



North Ayrshire Council  
Comhairle Siorrachd Àir a Tuath

Proud to be **apse** Overall Council of the Year 2017

## Finance and Corporate Support Directorate Plan 2018 Update

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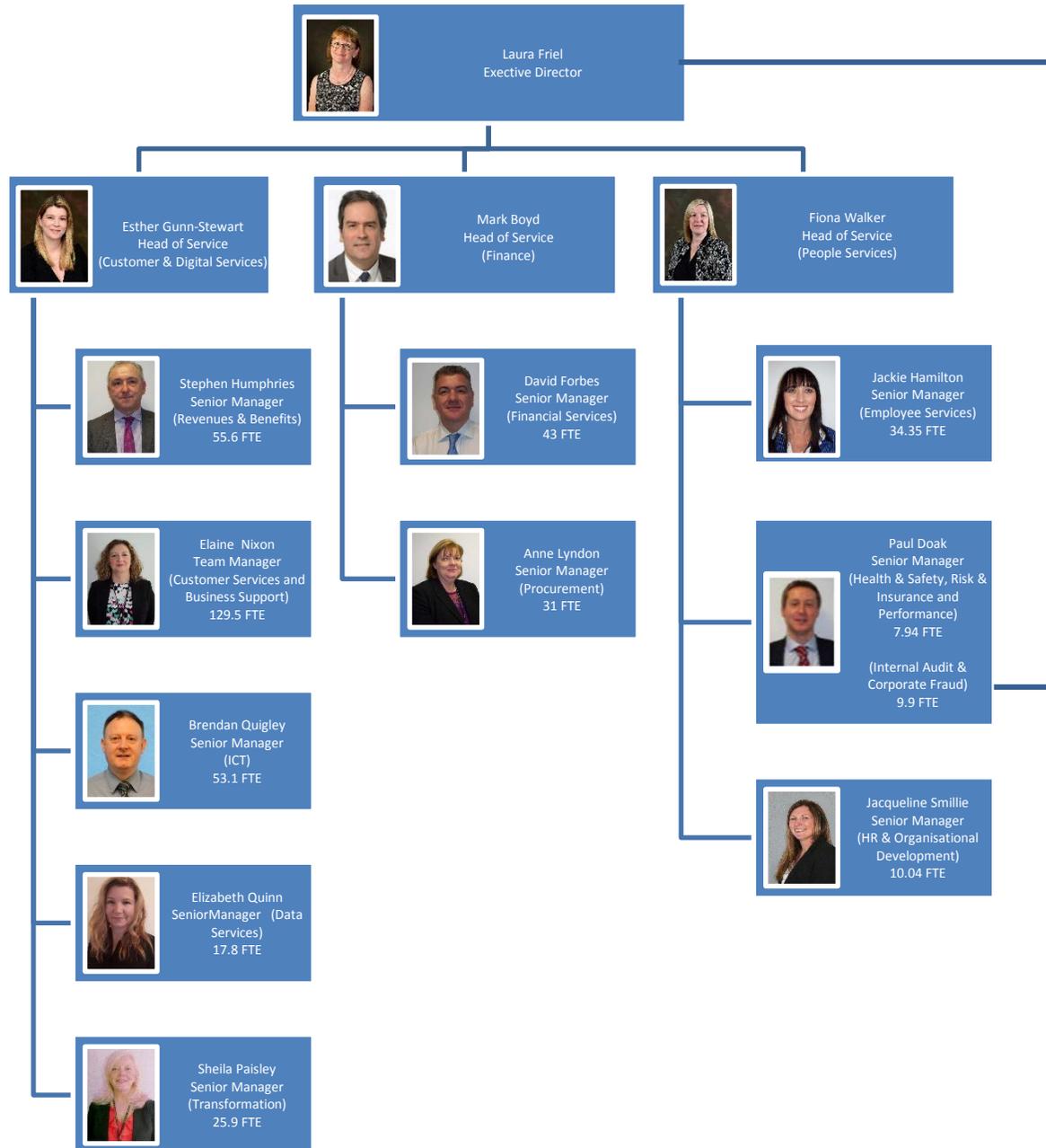
**Focus. Passion. Inspiration.**



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# 1. Directorate Structure



## 2. Foreword

### Welcome to the Finance and Corporate Support Directorate Plan 2018/19

This Plan sets out the strategic priorities for the **Directorate** for 2018/19, building on the great work we do every day and the business improvement, change and transformation that we're implementing to deliver better service as our resources reduce. The priorities reflect the work that we will do to continue to meet the wide and varied needs of our communities and Services.

With the Digital Strategy now approved **Customer and Digital Services** are working with Services to develop and embed our digital approach, providing excellent services to our customers. Sitting alongside this is our emerging Technology Strategy which will help us drive forward transformation at scale and pace. The team has a lead role in shaping and delivering the Council's transformation programme, focussing on realisable efficiencies and financial benefits, key to supporting the Council through the challenging years ahead

Our **People** team continues to support Services develop their work force plans and organisational culture helping to transform the Council to be a leaner, more efficient and a higher performing organisation.

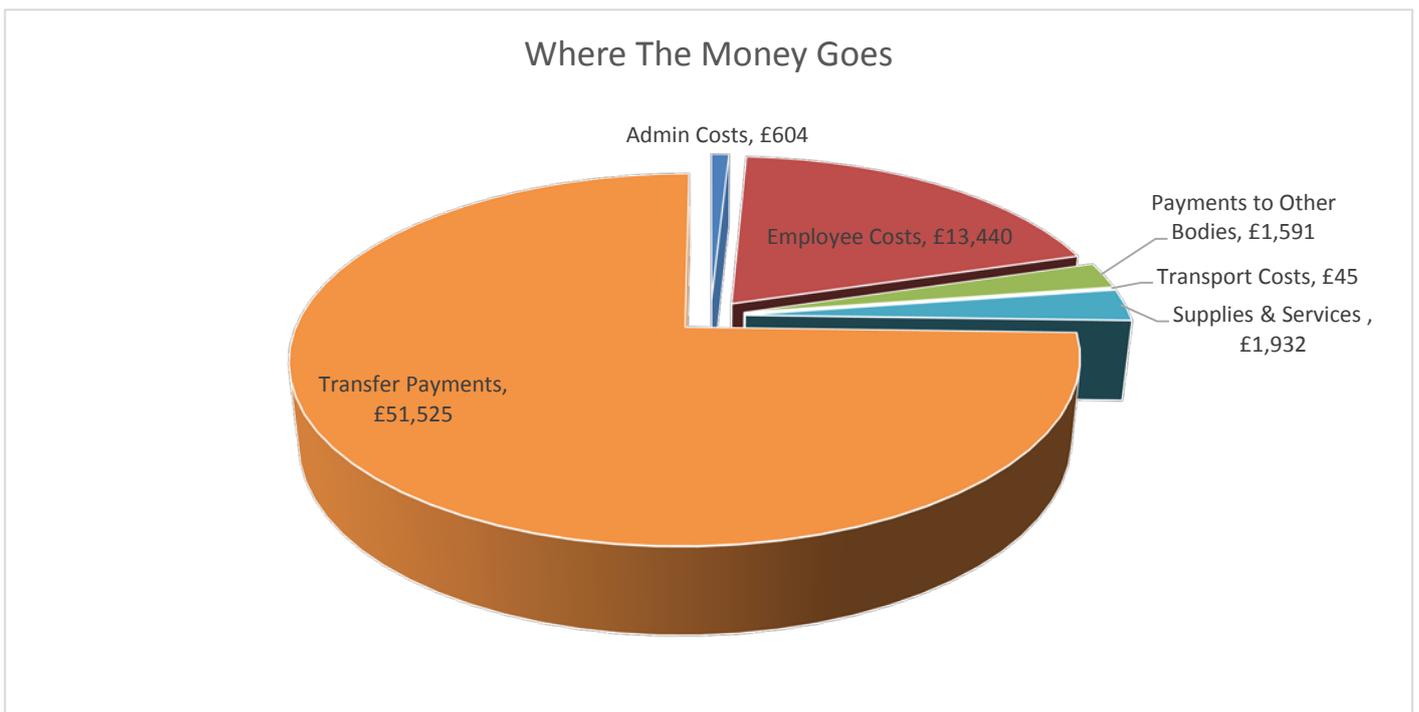
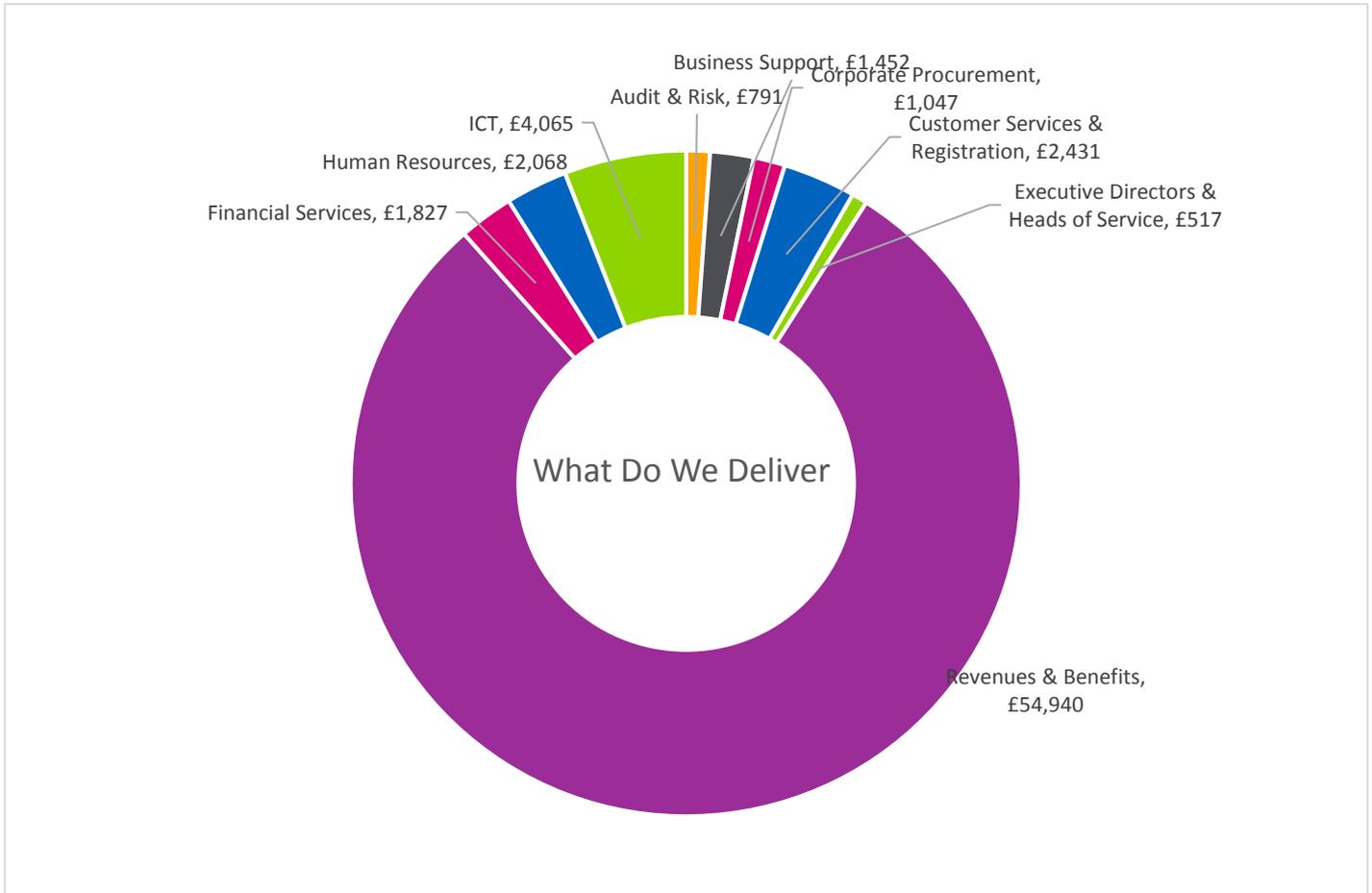
**Finance** will lead development of the short, medium and longer term revenue and capital financial plans and strategies, support Services and the Health and Social Care Partnership in the financial management of resources, totalling around £434m in 2018/19, and establish a Procurement Board to support services to be compliant and maximise opportunities and best value from procurement of all goods and services.

**Finance and Corporate Support** is an ambitious and exciting directorate committed to delivering deliver first class, customer focussed services. We're excited by the progress we're making in driving forward change and transformation and looking forward to exploring and delivering further opportunities. Our people, who we will continue to develop and support, are at the heart of our success.

This Plan maps out what the Directorate will do to continue to support the Council's vision '**to be a leading organisation defined by excellent and innovative services**'.

**Laura Friel**  
**Executive Director**  
**31 March 2018**

### 3. How we spend our Budget



## 4. Key Drivers for our Services

There are a number of factors and legislation which directly influence the work carried out by Finance and Corporate Support on a day to day basis, the most significant are:

**Financial Environment** – Recent Bank of England commentary suggests that UK growth is expected to slow further in 2018 as public spending cuts and Brexit-related uncertainty weigh on the economy. Unemployment is expected to remain close to its equilibrium rate of around 4.5 percent in the near term although wage growth is likely to remain low, resulting in falling real wages. CPI inflation is forecast to fall towards the Bank of England's 2% target over the next year, easing the squeeze on households' finances. The Bank Rate is projected to rise during 2018. Business investment and exports are likely to be supported by the pickup in global growth with interest rates set to rise slowly. There is broad consensus that there will be further pressure on public expenditure at a UK and Scottish level with real term cuts already experienced for 2018/19 and further cuts predicted for 2019/20 to 2020/21.

**Resource Pressures and Organisational Change** – North Ayrshire Council has responded to the challenging financial climate and the real reduction in resources that it has faced. The Council has delivered £80m of savings over the period 2010/11 to 2017/18. Approval of the Council's 2018/19 budget will deliver further savings with the remaining funding gap for the period to 2020/21 estimated at almost £25m. Delivery of savings of this magnitude creates a challenge in securing further sustainable savings in future years. This will require an increase in the scale and pace of change alongside workforce resizing. The long term financial outlook (2018/19 to 2027/28) and the availability of good quality financial information are essential to secure financial sustainability of Council services.

**Integration of Health and Social Care** – The North Ayrshire Integrated Joint Board (IJB) has statutory and financial responsibility for social care and a range of health services. Finance and Corporate Support provide the IJB with a range of services including Financial Services, Audit, Information Communication Technology (ICT), Human Resources (HR), Organisational Development (OD) and Procurement.

There has been a recurring overspend in Health and Social Care services in recent years. This has been identified as a concern by the Council's and IJB's external auditors in their 2016/17 reports. In 2018 the IJB will recruit its own Chief Finance and Transformation Officer to support a more robust approach to financial planning and management and delivery of change and transformation at scale and pace, both supporting management of demand and service delivery within the IJB financial envelope.

The following new legislation is expected to impact on the work of Finance and Corporate Support during 2018-19:

[Scotland Act 2016](#) – Makes provision for the devolution of powers to the Scottish Government including welfare powers to design and deliver welfare benefits for carers and people with a disability or illness through a social security system for Scotland.

[Data Protection Act 1998 and General Data Protection Regulation 2018](#) – North Ayrshire Council is required by law to comply with this legislation to ensure the fair and lawful processing of personal data relating to living persons in the UK.

## 5. Directorate Priorities

This Plan identifies how we will contribute to achieving the Council's mission '**To improve the lives of North Ayrshire people and develop stronger communities**' and our vision '**To be a leading organisation defined by excellent and innovative services**'. The plan also outlines our key priorities for the next year and how we will support our people to deliver these. The plan gives an overview of our services, what we aim to achieve, information on our resources, our key actions and the performance indicators we will use to measure how well we are meeting the needs of the communities and customers we serve.

A full list of our Performance Indicators and Actions can be found in Section 12.

## 5.1 Our Priorities

### Finance and Corporate Support *Making it Happen*

#### Strategic Priorities 2018/19

##### Digital First

- Develop customer-focussed, end to end digital services
- Support customer access and develop digital skills
- Implement the Technology Strategy
- Support Services to maximise the use of technology, transforming service delivery and reducing costs

##### Planning for the Future

- Align our resources to Council Plan priorities
- Use the Council's information to shape future service delivery
- Realise benefits through development and delivery of the Transformation programme

##### Our Approach

- Deliver excellent customer service
- Develop an empowered and inspired workforce
- Work collaboratively across the Council and with Partners
- Establish effective master data management

#### Driving Transformational Change

## 6. What we do

Finance and Corporate Support provides a wide range of services which support the delivery of the Council's Strategic Priorities. These services are outlined below.

### 6.1 Customer and Digital Services

**6.1.1 Revenues and Benefits** undertakes income collection including Council Tax and Water Charges from around 68,000 dwellings and non-domestic rates from almost 5,300 local businesses. Income is also collected where the Council has provided goods or services to a customer. The team administers around 13,600 Housing Benefit and 16,700 Council Tax Reduction claims, maximises the take-up of benefits in the local community and administers Discretionary Housing Payments.

**6.1.2 Customer Services and Business Support** - the Contact Centre handles in excess of 250,000 calls per year for a range of Council Services including Council Tax, Benefits, Waste, Streetscene, Building Services, Roads Services and Education. The team is responsible for a network of Customer Service Centres incorporating Registration Services which handle approximately 120,000 enquiries. Customer Services has ownership of a number of digital access channels including the external website, the intranet, web chat and the 'Report It' smartphone app. Business Support provides administrative support to all Directorates with the exception of the Health and Social Care Partnership.

**6.1.3 Information Technology** provides a comprehensive service for Information and Communication Technology (ICT) related activity across the Council, aligned to the Digital Strategy and ICT Strategy for Education Establishments. Working in partnership with services, Information Technology Services develop and maintain the Council's infrastructure, desktop, laptop and mobile devices; support the development of the Council's business applications; and take forward cyber and IT security and continuing Public Services Network (PSN) compliance.

**6.1.4 Data Services** has operational responsibility for the management of complaints and FOIs, supporting Services to ensure that these are handled on time. The team is also responsible for compliance with the new GDPR, including how data is logged, stored and retrieved and supports the Council's Transformation Programme by leading on a range of projects including analytics, open data and master data management.

**6.1.5 Transformation Team** supports the Council's Transformation programme to implement the Digital Strategy, developing smarter ways of working to deliver service improvements across the Council. The team also focuses on delivering digital capabilities and promotion of self-service for customers and staff to support future budget savings.

## 6.1.6 Key Strategies

Customer and Digital Services has responsibility for the development and implementation of the following strategies:

Strategy Name	Key Strategy Outcomes	Start Date	End Date	Review Date
Digital Strategy	<ul style="list-style-type: none"> <li>To ensure that the Council embraces the opportunities that digital brings, recognising the importance of cultural change, training, use of data and process analytics to deliver smarter ways of working.</li> </ul>	2017/18	2021	2021/22
Technology Strategy	<ul style="list-style-type: none"> <li>To support colleagues, customers and partners to enable exceptional service delivery by leading technological change and innovation.</li> </ul>	Pending 2018	2021	2021/22

## 6.2 Finance

**6.2.1 Financial Services** provides high-quality financial management information and advice to support decision-making by the Council and Services. Financial Services leads the development of the Council's medium and long term financial plans including revenue and capital budgets, the preparation of annual accounts and other statutory returns, as well as providing support to Service Managers to manage their budgets.

Finance Business Partnering works in partnership with services to provide strategic insights, financial information, tools and analysis to drive strategy and inform decision making.

Treasury Management manages the Council's cash flow, loans and deposits.

**6.2.2 Corporate Procurement** supports services to adhere to policy and legislation; develops and implements the Council's Corporate Procurement Strategy and associated processes; provides advice and support with tendering; promotes community benefits and develops electronic procurement solutions. Accounts Payable ensures Council suppliers are paid accurately and promptly.

## 6.2.2 Key Strategies

Finance has responsibility for the development and implementation of the following strategies:

Strategy Name	Key Strategy Outcomes	Start Date	End Date	Review Date
Corporate Procurement Strategy	<ul style="list-style-type: none"> <li>To ensure that Services comply with the required practices and policies when purchasing all Goods, Works and Services.</li> </ul>	2017	2020	Annual
Long Term Financial Outlook	<ul style="list-style-type: none"> <li>To support development of the medium term financial plans and the longer term financial sustainability of the Council.</li> </ul>	2017/18	2028	2020/21
Treasury Management and Investment Strategy	<ul style="list-style-type: none"> <li>To ensure that the Council has a clear framework to undertake borrowing which is affordable, prudent and sustainable and to undertake investments which prioritise security and liquidity.</li> </ul>	April 2018	March 2019	Annual
Capital Investment Strategy	<ul style="list-style-type: none"> <li>To ensure that the Council has a clear framework to undertake affordable and sustainable investment in its assets aligned to Council priorities.</li> </ul>	April 2018	March 2019	Annual

## 6.3 People Services

**6.3.1 Employee Services** supports the recruitment of employees including advertising, issuing contracts, Disclosure PVG checking, redeployment, pension administration and payment of employees and Elected Members. The team develops and maintains the Council's HR systems and supports strategic workforce planning. PA and Admin support is also provided to Heads of Service and Directors.

**6.3.2 Health and Safety** Promotes Health, Safety and Wellbeing to ensure the Council complies with Health and Safety Legislation. The team provides support, guidance and training to leadership teams, all employees and Elected Members. Investigations and auditing of health and safety management systems are an integral part of the team's responsibility.

**6.3.3** The **Risk Management** team ensures the Council is risk aware, with effective risk management embedded across Services and appropriate arrangements in place to ensure, as far as possible, business continuity. The section also manages all **insurance** matters for the Council.

**6.3.4** The **Performance Team** helps FACS deliver the Council's Performance Management Strategy.

**6.3.5** The **Human Resources Team** provide professional HR support in all workforce matters including; supporting the implementation of workforce change, employment law, the

development and implementation of HR policies and procedures and Terms and Conditions of Employment. The team supports and manages the relationships between employees and trades unions to ensure effective employee relations within the workplace.

**6.3.6 The Organisational Development Team** ensures a strategic approach to people and organisational development. It is responsible for creating and implementing interventions designed to facilitate change and achieve improvements in organisational effectiveness. The team provides organisational and employee development support, advice and guidance to leadership teams, all employees and Elected Members. In addition, a suite of corporate learning and development programmes are designed, delivered and evaluated to develop and enhance the knowledge, skills and behaviour of our employees.

### 6.3.7 Key Strategies

People Services have the responsibility for the development and implementation of the following strategies:

Strategy Name	Key Strategy Outcomes	Start Date	End Date	Review Date
Risk Management Strategy	<ul style="list-style-type: none"> <li>To ensure that risk is a key consideration in all decision making and that there are arrangements in place to manage risk.</li> </ul>	2017	2019	Biennial
Business Continuity Strategy	<ul style="list-style-type: none"> <li>To ensure that continuity and recovery plans are in place for critical Council Services in the event of a major incident.</li> </ul>	2015	2018	2018
Corporate Health, Safety and Wellbeing Policy	<ul style="list-style-type: none"> <li>To ensure the Council meets its statutory obligations under the Health and Safety at Work Act, etc. 1974, and related Regulations and Codes of Practice and has a proactive approach to employee wellbeing.</li> </ul>	2017	2022	2021/22
People Strategy	<ul style="list-style-type: none"> <li>To support the delivery of the Council Plan by focussing on developing the right culture and helping the Council transform to be a leaner, more efficient and high performing organisation where people can develop and thrive.</li> </ul>	2015	2018	2018/19

## 6.4 Internal Audit and Corporate Fraud

**6.4.1 Internal Audit** provides independent assurance to Elected Members and senior managers that effective governance and internal control arrangements are in place across the Council.

**6.4.2 Corporate Fraud** provides pro-active fraud prevention advice and investigates fraud within and against the Council. The Fraud team has also entered into a partnership agreement to investigate alleged fraud against East Ayrshire Council.

### 6.4.3 Key Strategies

Internal Audit and Corporate Fraud has responsibility for the development and implementation of the following strategies:

Strategy Name	Key Strategy Outcomes	Start Date	End Date	Review Date
Counter Fraud and Corruption Strategy	<ul style="list-style-type: none"><li>To reduce the Council's exposure to fraud risk and to ensure a robust response where this occurs.</li></ul>	2016	2018	2018

## 7. Our Improvement Journey

Effective 'Business Partnering' is at the core of our approach to support services to deliver change and progress towards operational excellence. We do this by engaging with our customers, encouraging feedback from our staff and partner organisations and establishing what best practice looks like. Our approach encompasses external scrutiny and self-assessment which helps us understand our strengths, identify areas for improvement and inform our improvement plans.

We continue to develop and improve service delivery and have identified priority actions to ensure this happens. As part of this we support our people to develop and encourage them to contribute their ideas, helping us meet the needs of our local communities.

## 8. Improving Children’s Outcomes

We are committed to supporting North Ayrshire Council becoming a **child centred council** where children and young people are at the heart of everything we do.

Significant research including from the Joseph Rowntree Foundation highlights that many factors can contribute to improving outcomes for children and young people and, as such, activity by one or two services within the Council is unlikely to succeed. All Directorates therefore have a role to play in improving outcomes for children and young people.

Significant work is already underway across the Council to improve educational attainment, improve health outcomes, support parents and reduce youth unemployment.

The [Children’s Services Plan](#) highlights four priorities:

- Improve how children and young people engage with school
- Help children and young people to be physically active and be at a healthy weight
- Help to address and prevent early exposure to smoking, drinking and taking substances
- Support the social and emotional development of children and young people

Finance and Corporate Support helps improve children’s outcomes by the following:

Children’s Services Plan priority	What are you doing to support and add value to the delivery of priority	Existing Evidence
Improve how children and young people engage with school	<ul style="list-style-type: none"> <li>• Provision of Education Maintenance Allowance for eligible young people to support them to stay at school and further their education.</li> <li>• Provision of School Clothing Grants for eligible families to support clothing their children for school.</li> <li>• School estate investment planning.</li> <li>• Planning for Early Learning and Child Care expansion.</li> </ul>	
Any other activities which helps improve children’s outcomes	<ul style="list-style-type: none"> <li>• Support learning in schools in relation to pay and seeking employment.</li> <li>• Modern Apprentice opportunities within teams.</li> <li>• Apply 100% council tax exemption to young care leavers in accordance with Regulations.</li> <li>• Award Discretionary Housing Payments to households with children to mitigate the impact of welfare reform.</li> <li>• Pay Scottish Welfare Fund crisis grants to families in need of emergency support.</li> <li>• Maximise Community Benefit clauses in contracts to deliver; school projects; work experience / placements and apprentice opportunity.</li> </ul>	

## 9. Managing our Risks

The risks for Finance and Corporate Support are outlined in Appendix A. We continue to be proactive in responding to the financial challenge.

## 10. Equalities

Finance and Corporate Support, supports the Council to fulfil its public sector equality and has undertaken a number of actions during 2017/18 to support the Equality Outcomes developed during 2016. The actions identified by all Council Services can be found in [North Ayrshire Council Equality Outcomes](#) section of the Council's external site. Actions for Finance and Corporate Support can be found in the table below:

Equality Outcomes	Actions being taken to support the delivery of Equality Outcomes
In Ayrshire people have equal opportunity to access and shape our public services	<ul style="list-style-type: none"><li>• Budget Engagement</li></ul>
In Ayrshire public bodies will be inclusive and diverse employers	<ul style="list-style-type: none"><li>• Providing a variety of interventions which make the Council a great place to work</li><li>• Implementation of the revised Health and Safety Policy</li><li>• Monitoring the results of a Council wide stress management survey</li></ul>

During 2017-18, Finance and Corporate Support has completed EIAs relating to:

- Corporate Health and Safety Policy
- Guidance: Driving at Work
- Guidance: First Aid at Work
- Guidance: Occupational Health
- Defalcation Policy and Procedure
- Whistleblowing Policy and Procedure

## 11. Workforce Planning

Finance and Corporate Support is committed to ensuring we have a robust workforce planning framework that supports structured service redesign to meet our future challenges. The 'Our Future Workforce' guide outlines what workforce planning is, provides an overview of our current workforce, our priorities for the future and a high level summary of financial and external factors which will impact the Council. The guide is complemented with a case study, our six step methodology and quick reference articles, in topics such as Vacancy Management, Voluntary Early Release, Redeployment and Workforce Management. Topics will continue to be evolved that support Directorates to shape our workforce of the future.

The above is a simple toolkit which helps managers to ensure that resources are deployed in the best possible way to support the delivery of excellent and innovate services.

As part of Workforce Planning, Finance and Corporate Support will:

- Undertake a review of structures to address financial pressures
- Align staffing resources and skills to ensure fit with future demand and ensure that training and development is targeted towards new and developing areas
- Review the FACS structure to ensure fit with future service delivery models including business partnering, digital and “One Team” approach
- Develop a strategy to address current skills gaps and recruitment challenges within Procurement and Financial Services
- Proactively support our Teams to have a healthy work life balance aiming to reduce absence and increase wellbeing
- Support our Teams to address the issues arising from the 2017 Employee Engagement Survey and further increase engagement levels.

## 12. Delivery

Details of the 2018 – 2019 actions and associated performance indicators and risks are shown below.

**Priority Key :**

CP P1 – Council Plan Priority 1 – Growing our economy, increasing employment and regenerating towns

Underpinning Delivery of the Council's Priorities

FACS Priority 1: Digital First

FACS Priority 2: Planning for the Future

FACS Priority 3: Our Approach

Priority	Indicator Ref.	Indicator Description	Actuals			Benchmark and Rank 16/17	Targets		Lead Team
			15/16	16/17	17/18		18/19	19/20	
CP1	P01	No of weeks employment through using Community Benefit clauses	-	-	Q3 781	n/a	1,200	1,500	Procurement

Priority	Indicator Ref.	Indicator Description	Actuals			Benchmark and Rank 16/17	Targets		Lead Team
			15/16	16/17	17/18		18/19	19/20	
DP1	P02	Procurement & Commercial Improvement Programme (PCIP)	-	68%	68%	n/a	2 <sup>nd</sup> Quartile	2 <sup>nd</sup> Quartile	Procurement
DP1	P03	Percentage of FACS invoices that were paid within 30 days	95.73%	95.83%	Q3 94.93%	LGBF 92.96% (18)	97%	97.5%	Procurement
DP3	P04	Speed of Processing (HB) New Claims (days)	23.11	20.32	Q3 17.97	CIPFA DoF 20.3 (14)	18	17	Revenues and Benefits
DP3	P05	Speed of Processing (HB) Change of Circumstances (Days)	16.3	13.9	Q3 12.72	CIPFA DoF 13.9 (32)	11	9	Revenues and Benefits
DP3	P06	Speed of Processing (CTR) New Claims (days)	29	25.43	Q3 21.97	CIPFA DoF 25.4 (19)	22	21	Revenues and Benefits
DP3	P07	Speed of Processing (CTR) Change of Circumstances (days)	5.97	4.44	Q3 5.26	CIPFA DoF 4.4 (8)	4.4	4.2	Revenues and Benefits
DP2	P08	Gross Cost of Administration per Benefit Claim	£41.42	£37.26	-	CIPFA DoF £37.26 (13)	£36.50	£36.00	Revenues and Benefits
DP1	P09	% of Business Rates Collected in Year	96.2%	96.50%	Q3 79%	CIPFA DoF 96.5% (22)	96.50%	96.70%	Revenues and Benefits
DP1	CORP04	Cost of Collection of Council Tax	£10.43	£7.67	-	LGBF £7.67 (10)	£7.25	£6.50	Revenues and Benefits/Customer Services
DP1	CORP07	% of Council Tax Collected in Year	94.68%	94.68%	Q3 85.80%	LGBF 94.68% (28)	94.69%	94.75%	Revenues & Benefits
DP3	P11	% of Customers Delighted with Overall Customer Service	69%	77%	Mid-Year 78%	n/a	77%	77%	Customer Services
DP3	P12	% of Calls Answered by the Contact Centre	93%	89%	Q3 88%	90%	90%	90%	Customer Services
DP3	P14	% of Customers Seen Within 15 Minutes	-	-	Q3 91%	n/a	92%	92%	Customer Services
DP1	P16	% of Accuracy for Registration	95%	97%	-	n/a	99%	99%	Customer Services
DP1	P13	% of Self Service Transactions	22.37%	24.43%	Q3 33.37%	n/a	35%	40%	Transformation
DP1	P15	Ebiling for Council Tax Customers	2,525	6,149	-	n/a	20,000	30,000	Transformation

Priority	Indicator Ref.	Indicator Description	Actuals			Benchmark and Rank 16/17	Targets		Lead Team
			15/16	16/17	17/18		18/19	19/20	
DP2	P17	Overall Employee Engagement Level - FACS	65.6%	65.6%	71.7%	n/a	72%	72%	Organisational Development/ Performance Management
DP3	P18	% of FACS Staff who Received a Performance and Personal Development Interview in the Last 12 Months	95%	91%	-	n/a	95%	95%	Organisational Development
DP2	P19	% of FACS Staff with no Sickness Absence	47%	51%	Q3 49%	n/a	55%	55%	Employee Services
DP2	P20	Sickness absence days per employee (FACS) per FTE	8.19 days	10.17 days	Q3 5.47 days	n/a	6.49 days	6.49 days	Employee Services
DP2	P22	Number of Reportable Incidents (RIDDOR) per 100,000 employees	509	648	-	n/a	520	490	Health and Safety
DP3	SP_D&AS_A10	FOIs completed in 20 days (Council Wide)	88%	89%	Q3 83%	OISC (11)	94%	96%	Data Services
DP3	P23	Percentage of Subject Access Requests responded to within legislative timescale	-	-	-	n/a	90%	90%	Data Services

These indicators are measured across the Council by FACS

Priority	Indicator Ref.	Indicator Description	Actuals			Benchmark and Rank 16/17	Targets		Lead Team
			15/16	16/17	17/18		18/19	19/20	
CP1	SECON04	Spend in local or Small /Medium Enterprise (SME)*	14.03%	15.30%	-	LGBF 15.30% (26)	-	-	Procurement
DP1	CORP01	Support Services as a percentage of total gross expenditure	2.5%	2.3%	-	LGBF 2.28% (1)	2.2%	2.2%	Financial Services

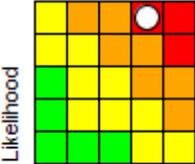
\*opportunities for procurement from local and SMEs will be maximised within procurement regulations and legislation

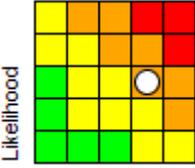
Strategic Priorities	Action Ref.	Action Description	What success will look like	Lead Team	Linked to Risk
DP2	A01	Develop a new framework and reporting regime that complies with Procurement Legislation	A consistent Corporate approach that meets legislative requirements and drives an improvement plan	Corporate Procurement	
DP1	A02	Development of contract management	Improved stakeholder engagement and delivery of better value for money from current contracts	Corporate Procurement	
DP2	A03	Establish a corporate Procurement Board	A consistent corporate approach that meets legislative requirements and drives the procurement improvement plan	Corporate Procurement	
DP1	A04	Implement new invoicing technology	The majority of Supplier invoices will be processed electronically leading to an improvement in invoice payment on time performance	Corporate Procurement	
DP1	A05	Embed Integra - the new financial management system (FMS)	Provision of robust, timely management information to support effective resource management and control to support effective decision making	Corporate Procurement	Financial Environment
DP1	A06	Implement a marketing plan to channel shift council tax customers to electronic billing as part of a customer self-service	30% of Council tax bills produced electronically	Transformation	
DP2	A07	Development of the Transformation Programme	Establish a transformation programme to support future savings	Transformation	
DP1	A08	Implement Microsoft Office 365 (O365)	Implement O365 across the Council. Information is accessible from anywhere and any device. Information security rules are automated Cyber security risks are mitigated	Transformation/Information Technology	People & Transformation

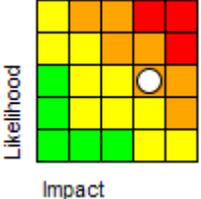
Strategic Priorities	Action Ref.	Action Description	What success will look like	Lead Team	Linked to Risk
DP1	A09	Implement Mobile Working	Mobilising 300 staff over the next 3 years	Transformation/Information Technology	People & Transformation
DP1	A10	Implement new platform-based approach to IT applications	Reduce the number of applications across the Council where possible digitising end to end processes on the New Platform	Transformation/Information Technology	
DP2	A11	Support service redesign	Streamlined processes resulting in improved customer journey, reduced avoidable contact, removal of non-value add steps and digitising processes where possible	Transformation/Information Technology	
DP2	A12	Lead the delivery of organisational development interventions that support the council to move to more efficient ways of working (e.g. Digital interventions, cultural transformation)	Increased Employee Engagement	Organisational Development	People & Transformation
DP2	A13	Design and launch a series of supportive interventions aiming to reduce absence and increase wellbeing in the workplace through the WorkWell brand	Improved health and wellbeing including reduced sickness absence	Organisational Development	People & Transformation
DP2	A14	Develop the medium term financial plan 2019/20 to 2021/22	Align resources to the refreshed Council Plan	Financial Services	Financial Environment
DP2	A15	Support the HSCP to secure financial balance.	HSCP delivers services within the agreed financial envelope	Financial Services	
DP3	A16	Enhance and promote the Employee Benefits scheme	Increase accessibility to employee benefit information. Increased uptake in employee benefits	Employee Services	

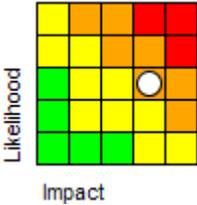
Strategic Priorities	Action Ref.	Action Description	What success will look like	Lead Team	Linked to Risk
DP2	A17	Develop and assess the options for workplace change and redeployment	Effective workforce planning across all services	Employee Services/HR	People & Transformation
DP3	A18	Develop and embed and improved Health and Safety culture across the Council	Employees who are more health and safety conscious and a reduced number of incidents	Health and Safety	
DP3	A19	Implement a new FOI system, guidance and training	Improved processes and management reporting resulting in better FOI performance	Data Services	Information
DP3	A20	Support the Council through GDPR and on-going data protection compliance	All employees are trained on data protection. Personal and sensitive data is protected in-line with legislation	Data Services	Information
DP3	A21	Development and management of data projects to support the Digital Strategy	The Council is aligned with the Scottish Government Open Data Strategy 2015. The principles of transparency, participation and collaboration are used in data projects to gain insights on business problems and solutions	Data Services	
DP3	A22	Develop and deliver an effective Information Governance culture across the Council	The value of information and data are understood by all and are central to the delivery of efficient, effective and compliant services	Data Services	Information
DP3	A23	Develop a FACS wide approach to Business Partnering	A more streamlined approach to supporting strategic decision making and transformation.	FACS	
DP2	A24	Develop and embed improvement actions identified from employee engagement focus areas.	Increased employee engagement	FACS	People & Transformation

## Appendix A - Risks

Risk Code & Title	FACS1819 R01 Financial Environment	Current Risk Matrix
<b>Risk</b>	<p>The risk is that continued austerity will require the Council to take increasingly difficult and challenging decisions, potentially operating with increased levels of risk and having insufficient resources to invest in core assets.</p> <p>Government funding has been reducing since 2010/11. This, together with the demographic pressures, in particular an ageing population and increasing numbers of vulnerable children, impacts on the ability of the Council to meet need within available resources.</p> <p>The 2018/19 local government settlement represents a further reduction in real terms funding. Planning for future years reflects further anticipated reductions in funding in 2019/20 and 2020/21. The single year duration, publication and approval date of the Scottish Budget makes effective short and medium term financial planning challenging.</p> <p>Further pressures on budgets stem from Manifesto commitments at a national and local level at a time of reducing resources. A major external influence is the UK's progress in negotiating exit from the European Union. Uncertainty remains over future economic prospects.</p>	
<b>Consequence</b>	<p>Funding not keeping pace with demand and cost means that there will be a reduction in some service areas potentially resulting in higher risks for service users.</p>	<b>Current Risk Score</b>
<b>Current Controls</b>	<p>The Council continues to be proactive in responding to the financial challenge and seeks to ensure that budget decisions are taken in line with key priorities.</p> <p>Robust monitoring of the Council's revenue and capital budgets is in place as well as regular reporting of financial performance within the HSCP to Cabinet.</p> <p>The Council has a long-term capital investment programme to 2027/28. The Long Term Financial Outlook to 2026/27 was approved at Council on 4 October 2017.</p> <p>The Council will agree a balanced budget for 2018/19 with work underway to identify the remaining savings for 2019/20 and 2020/21. This forward looking process supports as far as possible greater financial security and stability and provides an opportunity for medium term service redesign plans to be implemented.</p>	<p>20</p>
<b>Linked Actions</b>		
<b>Linked Actions Code &amp; Title</b>		

<b>Risk Code &amp; Title</b>	<b>FACS1819 R02 People and Transformation</b>	<b>Current Risk Matrix</b>
<b>Risk</b>	<p>There is an overarching corporate risk that transformation and change management activities which are core to the Council's future delivery models and long-term financial sustainability, fail to deliver and potentially disengage employees. The workforce context of significant organisational change, pay restraint and budget efficiencies may impact on employee engagement and the stability of employee relations which further impacts on the Council's capacity to meet service requirements and deliver key objectives.</p>	
<b>Consequence</b>	<p>Any gaps in workforce planning and organisational development arrangements may lead to difficulties in having a workforce with the appropriate knowledge, engagement levels and skills to meet service demand and achieve desired outcomes. It will further impact on the Council's ability to continue to deliver change, meet Strategic Priorities and achieve the required efficiencies. Failure to deliver transformational change will impact on the Council's financial sustainability and its effectiveness of service delivery.</p>	<b>Current Risk Score</b>
<b>Current Controls</b>	<p>Organisational Development interventions that support cultural transformation continue to be evolved and embedded that support the Council's transformation, improves effectiveness and capability as well as develops an organisational culture which fosters involvement, engagement and high performance.</p> <p>Employee Engagement Surveys monitor employee engagement levels and identify any issues or areas for improvement required. Surveys are conducted every two years, with the 2017 survey results currently being analysed. This and future surveys will continue to monitor engagement levels and areas for improvement.</p> <p>LiveWell, and the four themes within this – Be Well, Play Well, Eat Well and Work Well – continue to be promoted and a range of programmes, events and activities are available for all staff. Participation in wellbeing activities can have positive impacts on personal resilience, stress reduction and absenteeism.</p> <p>Mechanisms for consultation and engagement with Trades Unions enable open dialogue with unions and elected members on key strategic workforce issues.</p> <p>Key strategic organisational change issues are developed through regular leadership conferences.</p> <p>Our Workforce Planning approach provides a toolkit of interventions such as vacancy management, redeployment and early release schemes that support the re-shaping of our workforce for the future. .</p> <p>A review of the Transformation Programme to align with the new Council Plan is currently underway. The aim of the review will be to focus resources on a smaller number of key transformational initiatives which will deliver the biggest impact. Employees involved in transformational change have been centralised into a single Transformation Team which will make it easier to align resource to the right projects, track progress and ensure benefits are delivered.</p>	12
<b>Linked Actions</b>		
<b>Linked Actions Code &amp; Title</b>		

Risk Code & Title	FACS1819 R03 Information		Current Risk Matrix
<b>Risk</b>	<p>The key risk to the authority relates to the reduction of public confidence associated with the loss of personal or sensitive data.</p> <p>The Council recognises the need to both maximise the benefit of our information to deliver effective and efficient services, and the need to appropriately protect our information and comply with information legislation information security requirements and standards. Furthermore the Council requires to meet its obligations in relation to the implementation of the EU General Data Protection Regulations (GDPR) by May 2018.</p>		
<b>Consequence</b>	<p>Failure by Services to adopt and comply with strategies, policies and procedures may result in a failure to adequately maintain and protect information the Council is responsible for.</p> <p>There may be a significant impact on the authority through the release of personal and/or sensitive information resulting in a loss of public confidence and significant financial loss incurred through fines and Service disruption.</p> <p>Failure by Services to appropriately manage and use the information they hold may result in lost opportunities to transform services to the community.</p>		<b>Current Risk Score</b>
<b>Current Controls</b>	<p>A new Data Team was established in 2017 incorporating Information Governance, Data Protection, Freedom of Information and Complaints. The team also have temporary resource for the GDPR project. Appropriate policies, processes and training are currently being revised in line with requirements for GDPR.</p> <p>Access to information systems is controlled and secure, laptops have data encryption installed along with anti-virus software. The Council adheres to government security standards and guidelines to access and share information securely with central and local government and other partners, all of which are subjected to internal and external audit and compliance processes. The Council also mitigates the risk of information loss from information residing on servers through Disaster Recovery contracts and annual business continuity testing as well as standard back-up and off-site storage facilities.</p> <p>As part of the Council's Digital Transformation programme, there are a range of projects within the Data workstream designed to improve how the Council manages information. This includes the implementation of a new Records Management system, a review of the FOI process and transfer to a new database, establishing a centralised data analytics team to improve how the Council uses data to make decisions.</p>		12
<b>Linked Actions</b>			
<b>Linked Actions Code &amp; Title</b>			

Risk Code & Title	FACS1819 R04 Cyber Security	Current Risk Matrix
<b>Risk</b>	<p>Cyber risk is the potential compromise of business operations orchestrated via digital channels or the IT infrastructure and can include targeting of the user base.</p> <p>This can result in IT systems, operations or data becoming unavailable, corrupted or inappropriately exposed. Risk derives from both Council operations and those of its supply chain.</p> <p>All Services depend to varying degrees on the Council's IT infrastructure for their operational activities. The importance of cyber resilience has never been greater. Digital technologies bring enormous opportunities for Council public services – but they also bring with them IT and Cyber threats and vulnerabilities that must be managed.</p> <p>As the Council embraces major IT transformation including the expansion of network perimeters to the cloud, increasing digitised investments and an expanding mobile and agile workforce Cyber security will be critical to the continued ability to deliver services to the public, citizens and service users.</p> <p>Cyber risk covers attacks against the computing and network infrastructure, the user base and cyber-attacks which result in the loss of confidentiality, integrity or availability of data.</p>	
<b>Consequence</b>	<p>A successful cyber-attack (virus, penetration or malicious external or internal action) on the Council's IT environments could result in significant service disruption and possible data loss including:</p> <ul style="list-style-type: none"> <li>. Disruption of Services impacting service delivery to citizens</li> <li>. Loss of access to computing systems and applications</li> <li>. Loss of access to data for example due to malicious encryption activity</li> <li>. Loss of Data</li> <li>. Compromise of continued PSN connectivity</li> <li>. Staff, Citizen, Service User data loss with the potential for misuse such as identity fraud</li> <li>. Mis-information being delivered to the public via Council communication channels</li> <li>. Potential for significant fines currently under the Data Protection Act and from May 2018 under the provisions of the General Data Protection Regulations</li> <li>. Reputational damage</li> <li>. Redirection of resources to deal with the effects of an attack and away from BAU work</li> </ul> <p>A similar attack on an area of the supply chain could result in comparable issues.</p>	<b>Current Risk Score</b>
<b>Current Controls</b>	<p>A number of controls are in place to reduce the likelihood of a cyber security related incident including:</p> <ul style="list-style-type: none"> <li>. Implementation of internal policies on patching and hardware/software hardening</li> <li>. Alignment of security policies with ISO27001:2014</li> <li>. Annual PSN compliance audit including a comprehensive IT Health Check</li> </ul>	12

	<ul style="list-style-type: none"> <li>. Quarterly security testing of the external facing infrastructure</li> <li>. Programme of internal ICT audits</li> <li>. Security risk inclusion within the procurement process</li> <li>. Remote access controls for staff and 3rd parties</li> <li>. Data Protection forum incorporating security (DPAG)</li> <li>. Multiple layers of Cyber defences</li> <li>. Training framework covering security awareness delivered both in a tutor led and online environment</li> <li>. Security alert messages issued to staff via channels such as email and MetaCompliance</li> <li>. Pro-active phishing campaigns</li> <li>. Interagency and cross Council working groups</li> <li>. Proactive sharing of intelligence across public sector.</li> <li>. National Digital Office / Scottish Government Public Sector Security programme and guidance</li> <li>. A cyber security resilience action plan has been put in place to deliver compliance with the standards as outlined by the Scottish Government.</li> </ul> <p>It is recognised that no organisation can be 100% protected against agile and fast changing cyber threats. Continual development of protection measures both technical and non-technical are required to reduce risk. IT Services continue to review the Council's Protection Strategy and technology in place in line with industry and UK and Scottish Government recommendations.</p>	
<b>Linked Actions</b>		
<b>Linked Actions Code &amp; Title</b>		