

Item: 5.2

Policy and Resources Committee: 22 June 2021.

Performance Monitoring – Corporate Services.

Joint Report by Chief Executive, Executive Director of Development and Infrastructure and Executive Director of Education, Leisure and Housing

1. Purpose of Report

To advise on the performance of Corporate Services for the reporting period 1 October 2020 to 31 March 2021.

2. Recommendations

The Committee is invited to scrutinise:

2.1.

The performance of Corporate Services for the reporting period 1 October 2020 to 31 March 2021, as set out in sections 3 to 5 and Annexes 1 and 2 of this report.

It is recommended:

2.2.

That the actions, referred to at section 3.2 of this report, be amended as indicated.

2.3.

That the Corporate Services' Risk Register, attached as Annex 3 to this report, be approved.

3. Service Plan Performance Monitoring

3.1.

The action plan, attached as Annex 1 to this report, provides the detail of the agreed service priorities, as expressed in Corporate Services' Service Plan, and contains SMART (Specific, Measurable, Attainable, Relevant and Time-bound) targets for the life of the Service Plan. The action plan also provides the mechanism through which the time-limited aspects of the Service Plan will be progressed to completion.

3.2.

Set out below are those Service Plan actions identified as being in need of amendment, for example, by having the target date updated.

- 01 – HR / Payroll System Development – it is proposed that the target date for this action is extended to 30 September 2021.
- 09 – Business Continuity Plan – it is proposed that the target date for this action is extended to 31 December 2021.
- 10 – Participatory Budgeting – it is proposed that the target date for this action is extended to 31 March 2023.

4. Service Performance Indicators

Service Performance Indicators provide the mechanism through which the performance aspects of the services provided year on year are monitored. The monitoring report is attached as Annex 2 to this report.

5. Service Complaints and Compliments

5.1.

Table 1 below sets out numbers of complaints and compliments made to Corporate Services in the six-month period 1 October 2020 to 31 March 2021, and for the two preceding six-month monitoring periods.

Table 1.	Six months ending 31 March 2020.	Six months ending 30 September 2020.	Six months ending 31 March 2021.	Totals.
Complaints.	3.	0.	1.	4.
Compliments	0.	0.	0.	0.

5.2.

When considering the raw data within Table 1 above, it should be noted that the Council has adopted a policy of encouraging staff to record all complaints against the Council through the Complaints Handling Procedure. This includes complaints that are quickly and satisfactorily resolved by the frontline service, thereby enabling the Council to identify any trends that would help to improve the service. As a result of this policy, the number of complaints captured by the procedure may increase and that does not necessarily reflect an increase in the number of people contacting the service to express dissatisfaction with the Council.

6. Service Risk Register

Managers within Corporate Services have recently carried out the annual review and update of the service Risk Register, along with the list of actions to mitigate these risks. The updated Risk Register is attached at Annex 3 to this report.

7. Corporate Governance

This report relates to the Council complying with its performance management policies and procedures and therefore does not directly support and contribute to improved outcomes for communities as outlined in the Council Plan and the Local Outcomes Improvement Plan. That said, Service Plans are developed taking cognisance of the Council's policies as outlined in the Council Plan.

8. Financial Implications

There are not anticipated to be any significant financial implications arising as a result of the recommendations to this report.

9. Legal Aspects

The Council's performance management systems help the Council to meet its statutory obligation to secure Best Value.

10. Contact Officers

John W Mundell, Interim Chief Executive, Email chief.executive@orkney.gov.uk.

Gavin Barr, Executive Director of Development and Infrastructure, Email gavin.barr@orkney.gov.uk.

James Wylie, Executive Director of Education, Leisure and Housing, Email james.wylie@orkney.gov.uk

Andrew Groundwater, Head of HR and Performance, Email andrew.groundwater@orkney.gov.uk

Andrew Hamilton, Performance and Best Value Officer, Email andrew.hamilton@orkney.gov.uk.

Barbara Scollay, Administrative Support Manager, Email barbara.scollay@orkney.gov.uk.

11. Annexes

Annex 1 - Summary of the performance of Corporate Services against the targets within its Service Plan.

Annex 2 – Summary of the performance of Corporate Services against its Performance Indicator targets.

Annex 3 – Updated Corporate Services' Risk Register.


Annex 1 – Corporate Services’ Service Plan 2019 to 2022


Progress against Service Plan Actions at 31 March 2021




Title	Description	Intended Outcome	BRAG	Start Date	Target Date
CS Service Plan Actions - 01 - HR / Payroll System Development.	Complete Phase 2 of the HR / Payroll System Development.	Continuing to fulfil our duties as an Employer, Carer, Educator and Corporate Parent.	RED	01-Oct-2019	31-Mar-2021
Lead	Comment				
Andrew Groundwater	BRAG status at 30 September 2020: RED. The impact of COVID-19 hampered rollout of key elements of the project through 2020/21. An additional extension of the project officer has been approved until 30 September 2021 in order to complete the agreed outcomes. It is requested that the target date for this action be moved to 30 September 2021.				


Title	Description	Intended Outcome	BRAG	Start Date	Target Date
CS Service Plan Actions - 02 - Pay and Grading Structure Review.	Undertake a review of the Council’s pay and grading structure in line with national commitments.	Sustainable pay and grading structure in place.	AMBER	01-Oct-2019	31-Mar-2022
Lead	Comment				
Andrew Groundwater	BRAG status at 30 September 2020: GREEN. Some initial benchmarking and fact gathering has been undertaken within HR, however no substantial work took place due to ongoing pressures and additional workload from COVID-19. Therefore, this significant project may be challenging to complete without additional resources to support it.				


Title	Description	Intended Outcome	BRAG	Start Date	Target Date
CS Service Plan Actions - 03 - Review of Benchmarking arrangements.	Conduct a review across Council services of how benchmarking is currently used in supporting improvement and implement recommendations for a future framework.	To deliver the actions and targets in the BVAR recommended by the Accounts Commission.	GREEN 	01-Oct-2019	31-Dec-2021
Lead	Comment				
Andrew Groundwater	BRAG status at 30 September 2020: AMBER. The Senior Management Team has agreed a priority project to review the performance framework across the Council and therefore this action will be carried through as an element within that.				


Title	Description	Intended Outcome	BRAG	Start Date	Target Date
CS Service Plan Actions - 04 - Gender Pay Gap Action Plan.	To develop an action plan to address the Council's gender pay gap and occupational segregation.	Action plan in place to address the Council's gender pay gap and occupational segregation.	RED 	01-Oct-2019	31-Mar-2021
Lead	Comment				
Andrew Groundwater	BRAG status at 30 September 2020: RED. An action plan was considered at Policy and Resources Committee in February 2021 and referred back for officers to undertake further consultation. A revised report will be considered at Policy and Resources Committee in June.				


Title	Description	Intended Outcome	BRAG	Start Date	Target Date
CS Service Plan Actions - 05 - Office Accommodation Review.	Establish a fully costed options analysis (Pre-CPA1) for Council Headquarters at School Place, which also takes account of the outcomes of	An agreed approach to the Office Accommodation Review. Should this progress following the options appraisal and costing, this action will be revisited.	AMBER 	01-Oct-2019	31-Dec-2021


	the Change Review into Asset Management.				
Lead	Comment				
Hayley Green	BRAG status at 30 September 2020: RED. Work on this has been delayed due to COVID-19. At the same time, the requirements of the organisation may now be significantly different, so time is being taken to review this with an eye to future-proofing any accommodation review.				


Title	Description	Intended Outcome	BRAG	Start Date	Target Date
CS Service Plan Actions - 06 - Asset Management.	Progress where possible Phase 2 of the Change Review of Asset Management.	Reduction in the number of Council Property Assets. Evidence of community bodies benefiting from the programme.	GREEN 	01-Oct-2019	31-Mar-2022
Lead	Comment				
Hayley Green	BRAG status at 30 September 2020: GREEN. Assets are disposed of as and when opportunities arise through normal operational business. The property market in Orkney will be significantly impacted by COVID-19 and we expect there to be an impact on this workstream. This is being reassessed and work is underway to establish the staff resource required to move this work forward.				

Title	Description	Intended Outcome	BRAG	Start Date	Target Date
CS Service Plan Actions - 07 - Procurement.	Progress where possible Phase 2 of the Change Review of Procurement.	Effective procurement which contributes to a reduction in Council costs. Support for local businesses, where possible.	GREEN 	01-Oct-2019	31-Mar-2022
Lead	Comment				
Hayley Green	BRAG status at 30 September 2020: GREEN. Good progress was being made on this workstream prior to COVID-19. This action will be reviewed again in quarter two 2021/22 (July to September 2021) and replanned.				


Title	Description	Intended Outcome	BRAG	Start Date	Target Date
CS Service Plan Actions - 08 - Digital Strategy.	Review and update the current Digital Strategy and develop a new Digital Strategy Delivery Plan. Focus for this second iteration to be on practical service improvements for Orkney citizens.	A more digitally developed and confident workforce.	GREEN 	01-Oct-2019	31-Sep-2021
Lead	Comment				
Hayley Green	BRAG status at 30 September 2020: RED. The Scottish Government issued their updated Digital Strategy in March 2021. The draft OIC Digital Strategy is now being updated to reflect the updated national document, with the intention of bringing to Elected Members in quarter two 2021/22.				


Title	Description	Intended Outcome	BRAG	Start Date	Target Date
CS Service Plan Actions - 09 - Business Continuity Plan.	A table-top exercise to test the Business Continuity Plan will be held.	A successful test of the Business Continuity Plan.	RED 	01-Oct-2019	30-Sep-2020
Lead	Comment				
Hayley Green	BRAG status at 30 September 2020: RED. Given the continued high workload associated with responding to the COVID-19 pandemic it has not been possible to complete this action. It will be rescheduled once there is a clearer indication of moving to phase 4 / business as usual. In the meantime services have been working to their Business Continuity Plans throughout the pandemic. It is requested that the target date for this action be moved to 31 December 2021.				

Title	Description	Intended Outcome	BRAG	Start Date	Target Date
CS Service Plan Actions - 10 - Participatory Budgeting.	Working with colleagues in Finance, explore options to further develop Participatory Budgeting (PB) in line with national policy drivers and the Council's strategic plan, and move the Council towards readiness to meet its 1% budget target for mainstream PB. Inclusion of mainstream PB in Council budget for 2021 to 2022.	More participations by communities in mainstream budgeting.	RED 	01-Oct-2019	31-Mar-2021
Lead	Comment				
Anna Whelan	BRAG status at 30 September 2020: AMBER. COSLA and Scottish Government agreed in January 2021 to be "flexible" in the delivery of the 1% target for mainstream Participatory Budgeting (PB) in 2021/22 budgets. During 2020/21, the COVID-19 emergency response has seen many Council Officers redeployed away from strategic work such as the development of PB. COSLA is continuing to support councils which wish to pursue mainstream PB and / or to develop their presence on the online platform Consul. However, most councils (including OIC) have no capacity or resource to spare in 2021/22 for developing or implementing PB. It is requested that the due date for this action be moved to 31 March 2023.				


Title	Description	Intended Outcome	BRAG	Start Date	Target Date
CS Service Plan Actions - 11 - Locality Plan.	Progress the Locality Plan 2018 to 2021 for the non-linked isles. Working with colleagues in Development and Marine Planning, widen the use of the Place Standard for consultation and analysis of local communities across Orkney and develop one or more locality plans for additional selected	Demonstrable reduction in socio-economic disadvantage experienced by residents of Orkney's non-linked isles. Published Locality Plan for a second locality.	GREEN 	01-Oct-2019	31-Mar-2022

	areas to be agreed by the Orkney Partnership Board.				
Lead	Comment				
Anna Whelan	BRAG status at 30 September 2020: GREEN. The Orkney Partnership's first Locality Plan 2018-21 for the non-linked isles has now ended and is being evaluated. A five-year follow-up of the original Place Standard consultation is planned for later in 2021. Progress towards our second locality plan has been held up slightly by the pandemic. Voluntary Action Orkney consulted residents of the West Mainland and Kirkwall in early 2021 and the results of this exercise will inform the Orkney Partnership Board's choice of locality for the next plan. The August 2020 release of SIMD (Scottish Index of Multiple Deprivation) 2020 socio-economic indicators will help both the evaluation of the 2018-21 plan and the selection of the next locality.				

Title	Description	Intended Outcome	BRAG	Start Date	Target Date
CS Service Plan Actions - 12 - Electronic Document and Records Management System.	Develop an Electronic Document and Records Management System for the Council.	Support compliance with statutory obligations and deliver improvements in service efficiency and effectiveness.	GREEN 	01-Oct-2019	31-Mar-2023
Lead	Comment				
Gavin Mitchell	BRAG status at 30 September 2020: GREEN. Stage 1 of the Project, comprising discovery, foundations and prototype development, has been successfully completed. Stage 2, comprising system piloting and testing, is now underway with significant progress being made.				

Title	Description	Intended Outcome	BRAG	Start Date	Target Date
CS Service Plan Actions - 13 - Online Applications for Licensing.	Develop online facility for submission of licence applications as Phase 2 of the Customer Service Platform project.	Improved customer experience and service efficiency.	GREEN 	01-Oct-2019	31-Mar-2023

Lead	Comment
Gavin Mitchell	BRAG status at 30 September 2020: GREEN. Development of an online system is well underway with support being provided by the Improvement Support Team.

Title	Description	Intended Outcome	BRAG	Start Date	Target Date
CS Service Plan Actions - 14 - Gambling Policy.	Develop and publish Gambling Policy.	Support compliance with statutory obligation.	GREEN 	01-Oct-2019	31-Mar-2022

Lead	Comment
Gavin Mitchell	BRAG status at 30 September 2020: GREEN. Drafting is underway and it is envisaged that consultation on the draft Policy will be able to commence in Autumn 2021.

Annex 2 – Corporate Services Performance Indicator Report

Service Performance Indicators at 31 March 2021



Performance Indicator														
CCG 01 – Sickness absence – The average number of working days per employee lost through sickness absence, expressed as a percentage of the number of working days available.														
Target	Actual	Intervention	RAG											
4%	3.42%	6.1%	GREEN											
Comment														
Managers across Corporate Services continue to actively manage sickness absence. The period between 1 October and 31 March also needs to be considered in the context of COVID-19 with office staff working from home and a reduction in community transfer of normal minor illnesses.														
Trend Chart														
<p>The trend chart displays the percentage of sickness absence for four half-year periods. The y-axis represents the percentage from 0% to 10%. The x-axis lists the half-year periods: H1 2019/20, H2 2019/20, H1 2020/21, and H2 2020/21. A horizontal blue line indicates the target at 4%. The actual values for each period are: H1 2019/20 (5.23%), H2 2019/20 (5.1%), H1 2020/21 (3.14%), and H2 2020/21 (3.42%).</p> <table border="1"> <thead> <tr> <th>Half Year</th> <th>Actual Percentage</th> </tr> </thead> <tbody> <tr> <td>H1 2019/20</td> <td>5.23%</td> </tr> <tr> <td>H2 2019/20</td> <td>5.1%</td> </tr> <tr> <td>H1 2020/21</td> <td>3.14%</td> </tr> <tr> <td>H2 2020/21</td> <td>3.42%</td> </tr> </tbody> </table>					Half Year	Actual Percentage	H1 2019/20	5.23%	H2 2019/20	5.1%	H1 2020/21	3.14%	H2 2020/21	3.42%
Half Year	Actual Percentage													
H1 2019/20	5.23%													
H2 2019/20	5.1%													
H1 2020/21	3.14%													
H2 2020/21	3.42%													

Performance Indicator

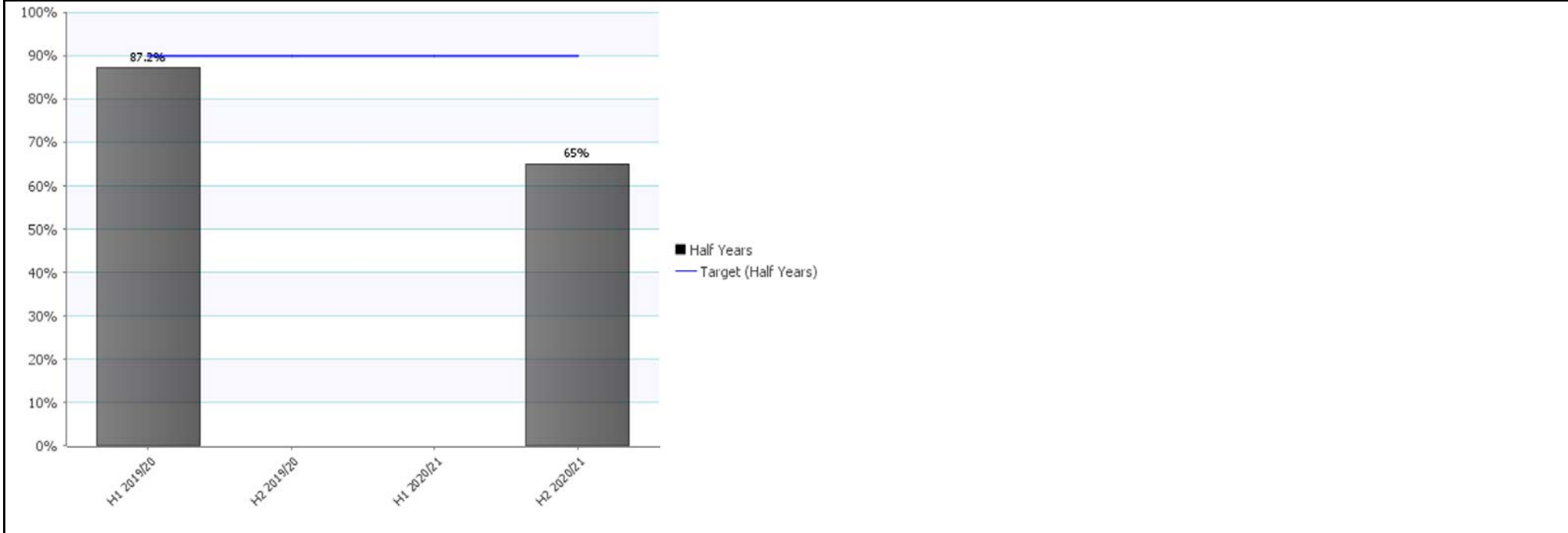
CCG 02 – Sickness absence – Of the staff who had frequent and/or long-term sickness absence (they activated the sickness absence triggers), the proportion of these where there was management intervention.

Target	Actual	Intervention	RAG	
90%	65%	79%	RED	●

Comment

Individual instances where management intervention has not been properly recorded will be investigated. Remote working has made interventions more challenging for managers.

Trend Chart



Performance Indicator

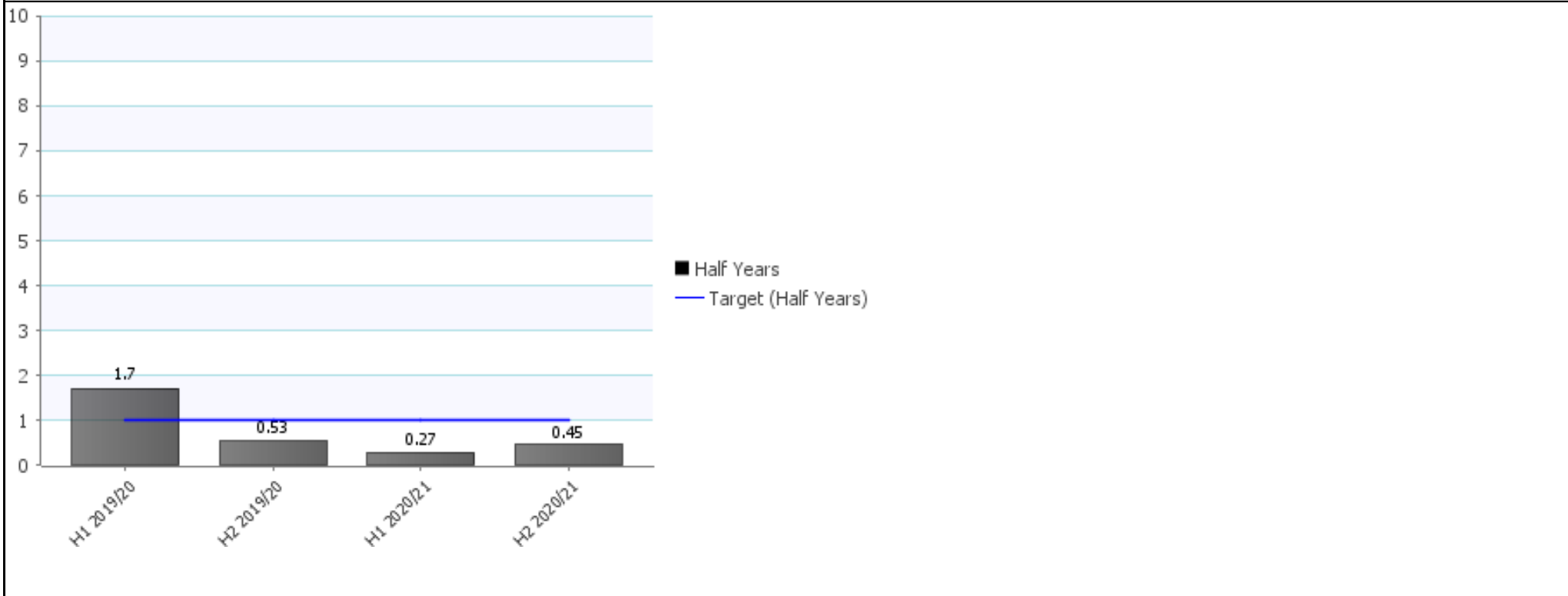
CCG 03 – Staff accidents – The number of staff accidents within the service, per 30 staff per year.

Target	Actual	Intervention	RAG	
1	0.45	2.1	GREEN	▶

Comment

The number of accidents within this 12-month period was particularly low with only five reported.

Trend Chart



Performance Indicator

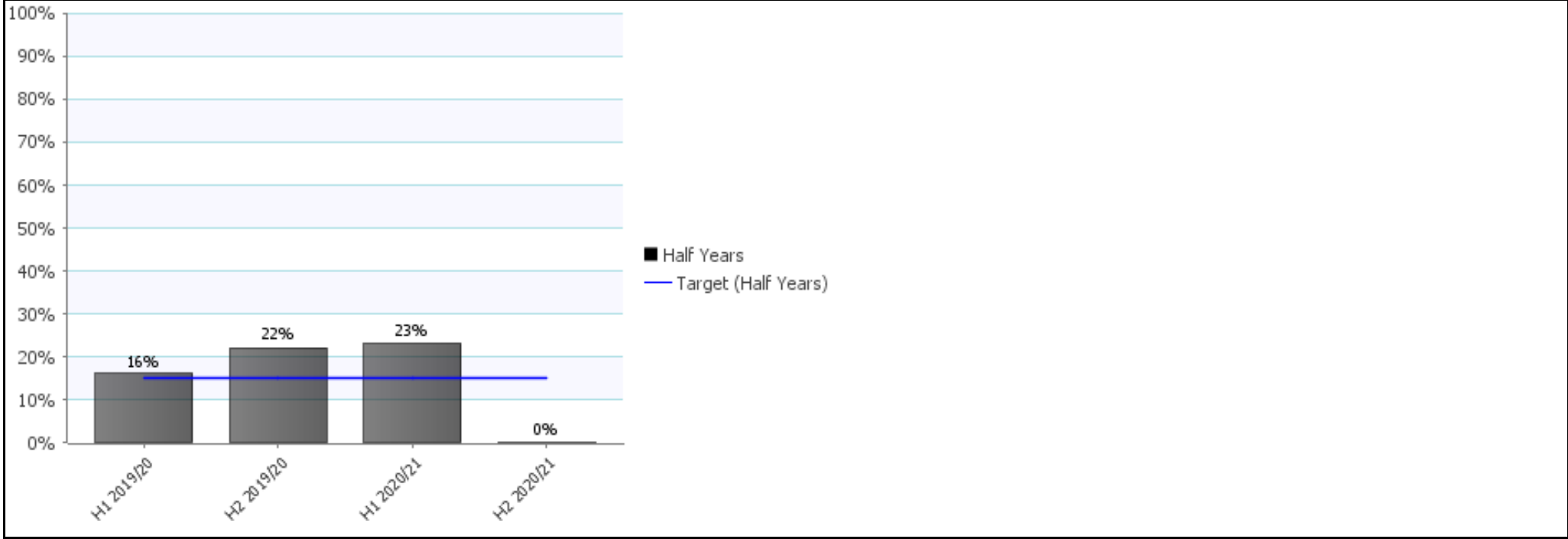
CCG 04 – Budget control – The number of significant variances (priority actions) generated at subjective group level, as a proportion of cost centres held.

Target	Actual	Intervention	RAG

Comment


No data has been provided on this indicator as Corporate Services budgets have been subsumed into the other directorates following the interim structure.

Trend Chart



Performance Indicator

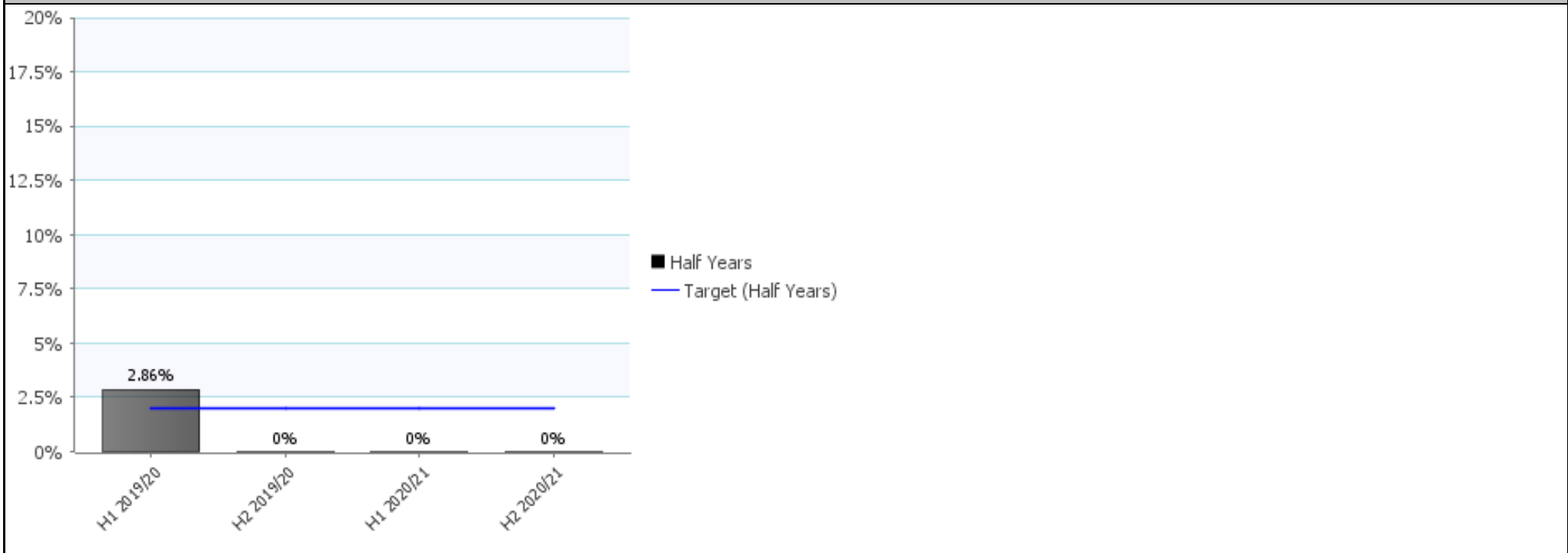
CCG 05 – Recruitment and retention – The number of advertised service staff vacancies still vacant after six months from the time of advert, as a proportion of total staff vacancies.

Target	Actual	Intervention	RAG
2%	0%	4.1%	GREEN 

Comment


Within Corporate Services, staff retention remains high.

Trend Chart



Performance Indicator

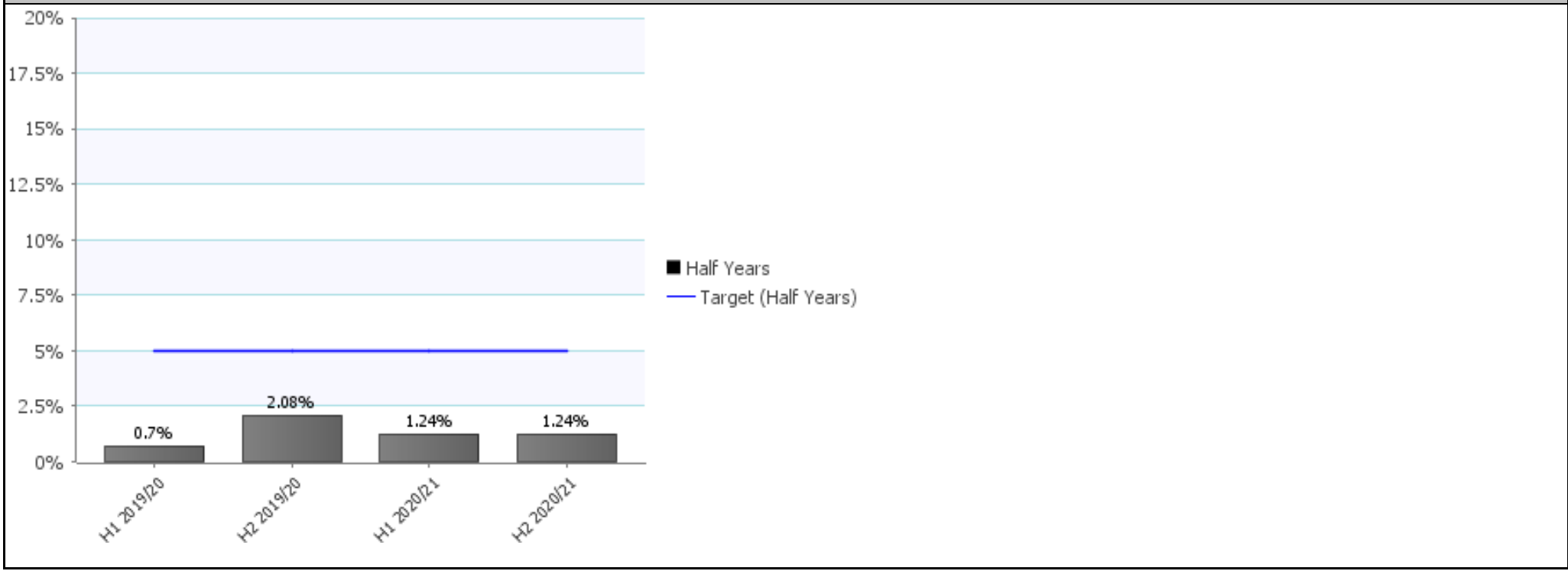
CCG 06 – Recruitment and retention – The number of permanent service staff who leave the employment of Orkney Islands Council – but not through retirement or redundancy – as a proportion of all permanent service staff.

Target	Actual	Intervention	RAG
5%	1.24%	10.1%	GREEN 

Comment

Within Corporate Services, staff retention remains high.

Trend Chart



Performance Indicator

CCG 07 – ERD – The number of staff who receive (at least) an annual face-to-face performance review and development meeting, as a proportion of the total number of staff within the service.

Target	Actual	Intervention	RAG
90%	76.47%	79%	RED ●

Comment

Performance on this indicator has dropped in the main due to prolonged other priorities and pressures during the COVID-19 pandemic that continues to affect day to day work. Managers continue to do their best to schedule and complete these with their staff as workloads allow. Managers will seek to bring the performance on this indicator back to green over the next two reporting periods. After the data had been collated and input into Pentana Risk, further data was provided by one team in Corporate Services and the Actual percentage above has been updated to reflect the up-to-date accurate position. It is not possible to amend the data input into Pentana Risk so an updated Trend Chart has not been provided.

Trend Chart



Performance Indicator

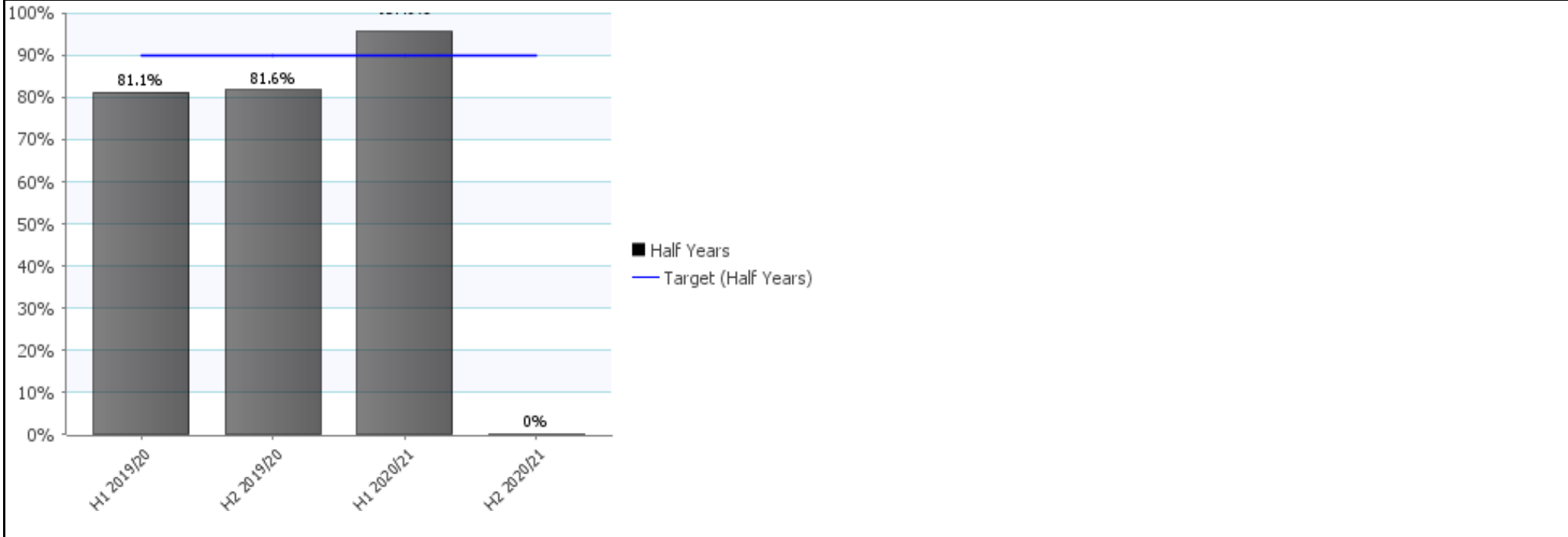
CCG 08 – Invoice payment – The number of invoices that were submitted accurately, and paid within 30 days of invoice date, as a proportion of the total number of invoices paid.

Target	Actual	Intervention	RAG

Comment


No data has been provided on this indicator as Corporate Services budgets have been subsumed into the other directorates following the interim structure.

Trend Chart



Performance Indicator

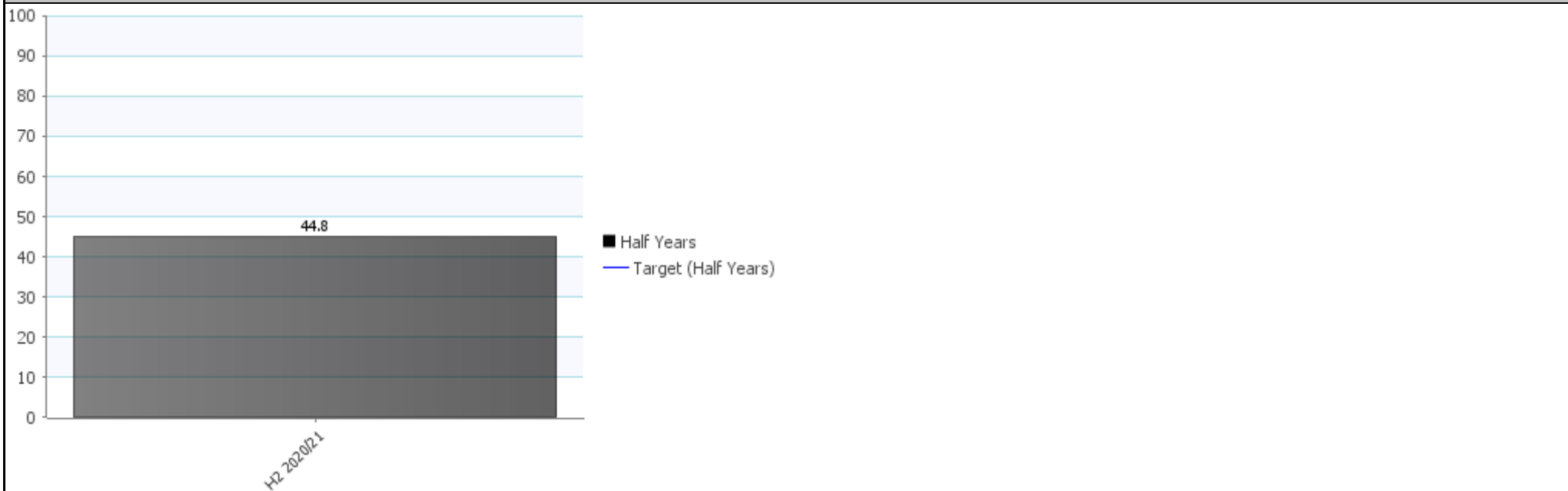
CCG 09 – Mandatory training – The number of staff who have completed all mandatory training courses, as a percentage of the total number of staff in the service.

Target	Actual	Intervention	RAG	
90%	44.8%	79%	RED	

Comment

Managers in Corporate Services aim to improve the completion rates of mandatory courses through regular communication to staff, bearing in mind that a large proportion of the staff within the service do not have access to IT facilities as part of their normal work and so are often not able to repeat refresher training within the timescales required.

Trend Chart



Annex 3 – Corporate Services Risk Register – May 2021

Operational Risks

Cluster.	Risk number.	Owner.
Financial.		
Staffing.	4.	Head of HR and Performance.
Economic Recovery and Sustainability.		
Political.		
Partnerships.		
Governance.		
Communication.	7.	Head of IT and Facilities.

Strategic Risks

Cluster.	Risk number.	Owner.
Financial.	2, 3.	Head of IT and Facilities.
Staffing.	1.	Head of HR and Performance.
Economic Recovery and Sustainability.		
Political.		
Partnerships.	10.	Strategy Manager.
Governance.	5, 6, 9.	Head of Legal Services and Head of IT and Facilities.
Communication.	8.	Strategy Manager.

			IMPACT				
			1.	2.	3.	4.	5.
			Insignificant	Minor	Moderate	Major	Severe
LIKELIHOOD	5.	Almost Certain.	Medium	Medium	High	High	Extreme
	4.	Likely.	Medium	Medium	Medium	High	Extreme
	3.	Possible.	Low	Medium	Medium	High	High
	2.	Unlikely.	Low	Low	Medium	Medium	High
	1.	Rare.	Low	Low	Low	Medium	High

Risk Title: S01 – Workforce planning – lack of skills, experience and capacity

Likelihood.	4.	Impact.	4.	RAG.	Amber.	Current Risk Score.	16.	Target Risk Score.	6.
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Vulnerability.	Trigger.	Consequences.	Mitigating Actions.
Insufficient workforce planning actions underway. Capacity issues make it difficult for the service to realise its priorities.	The service does not have the right staff, in the right place, at the right time, to deliver set priorities and / or statutory functions.	Corporate Services cannot manage within its resources; Existing workforce becomes overstretched and demoralised; Service standards drop and vulnerable people are placed at risk; Senior officers get tied up in operational work; The service is reactive rather than proactive; An increased risk in legal challenges and complaints; Risk of financial penalties.	1.1 Workforce plan was put in place for Corporate Services in 2017. 1.2 A new corporate Workforce plan was agreed in April 2019. 1.3 Workforce planning priorities for Corporate Services is included in the refreshed Service Plan for 2019 to 2022.

Risk Title: S02 – Council IT and Property assets – to ensure we obtain maximum benefit from the Council’s assets

Likelihood.	4.	Impact.	4.	RAG.	Amber.	Current Risk Score.	16.	Target Risk Score.	6.
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Vulnerability.	Trigger.	Consequences.	Mitigating Actions.
The Council may not have sufficient funds to sustain assets, replace ageing assets and develop key assets. Essential buildings and infrastructure for communications etc. have to be maintained to ensure property, IT, telecoms and other infrastructure continue	The Council cannot maintain or develop its essential assets to provide public services; The Council cannot implement an asset management strategy; The public is unable to communicate with services; Professionals are unable to communicate with each	Buildings deteriorate; IT infrastructure cannot support services; Unused/ surplus buildings; Services are not delivered; Vulnerable people are at risk; Communication is not possible between agencies to co-ordinate services; Council's reputation at risk.	2.1 All IT and property assets are proactively managed. 2.2 The work to make sure that we obtain maximum benefit from the Council's property assets in now integrated in overall Estates team programme of work. 2.3 IT assets are proactively monitored through an annual Capital Replacement Programme (£420,000 per annum).

to be able to support the Council's services. The risk continues and increases over time.	other to provide effective services.		2.4 The Corporate Asset Management Plan for 2019 to 2023 was updated in early 2019. 2.5 The Property Asset Management Plan for 2019 to 2023 was updated in November 2019. 2.6 The IT Asset Management Plan is due to be updated in Summer 2021.
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Risk Title: S03 – Procurement – Procurement compliance and sustainable communities

Likelihood.	3.	Impact.	4.	RAG.	Amber.	Current Risk Score.	12.	Target Risk Score.	6.
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Vulnerability.	Trigger.	Consequences.	Mitigating Actions.
<p>Financial and non-financial savings have not yet been fully explored.</p> <p>Further work to be done to support local businesses to help them participate in procurement opportunities, building on the Meet the Buyer events held in 2016, 2017 and 2018.</p>	<p>Legal challenge is a possibility unless the Procurement Regulations are complied with and processes followed;</p> <p>Officers fail to understand the limitations that the Procurement Regulations place on the Council;</p> <p>Officers do not follow due process and tendering has to be repeated;</p> <p>Anticipated savings may not be fully realised through collaborative contracts. The local economy may not be as well supported as it could be;</p> <p>Member/officer disharmony due to lack of understanding of responsibilities.</p>	<p>Financial loss due to legal challenge; Reputational harm;</p> <p>Delays in services being procured due to re-tendering or court action;</p> <p>Loss to the local economy; Loss of effectiveness and efficiency;</p> <p>Lost opportunity in terms of savings.</p>	<p>3.1 Continue to roll out induction courses as required.</p> <p>3.2 The Council's procurement policies to enhance local economic sustainability and community benefit have been reviewed, and an annual Meet the Buyer event initiated that started in 2016. No event was held in 2020 due to the Coronavirus pandemic.</p> <p>3.3 Contract Standing Orders updated in January 2020, with a review due to be considered in Summer 2021.</p> <p>3.4 The Service is regularly audited and any actions arising are addressed.</p> <p>3.5 The Sustainable Procurement Policy was approved at the General Meeting of the Council in March 2018 and is due to be updated in Summer 2021.</p> <p>3.6 The Procurement Manual was updated in May 2019.</p>

			3.7 Procurement Plan process implemented on 1 April 2021 with a series of workshops led by Procurement to implement the changes.
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Risk Title: O04 – HR systems – inadequate development or use of existing electronic systems

Likelihood.	4.	Impact.	4.	RAG.	Amber.	Current Risk Score.	16.	Target Risk Score.	6.
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Vulnerability.	Trigger.	Consequences.	Mitigating Actions.
Inefficient processes and lack of capacity to develop new processes.	Too much time spent on administrative processes.	Failure to provide a comprehensive HR service.	4.1 Phase 2 development of the HR / Payroll system project is ongoing and due for completion in 2021. 4.2 Continue to develop use of e-processes on Recruitment Portal as resources allow. 4.3 Further develop the e-learning system.

Risk Title: S05 – Data protection – lack of awareness of data protection rules and information security best practice throughout the organisation

Likelihood.	3.	Impact.	4.	RAG.	Amber.	Current Risk Score.	12.	Target Risk Score.	3.
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Vulnerability.	Trigger.	Consequences.	Mitigating Actions.
A lack of staff resources to give to this matter the attention it needed has been addressed and awareness of the issues is growing throughout the Authority, although further work is needed. The General Data Protection Regulation and Data	There is a risk of the Council breaching its obligations under the Data Protection Act 2018 or the General Data Protection Regulation.	National and local reputational damage; Maximum financial penalties will increase; Staff resource required to respond to any complaint against the Council relating to a breach of its obligations under the Data Protection Act 2018 or the General Data Protection Regulation (opportunity cost). Council not	5.1 New Data Protection Policy 2018 is in place to reflect new legislation. 5.2 Data Protection Procedures are in place and are updated as required. 5.3 All staff are required to participate in mandatory training on data protection and information security. 5.4 Self-evaluation questionnaires are completed by Services to ensure that any

Protection Act 2018 have replaced the Data Protection Act 1998 and have introduced new duties for the Council.		responding to Subject Access Requests efficiently and appropriately.	remedial measures can be identified and actioned. 5.5 Compliance with corporate policies and guidance is monitored on a regular basis.
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Risk Title: S06 – Public Records Act – failure to comply with the Public Records (Scotland) Act 2011.

Likelihood.	3.	Impact.	4.	RAG.	Amber.	Current Risk Score.	12.	Target Risk Score.	4.
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Vulnerability.	Trigger.	Consequences.	Mitigating Actions.
The lack of staff resources to give this matter the attention it needs has been addressed. A new Records Management Plan has been submitted to the Keeper of the Records of Scotland and has been approved.	Failure to implement records management plan.	Local and reputational damage; Opportunity costs due to inefficient records management system; Failure to respond to information requests within statutory timescales; Increased risk of breaching data protection rules. Council spending more money on records storage than it needs to; inefficient use of Council assets.	6.1 A revised Records Management Plan (RMP) has been agreed by the Corporate Management Team and has been approved by the Keeper of the Records of Scotland. 6.2 An Information Governance Improvement Plan, which implements the RMP, is in place. Progress against the actions contained in the Information Governance Improvement Plan is monitored every six weeks by the Information Governance Group, the Data Protection Officer, the Information Governance Officer, the Information Security Officer, Head of IT and Facilities and the ICT Services Manager. 6.3 Work is currently underway to develop and implement an Electronic Document and Records Management System which will support compliance by the Council with its statutory obligations. Delivery of the project is overseen by a Project Board and political governance is provided by Elected Members through the Policy and Resources Committee.

Risk Title: O07 – ICT infrastructure and support insufficient to support the level of digital transformation required.

Likelihood.	4.	Impact.	4.	RAG.	Amber.	Current Risk Score.	16.	Target Risk Score.	6.
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Vulnerability.	Trigger.	Consequences.	Mitigating Actions.
<p>The ICT infrastructure and support capacity is better understood.</p> <p>Future digital requirements are better understood</p> <p>Capacity within the ICT team is running below establishment levels, although recruitment is underway.</p>	<p>The ICT infrastructure is not sufficient to effectively run the required systems.</p> <p>The ICT staff cannot provide a suitable level of support for ongoing digital transformation or to deliver the ICT strategy for 2017 to 2020.</p>	<p>Existing systems could suffer reduced performance or fail.</p> <p>New systems not implemented.</p> <p>End users may be unable to properly utilise systems.</p> <p>Potential reputational damage with both staff and public.</p> <p>Failure to deliver efficiencies.</p> <p>OIC fails to make the necessary cultural changes to facilitate the switch to Digital delivery and Digital Transformation</p>	<p>7.1 Improved Management oversight in place and the service team structure has been reviewed to add in additional capacity.</p> <p>7.2 ICT Capital Replacement programme is delivering improvements to the infrastructure. The 3-year Disaster Recovery and Business Continuity Project began on 1 April 2018.</p> <p>7.3 A updated Digital Strategy is due to be presented to the Policy and Resources Committee in Autumn 2021, and progress on delivery of the Strategy is regularly reported to Senior Managers and Elected Members.</p> <p>7.4 Digital Maturity Assessment completed in November 2018, and a day’s workshop on outcomes and next steps with the Digital Officer was carried out in May 2019. Actions from this have been completed.</p>

Risk Title: S08 – Public / Community engagement – lack of evidence of active engagement

Likelihood.	3.	Impact.	4.	RAG.	Amber.	Current Risk Score.	12.	Target Risk Score.	4.
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Vulnerability.	Trigger.	Consequences.	Mitigating Actions.
<p>Public sector bodies and Community Planning Partnerships are subject to increasing pressure to</p>	<p>The Council and / or CPP may be required to produce evidence of community input into decision-making</p>	<p>Decisions made by the Council and/or CPP could lack the full benefit of community input</p>	<p>8.1 The Consultation and Engagement Officers Group meets quarterly to review progress in all actions associated with this risk.</p>

demonstrate active engagement with communities, most recently from the guidance regarding participation requests.	and co-production of services. Decisions may be challenged on grounds of lack of evidence of engagement.	Increased level of scrutiny from external auditors and inspectors. Loss of public support for Council and/or CPP decisions. Loss of public credibility.	8.2 The Council adopted a new Community Consultation and Engagement Policy in February 2019, to complement the Orkney Partnership's guidelines already adopted by the Council. 8.3 The Consultation and Engagement Officers Group delivered staff refresher training courses on 13 June 2018 and 22 Feb 2019 and has plans to hold further sessions in 2021. 8.4 Orkney Opinions was permanently established in June 2019 and a membership refresh took place between December 2020 and February 2021. 8.5 The Participation Requests Policy is in operation and two Participation Requests have been received to date, with one granted and one refused. Decision notices were posted online in accordance with the statutory timetable, and an associated outcomes improvement process is nearing completion.
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Risk Title: S09 – Cyber security – with an increase in the use of publicly visible technology, there is an increased risk of exposure to threats from criminal and other malicious parties

Likelihood.	4.	Impact.	5.	RAG.	Red.	Current Risk Score.	20.	Target Risk Score.	15.
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Vulnerability.	Trigger.	Consequences.	Mitigating Actions.
Failure to implement and maintain suitable controls to protect assets.	Disclosure or loss of data.	Financial and legal implications. Reputational risk, direct implications for staff, inability to access information when required.	10.1 Adopt recognised standards to counteract cyber threats including the UK Government Cyber Essentials scheme. 10.2 Implement suitable security controls to support efficient functioning of OIC ICT infrastructure.

			<p>10.3 Develop co-operative connectivity with public sector and third sector bodies.</p> <p>10.4 Develop a culture of security by raising awareness of personnel to vulnerabilities, risks and threats from cyberspace and the need to protect information systems.</p> <p>10.5 Actively participate in the national initiatives for sharing intelligence.</p> <p>10.6 PSN reaccreditation was submitted in September 2020.</p> <p>10.7 Succession planning with ICT underway, with external training and qualifications being explored.</p>
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Risk Title: S10 – Single Authority Model (SAM)

Likelihood.	5.	Impact.	3.	RAG.	Amber.	Current Risk Score.	15.	Target Risk Score.	6.
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Vulnerability.	Trigger.	Consequences.	Mitigating Actions.
<p>SAM is dependent on multiple agencies being able and willing to commit to permanent changes in governance. This could be hindered by a wide range of internal or external factors. It could potentially be stalled by a change in policy or personnel on the part of any of the key players.</p>	<p>Scottish Government Ministers fail to commit collectively to SAM and/or to convey unambiguous directives to participating SG departments, local agencies and other bodies.</p> <p>Lack of buy-in from staff of participating bodies.</p> <p>Change in policy by the Council or any participating Board.</p>	<p>Local partner agencies withdraw commitment to SAM.</p> <p>Failure to deliver optimally joined-up services.</p> <p>Failure to maximise resources for delivery of front-line services.</p>	<p>11.1 Maintain and support an active and engaged SAM Steering Group.</p> <p>11.2 Initiate and maintain pro-active engagement with Scottish Ministers.</p> <p>11.3 Initiate early engagement with staff groups and Unions.</p> <p>11.4 Demonstrate potential benefits of SAM for the Orkney community and Scottish Government.</p>