

Year End Chief Officer Report

Report Author: Chief Officer – Governance

Report Date: April 2015

Report Period: 01 October 2014 to 31 March 2015

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:

- Democratic Services
- ICT
- Legal
- Procurement

Democratic Services

The service successfully delivered the European Elections (turnout 31.2%) at the start of the reporting period and began preparations for the General Election at the end of the period. Several by elections, including for a new county councillor in Flint, were held during the period as well.

The new system of Individual Elector Registration was introduced during the year. Existing electors were transferred on to the new system by electronic matching in the first instance before a full canvass was conducted. Registration rates in the annual canvass dipped slightly by 1.31% (116,151 electors) for 14/15 (register published on 1st December 2014) compared to 13/14 (117,676 electors). However, the General Election resulted in a slight increase in rolling registration by 1.93% (118,439 electors) at 1st June 2015.

At the AGM in May 2014 it was agreed that the structure of the Overview and Scrutiny Committees should be reviewed and adoption of the new Welsh model constitution should be considered. Working groups from the Constitution Committee considered both issues during the year and made recommendations for change that were unanimously adopted at this year's AGM.

The service continued to administer Environmental Information Regulation (EIR), Freedom of Information (FOI) and Data Protection Act (DPA) requests, despite a vacancy in the team. Compliance with response timescales dropped whilst the resource to monitor progress was reduced. Performance against targets is set out below:

Total Number of FOIs responded to by FCC 2014/15

	Number of requests signed off				Totals	Number on time	% on time
	April-June	July-Sept	Oct-Dec	Jan-Mar			
Chief Executive's	7	4	9	6	26	23	88.46
Culture & Leisure (Org Change 1)			4	9	13	13	100.00
Environment	89	86	69	53	297	255	85.86
Finance	54	27	15	11	107	75	70.09
Housing	11	10	13	17	51	30	58.82
Human Resources	8	26	21	28	83	59	71.08
ICT Services	10	15	18	18	61	45	73.77

Legal & Democratic	12	21	15	21	69	68	98.55
Lifelong Learning	29	25	11	18	83	60	72.29
Revenues & Benefits		4	35	30	69	64	92.75
Social Services	28	30	33	32	123	123	100.00
TOTALS	248	248	243	243	982	815	82.99

**Total Number of EIRs responded to by FCC
2014/15**

Lead Directorate	Number of requests signed off				Totals	Number on time	% on time
	April-June	July-Sept	Oct-Dec	Jan-Mar			
Environment	225	239	225	225	914	909	99.45
Legal & Democratic	1	1			2	2	100.00
TOTALS	226	240	225	225	916	911	99.45

	April-June	July-Sept	Oct-Dec	Jan-Mar	Totals	Number on time	% on time
FOI and EIR aggregated	474	488	468	468	1898	1726	90.94

Information Technology

IT - Education IT

Stakeholders have been consulted on the proposed delivery model to address the short and long term needs identified by them. The majority of schools have accepted the proposed model. Subject to Cabinet approval, it is envisaged that the new delivery model will be implemented by April 2016

IT Restructure

Phase 1 of the IT Review, affecting Corporate IT, was implemented in the summer of 2014

IT - Service Desk

There has been a reduction in the total number of calls and an increase in calls resolved at first level. Whilst fewer calls overall were resolved within agreed timescales, the target times for resolution has been significantly reduced. This has proved challenging for the service at a time of significant organisational change and increased demand on the service

Performance Indicator	Year		
	2012/2013	2013/14	2014/15 (Year End)
The number of service desk calls which are restored for use in a timescale agreed by IT and the service user	29506	28935	27284
The number of service desk calls which are restored for use at the time of the incident being reported	10920	13460	16084
The total number of service desk calls	32238	32320	31055
The percentage of service desk calls which are resolved for users in a timescale agreed by IT and the service user	91.53%	89.53%	87.86%
The percentage of service desk calls which are resolved for users at the time of the incident being reported	33.87%	41.65%	51.79%

IT – Members IT

IPads have been delivered to those members who wanted one and are being used to receive committee reports and associated corporate information. Some issues have been identified and work is currently underway to address these through looking at the configuration of software plus additional support and training.

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

The system continues to be developed with work underway to support stock management and ordering and problem management from an IT perspective. The system is also being developed to replace around 50 Lotus Notes systems and has the capability to be used more broadly across the council ensuring maximum return on investment e.g. the system is to be used to provide a corporate room booking system to support the assets programme

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 have now been delivered; Bereavement Services, Flintshire Connects – Blue Badge

applications, public Protection, Housing Renewals, Bereavement Services, Regeneration. 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 is now integrated with the website so that any information logged on website is reflected on CRM, or even directly integrated with back office systems. The system will continue to develop as part of the channel shift project. There is close working with Streetscene and Customer Services to identify additional opportunities to improve first line customer contact and resolution.

Work is ongoing as follows:

- Changes to reflect change of operation in Streetscene for deliveries
- Housing Options in conjunction with Flintshire Connects
- Gateway referrals in conjunction with Supporting People.

Over 66,000 contacts have been logged through the system in 2014/15.

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 the mid 2015.

Significant progress has been made with all projects now in delivery with appropriate project and resource plans in place.

IT – Agile Working (inc. Wireless)

IT continues to support the Council's Assets programme by supporting teams needing to work in an agile manner. The current priority is supporting the closure of Phase 4 at County Hall and the associated office moves.

For example, a significant amount of resource was deployed to support the closure of Connah's Quay Offices including equipment provision, contact centre telephony solutions decommissioning IT services delivered from that location.

IT – Learning in Digital Wales (LiDW)

Following a successful funding bid to Welsh Government Flintshire received £1m 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. Work continues to maximise the benefits of the investments made.

IT – Public Sector Broadband Aggregation (PSBA)

The PSBA project delivers improved connectivity out 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 127 sites across Flintshire with the estimated completion date of September 2015 for the remaining 13 sites. The remaining sites present some challenges due to reliance on external contractors (OpenReach).

IT – Infrastructure Upgrades

A considerable number of IT Core Infrastructure upgrades have taken place recently to refresh and upgrade technologies in support of other 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 – Website

The new look website was assessed by SOCITM, which saw an improvement from 1 to 2 stars. There was some very positive feedback, particularly around the design and accessibility of the site but much work now needs to be undertaken on improving content

The website has continued to increase the number of digital solutions to allow customers to access council services electronically.

E.G. Schools admissions for nursery school places were accepted only via the website and over 1500 applications were processed in this way. This work will be expanded to Primary and Secondary School Admissions.

Legal

The size of the team reduced during the reporting period in anticipation of collaborative management arrangements with another council. Those arrangements subsequently were not viable and the service has been reconfigured as a result. There are still vacancies within the structure that have reduced capacity to meet all the demands placed on the service within desired timescales.

Nevertheless the service has continued to provide strategic advice and support to key projects such as NEW Homes and the Waste Partnership, and has helped to procure external advice where additional skill/resource is required. It has also conducted transactional services such as conveyancing, prosecutions and childcare proceedings.

During the year case law changed creating a major increase in workload around adult social care and the deprivation of liberty. Additional funding was made available to help tackle the increase.

Pre-existing collaborative projects around adult social care and prosecutions whereby work is shared across all authorities based on availability and skills has continued. They have resulted in increased resilience, more effective utilisation of expertise and less duplication of work/travel.

Procurement

Joint Service

The Joint Collaborative Procurement Service (JCPS) between Flintshire & Denbighshire became operational on 1st July 2014. The new JCPS continues to be seen as an innovative approach and an example of what can be achieved through voluntary collaboration in delivering a support service through a shared services model. The JCPS has been proactive in tendering on behalf of both Councils, which has resulted in efficiencies arising from economies of scale.

Collaboration

The Council has also engaged collaboratively with the National Procurement Service as well as the Welsh Purchasing Consortium and has been proactive in ensuring that FCC officers are represented on various category forums, which in turn determine the most appropriate procurement route to market for specific spend areas.

E-Procurement

The Council has continued with the work to finalise the configuration of the Proactis e-sourcing solution, which is envisaged will become operational from September 2015. The following progress has been made:

- Procurement templates have been developed that will ensure compliance with our Contract Procedure Rules and European Procurement Regulations
- E-sourcing training material has been developed. The training will re-enforce best practice procurement as well as providing training on use of the system which will be implemented from September 2015.

SME Friendly Procurement

The Council has delivered Small and Medium sized Enterprise (SME) friendly procurement improvements that will allow local and small suppliers to have a greater level playing field when bidding for Council contracts: The following improvements have been made:

- The procurement processes have been simplified within the Proactis e-sourcing solution. This will result in less burden on SME's when bidding for Council contracts.
- Community Benefits requirements continue to be included on various large high value capital projects e.g. SHARP (Social Housing and Regeneration Project)

- The Council now more widely advertise our contracts above £25,000 in value, hence more low value opportunities are being made available to SME's to compete for our business.

Service Review

The 3 County Procurement Project involving Flintshire, Denbighshire and Gwynedd Councils, unfortunately had to end unexpectedly due to the Regional Collaborative Funding grant funding from Welsh Government being cut by 50%. However, the work that was carried out in the project has provided the foundation for a future service review to be undertaken, since we have now identified all officers across the Council who undertake procurement related activities as well identified various potential new Target Operating Models in relation to the procurement service going forward.

Training

A comprehensive procurement training programme has been delivered in conjunction with SBV Ltd the approved training provider appointed by Welsh Government, in order to promote procurement best practice.

Areas of Positive Performance

Democratic Services:

- Successful delivery of European Elections
- Successful migration to IER and elector registration rate
- Review of the Overview & Committee Structure leading to recommendations for a more effective structure
- Civic & Members Services supported the Chair of Council in attending events and in raising over £20,000 for the Chair's chosen charities.
- Agendas for meetings always issued on time and minutes drafted within set timescales.

IT:

- Service Review: Successfully implemented in May 2014
- Education IT: Has progressed well with proposals developed and presented to schools for consideration. 85% of schools have expressed a positive
- Security: Public Sector Network Accreditation successful August 2014
- Information Assurance: Annual Address Improvement Schedule reflecting the quality of corporate address data – Maintained Gold Standard
- Website: Improved annual SOCITM assessment from 1 to 2 stars in March 2015
- Customer Relationship Management System (CRM): see above.
- Members IT: iPads rolled out to all elected members with associated support.
- Agile Working (inc. Wireless) - see above:
- Learning in Digital Wales (LiDW): see above
- Public Sector Broadband Aggregation (PSBA): see above
- Infrastructure **Upgrades**: see above

Legal:

- Sales of land to support the capital programme
- Formation and registration of NEW Homes Ltd

Procurement

- The efficiency procurement targets set for 14/15 have been surpassed with £530,263 efficiency savings delivered against a target of £250,000
- The creation of the JCPS has allowed a Procurement Business Partner approach to be developed which has allowed service areas to receive dedicated procurement support from named officers. This in turn has allowed the procurement officers to work more closely with service areas and to develop more robust specific category of spend strategies going forward.
- The new joint service has also created a greater resilience to staffing issues with now 10 staff working across various strategic and operational procurement projects as opposed to 4 staff prior to the creation of the JCPS.
- Funding was successfully obtained from Welsh Government through Value Wales to deliver a number of Community Benefit training workshops.
- Community Benefits requirements has been incorporated into a number of high value construction projects e.g. Strategic Housing and Regeneration Project (SHARP)

Areas of Concern

Democratic Services:

Response times to FOI and DPA requests

Legal:

- Capacity to meet increased demands on the service
- Ongoing reluctance around new collaboration projects

IT:

Service demands continue to increase and prioritisation proves difficult with the level of change across the council.

Procurement:

- Service demands continue to increase and prioritisation proves difficult with an ever increasing level of procurement support required in order to deliver against efficiency savings targets. As a result there is an ever decreasing capacity to provide the required level of support to individual service areas.
- During the first 6 months of the JCPS, there were unfortunately 3 instances of long term sickness absence. As a result the standard of support service delivery

was affected with some projects not been delivered against agreed timescales.

- The Welsh Government National Procurement Service that became operational in November 2013 has not delivered expected procurement efficiencies as originally anticipated. This has resulted in more emphasis and pressure put on local delivery of the required efficiencies.
- The 3 County Procurement Project involving Flintshire, Denbighshire and Gwynedd was brought to an end, due to the Regional Collaborative Funding obtained from Welsh Government being cut with little notice.
- Delay in delivering Proactis.

Improvement Plan (none in year priorities)

Not applicable

Key Projects & Collaboration / Partnership Working

Democratic Services

- Review of scrutiny committees
- Review of Constitution (ongoing)
- European Elections
- Individual Elector Registration

IT

- Microsoft Programme
- Education IT Service Delivery Model
- Windows Server 2003 Upgrades
- Telephony System Upgrade (to support Microsoft Programme)
- Lotus Notes System Migration
- IT Service Management System (TOPdesk) & Work Processes:
- Electronic Document Management:
- Customer Relationship Management (CRM) System:
- PSN Accreditation
- Assets Programme Support (Phase 4 closure)
- Public Sector Broadband Aggregation (PSBA) Transition to PSBA2:
- Redevelopment of Infonet

Legal

- Contribution to NPS framework procurement for legal advice from solicitors. The service has been part of the collaborative effort to specify, tender and evaluate bids for a contract for legal advice
- Procurement of case management software to enable sharing of cases with other authorities in the region (due for completion August 2015)


Procurement

- Continuation with the Joint Collaborative Procurement Service (JCPS) in conjunction with Denbighshire CC.
- Engagement with the National Procurement Service and the Welsh Purchasing Consortium in order to deliver collaborative framework agreements

- Proactis implementation across all service areas from September 2015. This project will address Contract Procedure Rules non-compliance issues as well as provide process and cashable efficiencies
- An E-invoicing project has commenced, whereby 100,000 paper invoices will be received electronically, resulting in process efficiencies as well as acting as a catalyst for cashable efficiencies to be delivered as part of the Admin review.
- As part of with the e-invoicing project a supplier charging project has also commenced, which will result in suppliers being charged £50 & VAT per year, in the event that they obtain greater than £1k worth of spend from the Council. This project is estimated to generate circa £100,000 of additional revenue.

Summary of Operational Risks (from the above sections)

Risk Type	Risk Ref. and Description	Net Risk Score	Risk Trend	Target Risk Score & Date	Status Open / Closed
Operational	Internal Customer Service - helpdesk telephone response times, resolution of helpdesk calls	A	↓	G Sept 2015	Open
Operational	Demand Management	A	↔	A Dec 2015	Open
Operational & Project	Budget Constraints to meet increased demands for technology.	A	↔	A Sept 2015	Open
Operational	Asset Management - Ensuring that all asset information is recorded accurately and maintained	A	↔	A Dec 2015	Open
Operational	Change Management - ensuring that we implement change in a structured and coordinated way that reduces risk	A	↔	G Dec 2015	Open
Operational	Capacity to meet requirements of Organisational Change	A	↑	G April 2016	Open
Collaboration	Keep up the pace of collaboration to maximise procurement efficiencies through the use of the National Procurement Service and Welsh Procurement consortium frameworks.	A	↑	G December 2015	Open
Operational	Ensure the internal adoption of revised procurement practice and process	A	↔	G December 2015	Open
Project	Having the creativity to apply community benefit clauses within contracts	A	↓	G December 2015	Open
Operational	Internal Procurement support - capacity issues in relation to response times to support service areas	A	↑	G April 2016	Open

Operational	Council's failure to comply with the statutory timescale for responding to FOI Act requests	R		A March 2016	Open
-------------	---	----------	---	-----------------------------	------

Section 2 - Internal and External Regulatory Reports

None to report

Section 3 - Corporate Reporting

Complaints Handling (Source: Corporate Complaints Database)

Period	Total Number of Complaints Received	No. of Complaints Responded to within 10 working days	No. of Complaints <u>Not Responded</u> to within 10 working days	% Responded to within 10 working days	% Not responded to within 10 working days
Q1	4	0	4	0.00%	100.00%
Q2	3	2	1	66.67%	33.33%
Q3	3	0	3	0.00%	100.00%
Q4	0	0	0	0	0
Full Year Outcome				22.22%	77.78%

Sickness Absence (Source: I-Trent)

Annual Figures:

Average days available – 19,740

FTE Days Lost - 818

Absence Rate - 4.15%

Days Lost per FTE – 9.45

Employee Turnover (Source: I-Trent)

Period	From	To	Average Head Count	Leavers	Turnover	Stability
Q1	N/A	N/A	N/A	N/A	N/A	N/A
Q2	126	126	126	3	2.38%	96.83%
Q3	126	125	125.5	4	3.19%	94.82%
Q4	124	127	125.5	2	1.59%	94.82%

Employee Appraisals (Source: I-Trent)

42.5% of employees had appraisals as scheduled during period. IT staff appraisals

have been delayed due to implementation of IT Service Review. This accounts for 54 staff.

Data Protection Training (Source: I-Trent)

113 out of 157 (figure includes 30 temporary electoral canvassers) have had training. This represents 72%. Of the established posts, 100% of staff requiring mandatory training have received it.

Equality and Welsh Language

List the Equalities and Welsh Language Impact Assessments: -

(1) Started/Work in Progress

(2) Completed (stating date completed)

during the period (1 April 2014 – 31 March 2015)

Not applicable

Percentage of employees who have completed the Equalities Monitoring / Diversity Audit (Source: I-Trent)

100% (127 staff)

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

The portfolio principally provides services to council employees rather than directly to the public.

Describe any initiatives to increase the percentage of equality monitoring data held for customers.

See above

Provide examples of initiatives to promote equality, eliminate discrimination and promote good community relations.

See above

Percentage of employees who have completed the Welsh Language Skills Audit (Source: I-Trent)

103 out of 127 staff have completed the audit – 81%

Describe any initiatives undertaken to ensure the provision of bilingual services.

See above. All documents for public use e.g. electoral registration forms and the council's constitution are translated.

Describe any initiatives undertaken to increase the use of the Welsh Language

All employees are encouraged to take up welsh language courses. See above for comments about dealings with the public directly.

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 **year end position** are summarised as follows: -

R	0	A	4	G	4
----------	---	----------	---	----------	---

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	Year End 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	↔	
Availability of Draft Minutes (5 days) – Percentage of draft minutes available 5 working days after the meeting	Local PI	100%	100%	99%	A	↔	
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	↔	

Indicator	NSI / PAM (Note 1)	Annual Outturn 2013/14	Annual Target 2014/15	Year End Outturn 2014/15	RAG	Change e.g. Improved / Downturned (Note 2)	Commentary
Legal Services:							
Ensuring school admission decision letters are despatched within 5 working days	Local PI	N/A	80%	100%	G	N/A	
Number of child care cases issued in court	Local PI	N/A	N/A	16	N/A	N/A	This is management information
Completing child care cases within 26 weeks under Public Law Outline	Local PI	N/A	80%	75%	A	N/A	3 cases were combined into 1, resulting in delays to the 2 cases which had been more advanced. Took 27 weeks overall.
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%	75%	A		See comments about capacity
Customer Services – satisfaction: Full questionnaire from all departments	Local PI	80%	80%	N/A	N/A	N/A	Measured every 2 years

Indicator	NSI / PAM (Note 1)	Annual Outturn 2013/14	Annual Target 2014/15	Year End Outturn 2014/15	RAG	Change e.g. Improved / Downturned (Note 2)	Commentary
I.T.:							
ICTM1 Service desk Calls fixed on time	Local PI	89.53%	94%	87.86%	A	↓	
ICTM2 Service desk Calls resolved at first point of contact	Local PI	41.65%	35%	51.79%	G	↑	

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 2016