

<b>Isle of Anglesey County Council</b>	
Report to:	<b>Audit and Governance Committee</b>
Date:	<b>19 September 2018</b>
Title:	<b>Policy Acceptance – Year 1 Compliance Data</b>
Report by:	<b>Lynn Ball, Head of Function (Council Business / Monitoring Officer)</b>
Purpose of Report:	<b>To inform the Audit and Governance Committee of compliance levels across the Council.</b>

## **1.0 Background**

The Council's policy management system - the Policy Portal - was made available to staff as an electronic library in November 2016. Policy acceptance requirements began on 24 April 2017.

It was reported to this Committee at its meeting on 21 September 2017 that the Policy Portal would provide the SIRO with assurance that key Information Governance policies are being read, understood and formally accepted by individual members of staff.

The following policies were first subject to click to accept between April 2017 and June 2018, as determined by the Council's Senior Leadership Team (SLT):

1. Clear Desk Policy
2. Records Management Policy
3. Data Classification Policy
4. Managing Absence Policy
5. Display Screen Equipment Policy
6. Health and Safety: Roles and Responsibilities
7. Welsh Language Standards

**Appendix 1** to this report gives details of compliance levels for the above policies for all services apart from the Learning service. A decision was taken in April 2017 not to include the Learning service as the service's IT group contained school-based staff for which the process was not relevant. This issue has since been addressed and the Learning service was first included in the corporate process in July 2018, when the Council's Data Protection Policy was made available for acceptance.

The first seven policies referred to in this report will be assigned gradually to the Learning service over the coming months.

The data in this report is based on the information available as at **24 July 2018**.

## **2.0 Monitoring compliance**

Compliance reports, on a service-by-service basis, are submitted to the SLT at the end of the 6-week acceptance periods assigned for each policy. All policies remain available for acceptance after the closing dates so that users who have not completed a policy on time, for whatever reason, are able to catch up. The weekly email reminders generated by the Policy Portal automatically list all outstanding policies for each user. In addition, as the Portal synchronises with the Council's Active Directory (AD) overnight, any new users added to service groups are included automatically within 24 hours.

All Heads of Service also have direct access to the Portal to monitor compliance within their own services.

## **3.0 Compliance Levels**

**Appendix 1** sets out compliance levels for each policy released for acceptance, both across the Council and by service, as at 24 July 2018 (with the exception of the Learning service). Average compliance for all policies across the Council is 95%, compared with an average of 79% at the end of the six-week acceptance period set for each policy. All services have attained high levels of compliance, apart from Adult Services.

This Committee noted on 21 September 2017 that Social Services and Learning were lagging behind other Council services and sought assurance that action was being taken to improve compliance levels. The current position is outlined below:

Compliance in Children's Services has improved significantly, with an average compliance rate of 99% as at 24 July 2018, compared with an average of 57% at the end of the six-week acceptance periods.

Adults Services attained an average compliance rate of 78% as at 24 July 2018 which, whilst lagging behind the other services, is an improvement on the 63% compliance average at the end of the six-week acceptance period set for each policy. It is understood that a number of the service's community-based staff with e-mails may have limited access to their Active Directory accounts. The service will need to ascertain the extent of any problems and consider what measures it can take to facilitate access in order to improve compliance.

As noted in 1.0, the Learning service has been part of the corporate process since July 2018 and will be required to catch up by accepting the first seven policies over the coming months. This will be in addition to accepting the second round of policies as they are released for acceptance.

## 4.0 Staff without access to the Policy Portal

The Policy Portal relies on the Council's Active Directory (AD), and now includes around 1000 active users, following the inclusion of the Learning Service.

The Portal's reliance on the AD has been recognised as a weakness from the outset and this Committee has previously raised concerns that staff who are not AD users are not included in the process. The number of staff who do not have Active Directory accounts is estimated at around 709, including:

Adults Services	Home Carers; Re-ablement; Care Homes; Day Services; Canolfan Byron, Supported Living	350
Children's Services	Specialist Support Workers	21
Learning	Libraries, Youth Workers, Relief Staff, Seasonal Assistants, Cleaner	94
Highways, Waste and Property	Cleaners (including schools), Môn Community Transport, Recycling Centres, Cycling Trainers, School Crossing Patrols	204
Regulation and Economic Development	Cleaners, café staff, coaching staff	40

AD users with email accounts occupy Microsoft Client Access Licences which are expensive. In addition, the provision of any IT equipment to facilitate access, such as laptops, would also have cost implications. Whilst providing AD accounts for all staff would be technically possible, it would be too costly and is not considered – now, or in the foreseeable future - to be a corporate priority.

The Portal is capable of facilitating access by creating manual accounts. This option would require all non-AD users to provide their personal email addresses to enable them to access the system. This approach has already been taken to facilitate access to the Council's electronic Payroll system. The process was time-consuming and was met with some initial reluctance. It is therefore anticipated that requesting personal email addresses to facilitate policy acceptance is likely to be met with a similar response.

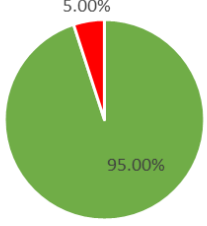
It is therefore concluded that, whilst widening the scope of the Portal to include non-AD connected staff is possible, the rollout would require significant resource and planning that goes beyond the original remit of the system.

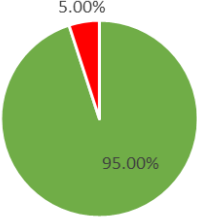
Enquiries are currently being made with other North Wales Councils as to their policy acceptance arrangements.

## **5.0 Recommendations**

The Committee is requested to note the current position.

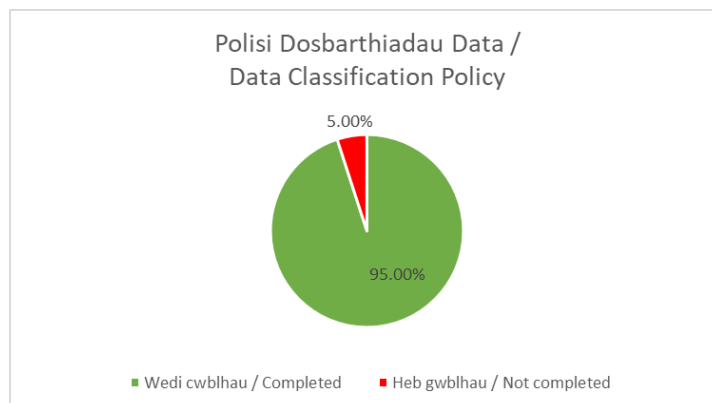
**4 September 2018**

<b>1 – Clear Desk Policy</b>		
Start date:	24 April 2017	
Total:	<b>893</b>	
Completed:	<b>849</b>	<b>95%</b>
Not completed:	<b>44</b>	<b>5%</b>
<div style="text-align: center;"> <p>Polisi Desg Glir / Clear Desk Policy</p>  <p>5.00%</p> <p>95.00%</p> <p>■ Wedi cwblhau / Completed   ■ Heb gwblhau / Not completed</p> </div>		
<b>Resources (97)</b>		
Completed:	97	100%
Not completed:	-	-
<b>Council Business (34)</b>		
Completed:	34	100%
Not completed:	-	-
<b>Adults Services (175)</b>		
Completed:	139	79%
Not completed:	36	21%
<b>Children's Services (120)</b>		
Completed:	118	98%
Not completed:	2	2%
<b>Chief Executive (5)</b>		
Completed:	5	100%
Not completed:	-	-
<b>Highways, Waste and Property (100)</b>		
Completed:	100	100%
Not completed:	-	-
<b>Regulation and Economic Development (154)</b>		
Completed:	149	97%
Not completed:	5	3%
<b>Housing (133)</b>		
Completed:	133	100%
Not completed:	-	-
<b>Corporate Transformation (75)</b>		
Completed:	74	99%
Not completed:	1	1%

<b>2 – Records Management Policy</b>		
Start date:	19 June 2017	
Total:	<b>892</b>	
Completed:	<b>849</b>	<b>95%</b>
Not completed:	<b>43</b>	<b>5%</b>
<div style="text-align: center;"> <p>Polisi Rheoli Cofnodion / Records Management Policy</p>  <p>5.00% 95.00%</p> <p>■ Wedi cwblhau / Completed   ■ Heb gwblhau / Not completed</p> </div>		
<b>Resources (97)</b>		
Completed:	97	100%
Not completed:	-	-
<b>Council Business (34)</b>		
Completed:	34	100%
Not completed:	-	-
<b>Adults Services (174)</b>		
Completed:	141	81%
Not completed:	33	19%
<b>Children's Services (120)</b>		
Completed:	117	98%
Not completed:	3	2%
<b>Chief Executive (5)</b>		
Completed:	5	100%
Not completed:	-	-
<b>Highways, Waste and Property (100)</b>		
Completed:	100	100%
Not completed:	-	-
<b>Regulation and Economic Development (154)</b>		
Completed:	149	97%
Not completed:	5	3%
<b>Housing (133)</b>		
Completed:	131	98%
Not completed:	2	2%
<b>Corporate Transformation (75)</b>		
Completed:	75	100%
Not completed:	-	-

### 3 – Data Classification Policy

Start date:	14 August 2017	
Total:	<b>890</b>	
Completed:	<b>846</b>	<b>95%</b>
Not completed:	<b>44</b>	<b>5%</b>



#### Resources (97)

Completed:	96	99%
Not completed:	1	1%

#### Council Business (34)

Completed:	34	100%
Not completed:	-	-

#### Adults Services (174)

Completed:	138	79%
Not completed:	36	21%

#### Children's Services (120)

Completed:	119	99%
Not completed:	1	1%

#### Chief Executive (5)

Completed:	5	100%
Not completed:	-	-

#### Highways, Waste and Property (100)

Completed:	100	100%
Not completed:	-	-

#### Regulation and Economic Development (154)

Completed:	149	97%
Not completed:	5	3%

#### Housing (132)

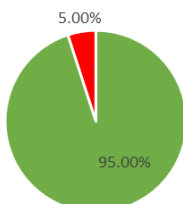
Completed:	131	99%
Not completed:	1	1%

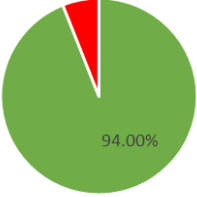
#### Corporate Transformation (74)

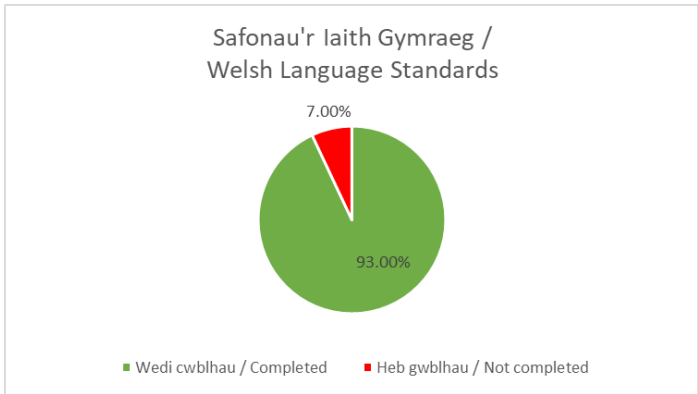
Completed:	74	100%
Not completed:	-	-

<b>4 – Managing Absence Policy</b>		
Start date:	6 November 2017	
Total:	<b>891</b>	
Completed:	<b>848</b>	<b>95%</b>
Not completed:	<b>43</b>	<b>5%</b>
<div style="text-align: center;"> <p>Polisi Rheoli Absenoldeb / Managing Absence Policy</p> <p>5.00% 95.00%</p> <p>■ Wedi cwblhau / Completed   ■ Heb gwblhau / Not completed</p> </div>		
<b>Resources (97)</b>		
Completed:	97	100%
Not completed:	-	-
<b>Council Business (34)</b>		
Completed:	33	99%
Not completed:	1	1%
<b>Adults Services (174)</b>		
Completed:	140	80%
Not completed:	34	20%
<b>Children's Services (120)</b>		
Completed:	119	99%
Not completed:	1	1%
<b>Chief Executive (5)</b>		
Completed:	5	100%
Not completed:	-	-
<b>Highways, Waste and Property (100)</b>		
Completed:	100	100%
Not completed:	-	-
<b>Regulation and Economic Development (154)</b>		
Completed:	148	96%
Not completed:	6	4%
<b>Housing (132)</b>		
Completed:	131	99%
Not completed:	1	1%
<b>Corporate Transformation (75)</b>		
Completed:	75	100%
Not completed:	-	-



<b>5 – Display Screen Equipment Policy</b>		
Start date:	18 January 2018	
Total:	<b>890</b>	
Completed:	<b>846</b>	<b>95%</b>
Not completed:	<b>44</b>	<b>5%</b>
<div style="text-align: center;"> <p>Polisi Offer Sgrin Arddangos / Display Screen Equipment Policy</p>  <p>■ Wedi cwblhau / Completed   ■ Heb gwblhau / Not completed</p> </div>		
<b>Resources (98)</b>		
Completed:	98	100%
Not completed:	-	-
<b>Council Business (34)</b>		
Completed:	34	100%
Not completed:	-	-
<b>Adults Services (174)</b>		
Completed:	137	79%
Not completed:	37	21%
<b>Children's Services (120)</b>		
Completed:	119	99%
Not completed:	1	1%
<b>Chief Executive (5)</b>		
Completed:	5	100%
Not completed:	-	-
<b>Highways, Waste and Property (100)</b>		
Completed:	100	100%
Not completed:	-	-
<b>Regulation and Economic Development (154)</b>		
Completed:	149	97%
Not completed:	5	3%
<b>Housing (131)</b>		
Completed:	130	99%
Not completed:	1	1%
<b>Corporate Transformation (74)</b>		
Completed:	74	100%
Not completed:	-	-

<b>6 – Corporate Health and Safety Policy</b>		
Start date:	5 March 2018	
Total:	<b>888</b>	
Completed:	<b>834</b>	<b>94%</b>
Not completed:	<b>54</b>	<b>6%</b>
<div style="text-align: center;"> <p>Polisi I&amp;D Corfforaethol / Corporate H&amp;S Policy</p>  <p>6.00% 94.00%</p> <p>■ Wedi cwblhau / Completed   ■ Heb gwblhau / Not completed</p> </div>		
<b>Resources (98)</b>		
Completed:	97	99%
Not completed:	1	1%
<b>Council Business (34)</b>		
Completed:	33	99%
Not completed:	1	1%
<b>Adults Services (174)</b>		
Completed:	130	75%
Not completed:	44	25%
<b>Children's Services (120)</b>		
Completed:	120	100%
Not completed:	-	-
<b>Chief Executive (5)</b>		
Completed:	5	100%
Not completed:	-	-
<b>Highways, Waste and Property (100)</b>		
Completed:	100	100%
Not completed:	-	-
<b>Regulation and Economic Development (154)</b>		
Completed:	147	95%
Not completed:	7	5%
<b>Housing (129)</b>		
Completed:	128	99%
Not completed:	1	1%
<b>Corporate Transformation (74)</b>		
Completed:	74	100%
Not completed:	-	-

<b>7 – Welsh Language Standards</b>		
Start date:	30 April 2018	
Total:	<b>887</b>	
Completed:	<b>823</b>	<b>93%</b>
Not completed:	<b>64</b>	<b>7%</b>
<p>Safonau'r Iaith Gymraeg / Welsh Language Standards</p>  <p>7.00% 93.00%</p> <p>■ Wedi cwblhau / Completed ■ Heb gwblhau / Not completed</p>		
<b>Resources (98)</b>		
Completed:	97	99%
Not completed:	1	1%
<b>Council Business (34)</b>		
Completed:	34	100%
Not completed:	-	-
<b>Adults Services (174)</b>		
Completed:	122	70%
Not completed:	52	30%
<b>Children's Services (120)</b>		
Completed:	120	100%
Not completed:	-	-
<b>Chief Executive (5)</b>		
Completed:	5	100%
Not completed:	-	-
<b>Highways, Waste and Property (100)</b>		
Completed:	100	100%
Not completed:	-	-
<b>Regulation and Economic Development (154)</b>		
Completed:	144	93%
Not completed:	10	7%
<b>Housing (128)</b>		
Completed:	127	99%
Not completed:	1	1%
<b>Corporate Transformation (74)</b>		
Completed:	74	100%
Not completed:	-	-