

01. Progress in delivery of strategic outcomes

Throughout 2019/20 the Finance and Integrated Service Support continued to have a strategic focus on securing the financial sustainability of the Council, strengthening financial management and nurturing a highly motivated and effective workforce. All of which were recognised as critical to the achievement of the Council's priority outcomes and continued delivery of services to a growing county.

The key activities which support this strategic focus were:

- 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 development of Service Workforce Plans;
- c) Delivery of the Integrated Service Support review, improving the efficiency and effectiveness of services provided by Finance and Integrated Support Services and ensuring the service is delivered within the approved budget.

The strategic focus was also supported by:

- . Continued implementation of the Digital Strategy and Digital Learning Strategy
- . A refreshed Procurement Strategy and Contract Delivery Plan

In their annual report for 2018/19 EY recognised the substantial progress that had been made in addressing their recommendations from previous years which contributed to an improved amber rating for financial management. The EY report reinforced that there was 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 positions Midlothian as 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'. 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 value 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 transformation of service delivery supports continuous improvement in service provision and in particular the "customer journey" and has ensured that service provision is delivered within the approved budget. Finance and Integrated Service Support is now part of the new Corporate Solutions service and continues to be reshaped, business processes reviewed and adapted to embrace technology solutions. Following Council's endorsement of pursuing shared services with Scottish Borders Council, work is underway with colleagues in Scottish Borders Council, with an early focus on digital service provision with the objective of bringing forward proposals to both Councils.

Towards the end of Quarter 4 of 2019/20, the service was urgently refocussed on the Council's response to COVID 19. The team supported a range of urgent and swift transformations in how the Council operated in order to sustain the provision of essential services, supported the introduction of new services digital and otherwise and critically put in place interventions to support our workforce. As 2020/21 progresses this focus will continue as priorities and resources are aligned to the delivery of the Council's road map approved in June 2020. An important focus for the months ahead will be to ensuring we support recovery whilst retaining the elements of transformation which had been put in place and making a range of changes a permanent feature of the way we deliver council services.

During the year the service experienced an increase in the average number of working days lost due to sickness absence. This was as a consequence of a small number of long term absences within the team which were managed and resolved in accordance with the Councils Maximising Attendance policy.

Despite the continued transformation of the purchase to pay process 2019/20 the year also saw a continued shortfall in the number of invoices paid within 30 days. Evidence indicates that the position has improved in the first quarter of 2020/21 and to support further improvement and consolidation of improved performance in services areas which have consistently fallen short of the 95% target a detailed insight paper will be presented to CMT in September 2020.

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) Positive outcome for the 2019/20 end of year financial reports was a net underspend of £102,000 which was achieved by everyone working together, demonstrating strict financial discipline despite some one-off financial pressures;
- b) Against the backdrop of COVID 19 successful completion and submission of the 2019/20 draft accounts in accordance with the statutory deadline (prior to it's COVID extension) of 30th June 2020;
- c) Completion of the full suite of 2019/20 Financial Monitoring reports for Council in June 2020 as part of the robust scrutiny of financial performance;
- d) Update on the Medium Term Financial Strategy 2019/20 to 2022/23 presented to Council 11 February 2020 which provided an update on the progress of the recommendations since the last report on 1 October 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) Following a year-long pilot, the Council's submission for Equally Safe at Work accreditation was made in December 2019;
- b) Revision of the Flexible Working policy and Code of Conduct to ensure policies continue to meet best practice;
- c) Continuation of a rolling programme of Mentally Health Workplace training for Managers;
- d) 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;
- e) Successful implementation of the a robust programme of activities to celebrate 16 days of activism;
- f) Completion of the Wellness@Midlothian work plan for 2020;
- g) Continue to work with teaching trade unions to harmonise our people policies with those applicable to local government employees;
- h) Committed to the Veterans Guaranteed Interview Scheme to ensure we continue to support those leaving the Armed Forces fulfil their potential in civilian life;
- i) Significant achievement in the delivery of a special leave provision for those who were required to self-isolate as a result of the COVID-19 pandemic.

- j) Successful redeployment of dozens of existing members of staff into alternative duties in response to the COVID 19 pandemic, ensuring critical services continue to be delivered.
- k) Significant number of detailed communications issued to both staff and managers in terms of updates, directives, and most importantly supports available during this time.
- l) Continuation of robust and collegiate relations with our trade union colleagues. Weekly update meetings are held with the trade unions and in turn our directorates.
- m) Creation of a draft remote working policy. Consultation is ongoing and includes a suite of comprehensive guidance notes to assist managers with implementation of the policy.
- n) Successfully managed the COVID-19 mailbox and responded to all employee enquiries within very short timescales.
- o) Management of over 150 referrals to our occupational health provider ensuring the health and wellbeing of our staff remains a primary concern.
- p) Contributed significantly to the success of over 2,000 remote workers.

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) Significant achievement by Digital Services in the response and deployment of a range of Digital solutions and technologies to support the Midlothian Council COVID19 pandemic response. Implemented a number of transformational projects council wide (migrated 2,200 User mail accounts, Implemented MS Teams, deployed in excess of 500 hundred digital and mobile devices (Laptops, Smartphones and Tablets). Delivered a range of digital solutions that allowed users to work at home with access to Council applications and services.
- b) Planned and implemented significant changes to Customer and Contact Centre operation:- Phase 1 - facilitated changes to Midlothian House – extending Contact Centre operation to accommodate a 100 extras users along with changes to technology infrastructure. Phase 2 – created and deployed a virtual solution to allow the Contact Centre and other staff to work at home along with deployment of devices to maintain Council services at this critical time;
- c) Provided a totally different model of support for staff who were working remotely and who needed access to critical council services along with maintaining business critical systems and applications;
- d) Successful completion of financial year end activities (Open Revenues, Capita Housing etc.) whilst working remotely and dealing with Covid-19 disruption;
- e) Digital Services User Satisfaction results (survey of all council users) - 5.6 out of 7 - improvement on previous year and above Scottish average of 5.3 out of 7;
- f) 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;
- g) Digital Enabled projects: a number of new Business Applications have been implemented and these continue to improve the overall digital end user customer experience;
- h) 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;
- i) CyberSecurity resilience: number of improvements made to the Council Cyber defences implemented enhancements to Firewalls and the regular review and maintenance of ongoing threats and risks. Implement Scottish Government CyberSecurity action plan. Compliance: Preparation and Planning of for PSN accreditation – certification now confirmed until April 2021; and
- j) 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 was effective in securing further transformation in service delivery and ensured that the services were delivered within the approved budget. To put this change in context 2019/20 budget was circa £1.1 million less than the previous year.. There is further work to do to consolidate some of the changes and make permeant changes to the staffing establishment and this will be concluded in 2020/21.

b) Purchase to Pay

. Following the successful pilot of e-invoicing phase 1 of the roll out has been completed on-boarding 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.

i) Successful completion of Young Scot PASS audit and continued Approved status for Young Scot and NEC cards.

j) Successful mobilisation, supported by Digital Services, for Business Services and Employment & Reward to enable remote working to comply with response to COVID-19 guidance.

l) Development of Integra E-forms for BACS and Bankline payment to replace existing paper-based process to support and enable remote working and to maintain effective controls and financial governance;

m) Development of CS16 workflows for COVID-19 Special leave and Sickness Absence reporting to replace existing paper based processes to support and enable remote working.

n) Successful implementation of solution to enable payments for Free Schools Meals to parents in response to COVID-19 guidance.

o) Introduction of virtual meeting protocol for virtual Council and Committee meetings.

02. Challenges and Risks

Towards the end of Quarter 4, the most significant challenge facing all services was the outbreak of the COVID 19 pandemic. This remains a challenge into 2020/21 and for the foreseeable future.

Financial Sustainability

Given the impact of COVID 19 on the Councils finances, the expectation of continuing challenging grant settlements, a real terms reduction in core funding together with the impact of a rapidly growing population and greater demand for services, the Council will need to maintain a focus on securing a sustainable and deliverable Medium Term Financial Strategy. This will include the evolution of the forward plans for HRA, Capital and Reserves. Delivery of savings plans is key and this needs to continue to be monitored closely through Business Transformation Board and Steering Group and through the dedicated CMT Financial Monitoring arrangements. Values attached to proposals in the MTFS were reviewed further to ensure they sat correctly within a detailed delivery plan which was reflected in the final 20/21 budget recognising that 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 Medium Term Financial Strategy;

- b) Prepare financial monitoring reports for 2020/21 reflecting the impact of COVID 19 on the Council's Finances and continue to work with budget holders to maintain effective control over expenditure and with Chief Officers to develop plans which address and mitigate against overspends;
- c) mitigating the financial impact of COVID 19
- d) Work to develop cost projections and the implementation of any additional saving measures to update the Medium Term Financial Strategy;
- e) 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
- f) Review of the Capital Strategy and the affordability of investment plans principally to reflect the ongoing review of the Learning Estate Strategy and recognising the role our investment plans have in supporting economic recovery;
- g) Continue to strengthen financial stewardship in a climate of reducing budgets and increasing service pressure;
- h) Review and update financial directives and associated documentation;
- i) 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 and a shift to virtual meetings and events;
- 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) The pandemic response has changed a large part of Midlothian's digital foundation and how Council staff and citizens now use Council services as a result. There is still work to be done to ensure the changes that were made at speed to underlying business applications, technologies and processes are reviewed and consolidated to ensure wider stability and resilience can be maintained;
- b) The reliance and the scale of change to the new norm has to recognise the importance that digital solutions plays in the overall transformational and business activities, further investment is required to ensure that these services and staff can be maintained at this critical time;
- c) Remote workforce introduces significant security, compliance and support challenges – the radical shift to remote working has presented both opportunities and efficiencies and it has brought new challenges and risk. It's will be essential that staff are reminded of the risks of phishing emails social engineering and data protection. To date this has been done through Private I emails and written guidance notes. Ways to increase digital skills across the organisation also now needs to be explored;
- d) Increased threat of cyber/security attacks, e.g. denial of service, ransomware/hackers is heightened at this time and is an ongoing challenge to mitigate risk and minimise service disruption;
- e) Securing, maintaining digital skills and experience across the digital Service teams in order to be able to respond, deliver and protect the organisation;
- f) 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);
- g) 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 is ongoing;
- h) 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;

- i) 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);
- j) 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.;
- k) Securing a replacement for the end of life Customer Relationship Management (CRM) system which is central in transforming the customer journey.

4: Procurement

- a) Completion of the Annual Procurement report;
- b) Maintaining service provision in response to a significant staff turnover in the team;
- c) To deliver and demonstrate savings through procurement by continuing to review and monitor performance;
- d) Completing the Purchase to Pay project;
- e) 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.
- f) Progressing a review of the procurement arrangements across the council including exploring options for joint working with neighbouring councils.

Emerging Challenges:

The emerging challenge is addressing the financial impact of COVID 19 on the Council and as part of that to increase the pace in which change, improvement and transformation 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 fundamental change.

Assessing the Government grant settlement and addressing the remaining budget gap leading to the delivery of a balanced MTF5 covering the next 3 years which will support the delivery of a balanced budget for 2021/22 and beyond.

Finance & Integrated Service Support



Successes and Challenges

Corporate Performance Indicators (latest)

7 6 0 6

Service Plan Actions (latest)

11 16 0

Service Plan PIs (latest)

2 1 0 3

Service Risks (latest)

12

Corporate PIs Off Target as at 31st March 2020

PIs 7

- % of service priority actions on target / completed, of the total number
- 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.
- Average time in working days to respond to complaints at stage 1
- Percentage of complaints at stage 1 complete within 5 working days

Service Plan Actions Off Target as at 31st March 2020

Actions 11

- Implementation of the Digital Strategy
- Support Workforce planning principle by reviewing and refreshing recruitment policy to allow service specific recruitment initiatives
- 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
- Implementation of Digital Services Asset Management and Investment plans - Corporate / Schools
- Deliver and embed the workforce strategy action plan to ensure that our workforce is positive, motivated, high achieving, well led and well managed
- Compliance – Microsoft end of support on Windows 7 (Jan 2020), W2K8 Server (Jan 2020) and SQL 2008 (Sept 2019)
- Implementation and upgrade of Core Digital Foundation infrastructure – Firewalls, Ms Exchange, Ms Office 365 and Schools Wi-Fi
- 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
- Achieve actions set out in the Business Services Improvement plan
- Achieve contract delivery targets set out in the Contract Delivery Plan
- 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.

Service Plan PIs Off Target as at 31st March 2020

PIs 2

- Corporate Indicator - Percentage of invoices sampled and paid within 30 days (LGBF)
- Corporate Indicator - Sickness Absence Days per Employee (All employees)

High Risks as at 31st March 2020

Risks 2

10 Risks at Medium and 2 Risks are high

- DS - Compliance - Regulatory, Contractual and Legal
- DS - Computer Business Continuity Management

Key PIs

- Off Target
- On Target
- Data Only Indicator
- Data is not yet available

Key Actions

- Off Target
- On Target/Complete
- Data is not yet available

Key PIs





- Off Target
- On Target
- Data Only Indicator
- Data is not yet available

Key Risks



- High Risk / Medium Risk
- Data is not yet available

Finance and Integrated Service Support PI summary 2019/20

01.1 Making the Best Use of our Resources

Priorities	Indicator	2018/19	Q1 2019/20	Q2 2019/20	Q3 2019/20	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	£10.710m	£10.770m	£11.023m	£10.320m		19/20: Off Target Whilst the status is shown as red, off target. The 2019/20 outturn position was a marginal overspend of £7,000 or 0.06% of the budget.		£10.313m		
02. Manage stress and absence	Average number of working days lost due to sickness absence (cumulative)	6.24	2.51	4.81	6.91	8.83		19/20: Off Target Of the 1973.47 days lost during 19/20, 1402.83 days was a result of a small number of long term sickness absences, 240.72 days lost due to short term absence and 329.92 days were self certified. The long term absence cases have been resolved and appropriate actions continue to be applied to effectively manage attendance in line with the policy. Work will continue to further analyse absence data to identify if any additional interventions are required.		6.24	Number of days lost	1,973.47
											Number of FTE in service	223.39

01.2 Corporate Health

Priorities	Indicator	2018/19	Q1 2019/20	Q2 2019/20	Q3 2019/20	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%	59%		19/20: Off Target Towards the end of quarter 4 all available resource was diverted to responding to the impact of COVID 19. As such a number of priorities which had been progressed thought the year and were nearing completion were delayed.		90%	Number of divisional & corporate priority actions	27
											Number of divisional & corporate priority actions on tgt/completed	16

04. Process invoices efficiently	% of invoices paid within 30 days of invoice receipt (cumulative)	91%	93%	93%	92%	92%		19/20: Off Target Towards the end of quarter 4 all available resource was diverted to responding to the impact of COVID 19. As such a number of priorities which had been progressed thought the year and were nearing completion were delayed.		95%	Number received (cumulative)	3,825
05. Improve PI performance	% of Service PIs that are on target/ have reached their target. (does not include Corporate PIs)	N/A	N/A	N/A	N/A	100%		19/20: No service specific performance indicators. All 4 indicators in FISS are Local Government Benchmarking Framework indicators		90%	Number on tgt/complete	0

01.3 Improving for the Future

Priorities	Indicator	2018/19	Q1 2019/20	Q2 2019/20	Q3 2019/20	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%	95.65%	90.63%	77.42%	65%		19/20: Off Target Ten actions off target this quarter. Towards the end of quarter 4 all available resource was diverted to responding to COVID 19. As such a number of audit actions which had been progressed thought the year and were nearing completion were delayed. All outstanding audit actions have been reviewed and extensions proposed where work can realistically be carried out to complete these actions.		90%	Number of internal/external audit actions on target or complete	26

Corporate Solutions Complaints Indicator Summary

01.4 Commitment to valuing complaints

Indicator	2018/19	Q1 2019/20	Q2 2019/20	Q3 2019/20	Q4 2019/20	2019/20			Annual Target 2019/20
	Value	Value	Value	Value	Value	Value	Status	Note	
Number of complaints received (quarterly)	17	4	7	2	4	17		19/20: Data only	
Number of complaints closed in the year	17	4	7	2	4	17		19/20: Data Only	
Number of complaints upheld (quarterly)	8	3	0	0	0	5		19/20: Data Only	
Number of complaints partially upheld (quarterly)	4	0	1	0	1	2		19/20: Data Only	
Number of complaints not upheld (quarterly)	4	1	4	2	3	10		19/20: Data Only	
Average time in working days to respond to complaints at stage 1	5.63	2	7.67	2	5.75	5.5		19/20: Off Target Whilst there remained a low volume of complaints across Finance & ISS the majority were complex in nature resulting in further work in order to respond. Staff have been reminded that stage 1 complaints should be extended to 20 days where further investigations are required and this will be reflected in future complaints performance data.	5
Average time in working days to respond to complaints at stage 2	11	0	0	20	0	20		19/20: On Target	20
Average time in working days for a full response for escalated complaints	0	21	36	0	0	28.5		19/20: Off Target one complaint escalated and given the complexity additional time was required to investigate.	20
Percentage of complaints at stage 1 complete within 5 working days	68.75%	100%	50%	100%	75%	71.43%		19/20: Off Target Whilst there remained a low volume of complaints across Finance & ISS the majority were complex in nature resulting in further work in order to respond. Staff have been reminded that stage 1 complaints should be extended to 20 days where further investigations are required and this will be reflected in future complaints performance data	100%
Percentage of complaints at stage 2 complete within 20 working days	100%	100%	100%	100%	100%	100%		19/20: On Target	100%
Percentage of complaints escalated and complete within 20 working days	0%	0%	0%	100%	100%	0%		19/20: Off Target one complaint escalated and given its complexity additional time was required to investigate.	100%
Number of complaints where an extension to the 5 or 20 day target has been authorised (quarterly)	0	0	0	0	1	1		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		100%	19/20: Complete Approved Budget for 20/21 and inherent contribution to MIJB approved by Council in February 2020.



02. The local economy is more productive and inclusive

Code	Action	Due Date	Icon	Progress	Comment & Planned Improvement Action
CORPS.P.5.2	Deliver actions from the Procurement Strategy (2018-2023)	31-Mar-2020		100%	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.2.1	Deliver in-house support to Economic Development through planning agreements and property transactions	31-Mar-2020		100%	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		100%	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.2.4	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		100%	19/20: Complete 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%	19/20: Off Target CMT gave initial consideration to a comprehensive recruitment strategy paper in quarter 4 and given the importance of the subject matter agreement was reached to have a dedicated CMT session late in 2019/20 . However this has been delayed by COVID 19 but a positive arising from this the delay allows us to reflect learning from the COVID experience and the Nesta work in any revisions to our approach to recruitment. A dedicated CMT session will now be to schedule in quarter 3 2020/21.
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%	19/20: Off Target Although significant progress was made on this action during the year the work to secure completion had to be suspended as all HR resource was diverted to support the response to the COVID19 public health emergency.






04. Inequalities in learning outcomes have reduced








Code	Action	Due Date	Icon	Progress	Comment & Planned Improvement Action
CORPS.P.2.2	Implementation of the Digital Strategy	31-Mar-2020		80%	19/20: Off Target Whilst the majority of the actions were successfully completed during the year the Covid19 Pandemic impacted on the completion of the previously agreed programmes of work for the year. A number of priorities were changed to facilitate a controlled response to Covid and other items of work have now been put on hold. As a consequence of the Covid response there now needs to be a re-alignment of business and digital priorities to support the Councils restart plan and "digital by default" initiatives.
FISS.P.4.1	Implementation of Digital Services Asset Management and Investment plans - Corporate / Schools	31-Mar-2020		95%	19/20: Off Target The Covid Pandemic has directly impacted on the planned work in 2019/20 in respect of the wider Asset management programme and preparation of updated investment plans, delaying the deployment of new assets across the Council. Although in the last few weeks as some of the controls have been relaxed mainly around school access we now plan to target a number of schools to refresh the Digital assets.






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%	19/20: Off Target A number of initiatives which would have been prioritised towards the year end have been put on hold since all HR resource was diverted onto responding to the COVID public health emergency.







06. Ensure sustainable strategy for the delivery of Council Services





Code	Action	Due Date	Icon	Progress	Comment & Planned Improvement Action
CORPS.P.3.1	Support continued development and delivery of the Medium Term Financial Strategy, which will enable sustainable financial planning.	31-Mar-2020		100%	19/20: On Target An updated Medium Term Financial Strategy was approved by Council on 11th February 2020 including approval of measures to balance the 20/21 budget. A further update on MTFFS is scheduled for Q2 of 21/22.
CORPS.P.3.3	Deliver quarterly financial reports and commentary to Council	31-Mar-2020		100%	19/20: Complete Financial performance against budget for 19/20 was reported to Council on 16th June 2020.
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%	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%	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		100%	19/20: Complete Midlothian Council complies with the Public Sector Cyber Resilience Action Plan At this time it is even more important that the Council has appropriate Cyber security measures in place given the heightened number of attacks being reported in the media. The current activities to improve the 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. The Scottish Government have introduced a new security standard called the Scottish Public Sector Cyber Resilience Framework 2019/20 that where practical should be complied with during 2020/21. An action plan will need to be prepared to achieve it. A new action in this report should be created. 3. Undertaking annual PSN security testing of externally facing websites and the Councils internal network – Complete and Compliance and certification complete for 2020/April 2021 4. Preparing for the annual Cyber Essentials security testing of the corporate and schools network. This has been put on hold as security assessors cannot attend site due the COVID19 lockdown. 5. Reviewing the cyber security supplier assessment procedure.

Code	Action	Due Date	Icon	Progress	Comment & Planned Improvement Action
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		90%	19/20: Off Target The Covid Pandemic has directly impacted the wider Asset management programme, delaying the deployment of new assets across the Council. Although in the last few weeks as some of the controls have been relaxed mainly around school access we now plan to target a number of schools to refresh the Digital assets. Ensuring the digital assets being deployed are fit for purpose (Pc, windows 10 and Server replacement). The Server replacement programme still has a number 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 in line with Cloud first strategy.
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%	19/20: Off Target The planning work for migration to Ms Exchange hosted had to be accelerated as a consequence of the Covid pandemic for approx 1200 laptop users to allow for the deployment of MS Teams. This meant that a lot of the underlying technical controls around testing and wider deployment had to be relaxed. The focus now has to be on the fuller deployment of Microsoft O365 before fuller advantages of this solution can be achieved.
FISS.P.6.06	Implementation and upgrade of Critical Business Applications	31-Mar-2021		65%	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. A number of applications are currently due for upgrade over the next few months and project resource needs to be secured to assist with these activities.
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%	19/20: Off Target Invoice Approval implementations complete for HR, Dalkeith Social Work Centre, Hawthorn Children's Centre, Procurement & Communications. E-invoicing phase 2 complete and suppliers identified for phase 3. Lodged cards on hold and completion of the roll out suspended as resources were diverted to the covid response..
FISS.P.6.08	Achieve the actions set out in the Total Document Management project plan	31-Mar-2020		100%	19/20: On Target Resources: Progress on development of new workstreams continues to be restricted. Invoice Approval: Continued support provided to Purchase to Pay team during roll out of Invoice Approval. Workflows: Maximising Attendance Workflows - Ongoing. Workflow development resource reallocated to COVID response.
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		45%	19/20: On Target Sales to Cash - Implementation of Quick Imports for Housing Repairs, Music Tuition, Social Care non-residential now live. Payroll Transactions - Implementation of iTrent Electric complete including re-launch of MiTeam. Casual staff purge completed. Finance Transactions - BACS Authorisation and Bankline e-forms complete.
FISS.P.6.10	Achieve actions set out in the Business Services Improvement plan	31-Mar-2020		75%	19/20: Off Target

Code	Action	Due Date	Icon	Progress	Comment & Planned Improvement Action
					Workstreams were progressing however resource redirected as focus from March was on COVID response. Actions will be reviewed and timescales updated as required as we resume business as usual. As identified elsewhere the service was broadly delivered within budget and the remaining actions are to consolidate changes into the staffing establishment
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		100%	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		75%	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%	19/20: Off Target The completion and approval of the final policies planned for 2019/20 were put on hold as all HR resource was diverted to deal with the COVID-19 public emergency. In addition a Remote Working Policy is currently being consulted on with the trade unions as well as a wealth of guidance notes to support the policy.
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%	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%	19/20: Complete

07. Local Government Benchmarking Framework

PI Code	PI	2018/19	Q1 2019/20	Q2 2019/20	Q3 2019/20	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	2.52	4.49	7.23	9.7			19/20: Off Target COVID-19 has had significantly affected absence levels across the council during March 2020. Pro active work is now underway to work with manager's to facilitate a return to work for those who cannot work from home ensuring a robust risk assessment is in place and where relevant an OH assessment.	7.5	
CORP3b	Corporate Indicator - The Percentage of council employees in top 5% of earners that are women (LGBF)	49.2%	49.2%	50.3%	48.9%	51.0%			19/20: On 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%	3.26%	3.08%	3.32%	3.06%			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		18/19 Rank 18 (Third Quartile) 17/18 Rank 14 (Second Quartile). 16/17 Rank 14 (Second Quartile). 15/16

PI Code	PI	2018/19	Q1 2019/20	Q2 2019/20	Q3 2019/20	2019/20				Annual Target 2019/20	Benchmark	
		Value	Value	Value	Value	Value	Status	Short Trend	Note			
										more male staff at higher rates of pay by 3.06%.		Rank 18 (Third Quartile)
CORP6a	Corporate Indicator - Teachers Sickness Absence Days (LGBF)	5.15 days	1.71 days	0.78 days	4.00 days	5.80 days				19/20: Data Only		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	2.83 days	2.66 days	8.50 days	11.19 days				<p>19/20: Data only 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 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>		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).


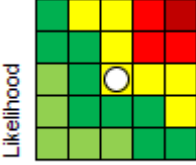

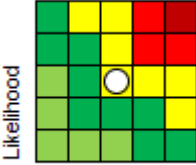
PI Code	PI	2018/19	Q1 2019/20	Q2 2019/20	Q3 2019/20	2019/20				Annual Target 2019/20	Benchmark	
		Value	Value	Value	Value	Value	Status	Short Trend	Note			
										MAW training will be rolled out starting February 2020. Areas of high absence occurrences will be targeted in the first instance. A pilot 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.		


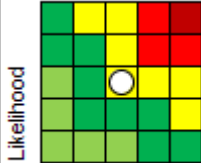

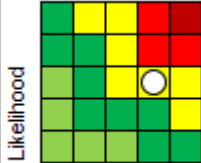
Finance and Integrated Service Support Service Risks



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


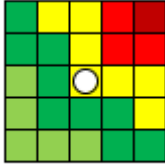
Code & Title	Risk Identification	Risk Control Measure	Risk Evaluation	Related Action	Related action latest note	Current Risk Matrix	Risk Score
		01 - security procedures implemented at school level 02 - investigate whether application can be monitored remotely then apply any appropriate Security procedures 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	⚠				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.	<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	⚠				15


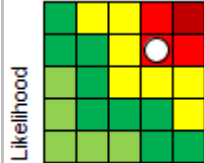

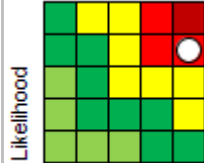
Code & Title	Risk Identification	Risk Control Measure	Risk Evaluation	Related Action	Related action latest note	Current Risk Matrix	Risk Score
	Risk Effect: Legislation not met	04 - well established Elections procedures in accordance with statute					
FISS.RR.01-29 Communications and Marketing – Divisions 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 03 - informal monitoring and highlighting issues to Divisions 04 - launch of Communications & Marketing Strategy					9
FISS.RR.01-31 Communications and Marketing – Maintaining good relations with media	Risk Cause: Poor relationship with all strands of the media 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.	<u>The main internal controls to mitigate the identified risks are:-</u> 01 - continue to maintain good liaison with third party/media contacts, understanding each other's requirements 02 - endeavour to adhere to deadlines requested, where reasonable/possible, with co-operation from Divisions where necessary					9

Code & Title	Risk Identification	Risk Control Measure	Risk Evaluation	Related Action	Related action latest note	Current Risk Matrix	Risk Score
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 extraction and exchange timetables.</p>	<p>Day to day tasks 01 - Provide breakdown of daily duties 02 - Monitor feedback - Schools 03 - Monitoring procedures in place 04 - Staff training</p> <p>Data extraction and exchange 01 - Programme agreed with SEED 02 - Staffing in place to meet timetable 03 - Alternative staffing in place</p>				 <p>Likelihood</p> <p>Impact</p>	9
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</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</p>				 <p>Likelihood</p> <p>Impact</p>	12


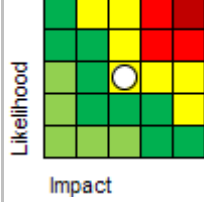

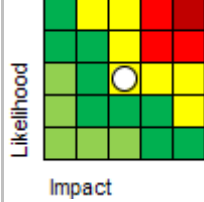
Code & Title	Risk Identification	Risk Control Measure	Risk Evaluation	Related Action	Related action latest note	Current Risk Matrix	Risk Score
	<p>failure affecting school and central operations (3) outbreak of fire in comms room (4) cabling difficulties in schools (5) loss of major hub sites (6) failure 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>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> <p>02 - Support contract in place</p> <p>InterConnect</p> <p>01 - National SSDN contract in place</p> <p>02 - 24x7 monitoring</p> <p>03 - resilience</p> <p>Minor Hub sites</p>					

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

Code & Title	Risk Identification	Risk Control Measure	Risk Evaluation	Related Action	Related action latest note	Current Risk Matrix	Risk Score
FISS.RR.09 DS – Compliance – Regulatory, Contractual and Legal	<p>This is the risk of censure and includes DPA, FOI, RIPSA, 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 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><u>The main internal controls are:-</u></p> <p>01 - Identify areas of poor practice</p> <p>02 - Educate users with their Information Security responsibilities</p> <p>03 - Undertake risk assessment of compliance responsibilities for GSX, ViSOR, PLDN and SCRO</p> <p>04 - Policies and Guidelines exist to maintain compliance</p> <p>05 - New Projects approved \ initiated via Digital Strategy Group \ CMT</p>				 <p>Likelihood</p> <p>Impact</p>	16
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</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>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>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 (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>	<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>					

Code & Title	Risk Identification	Risk Control Measure	Risk Evaluation	Related Action	Related action latest note	Current Risk Matrix	Risk Score
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.					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					9

Finance and Integrated Service Support Balanced Scorecard Indicators

PI Code	Performance Indicator	2017/18	2018/19	2019/20			
		Value	Value	Value	Status	Short Trend	Note
BS.MC.MPI.42	Percentage of employees who are performing as 'Outstanding' in their individual performance framework	6.7%	6.31%	7.01%			19/20: Data only
BS.MC.MPI.43	Percentage of employees who are performing as 'High' in their individual performance framework	25.55%	26.79%	20.27%			19/20: Data only
BS.MC.MPI.44	Percentage of employees who are performing as 'Good Overall' in their individual performance framework	39.9%	47.68%	50.06%			19/20: Data only
BS.MC.MPI.45	Percentage of employees who are performing as 'Below Standard' in their individual performance framework with appropriate improvement plans in place	0.59%	0.85%	0.25%			19/20: Data only
BS.FIS.01	Percentage of staff turnover (including teachers)	10.3%	10.38%	9.22%			19/20: Data only.
BS.FIS.03	Number of Apprenticeships and trainee positions	N/A	85	146			19/20: Data only
BS.FIS.08	Employee Survey - I enjoy the work I do	N/A	91.21%	N/A			19/20: No employee survey carried out during 19/20.
BS.FIS.09	Employee Survey - I am proud to work for Midlothian Council	N/A	81.15%	N/A			19/20: No employee survey carried out during 19/20.
BS.FIS.10	Employee Survey - I can see how my objectives link to the councils objectives and priorities	N/A	75.39%	N/A			19/20: No employee survey carried out during 19/20.

Published Local Government Benchmarking Framework - Corporate Solutions



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						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)