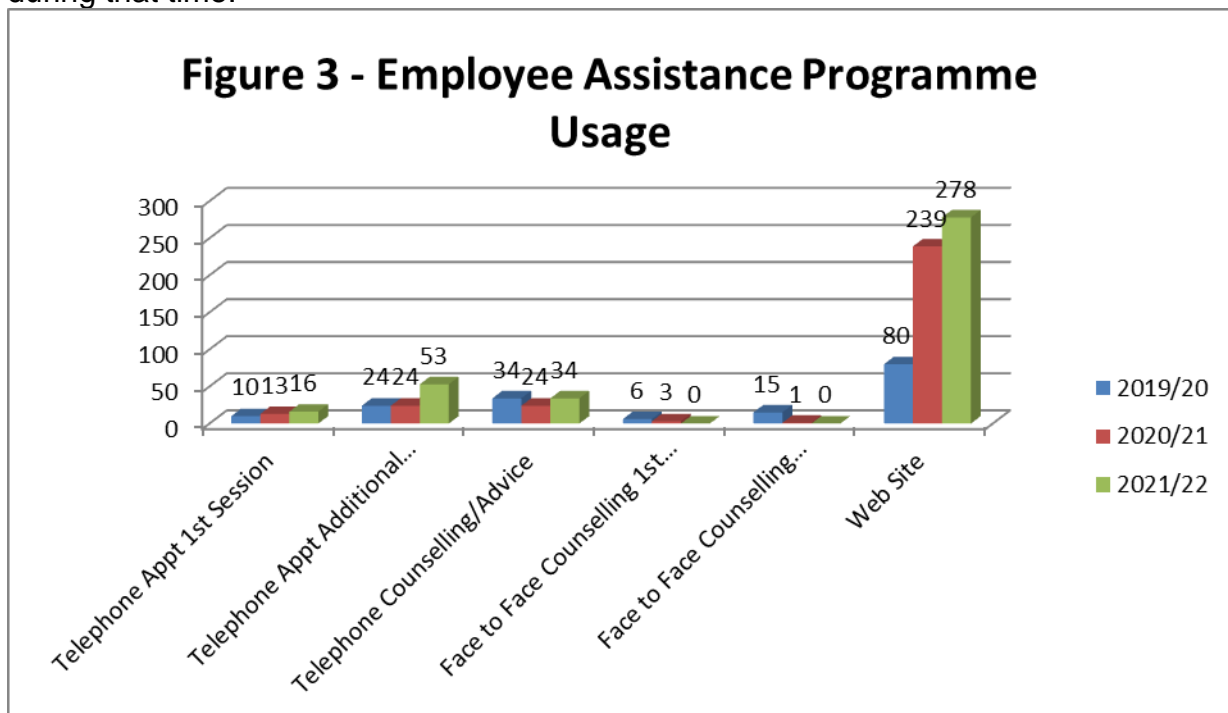
* Health surveillance checks are cyclical, some of which take place on a 3 year rotation. These figures highlight the usage of the contract and are not performance indicators.

Where symptoms are identified during routine health surveillance managers are then provided with recommendations from OH in order to ensure exposures are reduced. A structured feedback form is now used to ensure the outcome of health surveillance appointments is formally passed to staff, with results of this being recorded on iTrent.

4.3 Employee Assistance Programme

The Employee Assistance Programme provides for online and telephone assistance on a wide range of topics. If more specific support is provided such as counselling, CBT or EDMR this is charged separately to the relevant service.

Figure 3 shows the use made of this provision in the over the last three years. A total of 854 contacts were made with PAM Assist, with a steady increase in most types of contact during that time.



The main topic for phone contact was Mental Health Issues. Table 7 shows the topics viewed on the website by Council employees.

TABLE 7 – Employee Assistance Website Topics			
Topic	2019/20	2020/21	2021/22
Bereavement			28
Carers Support			3
CBT Support	1	13	19
Change Your Thinking	2	8	11
Community			90
Conditions	1	2	
Domestic Violence			2
Drugs and Alcohol	1		
Eating	6	16	11
Eating Disorders	2		4
Family & Relationships			6
Finance	1	20	
Generic	1	6	5
Health Awareness		4	7
Legal Advice	1	16	8
Managing Money	2		
Medicine Chest	1		6
Mental Health	18	84	109
Moving		2	2
MSK	3	1	1
No topic	7		8
Nutrition & Health		1	12
On-line Counselling	5		2
Pregnancy & Post Natal			3
Recipes		2	
Stress Management	11	1	61
Support	25		5
Women's Health	1	1	2
TOTAL	89	177	405

4.4 Physiotherapy

The primary purpose of the Physiotherapy Service is to either prevent absence or to facilitate a return to work as a result of a musculo-skeletal injury or illness. The Service was set up as part of the Council's absence management initiatives with the aim being to provide faster access to physiotherapy as staff could wait eight to twelve weeks for NHS provision. The physiotherapy provision is delivered by 'Frameworks Clinics'.

There were 29 referrals to Physiotherapy with 46 appointments during 2021/22.

5 STRESS RISK ASSESSMENT

Stress risk assessments aim to assist managers in the identification of stressors and the subsequent identification of risk control measures. Table 8 below summarises the demand for assessments from each Service.

TABLE 8 – Stress Risk Assessments by Service 2018-22				
	2018/19	2019/20	2020/21	2021/22
P&P	10	1	4	4
People	40	29	15	23
Place	16	3	4	7
HSCP	4	5	0	1
Total	70	38	23	35

6. PRIORITY AREAS FOR IMPROVEMENT

While good progress has been made in health and safety performance, there are still significant challenges to ensure robust Health & Safety arrangements are in place across the Council. This has led to the development of the Health & Safety Strategy 2022-2025. The Key themes identified for our 2022-2025 strategy are:

- 1) Leadership and Management
- 2) Competence
- 3) Risk Management
- 4) Health and Wellbeing
- 5) Collaborative/Partnership working

Once this is agreed, this will provide the workplan for the Health & Safety Team for the next few years.

7 CONCLUSIONS

The aim of this report is to review H&S performance and to provide general assurance on the level of compliance with statutory requirements. From the review the Health & Safety Manager, in their professional capacity can provide substantial assurance in relation to policy and processes but only limited assurance can be provided on the uniform compliance with statutory H&S duties across the Council.

Significant work has been undertaken to build the foundations of a strong Health and Safety Management System. 3 policies have been developed over the past year, in addition to the 33 which were agreed in the previous years. 12 General Health & Safety Audit visits have been carried out, building up a picture of compliance levels across the Council. A total of 2966 training activities were undertaken during the period.

Pockets of good practice exist within the Council and a key role for the Health & Safety Team is to share this good practice to help those who may not be performing as well. The development of the Evotix system will greatly assist with this as many aspects can be copied across from one team to another.

A key challenge for the team during 22/23 will be to ensure that Health & Safety remains a priority in all areas of the Council as the new working practices are developed.

The H&S Team will continue to closely monitor performance and work towards reducing the key risks facing the Council as detailed above; adjusting priorities as required in order to safeguard the health, safety and wellbeing of staff, as far as is reasonably practicable.

Key Performance Indicators Appendix 1

Objective	Description	Measure	2019/20 Actual (%)	2020/21 Actual (%)
Monitor and review risk assessment programmes	Monitor the implementation of risk assessment procedures	Number of assessments completed against the number expected as a %	Compilation of data not possible	
Ensure effective communication of Policies and Guidance	Measure of how well policies have been disseminated through the organisation	Number of employees receiving a toolbox talk on new H&S policies expressed as a % of those who should have received such a talk.	H&S – 47.6 Risk – 12.1 Accident 4.2 Asbestos – 21.7 CDM – 6.2 Contractors 3.5 Fire – 10.6 LOLER – 7.6	H&S – 47.6 Risk – 12.1 Accident 4.2 Asbestos – 21.7 CDM – 6.2 Contractors 3.5 Fire – 10.6 LOLER – 7.6
Ensure employees have completed basic H&S training recently	Measure of implementation of core H&S Training (H&S Intro, Electricity, First Aid, Fire, Slips & Trips MicroLearn or Toolbox Talk)	Number of employees completing core H&S Training (refreshed each year) expressed as a % of total number of employees	H&S – 7.9 Electricity – 3.5 Fire – 8.5 First Aid – 4.3 Slips – 4.0	H&S – 7.9 Electricity – 3.5 Fire – 8.5 First Aid – 4.3 Slips – 4.0
Ensure appropriate controls are in place to protect employees from violent behaviour	Measure of the number of violent incidents experienced by employees	Number of violent incidents to employees expressed as a % of the overall number of employees.	7.9%	
Ensure Incidents are reported promptly	Measure the implementation of accident reporting procedures	Number of incidents reported within 5 working days expressed as a % of incidents reported.	90.7%	
Ensure Health Surveillance is carried out in line with statutory requirements.	Monitor implementation of the health surveillance programme	Number of HS appointments attended expressed as a % of the number of appointments offered by OH.	88.9%	N a ap
Ensure that Health & Safety is embedded throughout the organisation	Monitor how well employees feel health and safety is being managed using an HSE tool	Score out of 100 provided.	No data available	No ava

