

Finance and Integrated Service Support Performance Report Q2 2019/20



01. Progress in delivery of strategic outcomes

Finance and Integrated Service Support continues to have a strategic focus on securing the financial sustainability of the council, strengthening financial management together with nurturing a highly motivated and effective workforce. All of which are central to the achievement of the Council's priority outcomes and delivery of services to a growing county.

The key activities which support this are:

- a) The delivery of the Council's Medium Term Financial Strategy (MTFS) incorporating Capital Strategy and Capital Investment plans, Reserves Strategy and Treasury Management Strategy together with the development and implementation of a comprehensive Change Programme;
- b) The Workforce Strategy and the Service Workforce Plans;
- c) Delivery of the Integrated Service Support review, reducing the overall cost of providing the Finance and Integrated Support Services and ensuring the service is delivered within the approved budget.

These are supported by:

- . The Digital Strategy and Digital Learning Strategy
- . The Procurement Strategy and Contract Delivery Plan

In their annual report for 2018/19 EY recognised the substantial progress that had been made in addressing the recommendations from previous years which contributed to an improved amber rating for financial management. The EY report reinforces that there is further work to do particularly to improve the longer term financial sustainability of the council. EY made eight recommendations and these are being taken forward by officers across the council.

Growing Council

Population growth in Midlothian over the next 10-15 years will see Midlothian become the fastest growing Council in Scotland. 0-15 population increase, projected at 20% and 75+ population increase projected to increase by 100% between 2014 and 2039.

This brings the opportunity to support the Council vision of being 'A Great Place to Grow'. As a growing Council this brings the opportunity to redevelop parts of Midlothian, improve infrastructure with a focus on area targeting, improving economic opportunities, improving education and health outcomes.

This growth creates the opportunity to meet the housing need with 25% of new homes being built in the affordable housing bracket, in addition to the expansion in Council House building. This construction will directly support employment in construction and will see a steady increase in the volume of Council Tax received over time.

The approved, Capital Strategy sets out infrastructure required to meet those demographic pressures and includes the financial contributions Midlothian will make to the Edinburgh and South East Scotland City Region Deal.

Continued Service Transformation

Continue the significant transformation of service delivery to allow services to be provided within the reduced budget available. In the next 12 months this will require services to be reshaped, business processes to be reviewed and adapted technology solutions progressed, including the continued adoption of automation. These changes are set out in the service savings delivery plan and are designed to deliver savings of £1.1 million. Savings since inception of Finance and Integrated Service Support are predicted to rise to £4.2million (which equates to 42% of the 2019/20 budget) and as such represents a considerable reduction in both financial and human resources.

1: Financial Strategy - Achievements

- a) Successful recovery of the £3 million projected 2018/19 budget overspend. Positive outcome for the 2018/19 End of Year Financial reports an underspend of £495,000 which was achieved by everyone working together, demonstrating strict financial discipline. The action taken to address the overspend was also noted positively in the Best Value Assurance Report;
- b) Successful completion and submission of the 2018/19 audited accounts in accordance with the statutory deadline with an unqualified audit opinion;
- c) Completion of Quarter 1 2019/20 Financial Monitoring reports for Council as part of the robust scrutiny of financial performance and subsequent submission of a recovery actions to arrest the projected in year overspend within services;
- d) Update on the Medium Term Financial Strategy 2019/20 to 2022/23 presented to Council 1 October 2019 which provided an update on the progress of the recommendations since the last report on 25 June 2019, and which has been delegated to the Business Transformation Steering Group to develop the next phase of the strategy and identify further measures to address the remaining budget gaps for 2021/22 to 2022/23.

2: Workforce Strategy - Achievements

- a) First Corporate Induction session held in September 2019 ensuring new staff are clear on expected standards of behaviour and the importance of compliance with HR policy;
- b) Implementation of Business Travel and Subsistence Policy to support the move to a hierarchy of travel. Revisions made to enhance current Maximising Attendance at Work policy following a recent internal audit report;
- c) Introduction of safe leave to better support those employee's affected by gender based violence;
- d) Roll out of Financial Wellbeing support for employees recognising that financial management issues is often the underlying cause of stress and depression;
- e) Continuation of a rolling programme of Mentally Healthy Workplace training for Managers;
- f) Training sessions run by our partners at Equally Safe at Work to ensure we continue to progress our work on gender inequality;
- g) Work continues to be undertaken on promoting the EU Settlement Scheme in order to ensure that we comply with our legal requirements and to ensure that we have a workforce in place to deliver vital services to our communities; and
- h) Securing changes to terms and condition in respect of staff travel arrangements, with those changes fully implemented on the 1 October 2019.

3: Digital Strategy and Digital Learning Strategy - Achievements

- a) Property Programmes - Commissioning and/or decommissioning of 11 sites including internal redesign and configuration, along with work across the School estate at Cuiken, Sacred Heart, Woodburn, Mayfield and all the additional requests for Early years expansion to support the wider Property and School programme;
- b) Digital Enabled projects: Improvements in Council Cyber defences has resulted in four new firewalls being installed. The cashless catering system is now in the process of being deployed across the four Midlothian High Schools, which is also integrated with the current online schools payment system.
- c) Digital Strategy Group has prioritised and aligned Council programmes / projects to the wider Digital Strategy, Digital Learning Strategy and National Transformation Programme (Local Government Digital Office);
- d) Continued Asset Management and Investment in Digital Foundations infrastructure and associated services – Replacement of digital assets continues across the Corporate and School estate;
- e) CyberSecurity resilience: maintained and currently reviewing the latest Scottish Government CyberSecurity action plan that all Councils need to respond to. Compliance: Preparation and Planning of for PSN accreditation;
- f) Working with the Digital Office to manage a Digital Maturity Exercise on behalf of the Midlothian Council management team, findings and summary to be shared with Corporate Management Team;
- g) Business Information and Analytics: introduction to new platform as a service in partnership with NSS, deployment of Tableau Dashboards (Investing in our Workforce, Complaints, Education and Health & Social Care).

4: Other Service Improvements

- a) ISS delivery plan is in place to deliver the £1.1 million savings target for the current financial year. Current projections indicate an in year shortfall against this target which is mostly offset by strict vacancy and cost control. Overall at quarter 2 the service projects a small overspend of £64,000 (0.6%);
- b) Pilot of e-invoicing commenced in August initially for 3 suppliers. The next phase is due to be rolled out week beginning 28th of October with a further 3 suppliers;
- c) Lifelong Learning and Employability course bookings are now Live in Legend;
- d) A new support contract has been signed with Midland, the provider for iTrent, our integrated HR and payroll system, which ensures no increase in budget provision required over the next 5 years.

02. Challenges and Risks

Financial Sustainability

Given the continuing challenging grant settlements, representing a real terms reduction in core funding together with the impact of a rapidly growing population and greater demand for services, the Council has shifted to a Medium Term Financial Strategy. This complements the existing forward plans for HRA, Capital and Reserves. Delivery of savings plans, both within the MTFS and relating to previous slippage is key and this needs to be monitored closely. Values attached to proposals in the MTFS need to be reviewed further to ensure they sit correctly within a detailed delivery plan. It is important for the Council that the measures in the MTFS are fully developed (where necessary) at pace and also proceed to implementation at pace.

UK Decision to leave the EU

All Council services have been kept abreast of the risks associated with the UK leaving the EU and in particular the risks for a no deal scenario. Services have been directed towards UK Government guidance on how to prepare for a no deal and have been tasked with assessing the potential impact and identifying appropriate risk responses. A Council Cross Service Brexit Working Group has been set up in preparation for a potential No Deal exit from the European Union.

1: Financial Strategy

The need to continue to strengthen financial sustainability and financial management by:

- a) Continue work on developing cost projections and savings proposals to update the Financial Strategy for 2020/21 to 2022/23 and complete the draft 2020/21 Base Budget;
- b) Prepare financial monitoring reports for quarter 2 and continue to work with budget holders to maintain effective control over expenditure and with Heads of Service to develop plans which address and mitigate against overspends;
- c) Work to develop cost projections and the implementation of any additional saving measures to update the Medium Term Financial Strategy won't be until after the government grant settlement is announced in December 2019;
- d) Continued financial support for the Change Programmes and delivery of savings measures. Help shape and lead all strands of the programme, continue to revise savings profiles. Oversight of investment to support transformational change and the assessment of bids against the criteria used for the Capital Receipts Scheme;
- e) Review of the Capital Strategy and the affordability of investment plans principally to reflect the ongoing review of the Learning Estate Strategy;
- f) Continue to strengthen financial stewardship in a climate of reducing budgets and increasing service pressure;
- g) Review and update financial directives and associated documentation.

2: Workforce Strategy

Alongside the Medium Term Financial Strategy 2020/21 to 2022/3 we will continue to implement the Workforce Strategy 2017-2022. This includes a focus on the identified themes over the next five years. The Service Workforce Plans will need to be updated to align to the MTFS, the new leadership structure and detail the projected workforce actions over the medium term.

- a) Identifying alternative service delivery approaches and the impact on service delivery with pressure on available resource;
- b) Securing the improvement in flexibility and productivity throughout the workforce;
- c) Continued development of the Workforce Strategy action plan;
- d) In light of the implementation of the Senior leadership review revisions to the F&ISS workforce plan are no longer appropriate. A new service workforce plan and associated actions will be required for Corporate Solutions which also reflects the Medium Term financial Strategy (MTFS);
- e) Continue to support our leadership community so that they are able to perform to a high standard and deliver on the Change Programme;
- f) Promoting compliance with our policy on the use of agency workers;
- g) Ensuring the adoption of the revised Business Travel and Subsistence Policy across services, which brings a shift from the use of personal vehicles to pool electric cars;
- h) Maintain attendance levels (2017/18 average days lost 7.5 which ranked the Council 2nd best in Scotland) supporting service areas with high or increasing absence levels to deliver interventions to support their service workforce strategies.

3: Digital Strategy and Digital Learning Strategy

- a) Increased threat of cyber/security attacks, e.g. denial of service, ransomware/hackers continues to be an ongoing challenge to mitigate risk and minimise service disruption;

- b) Securing, maintaining Digital skills and experience across the Digital Service teams in order to be able to respond, deliver and protect the organisation;
- c) Maintaining the integrity and compliance of Public Services Network (PSN) ensuring that the Digital Estate and associated technologies inclusive of Business Applications are all up to date and pass rigorous penetration testing which is currently taking place;
- d) Ensuring sustainable investment in digital assets at a time of financial constraints and reduction in resources including the Asset Management Programme:- Microsoft Exchange/Office 365 / Windows 10 upgrade is currently in the preparation and planning stage. Additional Communications and plan to be shared with Directors, Head of Service and Service managers;
- e) Regulatory changes proposed will impact on Council activities if not planned for – for example New Data Protection laws (GDPR) and other compliance requirements such as Payment Card Industry Data Security Standard (PCI-DSS);
- f) Pursuing the transformation of and innovation in service delivery by pursuing digital opportunities, including Automation, Artificial intelligence etc.

4: Procurement

- a) Maintaining service provision in response to a significant staff turnover in the team;
- b) To deliver and demonstrate savings through procurement by continuing to review and monitor performance;
- c) Completing the Purchase to Pay project;
- d) As the next stage of the Council's procurement journey, and similar to most other Councils the aim is to deliver a robust contract and supplier management tool by rolling out guidance and training to contract owners;
- e) Deliver actions from Procurement Strategy;
- f) Prepare and submit an annual procurement report for 2019/20 to the Scottish Minister.

5: Service Improvements / Delivering Excellence


- a) Delivery of Change Programme and in particular the Integrated Service Support Savings target for 2019/20 of £1.1 million;
- b) Purchase to Pay - Managing transitional arrangements for processing invoices and for Invoice approval, improving 100% first time data capture difficult due to variety and quality of invoice layouts/images.

Emerging Challenges:

The emerging challenge is to increase the pace in which change and improvement is being delivered, ensuring that there is clarity on priorities and that strategic outcomes are clearly defined and articulated. Maintaining forward momentum amid a period of structural change.

Assessing the Government grant settlement in December and addressing the remaining budget gap leading to the delivery of a balanced MTFs covering the next 3 years which will support the delivery of a balanced budget for 2020/21.

Published Finance and Integrated Service Support Service Plan



Finance & Integrated Service Support

Successes and Challenges

<p>Corporate Performance Indicators (latest)</p> <p>● 6 ● 7 ? 0 ? 6</p>	<p>Service Plan Actions (latest)</p> <p>▲ 1 ● 26 ? 0</p>	<p>Service Plan PIs (latest)</p> <p>● 2 ● 1 ? 0 ? 4</p>	<p>Service Risks (latest)</p> <p>▲ 22</p>
<p>Corporate PIs Off Target as at 31st October 2019</p> <p>PIs ● 6</p> <p>Performance against revenue budget</p> <p style="background-color: #f8d7da;">% of invoices paid within 30 days of invoice receipt (cumulative)</p> <p>Average time in working days to respond to complaints at stage 1</p> <p style="background-color: #f8d7da;">Average time in working days for a full response for escalated complaints</p> <p>Percentage of complaints at stage 1 complete within 5 working days</p> <p style="background-color: #f8d7da;">Percentage of complaints escalated and complete within 20 working days</p>	<p>Service Plan Actions Off Target as at 31st October 2019</p> <p>Actions ▲ 1</p> <p>Achieve contract delivery targets set out in the Contract Delivery Plan</p>	<p>Service Plan PIs Off Target as at 31st October 2019</p> <p>PIs ● 1</p> <p>Corporate Indicator - Percentage of invoices sampled and paid within 30 days (LGBF)</p>	<p>High Risks as at 31st October 2019</p> <p>15 Risks at Medium and 5 Risks are high</p> <p>DS - Staffing levels and impact on service</p> <p style="background-color: #f8d7da;">DS - Limited staffing resources to meet the IT demands of the Council/inadequate forum for deciding which computer projects are a priority</p> <p>DS - Compliance - Regulatory, Contractual and Legal</p> <p style="background-color: #f8d7da;">DS - Computer Business Continuity Management</p> <p>INFOSEC - Access Control - Cyber Security Attack</p>
<p>Key</p> <p>● Off Target</p> <p>● On Target</p> <p>PIs ? Data Only Indicator</p> <p>? Data is not yet available</p>	<p>Key</p> <p>▲ Off Target</p> <p>● On Target/Complete</p> <p>Actions ? Data is not yet available</p>	<p>Key</p> <p>● Off Target</p> <p>● On Target</p> <p>PIs ? Data Only Indicator</p> <p>? Data is not yet available</p>	<p>Key</p> <p>▲ High Risk / Medium Risk</p> <p>Risks ? Data is not yet available</p>

Finance and Integrated Service Support PI summary 2019/20

01.1 Making the Best Use of our Resources

Priorities	Indicator	2018/19	Q2 2018/19	Q1 2019/20	Q2 2019/20				Annual Target 2019/20	Feeder Data	Value
		Value	Value	Value	Value	Status	Note	Short Trend			
01. Manage budget effectively	Performance against revenue budget	£10.407m	£10.876m	£10.710m	£10.770m		Q2 19/20 Off Target The projected overspend shows £64,000 (0.6%) which will be addressed through financial monitoring and reporting.		£10.678m		
02. Manage stress and absence	Average number of working days lost due to sickness absence (cumulative)	6.24	2.33	2.51	4.81		Q2 19/20: On Target Of the 491.74 days lost during quarter two, 350.56 was a consequence of long term absences. 27 days lost due to Short term absence and 114.18 days lost were self-certified.		6.24	Number of days lost	1,065.88
							Appropriate actions continue to be applied to effectively manage attendance in line with the policy. Work will continue in quarter 3 to further analyse the absence data to identify if any additional interventions are required.			Number of FTE in service	221.39

01.2 Corporate Health

Priorities	Indicator	2018/19	Q2 2018/19	Q1 2019/20	Q2 2019/20				Annual Target 2019/20	Feeder Data	Value
		Value	Value	Value	Value	Status	Note	Short Trend			
03. Complete all service priorities	% of service priority actions on target / completed, of the total number	83%	96%	96%	96%		Q2 19/20: On Target		90%	Number of divisional & corporate priority actions	27
										Number of divisional & corporate priority actions on tgt/completed	26
	% of invoices paid within 30 days of	91%	93%	93%	93%		Q2 19/20: Off Target		95%	Number received (cumulative)	1,689

04. Process invoices efficiently	invoice receipt (cumulative)							A detailed presentation on some of the underlying issues was provided to Resources DMT during Q2, reflecting where the areas of poorer performance and higher volumes are. For Finance and ISS, 110 invoices out of 1,689 were paid after 30 days, managers will be encouraged to give authorisation of invoices a higher profile which should lead to significant improvements and bring this indicator back on target.			Number paid within 30 days (cumulative)	1,579
05. Improve PI performance	% of Service PIs that are on target/ have reached their target. (does not include Corporate PIs)	0%	0%	0%	0%		Q2 19/20: On Target No service specific performance indicators.		90%	Number on tgt/complete	0	
										Total number of PI's	0	
06. Control risk	% of high risks that have been reviewed in the last quarter	100%	100%	100%	100%		Q2 19/20: On Target All high and medium risks reviewed this quarter and controls in place.		100%	Number of high risks reviewed in the last quarter	5	
										Number of high risks	5	

01.3 Improving for the Future

Priorities	Indicator	2018/19	Q2 2018/19	Q1 2019/20	Q2 2019/20			Annual Target 2019/20	Feeder Data	Value	
		Value	Value	Value	Value	Status	Note				Short Trend
07. Implement improvement plans	% of internal/external audit actions progressing on target.	60.71 %	82.69 %	95.65 %	90.63 %		Q2 19/20: On Target		90%	Number of internal/external audit actions on target or complete	29
										Number of internal/external audit actions in progress	32

Finance and Integrated Service Support Complaints Indicator Summary

01.4 Commitment to valuing complaints

Indicator	2018/19	Q2 2018/19	Q1 2019/20	Q2 2019/20			Annual Target 2019/20
	Value	Value	Value	Value	Status	Note	
Number of complaints received (quarterly)	17	10	4	7		Q2 19/20: Data only	
Number of complaints closed in the year	17	10	4	7		Q2 19/20: Data only	
Number of complaints upheld (quarterly)	8	7	3	1		Q2 19/20: Data only	
Number of complaints partially upheld (quarterly)	4	0	0	1		Q2 19/20: Data only	
Number of complaints not upheld (quarterly)	4	3	1	4		Q2 19/20: Data only	
Average time in working days to respond to complaints at stage 1	5.63	3.11	2	7.67		Q2 19/20: Off Target 4 complaints this quarter were complex in nature which resulted in further work in order to respond. (These figures include two complaints allocated to Executive officer support). Staff will be reminded during quarter 3 that stage 1 complaints should be extended to 20 days where further investigations are required.	5
Average time in working days to respond to complaints at stage 2	11	11	0	0		Q2 19/20: On Target	20
Average time in working days for a full response for escalated complaints	0	0	21	36		Q2 19/20: Off Target 1 complaint escalated for Executive Office Support which required further investigation.	20
Percentage of complaints at stage 1 complete within 5 working days	68.75%	88.89%	100%	50%		Q2 19/20: Off Target 4 complaints this quarter were complex in nature which resulted in further work in order to respond. (These figures include two complaints allocated to Executive officer support). Staff will be reminded during quarter 3 that stage 1 complaints should be extended to 20 days where further investigations are required.	100%
Percentage of complaints at stage 2 complete within 20 working days	100%	100%	100%	100%		Q2 19/20: On Target	100%
Percentage of complaints escalated and complete within 20 working days	0%	0%	0%	0%		Q2 19/20: Off Target 1 complaint escalated for Executive Office Support which required further investigation.	100%
Number of complaints where an extension to the 5 or 20 day target has been authorised (quarterly)	0	0	0	0		Q2 19/20: Data only	

Finance and Integrated Service Support Action report 2019/20




01. Prevention



Code	Action	Due Date	Icon	Progress	Comment & Planned Improvement Action
FISS.P.1.1	Ensure Council determine its resource allocation to support the Midlothian Integrated Joint Board (IJB) and that IJB considers it to be fair and adequate.	31-Mar-2020		50%	Q2 19/20: On Target Financial monitoring reports regularly presented to the Integrated Joint Board (IJB) with ongoing discussion on their content and how they link across to the Council's financial position.

02. The local economy is more productive and inclusive



Code	Action	Due Date	Icon	Progress	Comment & Planned Improvement Action
FISS.P.2.1	Deliver in-house support to Economic Development through planning agreements and property transactions	31-Mar-2020		50%	Q2 19/20: On Target The in-house team is in place and has been able to deliver completed planning agreements with developers. This has in addition generated third party income to reflect the costs to the council. However due to long term absences and difficulty recruiting to a vacant post there may be challenge going forward to sustain the level of work carried out by this team and options to mitigate this are being delivered.
FISS.P.2.2	Continue to work with Local service providers to help them secure public sector contracts.	31-Mar-2020		50%	Q2 19/20: On Target Work with local businesses continues on a daily basis, pre-market engagement events held for all appropriate regulated procurements. Continued work with the Economic Development team, the supplier development programme and the Federation of Small Businesses to enhance local businesses capabilities to bid for and win public contracts.
FISS.P.2.3	Deliver actions from new Procurement Strategy (2018-2023)	31-Mar-2020		50%	Q2 19/20: On Target

Code	Action	Due Date	Icon	Progress	Comment & Planned Improvement Action
					Work ongoing, the procurement team committed to providing a service aligned with the objectives set out in the procurement strategy.
FISS.P.2.4	Support delivery of the Edinburgh and South East Scotland (E&SER) City Deal and Borders Rail Blueprint. Maintain oversight of the investment requirements and advise relevant project boards	31-Mar-2020		50%	Q2 19/20: On Target Finance team support continues including advising Internal Board, coordinating financial reports/submissions to E&SER City Deal Project Management Officer (PMO), grant offers and claims and attendance at Quarterly Finance Directors meetings.

03. Midlothian residents are successful learners and young people go on to positive destinations when they leave learning


Code	Action	Due Date	Icon	Progress	Comment & Planned Improvement Action
FISS.P.3.1	Support Workforce planning principle by reviewing and refreshing recruitment policy to allow service specific recruitment initiatives	31-Mar-2020		55%	Q2 19/20: On Target Service consultation concluded, work commenced on first draft of the report.
FISS.P.3.2	Focus on a root and branch review of the Council's Performance Management Framework to support the organisation to ensure it is used to drive improved services for our communities	31-Mar-2020		50%	Q2 19/20: On Target Work ongoing and research currently being undertaken.

04. Inequalities in learning outcomes have reduced




Code	Action	Due Date	Icon	Progress	Comment & Planned Improvement Action
FISS.P.4.1	Implementation of Digital Services Asset Management and Investment plans - Corporate / Schools	31-Mar-2020		70%	Q2 19/20: On Target Asset Management programme continues across the Council ensuring technologies and assets being deployed are fit for purpose (Pc, windows 10 and Server replacement). The programme is still behind schedule but plans are now in place to recover this to avoid the risk of not achieving PSN compliance next year (April 2020). Approx 70% of Assets (Desktops and Laptops) have now been replaced or upgraded to Windows 10.
FISS.P.4.2	Implementation of the Digital Strategy	31-Mar-2020		50%	Q2 19/20: On Target Work continues in delivering the Digital Strategy and agreed programmes of work approved by the Digital strategy group.



Code	Action	Due Date	Icon	Progress	Comment & Planned Improvement Action
					The Digital Maturity assessment survey findings are currently being finalised the report will be presented by the Digital office to the Corporate Management team. The output from the Digital maturity assessment will also influence and reshape the Digital strategy. Digital Services continues to participate in LG Digital office work streams and provides updates through the Digital strategy group.







05. Ensure equality of opportunity as an employer







Code	Action	Due Date	Icon	Progress	Comment & Planned Improvement Action
FISS.P.5.1	Deliver and embed the workforce strategy action plan to ensure that our workforce is positive, motivated, high achieving, well led and well managed	31-Mar-2020		50%	Q2 19/20: On Target Now the Medium Term Financial Strategy (MTFS) has been to council and savings measures have been identified (although further measures still to be determined to address outstanding budget gap), work is underway in ensuring the service workforce plans support delivery. This will be able to progress at pace once the new Senior Leadership Review is implemented.

06. Ensure sustainable strategy for the delivery of Council Services

Code	Action	Due Date	Icon	Progress	Comment & Planned Improvement Action
FISS.P.6.01	Support the delivery of the Finance and Integrated Service Support budget savings by: Documenting, costing and monitoring service actions; Managing the VSER process; Completing an Employment & Reward Service Review	31-Mar-2020		35%	Q2 19/20: On Target Q1 Business Transformation Board (BTB) template finalised, regular update meetings held with managers to check progress for Q2. Supported Senior Management Review.
FISS.P.6.02	Complete the actions required to facilitate the changes to the Business Travel and Subsistence Policy	31-Mar-2020		100%	Q2 19/20: Complete All retention users agreed contractual change. Resolution from regular users outstanding. Options processed contractual change confirmation letters will be sent October.
FISS.P.6.03	Awareness, preparation, and implementation of Scottish Government Public Sector Cyber Resilience Action Plan	31-Mar-2020		35%	Q2 19/20: On Target Current activities to improve Council cyber security position and resiliency can be summarised below :-

Code	Action	Due Date	Icon	Progress	Comment & Planned Improvement Action
					<p>1.The Corporate management team have approved (16/10/2019) the new position of Cyber Security Analyst and the advert will be place on MyJobScotland in the next few days.</p> <p>2. Undertaking annual PSN security testing of externally facing websites and the Councils internal network – Now complete and achieved PSN compliance April 2019.</p> <p>3. In support of all the additional business requirements recruiting cyber engineer.</p> <p>4. Preparing for Cyber Essentials security testing of the corporate and schools network.</p> <p>5. Implementation of the Scottish Governments Cyber Resiliency Action Plan.</p> <p>6. At the request of the Society of Local Authority Chief Executives (SOLACE) engaging with the Digital Office to deliver the 6 projects below:-</p> <ul style="list-style-type: none"> . Create a cyber-capability maturity model. . Develop a common staff cyber security training resource. . Conduct business continuity and cyber security incident response exercises. . Deploy a supply chain cyber risk assessment tool during procurement. . Produce cyber security audit tools to assist Internal Audit and Audit Scotland. . Commence discovery phase to integrate with public sector Security Operations Centre (SOC)
FISS.P.6.04	Compliance – Microsoft end of support on Windows 7(Jan 2020), W2K8 Server (Jan 2020) and SQL 2008 (Sept 2019)	31-Mar-2020		50%	<p>Q2 19/20: On Target Asset Management programme continues across the Council ensuring technologies and assets are being deployed are fit for purpose (Pc, windows 10 and Server replacement). The Server replacement programme is still behind schedule and does have a direct impact on a number of Business critical systems but plans in place to move this forward to avoid the risk of not achieving PSN compliance next year (April 2020).</p>
FISS.P.6.05	Implementation and upgrade of Core Digital Foundation infrastructure – Firewalls, Ms Exchange, Ms Office 365 and Schools Wi-Fi	31-Mar-2020		50%	<p>Q2 19/20: On Target The Corporate Firewall upgrade project for both Corporate and Education is now complete Planning work has started on the migration to MS Exchange and the implementation will commence with a small group of test users. Once testing complete MsExchange will be deployed in a prioritised and incremental manner across services.</p>

Code	Action	Due Date	Icon	Progress	Comment & Planned Improvement Action
					Planning work has also started on the Office 365 deployment but Ms Exchange needs to be complete before full advantages of Microsoft Office 365 can be achieved.
FISS.P.6.06	Implementation and upgrade of Critical Business Applications	31-Mar-2020		50%	Q2 19/20: On Target The upgrade of Critical Business applications is an ongoing exercise and is prioritised with the Services along with Digital Services and Business Applications teams to ensure continuity of service.
FISS.P.6.07	Achieve the actions set out in the Purchase to Pay project plan, with the majority of sites, including schools and the roll out of Invoice Approval	31-Mar-2020		90%	Q2 19/20: On Target Invoice Approval implementations complete for all schools with exception of 2 Primary Schools, implementations underway for Adult Social Care (non-care), Occupational Therapy, Planning, Building Standards, Economic Development and pilot supplier for Property Maintenance. E-Invoicing live for pilot suppliers (Lyreco, YPO, Findel) with further roll out in Q3. Lodged Purchasing Card pilot live for one supplier for catering at Newbattle HS. E-Forms for Supplier Changes and Purchasing Card applications.
FISS.P.6.08	Achieve the actions set out in the Total Document Management project plan	31-Mar-2020		50%	Q2 19/20: On Target System Upgrade: Upgrade complete. CS16 Live from 2nd of September 2019. Resources: Systems administration support is currently reduced due to vacancy. As a result business as usual support prioritised over any new development workstreams.
FISS.P.6.09	Achieve the objectives for each of the three transactional areas, listed below, set out in the Finance & ISS Transactions Project Plan - Sales to Cash; Payroll Operations; Financial Transactions	31-Mar-2020		33%	Q2 19/20: On Target Sales to Cash - E-reminder letters implemented. Collection of customer email addresses provided 25% response rate. Analysis of ad-hoc product code completed and further service specific product codes created as a result. Testing for Sales Ledger requisitioning underway. Payroll Transactions - ESlips 91% uptake, implementation complete. Testing for ITrent upgrade to Electric theme completed. Finance Transactions - EForm for new cost centres/expense heads now live. Testing completed on e-form for reprographics internal charges. Control of Posts - Anecdotal evidence of failure demand gathered to support "as is" process mapping. Workshops planned for Q3 to draft new processes and controls.
FISS.P.6.10	Achieve actions set out in the Business Services Improvement plan	31-Mar-2020		50%	Q2 19/20: On Target Workstreams progressing in line with plan.
FISS.P.6.11	Manage claims received by Legal Services in respect the Limitation (Childhood Abuse) (Scotland) Act 2017 through the agreed process in order to minimise the Council's exposure to damages	31-Mar-2020		50%	Q2 19/20: On Target Claims received have been processed in terms of the process and passed to claims handlers.







Code	Action	Due Date	Icon	Progress	Comment & Planned Improvement Action
FISS.P.6.12	Achieve contract delivery targets set out in the Contract Delivery Plan	31-Mar-2020		25%	Q2 19/20: Off Target Following the high turnover of staff recently within Procurement the new team is working through the backlog of contracts. The contracts delivery plan will be reviewed to reflect this work.
FISS.P.6.13	Focus on continuing to enhance the comprehensive suite of People Policies and supporting managers to work within the policy framework to drive change in the workforce.	31-Mar-2020		50%	Q2 19/20: On Target Work continues on the Wellness@Midlothian agenda including the implementation of a Menopause policy and an update of the Maximising Attendance at Work policy. Training on resilience continues to be rolled out.
FISS.P.6.14	Support the delivery of a medium term financial strategy for general fund services by summer 2019 which will support Council setting the 2020/21 Council Tax and a balanced budget.	31-Mar-2020		50%	Q2 19/20: On Target The Medium Term Financial Strategy was presented to Council on Tuesday 25th June with an update on Tuesday 1st October. Detail will continue to evolve and will be regularly reported to members in accordance with the budget timetable. Council agreed that BTSG would report back on measures to address the remaining £8 million budget gap.
FISS.P.6.15	Completion of the unaudited Statutory Accounts for 2018/19 to ensure that we maintain strong financial management and stewardship and address the actions set out in previous external audit reports.	31-Mar-2020		100%	Q2 19/20: Complete Unaudited accounts were presented to Audit Committee on Monday 24th June 2019.
FISS.P.6.16	Completion of the statutory financial audit and achieve an unqualified audit opinion for the Accounts for 2018/19.	31-Mar-2020		100%	Q2 19/20: Complete.
FISS.P.6.17	Deliver quarterly financial reports and commentary to Council	31-Mar-2020		50%	Q2 19/20: On Target Financial Monitoring timetable is in place with performance against budget being reported in August and November 2019, February 2020 with the final position in June 2020.

Finance and Integrated Service Support PI Report 2019/20



07. Local Government Benchmarking Framework

PI Code	PI	2018/19	Q2 2018/19	Q1 2019/20	Q2 2019/20				Annual Target 2019/20	Benchmark
		Value	Value	Value	Value	Status	Short Trend	Note		
CORP6	Corporate Indicator - Sickness Absence Days per Employee (All employees)	8.55	3.56	2.52	4.49			<p>Q2 19/20: Off Target</p> <p>The 'Wellness@Midlothian' project continues to make progress, work on targeted intervention is now underway. The top five areas within the council for sickness absence have been identified and the Human Resources Business Partners will be working with relevant Service Managers to further analyse the findings with a view to determining suitable interventions. Work is also underway to create a training programme to roll out face to face training within areas with high absence levels. Specific workplace resilience training and mentally healthy workplace training will continue to be rolled out throughout the organisation. It is also planned to re-launch the functionality of MiTeam to remind Managers of its use in the Maximising Attendance at Work process.</p>	7.5	


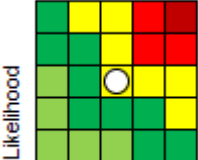


PI Code	PI	2018/19	Q2 2018/19	Q1 2019/20	Q2 2019/20			Annual Target 2019/20	Benchmark	
		Value	Value	Value	Value	Status	Short Trend			Note
									All services should review absence data to identify if any additional interventions are required.	
CORP3c	Corporate Indicator - The gender pay gap between average hourly rate of pay for male and female - all council employees	3.94%	3.16%	3.26%	3.08%				<p>Q2 19/20: Data only</p> <p>The gender pay gap indicator is a measurement of average female pay versus average male pay within the organisation and the figures show that the Council has more male staff at higher rates of pay by 3.08%.</p>	18/19 Rank 18 (Third Quartile) 17/18 Rank 14 (Second Quartile). 16/17 Rank 14 (Second Quartile). 15/16 Rank 18 (Third Quartile)
CORP6a	Corporate Indicator - Teachers Sickness Absence Days (LGBF)	5.15 days	1.48 days	1.71 days	0.78 days				<p>Q2 19/20: Data only</p> <p>Discussions with our trade union colleagues is underway where areas with a high prevalence of stress related absence have been identified. A specific training session will be held with Head and Depute Head Teachers. It is anticipated that in conjunction with the Wellness@Midlothian project plan there will be further positive change in the levels of sickness absence in the future.</p>	18/19 Rank 5 (TOP Quartile) 17/18 Rank 4 (TOP Quartile). 16/17 Rank 3 (Top Quartile). 15/16 Rank 1 (TOP Quartile). 14/15 Rank 6 (Top Quartile).
CORP6b	Corporate Indicator - Local Government Employees (except teachers) sickness absence days (LGBF)	9.86 days	4.35 days	2.83 days	2.66 days				<p>Q2 19/20: Data only</p> <p>The 'Wellness@Midlothian' project continues to make progress, work on targeted intervention is now underway. It is anticipated that in conjunction with the 'Wellness@Midlothian' project plan there will be further positive change in the levels of sickness absence in the future.</p> <p>Specific workplace resilience training and mentally healthy workplace training will continue to be rolled out</p>	18/19 Rank 4 (TOP Quartile) 17/18 Rank 2 (TOP Quartile). 16/17 Rank 7 (Top Quartile). 15/16 Rank 10 (Second Quartile). 14/15 Rank 11 (Second Quartile).


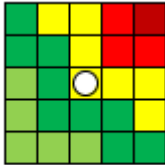
PI Code	PI	2018/19	Q2 2018/19	Q1 2019/20	Q2 2019/20				Annual Target 2019/20	Benchmark
		Value	Value	Value	Value	Status	Short Trend	Note		
								<p>throughout the organisation. It is also planned to re-launch the functionality of MiTeam to remind Managers of its use in the Maximising Attendance at Work process.</p> <p>A pilot of the Maximising Attendance Workflow will commence shortly within Roads Services. In conjunction with other local authorities and the University of Edinburgh, Human Resources are piloting an 'Absenteeism in Waste Services' project to enable access to expertise to better understand trends and factors influencing absence across local authorities.</p>		


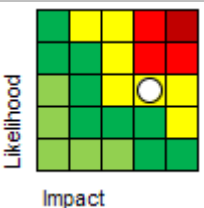
Finance and Integrated Service Support Service Risks




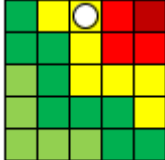
Code & Title	Risk Identification	Risk Control Measure	Risk Evaluation	Related Action	Related action latest note	Current Risk Matrix	Risk Score
FISS.RR.01 DS – School Security risks	<p>Risk Cause: unauthorised access or loss of information in schools</p> <p>Risk Event: Main risks are (1) data integrity failure in MIS applications (2) internet filter failure (3) network security within the schools' network (4) network security from outwith the schools network (5) viruses or similar attack (6) inadequate application security and (7) lack of segregated security levels for system administrators.</p> <p>Risk Effect: Unintended changes to data, including malicious intent, hardware failure, viruses or similar attacks.</p>	<p>Data integrity MIS applications 01 - data integrity policy 02 - data audit procedures</p> <p>Internet Filter Failure 01 - external solution on best solution 02 - daily filter testing, 24x7 monitoring 03 - default setting on failure to no traffic 04 - support contract in place</p> <p>Network Security within 01 - security audit 02 - staff training 03 - advice from consultants</p> <p>Network security outwith 01 - security audit 02 - staff training 03 - advice from consultants</p> <p>Viruses 01 - counter measures in place 02 - support contract in place with supplier 03 - system monitoring 04 - security audit</p> <p>Application Security</p>					9


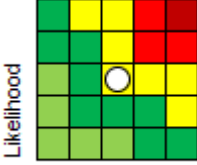

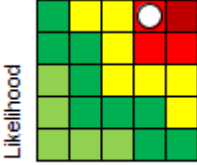
Code & Title	Risk Identification	Risk Control Measure	Risk Evaluation	Related Action	Related action latest note	Current Risk Matrix	Risk Score
		01 - security procedures implemented at school level 02 - investigate whether application can be monitored remotely then apply any appropriate Security procedures 03 - risk to be assessed further during SEEMIS implementation Segregated Security Levels 01 -					
FISS.RR.01-14 GENERIC - Information Management and GDPR compliance	Risk Cause: Ineffective GDPR procedures or failure to follow GDPR procedures Risk Event: Loss of data, Data breaches Risk Effect: Reports to ICO resulting in potential fine	01 - GDPR given corporate focus and priority 02 - Divisional Information Management Group 03 - GDPR Policy 04 - Information Security Strategy 05 - GDPR mandatory training and awareness				 Likelihood Impact	9
FISS.RR.01-16 DS - Staffing levels and impact on service	Risk Cause: Difficulty recruiting competent staff in a timely manner, and retaining existing staff. Risk Event: Market conditions and other external factors can favour Contract based staff. Risk Effect: Challenges making permanent appointments within the service and retaining staff.	Recruitment 01 - Acting up possibilities 02 - Work programmes detailed and shared 03 - Procedures for reallocating staff 04 - Prioritise workload in times of staff shortages Retention 01 - Exit interview data review Absence 01 - Annual leave and flexileave authorised by line manager				 Likelihood Impact	16


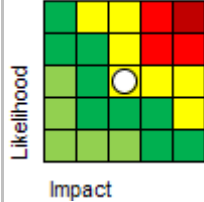

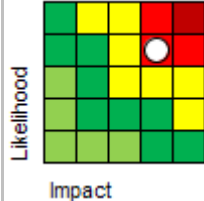
Code & Title	Risk Identification	Risk Control Measure	Risk Evaluation	Related Action	Related action latest note	Current Risk Matrix	Risk Score
		02 - Absence management policy and procedure notified to all staff 03 - Procedure for authorising overtime re back fill Training 01 - PDP/CPD 02 - Training budget 03 - Development of internal training programme					
FISS.RR.01-17 DS - Professional practice risks	<p>The main risks are (1) failing to carry out day to day tasks and (2) failing to meet data extraction and exchange timetables as a result of potential staffing, technical and other factors.</p> <p>Risk Cause: The demand for Digital Professional services outstrips available resources.</p> <p>Risk Event: Direct impact on operational Business as usual activities and project delivery timelines along with the correct blend of professional services available to deliver the projects</p> <p>Risk Effect: Failing to carry out day to day tasks and failing to meet data extraction and exchange timetables.</p>	<p>Day to day tasks</p> 01 - Provide breakdown of daily duties 02 - Monitor feedback - Schools 03 - Monitoring procedures in place 04 - Staff training <p>Data extraction and exchange</p> 01 - Programme agreed with SEED 02 - Staffing in place to meet timetable 03 - Alternative staffing in place					9


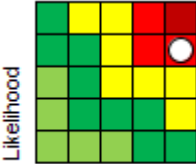
Code & Title	Risk Identification	Risk Control Measure	Risk Evaluation	Related Action	Related action latest note	Current Risk Matrix	Risk Score
FISS.RR.01-20 DS - Recovery of Service after Major Incident	<p>Risk Cause: outbreak of fire in comms room, 3rd party failure from supplier. power failure in major/minor sites, infrastructure failure (WAN), incompatibility between corporate and schools ICT systems</p> <p>Risk Event: The main risks are (1) data back up and recovery (2) application failure affecting school and central operations (3) outbreak of fire in comms room (4) cabling difficulties in schools (5) loss of major hub sites (6) failure to support online services (7) smartcard application failure affecting school operations (8) infrastructure failure (INTERCONNECT) (9) loss of minor hub sites (10) power failure in major/minor sites (11) infrastructure failure (WAN) (12) email failure (13) infrastructure failure (LAN) (14) major component failure (15) other major service failure (16) failed environmental controls (17) incompatibility between corporate and schools ICT systems and (18) hostile environment in comms room.</p>	<p>Data back up/recovery 01 - procedure 02 - information shared with staff back up security 03 - Generic IT Business Continuity Plan</p> <p>Application failure 01 - local support in place 02 - external support contract in place 03 - liaison with other education authorities</p> <p>Fire in Comms Room 01 - fire safety policy//guidance from H&S 02 - fire risk assessment 03 - fire detection equipment 04 - environmental monitoring equipment in place</p> <p>Cabling difficulties in schools 01 - TSO route planning with contractor 02 - Asbestos register alert on all appropriate orders 03 - partner working with Commercial</p> <p>Loss of Major Hub Sites 01 - Greenhall, Dalkeith Campus BC plans 02 - WAN disaster recovery plan 03 - Resilience reviews</p> <p>Online Services 01 - Quality of on-line services monitored by EO</p> <p>Smartcard</p>					12

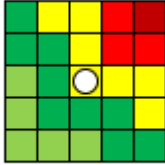
Code & Title	Risk Identification	Risk Control Measure	Risk Evaluation	Related Action	Related action latest note	Current Risk Matrix	Risk Score
	<p>Risk Effect: application failure affecting school and central operations</p>	<p>01 - System monitored by Education and Commercial Services 02 - Support contract in place InterConnect 01 - National SSDN contract in place 02 - 24x7 monitoring 03 - resilience Minor Hub sites 01 - WAN disaster recovery 02 - resilience Power failure - major/minor sites 01 - power supply recovery plan 02 - UPS on critical services WAN 01 - contracts with suppliers 02 - 24 x 7 monitoring 03 - resilience E-mail 01 - daily system testing, 24x7 monitoring 02 - external support contract 03 - external consultancy on best solution LAN 01 - 10x5 monitoring 02 - swap out procedure 03 - resilience Major Components 01 - support contracts 02 - staff training 03 - resilience Other Major Service Failure</p>					


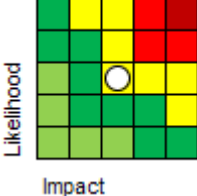

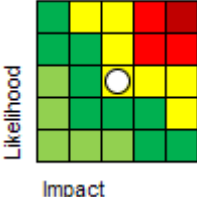

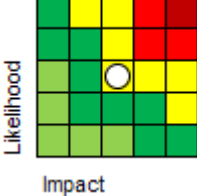
Code & Title	Risk Identification	Risk Control Measure	Risk Evaluation	Related Action	Related action latest note	Current Risk Matrix	Risk Score
		01 - daily system test, 24x7 monitoring 02 - external support contract 03 - external consultancy on best solution Environmental Controls 01 - Financial directive 02 - IT intranet guidance 03 - knowledge of procedures, staff and training Corporate and Education ICT 01 - regular contact 02 - standards compliance 03 - Head of It/EO monitoring Hostile environment in Comms Room 01 - environ monitoring equipment 02 - Duty Officer					
FISS.RR.01-23 Secretariat Risks	<p>Risk Cause: Secretariat functions not carried out accurately and timeously</p> <p>Risk Event: The Secretariat function is required to adhere strictly to legislation and timetables and is also responsible for collecting fees associated with civic government licensing. There are therefore risks in ensuring this is administered accurately and timeously.</p>	<p><u>The main internal controls to mitigate the identified risks are:-</u></p> 01 - well trained and well established staff, low turnover of Clerks in recent past 02 - clear and well established procedures for staff to follow 03 - assistance can be provided from business admin section to provide support cover				 <p style="text-align: center;">Impact</p>	15


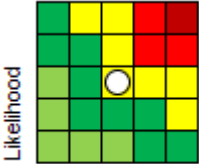

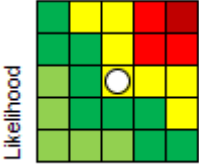
Code & Title	Risk Identification	Risk Control Measure	Risk Evaluation	Related Action	Related action latest note	Current Risk Matrix	Risk Score
	Risk Effect: Legislation not met	04 - well established Elections procedures in accordance with statute					
FISS.RR.01-24 Licensing risks (liquor and civic government)	<p>Risk Cause: Human error, staffing shortage.</p> <p>Risk Event: Not getting applications to consultees and decision making body</p> <p>Risk Effect: Failure to process licence applications and controls</p>	<p><u>The main headline controls are:</u></p> <p>01 - well established and well trained staff</p> <p>02 - Idox management system operating features</p>				 <p>Likelihood</p> <p>Impact</p>	9
FISS.RR.01-25 DS - Limited staffing resources to meet the IT demands of the Council/inadequate forum for deciding which computer projects are a priority	<p>Risk Cause: Demands for projects are often not properly prioritised, there is no effective forum to decide which projects are to be prioritised. Digital Services may not be involved in projects</p> <p>Risk Event: There are two issues (a) constrained in expanding/sustaining staffing resource and (b) demands for projects are often not properly prioritised and there is no effective forum to decide which computer projects are to be prioritised. Additionally Digital services may not be involved in computer projects. There are day to day demands on Digital services as demand for computing increases.</p>	<p><u>The main headline controls are that:-</u></p> <p>01 - Generally Projects only commence when IT resource is available which may mean important computer projects are delayed</p> <p>02- Occasionally an external project resource is commissioned eg Social Work MIS</p> <p>03 - Balancing resources against competing demands</p> <p>04 - Use of Agency staff where required, but this is currently subject to an embargo</p> <p>05 - New Projects approved \ initiated via Digital Strategy Group \ CMT</p>				 <p>Likelihood</p> <p>Impact</p>	20


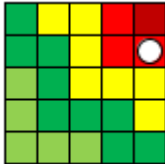
Code & Title	Risk Identification	Risk Control Measure	Risk Evaluation	Related Action	Related action latest note	Current Risk Matrix	Risk Score
	Risk Effect: Digital Services may not be involved in computer projects. Lack of expertise on such projects.						
FISS.RR.01-26 DS - Information Security and closing any immediate gaps; isolated incident that becomes high profile.	<p>Risk Cause: unprotected sensitive information</p> <p>Risk Event: This is the risk of not protecting sensitive information due to inter agency working, data sharing, remote and mobile accesses. The risk is reducing as various initiatives are underway, or have been completed, but the impact of any non compliance is likely to be high.</p> <p>Risk Effect: Non Compliance</p>	<p><u>Internal controls include:-</u></p> <p>01 - Access Controls 02 - Policies and procedures 03 - Software management 04 - Compliance with industry standards (ISO) 05 - Security and risk management reporting (inc separate risk register) 06 - Information management group & IMG Action Plan 07 - Risk Management group 08 - New Projects approved \ initiated via Digital Strategy Group \ CMT</p>					9
FISS.RR.01-27 DS - Compliance - Regulatory, Contractual and Legal	<p>This is the risk of censure and includes DPA, FOI, RIPSAs, Computer Misuse, Health and Safety, GSX, NHS, Police q</p> <p>Risk Cause: the Council has a requirement to ensure compliance with various legislative and regulatory controls</p> <p>Risk Event: The failure of any of these Compliance, regulatory and Policy controls would have</p>	<p><u>The main internal controls are:-</u></p> <p>01 - Identify areas of poor practice 02 - Educate users with their Information Security responsibilities 03 - Undertake risk assessment of compliance responsibilities for GSX, ViSOR, PLDN and SCRO 04 - Policies and Guidelines exist to maintain compliance 05 - New Projects approved \ initiated via Digital Strategy Group \ CMT</p>					16


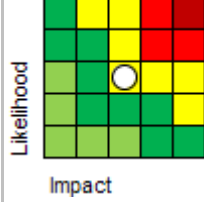

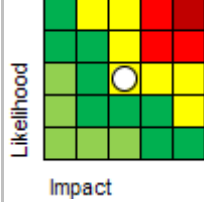
Code & Title	Risk Identification	Risk Control Measure	Risk Evaluation	Related Action	Related action latest note	Current Risk Matrix	Risk Score
	<p>significant implications for the organisation</p> <p>Risk Effect: The reputational damage to the Council , the confidence of the Citizen's of Midlothian and the potential impact on other business partners which could lead to have further Financial implications for the organisation.</p>						
FISS.RR.01-28 DS - Computer Business Continuity Management	<p>Computers play a major role in continuity of business and any major disruption would be crucial and jeopardise the Council's approach to the Civil Contingencies Act</p> <p>Risk Cause: Major failure or vulnerability found in any of the Councils Digital Infrastructure could create significant disruption and impact the Business</p> <p>Risk Event: The main risks are (1) data back up and recovery (2) application failure affecting school and central operations (3) outbreak of fire in comms room (4) cabling difficulties in schools (5) loss of major hub sites (6) failure to support online services (7) smartcard application failure affecting</p>	<p><u>The main internal controls are:-</u> 01 - List of critical business systems contained with a generic IT BC Plan 02 - Routine of reporting IT BC into CMT and BCG 03 - Ongoing programme of resilience 04 - Corporate BC plan 05 - Back ups of data and systems on an incremental and full basis. 06 - Specific risk assessment adopted by the Audit Committee</p>				 <p>Likelihood</p> <p>Impact</p>	20

Code & Title	Risk Identification	Risk Control Measure	Risk Evaluation	Related Action	Related action latest note	Current Risk Matrix	Risk Score
	<p>school operations (8) infrastructure failure (INTERCONNECT) (9) loss of minor hub sites (10) power failure in major/minor sites (11) infrastructure failure (WAN) (12) email failure (13) infrastructure failure (LAN) (14) major component failure (15) other major service failure (16) failed environmental controls (17) incompatibility between corporate and schools ICT systems and (18) hostile environment in comms room.</p> <p>Risk Effect: as above</p>						
FISS.RR.01-29 Communications and Marketing – Divisions not acting corporately in communications matters	The main risk that divisions do not act corporately in handling communication matters and follow procedures that set out a corporate approach	<p><u>The main internal controls to mitigate the identified risks are:-</u></p> <p>01 - named Communications & Marketing contact(s) for each Division</p> <p>02 - revised Communications Standards launched</p> <p>03 - informal monitoring and highlighting issues to Divisions</p> <p>04 - launch of Communications & Marketing Strategy</p>	⚠				9

Code & Title	Risk Identification	Risk Control Measure	Risk Evaluation	Related Action	Related action latest note	Current Risk Matrix	Risk Score
FISS.RR.01-31 Communications and Marketing – Maintaining good relations with media	<p>Risk Cause: Poor relationship with all strands of the media</p> <p>Risk Effect: If communications do not have a good relationship with all strands of the media it is possible that we risk reputational damage and financial damage as a consequence.</p>	<p>The main internal controls to mitigate the identified risks are:-</p> <p>01 - continue to maintain good liaison with third party/media contacts, understanding each other's requirements</p> <p>02 - endeavour to adhere to deadlines requested, where reasonable/possible, with co-operation from Divisions where necessary</p>					9
FISS.RR.02-02 INFOSEC – Access Control – Accessing sensitive IT systems from mobile devices	<p>Council Smartphones and Laptops connecting remotely to IT systems may lead to the unauthorised access or loss of sensitive data</p>	<p>01 - Smartphone technology secured to CESG standards</p> <p>02 - Mobile access security policies and user acceptance forms signed.</p> <p>03 - Laptops utilise Direct Access.</p>					9
FISS.RR.02-03 INFOSEC – Communications and Operations Management – Malicious software, Phishing and Spam	<p>Viruses and malicious software can infect the Councils network from a number of sources such as email, portable media, internet, third party networks, and unauthorised hosts, potentially reeking havoc on Council IT systems.</p>	<p>01 - All users using IE11</p> <p>02 - ISA Server blocks certain malicious code</p> <p>03 - Websense mail filter blocks certain malicious code</p> <p>04 - Microsoft PC patches are applied to via SCCM each month</p> <p>05 - Microsoft server patches should be manually applied each month</p> <p>06 - Desktop Microsoft Office 2007 is patched each month via System Centre</p> <p>07 - Acrobat routinely updated and pushed to PC's via System Centre</p>					9

Code & Title	Risk Identification	Risk Control Measure	Risk Evaluation	Related Action	Related action latest note	Current Risk Matrix	Risk Score
		08 - Websense, Mailmarsh and Trend Micro on exchange filters emails externally routing email 09 - Sophos anti virus is installed on all servers and PC's 10 - Users warned of the dangers of phishing emails and social engineering attacks via intranet and email warnings					
FISS.RR.02-04 INFOSEC – Physical and Environmental Security – Unauthorised building access	Concerns with ease of unauthorised site access e.g. tailgating .Visitor management poor.	01 - Council building security policy. 02 - New door entry system 03 - New visitor management system 04 - Security posters 05 - Information Security Lead meets every 6 months with Head of property and facilities to discuss property concerns 06 - Private I Security Campaign				 Likelihood Impact	9
FISS.RR.02-06 INFOSEC – Compliance – Electronic Data Loss	Council expectations of accessing information anytime, anyplace, anywhere significantly increases the chances of its loss. As does the sharing of information with third parties, third party network connections and the failure to follow secure procedures or seek advice.	Third Parties 01 - NDA - Non disclosure agreement outlines 3rd party responsibilities when handling Council data. 02 - Data sharing agreements 03 - Codes of connection Email 04 - Limit outbound email size to 30MB				 Likelihood Impact	9

Code & Title	Risk Identification	Risk Control Measure	Risk Evaluation	Related Action	Related action latest note	Current Risk Matrix	Risk Score
		05 - IT acceptable use policy provides information on the inappropriate use of sensitive information and supporting guidelines 06 - Egress email encryption 07 - Guidance available to users on sending sensitive data by email Remote Access 08 - Direct Access CESG CPA approved solution 09 - Remote Access Policy 10 - Smartphone policy 11 - Laptop Policy 12 - Memory stick policy Encryption 13- All Council laptops are encrypted 14 - All Council Memory sticks are encrypted 15 - All Smartphone devices are encrypted					
FISS.RR.02-10 INFOSEC – Access Control – Cyber Security Attack	The Council is at significant risk of cyber attack from Ransomware, Phishing emails, APT's, DDOS attacks, Hacking and social engineering exploits.	01 - IT Acceptable Use Policy covers password use and logon responsibilities 02 - Cross referencing multi system logs - e.g. audit logs, CCTV, door access, flexi etc					20

Code & Title	Risk Identification	Risk Control Measure	Risk Evaluation	Related Action	Related action latest note	Current Risk Matrix	Risk Score
FISS.RR.02-14 ISO27001 – Security Policy – Existing security policies should be reviewed	Information Security policies must be reviewed at least every 2 years to maintain their relevancy and accuracy.	01 - Revise all security security policies older than 3 years old.					9
FISS.RR.02-20 COMPLIANCE – Compliance – PSN Code of Connection	In order to maintain connectivity to the PSN network a series of security controls must be met. As CESG security standards are continually raised, It's increasingly difficult to balance this with flexible working practices (remote/mobile access), collaborative working and data sharing promoted by the Council and therefore increasingly difficult to maintain compliance.	01 - GSX 2008 code of connection approved by CESG					9

Published Local Government Benchmarking Framework - Finance and Integrated Service Support



Corporate Services

Code	Title	2010/1	2011/1	2012/1	2013/1	2014/1	2015/1	2016/1	2017/1	External Comparison
		1	2	3	4	5	6	7	8	
		Value	Value	Value	Value	Value	Value	Value	Value	
CORP1	Corporate Indicator - Central Support services as a % of Total Gross expenditure (LGBF)	4.53%	4.58%	3.85%	4.7%	5.92%	5.92%	6.23%	4.39%	18/19 Rank 15 (Second Quartile) Rank 17/18 Rank 18 (Third Quartile). 16/17 Rank 26 (Bottom Quartile). 15/16 Rank 22 (Third Quartile). 14/15 Rank 21 (Third Quartile)
CORP3b	Corporate Indicator - The Percentage of council employees in top 5% of earners that are women (LGBF)	44.6%	41.6%	45.6%	45.3%	47.7%	44.6%	47.0%	49.0%	18/19 Rank 27 (Bottom Quartile) 17/18 Rank 25 (Bottom Quartile). 16/17 Rank 26 (Bottom Quartile). 15/16 Rank 29 (Bottom Quartile). 14/15 Rank 25 (Bottom Quartile).
CORP3c	Corporate Indicator - The gender pay gap between average hourly rate of pay for male and female - all council employees						4.59%	2.97%	2.32%	18/19 Rank 18 (Third Quartile) 17/18 Rank 14 (Second Quartile). 16/17 Rank 14 (Second Quartile). 15/16 Rank 18 (Third Quartile)
CORP6a	Corporate Indicator - Teachers Sickness Absence Days (LGBF)	4.89 days	4.79 days	5.21 days	5.25 days	5.50 days	4.17 days	4.94 days	4.59 days	18/19 Rank 5 (TOP Quartile) 17/18 Rank 4 (TOP Quartile). 16/17 Rank 3 (Top Quartile). 15/16 Rank 1 (TOP Quartile). 14/15 Rank 6 (Top Quartile).
CORP6b	Corporate Indicator - Local Government Employees (except teachers) sickness absence days (LGBF)	9.63 days	9.97 days	10.47 days	10.04 days	10.11 days	9.90 days	9.64 days	8.59 days	18/19 Rank 4 (TOP Quartile) 17/18 Rank 2 (TOP Quartile). 16/17 Rank

Code	Title	2010/1	2011/1	2012/1	2013/1	2014/1	2015/1	2016/1	2017/1	External Comparison
		1	2	3	4	5	6	7	8	
		Value	Value	Value	Value	Value	Value	Value	Value	
										7 (Top Quartile). 15/16 Rank 10 (Second Quartile). 14/15 Rank 11 (Second Quartile).
CORP8	Corporate Indicator - Percentage of invoices sampled and paid within 30 days (LGBF)	81.2%	83.1%	93.3%	93.4%	93.0%	89.7%	87.4%	93.1%	18/19 Rank 22 (Third Quartile) 17/18 Rank 18 (Third Quartile). 16/17 Rank 25 (Bottom Quartile). 15/16 Rank 25 (Bottom Quartile). 14/15 Rank 15 (Second Quartile).

Economic Development and Planning

Code	Title	2010/1	2011/1	2012/1	2013/1	2014/1	2015/1	2016/1	2017/1	External Comparison
		1	2	3	4	5	6	7	8	
		Value	Value	Value	Value	Value	Value	Value	Value	
ECON4	Percentage of procurement spent on local enterprises	18.86%	24.87%	18.39%	22.4%	19.97%	17.96%	12.85%	18.07%	18/19 Rank 30 (Bottom Quartile) 17/18 Rank 26 (Bottom Quartile). 16/17 Rank 30 (Bottom Quartile). 15/16 Rank 27 (Bottom Quartile). 14/15 Rank 23 (Third Quartile)