

Mid-Year Chief Officer Report

Report Author: Chief Officer – Governance
Report Date: November 2014
Report Period: April to September 2014

Introduction

The Chief Officer report is produced on a half yearly basis and provided to Cabinet Members for review and assurance focusing on the 'business as usual'. The reports are provided for Overview and Scrutiny Committees as part of their Forward Work Programmes. Chief Officer reports compliment the Improvement Plan monitoring reports.

Chief Officer reports are exception reports which summarise the key information Members should be aware of, including both good and poor performance. Emerging issues / operational risks are also detailed. The reports are split into three distinct sections: -

1. Performance Overview- this section is used to give an overview of the progress being made towards delivery of key plans for the services which include those Improvement Priorities which do not have an in year focus i.e. these are not reported within the quarterly Improvement Plan monitoring. It is also used to highlight good news and key issues (including operational risks) arising. In addition, summary progress is given for key projects and collaborative areas of work.

2. Internal and External Regulatory Reports- this section summarises regulatory work reported in the half year and its outcomes and intended actions arising from recommendations.

3. Corporate Reporting- this section summarises the performance in relation to corporate issues i.e. Sickness absence, Complaints

Plus supporting appendices: -

Appendix 1- Performance Indicators - summary table of the key performance indicators used to manage the services. In addition, any NSI and PAM (statutory PIs) reported by the services are included.

Appendix 2 - High level (red) operational risk detail - completed full risk templates for those risks currently assessed as high (red).

Section 1 - Performance Overview

This report covers the following functional areas:

- Procurement
- Legal
- ICT
- Information Security / Records Management
- Member / Executive Support

Areas of Positive Performance

Overview & Scrutiny:

During the period, work on the Overview & Scrutiny Annual Report, revisions to the Overview & Scrutiny Handbook and the development of a public engagement strategy for Overview & Scrutiny have been notable. In September, the Housing Overview & Scrutiny Committee was attended for the first time by a member of the public exercising his rights under the Public Speaking Arrangements which as a part of the 'Four protocols for public engagement' were adopted by the Constitution Committee last year.

Elections & Electoral Registration:

European Election

During this period the European Parliamentary General Election was successfully managed by the Elections Team for the area of Flintshire. There were 19,351 electors registered for a postal vote and 11,661 were returned which was 60% return rate. The overall turnout figure for the election was 31.2%

Introduction of Individual Electoral Registration

In June, the household system of electoral registration was replaced by Individual Electoral Registration (IER) whereby each person is responsible for registering to vote individually. In addition, people can now register to vote online for the first time.

Over 91% of electors have been automatically transferred through a data matching exercise involving the Department of Work and Pensions database – Over 105,000 confirmation letters have been sent to those electors. Over 14,000 letters have been sent to complete the registration process and those who have not responded are currently being chased.

IT:

Achievement of Public Sector Network (PSN) Compliance

Implementation of IT Service Review

Major upgrades to key business systems were undertaken:

- Capita Open Housing
- Midland Trent
- Open Revenues
- PARIS
- Mayrise

Infrastructure upgrades undertaken:

- FlintMAP remote access solutions
- Contact Centre Telephony Solution
- Councils main telephony switch
- Server and storage upgrades

Helpdesk calls resolved at first point of contact continue to exceed targets.

IT – Service Review:

Phase 1 of the IT service review was implemented on target on May 1st. Recruitment to vacant posts is still ongoing. Discussions regarding Phase2 of the review are scheduled for early November.

IT – Education IT:

The line management responsibility of the Education IT Unit was transferred following the secondment of the Education ICT Advisor to Welsh Government. The review commenced in July 2014 and the outcomes of that review are due to be reported end Nov 2014.

IT Service Desk:

As part of the Service Review, an IT Service Desk manager has been appointed and started work in October 2014. This will allow for increased focus on the performance of the service and for additional improvement opportunities with the IT Service Management system (TOPdesk) to be identified. It is recognised that issues have been raised around the responsiveness and consistency of this service and this appointment will add some focus to improving this situation.

Currently service desk performance is above target for calls resolved at first point of contact at 45.83% against a 34% target. However, calls resolved in agreed timescale is down at 83.66% against a target of 94% target. This reflects the volume of projects and change being implemented at the moment along with the impact of having tightened our resolution timescales.

Procurement

Merger of the Corporate Procurement Units of both Flintshire and Denbighshire Councils

- The merger of the Corporate Procurement Units of both Flintshire and Denbighshire Councils became operational on 1st July 2014 with no issues from staffing perspective resulting from a TUPE transfer. This has resulted in an increase in collaborative opportunities for joint contracts resulting in economies of scale benefits.
- The merger has also ensured greater resilience and capacity within the new Collaborative Procurement Service, which has resulted in providing additional support to service areas in delivering their efficiency targets.

Proactis E-sourcing solution implementation

- The configuration of the e-sourcing solution is progressing well, with numerous workshops held with individual service areas. The solution is expected to be rolled-out into individual service areas in early 2015. Once implemented the solution will deliver process efficiencies in terms of tendering and contract management as well as ensuring full compliance with our internal Contract Procedure Rules. General feedback has been very positive with officers requesting access to the solution sooner rather than later.

Proactis Purchase to Pay (P2P) solution implementation

- The Purchase-to-Pay solution has been fully rolled-out to service areas with the exception of schools and linkages to job costing systems. As a result purchase ordering and invoice processing is now being undertaken through various workflow processes and transactions are authorised at the appropriate delegated levels with the relevant controls in place to reduce off contract spend.

E-invoicing implementation

- Progress has also been made in respect to moving forward with e-invoicing implementation, this project once completed will negate the need for circa 90,000 paper invoices to be manually processed for payment, resulting in process efficiencies, early payment discount opportunities and ability to retrieve and view invoices on-line. Commercials are currently being negotiated with our e-procurement partner and the project will commence in December 2014. The commercials received from our Proactis, our strategic e-procurement partner will provide the Authority with efficiency savings of £40k in comparison to the unit costs available generally in the marketplace.

Three Counties Procurement Transformation Programme

- The Three Counties Procurement Transformation Programme involving Flintshire, Denbighshire and Gwynedd Councils is now well into the implementation phase, with extensive supplier market consultation undertaken. A tender notice for the appointment of a Transformation Partner to support the delivery of a new commissioning and procurement function based on category management has been recently published. It's envisaged that this transformational programme which has secured regional collaboration funding from Welsh Government, will aim to deliver significant efficiency savings from smarter procurement but also from headcount reduction in the number of staff needed to commission and procure going forward.
- As part of the Three Counties project, a staff survey was undertaken highlighting the number of staff in the Authority that had procurement / commissioning responsibilities. The result of this survey has given an insight

to the total number of staff involved, which can be targeted for future training and communication purposes as well for scoping potential future headcount efficiencies.

National Procurement Service

- The Welsh Government has set up the National Procurement Service (NPS) to procure “once for Wales” on common and repetitive spend across the Welsh public sector. The spend in scope is circa 20% of the Authority’s total procurement spend.

Areas of Concern

FOI

For the quarter year to the end of September only 77% of requests were determined within the statutory time frame. This is the first quarter where the average has fallen significantly below the 85% expected by the Information Commissioner’s Office. The tables for the last two quarters are shown below.

Quarterly report - for Members and for FOI Contact Officers

Total Number of FOIs responded to by FCC, Jul - Sept 2014

	Number of requests signed off	Number of requests determined within 20 day response time	Therefore % determined within the 20 day response time *
Chief Executive's	4	3	75%
Environment	86	68	79%
Finance	27	21	78%
Housing	10	6	60%
Human Resources	26	17	65%
ICT Services	15	11	73%
Legal & Democratic	21	21	100%
Lifelong Learning	25	10	40%
Revenues & Benefits	4	3	75%
Social Services	30	30	100%
TOTALS	248	190	77%

Quarterly report - for Members and for FOI Contact Officers

Total Number of FOIs responded to by FCC, Apr - Jun 2014

	Number of requests signed off	Number of requests determined within 20 day response time	Therefore % determined within the 20 day response time *
Chief Executive's	7	6	86%
Environment	89	85	96%
Finance	54	32	59%
Housing	11	8	73%
Human Resources	8	7	88%
ICT Services	10	7	70%
Legal & Democratic	12	12	100%
Lifelong Learning	29	28	97%
Social Services	28	28	100%
TOTALS	248	213	86%

IT:

- Service demands continue to increase and prioritisation proves difficult with the level of change across the council.
- Second level helpdesk call resolution due to service demand and volume of organisational change projects.
- Vacancy management as a result of IT Service review. Recruitment is currently underway and figures fluctuates. As of date of the report there are 7 vacancies.
- Continuing to have a large number of calls logged. Current average of 2445 per month with a peak of 3099.

Procurement:

- The National Procurement Service (NPS) was established 12 months ago by Welsh Government to procure common and repetitive spend, on behalf of the entire Welsh public sector. Due to staff recruitment issues and delays in delivering specific projects, the NPS will not deliver the projected cashable efficiencies within this financial year. As a result the Authority will need to identify and realise additional procurement efficiencies to cover any slippage. The anticipated additional savings of £250,000 required to cover the slippage is in hand and will be delivered from local procurement projects.
- Service demands continue to increase, which is putting further resource pressures on the new Collaborative Procurement Service. The implementation of the Three Counties Project should result in an organisational re-structure of staffing with commissioning and procurement responsibilities within the Authority. The new Target Operating Model should then deliver a fit for purpose structure with appropriate capacity and capability.

Improvement Plan (none in year priorities)

Not applicable

Key Projects&Collaboration / Partnership Working

Webcasting:

An all Wales procurement for Webcasting of Committee meetings is being explored and a further report will be submitted to the Constitution Committee on 28 January 2015.

IT – Member IT:

The rollout of technology to improve Members IT is nearly complete with 68 councillors having received an iPad and training in its operation. Provision of paper reports will end on 31/12/2014 and members will be wholly reliant upon their new technology. The secondment of an existing member of IT staff into a Members IT Support role is due to end on 31/12/2014.

IT – IT Service Management System (TOPdesk) & Work Processes:

The IT service has invested in a service management system (Topdesk) as part of a regional collaboration project. This system has the ability to help the service in managing assets, change, problems, stock and ordering and improved customer engagement through self-service. To date only incident management has been fully utilised but the service now hopes to move forward in other areas to allow for improved process and performance.

IT- Electronic Document Management:

Work continues to reduce paper storage, modernise processes and improve information access and availability, by the use of an Electronic Document Management System, aligned to our Assets Programme.

The following projects have been completed; HR – electronic staff records, Housing – Tenancy records and related information, Asset Management, Licensing, Paper River - product to allow scanning directly to EDM from multi-function devices (MFD's), My Briefcase - product to allow agile working with EDM where no network connection is available, General Filing in IT, Street Works and Public Open Spaces

The following projects are currently being delivered; Public Protection, Housing Renewals, Bereavement Services, Regeneration and Flintshire Connects – Blue Badge application.

The following projects are in the planning stage: Social Services (general filing and client documents), Planning, Active Directory integration and electronic mailroom.

IT – Customer Relationship Management (CRM) System:

CRM technology has been implemented within the Contact Centre during 2013-14 (primarily for Streetscene customer enquiries). CRM is being further developed to integrate with the councils website and to add additional functionality to support Streetscene services. The major focus at present is the development of a complaint handling element to meet new national standards.

IT – Microsoft:

We are currently in the process of standardising many of our technologies on Microsoft products. A programme consisting of 11 individual projects has been set

up. The projects range from infrastructure upgrades, the upgrade from Windows XP, the replacement of Lotus Notes with Microsoft Exchange and the implementation of a new Systems Management solution. The programme is due to complete by mid 2015.

As part of this programme, the service will deploy Virtual Desktop Infrastructure (VDI) technologies delivering Windows 7 and Office 2013 on existing hardware. This will allow rapid deployment of these and future technologies, will provide further resilience to support agile working and reduce reliance on desktop hardware which will maximise the investment in existing desktop hardware.

The programme is underpinned by a communications and training and development plan to ensure that customers are supported through this transition.

IT – Agile Working (inc. Wireless):

IT continues to support the Council's Assets programme by supporting teams needing to work in an agile manner. This support comprises of awareness sessions for service managers providing advice and guidance in terms of IT facilities available to assist teams. IT are also supporting teams by providing mobile devices, new and improved software, 'follow me' desktop through VDI (see above), new telephony facilities, agile printing facilities and continue the rollout of a corporate Wireless solution across council buildings. All of these technologies are key enablers for supporting workers wishing to hot desk and work in an agile manner, which is critical to our Assets programme.

IT – Learning in Digital Wales (LiDW):

Flintshire received £1m from WG to support the improvement of each school's IT infrastructure under the Learning in Digital Wales (LiDW) initiative. The council has now implemented the improvements to this infrastructure and has provided a centrally managed wireless solution which allows wireless access across all the schools in Flintshire. This also allows schools to introduce Bring Your Own Device (BYOD) facilities, so pupils can use their own electronic devices within the learning environment. All schools infrastructure works were completed by July 2014.

IT – Public Sector Broadband Aggregation (PSBA):

The PSBA project delivers improved connectivity to schools and corporate sites. This project was jointly funded from investment by the council and grant funding received from Welsh Government under the Learning in Digital Wales (LiDW) initiative. This project managed by Welsh Government and delivered by staff within Flintshire, has seen the upgrading of communication links to 110 sites across Flintshire with the estimates completion date of March 2015 for the remaining 30 sites.

IT – Infrastructure Upgrades:

A considerable number of IT Core Infrastructure upgrades have taken place recently to refresh and upgrade technologies and support a number of projects particularly the Microsoft Programme and Agile Working. Much of this has taken place 'behind the scenes' with minimal business impact but will deliver significant ongoing business benefits such as future proofing IT systems, preparing for future increased workloads (mobile, agile), providing additional capacity and improved security and security compliance.

In addition, major upgrades have taken place to PARIS (Social Care), Midland Trent (HR/Payroll), Civica Open (Revenues and Benefits), Mayrise(Streetscene) and Capita Open (Housing).

IT – Security:

As a condition of the council receiving its Housing Benefits subsidy, the council must ensure that the IT systems used to communicate with Department for Work and Pensions are delivered to Public Sector Network (PSN) accredited standards. These standards are developed and managed by Communications-Electronic Security Group (CESG) which is the National Technical Authority for information assurance and operates as a group within Government Communications Headquarters (GCHQ). They are developed to exacting levels of detail and with very little compromise. This accreditation is highly complex and impacts across the whole IT service. Accreditation was achieved in August. Considerable work must continue throughout the year in order to mitigate security vulnerabilities that emerge. The standard continuously changes and demands on the service to meet them are likely to increase as a result.

IT – Website:

A redesign of the council’s website has been undertaken following mixed feedback relating to the version launched in September 2013. The current design is based on recognised best practice aimed at customers reaching the services they require with the minimum number of ‘clicks’. The new design is mobile and accessible and work is now ongoing with Customer Services to make major improvements to website content and to develop digital services aimed at increasing online facilities for customers with the potential to deliver service efficiencies in related service areas.

Procurement:

- E-sourcing implementation
- E-invoicing implementation
- 3 County Procurement Transformation Programme
- Collaborative Procurement Service between Flintshire and Denbighshire

Progress for all is covered in previous sections.

Summary of Operational Risks (from the above sections)

Risk Type	Risk Ref. and Description	Net Risk Score	Risk Trend	Target Risk Score & Date
Operational	Internal Customer Service - helpdesk telephone response times, resolution of helpdesk calls	A	↑	G Dec 15
Operational	Demand Management	A	↑	G Dec 15
Operational & Project	Budget Constraints to meet increased demands for technology.	A	↑	A Sept 15

Operational	Asset Management - Ensuring that all asset information is recorded accurately and maintained	A	↔	G Mar 15
Operational	Change Management - ensuring that we implement change in a structured and coordinated way that reduces risk	A	↔	G Sept 15
Operational	Capacity to meet requirements of Organisational Change	A	↔	G Dec 15
Collaboration	Keep up the pace of collaboration to maximise procurement efficiencies through the use of the National Procurement Service and Welsh Procurement consortium frameworks.	G	↔	G Nov 14
Operational	Ensure the internal adoption of revised procurement practice and process	A	↔	G Mar 15
Project	Having the creativity to apply community benefit clauses within contracts	A	↓	G Mar 15
Operational	Council's failure to comply with the statutory timescale for responding to FOI Act requests	R	↑	A Mar 15

Section 2 - Internal and External Regulatory Reports

Report: Member Allowances (Internal Audit)

Date Finalised: 18 September 2014

Conclusion: Good Progress

Recommendations: No recommendations made.

Summary

Taking account of the issues identified, Management can take substantial assurance that the controls upon which the organisation relies to manage this risk are suitably designed, consistently applied and effective.

Report: The European Parliamentary elections and the local government elections in England and Northern Ireland May 2014 (The Electoral Commission)

Date Finalised: July 2014

Conclusion: The elections on 22 May were well run. Voters were satisfied with the way they were run and were able to participate either by voting in person at a polling station or by completing and returning a postal vote.

However, there remain a number of challenges and improvements that can be made for future elections to ensure that the interests of the voter continue to be put first.

Recommendations: General recommendations, to look at minor changes to regulations and administrative barriers. However, none specific to Flintshire.

Section 3 - Corporate Reporting Q2 July-September

List the Equalities and Welsh Language Impact Assessments: -

(1) Started/Work in Progress

(2) Completed

during the period (April – September 2014)

None

List the work areas / functions where diversity of customers are monitored

None

Appendix 1 - Performance Indicators

Key

R	Target significantly missed or likely to be missed by a significant margin
A	Target missed or likely to be missed but within an acceptable level
G	Target achieved / exceeded or on track to be achieved / exceeded

The RAG status of the indicators for the half year position are summarised as follows: -

R	1	A	1	G	10
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Note 1 – NSI = National Statutory Indicator PAM = Public Accountability Measure

Note 2 – Change (Improved / Downturned) is based on comparison with the previous reporting period. Where it is more appropriate to compare performance with the same period in the previous year this should be stated in the commentary.

Indicator	NSI / PAM (Note 1)	Annual Outturn 2013/14	Annual Target 2014/15	Mid-Year Outturn 2014/15	RAG	Change e.g. Improved / Downturned (Note 2)	Commentary
Democratic Services:							
Agendas Circulation – Percentage of agendas to be circulated 3 clear days before the date of the meeting	Local PI	100%	100%	100%	G	Maintained	
Availability of Draft Minutes (5 days) – Percentage of draft minutes available 5 working days after the meeting	Local PI	100%	100%	99%	A	Downturn	

Indicator	NSI / PAM (Note 1)	Annual Outturn 2013/14	Annual Target 2014/15	Mid-Year Outturn 2014/15	RAG	Change e.g. Improved / Downturned (Note 2)	Commentary
Availability of Final Minutes – Percentage of final minutes available to the public 15 working days after approval at the subsequent meeting	Local PI	100%	100%	100%	G	Maintained	
Legal Services:							
Ensuring school admission decision letters are despatched within 5 working days	Local PI	N/A	80%	96.6%	G	N/A	
Number of child care cases issued in court	Local PI	N/A	N/A	13			This is management information
Completing child care cases within 26 weeks under Public Law Outline	Local PI	N/A	80%	100%	G	N/A	
Despatch first draft within 20 working days of receipt of full instructions standard contract (ICE, JCT, etc s106 Agreement sale/lease of land s278/s38 Agreements	Local PI	80%	80%	80%	G	Maintained	

Indicator	NSI / PAM (Note 1)	Annual Outturn 2013/14	Annual Target 2014/15	Mid-Year Outturn 2014/15	RAG	Change e.g. Improved / Downturned (Note 2)	Commentary
Customer Services – satisfaction: Full questionnaire from all departments	Local PI	80%	80%	80%	G	Maintained	
I.T.:							
ICTM1 Service desk Calls fixed on time	Local PI	89.53%	94%	83.66%	R	Downturned	This reflects the volume of projects and change being implemented at the moment within the division along with a tightening of resolution timescales. See Risk Assessment in Appendix 2.
ICTM2 Service desk Calls resolved at first point of contact	Local PI	41.65%	35%	45.83%	G	Improved	There has been a focus on addressing as many calls as possible at first point of contact and with the new structure being introduced in the service desk team we will be considering an increase to this target to 50% for 2015/16.

Appendix 2 – High Level (Red) Net Risks

Risk to be managed: Failure to deal with FOI requests within statutory timescale.

Gross Score (as if there are no measures in place to control the risk)			Current Actions / Arrangements in place to control the risk	Net Score (as it is now)			Future Actions and / or Arrangement to control the risk	Manager Responsible	Risk Trend	Target Score & Date (when all actions are completed / satisfactory arrangements in place)			
Likelihood	Impact	Gross Score		Likelihood	Impact	Gross Score				Likelihood	Impact	Gross Score	Date
(L)	(I)	(LxI)		(L)	(I)	(LxI)			(L)	(I)	(LxI)		
H	H	R	There is a process for allocating FOI requests to services and for monitoring response times.	H	H	R	Increased priority by services to complying with timescale.	Democracy & Governance Manager	↔	L	H	A	Mar 2015