

# EXECUTIVE COUNCIL

## PUBLIC

<b>Title of Report:</b>	FIG Performance Management – Exception Reporting Q3 2016/17
<b>Paper No:</b>	64/17
<b>Date:</b>	26 <sup>th</sup> April 2017
<b>Responsible Director:</b>	Head of Policy
<b>Report Author:</b>	Statistics and Performance Officer
<b>Portfolio Holder:</b>	The Honourable Michael Poole
<b>Reason for Paper:</b>	This paper is submitted to Executive Council to present a Performance Exception Report of Departmental Service Level Objectives for Quarter 3 of the 2016/17 Financial Year.
<b>Publication:</b>	Yes
<b>Previous Papers:</b>	Performance Report papers are produced quarterly. This is the third paper for the 2016/17 financial year.
<b>List of Documents:</b>	None

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### 1.0 Recommendations

Honourable Members are invited to:

- (a) Review the reported quarterly results and raise any necessary performance results (positive or negative) that may be relevant to any Departments within their portfolio.
- (b) Approve the publication of this report and the supporting Annex which highlights performance against select key indicators of public interest.

### 2.0 Additional Budgetary Implications

2.1 None

### 3.0 Executive Summary

- 3.1 The attached paper details the headline results from the Q3 – Quarterly Performance Report and provides exception reporting information on the second quarter results for the 2016/17 financial year. The process of measuring the objectives is based on a RAG (Red, Amber, Green) system therefore if a Department is underperforming by 10% or more this equates to a “Red” score, underperforming by less than 10% equates to an “Amber” score and hitting or exceeding your target equates to a “Green” score.
- 3.2 In total, 131 indicators were scheduled to be reported on in Q3. Data were received for 122 of those indicators (93%), including 6 contextual, or data only, values.
- 3.3 Honourable Members previously approved the proposed change in the presentation of performance data to an exception reporting format (21/16). Thus, this paper focuses specifically on the indicators that fail to meet their targets, in addition to those for which no data are submitted.
- 3.4 This approach provides a more concise report on FIG performance, and enables Honourable Members to quickly identify any Departments within their portfolio that are underperforming.
- 3.5 The structure of the paper is as follows:
  - i. Section 1: Headline Results for FIG Performance Management: Q3 2016/17
    - The RAG status of all indicators is summarised
    - Performance trends are presented
    - Notable results and changes in indicator status are detailed
    - Summary information for contextual indicators is provided
  - ii. Section 2: Exception Reporting – KPIs highlighted for action within relevant Directorates
    - KPIs achieving a *red* or *amber* status are detailed for each Directorate, in addition to indicators with missing data
    - A summary table of performance is provided for each highlighted KPI, to provide context to the Q3 result

#### **4.0 Background**

- 4.1 Performance management in Government is an important process as it provides a means by which to measure the effectiveness and responsiveness of Government to meeting the needs of the community. Within Government the process is an essential tool to ensure that services are improving and being delivered efficiently.
- 4.2 Each department of Government produces a Business Plan setting out Service Level Objectives (SLOs). SLOs are specific, operational measures of achievement which can be monitored throughout the year.

- 4.3 Progress against all objectives is reported to the Chief Executive and the Head of Policy on a quarterly basis. The collation of the quarterly results and the production of the report is the responsibility of the Policy Unit.

## **5.0 Resource Implications**

### 5.1 Financial Implications

None.

### 5.2 Human Resource Implications

None.

### 5.3 Other Resource Implications

None

### 5.4 Legal Implications

None.

## Headline results for FIG Performance Management: Q3 2016/17

### 1.0 Overview

**Table 1: FIG Q1 KPI Indicator Status (n=131)**

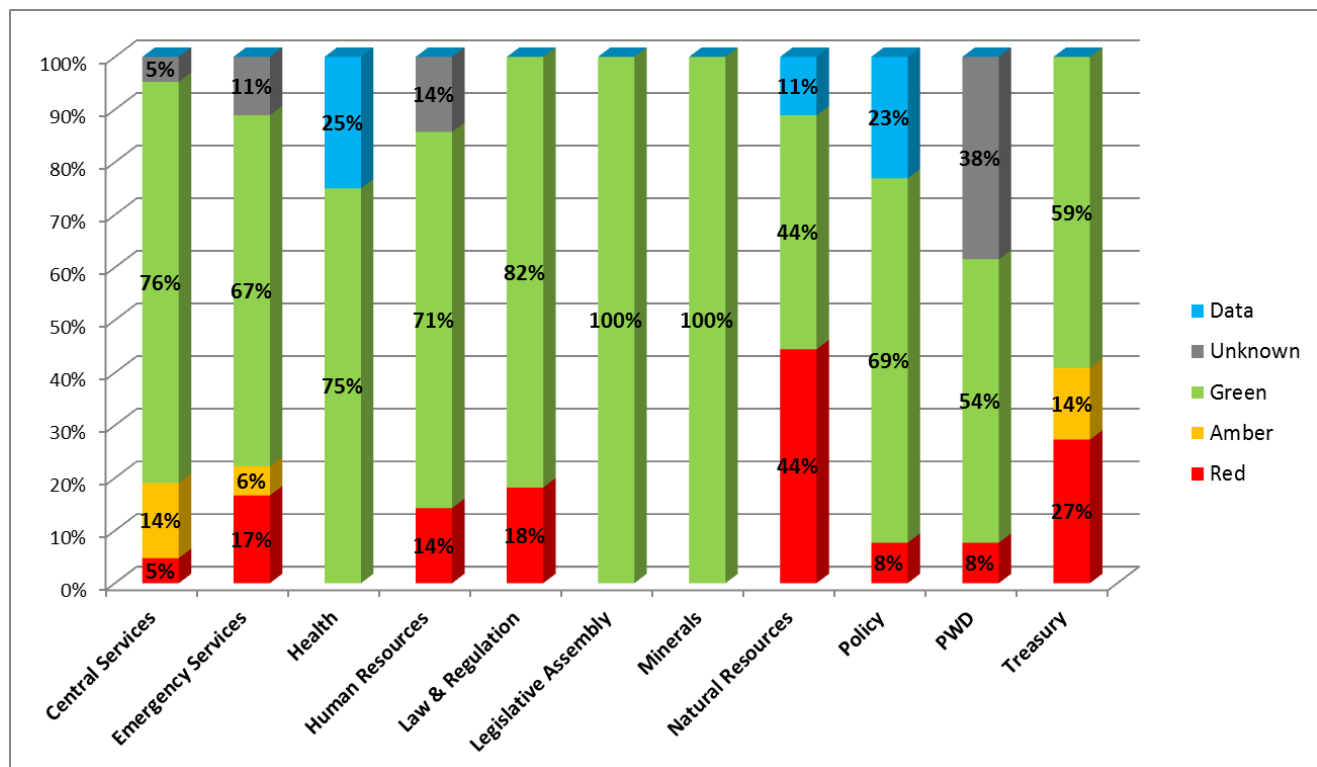
Red	Amber	Green	Data Only	Not Reported
15% (n=19)	5% (n=7)	69% (n=90)	5% (n=6)	7% (n=9)

1.1 In total, 131 indicators were due for update in Q3, of which data were available for 93% (Table 1). The proportion of KPIs achieving *green* or *amber* status was 74%, a decrease of 8% on the previous quarter's performance. The number of PIs for which no data were available increased slightly in the current quarter, and is due to staff absences and delays in receiving data at the end of the reporting period. These are detailed in Section 2.

### 2.0 Performance results

2.1 The graph below illustrates the performance results for each Directorate at the end of Q3. Three Directorates achieved *green* status for all of their indicators, and a further 11 Departments across FIG also succeeded in meeting all of their targets for Q3: Fox Bay, the Leisure Centre, and IT Support within Central Services; Legal Services and Registry within Law & Regulation; Veterinary Services in Natural Resources; Archives and Media & PR within Policy; and within PWD Asphalt Production, the Quarry and Water Section all achieved all their Q3 targets.

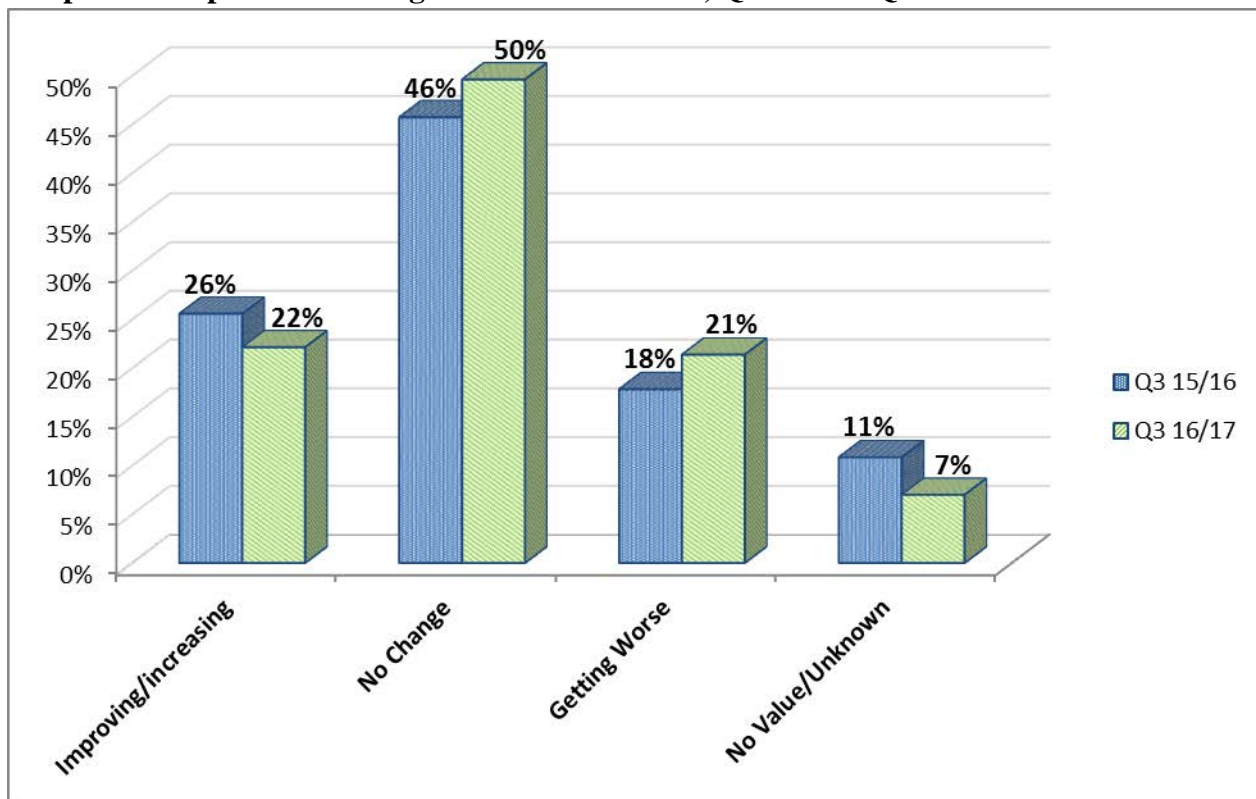
**Graph 1: RAG Performance Outcomes for all Directorates, Q3 2016/17**



While the set of indicators has changed somewhat compared to the third quarter of the previous financial year, (129 KPIs in Q3 2015/16 compared to 131 in Q3 2016/17), Graph 2 provides an indication of overall FIG performance compared to the same period last year.

Significantly, the proportion of KPIs which had no data available decreased from 11% this time last year to 7% of KPIs for the current quarter. Slightly more performance indicators (3%, n=5) declined in performance in this reporting period compared to the previous financial year, and 50% have maintained their performance level from the previous quarter.

**Graph 2: Comparison of Long Trend Performance, Q2 15/16 v Q2 16/17**



### 3.0 Notable performance results and changes in indicator status

#### 3.1 Changes from *Red* to *Green* Indicator Status

Three indicators moved from *red* status to *green* in Q3. Within Central Services, problems with leaks and the water supply at Fox Bay were resolved with the installation of new water tanks. The tank storage capacity for the village has now increased from 40,000 to approximately 100,000 litres.

Within Environmental Planning, the proportion of planning applications determined within the 5 week timeframe improved from 31% in Q1 to 82% in Q3, meeting the target for the period.

Finally, PR & Media’s reach to the public via social media increased in Q3, with the number of new Twitter followers exceeding the set target for the quarter.

#### 3.2 Changes from *Green* to *Red* Indicator Status

Nine indicators changed from *green* to *red* in Q3. RFIP succeeded in attending 63% of urgent incidents in Stanley and not the 96% target, as timings for 7 of the 19 calls were affected due to radio failure.

In HR, the KPI relating to the timely issuing of overseas recruitment paperwork missed its target in 4 of 21 cases due to ongoing discussions with HR and DHSS.

One KPI in Regulatory Services relating to the resolution of external audit findings changed from *green* to *red*. The Civil Aviation Department underwent an external audit at the end of January during which three findings were raised. Work is ongoing to rectify the findings however none has been closed to date.

Two Natural Resources KPIs fell in performance compared to the last quarter. Within the Agriculture Department, the number of farm visits decreased from 34 in Q2 to 16 in Q3. In Fisheries, no finfish trawlers were inspected during the quarter. This was due to the fact that no trawlers were in the zone until mid-February, and inspections on over 100 jiggers also needed to be conducted.

Four KPIs in Treasury changed from *green* to *red* during Q3. Two related to the department's response to audit reports and recommendations; both missed their targets due to staff turnover and capacity issues. The KPI reflecting arrears as a proportion of receivable income was higher than the set maximum. This was due to six invoices amounting to approximately one million pounds between them, which is not a frequent occurrence. Finally, the timely provision of information to individuals due to retire was achieved 71% of the time compared to 100% in Q2. Performance was affected by a surge in applications following the amnesty period in December 2016.

### **3.3 Changes from *Red* to *Amber* Indicator Status**

The Audit indicator relating to completion of the agreed audit plan improved on the previous quarter, with 63% of the work achieved. The target for the quarter was 64%.

Within FIGAS, the KPI measuring passenger hour load factor for tourist flights achieved *amber* status during tourist season, narrowly missing its target for the quarter.

### **4.0 Contextual/data indicators**

The number of planning applications received by Environmental Planning increased slightly in Q3, with 28 applications received during the quarter. Seventeen building permit applications were received in Q3, more than received in previous quarters for this financial year. There were no regularisation or exemption notices issued during the period.

DHSS reported 39 referrals for overseas treatment; 29 referrals to the UK and 10 referrals to Chile.

Five presentations and lectures were delivered by the Fisheries Department in Q3.

## 5.0 Exception Reporting: KPIs Highlighted for Action within Relevant Directorates

Here KPIs achieving a *red* or *amber* status are detailed for each Directorate, in addition to indicators with missing data. A narrative providing context for the result is provided where available.

### 5.1 Central Services

Directorate indicator status for Q3: Total number of KPIs = 21				
Red	Amber	Green	Not Reported	Contextual
5% (n=1)	14% (n=3)	76% (n=16)	5% (n=1)	0

Over three quarters of all KPIs for Central Services met their targets and achieved *green* status for this quarter. One indicator fell into *red* status, and one had no data available for the reporting period.

#### KPI: Achieve On Time Performance (OTP) targets for Stanley Airport, 100% within 25 mins

	Value	Target	Status	Long Trend	Short Trend
Q1 2016/17	96%	100%			
Q2 2016/17	95%	100%			
Q3 2016/17	94%	100%			

#### KPI: Achieve an annual increase in the passenger hour load factor a) local flights: 0.2 increase

	Value	Target	Status	Long Trend	Short Trend
Q1 2016/17	3.10	4.14			
Q2 2016/17	3.95	4.14			
Q3 2016/17	4.02	4.14			

#### KPI: Achieve an annual increase in the passenger hour load factor b) tourist flights: 0.6 increase

	Value	Target	Status	Long Trend	Short Trend
Q1 2016/17	.00	8.00			
Q2 2016/17	.00	8.00			
Q3 2016/17	7.60	8.00			

#### KPI: Maintain or increase Philatelic Bureau income annually through to 2017

	Value	Target	Status	Long Trend	Short Trend
Q1 2016/17	£33,022	£100,000			
Q2 2016/17	No data	£100,000			
Q3 2016/17	No data	£100,000			

- No financial data were available at the time of reporting.

**KPI: Achieve 10% increase number of annual SLC user ‘actions’ in 2016/17**

	Value	Target	Status	Long Trend	Short Trend
Q1 2016/17	No data	4675			
Q2 2016/17	1979	9350			
Q3 2016/17	8039	14025			

- This is the second quarter where attendances have been recorded from the management system. As there has not been an accurate recording system in place for several years, the targets set are now thought to be inaccurate and a review of the figures is proposed.

**5.2 Emergency Services**

Directorate indicator status for Q3: Total number of KPIs = 18				
Red	Amber	Green	Not Reported	Contextual
17% (n=3)	6% (n=1)	67% (n=12)	11% (n=2)	0

Overall, four indicators within Emergency Services failed to meet their targets for Quarter 2, and two indicators within Customs & Immigration had no data available at the time of reporting.

**KPI: Provide up to 104 hours of local training/annum for all retained staff. Avg of at least 8 hours/month per officer**

	Value	Target	Status	Long Trend	Short Trend
Q1 2016/17	101	26			
Q2 2016/17	41	52			
Q3 2016/17	27	78			

**KPI: Police Officer on-site at urgent incidents in Stanley during normal working hours within 10 mins in 96% of cases**

	Value	Target	Status	Long Trend	Short Trend
Q1 2016/17	96%	96%			
Q2 2016/17	100%	96%			
Q3 2016/17	63%	96%			

- Targets for 7 of the 19 calls were missed due to radio failure.



**KPI: To achieve a 100% detection rate for all serious crime**

	Value	Target	Status	Long Trend	Short Trend
Q1 2016/17	No data	100%	?	?	?
Q2 2016/17	No data	100%	?	?	?
Q3 2016/17	0%	100%	⬮	?	?

- Target missed as the investigation is still ongoing.

**KPI: 95% of duty and permit invoices processed within 5 working days**

	Value	Target	Status	Long Trend	Short Trend
Q1 2016/17	100%	95%	✓	?	?
Q2 2016/17	100%	95%	✓	↑	↑
Q3 2016/17	No data	95%	?	?	?

- Information not available at the time of reporting.

**KPI: 95% of work/residence permit applications processed within 8 working days of receipt**

	Value	Target	Status	Long Trend	Short Trend
Q1 2016/17	100%	95%	✓	?	?
Q2 2016/17	97%	95%	✓	↑	↑
Q3 2016/17	No data	95%	?	?	?

- Information not available at the time of reporting.

**5.3 Human Resources**

Directorate indicator status for Q3: Total number of KPIs = 7				
Red	Amber	Green	Not Reported	Contextual
14% (n=1)	0	71% (n=5)	14% (n=1)	0

One indicator failed to meet its target for the quarter, and as in Q1 and Q2, the KPI measuring manager satisfaction with casework was not reported on.

**KPI: All overseas recruitment paperwork issued within 8 working days**

	Value	Target	Status	Long Trend	Short Trend
Q1 2016/17	92%	90%	✓	↑	↑
Q2 2016/17	100%	90%	✓	↑	↑
Q3 2016/17	81%	90%	⬮	↓	↓

- Delays for 4 of the 21 cases were delayed due to ongoing discussions between HR and DHSS.

**KPI: Response rate to satisfaction survey from managers after casework**

	Value	Target	Status	Long Trend	Short Trend
Q1 2016/17	No data	60%	?	?	?
Q2 2016/17	No data	70%	?	?	?
Q3 2016/17	No data	80%		?	?

– Under review by Director of HR.

**5.4 Law & Regulation**

Directorate indicator status for Q3: Total number of KPIs = 11				
Red	Amber	Green	Not Reported	Contextual
18% (n=2)	0	82% (n=9)	0	0

Two indicators within Regulatory Services failed to achieve *green* status during the quarter, and are detailed below.

**KPI: All Camp Aerodromes inspected in accordance with Departmental Procedures**

	Value	Target	Status	Long Trend	Short Trend
Q1 2016/17	45%	25%	✓	↓	↓
Q2 2016/17	48%	50%	⚠	↓	↑
Q3 2016/17	59%	75%	✗	↓	↑

**KPI: 95% of external audit findings resolved within given timeframes or acceptable rectification actions plans in place**

	Value	Target	Status	Long Trend	Short Trend
Q1 2016/17	100%	95%	✓	▬	▬
Q2 2016/17	100%	95%	✓	▬	▬
Q3 2016/17	0%	95%	✗	↓	↓

– Civil Aviation underwent an external audit at the end of January during which three findings were raised. Work is ongoing to rectify the findings however none has been closed to date.

**5.5 Natural Resources**

Directorate indicator status for Q3: Total number of KPIs = 9				
Red	Amber	Green	Not Reported	Contextual
44% (n=4)	0	44% (n=4)	0	11% (n=1)

The four KPIs that achieved *red* status are indicated below.

**KPI: Improved agricultural extension through farm visits**

	Value	Target	Status	Long Trend	Short Trend
Q1 2016/17	7	20			
Q2 2016/17	34	20			
Q3 2016/17	16	20			

**KPI: Improved agricultural extension through articles written and presentations given**

	Value	Target	Status	Long Trend	Short Trend
Q1 2016/17	22	19			
Q2 2016/17	13	19			
Q3 2016/17	5	19			

**KPI: Improved business skills through benchmarking**

	Value	Target	Status	Long Trend	Short Trend
Q1 2016/17	2	25			
Q2 2016/17	0	25			
Q3 2016/17	0	25			

**KPI: 80% Fishing Vessels Inspected at sea (Annually): Finfish (20% per quarter)**

	Value	Target	Status	Long Trend	Short Trend
Q1 2016/17	40%	20%			
Q2 2016/17	128%	20%			
Q3 2016/17	0%	20%			

- The late arrival of finfish trawlers and inspections carried out on jiggers impacted on this KPI's performance.

**5.6 Policy**

Directorate indicator status for Q3: Total number of KPIs = 13				
Red	Amber	Green	Not Reported	Contextual
8% (n=1)	0	69% (n=9)	0	23% (n=3)

One indicator within Environmental Planning did not meet its target for the quarter.

**KPI: Building permit applications determined within 2 months of application**

	Value	Target	Status	Long Trend	Short Trend
Q1 2016/17	17%	85%			
Q2 2016/17	64%	85%			
Q3 2016/17	71%	85%			

- As in previous quarters, the Building Advice Service remains limited as the Building Advisor has not yet been filled.

**5.7 PWD**

Directorate indicator status for Q3: Total number of KPIs = 13				
Red	Amber	Green	Not Reported	Contextual
8% (n=1)	0	54% (n=7)	38% (n=5)	0

One indicator within the Power Station missed its quarterly target. At the time of reporting, no information was available for 5 KPIs within Property & Municipal Services or Housing.

**KPI: Fuel displacement by wind power**

	Value	Target	Status	Long Trend	Short Trend
Q1 2016/17	31.74	33			
Q2 2016/17	31.82	33			
Q3 2016/17	28.64	33			

**KPI: Collection: Gross rent arrears do not exceed % of gross annual rent to date**

	Value	Target	Status	Long Trend	Short Trend
Q1 2016/17	No data	5%			
Q2 2016/17	No data	4%			
Q3 2016/17	No data	2%			

**KPI: 85% of Government locally allocated dwellings available for re-let within 4 weeks of vacancy**

	Value	Target	Status	Long Trend	Short Trend
Q1 2016/17	90%	85%			
Q2 2016/17	85%	85%			
Q3 2016/17	No data	2%			

**KPI: 100% of Government dwellings allocated to contract personnel are available at the required date**

	Value	Target	Status	Long Trend	Short Trend
Q1 2016/17	100%	100%			
Q2 2016/17	100%	100%			
Q3 2016/17	No data	2%			

**KPI: 80% of responsive repairs are carried out within 3 working days of notification to the Section**

	Value	Target	Status	Long Trend	Short Trend
Q1 2016/17	57%	80%			
Q2 2016/17	85%	80%			
Q3 2016/17	No data	80%			

**KPI: 90% of listed buildings maintained are in a good reasonable condition**

	Value	Target	Status	Long Trend	Short Trend
Q1 2016/17	90%	90%			
Q2 2016/17	90%	90%			
Q3 2016/17	No data	90%			

**5.8 Treasury**

Directorate indicator status for Q3: Total number of KPIs = 22				
Red	Amber	Green	Not Reported	Contextual
27% (n=6)	5% (n=3)	69% (n=13)	0	0










Over two thirds of all Treasury indicators achieved *green* status in Q3. Six KPIs failed to meet their targets and three achieved *amber* status.

**KPI: Complete a significant proportion of the agreed annual audit plan**

	Value	Target	Status	Long Trend	Short Trend
Q1 2016/17	24%	21%			
Q2 2016/17	37%	43%			
Q3 2016/17	63%	64%			










- Q3 has seen Internal Audit catch up on the vast majority of the earlier shortfall due to staff absences.

**KPI: Corporation Tax returns received and initial queries sent within 6 weeks**

	Value	Target	Status	Long Trend	Short Trend
Q1 2016/17	61%	90%			
Q2 2016/17	57%	90%			
Q3 2016/17	56%	90%			










- During Q3, 15 of 27 returns were processed within 6 weeks.

**KPI: 97% of year end employer annual returns (sent out on 2 Dec and due to be submitted by 2 Feb) are processed on database by 28 February**

	Value	Target	Status	Long Trend	Short Trend
Q1 2016/17	0%	0%			
Q2 2016/17	0%	0%			
Q3 2016/17	91%	97%			










- 97% of year end employer annual returns were processed on the database by 28 February. The remainder were queried within the deadline.

**KPI: Respond to external audit management letters & internal audit reports within 10 working days.**

	Value	Target	Status	Long Trend	Short Trend
Q1 2016/17	50%	80%			
Q2 2016/17	100%	80%			
Q3 2016/17	50%	80%			










- Of the two reports received in the period, one was responded to within 16 days; this is due to the chief accountant's post being vacant and knowledge being lost as a result. The second (external) audit has not yet been responded to due to capacity issues.

**KPI: Agreed actions from audit recommendations implemented in line with deadlines**

	Value	Target	Status	Long Trend	Short Trend
Q1 2016/17	100%	90%			
Q2 2016/17	100%	90%			
Q3 2016/17	10%	90%			










- Audit recommendations were not implemented in line with deadlines due to staff turnover and capacity. Vacancies are being filled and the audit reports are being reviewed for outstanding recommendations.

**KPI: Payments: 100% of Virements/AISE to be processed within 3 working days**

	Value	Target	Status	Long Trend	Short Trend
Q1 2016/17	100%	100%			
Q2 2016/17	85%	100%			
Q3 2016/17	76%	100%			










- 170 virements were processed this quarter. There have been delays due to the Christmas break, staff vacancies and staff handover. The Management Accountant is now in post to cover the virements process.

**KPI: Bank reconciliations undertaken within one working day of receipt of bank statement.**

	Value	Target	Status	Long Trend	Short Trend
Q1 2016/17	93%	100%			
Q2 2016/17	100%	100%			
Q3 2016/17	98%	100%			










- All reconciliations were completed within one working day with the exception of perhaps 3 or 4 during times of cover (including those that occurred over the Christmas leave period). This would equate to approximately 98% of bank recs completed within 1 date of receipt.

**KPI: Collection: Arrears (excl. fishing licences, rent, agency and service charges) do not exceed 25% of receivable invoiced income**

	Value	Target	Status	Long Trend	Short Trend
Q1 2016/17	29%	25%			
Q2 2016/17	14%	25%			
Q3 2016/17	34%	25%			

- This relates to six main invoices which amount to almost £1,000,000 between them, which is not a frequent occurrence.

**KPI: Calculation and provision of information to impending retiring participants processed within 10 working days**

	Value	Target	Status	Long Trend	Short Trend
Q1 2016/17	100%	90%			
Q2 2016/17	100%	90%			
Q3 2016/17	71%	90%			

- Because the KPI specifies 'impending retirement' this doesn't include the 85 statement requests received because of the amnesty primarily in December, of which 23 have been completed to date.