

REPORT TO: Cabinet

MEETING DATE: 12 March 2019

BY: Chief Executive

SUBJECT: Improvement to Excellence: East Lothian Council's Continuous Improvement Framework and Strategic Performance Framework

1 PURPOSE

- 1.1 To seek Cabinet approval for the Improvement to Excellence framework and the Strategic Performance Framework.

2 RECOMMENDATIONS

Cabinet is asked to:

- 2.1 Approve Improvement to Excellence: East Lothian Council's Improvement Framework (Appendix 1)
- 2.2 Approve the Strategic Performance Framework (Appendix 2)
- 2.3 Note that the Policy Performance and Review Committee will review the Strategic Performance Indicators that are reported quarterly and annually.

3 BACKGROUND

- 3.1 The Council adopted 'From Improvement to Excellence' as its continuous improvement framework in March 2012. The framework has been reviewed and revised on several occasions since then, resulting in relatively minor amendments. The self-evaluation for improvement to excellence (SELFIE) part of the framework, which is delivered through How Good is Our Council? has also been reviewed and revised on several occasions since it was introduced in 2009.
- 3.2 'From Improvement to Excellence' and SELFIE / HGIOC have been revised again to take account of the Council's new priorities as set out in the 2017-2022 Council Plan, the experience and practice of operating these frameworks over the last few years, and also the findings and recommendations of the Quality

Scotland, Recognised for Excellence (R4E) assessment and Audit Scotland Best Value Assurance Review that were carried out in 2018.

3.3 The Council's continuous improvement framework is based on five-inter-related elements:

- Setting clear outcomes and objectives – what we need to do to achieve our vision and ambitions
- Self-evaluation – measuring how we are doing and what we need to improve
- Service improvement planning and management – setting out how we are going to deliver and manage our services, resources and improvement
- Performance management, monitoring and reporting – monitoring how we are doing so we know what we need to improve
- External assessment and accreditation – how others see us and gaining external validation.

3.4 Each of these has been reviewed and a revised Improvement to Excellence framework has been prepared. (see Appendix 1)

3.5 The main alterations that have been made are as follows.

- The introduction of the RADAR principles – Results; Approach; Deployment; Assessment; Review – in order to make the connection to the European Foundation of Quality management (EFQM) approach more explicit
- The development of the concept of the 'Spiral of Continuous Improvement' rather than 'cycle' in order to highlight the continuous improvement nature of the framework
- A new section on the Workforce Plan
- Service Planning guidance on preparing 3-year service plans has been revised to reflect the Council outcomes and objectives and reflect the RADAR principles. Service Plans will be live documents to be reviewed and revised as required to take account of annual HGIOS activity and improvement actions
- The Performance Management element includes reference to the adoption of a small set of Council Plan indicators and the hierarchy of performance indicators that are used in a new Strategic Performance Framework (as was recommended by both Quality Scotland and Audit Scotland)
- Self-evaluation for Improvement to Excellence (SELFIE) has been revised with a clearer distinction between the Corporate Governance Self-evaluation and the introduction of How Good is our Service? (HGIOS), which will provide a more service focussed self-evaluation. HGIOS will be

carried out in two phases – the performance elements will be carried out in late spring/ early summer, following the publication of annual performance indicators; the people elements will be carried out in autumn following the employee engagement survey that will be carried out in October. A revised question set for HGIOS has been developed ensuring greater clarity.

- 3.6 Accurate, high quality, timely and comprehensive performance data is essential to the effectiveness of the Council's Improvement Framework. Performance data is generated for a range of purposes.
- Services collect a large number of indicators that are used to monitor delivery of their service plans and for management purposes or to meet the requirements to report on national performance frameworks and / or Strategic Plan indicators.
 - The Strategic Performance Indicators (or Key Performance Indicators) are the set of indicators that show how Council services are performing across a range of factors such as cost, performance and satisfaction.
 - The 50 Council Plan Indicators is a smaller set of indicators that monitor progress in achieving the Council Plan's nine strategic goals and key commitments
 - The Top 10 show at a glance how the Council is performing in achieving the Council Plan.
- 3.7 Appendix 2 is the Council's Strategic Performance Framework 2017-2022. The Council Plan Top 10 and Top 50 indicators are set out with either a 2016/17 or 2017/18 baseline figure and a 2022 target. The Top 50 Indicators are mapped against the Council Plan's themes, objectives and Strategic Goals.
- 3.8 Some of the targets will flow from other strategies such as the IJB's Strategic plan or the Climate Change Strategy that are still being developed so the Framework includes recommended targets that will be confirmed once the strategies have been adopted. Most of the Top 10 and Top 50 indicators will be reported on an annual basis, although some such as those taken from the Residents Survey will be biennial.
- 3.9 As highlighted above, the Top 10 and Top 50 Indicators sit on top a larger number of indicators that are monitored and reported to the Policy and Performance Review Committee on a quarterly or annual basis. These include the 80 plus indicators that are reported through the Local Government Benchmarking Framework and the indicators that meet Audit Scotland's requirement for the Council to publish Statutory Performance information. Officers are reviewing these Strategic or Key Performance Indicators and will report the outcome of the review to the Policy Performance and Review Committee in June.

4 POLICY IMPLICATIONS

- 4.1 The revised Improvement to Excellence framework takes on board the findings and recommendations of the recent R4E and Best Value assessments and ensures that the Council continues to have a reliable and fit for purpose approach to ensuring the Best Value principles are well embedded.

5 EQUALITIES IMPACT ASSESSMENT

- 5.1 This report is not applicable to the well-being of equalities groups and an Impact Assessment is not required.

6 RESOURCE IMPLICATIONS

- 6.1 Financial – none.
6.2 Personnel – none.
6.3 Other – none.

7 BACKGROUND PAPERS

- 7.1 Appendix 1: Improvement to Excellence: East Lothian Council's Improvement Framework
7.2 Appendix 2: East Lothian Council's Performance Monitoring Framework 2017-2022

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DATE	22 nd February 2019

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IMPROVEMENT TO EXCELLENCE

East Lothian Council's Improvement Framework

*An even more prosperous, safe and sustainable East Lothian,
with a dynamic and thriving economy, that enables our
people and communities to flourish.*

(March 2019)



Improvement to Excellence East Lothian Council's Improvement Framework

Improvement to Excellence is the Continuous Improvement Framework through which East Lothian Council will continue to strive for best value and continues to move from improvement to excellence. The 2017-2022 Council Plan sets out the Council's strategic aims and priorities and provides the overall direction and focus for how the Council will deliver the outcomes which achieve progress in meeting our vision of: *An even more prosperous, safe and sustainable East Lothian, with a dynamic and thriving economy, that enable our people and communities to flourish.*

The Council has put delivery of excellent services at the heart of what we do. One of the four priorities in the Council Plan is *Growing our Capacity to deliver excellent services as effectively and efficiently as possible within our limited resources.* We recognise that there is always more we could do to improve services, make them more effective and deliver them more efficiently – balancing quality of service with value for money. This means we need to continuously review what we do, how we do it and the impact we are having, then deploy the lessons learned to ensure we deliver improving services and real excellence.

The Council's commitment to continuous improvement and this Improvement Framework are centred on the belief that we have to be self-aware of our strengths and areas for improvement, we need to be more proactive about identifying improvement opportunities and managing our performance, and be critically honest in our evaluation of our own performance. Inspections, audits and accreditation support the process by providing independent and external assessment of how we are doing and what can be improved.

All Council staff have a responsibility to strive to deliver excellent, efficient and effective services. However, managers throughout the organisation have a responsibility to lead and manage the improvement process and act as role models by adopting good management behaviours and practices¹:

¹ These points have been adapted from an Audit Commission report, '*Performance Breakthrough*'

- Translating the Council Plan and East Lothian Plan (our Local Outcome Improvement Plan) into something that is meaningful for their service via the One Council concept
- Putting into practice, the concept of Improvement to Excellence through this Improvement Framework
- Showing staff that performance matters and helping people perform to the best of their ability and being prepared to deal with situations where the service is under-performing.
- Ensuring all staff work together, striving to meet objectives through a common set of values and behaviours – ‘One Council’
- Understanding about whether things are improving, and if not, use joined up thinking to learn what could be done to improve
- Measuring what matters to service users and to staff to ensure effort and resources are invested in what is most important
- Taking action to ensure that change happens efficiently and effectively.

Improvement to Excellence is designed to ensure the Council meets its legal requirement to provide Best Value.

- Are we doing the right things?
 - Are we doing them right?
 - How do we know how well we are doing?
 - Could we do things differently to be better?

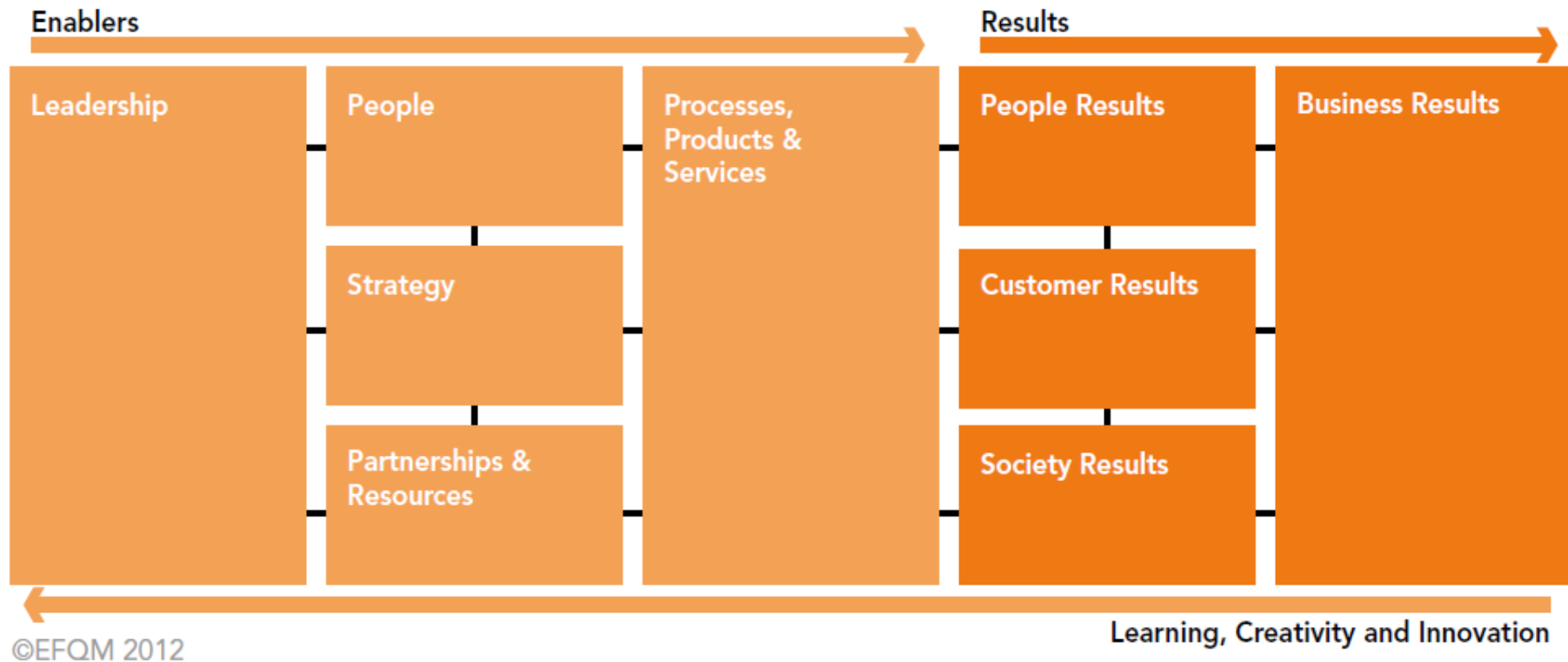
Improvement to Excellence consists of five inter-related elements, which form the basis of continuous improvement.

1. **Setting clear outcomes and priorities** – what we need to do to achieve our vision and ambitions
2. **Service and improvement planning** – setting out how are we going to deliver and manage services, resources and improvement
3. **Performance management, monitoring and reporting** – monitoring how we are doing so we know what we need to improve
4. **Self-evaluation** – measuring how are we doing and what do we need to improve
5. **External assessment and accreditation** – how others see us and gaining external validation.

European Foundation For Quality Management (EFQM)

Improvement to Excellence incorporates the principles of the EFQM framework in order to help us ‘...*achieve and sustain outstanding levels of performance that meet or exceed the expectations of all their stakeholders.*’ The model enables us to understand the cause and effect relationships between what we do (‘enablers’) and the results we achieve.

The EFQM model comprises five ‘Enabler’ criteria and four ‘Results’ criteria:



Improvement to Excellence also integrates the EFQM **RADAR** principles to help drive continuous improvement:

Results – setting out what our goals are and how we are going to judge whether we are achieving them

Approach – planning and developing the approaches we are going to take to achieve the required results

Deployment – putting these approaches into practice in a systematic way to ensure they are implemented

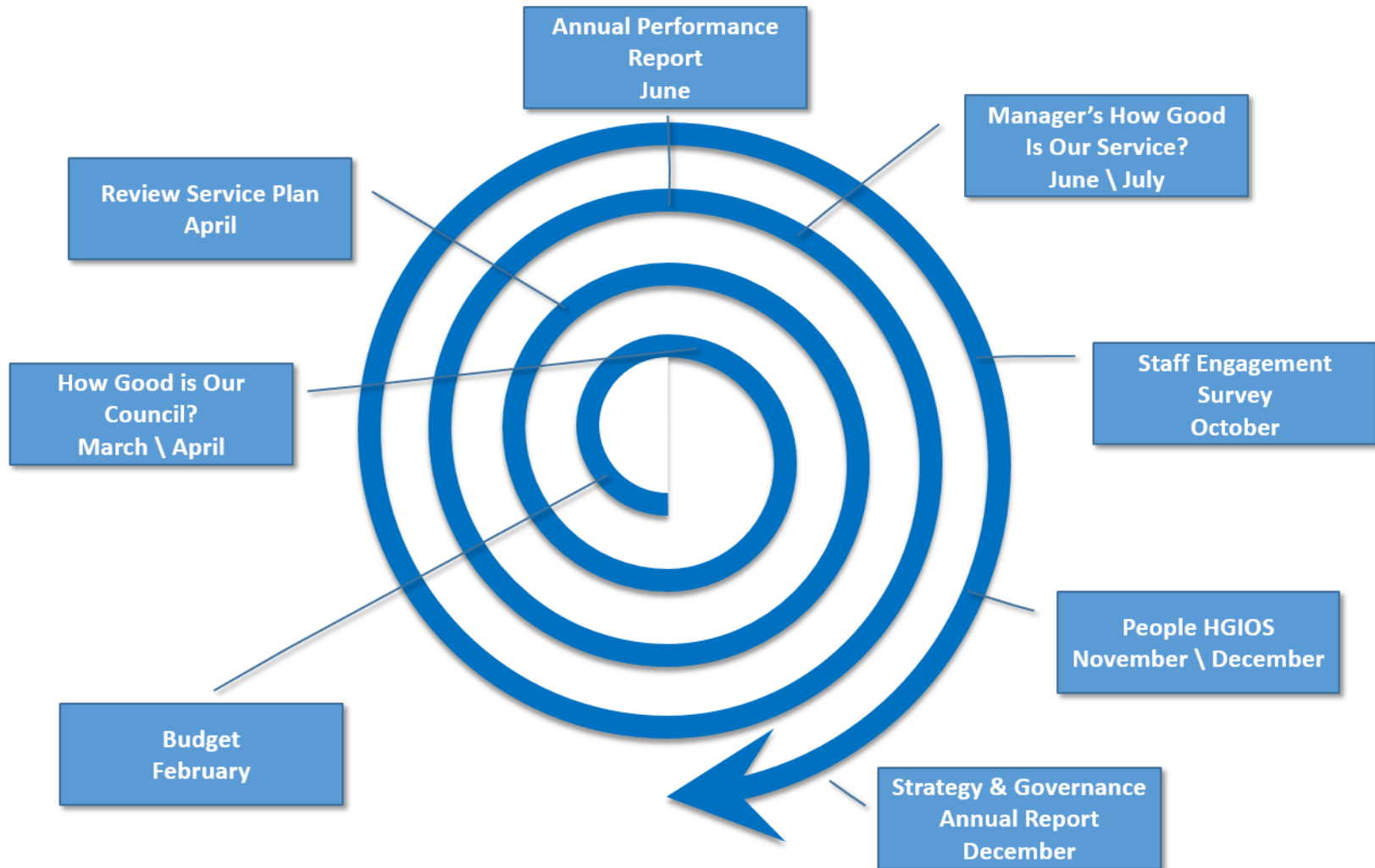
Assessment – monitoring and evaluating our performance and whether our approaches have been deployed effectively

Refinement – reviewing how we could improve our approaches, deployment and performance

Improvement frameworks normally show these as a cycle of activities. However, East Lothian Council's Improvement to Excellence framework is displayed as a '***Spiral of Continuous Improvement***' with every part of the framework contributing to improvements which move us forward rather than taking us back to the beginning of the cycle.

The Continuous Improvement Spiral is depicted below and Appendix 1 provides the annual liner timetable of key elements of the continuous improvement framework.

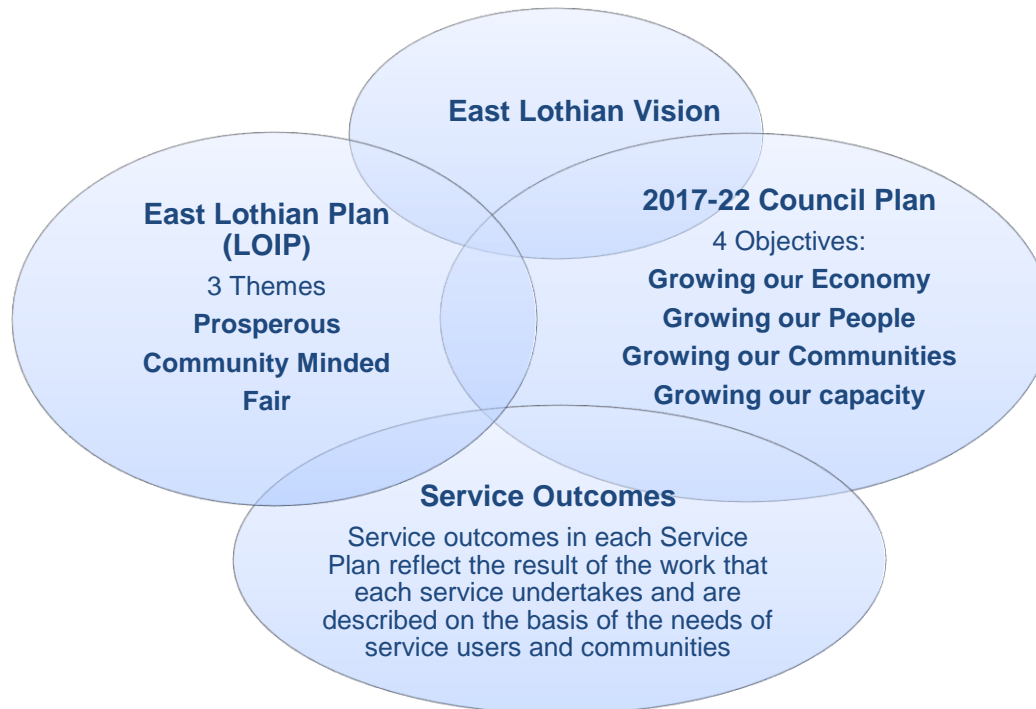
East Lothian Council's Spiral of Continuous Improvement



1. Setting Clear Outcomes and Priorities

The Council and East Lothian Partnership² have adopted a clear vision of **“An even more prosperous, safe and sustainable East Lothian, with a dynamic and thriving economy, that enables our people and communities to flourish.”** The Council Plan and East Lothian Plan (Local Outcome Improvement Plan) set out the key outcomes and priorities that the Council and its partners have set in order to achieve that vision. The Council Plan has four objectives – Growing our Economy; Growing our People; Growing our Communities; and, Growing our Capacity. The East Lothian Plan has three themes – Prosperous, Fair and Community Minded. In addition, both the Council and Partnership have an overarching objective to Reduce Inequalities.

Each council service will develop their own Service Plan, setting out the ‘Service Outcomes’ that reflect how the service will contribute to achieving the outcomes and priorities of the Council Plan and East Lothian Plan. Appendix 2 details the main documents and policies relating to the key elements of the continuous improvement framework.



² The East Lothian Partnership is our Community Planning Partnership which includes statutory partners – the Council, NHS Lothian, Police Scotland, Scottish Fire and Rescue Service and Scottish Enterprise – and a wide range of other partners including community organisations

2. Service and Improvement Planning

Service and improvement planning principally is carried out at a service and business unit level through the Service Planning process and at a Council wide level through strategic planning of Finance, Assets, Workforce and Risk. These plans set out the approaches the Council and services take to achieve their objectives, outcomes and priorities.

Service Planning

Service Plans provide a link to the priorities and outcomes set out in the Council Plan and the East Lothian Plan, any relevant legislation that is specific to the Service and to the results of assessment and review for improvement identified through self-evaluation and performance monitoring.

The Service Plan provides a specific representation of what is involved in the delivery of outcomes and priorities, recognising the resource implications, actions, and risks concerned. Service Plans translate 'what we intend to do' into 'how we will achieve it'.

Service Plans should be three or four year plans. They should be live documents that are reviewed and revised as required (as a minimum, annually) to incorporate and take account of any budget changes that will impact on the service, the environment in which these services operate, and any new improvement actions identified by the self-evaluation process, based on reviews of performance and employee engagement.

Service Plans will:

- identify the challenges each service is facing
- detail the relevant Council priorities and outcomes to which the service will contribute
- define service specific outcomes which will also reflect the Council's priorities
- summarise strengths and areas for improvement arising from self-evaluation
- outline the actions required to achieve those outcomes and improvement.

Service Plans will contain the outcome indicators for each Service. The action and improvement plan should contribute to the achievement of the outcome indicators. Any indicators or measures used should have a clear definition, to establish what is being measured and how. Indicators should be based on **robust and reliable data**, with **targets**, and, where relevant, appropriate **segmentation, trends** and **benchmarks**.

Service Plans should also identify the main risks that might prevent the Service from achieving its ambitions.

Some business units or teams may have their own plans. These will be linked to the Service Plan but serve a slightly different purpose. Unit or Team plans provide a more functional link for staff and managers to refer to. For most staff the Unit or Team Plan would answer the question: 'What am I meant to be doing?' These plans will be the unit or team's work plan for the year. Unit or Team plans reflect the diverse nature of the way in which the Council's services are structured.

Financial Planning and Management

The financial objective of the Council is to provide the services that are required to meet the Council's objectives within the budget set by the Council and with Council Tax and charges set at appropriate levels to meet its objectives. Underpinning this objective are two key principles of public finance that the Council must observe – that there should be no taxation in advance of need and that there should be fairness in the tax burden between generations and taxpayers. The Council plans for the medium term through its Financial Strategy statement and its three-year revenue and five-year capital planning processes.

Budget review and development is not a once-a-year process. External circumstances are continuously changing and performance compared against budget will be under regular review with formal reports to the Council or Cabinet following the end of each quarter and a year-end report to the Council following submission of the draft accounts for audit. In addition, monthly and quarterly performance reports are issued to managers with budget responsibility. Quarterly financial statements are reported to the Council with risk ratings associated with actual or possible over or under spends on budget allocations. The overall finances of the Council are subject to detailed annual independent audit review.

Asset Management Planning

The **Corporate Asset Strategy** covers six areas, each with an appointed Lead Officer:

- Property (including fixed and movable cultural assets)
- Roads and related assets
- Open Space
- Information and Communications Technology (ICT)
- Fleet
- Housing.

A framework for future investment decisions has been established in order to support the integration of asset management planning and investment decisions. Elected members have responsibility for approving the Financial Strategy and Council budgets. Regular reports on the Capital Plan programme are made to the Cabinet. The **Corporate Asset Group (CAG)**, which is chaired by the Chief Executive, is the strategic body for asset management and capital investments decisions and projects. It is responsible for effective and efficient asset management at a corporate level. The **Capital Investment and Asset Management Group (CIAMG)** is the senior officer governance body which acts as the advisory body with regard to the Council's Asset Management Framework and related activities. The Council has also established a new Education & Learning Estate workstream led by the Depute Chief Executive Resources and People Services and the Head of Education to focus on the part of our estate that seeks to support all aspects of Education and Learning.

Workforce Plan 2018 - 2023

The Workforce Plan 2018 - 2023 aims to support the Council to achieve the vision and ambitions set out in the Council Plan and address the challenges it faces by providing a coherent and consistent approach to ensuring a skilled, motivated, flexible and well managed workforce. The workforce vision is that the Council will be an employer of choice and our staff will:

- have the skills, knowledge, experience and motivation to deliver the highest quality service
- be flexible and adaptable around our changing organisational needs
- be resilient to change and instigate, as well as adapt to, changes in service delivery
- be satisfied and engaged and feel safe at work
- work in partnership across all services and with the Council's partners and communities to effectively deliver essential services and outcomes
- feel valued and recognised for the contribution they make to achieving the Council's vision and objectives
- be supported, empowered and trusted
- take personal responsibility and ownership to be effective in their jobs.

The Plan to achieve this workforce vision is based around three themes:

- Sustaining a Skilled, Flexible and Motivated Workforce

- Supporting Transformational Change
- Building and Sustaining Leadership and Management Capacity.

The plan contains almost 40 actions which have been grouped together under seven workstreams which aim to deliver the Workforce Plan.

Performance Review and Development (PRD) provides an opportunity for all staff to review how they contribute to the Council's vision and the Council Plan. It provides the link between the staff and the improvement framework by identifying whether and how individuals can be supported to help contribute to the achievement of the Council's objectives.

Risk Management

Risk management is the process of identifying, analysing, treating and monitoring risks which face the organisation. Risks are recorded within the Council Risk Register, Service Risk Registers or project risk registers.

Corporate risks represent those risks with the potential to impact on the 'corporate body', East Lothian Council, in achieving its stated policies and corporate objectives and those that require strategic leadership (for example the East Lothian Plan). The Council Management Team has responsibility for the Council Risk Register.

Service risks represent the potential for impact on 'individual services' in relation to service delivery, or the experience of those who work within the services, i.e. staff, partners, contractors and volunteers, or the general public and clients in receipt of the services provided. Service risks may be included on the corporate risk register where a risk impacts on multiple services or requires significant central resources in the development of risk control measures. Heads of Service have responsibility for Service Risk Registers.

The Council Risk Register and Service Risk Registers are reviewed annually to ascertain progress and to check for contextual changes affecting the risks. Services are also encouraged to be proactive in identifying new or potential risks throughout the year.

3. Performance Management, Monitoring and Reporting

Performance Indicators

Accurate, high quality, timely and comprehensive performance data is essential to the effectiveness of the Council's Improvement Framework. Performance data is generated for a range of purposes which can be shown as a pyramid.

- ✚ Services collect a large number of indicators that are used to monitor delivery of their service plans and for management purposes or to meet the requirements to report on national performance frameworks and / or Strategic Plan indicators.
- ✚ The Strategic Performance Indicators (or Key Performance Indicators) are the set of indicators that show how Council services are performing across a range of factors such as cost, performance and satisfaction.
- ✚ The 50 Council Plan Indicators is a smaller set of indicators that monitor progress in achieving the Council Plan's nine strategic goals and key commitments
- ✚ The Top 10 show at a glance how the Council is performing in achieving the Council Plan.



Results Attributes

The range of performance data collected should be regularly reviewed to ensure that data collected is useful in terms of being able to measure performance against key priorities and outcomes.

It is important that data collected provides the ability to measure the quality of the service provided and customer/ client satisfaction with the service provided, not just the volume of service delivery – outcomes and not just inputs and outputs.

The following table outlines EFQM considerations and expectations around Results:

Relevance & Usability	
Scope & Relevance	A coherent set of results, including key results, are identified that demonstrate the performance of the organisation in terms of its strategy, objectives and the needs and expectations of the relevant stakeholders.
Integrity	Results are timely, reliable & accurate.
Segmentation	Results are appropriately segmented to provide meaningful insights.
Performance	
Trends	Positive trends or sustained good performance over the last 3 years.
Targets	Relevant targets are set and consistently achieved for the key results, in line with strategic goals.
Comparisons	Relevant external comparisons are made are favourable for the key results, in line with the strategic goals.
Confidence	There is confidence that performance levels will be sustained into the future, based on the established cause & effect relationships.

Consideration should be given to how the Council's performance can be benchmarked against comparator authorities or organisations (see below).

Monitoring and Reporting

The reporting of performance data is required in a number of respects. The regular reporting of accurate and clear information (and effective scrutiny of that information) helps lead to good decision making and improved performance. Managers can use performance data to identify where performance is below expectations and take remedial action to improve performance. Reviewing targets in the light of experience – setting higher targets where performance is above expectations – can help to drive continuous improvement.

The reporting of performance to elected members, the public and other stakeholders helps to ensure accountability. All performance indicators are reported via the Council's performance management software. This can also be used to report and monitor actions from Service and other Plans and Risk. Performance Indicators, Service Plan Actions and Risks can all be shown on the Council's website. Performance is reported in several different ways to satisfy the needs of different stakeholders, including senior managers, elected members, the public and auditors.

Scrutiny by Elected Members

Scrutiny of Council and service performance is conducted by the Policy & Performance Review (PPR) Committee and the Audit & Governance Committee. Scrutiny of the Police and Fire & Rescue Service is conducted by the Police, Fire and Community Safety Scrutiny Committee. The remit and powers of the scrutiny committees are set out in detail in the Council's Standing Orders and Scheme of Administration.

The Committees each plan their work programme in advance in order to balance regular items with scrutiny arising from performance monitoring. The Committees are able to recommend changes in policy or practice to Council or Cabinet, where appropriate. Members of the PPR Committee are provided with a briefing on each Quarter's Performance Indicators and they can seek further information or explanation of any issues about poorly performing indicators at the subsequent Committee meeting.

Role of Council Management Team

The Council Management Team (CMT) considers monthly reports from each Head of Service which highlight any significant issues in relation to performance, finances, workforce and risk. The CMT will also consider quarterly and annual reports on Key Performance Indicators. It could suggest or take action in response to poor performance or increased risk in any area to ensure that the Council maintains its improvement momentum.

Benchmarking

Benchmarking is the process of comparing performance, and approaches against other local authorities (or other relevant organisations) to identify and share good practice and help identify where improvements could be made. Benchmarking usually involves a framework of comparable indicators underpinned by groups or forums that allow participants to share their experiences and learn from one another. Some of the main benchmarking frameworks for local government in Scotland are described below.

Local Government Benchmarking Framework (LGBF)

Every council in Scotland participates in the LGBF, which provides a common set of indicators allowing councils to compare their performance with one another. Several 'family groups' have been developed to ensure that comparisons are made between councils that are similar in terms of the type of population that they serve (e.g. relative deprivation and affluence) and the type of area in which they serve them (e.g. urban, suburban, rural). The family groups allow participants to identify and share good practice between councils.

Scottish Housing Network (SHN)

The SHBVN facilitates data collection, analysis and reporting of cost and performance information for housing services. Practice Exchange Forums are also provided to allow participants to examine key issues highlighted by the benchmarking results.

Association for Public Service Excellence (APSE)

APSE's Performance Networks cover a wide range of services, including Roads, Environmental Health, Building Cleaning, Street Cleansing, and Refuse Collection. The Networks allow council across the UK to compare their performance and share best practice.

All Council services are encouraged to benchmark their performance. The frameworks outlined above allow for the continual use of benchmarking by providing a set of consistent measures and mechanisms for identifying and sharing best practice. However, these frameworks will not cover all aspects of the Council's work. Even where a framework cannot be used, services might be able to benchmark their performance or processes informally simply by contacting other local authorities who may be willing to share information.

4. Self-Evaluation for Improvement to Excellence (SELFIE)

The development of robust self-evaluation is a key component of the continuous improvement framework. Self-awareness of strengths and areas for improvement, and taking action to build on strengths and address areas for improvement is essential if the Council is to move from improvement to excellence.

The Council conducts self evaluation using the **Corporate Governance Self-Evaluation** framework (How Good is our Council?), and **'How Good is Our Service?' (HGIOS)** which provides the framework for self-evaluation at a service level.

The Corporate Governance Self-evaluation (How Good is our Council)

Corporate Governance Self-evaluation is based around the six principles set out in the CIPFA / SOLACE Code of Good Practice:

- ❖ Focusing on the purpose of the authority; on outcomes for citizens; and, service users and creating and implementing a vision for the area
- ❖ Members and Officers working together to achieve a common purpose with clearly defined functions and roles
- ❖ Promoting values for the authority and demonstrating the values of good governance through upholding high standards of conduct and behavior
- ❖ Taking informed and transparent decisions which are subject to effective scrutiny and managing risk
- ❖ Developing the capacity and capabilities of members and officers to be effective
- ❖ Engaging with local people and other stakeholders to ensure robust public accountability

The Council Management Team (CMT) carries out an annual self-evaluation using the framework and taking consideration of the results of service self-evaluations (HGIOS), performance information, the auditors' reports, inspections and external accreditations.

The improvement actions identified through the Corporate Governance Self-evaluation will form the basis of the Council Improvement Plan.

'How Good is Our Service?' (HGIOS)

Through collating and evaluating evidence and assessing performance using a framework based on the EFQM model, HGIOS provides the basis for services to identify areas for improvement. Different self-evaluation frameworks may be used where a

specific model has been developed for that service area (for example, the Care Inspectorate Performance Improvement Model or 'How Good is Our School?'). Performance improvement tools, such as, Lean Thinking, can also be used to complement self-evaluation by assisting services to review the effectiveness of their processes. Any improvement actions that need to be undertaken as a result of the self-evaluation should be included in the relevant Service Plan.

The HGIOS framework is based around five key questions:

- What key outcomes have we achieved?
- How well do we meet the needs of stakeholders?
- How good is the delivery of key processes?
- How good is our management?
- How good is our leadership?

'How Good is Our Service?' Key questions

Key Questions				
What key outcomes have we achieved?	How well do we meet the needs of stakeholders?	How good is our delivery of key processes?	How good is our management?	How good is our leadership?
1. Key Performance Outcomes <i>1.1 Improvement in Performance</i> <i>1.2 Adherence to statutory principles and fulfilment of statutory duties</i>	2. Impact on service users <i>2.1 Impact on service users</i> 3. Impact on staff <i>3.1 Impact on staff</i> 4. Impact on the community <i>4.1 Impact on the local community</i>	5. Delivery of key processes <i>5.1 Delivering services</i> <i>5.2 Developing, managing and improving partnerships</i> <i>5.3 Inclusion, equality and fairness</i> <i>5.4 Improving the quality of services</i>	6. Policy Development and planning <i>6.1 Policy review and development</i> <i>6.2 Service planning and strategic planning</i> 7. Management and support of staff <i>7.1 Sufficiency, recruitment and retention</i> <i>7.2 Deployment and teamwork</i> <i>7.3 Development and training</i> 8. Resources <i>8.1 Delivering services in partnership</i> <i>8.2 Financial management</i> <i>8.3 Resource management</i> <i>8.4 Information systems</i>	9. Leadership <i>9.1 Leadership and direction</i> <i>9.2 Leadership of innovation, change and improvement</i>

The HGIOS framework also incorporates the **RADAR** principles (**Results, Approach, Deployment, Assessment and Refinement**). It has been broken down into two key areas – performance and people (our staff). The ‘performance’ elements of HGIOS will be evaluated using evidence principally drawn from performance indicators and service user/ customer feedback. The ‘people’ related elements will principally draw on the experience of staff and evidence from the employee engagement survey.

The Performance elements of HGIOS, based around the annual performance indicators, will normally be carried out in spring / summer.

The People elements, based around the results of the annual employee engagement survey with further staff engagement will normally undertaken in late autumn.

An annual round of ‘peer reviews’ where services present their HGIOS findings to other services provide the opportunity for service managers to share good practice and highlight areas for improvement in a

5. External Assessment and Accreditation

External Audits and Inspections

The Council is subject to various external inspections and audits carried out by national inspection agencies including Audit Scotland, the Care Inspectorate, Education Scotland and the Scottish Housing Regulator. These agencies form the Local Area Network (LAN) which carries out an annual Shared Risk Assessment to provide an assessment of the main risks that they believe the Council faces. Based on the advice of the LAN, Audit Scotland publishes an annual Local Scrutiny Plan outlining any planned scrutiny and inspection activity that will be carried out as a result of the assessment.

The results of this external scrutiny and inspection provide actions which the external auditors/ inspectors believe are required to improve performance. These improvement / action points should be reflected in Service Plans and the Council Improvement Plan.

The HGIOS self-evaluation is intended to meet the requirements of external inspections carried out by regulators and inspections bodies. Many of the questions and statements addressed in HGIOS can be matched to questions and statements covered by external audits and inspections so that duplication in completing various evaluations and submissions can be minimised.

Accreditation

Accreditation and awards from peer bodies and accreditation bodies can be a useful way to assess whether the Council as a whole, or particular services, are performing to the highest standards.

The Council has achieved a Silver Investor in People (IIP) award (March 2017) and a Gold Investor in Young People (IIYP) award (November 2017) and was awarded a 4-Star Recognised for Excellence (R4E) accreditation by Quality Scotland (June 2018).

There are close linkages between Best Value Assessment, HGIOS, IIP/ IIYP and R4E. Work has been undertaken to ensure that as far as possible the statements, questions and evidence set in HGIOS reflect the requirements of other audit, inspection and accreditation frameworks.

Appendix 1: Continuous Improvement Annual Timetable

When	What
January	Complete data entry of Q3 Performance Indicators/ review and add comments
	Local Government Benchmarking Framework published by Improvement Service (to be reported to Feb PPR Co)
February	3-yr Budget approved
	Q3 Performance Indicators reported to PPR Co
	Begin 3-yr Service Plan annual refresh
March	How Good is Our Council/ Corporate Governance Self-Evaluation – feeds into Council Improvement Plan to be approved by Cabinet
April	Complete data entry of Q4 and Annual Performance Indicators/ review and add comments
	Complete Service Plan annual refresh and submit to Head of Service
May	How Good is our Service Peer Reviews
June	Q4 and Annual Performance Indicators reported to PPR Co
	Begin How Good is Our Service (Performance) Self-evaluation
July	Complete data entry of Q1 Performance Indicators/ review and add comments
	Complete How Good is our Service (Performance) Self-evaluation and Improvement Plan (amend Service Plan if required)
	How Good is our Service Peer Reviews

When	What
August	Annual Public Performance Report published
	Q1 Performance Indicators published
September	Complete input of Local Government Benchmarking Framework Data
	How Good is our Service Peer Reviews
October	Complete data entry of Q2 Performance Indicators/ review and add comments
	Employee Engagement Survey
November	Results of Employee Engagement Survey published
	Begin How Good is Our Service (People) self-evaluation
	Q2 Performance Indicators published
	Verify Local Government Benchmarking Framework data and comments
	HGIOS Peer Reviews
December	Council Plan Annual Report published
	Complete How Good is Our Service (People) Self-evaluation and Improvement Plan

Appendix 2: Documents and Policies supporting Continuous Improvement

The following are the main documents and policies relating to the key elements of the Improvement Framework. Policies and guidance regarding each of the elements of the Improvement Framework are available on the Council's intranet.

Outcomes	Self-evaluation	Service and Improvement Planning and Management				Performance Reporting	External Assessment
		Service Planning	Resource Management	Workforce Management	Risk Management		
2017-2022 Council Plan	Self-evaluation Guidance	Service Planning Guidance	Financial Strategy	Workforce Plan and Implementation Plan	Risk Management Strategy	Reporting of Key Performance Indicators	Services users, customer and citizens feedback
East Lothian Plan 2017-2027 (Local Outcome Improvement Plan)	Corporate Governance Self-evaluation framework	Service Plans	Asset Management Strategy	Service Review Process	Council Risk Register	Performance Data Quality Policy	Auditors reports
Service Plans	Employee Engagement Survey		Capital Strategy	Performance Review and Development	Service Risk Registers		Best Value Assessment
Outcomes and Performance Management Guidance				Equalities in Employment Monitoring			Inspections from national agencies Scotland
							Investor in People (IiP)
						Recognised for Excellence (Quality Scotland)	

East Lothian Council's Strategic Performance Monitoring Framework 2017- 2022

*An even more prosperous, safe and sustainable East Lothian,
with a dynamic and thriving economy, that enables our
people and communities to flourish.*

(March 2019)

Strategic Performance Monitoring Framework

Accurate, high quality, timely and comprehensive performance data is essential to the effectiveness of the Council's Improvement Framework. Performance data is generated for a range of purposes which can be shown as a pyramid.

- ✚ Services collect a large number of indicators that are used to monitor delivery of their service plans and for management purposes or to meet the requirements to report on national performance frameworks and / or Strategic Plan indicators.
- ✚ The Strategic Performance Indicators (or Key Performance Indicators) are the set of indicators that show how Council services are performing across a range of factors such as cost, performance and satisfaction.
- ✚ The 50 Council Plan Indicators is a smaller set of indicators that monitor progress in achieving the Council Plan's nine strategic goals and key commitments
- ✚ The Top 10 show at a glance how the Council is performing in achieving the Council Plan.



The Top 10 Indicators

	Indicator	Baseline 2016/17	2017/18	2022 Target
1.	Job density – proportion of people of working age (16-64) in employment in East Lothian (including employed and self employed (2016 – 35,000 / 65,000)	0.55 (2016)	N/A	0.60 (2022)
2.	Business base – number of businesses	3,135 (2017)	N/A	3,300 (2022)
3.	% of school leavers attaining 3 or more SCQF Level Six	50.4%	50.4%	48.9% (S. av)
4.	The % of young people receiving After Care (for whom a destination is known) who are in a positive destination; i.e. Employment, Training or Education 69 receiving after care at 31/3/18; 34 in ETE = 49%	N/A	49%	53% (Mar 2020)
5.	% of under 65 and 65+ with long-term care needs receiving personal care at home 65+ (946) = 60.1%; Under 65 (166) = 77.9% Combined (1,112 from 1,784) = 62.3%	N/A	62.7% (Q4 2017/18)	Target to be determined by IJB
6.	% of citizens who agree the Council is good at listening to people's views before it makes decisions	38% (Feb 2017)	Next survey: May 2019	40% (2021)
7.	% of citizens who agree their neighbourhood is a good place to live	VG: 74% G: 24% (Feb 2017)	Next survey: May 2019	Maintain level (2021)

8.	Number of affordable house completions and Open Market Acquisitions	628 (2012-2017)	296 (2017/18)	945 (2018-2023)
9.	Proportion of non-Direct Debit payments undertaken online 2022 Target to be determined following introduction of new Online Customer Portal	27.2% (Q4. 2016/17)	34.7% (Q4. 2017/18)	To be determined
10.	% of citizens agreeing that My Council does the best it can with the money available	79% (Feb 2017)	Next survey: May 2019	Maintain level (2021)

In addition, in order to assess the overall performance of the Council, two indicators of overall performance are also to be reported:

- At least 35% of all Strategic Performance Indicators (the annual indicators, including LGBF, reported to Council) improve and no more than 15% decline year on year (*2017/18 – 25% improved; 18% declined; 57% static*)
- 70% of all Strategic Performance Indicators are on or above target (*2017/18 – 62%*)

50 Council Plan Indicators

(Top 10 indicators are numbered T.1 – T.10. Indicators that also appear in the East Lothian Plan performance framework are marked ELP)

Growing our Economy					
Strategic Goal/ Outcome	Indicator		Baseline 2016/17	2017/18	Target 2022
Reduce Unemployment (SG1)	1. (T.1) (ELP)	Job density – proportion of people of working age (16-64) in employment in East Lothian (including employed and self employed) (2016 – 35,000 / 65,000)	0.55 (2016)	N/A	0.60
	2.	Claimants in receipt of out of work benefits (% of pop aged 16-64) Under Universal Credit a broader span of claimants are required to look for work under Jobseeker's Allowance. Therefore the claimant count in areas with full service UC (including East Lothian) have seen an increase in claimant count which has risen against the Scottish average. This statistical disparity will even itself out as full service universal Credit is rolled out across all areas.	2.4% (Mar 2017) (S. av: 2.4%)	2.9% (Mar 2018) (S.av: 2.5%)	0.5% below S. average
	3.	Number of businesses accessing (assisted by) support services; including Business Gateway, East Lothian Works, SDI, and SDP	237	350	400
Improve the employability of East Lothian's Workforce (SG2)	4. (ELP)	Number of people participating in EL Works operated or funded employability programmes	520	384	400
	5.	% of people that have participated in Council operated/ funded employability programmes who have progressed into employment	21.3% (111 from 520)	19% (67 from 384)	19% (50 from 260)

Support the growth of East Lothian's economy	6. (T.2) (ELP)	Business base – number of businesses	3,135	N/A	3,300
	7.	Business Gateway start-ups per 10,000 pop	21.7 (236)	19.55 (210)	20
	8.	% of procurement spent on local small/ medium enterprises	23.1%	21%	22%
	9. (ELP)	Town Centre vacancy rate	5.6%	6.1%	5%
Maximise use of land identified for business growth	10. (ELP)	Land supply available for business growth (sqmt – identified in Local Development Plan)	55,000	55,000	155,000
Support the faster roll out of Superfast Broadband	11. (ELP)	% of East Lothian properties with Superfast Broadband (30Mbps - National target)	85%	88%	100%
Growing our People					
Reduce the attainment gap (SG3)	12	% of pupils from deprived areas gaining 5+ awards at level 5	35%	31%	S. Average (42%)
Raise the attainment of our children and young people (SG4)	13. (T.3)	% of school leavers attaining literacy and numeracy at SCQF Level 5 or above	63.2%	61.3%	S. Average (67.1%)
	14.	% of school leavers attaining 3 or more SCQF at Level six	50.4%	50.4%	S. Average (50.3%)
	15.	School exclusion rate per 1,000 pupils – Secondary and Primary	35.9	34.14	S. Average (26.8)
Meet stretching positive destination targets	16. (ELP)	% participation rate for 16-19yr olds	93.1%	94.7%	95%

Improve the life chances of the most vulnerable people in our society – vulnerable children (SG5)	17. (T.4)	The % of young people receiving After Care (for whom a destination is known) who are in a positive destination (i.e. Employment, Training or Education) 69 receiving after care at 31/3/18; 34 in ETE = 49%	N/A	49%	53% (2020)
	18.	% of Looked After Children who feel settled where they live (8-17yr olds)	N/A	72%	85% (2020)
Improve the life chances of the most vulnerable people in our society – vulnerable adults (SG5)	19. (T.5) (ELP)	% of under 65 with long-term care needs receiving personal care at home	N/A	78% (Q4 17/18)	Target to be agreed by IJB (April)
	20.	% of all under 65 non-residential service users receiving care under SDS Options 1, 2 and 3	N/A	65% (Q4 17/18)	Target to be agreed by IJB (April)
Improve the life chances of the most vulnerable people in our society – older people (SG5)	21. (T.5) (ELP)	% of 65+ with long-term care needs receiving personal care at home	63.5%	63.9%	Target to be agreed by IJB (April)
	22.	% of all 65+ non-residential service users receiving care under SDS Options 1, 2 and 3	N/A	21% (Q4 17/18)	Target to be agreed by IJB (April)
Enable provision of 1140 hours of early learning and childcare for all 3 & 4 yr olds	23.	% of eligible 3 & 4 yr olds accessing 600 hours of early learning and childcare (1140 hours from 2020)	N/A	99%	99%
Take concerted action to tackle obesity in children	24. (ELP)	% of children in Primary 1 who are overweight or obese using epidemiological ('at risk') and clinical ('critical') measurements	At risk: 22% Critical: 15.6%	N/A	At risk: 18% Critical: 13% (2020)

	25.	% of primary school pupils benefitting from at least 2 hours per week of physical education and % of secondary school pupils (S1 to S4) benefitting from two periods of P. E. per week	100%	100%	100%
Continue to develop services that aim to reduce hospital admissions and delayed discharge of older people	26.	Number of days people spend in hospital when they are ready to be discharged (18+)	14,762	10,688 (Target: 9,677)	7,381 (2018/19)
	27. (ELP)	Emergency hospital admissions (18+)	7,648	8,235 (Target: 7,266)	6,902 (2018/19)
Reduce Inequality/ Poverty	28. (ELP)	% of children in families with limited resources	8% (2014-16)	5% (2014-17)	6.5% (2023)
	29. (ELP)	% of children living in households with less than 60% of average income after housing costs	N/A	18.9% (Jul-Sept 2017)	16% (2023)
Growing our Communities					
Extend community engagement and decision making (SG6)	30. (T.6)	% of citizens who agree the Council is good at listening to people's views before it makes decisions	38% (2017)	Next Survey: May 2019	40% (2021)
Increase community and individual resilience (SG7)	31. (T.7) (ELP)	% of citizens who say their neighbourhood is a good place to live	VG: 74% G: 24% (2017)	Next Survey: May 2019	Maintain levels
	32. (ELP)	Proportion of Community Councils with local Community Resilience Plans	10%	25%	75%
	33. (ELP)	% of citizens who say they can rely on a friend/ neighbour to help	91% (2017)	Next Survey: May 2019	Maintain levels

Maximise opportunities to increase the supply of affordable housing	34. (T.8) (ELP)	Number of affordable house completions and Open Market Acquisitions	628 (2012-2017)	296	945 (2018-2023)
	35.	Average number of days taken to re-let properties	N/A	28.1	24
	36.	Average time taken to complete non-emergency repairs	12.8	7.2 days	7.2 days (2018/19)
Better and more effective public transport	37.	Number of bus service routes and timetabled journeys	N/A	36 routes and 2,949 timetabled journeys	Maintain number of routes and journeys
Increase waste recycling to meet the 2025 target	38.	% of total household waste that is recycled	51.8%	53.1%	60% (2020) 70% (2025)
Work closely with partners to meet our commitment to Climate Change targets	39	East Lothian Council's corporate annual carbon emissions (tonnes CO2e) Note this dataset does not include Fleet data which will be added in future years	17.610 tonnes CO2e (Does not include Fleet data)	17,024 tonnes CO2e (Does not include Fleet data)	3% reduction pa (2019-2024) To be confirmed as part of the Climate Change Strategy
Support initiatives to reduce crime and anti-social behaviour	40. (ELP)	% of citizens who feel safe walking alone in their local area after dark	Very. Safe – 51% Fairly Safe – 34%	Next Survey: May 2019	Maintain levels
	41. (ELP)	Number of anti-social behaviour complaints reported to Police Scotland and the Council	N/A	6,850	7,625 (2018/19)

		Council – 1,431 Police Scotland – 5,419			2% reduction each year
Growing our Capacity					
<i>Deliver transformational change (SG8)</i>	42. (T.9)	Proportion of non-Direct Debit payments, including school payments, undertaken online Target to be determined following introduction of new Online Customer Portal	27.2% (Q4 2017/18)	34.73% (Q4 2017/18)	To be determined
<i>Harness the opportunities technology offers in the provision of services (SG9)</i>	43.	Number of on-line form transactions completed on Council website Target to be determined following introduction of new Online Customer Portal	N/A	6798 (Apr-Dec 2018)	To be determined
	44.	% of care at home clients with Community Alarm, telecare and stand alone telecare devices	N/A	2,715 (Jan 2019)	Target to be agreed by IJB
Adopt a Workforce Plan / improve attendance management (reduce staff absence)	45.	% of employees agreeing that the Council is a great place of work	77.6% (Feb 2017)	76.7% (Oct 2018)	80%
	46.	Days lost due to absence (FTE)	9.74	10.57	9.5
Maintain the current rigorous approach to controlling expenditure, ensuring that it continues to 'live within its means'	47.	% of income due from Council Tax received by the end of the year	97.6%	97%	97%
	48.	Gross rent arrears (<i>all tenants</i>) as at 31 March each year as a percentage of rent due for the reporting year	9.4%	9.3%	9%

by operating as efficiently as possible	49. (T.10)	% of citizens agreeing that My Council does the best it can with the money available	79% (2017)	Next Survey: May 2019	Maintain level (2021)
	50.	Budget out-turn within 1% of budget	N/A	0.2% underspend	1%