

Finance and Integrated Service Support Performance Report Quarter Three 2019/20



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

The Continued significant transformation of service delivery is allowing services to be provided within the reduced budget available. As finance and ISS transitions to be part of the new corporate solutions service, services will continue to be reshaped, business processes reviewed and adapted to embrace technology solutions including the continued adoption of automation. Following Councils endorsement of pursuing shared services with Scottish Borders Council, work is underway with colleagues in Scottish Borders Council with the objective of bringing forward proposals to both councils.

1: Financial Strategy

The core objective of the Financial Strategy is to secure the Council's financial sustainability during an ongoing period of financial constraint coupled with acute service demand pressures and increasing customer expectations.

The Financial Strategy is not only about balancing the budget, it provides a means to ensure as far as possible that the limited resources available to the Council are targeted on delivery of improved outcomes, particularly against the key priorities of:-

- . Reducing the gap in learning outcomes
- . Reducing the gap in health outcomes
- . Reducing the gap in economic circumstances

The Financial Strategy is central to ensuring that the resources available to the Council is directed towards the priorities set out in the Midlothian Single Plan.

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 two 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

The purpose of the Workforce Strategy is to ensure that Midlothian Council continues to have a workforce that is able to deliver positive outcomes for the people of Midlothian. It sets out an approach to supporting, developing and reshaping the workforce now and in the future in response to changes whether as a consequence of national or local issues. It is underpinned by the Council's values and vision.

The Workforce Strategy is important as it outlines the organisation's approach to articulating how workforce issues will be managed to ensure the Council has the people and skills to manage change and deliver service.

The strategy will ensure we have the right people at the right time and who have the right skills, knowledge and attitude to provide services confidently and competently.

Achievements

- a) Workforce Strategy update report submitted to December Council meeting outlining the progress made to date;
- b) Following a year-long pilot, the Council's submission for Equally Safe at Work accreditation was made in December 2019;
- c) Successful implementation of Assessment Centre for the post of Chief Officer Place and Chief Officer Corporate Solutions;
- d) Revision of the Flexible Working policy and Code of Conduct to ensure policies continue to meet best practice;
- e) Continuation of a rolling programme of Mentally Health Workplace training for Managers;
- f) Participation in the international White Ribbon Campaign including training from the Director of White Ribbon Scotland and ten members of staff taking the pledge to play their part in eradicating violence against women and girls;
- g) Successful implementation of the a robust programme of activities to celebrate 16 days of activism;
- h) Completion of the Wellness@Midlothian work plan for 2020;
- i) Strong focus on continuing work with service managers within areas with high absence levels, advising on specific interventions;
- j) Updated and new modules continue to be uploaded onto the Council's e-learning platform, LearnPro;
- k) Updated and new guidance notes continue to be uploaded onto the online HR portal;
- l) Continue to work with teaching trade unions to harmonise our people policies with those applicable to local government employees; and
- m) Committed to the Veterans Guaranteed Interview Scheme to ensure we continue to support those leaving the Armed Forces fulfil their potential in civilian life.

3: Digital Strategy and Digital Learning Strategy

The Digital Strategy ensures that the ICT infrastructure and facilities are fit for purpose and that they effectively and efficiently underpin delivery of Council Services and align with the Single Midlothian Plan and the National ICT Strategy for Scotland.

Midlothian's Digital Learning Strategy is central to the Council's aim of delivering a world-class education system. It is closely aligned with Scottish Government's policy and advice on digital learning and it also articulates with key national and local priorities.

Midlothian's strategy covers 4 key aspects associated with learning in the digital age: Curriculum, learning and teaching; Leadership and professional learning; Digital participation and Infrastructure

Achievements

- a) Property Programmes: commissioning and/or decommissioning of a number of sites including internal redesign and configuration, along with work across the whole School estate at Hopefield, Sacred Heart, Woodburn (Ph2), Mayfield (Ph3) and all the additional requests for Early Years expansion (Vogrie, Scott Corner and others) to support the wider Property and School programme;
- b) Digital Enabled projects: a number of new Business Applications have been implemented and these continue to improve the overall Digital end user customer experience, Leisure Management, Online School payment, Cashless Catering. The Customer Services e-platform being another key building block in the overall customer journey;
- 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 to improve the end user experience and reliability of aging assets;
- e) CyberSecurity resilience: number of improvements made to the Council Cyber defences resulting in four new firewalls and the regular review and maintenance of ongoing threats and risks. Currently starting to implement Scottish Government CyberSecurity action plan. Compliance: Preparation and Planning of for PSN accreditation – April 2020;
- 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; and
- 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 3 the service projects a small overspend of £21,000 (0.2%);
- b) Purchase to Pay
 - . Following the successful pilot of e-invoicing phase 1 of the roll out has been completed onboarding a further five suppliers
 - . Invoice Approval complete for:
 - o Adult Social Care (non-care) and Occupational Therapy
 - o Midlothian House (except HR)
 - o Property Maintenance Pilot (Servest Atalian AMK Ltd)
 - . Purchasing Card – Lodged/Virtual Card pilot complete at Newbattle HS kitchen for one supplier
 - . E-Forms – Supplier Changes Check and Purchasing Card Application now live
- c) Sales to Cash
 - . Quick import complete for Music Tuition, Housing Repairs and Social Care Non-Residential invoices
 - . Quick import complete for customer creation
 - . Analysis and revision of product codes ongoing
- d) Finance Transactions
 - . E-Forms for GL Chart of Accounts requests (creations and changes) live
- e) Integra Making Tax Digital testing completed (live early January)
- f) Migration of Condeco to Legend complete
- g) Mosaic – completion of workflows for RCRM
- h) Public Records (Scotland) Act – Progress Update Review 2019 - Recognition from the PRSA assessment team of the progress with the Records Management plan, Midlothian's commitment to our records management obligations and the ongoing work to bring all elements into full compliance.

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 are being reviewed further to ensure they sit correctly within a detailed delivery plan which can be reflected in the final 20/21 budget. 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 2020/21 Budget;
- b) Prepare financial monitoring reports for Quarter 3 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;
- 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;
- h) To ensure that the Capital plan and asset management board provides adequate scrutiny and oversight of capital projects to ensure projects are delivered as planned and so, minimise reported slippage in the capital plan.

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) Service Restructure: this will have a direct impact on a number of underlying digital services and plans are being put in place within the associated work plans to address this. (Business Applications, HR & Finance, file and folders – new structure & permissions, phone system & website);
- d) 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;
- e) 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, Chief Officers and Service managers;
- f) 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);
- g) Pursuing the transformation of and innovation in service delivery by pursuing digital opportunities, including automation, artificial intelligence and Introduction of new ways of working supported by modern technology solutions etc.

h) Securing a replacement for the end of life Customer Relationship Management (CRM) system which is central in transforming the customer journey.

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) Progressing a review of the procurement arrangements across the council including exploring options for joint working with neighbouring councils.

5: Service Improvements / Delivering Excellence

- a) Delivery of the Change Programme including the final elements to achieve the ISS savings target 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;
- c) The impact of Interim Management arrangements on the progress of transformational work; d) Completing low risk Internal Audit recommendations within available resources.

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 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.

Finance & Integrated Service Support



Successes and Challenges

Corporate Performance Indicators (latest)

● 4 ✓ 9 ? 0 📊 6

Service Plan Actions (latest)

▲ 1 ✓ 26 ? 0

Service Plan PIs (latest)

● 2 ✓ 1 ? 0 📊 3

Service Risks (latest)

▲ 12

Corporate PIs Off Target as at 31st January 2020

PIs ● 4

Performance against revenue budget

% of invoices paid within 30 days of invoice receipt (cumulative)

Average number of working days lost due to sickness absence (cumulative)

% of internal/external audit actions progressing on target.

Key PIs
● Off Target
✓ On Target
📊 Data Only Indicator
? Data is not yet available

Service Plan Actions Off Target as at 31st January 2020

Actions ▲ 1

Achieve contract delivery targets set out in the Contract Delivery Plan

Key Actions
▲ Off Target
✓ On Target/Complete
? Data is not yet available

Service Plan PIs Off Target as at 31st January 2020

PIs ● 2

Corporate Indicator - Percentage of invoices sampled and paid within 30 days (LGBF)

Corporate Indicator - The Percentage of council employees in top 5% of earners that are women (LGBF)

Key PIs
● Off Target
✓ On Target
📊 Data Only Indicator
? Data is not yet available

High Risks as at 31st January 2020

Risks ▲ 2

10 Risks at Medium and 2 Risks are high





DS - Compliance - Regulatory, Contractual and Legal

DS - Computer Business Continuity Management



Key Risks
▲ High Risk / Medium Risk
? Data is not yet available







Finance and Integrated Service Support PI summary 2019/20

Making the Best Use of our Resources



Priorities	Indicator	2018/19	Q3 2018/19	Q1 2019/20	Q2 2019/20	Q3 2019/20				Annual Target 2019/20	Feeder Data	Value
		Value	Value	Value	Value	Value	Status	Note	Short Trend			
01. Manage budget effectively	Performance against revenue budget	£10.407m	£10.913m	£10.710m	£10.770m	£11.023m		Q3 19/20: Off Target The projected overspend shows £21,000 (0.2%) which will be addressed through financial monitoring and reporting.		£11.002m		
02. Manage stress and absence	Average number of working days lost due to sickness absence (cumulative)	6.24	4.56	2.51	4.81	6.91		Q3 19/20: Off Target Of the 1535.61 days lost, 1058.58 was a consequence of long term absence, 180.5 days lost due to Short term absence and 296.53 days lost were self certified. Appropriate actions continue to be applied to effectively manage attendance in line with the policy. Work will continue in quarter 4 to further analyse the absence data to identify if any additional interventions are required. MAW training will be rolled out starting February 2020. Areas of high absence occurrences will be targeted in the first instance.		6.24	Number of days lost	1,535.61
											Number of FTE in service	222.37

Corporate Health

Priorities	Indicator	2018/19	Q3 2018/19	Q1 2019/20	Q2 2019/20	Q3 2019/20				Annual Target 2019/20	Feeder Data	Value
		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%	96%		Q3 19/20: On Target		90%	Number of divisional & corporate priority actions	27
											Number of divisional & corporate priority actions on tgt/completed	26













04. Process invoices efficiently	% of invoices paid within 30 days of invoice receipt (cumulative)	91%	93%	93%	93%	92%		Q3 19/20: Off Target 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.		95%	Number received (cumulative)	2,752
											Number paid within 30 days (cumulative)	2,529
05. Improve PI performance	% of Service PIs that are on target/ have reached their target. (does not include Corporate PIs)	0%	0%	0%	0%	100%		Q3 19/20: No service specific performance indicators. All 4 indicators in FISS are Local Government Benchmarking Framework indicators.		90%	Number on tgt/complete	4
											Total number of PI's	4
06. Control risk	% of high risks that have been reviewed in the last quarter	100%	100%	100%	100%	100%		Q3 19/20: all risks reviewed.		100%	Number of high risks reviewed in the last quarter	2
											Number of high risks	2

Improving for the Future

Priorities	Indicator	2018/19	Q3 2018/19	Q1 2019/20	Q2 2019/20	Q3 2019/20				Annual Target 2019/20	Feeder Data	Value
		Value	Value	Value	Value	Value	Status	Note	Short Trend			
07. Implement improvement plans	% of internal/external audit actions progressing on target.	60.71 %	37.5 %	95.65 %	90.63 %	77.42 %		Q3 19/20: Off Target Four actions off target this quarter, two of which due to limited resource to progress action. Remaining two actions will be completed during Q4.		90%	Number of internal/external audit actions on target or complete	24
											Number of internal/external audit actions in progress	31

Finance and Integrated Service Support Complaints Indicator Summary

Commitment to valuing complaints

Indicator	2018/19	Q3 2018/19	Q1 2019/20	Q2 2019/20	Q3 2019/20			Annual Target 2019/20
	Value	Value	Value	Value	Value	Status	Note	
Number of complaints received (quarterly)	17	12	4	7	2		Q3 19/20: Data only	
Number of complaints closed in the year	17	12	4	7	2		Q3 19/20: Data only	
Number of complaints upheld (quarterly)	8	8	3	0	0		Q3 19/20: Data only	
Number of complaints partially upheld (quarterly)	4	1	0	1	0		Q3 19/20: Data only	
Number of complaints not upheld (quarterly)	4	3	1	4	2		Q3 19/20: Data only	
Average time in working days to respond to complaints at stage 1	5.63	4.45	2	7.67	2		Q3 19/20: On Target 1 complaint this quarter dealt with at stage 1.	5
Average time in working days to respond to complaints at stage 2	11	11	0	0	20		Q3 19/20: On Target	20
Average time in working days for a full response for escalated complaints	0	0	21	36	0		Q3 19/20: No escalated complaints	20
Percentage of complaints at stage 1 complete within 5 working days	68.75%	72.73%	100%	50%	100%		Q3 19/20: On Target	100%
Percentage of complaints at stage 2 complete within 20 working days	100%	100%	100%	100%	100%		Q3 19/20: On Target	100%
Percentage of complaints escalated and complete within 20 working days	0%	0%	0%	0%	100%		Q3 19/20: There were no escalated complaints.	100%
Number of complaints where an extension to the 5 or 20 day target has been authorised (quarterly)	0	0	0	0	0		Q3 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		75%	Q3 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		75%	Q3 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 staff leaving the council and difficulty recruiting to a replacement there may be challenges going forward to sustain the level of work carried out by this team and options to mitigate this are being progressed.
FISS.P.2.2	Continue to work with Local service providers to help them secure public sector contracts.	31-Mar-2020		75%	Q3 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		75%	Q3 19/20: On Target 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		75%	Q3 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		60%	Q3 19/20: On Target Report prepared outlining position and next steps. To be presented to CMT on 31/01/2020.
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		75%	Q3 19/20: On Target Work ongoing and research is 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		95%	Q3 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 nearing completion with a small number of assets still outstanding. Approx 95% of Corporate 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		80%	Q3 19/20: On Target Work continues in delivering the Digital Strategy and agreed programmes of work approved by the Digital strategy group. The Digital Maturity assessment survey report is now complete and will be presented by the Digital office to the Corporate Management team, date just to be finalised. The output from the Digital maturity assessment and the Socitm Customer user satisfaction survey will also influence and reshape the Digital strategy. Digital Services continues to participate in LG Digital office work streams and provides updates to Director and Chief officer









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%	Q3 19/20: On Target Report submitted to council in December 2019 providing an update on the Workforce Strategy. Work is underway in ensuring the service workforce plans support delivery. This will be able to progress at pace now the new Senior Leadership Review is implemented and services are embedded within their directorates.



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		100%	Q3 19/20: Complete
FISS.P.6.02	Complete the actions required to facilitate the changes to the Business Travel and Subsistence Policy	31-Mar-2020		100%	Q3 19/20: Complete All retention users agreed contractual change. Resolution from regular users outstanding.
FISS.P.6.03	Awareness, preparation, and implementation of Scottish Government Public Sector Cyber Resilience Action Plan	31-Mar-2020		65%	Q3 19/20: On Target Current activities to improve Council cyber security position and resiliency can be summarised below :- 1. The Corporate management team approved (16/10/2019) the new position of Cyber Security Analyst. The recruitment into this position was unsuccessful alternative options under review. 2. Undertaking annual PSN security testing of externally facing websites and the Councils internal network – now Scheduled for Jan \ March 2020 to evidence and maintain compliance for submission April 2020. 3. Preparing for Cyber Essentials security testing of the corporate and schools network. 4. Implementation of the Scottish Governments Cyber Resiliency Action Plan– ongoing. 5. Reviewing the cyber security supplier assessment procedure. 6. At the request of the Society of Local Authority Chief Executives (SOLACE) engaging with the Digital Office to deliver the 6 projects below:- Ongoing activities <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		70%	Q3 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 still has a number

Code	Action	Due Date	Icon	Progress	Comment & Planned Improvement Action
					of servers that need to be upgraded. There are also plans in place to move a number of Business Critical systems to Software as a Service (SaaS) model but timescales for migration and Go Live will be after April 2020.
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		60%	<p>Q3 19/20: On Target The Corporate Firewall upgrade project for both Corporate and Education is now complete</p> <p>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. 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.</p>
FISS.P.6.06	Implementation and upgrade of Critical Business Applications	31-Mar-2020		65%	<p>Q3 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. There are also plans in place to move a number of Business Critical systems to Software as a Service(SaaS) type model but timescales for migration and Go Live will be after April 2020</p>
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		95%	<p>Q3 19/20: On Target Invoice Approval implementations complete for Adult Social Care (non-care), Occupational Therapy and pilot supplier for Property Maintenance. Implementations underway for Gas Maintenance and pilot for Stores. E-Invoicing phase 1 complete following successful pilot although some suppliers initially slow to respond. Lodged cards on hold until new Catering Manager appointed.</p>
FISS.P.6.08	Achieve the actions set out in the Total Document Management project plan	31-Mar-2020		75%	<p>Q3 19/20: On Target Resources: Progress on development of new workstreams continues to be restricted. Recruitment of Trainee Applications Support Officer is completed and successful candidate will be in post from 28/01/2020 Invoice Approval: Continued support provided to Purchase to Pay team during roll out if Invoice Approval. Workflows: Flexi/ID Badge workflow testing completed. Further development on workflow required to reflect feedback from testing. Maximising Attendance Workflows – testing ongoing within Business Services.</p>
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-2021		40%	<p>Q3 19/20: On Target Sales to Cash - Implementation of Quick Imports for Licensing and Insurance complete. Reminder letters for instalments now live. Testing of requisitioning ongoing. Payroll Transactions - ESlips complete. Initial discussions on work required to reflect new structure. ITrent Electric live for E&R Team, ready to be deployed for Managers in Q4.</p>



Code	Action	Due Date	Icon	Progress	Comment & Planned Improvement Action
					Finance Transactions - EForm for cost centre changes now live. EForm development for journals, Banklines and BACS underway. Control of Posts - Integra BDM to be considered. New "To Be" process being drafted and further workshop to be held. Required CS16 changes to be tested.
FISS.P.6.10	Achieve actions set out in the Business Services Improvement plan	31-Mar-2020		75%	Q3 19/20: On Target Workstreams progressing in line with plan.
FISS.P.6.11	Manage claims received by Legal Services in respect of the Limitation (Childhood Abuse) (Scotland) Act 2017 through the agreed process in order to minimise the Council's exposure to damages	31-Mar-2020		75%	Q3 19/20: On Target Claims received have been processed in terms of the process and passed to claims handlers.
FISS.P.6.12	Achieve contract delivery targets set out in the Contract Delivery Plan	31-Mar-2020		50%	Q3 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		75%	Q3 19/20: On Target Work continues on the Wellness@Midlothian agenda. A review of the flexible working policy and code of conduct has been undertaken. Work also continues on the supporting policy documentation i.e. guidance notes etc. MAW training will commence in February 2020. Face to face training on mentally healthy workplaces will continue and training on workplace resilience will commence in February 2020.
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		75%	Q3 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%	Q3 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%	Q3 19/20: Complete
FISS.P.6.17	Deliver quarterly financial reports and commentary to Council	31-Mar-2020		75%	Q3 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.

07. Local Government Benchmarking Framework


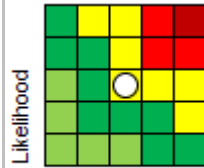
PI Code	PI	2018/19	Q3 2018/19	Q1 2019/20	Q2 2019/20	Q3 2019/20				Annual Target 2019/20	Benchmark
		Value	Value	Value	Value	Value	Status	Short Trend	Note		
CORP6	Corporate Indicator - Sickness Absence Days per Employee (All employees)	8.55	6.34	2.52	4.49	7.23			<p>Q3 19/20: Off Target The 'Wellness@Midlothian' 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. MAW training will be rolled out starting February 2020. Areas of high absence occurrences will be targeted in the first instance. Specific workplace resilience training and mentally healthy workplace training will continue to be rolled out throughout the organisation. The re-launch of the functionality of MiTeam to remind Managers of its use in the Maximising Attendance at Work process has recently been undertaken.</p> <p>It must remain a key priority of service managers to review the absence data available to them via</p>	7.5	


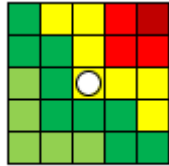

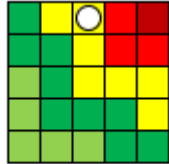

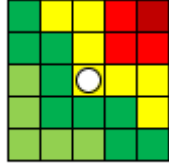
PI Code	PI	2018/19	Q3 2018/19	Q1 2019/20	Q2 2019/20	Q3 2019/20				Annual Target 2019/20	Benchmark
		Value	Value	Value	Value	Value	Status	Short Trend	Note		
									Miteam and identify if any additional interventions are required.		
CORP3b	Corporate Indicator - The Percentage of council employees in top 5% of earners that are women (LGBF)	49.2%	49.7%	49.2%	50.3%	48.9%			Q3 19/20: Off Target This figure does not include teaching staff. The Council's workforce is approximately 70% female and 30% male. We are committed to monitoring gender information and determining any appropriate positive action. Work underway as part of the Equally Safe at Work accreditation pilot will contribute to further addressing this figure.	50.0%	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	3.94%	3.54%	3.26%	3.08%	3.32%			Q3 19/20: Data only 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 3.32%.		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)	5.15 days	3.46 days	1.71 days	0.78 days	4.00 days			Q3 19/20: Data only 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.		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	9.86 days	7.45 days	2.83 days	2.66 days	8.50 days			Q3 19/20: Data only The 'Wellness@Midlothian' project continues to make progress, work		18/19 Rank 4 (TOP Quartile) 17/18 Rank 2

PI Code	PI	2018/19	Q3 2018/19	Q1 2019/20	Q2 2019/20	Q3 2019/20				Annual Target 2019/20	Benchmark
		Value	Value	Value	Value	Value	Status	Short Trend	Note		
	teachers) sickness absence days (LGBF)								<p>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 throughout the organisation.</p> <p>The re-launch of the functionality of MiTeam to remind Managers of its use in the Maximising Attendance at Work process has recently been undertaken.</p> <p>It must remain a key priority of service managers to review the absence data available to them via Miteam and identify if any additional interventions are required.</p> <p>MAW training will be rolled out starting February 2020. Areas of high absence occurrences will be targeted in the first instance. 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>		(TOP Quartile). 16/17 Rank 7 (Top Quartile). 15/16 Rank 10 (Second Quartile). 14/15 Rank 11 (Second Quartile).


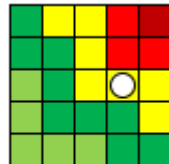
PI Code	PI	2018/19	Q3 2018/19	Q1 2019/20	Q2 2019/20	Q3 2019/20				Annual Target 2019/20	Benchmark
		Value	Value	Value	Value	Value	Status	Short Trend	Note		
CORP8	Corporate Indicator - Percentage of invoices sampled and paid within 30 days (LGBF)	91.1%	92.7%	92.2%	88.8%	89.2%			Q3 19/20: Slight improvement from Q2 to Q3. Q4 figures may be negatively impacted by Christmas shutdown. Via P2P Project, Invoice Approval implementations complete for Adult Social Care (non-care), Occupational Therapy and pilot supplier for Property Maintenance. Implementations underway for Gas Maintenance and pilot for Stores. E-Invoicing phase 1 complete following successful pilot although some suppliers initially slow to respond.	95.0%	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).

Finance and Integrated Service Support Service Risks


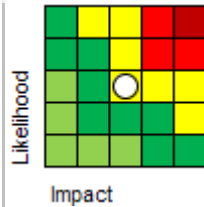

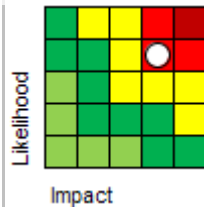
Code & Title	Risk Identification	Risk Control Measure	Risk Evaluation	Related Action	Related action latest note	Current Risk Matrix	Risk Score
FISS.RR.01 DS – School Security risks	<p>Risk Cause: unauthorised access or loss of information in schools</p> <p>Risk Event: Main risks are (1) data integrity 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 01 - security procedures implemented at school level 02 - investigate whether application can be monitored remotely then apply any appropriate</p> <p>Security procedures</p>				 <p>Likelihood</p> <p>Impact</p>	9


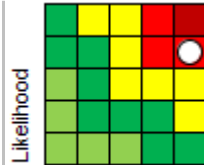
Code & Title	Risk Identification	Risk Control Measure	Risk Evaluation	Related Action	Related action latest note	Current Risk Matrix	Risk Score
		03 - risk to be assessed further during SEEMIS implementation Segregated Security Levels 01 -					
FISS.RR.01-14 GENERIC – Information Management and GDPR compliance	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.01-23 Secretariat Risks	Risk Cause: Secretariat functions not carried out accurately and timeously 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. Risk Effect: Legislation not met	<u>The main internal controls to mitigate the identified risks are:-</u> 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 04 - well established Elections procedures in accordance with statute				 Likelihood Impact	15
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	<u>The main internal controls to mitigate the identified risks are:-</u> 01 - named Communications & Marketing contact(s) for each Division 02 - revised Communications Standards launched				 Likelihood Impact	9


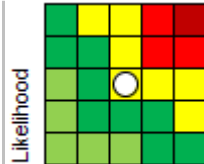

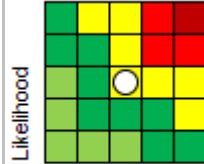
Code & Title	Risk Identification	Risk Control Measure	Risk Evaluation	Related Action	Related action latest note	Current Risk Matrix	Risk Score
		03 - informal monitoring and highlighting issues to Divisions 04 - launch of Communications & Marketing Strategy					
FISS.RR.01-31 Communications and Marketing – 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><u>The main internal controls to mitigate the identified risks are:-</u></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.03 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</p>	<p>Day to day tasks</p> <p>01 - Provide breakdown of daily duties</p> <p>02 - Monitor feedback - Schools</p> <p>03 - Monitoring procedures in place</p> <p>04 - Staff training</p> <p>Data extraction and exchange</p> <p>01 - Programme agreed with SEED</p> <p>02 - Staffing in place to meet timetable</p> <p>03 - Alternative staffing in place</p>	⚠				9

Code & Title	Risk Identification	Risk Control Measure	Risk Evaluation	Related Action	Related action latest note	Current Risk Matrix	Risk Score
	extraction and exchange timetables.						
FISS.RR.06 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>Risk Effect: application failure affecting school and central operations</p>	<p>Data back up/recovery</p> <p>01 - procedure</p> <p>02 - information shared with staff</p> <p>back up security</p> <p>03 - Generic IT Business Continuity Plan</p> <p>Application failure</p> <p>01 - local support in place</p> <p>02 - external support contract in place</p> <p>03 - liaison with other education authorities</p> <p>Fire in Comms Room</p> <p>01 - fire safety policy//guidance from H&S</p> <p>02 - fire risk assessment</p> <p>03 - fire detection equipment</p> <p>04 - environmental monitoring equipment in place</p> <p>Cabling difficulties in schools</p> <p>01 - TSO route planning with contractor</p> <p>02 - Asbestos register alert on all appropriate orders</p> <p>03 - partner working with Commercial</p> <p>Loss of Major Hub Sites</p> <p>01 - Greenhall, Dalkeith Campus BC plans</p> <p>02 - WAN disaster recovery plan</p> <p>03 - Resilience reviews</p> <p>Online Services</p> <p>01 - Quality of on-line services monitored by EO</p> <p>Smartcard</p> <p>01 - System monitored by Education and Commercial Services</p>				<div><div>Likelihood</div><div>Impact</div></div> <div>12</div>	

Code & Title	Risk Identification	Risk Control Measure	Risk Evaluation	Related Action	Related action latest note	Current Risk Matrix	Risk Score
		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 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					

Code & Title	Risk Identification	Risk Control Measure	Risk Evaluation	Related Action	Related action latest note	Current Risk Matrix	Risk Score
		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.08 DS – Information Security and closing any immediate gaps; isolated incident that becomes high profile.	Risk Cause: unprotected sensitive information 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. Risk Effect: Non Compliance	<u>Internal controls include:-</u> 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					9
FISS.RR.09 DS – Compliance – Regulatory, Contractual and Legal	This is the risk of censure and includes DPA, FOI, RIPSA, Computer Misuse, Health and Safety,GSX, NHS, Police q Risk Cause: the Council has a requirement to ensure compliance with various legislative and regulatory controls	<u>The main internal controls are:-</u> 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					16

Code & Title	Risk Identification	Risk Control Measure	Risk Evaluation	Related Action	Related action latest note	Current Risk Matrix	Risk Score
	<p>Risk Event: The failure of any of these Compliance, regulatory and Policy controls would have 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>	<p>04 - Policies and Guidelines exist to maintain compliance</p> <p>05 - New Projects approved \ initiated via Digital Strategy Group \ CMT</p>					
FISS.RR.10 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 school operations (8) infrastructure failure</p>	<p><u>The main internal controls are:-</u></p> <p>01 - List of critical business systems contained with a generic IT BC Plan</p> <p>02 - Routine of reporting IT BC into CMT and BCG</p> <p>03 - Ongoing programme of resilience</p> <p>04 - Corporate BC plan</p> <p>05 - Back ups of data and systems on an incremental and full basis.</p> <p>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>(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>						
MC52-02-14 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.				 <p>Likelihood</p> <p>Impact</p>	9
MC52-02-20 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				 <p>Likelihood</p> <p>Impact</p>	9

Local Government Benchmarking Framework

Finance and Integrated Service Support



Corporate Services

Code	Title	2010/ 11	2011/ 12	2012/ 13	2013/ 14	2014/ 15	2015/ 16	2016/ 17	2017/ 18	2018/ 19	External Comparison
		Value	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%	4.27%	18/19 Rank 15 (Second Quartile) 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%	49.2%	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	New for 2015/16					4.59%	2.97%	2.32%	3.94%	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	5.15 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	9.86 days	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).
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%	91.1%	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/ 11	2011/ 12	2012/ 13	2013/ 14	2014/ 15	2015/ 16	2016/ 17	2017/ 18	2018/ 19	External Comparison
		Value	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%	15.44%	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)