Item: 6.2.

Policy and Resources Committee: 18 June 2019.

Performance Monitoring – Corporate Services.

Report by Executive Director of Corporate Services.

1. Purpose of Report

To advise on the performance of Corporate Services for the reporting period 1 October 2018 to 31 March 2019.

2. Recommendations

The Committee is invited to scrutinise:

2.1.

The performance of Corporate Services for the reporting period 1 October 2018 to 31 March 2019, 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, that have been progressed to completion, be removed from the Corporate Services' Service Plan.

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 assessed as Blue within Annex 1, namely those which have been progressed to completion and are now being recommended for removal from the service plan.

- 01 – General Data Protection Regulation – Prepare for the General Data Protection Regulation coming into law in Summer 2018.
- 07 – Alcohol Licensing Policy – Develop and publish a Statement of Alcohol Licensing Policy.
- 14 – Participation Requests – Implement the Council's new Participation Requests Policy and publish the Council's first statutory annual report.
- 16 – Equality Outcomes – Review and develop a new set of Equality Outcomes for the Council.
- 18 – Best Value – Co-ordinate the Council's Best Value Improvement Plan.
- 23 – Video Conferencing Facilities – Review usage of video-conferencing facilities across the Council.

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.

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 2018 to 31 March 2019, and for the two preceding six month monitoring periods.

Table 1.	Six months ending 31 March 2018.	Six months ending 30 September 2018.	Six months ending 31 March 2019.	Totals.
Complaints.	0.	1.	1.	2.
Compliments.	1.	1.	1.	3.

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

Gillian Morrison, Executive Director of Corporate Services, extension 2103, Email gillian.morrison@orkney.gov.uk.

Andrew Groundwater, Head of HR and Performance, extension 2253, Email andrew.groundwater@orkney.gov.uk.

Andrew Hamilton, Performance and Best Value Officer, extension 2110, Email Andrew.hamilton@orkney.gov.uk.

Barbara Scollay, Administrative Support Manager, extension 2164, 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.

Corporate Services – Service Plan Actions for Six Months Ending 31 March 2019

Action.	Description.	Previous Period: 30 September 2018.		Current Period: 31 March 2019.			
		Overall Status.	BRAG.	Start Date.	Target Date.	Overall Status.	BRAG.
01 – General Data Protection Regulation. **Lead: Gavin Mitchell.**	Prepare for the General Data Protection Regulation coming into law in Summer 2018.	Complete.	Blue.	01 April 2016.	30 June 2018.	Complete.	Blue.
		Comment.					
		All preparations have been successfully completed. The General Data Protection Regulation came into force on 25 May 2018.					

Action.	Description.	Previous Period: 30 September 2018.		Current Period: 31 March 2019.			
		Overall Status.	BRAG.	Start Date.	Target Date.	Overall Status.	BRAG.
02 – Data Protection Information	Arrange to have key Information Sharing Protocols in place to	In Progress.	Green.	01 April 2016.	31 March 2019.	Overdue.	Red.
		Comment.					

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Corporate Services – Service Plan Actions for Six Months Ending 31 March 2019.

Sharing Protocols. **Lead: Gavin Mitchell.**	support the Prevent work and Getting it Right for Every Child procedures.	The Information Sharing Protocol (ISP) for Prevent has been signed by all parties. The ISP for Getting It Right for Every Child was intended, in part, to reflect relevant provisions contained within the proposed Named Person legislation. However that legislation has been delayed as a result of a finding by the Supreme Court that a number of information sharing sections contained within the Bill did not comply with human rights law. No firm indication has been provided by the Scottish Government as to when the necessary amendments will be made and presented to the Scottish Parliament. In the meantime, in order to assist colleagues in the Education Service, an ISP has been prepared without reference to the Named Person legislation on the proviso that there will be an opportunity for the Service to review the ISP if and when the Named Person legislation is passed. The ISP has been prepared and has been forwarded to the relevant parties for approval and signature.

Action.	Description.	Previous Period: 30 September 2018.		Current Period: 31 March 2019.			
		Overall Status.	BRAG.	Start Date.	Target Date.	Overall Status.	BRAG.
03 – HR / Payroll System Development. **Lead: Andrew Groundwater.**	Develop the use of electronic systems to support the routine transactional business associated with employee record administration and the work of HR and Performance.	In Progress.	Amber.	01 April 2016.	31 January 2020.	In Progress.	Red.
		Comment.					
		A new project officer started in post in November 2018 and the project has now completed background system work. A change implementation plan on the sickness and leave management process, and two other key processes are to be formed by May 2019. It is not expected full delivery can be achieved by January 2020 but extension to timescales within budget is possible.					

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Corporate Services – Service Plan Actions for Six Months Ending 31 March 2019.

Action.	Description.	Previous Period: 30 September 2018.		Current Period: 31 March 2019.				
		Overall Status.	**BRAG.**	**Start Date.**	**Target Date.**	**Overall Status.**	**BRAG.**
04 – E-Procurement. **Lead: Hayley Green.**	Complete the full implementation of e-procurement across the procurement team.	Not Started.	Green.	01 April 2016.	31 March 2020.	Not Started.	Green.
		Comment.						
		Responsibility for completion of this action is fully dependent on successful implementation of the Purchase to Pay module within Integra, and this work is being progressed by the Integra Finance Project. Work on this objective will progress once that is achieved.						

Action.	Description.	Previous Period: 30 September 2018.		Current Period: 31 March 2019.				
		Overall Status.	**BRAG.**	**Start Date.**	**Target Date.**	**Overall Status.**	**BRAG.**
05 – Office Accommodation Review. **Lead: Hayley Green.**	Establish a fully costed options analysis for Council Headquarters at School Place, which also takes account of the outcomes of the Change Review into Asset Management.	In Progress.	Green.	01 April 2016.	31 December 2018.	Overdue.	Red.
		Comment.						
		Pre-CPA paper approved by the Senior Management Team in September 2018 to allow work on options to begin. Time was set aside towards the end of 2018 to start work on this but other operational priorities meant that work on this had to be suspended. Work is expected to start again in May 2019, with a new target date for the initial assessment to be complete by the end of September 2019.						

Corporate Services – Service Plan Actions for Six Months Ending 31 March 2019.

Action.	Description.	Previous Period: 30 September 2018.		Current Period: 31 March 2019.				
		Overall Status.	BRAG.	Start Date.	Target Date.	Overall Status.	BRAG.
06 – Unified Communications. **Lead: Hayley Green.**	Progress to completion the implementation of a Unified Communications system across Council Headquarters at School Place (Phase 1).	In Progress.	Green.	01 April 2016.	31 March 2021.	In Progress.	Green.
		Comment.						
		Phase 1 (email to the Cloud via Office 365) was completed at the end of May 2018. Phase 2 work, which comprised Protective Marking for emails and implementation of Skype for Business was completed in January 2019. Phase 3, which includes an assessment of replacement telephony requirements for the Council, is now underway.						

Action.	Description.	Previous Period: 30 September 2018.		Current Period: 31 March 2019.				
		Overall Status.	BRAG.	Start Date.	Target Date.	Overall Status.	BRAG.
07 – Alcohol Licensing Policy. **Lead: Gavin Mitchell.**	Develop and publish a Statement of Alcohol Licensing Policy.	In Progress.	Amber.	04 July 2017.	30 November 2018.	Complete.	Blue.
		Comment.						
		This action has been progressed to completion. The Statement of Alcohol Licensing Policy was approved by the Orkney Islands Area Licensing Board and published in December 2018.						

Corporate Services – Service Plan Actions for Six Months Ending 31 March 2019.

Action.	Description.	Previous Period: 30 September 2018.		Current Period: 31 March 2019.			
		Overall Status.	BRAG.	Start Date.	Target Date.	Overall Status.	BRAG.
08 – Asset Management. **Lead: Hayley Green.**	Progress to completion Phase 2 of the Change Review of Asset Management.	In Progress.	Green.	04 July 2017.	31 March 2019.	Overdue.	Red.
		Comment.					
		Work is underway on disposal of the first and second tranche of assets within this Change Review and this is reported through the Change Programme Forum. Progress is steady.					

Action.	Description.	Previous Period: 30 September 2018.		Current Period: 31 March 2019.			
		Overall Status.	BRAG.	Start Date.	Target Date.	Overall Status.	BRAG.
09 – Procurement. **Lead: Hayley Green.**	Progress to completion Phase 2 of the Change Review of Procurement.	In Progress.	Green.	04 July 2017.	31 March 2020.	In Progress.	Green.
		Comment.					
		The Procurement Team is working with colleagues and Admin Managers on procurement projects such as stationery procurement and supplies. Regular progress on this change review is reported to the Change Programme Forum and the Procurement Member / Officer Working Group.					

Corporate Services – Service Plan Actions for Six Months Ending 31 March 2019.

Action.	Description.	Previous Period: 30 September 2018.		Current Period: 31 March 2019.				
		Overall Status.	BRAG.	Start Date.	Target Date.	Overall Status.	BRAG.
10 – Digital Strategy. **Lead: Hayley Green.**	Develop the Digital Strategy Delivery Plan and, with support from senior officers across the Council, deliver a service which takes advantage of improvements in Digital Technology to improve services for our customers and a more digitally developed and confident workforce.	In Progress.	Green.	04 July 2017.	31 March 2020.	In Progress.	Green.
		Comment.						
		Both the Digital Strategy and the Digital Strategy Action Plan have been approved. Work is underway on delivery of the actions within the plan, and good progress is being made. Progress is reported internally to the Information System Programme Board, and also to elected members through the Asset Management Sub-committee. In both cases updates were provided in March 2019.						

Action.	Description.	Previous Period: 30 September 2018.		Current Period: 31 March 2019.				
		Overall Status.	BRAG.	Start Date.	Target Date.	Overall Status.	BRAG.
11 – Locality Plan.	Progress the Locality Plan for the non-linked isles contained within the	In Progress.	Green.	04 July 2017.	31 March 2020.	In Progress.	Green.
		Comment.						

Corporate Services – Service Plan Actions for Six Months Ending 31 March 2019.

Lead: Anna Whelan.	Local Outcomes Improvement Plan 2017 to 2020 (to be published 1 October 2017).	Distribution of the second tranche of Community Choices funding has been completed via participatory budgeting under the banner Your Island Your Choice 2 (YIYC2). Isles representatives largely managed the whole process themselves with minimal input needed from Voluntary Action Orkney (VAO), who managed the project on behalf of The Orkney Partnership. Projects chosen will all support the priorities in the Locality Plan and are now under way. Some of the Isles Development Trusts are supporting additional projects which narrowly failed to win funding in YIYC2. The Scottish Community Development Centre visited Orkney at VAO's invitation to evaluate YIYC2.

Action.	Description.	Previous Period: 30 September 2018.		Current Period: 31 March 2019.			
		Overall Status.	**BRAG.**	**Start Date.**	**Target Date.**	**Overall Status.**	**BRAG.**
12 – Place Standard. **Lead: Anna Whelan.**	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 new locality plans for additional selected areas to be agreed by the Orkney Partnership Board.	In Progress.	Green.	04 July 2017.	31 March 2020.	In Progress.	Amber.
		Comment.					
		The proposed Place Standard exercise "Orkney Matters", originally scheduled for summer 2019, has been deferred until 2020 to avoid clashing with other initiatives. This new timing will fit in well with plans to develop a second Locality Plan during 2020. It is proposed that the target completion date for this action should be extended to the end of March 2021.					

Corporate Services – Service Plan Actions for Six Months Ending 31 March 2019.

Action.	Description.	Previous Period: 30 September 2018.		Current Period: 31 March 2019.				
		Overall Status.	BRAG.	Start Date.	Target Date.	Overall Status.	BRAG.
13 – Participatory Budgeting. **Lead: Anna Whelan.**	Working with colleagues in Finance, explore options to further develop Participatory Budgeting in line with national policy drivers and the Council's strategic plan.	In Progress.	Green.	04 July 2017.	31 March 2019.	Overdue.	Red.
		Comment.						
		On 9 October 2018, a seminar was held to consult Elected Members on the Participatory Budgeting (PB) mainstreaming options to include in a future Orkney Opinions survey, in order to meet the national target of 1% of revenue budget distributed via by 2021. Members offered a steer to consult on five options. CMT subsequently postponed the survey pending discussion of the options with the Service teams involved and, as at 31 March 2019, no consensus has been reached on the options on which to consult. COSLA is currently running a PB development support programme funded by the Scottish Government and it is planned to invite COSLA to help the Council to further explore local PB mainstreaming options. To allow meaningful engagement with COSLA it is proposed that the target completion date for this action be extended to 31 March 2020.						

Action.	Description.	Previous Period: 30 September 2018.		Current Period: 31 March 2019.				
		Overall Status.	BRAG.	Start Date.	Target Date.	Overall Status.	BRAG.
14 – Participation Requests.	Implement the Council's new Participation Requests Policy and	Complete.	Blue.	04 July 2017.	30 June 2018.	Complete.	Blue.
		Comment						

Corporate Services – Service Plan Actions for Six Months Ending 31 March 2019.

Lead: **Anna Whelan.**	publish the Council's first statutory annual report.	This action was completed in June 2018 and reported complete as at 30 September 2018.

Action.	Description.	Previous Period: 30 September 2018.		Current Period: 31 March 2019.			
		Overall Status.	BRAG.	Start Date.	Target Date.	Overall Status.	BRAG.
15 – Redeployment and re-skilling. **Lead: Andrew Groundwater.**	Review the Council's approach to redeployment and reskilling, with regard to budget plans.	In Progress.	Green.	04 July 2017.	31 March 2019.	Overdue.	Red.
		Comment.					
		The necessity to complete this review by March 2019 was mitigated by the approach taken to Council budget setting for 2018 to 2019 and therefore it has been decided to delay this work until 2019 to 2020 to allow space for other more immediate priorities, due to resourcing challenges.					

Action.	Description.	Previous Period: 30 September 2018.		Current Period: 31 March 2019.			
		Overall Status.	BRAG.	Start Date.	Target Date.	Overall Status.	BRAG.
16 – Equality Outcomes. **Lead: Andrew Groundwater.**	Review and develop a new set of Equality Outcomes for the Council.	Complete.	Blue.	04 July 2017.	30 June 2018.	Complete.	Blue.
		Comment.					
		Equality Outcomes were presented to the Policy and Resources Committee on 25 September 2018 and subsequently approved by Council.					

Corporate Services – Service Plan Actions for Six Months Ending 31 March 2019.

Action.	Description.	Previous Period: 30 September 2018.		Current Period: 31 March 2019.			
		Overall Status.	BRAG.	Start Date.	Target Date.	Overall Status.	BRAG.
17 – Change Review of Staff and Workforce Planning. **Lead: Andrew Groundwater.**	Progress to completion Phase 2 of the Change Review of Staff and Workforce Planning.	In progress.	Amber.	04 July 2017.	30 April 2019.	In Progress.	Green.
		Comment.					
		As part of the review of Change Programme priorities, it was decided that the overall savings potentially on offer within this Change Review were not commensurate with the difficulty in achieving them. A final report on the issue of public holiday change is required for Senior Management Team, and this action can then be closed. Some of the related work around pay structures has been flagged in the new Workforce Plan and will be subject of a new service plan action in the forthcoming service plan refresh.					

Action.	Description.	Previous Period: 30 September 2018.		Current Period: 31 March 2019.			
		Overall Status.	BRAG.	Start Date.	Target Date.	Overall Status.	BRAG.
18 – Best Value. **Lead: Andrew Groundwater.**	Co-ordinate the Council's Best Value Improvement Plan.	In progress.	Green.	04 July 2017.	31 March 2020.	Complete.	Blue.
		Comment.					
		In terms of HR and Performance the work of co-ordinating responses to the actions in the Best Value Improvement Plan is complete as they are now fully embedded in the					

Corporate Services – Service Plan Actions for Six Months Ending 31 March 2019.

		Council Plan and are scrutinised and monitored through existing performance management processes.

Action.	Description.	Previous Period: 30 September 2018.		Current Period: 31 March 2019.			
		Overall Status.	BRAG.	Start Date.	Target Date.	Overall Status.	BRAG.
19 – Electronic Documentation and Records Management System. **Lead: Gillian Morrison.**	Implement the roll-out of the Electronic Documentation and Records Management System for the Council.	In progress.	Green.	01 April 2018.	31 March 2019.	Overdue.	Red.
		Comment.					
		A project board and team have been appointed. On 2 May 2019, the Council endorsed a staged, user centric approach to the project with integral stakeholder engagement and communications and associated governance. Recruitment to support project delivery is taking place. It is therefore proposed that this action be carried forward to the next service plan with a new target date set for completion.					

Action.	Description.	Previous Period: 30 September 2018.		Current Period: 31 March 2019.			
		Overall Status.	BRAG.	Start Date.	Target Date.	Overall Status.	BRAG.
20 – Corporate Services Workforce Plan.	Develop a detailed service workforce plan to consider future workforce	In progress.	Green.	01 April 2018.	31 March 2019.	Overdue.	Red.
		Comment.					

Corporate Services – Service Plan Actions for Six Months Ending 31 March 2019.

Lead: Gillian Morrison.	needs, current capacity, supply and recruitment, skills and financial constraints.	The Corporate Workforce Plan will be presented to Policy and Resources Committee in April 2019. Service workforce planning priorities are to be included within the Service Plan so as to better ensure they are considered alongside wider priorities and are subject to suitable scrutiny and monitoring. The development of new Service Plans has been delayed until September 2019 for all Council Services, hence this action will be delivered later than originally expected.

Action.	Description.	Previous Period: 30 September 2018.		Current Period: 31 March 2019.			
		Overall Status.	BRAG.	Start Date.	Target Date.	Overall Status.	BRAG.
23 – Video Conferencing Facilities. **Lead: Gillian Morrison.**	Review usage of video-conferencing facilities across the Council.	In progress.	Green.	01 April 2018.	31 March 2019.	Complete.	Blue.
		Comment.					
		Use of Skype for Business as an alternative to video conferencing was implemented in December 2018 following a successful trial with over 80 users. Feedback is positive.					

Personnel key

Executive Director of Corporate Services – Gillian Morrison.

Head of HR and Performance – Andrew Groundwater.

Head of Legal Services – Gavin Mitchell.

Head of IT and Facilities – Hayley Green.

Strategy Manager – Anna Whelan.

Corporate Services – Service Plan Actions for Six Months Ending 31 March 2019.

BRAG key

Red - the agreed action is experiencing significant underperformance, with a medium to high risk of failure to meet its target.

Amber - the agreed action is experiencing minor underperformance, with a low risk of failure to meet its target.

Green - the agreed action is likely to meet or exceed its target.

Blue - the agreed action has been progressed to completion.

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Corporate Services – Service Plan Actions for Six Months Ending 31 March 2019.

Corporate Services – Service Performance Indicators for Six Months Ending 31 March 2019

Performance Indicator.	Previous Period: 30 September 2018.		Current Period: 31 March 2019.			
	Actual.	RAG.	Actual.	Target.	Intervention.	RAG.
01 - CCG - 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. **Lead: Gillian Morrison.**	5.37%	Amber.	7.45%	4%	6.10%	Red.
	Comment.					
	The Winter 2019 period brought unusually high levels of virus-related sickness absence in Corporate Services. Sickness absence continues to be monitored and absence addressed within the service.					

Performance Indicator.	Previous Period: 30 September 2018.		Current Period: 31 March 2019.			
	Actual.	RAG.	Actual.	Target.	Intervention.	RAG.
02 - CCG - 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 **Lead: Gillian Morrison.**	88.29%	Amber.	83.76%	90%	79%	Amber.
	Comment.					
	Managers in Corporate Services continue to treat sickness absence as an important issue and seek to resolve issues at an early stage through use of the Council's policy.					

Performance Indicator.	Previous Period: 30 September 2018.		Current Period: 31 March 2019.			
	Actual.	RAG.	Actual.	Target.	Intervention.	RAG.
03 - CCG - Staff accidents - The number of staff accidents within the service, per 30 staff per year	1.68%	Amber.	2.30%	1.00%	2.10%	Red.
	Comment.					
Lead: Gillian Morrison.	The vast majority of accidents occurred within Catering and Building Cleaning operations, most involving minor injuries. These are carefully monitored and specific risks have been addressed.					

Performance Indicator.	Previous Period: 30 September 2018.		Current Period: 31 March 2019.			
	Actual.	RAG.	Actual.	Target.	Intervention.	RAG.
04 - CCG - Budget control - The number of significant variances (priority actions) generated at cost centre level, as a proportion of cost centres held	16%	Amber.	20%	15%	31%	Amber.
	Comment.					
Lead: Gillian Morrison.	Budget monitoring in general, and dealing with significant variances in particular, remains a priority for budget holders within Corporate Services, and efforts will continue to minimise these in future.					

Performance Indicator.	Previous Period: 30 September 2018.		Current Period: 31 March 2019.			
	Actual.	RAG.	Actual.	Target.	Intervention.	RAG.
05 - CCG - 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	0%	Green.	1.6%	2%	4.10%	Green.
	Comment.					
	Within Corporate Services, staff retention remains high.					

Corporate Services – Service Performance Indicators for Six Months Ending 31 March 2019.

Performance Indicator.	Previous Period: 30 September 2018.		Current Period: 31 March 2019.			
	Actual.	RAG.	Actual.	Target.	Intervention.	RAG.
Lead: Gillian Morrison.						

Performance Indicator.	Previous Period: 30 September 2018.		Current Period: 31 March 2019.			
	Actual.	RAG.	Actual.	Target.	Intervention.	RAG.
06 - CCG - 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 **Lead: Gillian Morrison.**	2.14%	Green.	1.25%	5%	10.10%	Green.
	Comment.					
	Within Corporate Services, staff retention remains high.					

Performance Indicator.	Previous Period: 30 September 2018.		Current Period: 31 March 2019.			
	Actual.	RAG.	Actual.	Target.	Intervention.	RAG.
07 - CCG - ERD - The number of staff who receive (at least) an annual face-to-face employee review and development (ERD) meeting, as a proportion of the total number of staff within the service **Lead: Gillian Morrison.**	92.79%	Green.	94.81%	90%	79%	Green.
	Comment.					
	Managers continue to recognise the importance of ERD's.					

Corporate Services – Service Performance Indicators for Six Months Ending 31 March 2019.

Performance Indicator.	Previous Period: 30 September 2018.		Current Period: 31 March 2019.			
	Actual.	RAG.	Actual.	Target.	Intervention.	RAG.
08 - CCG - 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 **Lead: Gillian Morrison.**	83.1%	Green.	82.34%	80%	69%	Green.
	Comment.					
	The service continues to prioritise timely payment of invoices wherever possible.					

Personnel key

Executive Director of Corporate Services – Gillian Morrison.

RAG key

Red - the performance indicator is experiencing significant underperformance, with a medium to high risk of failure to meet its target.

Amber - the performance indicator is experiencing minor underperformance, with a low risk of failure to meet its target.

Green - the performance indicator is likely to meet or exceed its target.

Corporate Services Risk Register – May 2019

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.	11.	Executive Director of Corporate Services.
Governance.	5, 6, 9, 10.	Head of Legal Services and Head of IT and Facilities.
Communication.	8.	Strategy Manager.

Likelihood (vertical axis)
Impact (horizontal axis)

	Impact 1	Impact 2	Impact 3	Impact 4
6		9		
5		11		
4			1, 2, 7	
3		5	4, 10	
2			3, 6, 8	
1				
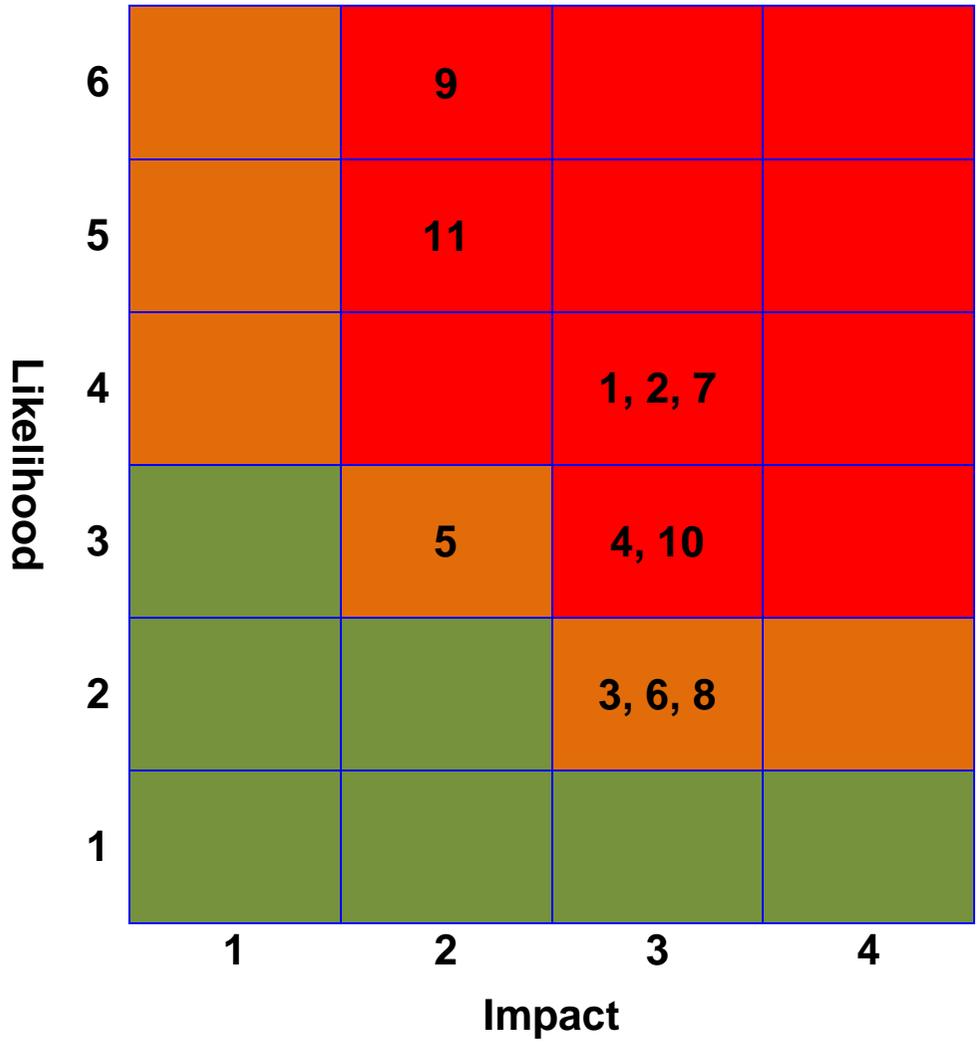
KEY

Impact:
4 = Catastrophic
3 = Critical
2 = Significant
1 = Negligible

Likelihood:
6 = Very High
5 = High
4 = Significant
3 = Low
2 = Very Low
1 = Almost Impossible

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

Likelihood.	4.	Impact.	3.	RAG.	Red.	Current Risk Score.	12.	Target Risk Score.	6.

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 will be 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.	3.	RAG.	Red.	Current Risk Score.	12.	Target Risk Score.	6.

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 is due to be updated in Autumn 2019. 2.6 The IT Asset Management Plan is due to be updated in Winter 2019.

Risk Title: S03 – Procurement – Procurement compliance and sustainable communities

Likelihood.	2.	Impact.	3.	RAG.	Amber.	Current Risk Score.	6.	Target Risk Score.	6.

Vulnerability.	Trigger.	Consequences.	Mitigating Actions.
Financial and non-financial savings have not yet been fully explored. 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.	Legal challenge is a possibility unless the Procurement Regulations are complied with and processes followed; Officers fail to understand the limitations that the Procurement Regulations place on the Council; Officers do not follow due process and tendering has to be repeated; Anticipated savings may not be fully realised through collaborative contracts. The local economy may not be as well supported as it could be; Member/officer disharmony due to lack of understanding of responsibilities.	Financial loss due to legal challenge; Reputational harm; Delays in services being procured due to re-tendering or court action; Loss to the local economy; Loss of effectiveness and efficiency; Lost opportunity in terms of savings.	3.1 Continue to roll out induction courses as required. 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 in 2016. 3.3 Contract Standing Orders updated in March 2018, with a review due to start in Summer 2019. 3.4 The Service was audited in the year 2017 to 2018 and received positive feedback. Any actions arising have been addressed. 3.5 The Sustainable Procurement Policy was approved at the General Meeting of the Council in March 2018. 3.6 The Procurement Manual was updated in May 2019, with work to cascade all changes to relevant staff due to start in June 2019.

Risk Title: O04 – HR systems – inadequate development or use of existing electronic systems

Likelihood.	3.	Impact.	3.	RAG.	Red.	Current Risk Score.	9.	Target Risk Score.	6.

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 his ongoing and due for completion in 2020. 4.2 Continue to develop use of e-processes on Recruitment Portal as resources allow.

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

Likelihood.	3.	Impact.	2.	RAG.	Amber.	Current Risk Score.	6.	Target Risk Score.	3.

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 Protection Act have replaced the Data Protection Act 1998 and have introduced new duties for the Council.	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 responding to Subject Access Requests efficiently and appropriately.	5.1 New Data Protection Policy 2018 in place to reflect new legislation. 5.2 New mandatory data protection course available on iLearn and completion by staff is monitored. 5.3 Staff are required to participate in mandatory training on information security. 5.4 Self-evaluation questionnaires are being completed by Services to ensure that any remedial measures can be identified and actioned. 5.5 Compliance with corporate policies and guidance is monitored on a regular basis.

Risk Title: S06 – Public Records Act – failure to comply with the Public Records (Scotland) Act 2011.

Likelihood.	2.	Impact.	3.	RAG.	Amber.	Current Risk Score.	6.	Target Risk Score.	4.

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 for approval.	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 Records Management policy is in place and the Information Governance Group meets monthly. 6.2 A new Records Management Plan, to implement the Records Management Plan, has been approved by the Corporate Management Team and has been submitted to the Keeper of the Records of Scotland for approval. In the meantime, progress against the actions in the current Records Management Plan is reported on a regular basis to the Executive Director of Corporate Services. 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 and the Change Forum.

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

Likelihood.	4.	Impact.	3.	RAG.	Red.	Current Risk Score.	12.	Target Risk Score.	6.

Vulnerability.	Trigger.	Consequences.	Mitigating Actions.

The ICT infrastructure and support capacity is better understood. Future digital requirements are better understood Capacity within the ICT team is running below establishment levels, although recruitment is underway.	The ICT infrastructure is not sufficient to effectively run the required systems. The ICT staff cannot provide a suitable level of support for ongoing digital transformation or to deliver the ICT strategy for 2017 to 2020.	Existing systems could suffer reduced performance or fail. New systems not implemented. End users may be unable to properly utilise systems. Potential reputational damage with both staff and public. Failure to deliver efficiencies. OIC fails to make the necessary cultural changes to facilitate the switch to Digital delivery and Digital Transformation	7.1 Improved Management oversight in place and the service team structure has been reviewed to add in additional capacity. 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. 7.3 A revised Digital Strategy was presented to the Asset Management Sub-committee on 31 May 2018, and progress on delivery of the Strategy is regularly reported to Senior Managers and Elected Members. 7.4 Digital Maturity Assessment completed in November 2018, and a day's workshop on outcomes and next steps with the Digital Officer has been arranged for May 2019.

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

Likelihood.	2.	Impact.	3.	RAG.	Amber.	Current Risk Score.	6.	Target Risk Score.	4.

Vulnerability.	Trigger.	Consequences.	Mitigating Actions.
Public sector bodies and Community Planning Partnerships are subject to increasing pressure to demonstrate active engagement with communities, most recently from the guidance regarding participation requests.	The Council and / or CPP may be required to produce evidence of community input into decision-making and co-production of services. Decisions may be challenged on grounds of lack of evidence of engagement.	Decisions made by the Council and/or CPP could lack the full benefit of community input Increased level of scrutiny from external auditors and inspectors. Loss of public support for Council and/or CPP decisions. Loss of public credibility.	8.1 The Consultation and Engagement Officers Group met on 6 July 2018, 31 Oct 2018 and 30 Jan 2019 to review progress in all actions associated with this risk. 8.2 The Council adopted a new Community Consultation and Engagement Policy in Feb 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.
			8.4 Progress in Orkney Opinions was reported to Committee on 19 June 2018 and the pilot was extended for a further year, with 8 surveys issued to end of March 2019. A further report is to be considered by Policy and Resources Committee in June 2019.
			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.

Risk Title: S09 – Failure to comply with Scottish Government expectation that all publicly owned land be registered by 7 December 2019. The deadline is not currently legally binding although it is a Scottish Government expectation

Likelihood.	6.	**Impact.**	2.	**RAG.**	Red.	**Current Risk Score.**	12.	**Target Risk Score.**	10.

Vulnerability.	**Trigger.**	**Consequences.**	**Mitigating Actions.**
Insufficient resources both from point of view of staffing and funding, including land registration dues, plan preparation, search dues and investigation.	There is a high risk of the Council not meeting the Scottish Government's expectation.	Main consequences are currently anticipated as being political and reputational, both locally and nationally. It is possible that there may be financial penalties, although there is no reference to this in the legislation as it currently stands.	9.1 Registration is currently being undertaken within existing resources. Discussions are taking place between COSLA Officers and Scottish Government to discuss how registration of all local authority land can be taken forward in the context of the financial constraints affecting local authorities in Scotland.

Risk Title: S10 – 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.	3.	Impact.	3.	RAG.	Red.	Current Risk Score.	9.	Target Risk Score.	6.

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. 10.3 Develop co-operative connectivity with public sector and third sector bodies. 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. 10.5 Actively participate in the national initiatives for sharing intelligence. 10.6 PSN reaccreditation was achieved in August 2018. 10.7 Cyber Essentials + accreditation was achieved in April 2019. 10.8 Succession planning with ICT underway, with external training and qualifications being explored.

Risk Title: S11 – Single Authority Model (SAM)

Likelihood.	5.	Impact.	2.	RAG.	Red.	Current Risk Score.	10.	Target Risk Score.	6.

Vulnerability.	Trigger.	Consequences.	Mitigating Actions.
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.	Scottish Government Ministers fail to commit collectively to SAM and/or to convey unambiguous directives to participating SG departments, local agencies and other bodies. Lack of buy-in from staff of participating bodies. Change in policy by the Council or any participating Board.	Local partner agencies withdraw commitment to SAM. Failure to deliver optimally joined-up services. Failure to maximise resources for delivery of front-line services.	11.1 Maintain and support an active and engaged SAM Steering Group. 11.2 Initiate and maintain pro-active engagement with Scottish Ministers. 11.3 Initiate early engagement with staff groups and Unions. 11.4 Demonstrate potential benefits of SAM for the Orkney community and Scottish Government.