

Guide to Scrutiny & Review

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Introduction

Scrutiny is the term used to describe the way in which the performance, decisions and plans of the Council are examined by the Elected Members who are not part of the Cabinet. Scrutiny in its widest sense might also include audit, inspection and regulation. Although there is no set definition for what is meant by scrutiny, this Guide will provide some guidance on how it will be approached at East Lothian Council.

Numerous bodies perform some kind of scrutiny of local government, including Audit Scotland, Her Majesty's Inspectorate of Education (HMIE), and the Social Work Inspection Agency (SWIA). These bodies provide 'external scrutiny'; equally important, if not more so, is the way that the Council scrutinises itself. Internal scrutiny by Elected Members has taken on much greater significance as a result of the 2007 Crerar Review. The Review recommended that rather than rely on the results of external scrutiny exercises 'The primary responsibility for demonstrating compliance and performance should rest with service providers.'

Rigorous scrutiny of the Council's achievement of Best Value by Elected Members is an essential part of the Council's governance arrangements, although it should not be conducted in a partisan manner. Audit, scrutiny, review of performance and policy review need not be done in a confrontational and oppositional way. As far as possible scrutiny should be a non-partisan, non-party political process. However, it is important to be aware, and accept that there remains a place for straightforward political opposition in the political arena of local government.

Four principles that have been developed by the Centre for Public Scrutiny underpin the Council's approach to scrutiny:

1. Scrutiny provides 'critical friend' challenge to executive policy-makers and decision-makers
2. Scrutiny enables the voice and concerns of the public
3. Scrutiny is carried out by 'independent minded governors' who lead and own the scrutiny role
4. Scrutiny drives improvement in public services

('Overview and scrutiny in local government', Centre for Public Scrutiny)

The Council's new scrutiny arrangements have been developed taking into account the criteria for good practice in scrutiny as set out by Audit Scotland in its Best Value Toolkit for Governance and Accountability (see Appendix 1).

1. Scrutiny at East Lothian

East Lothian Council has two committees that might be described as performing the 'scrutiny' function: the Audit and Governance Committee and the Policy and Performance Review Committee. Additionally the Council also has a Petitions Committee that allows local residents or organisations to raise issues relating to Council services or the wellbeing of the community.

The Audit and Governance Committee covers areas of corporate responsibility, for example risk, audit and corporate governance. The Policy and Performance Review Committee covers all matters relating to the performance of the Council's services. Further details of the areas of work covered by the scrutiny committees (and the petitions Committee) can be found in Appendix 2.

The Audit and Governance Committee and the Policy and Performance Review Committee will meet at least six times per year. In addition to these meetings the Policy and Performance Review Committee will be able to set-up short life sub-committees to review particular policy areas.

The work of the scrutiny committees will be set-out in annual work plans. The Audit and Governance Committee's work plan will largely be governed by the Audit Plan and the annual cycle of audit reports. The Policy and Performance Review Committee's work plan will have a focus upon the review of performance and the undertaking of a small number of in-depth policy reviews. Members of the Committees will determine what items are included in the work plan with the help of the '*Selecting topics for scrutiny*' section of this guide.

Responsibilities for decision making and for scrutiny are separated under the Council's Scheme of Delegation and executive decision making arrangements. Decisions are taken by the Cabinet and by Council, while decisions on certain matters relating to education are taken by the Council Committee for Education. Recommendations from any of the scrutiny committees may be referred to the Council, Cabinet or Education Committee for a decision to be made if necessary. The scrutiny structure is outlined on the following page. The roles and responsibilities of elected members and council officers involved in scrutiny are detailed in Appendix 3.



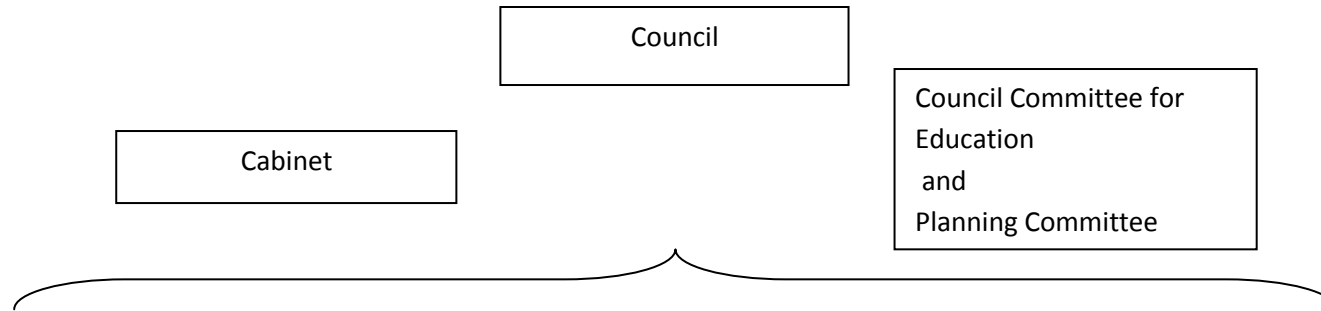
Critical Success Factors:

- Respect and positive relations between elected members
- Mutual trust and respect with officers
- Respect for roles and boundaries

Mark McAteer (Improvement Service),
presentation to Elected Members'
Workshop, 6th Sept. 2010

The Scrutiny structure

DECISION-MAKING

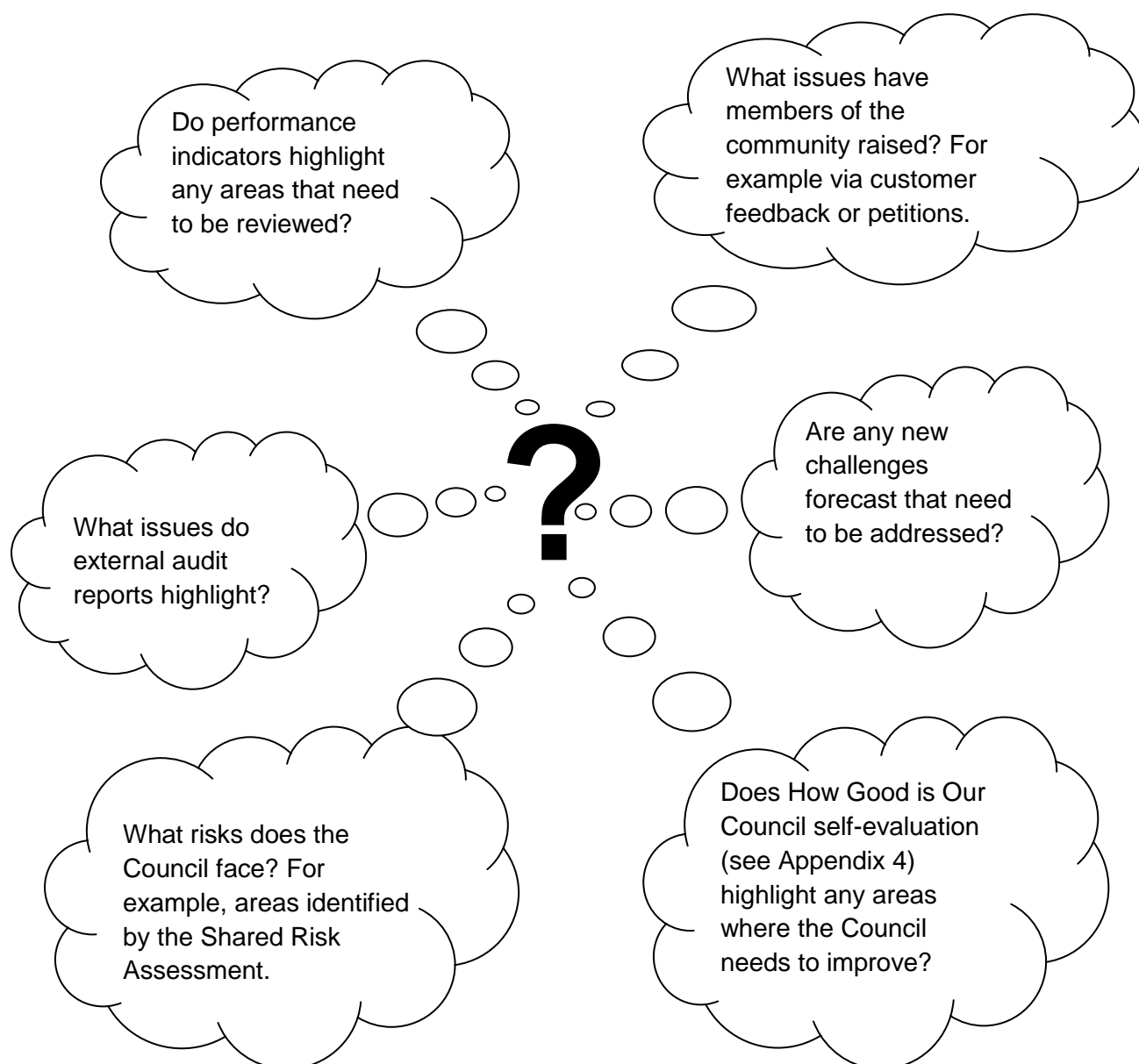


NON DECISION-MAKING

<p><i>Audit and Governance Committee</i></p> <p>8 x Members</p> <p>Decisions of the Committee on functions delegated to them shall be reported to the Council for information only unless the Committee resolved that a particular item of business should be referred to the council for decision.</p> <p>The External Auditor will have the right to request that items of business are presented to the Committee.</p>	<p><i>Policy and Performance Review Committee</i></p> <p>8 x Members</p> <p>The Policy and Performance Review Committee will be entitled to debate the terms of reports insofar as relevant to its authorised remit. No formal votes will be taken and the Committee will attempt to reach a consensus, or failing that, a majority view.</p> <p>The Committee will be entitled to appoint ad hoc (short life) sub-committees. The Committee or its sub-committees will be entitled to undertake reviews of policies and/or performance, to call upon the Council and Council officials for reports, and to require the attendance for the purpose of questioning, of Committee Conveners and/or Depute Conveners and/or Cabinet Spokespersons and/or officials of the Council on any matter relevant to the issue under consideration by them.</p> <p>The Committee will have the power to comment on, and make recommendations on, matters insofar as relevant to its authorised remit to the relevant Committee, the Cabinet or, where appropriate, to the Council.</p>	<p><i>Petitions Committee</i></p> <p>5 x Members</p> <p>The Committee shall consider the merits of each petition received. Where the Committee considers a petition to be well-founded, it shall refer the matter to the appropriate portfolio holder(s) for further consideration and possible implementation.</p>
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2. Selecting Topics for Scrutiny and Review

Selecting topics to include in the work plan is an ongoing process. Some topics will be regular items, for example performance reports, while others will just cover a particular item. The following questions might help Members to identify potential topics for inclusion on the work plan:



Using a structured approach helps to avoid poor topic selection. Each potential topic for scrutiny should be subject to the same initial selection and rejection criteria.

Selection criteria	Rejection criteria
Improvements to services would be likely	The topic is already being addressed
High public concern shown through consultation	Scrutiny is unlikely to result in service improvements
Poor performing service	Matter is sub-judice or prejudicial to the Council's interests
Enhances the Council's priorities	The issue is more appropriately addressed by a body other than the scrutiny committees
High budgetary commitment	The objective cannot be achieved within given timescales
New guidance or legislation has recently been introduced	The subject is too broad to make a review realistic

Members need to be realistic in regard to the number of reviews that the Committee will be able to undertake in any given year. Three full scale reviews and three or four smaller reviews might be possible.

The following subjects are examples of topics that have been the subject of reviews carried out by another local authority's scrutiny committee over the last five years:

- The role of the Council in tourism
- Attainment in 5th and 6th years
- Early intervention
- Asset management arrangements
- Management of Council house voids
- Carbon management
- The implications of demographic changes
- Delayed discharges
- Child protection services

3. The Work Programme

Once a topic has been selected for scrutiny it should become part of the work programme. The work programme will provide an indication of the capacity of the Policy and Performance Review Committee to undertake policy reviews. The work programme will be composed of regular items and specific topics that have met the selection criteria.

On-going regular items

Some items will be reviewed on a regular annual or quarterly basis (e.g. external and internal audit plans, the annual accounts and quarterly performance monitoring reports); these will need to be factored into the programme at the appropriate intervals.

Regular items for scrutiny can be identified from the 'Corporate Planning Cycle' on the following page. The Corporate Planning Cycle displays the performance reports that can be expected each quarter, key dates in the budget setting process, and key dates in the business planning and self-evaluation process. Members will need to ensure that time is set aside in the work programme to allow for proper scrutiny of these regular items alongside specific policy reviews.

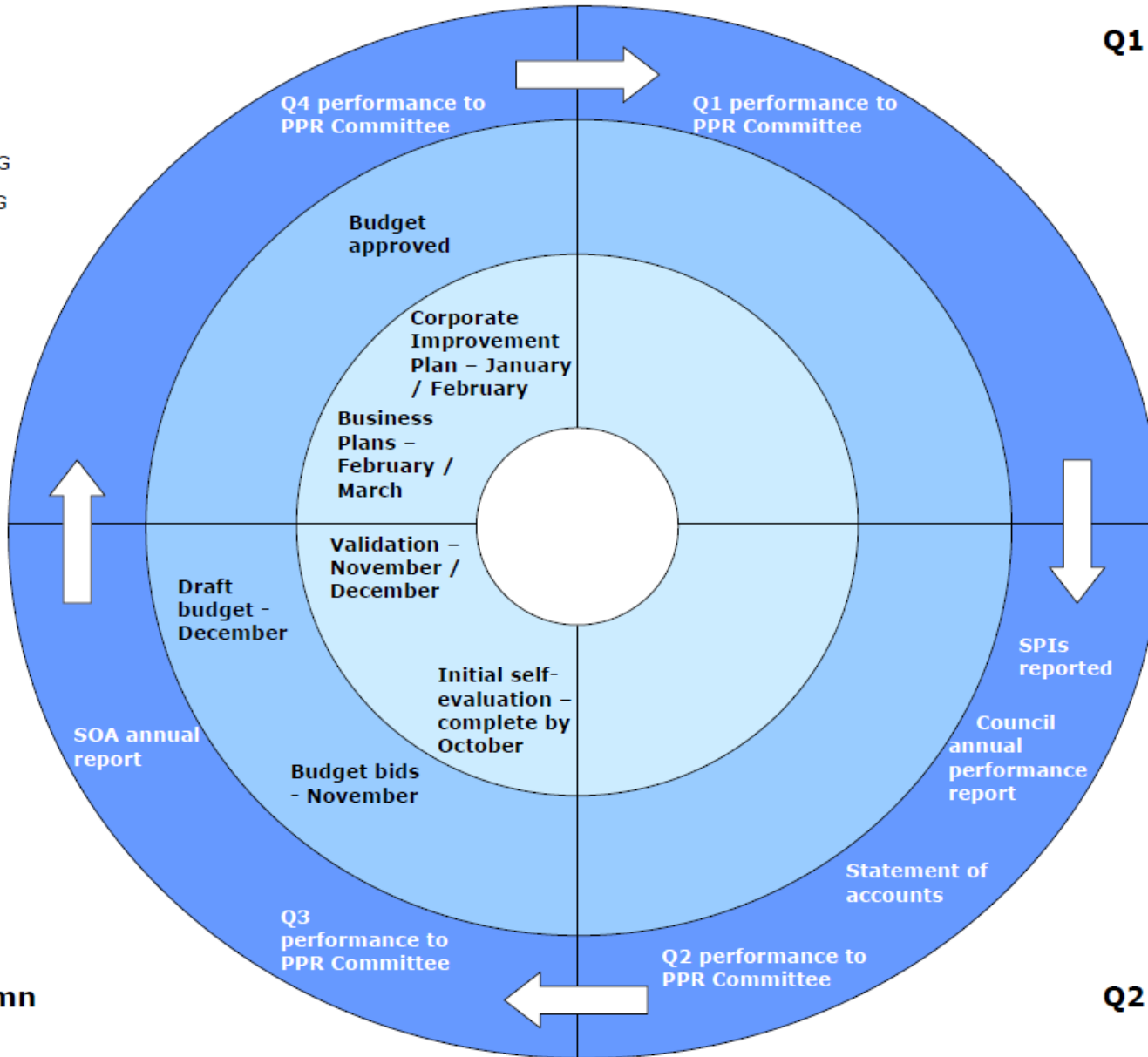
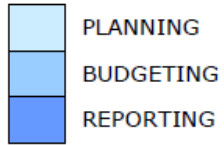
Items that have met the topic selection criteria for policy review

Some items for inclusion in the work programme will have passed through the topic selection criteria outlined previously. Topics that are identified as possible items for scrutiny through the selection criteria should be placed on to a reserve list to be periodically reviewed for priority and workload capacity.

Scrutiny and Corporate Planning – the Corporate Planning Cycle

Q4 - Winter

Q1 - Spring



Example work programmes

The following tables are examples of how the work programmes for the scrutiny committees might look. The columns reflect the areas of responsibility of each of the committees to ensure that their work load is well balanced.

Audit and Governance Committee Example Work Programme

Agenda Items					
Date	Performance	Risk	Audit	Finance	Governance
28 th September 2010	Q1 10/11		Controls Assurance Statement Internal Audit Annual Audit Plan		
23 rd November 2010	Q2 10/11				Corporate Improvement Plan 2010 progress report
25 th January 2011	HGIOC overview			Draft budget	
15 th March 2011	Q3 10/11	Corporate Risk Register	Audit Scotland Annual Audit Plan Audit Scotland Overview of Local Government in Scotland		Annual Governance Statement
26 th April 2011					Corporate Improvement Plan
21 st June 2011	Q4 10/11			Draft Final Accounts	

Policy and Performance Review Committee Example Work Programme

Agenda Items			
Date	Performance	Planning	Policy Review
21 st September 2010	Q1 10/11 Customer Feedback quarterly report		
23 rd November 2010	Q2 10/11 SPIs Customer Feedback quarterly report		
18 th January 2011	HGIOC overview		
8 th March 2011	Q3 10/11 Customer Feedback quarterly report		
26 th April 2011			
7 th June 2011	Q4 10/11 Draft Annual Performance Report Customer Feedback quarterly report	Service Plans	

The column entitled 'Policy Review' is not populated in the example provided above. This column would include any items that had been selected for review using the topic selection criteria outlined previously. The work programme will provide an indication of the capacity of the Committee to undertake a policy review.

4. Conducting a Policy Review

Policy Review is the process of evaluating the effectiveness of a particular area of Council policy or service provision. These reviews are likely to hear evidence from key stakeholders and commission research or reports to understand how well policy is being implemented or how well services are being delivered.

Policy Reviews are generally conducted within a set timescale, often two or three meetings. Conducting a review over the course of more than one meeting allows lines of enquiry to develop and additional information to be provided if required.

Advanced planning is essential to the success of any policy review. Officers will require time to prepare any evidence or reports and stakeholders will need prior notice if Members would like them to attend a meeting. Policy Review exercises need to be well planned and should be included as part of the work programme.

When planning a policy review exercise Members might like to consider the following:

1. Identifying the objectives and key issues

What do we want to achieve and what are the main issues that need to be addressed in order to achieve the objective?

2. Establishing the timeframe of the review

The overall timeframe of the review will need to be established and added to the work programme.

3. Outlining the stakeholders and evidence required

What evidence is required to achieve the outcomes, and who needs to be called as a witness?

4. Considering the lines of enquiry

Once the objectives and the key issues have been decided, lines of enquiry should be determined to help focus the review and enable a consistent approach to a topic across meetings. Are you clear about the issue or problem and why it is the subject of the review and what are the terms of reference of the review?

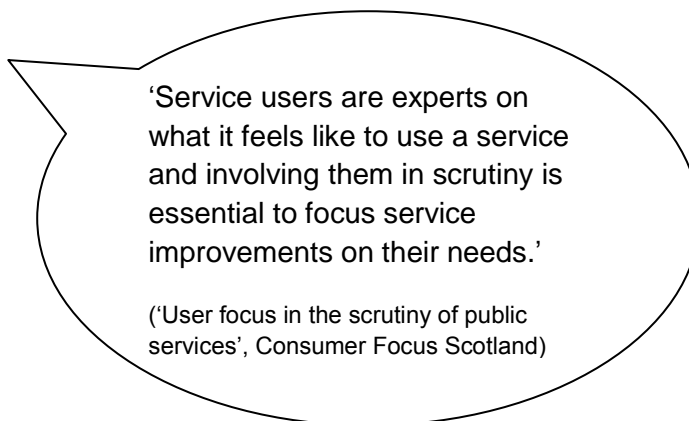
Appendix 1 includes some specific key questions identified by Audit Scotland as part of their 'Overview of Local Government in Scotland'. The questions reflect areas of concern that are common across Local Government in Scotland. Members are encouraged to consider the relevance of these questions to any scrutiny work they undertake.

Before concluding a Policy Review the Committee should invite the relevant Executive Director or Head of Service, portfolio holder and/ or Council Leader to discuss the draft findings and recommendations.

Stakeholder Involvement

Scrutiny committees are encouraged to involve relevant stakeholders in policy reviews. Stakeholders can provide useful expertise and knowledge, while hearing directly about the experience of service users can provide a helpful reality check.

The needs of different stakeholders should be considered when planning their involvement in a review. Not all stakeholders will be comfortable, or able, to attend a meeting, therefore consideration should be given to whether their evidence can be provided by other means if necessary.



Which stakeholders might we involve?

Group	Examples
Service Users	East Lothian Tenants and Residents Panel (ELTRP) East Lothian Access Panel Parent's Councils
Community Groups	Community Councils Chambers of Commerce Petitioners
Partners	Police Fire & Rescue Service NHS Voluntary Organisations (VAEL) Community Health Partnership Scottish Government
'Experts'	Academics Improvement Service SOLACE COSLA Professional associations

5. Scrutiny Techniques

Members might find some of the following techniques and tips useful when conducting policy reviews or scrutinising performance information.

Questioning styles – good practice

Open questions

Open questions encourage respondents to talk and expand upon the issue. Open questions allow respondents to describe a situation in their own words. The key prefixes for an open question are 'What?', 'How?' and 'Why?' Examples include:

- What do you consider the service does well?
- How did you establish x as a priority for the service?

Open Questions can also be formed through phrases such as:

- Tell me about a time when...
- Explain to me how you...

Using open questions can form a basis for asking further probing questions based on the answer to the initial question. For example:

- You say that you did... can you give me an example of how you carried that out?
- I was interested to hear you say... can you tell me more about that?

Hypothetical questions

Asking hypothetical questions can help to test out ideas for recommendations and can also be useful in obtaining evidence. For example:

- If x were possible how would this change your strategy?

Behavioural questions

Behavioural questions can help to get evidence of how an organisation might carry out a task in future by using examples of past behaviour. For example:

- What process has the organisation used in the past to achieve the outcome?

Questioning styles – try to avoid

Closed questions

Closed questions are those that can be answered in a single word. While closed questions can be useful in clearing up points of fact, they are unlikely to yield much further information.

- Does your organisation do x?

Leading questions

Leading questions make it clear to the respondent what answer is expected and are unlikely to yield genuine answers. For example:

- We know from experience that x works, what is your experience of x?

Asking a question in this format makes it very difficult for the respondent to give an honest answer.

Double-headed questions

Double-headed questions ask more than one question at a time. Double-headed questions can either confuse the respondent, or ensure that the respondent answers only the part of the question that they are comfortable with. Both questions might be valid lines of enquiry, but it would be more productive to ask them separately:

- If your organisation has the responsibility to do x how is this measured, and how does x fit into the national strategy?

Multiple choice questions

Multiple choice questions offer a number of possible answers, but do not ask for any real explanation. For example:

- Do you believe that x, y, or z is the best way forward?

6. Making Sense of Performance Data

A key role of the Policy and Performance Review Committee is to monitor, comment on and make recommendations based on quarterly and annual reports of performance.

East Lothian Council’s performance reports contain the following features:

Trend arrows

Trend arrows show whether performance has improved \uparrow , worsened \downarrow , or stayed the same \leftrightarrow in comparison to the previous period (i.e. the previous quarter, month or year depending on how frequently the indicator is reported).

RAG (Red, Amber or Green) status

The RAG status is designed to show whether an indicator is exceeding its target, in which case it would be green ■, slightly below target (amber) ■, or significantly below target (red) ■.

Graphs

Bar chart



Line chart



Graphs are used to show the long-term trend for an indicator. While the trend arrows show whether an indicator has improved or worsened since the last period, graphs can provide further context to help understand performance. Graphs show whether any changes in performance are a short-term blip, or are the result of a long-term trend.

Comments

Each indicator includes explanatory comments that are provided by the officer responsible for collating the measure. The comments section should explain the reasons why the indicator has improved, worsened or stayed the same.

What to look for in a performance report



The indicator has improved since the previous quarter, in which performance dropped below the long-term average.

Period	Actual	Target	RAG	Comment
Q4 09/10	80.00	85.00	↑	The winter weather conditions through January/February and the rainfall/storms and flooding during March and the resultant increase in the deterioration of the road network meant that additional resources had to be deployed to achieve the 80% level.

The comment explains that the reason for the dip in performance was exceptionally bad weather.

Performance remains below the target level (red RAG), although extra resources have been deployed to ensure that performance has improved (upwards arrow).

Using the performance indicators

Performance indicators should be used to identify areas for further investigation and review. For example, the indicator outlined above shows that performance dipped because of severe weather. In this instance Members might like to consider what the impact is upon the Service of deploying the additional resources necessary to improve performance. Members could also seek to understand the likelihood of this situation occurring again and how the Service might prepare for that eventuality.

Questions to ask when considering performance data:

- What information could I do without?
- Is the information easy to understand?
- Can I interpret what the key messages are?
- Would a different method or presenting help me interpret the information?
- Do I challenge officers to explain the information?
- Do I challenge officers to provide missing information?

Individual performance indicators should be considered in conjunction with any other available contextual information. Rarely will an individual indicator adequately describe performance on its own. Other sources of information that could be used in conjunction with an indicator might include, for example, other performance indicators, previous committee reports, customer feedback and auditor's reports.

7. Reporting

Recommendations made by the scrutiny committees will be reported to the Cabinet or Council as appropriate if a formal decision is required to amend policy or practice. Alternatively recommendations will be made to the appropriate Executive Director if a decision falls within their delegated powers.

8. Monitoring

Recommendations from the scrutiny committees will be included and monitored as part of the Corporate Improvement Plan. The Corporate Improvement Plan will be reported in its entirety to the Audit and Governance Committee on a quarterly basis.

Appendix 1: Scrutiny and Best Value

Audit Scotland has outlined what constitutes good practice in scrutiny as part of their Best Value Toolkit on Governance and Accountability. The Toolkit forms one part of a set of documents that clarify the criteria against which Councils will be judged as part of the Best Value 2 Audit. Prior to the Best Value 2 Audit being conducted the Council will need to review the effectiveness of its scrutiny and review functions using the criteria established by Audit Scotland in the Toolkit:

BEST VALUE TOOLKIT: ASSESSMENT MATRIX – GOVERNANCE & ACCOUNTABILITY

	Basic practice	Better practice	Advanced practice
5. How well do challenge, scrutiny and review processes ensure a range of informed views are sought and actively considered to aid decision making and improvement?			
5.1 How effective, objective and transparent is the scrutiny and challenge of decisions and policies?	<p>There is sufficient opportunity for objective challenge and questioning of decisions by members before they are taken or confirmed, built into policy development and decision making processes. There is a process to challenge and rethink decisions in exceptional circumstances.</p> <p>Some member challenge to policy or decisions takes place. It incorporates a dispassionate exploration of issues, alongside any challenge to decisions on grounds of politics or principle.</p> <p>The nature and extent of the scrutiny and challenge that has taken place is transparent.</p>	<p>The organisation regularly reviews how effectively it scrutinises decisions, making continuing improvements to processes and support for members.</p> <p>Independent members actively challenge key decisions before they are taken or confirmed in an, objective and constructive manner. This scrutiny is treated seriously by decision makers, with time taken to explore the issues raised.</p> <p>Scrutiny processes are structured and well managed as part of a systematic approach. Challenge is focussed on significant issues and does not unduly delay decisions.</p>	<p>Effective, objective and transparent scrutiny and challenge of policy development and decision making is embedded in the organisation's culture and ways of working.</p> <p>Members and senior officials that are responsible for decision making actively seek informed and constructive challenge, value and respond positively to this.</p> <p>Members and senior officials routinely challenge each other in an objective, effective and open manner – achieving an appropriate balance between challenge and timeliness of decision making.</p>

BEST VALUE TOOLKIT: ASSESSMENT MATRIX – GOVERNANCE & ACCOUNTABILITY

	Basic practice	Better practice	Advanced practice
5.2 How effective, objective and transparent is scrutiny of the organisation's performance and the effectiveness of its policies and procedures?	<p>There is sufficient opportunity for members to review and objectively challenge the performance of the organisation and the implementation of policies and decisions through:</p> <ul style="list-style-type: none"> • ongoing monitoring of quality, performance, implementation and management processes • post implementation reviews of policies and improvements. <p>Time is set aside on agendas for this purpose and members are provided with appropriate and objective reports.</p> <p>Some challenge takes place, including questioning of responsible senior officials about important aspects of performance and management effectiveness.</p> <p>The nature and extent of the scrutiny and challenge that has taken place is transparent.</p>	<p>The organisation regularly reviews how effectively it scrutinises performance, making continuing improvements to processes and support for members.</p> <p>Scrutiny is led by independent members who take a constructive and objective approach. Senior officials are held to account in a meaningful way, and are open and helpful in their response to questioning.</p> <p>Challenge is based on objective sources of evidence and effort is targeted at significant issues related to the priorities and the overall objectives of the organisation.</p> <p>Scrutiny leads to the identification of areas for improvement. Members responsible for scrutiny follow-through to make sure appropriate action is being taken and whether it has been effective. They report their activity and significant exceptions to all members.</p>	<p>Effective, objective and transparent scrutiny of performance is embedded in the organisation's culture and ways of working.</p> <p>Members and committees that lead and undertake performance scrutiny functions are well supported and respected. They have a clear understanding of the issues and aspects of performance that are important to the success of the organisation, and robustly challenge and hold to account in these areas.</p>

BEST VALUE TOOLKIT: ASSESSMENT MATRIX – GOVERNANCE & ACCOUNTABILITY

	Basic practice	Better practice	Advanced practice
5.3 How effective is the Audit committee?	<p>An audit committee has been established and meets regularly. Its remit and operation meets the minimum applicable standards for the organisation. It has the right to report to and be heard by all members.</p> <p>An appropriate focus is given to the risk management, internal control and financial management & reporting.</p> <p>Internal and external auditors attend meetings and submit reports summarising their plans and the results of their work.</p>	<p>The audit committee regularly reviews its own performance against best practice and takes action to continuously improve its effectiveness. It reports annually to all members and can demonstrate good performance.</p> <p>The committee specialises in scrutiny of risk management, including the effectiveness of financial management and reporting. Wider scrutiny of performance is dealt with elsewhere.</p> <p>At least one member of the committee has recent financial experience.</p>	<p>The audit committee's role is well understood and valued across the organisation. It is seen as apolitical and authoritative.</p> <p>Members of the committee are well informed, and skilled in effective challenge and open discussion. They are able to confirm to other members that the right processes are in place to give confidence that financial stewardship and overall governance arrangements can be relied upon.</p>
5.4 How well does the Internal audit function provide assurance to management on the integrity of the organisation's corporate governance framework and identify areas for improvement?	<p>The organisation has established an internal audit function with sufficient status and resources to review and report on key aspects of the system of internal control.</p> <p>The Internal Audit function complies with relevant minimum standards and the head of internal audit has unfettered rights of access to members and senior officials.</p>	<p>The Internal Audit function maintains a recognised quality accreditation, actively reviews its own effectiveness, and continuously improves.</p> <p>The Head of Internal Audit respected and authoritative, and is consulted on governance and internal control arrangements for new and existing business initiatives during the development phase.</p>	<p>The internal audit function can demonstrate the highest standards of performance. The value and impact of its work is recognised by all members and senior officials.</p>

BEST VALUE TOOLKIT: ASSESSMENT MATRIX – GOVERNANCE & ACCOUNTABILITY

	Basic practice	Better practice	Advanced practice
5.5 How effective is the organisation's annual review of its overall corporate governance arrangements?	<p>The organisation completes an annual review of its corporate governance arrangements that meets the relevant minimum standard. It publishes details of this review in line with requirements placed on it.</p> <p>The review is informed by the work of internal audit, the audit committee and reports from external auditors and the conclusions are consistent with this.</p> <p>The review is effective in identifying significant concerns and action is taken to address these.</p>	<p>An annual governance statement is published, summarising the extent of and conclusions from a review of the effectiveness of the system of internal control.</p> <p>It is underpinned by a robust approach to review and is signed by the most senior member and most senior official on behalf of the organisation.</p> <p>No significant control weakness exist. The review process is itself reviewed regularly.</p>	<p>The overall review of governance is underpinned by ongoing review of control frameworks operated across the organisation and any subsidiaries.</p> <p>Senior officials are committed to an effective review of internal control in their own areas of responsibility. They show an understanding of the nature and value of the control framework and act promptly to address any areas of concern.</p>
5.6 How well does the organisation respond to external review and scrutiny?	<p>Relevant staff engage constructively and professionally with external auditors and other scrutiny bodies, making genuine attempts to answer questions and provide evidence that is requested.</p> <p>Reports by external auditors and other scrutiny bodies are considered by relevant members and senior officials, and action is taken to address any significant issues that are raised.</p> <p>Where external scrutiny identifies any significant areas of concern or weakness, members and senior officials engage with the relevant scrutiny body to better understand how to address the issues raised.</p>	<p>The organisation engages meaningfully with external audit and other relevant scrutiny bodies about their plans, providing views on where external reviews would add most value alongside internal review and improvement activity.</p> <p>The views and support of external auditors and inspectors are sought in relevant circumstances, and members and senior officials display a real understanding of their role and remit.</p> <p>The organisation systematically considers the wider implications of significant issues raised in external reports (for example whether similar concerns exist in other areas of the organisation).</p>	<p>The organisation systematically reviews the findings and conclusions of reports about other organisations and any national or cross-cutting reports, to considering potential implications for it and opportunities to apply best practice.</p> <p>Members and senior officials value the independent challenge and assurance provided by proportionate and risk based scrutiny activity. They respond to this in a manner that strengthens the organisation's own review and improvement activity.</p>

Appendix 2: What do the scrutiny committees do?

Audit and Governance Committee

Audit responsibilities

1. *Risk and Internal Controls*

- (a) Promote Council policy on risk management by reviewing the delivery of the Risk Management Strategy, reviewing the business and strategic risk assessment arrangements and procedures and the Corporate risk Register;
- (b) Promote, review and monitor internal controls, financial and otherwise, within the Council in order to provide reasonable assurance of the effectiveness and efficiency of operations and compliance with relevant statutes, directions, guidelines and policies;
- (c) Develop an anti-fraud culture within the Council to ensure the highest standards of probity and public accountability;
- (d) Approve the annual Internal Audit assurance report and the statement of internal controls for inclusion in the annual accounts.

2. *Review of Audit Functions*

- (a) Determine the scope of the annual audit plan and ensure it is directed in accordance with the approved business risk assessment;
- (b) Examine and review the External Audit Planning Memorandum and review the overall performance with regard to quality, productivity and the fees charged;
- (c) Review the activities of the Internal Audit function and monitor overall performance in terms of quality, productivity and effectiveness;
- (d) Ensure that the Internal Audit function is sufficiently resourced to provide a systematic review of internal controls and a full assessment of significant investigations;
- (e) Examine Internal and External Audit reports, and ensure weaknesses identified are adequately addressed by management and recommendations are actioned;
- (f) Ensure that there are effective relationships between Internal and External Audit and inspection agencies, and that the value of the audit process is actively promoted.

3. *Financial Matters*

- (a) Review the Council's financial performance as contained in the annual statement of accounts;
- (b) Review the audit certificate/wording of any matters reported;
- (c) Review the annual report to Members from the External Auditor;
- (d) Review the implementation of audit recommendations;
- (e) Ensure that issues raised in previous financial years have been addressed.
- (f) Review and monitor treasury management arrangements

Governance responsibilities

4. All matters relating to the performance of the Departments and Council as a whole, including, but not limited to:

Community

- *Strategic vision and direction setting by Members*
- *Integration of strategic vision, direction and Community Planning priorities and actions into internal planning mechanisms*
- *Public performance reporting and public accountability*
- *Transparency of decision-making processes*
- *Consultation and communication with communities*

Service Delivery Arrangements

- *Corporate planning approach and performance against corporate actions and targets, including financial position and performance and asset management*
- *Performance management system and corporate performance information monitoring*
- *External scrutiny/assessment recommendations and resulting action planning*
- *Management of joint working*
- *Best Value reviews and option appraisal*
- *Contracting issues*

Structures and Processes

- *Monitoring of decision-making structures and mechanisms*
- *Monitoring of policy development and implementation*
- *Clarity of key roles and responsibilities*

Governance

- *Corporate Governance*
- *Annual Governance Statement*

Policy and Performance Review Committee

A Remit and Powers

1. All matters relating to the performance of all the Council's services including, but not limited to:-

- Vision and direction setting by members
- Integration of vision, direction and Community Planning priorities and actions into internal planning mechanisms (including Service Plans)
- Mechanisms and Initiatives for Improvement (e.g. Benchmarking)
- Public Performance Reporting and public accountability
- Consultation and communication with communities
- Planning and performance against actions and targets including financial position and performance, priority/risk based resource management and asset management
- Mainstreaming of equality issues and sustainable development
- External scrutiny/assessment recommendations and resulting action planning
- Management of joint working
- Best Value reviews and option appraisal
- Contracting issues
- Scrutiny of policies identified through an annual work plan or other aspect of its work

Petitions Committee

A Remit and Powers

1. The remit of the Petitions Committee shall be to consider petitions raised by local residents or organisations, which relate to either:

- (i) Council services or activities, or
- (ii) The general well-being of the East Lothian community

2 The Committee shall consider the merits of each petition received. Where the Committee considers a petition to be well-founded, it shall refer the matter to the appropriate portfolio holder(s) for further consideration and possible implementation. In such cases the outcome of the matter shall be reported back to the next meeting of the Petitions Committee.

Appendix 3: Roles and responsibilities

Conveners of the Audit and Governance Committee and Policy Performance and Review Committee

- Chairing the Committee, co-ordinating its activities and taking a lead role in its work
- Providing leadership in relation to monitoring the Council's strategies, performance and service delivery and contribute to the effective governance of the Council
- Giving direction to senior officers of the Council in respect of the remit and powers of the Committee
- Contributing effectively to the Council's scrutiny, policy and performance review processes by ensuring the questioning of relevant officers on the strategies, policies and performance of the Council and its service
- Encouraging and supporting participation and debate by all other committee members and ensuring that they contribute effectively to the work of the Committee
- Ensuring adequate scrutiny of external reports on Council performance
- Identifying cross-cutting issues and ensuring a corporate approach to scrutiny in these areas
- Ensuring that effective working relationships with all councillors, officers and relevant partner organisations are developed and maintained
- Leading on the selection of witnesses to policy and performance reviews and determining whether evidence is to be given orally or in writing
- Leading on determining a timetable for the Committee's work

Members of the Committees

- Selecting topics for scrutiny and policy review
- Participating constructively in the activities of the Committee
- Determining which stakeholders they would like to attend the meetings
- Examining the basis on which major decisions are taken and ensure that they are consistent with Council policy
- Monitoring the effect of national legislation on the Council
- Holding councillors and officers to account in respect of their implementation of Council policy
- Investigating the quality and performance of services provided by the Council
- Engaging with members of the public and key stakeholders to inform areas of scrutiny work
- Making recommendations for improvement to Council / Cabinet

Committees Section

- Preparing and arranging meeting rooms and facilitate meetings
- Determining dates and deadlines for meetings

- Producing minutes and notes of meetings and meeting agendas

Policy & Performance unit

- Preparing performance reports
- Providing reports and advice on corporate planning
- Reporting upon the Corporate Improvement Plan

Services

- Providing reports to assist with policy reviews as requested by the Policy and Performance Review Committee and the Audit and Governance Committee
- Attending Committees to assist with their enquiries when requested
- Accounting for relevant performance indicators

Stakeholders

- Members of the public, including service users, and representatives of partner organisations can be invited to attend the scrutiny committees to assist members in their work by giving evidence and taking part in the discussion and consideration of topics

Appendix 4: How Good is Our Council?

'How Good is Our Council?' is a means of evaluating five essential elements that should characterise the quality improvement systems of the Council. Self-evaluations are conducted by a cross-section of staff drawn from the service being evaluated. Services are asked to evaluate themselves against a series of questions that relate to the elements outlined below:

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?
<p>1. Key Performance Outcomes</p> <p><i>1.1 Improvement in Performance</i></p> <p><i>1.2 Adherence to statutory principles and fulfilment of statutory duties</i></p>	<p>2. Impact on service users</p> <p><i>2.1 Impact on service users</i></p> <p>3. Impact on staff</p> <p><i>3.1 Impact on staff</i></p> <p>4. Impact on the community</p> <p><i>4.1 Impact on the local community</i></p>	<p>5. Delivery of key processes</p> <p><i>5.1 Delivering services</i></p> <p><i>5.2 Developing, managing and improving partnerships and relationships with service users and other stakeholders</i></p> <p><i>5.3 Inclusion, equality and fairness</i></p> <p><i>5.4 Improving the quality of services to stakeholders</i></p>	<p>6. Policy Development and planning</p> <p><i>6.1 Policy review and development</i></p> <p><i>6.2 Participation of service users and other stakeholders</i></p> <p><i>6.3 Planning</i></p> <p>7. Management and support of staff</p> <p><i>7.1 Sufficiency, recruitment and retention</i></p> <p><i>7.2 Deployment and teamwork</i></p> <p><i>7.3 Development and training</i></p> <p>8. Resources</p> <p><i>8.1 Partnership working</i></p> <p><i>8.2 Financial management</i></p> <p><i>8.3 Resource management</i></p> <p><i>8.4 Information systems</i></p>	<p>9. Leadership</p> <p><i>9.1 Vision, values and aims</i></p> <p><i>9.2 Leadership and direction</i></p> <p><i>9.3 Leading people and developing partnerships</i></p> <p><i>9.4 Leadership of innovation, change and improvement</i></p>

The key questions are used in conjunction with an evaluation scale of six levels. The levels are:

Level 6: Excellent	Outstanding, sector leader
Level 5: Very Good	Major strengths
Level 4: Good	Important strengths with areas for improvement
Level 3: Adequate	Strengths just outweigh weaknesses
Level 2: Weak	Important weaknesses
Level 1: Unsatisfactory	Major weaknesses

The assessment of which level the Service has achieved is mainly based upon qualitative judgements. However, guidelines are provided to ensure some degree of consistency, for example:

“An evaluation of excellent applies to provision which is a model of its type. The experiences of, and outcomes achieved by, service users are of very high quality. An evaluation of excellent represents an outstanding standard of provision which exemplifies very best practice and is worth disseminating beyond the Council. It implies these very high levels of performance are sustainable and will be maintained.”

High performing services will:

- Articulate clearly the desired outcomes for people who use our services
- Set challenging targets and improvement objectives for achieving successful outcomes for everyone who uses our services
- Have, within and across services, effective arrangements for evaluating systematically and rigorously whether successful outcomes are being achieved
- Ask demanding questions about the performance of Services and the Council itself
- Use the information from evaluation to make continuous and sustained improvements to achieve successful outcomes; and
- Clarify leadership and accountability roles for achieving improved outcomes

Departmental management teams provide external challenge to, and validation of, the self-evaluation results for each service. This approach also complements the proposed national shift to ‘Assisted Self-Evaluation’ that has resulted from the Crerar Review. Using Assisted Self-Evaluation staff will lead the process, although inspectors assist and, crucially, challenge performance and practices.

Appendix 5: Key questions for elected members (An Overview of Local Government in Scotland 2009)

<p>Longer-term planning</p>	<ul style="list-style-type: none"> • To what extent are we planning for beyond the current year taking into account financial projections and other intelligence? • How robust are plans to achieve the savings required to meet our priorities? • To what extent do we have a clear plan for achieving the most appropriate size of workforce and skills needed to deliver our goals? • To what extent do we have a clear plan for ensuring that expenditure and investment in our asset base achieves value for money and most appropriately supports the delivery of our goals
<p>Decision-making and prioritisation</p>	<ul style="list-style-type: none"> • How clear are we about the priorities of local people? • How good is our information on performance and the costs of providing different levels and quality of services to assist us in setting priorities and taking decisions? • What action are we taking to prioritise spending? • How aware are we of the relative risks and rewards associated with our decisions, and how well placed are we to manage identified risks?
<p>Outcomes</p>	<ul style="list-style-type: none"> • To what extent are we considering the impact of the recession on our service outcomes and our commitments in our Single Outcome Agreement? • How are we comparing our service outcomes with others, for example by benchmarking? • What evidence do we have that our service outcomes represent best value?
<p>Keeping informed</p>	<ul style="list-style-type: none"> • How well are we kept informed of the impact of the recession on our finances and service performance? • How effectively are we monitoring and planning for changes in demand for services? • Are our training and development needs fully addressed?
<p>Working with others</p>	<ul style="list-style-type: none"> • How well are we working with our partners and/or neighbours to deal with pressures caused by the recession? • Are we exploring all possible options for the delivery of local services? • What quantifiable efficiencies or improvements are resulting from working with others?

REPORT TO: Policy and Performance Review Committee

MEETING DATE: 12 June 2012

BY: Executive Director (Support Services)

SUBJECT: Review of Annual Work Programme

2

1 PURPOSE

- 1.1 This report provides the Committee with an opportunity to determine its Annual Work Programme.

2 RECOMMENDATIONS

- 2.1 Committee is requested to note the Annual Work Programme (Appendix 1) and provide guidance on Policy Reviews or other additional reports to be included in the Work Programme.

3 BACKGROUND

- 3.1 The Guide to Scrutiny and Review includes guidance on preparing an Annual Work Programme and on 'selecting topics for scrutiny and review'. The Guide states:

"Once a topic has been selected for scrutiny it should become part of the work programme. The work programme will provide an indication of the capacity of the Policy and Performance Review Committee to undertake policy reviews. The work programme will be composed of regular items and specific topics that have met the selection criteria.

On-going regular items

Some items will be reviewed on a regular annual or quarterly basis (e.g. external and internal audit plans, the annual accounts and quarterly performance monitoring reports); these will need to be factored into the programme at the appropriate intervals.

Items that have met the topic selection criteria for policy review

Some items for inclusion in the work programme will have passed through the topic selection criteria outlined previously. Topics that are identified as possible items for scrutiny through the selection criteria should be placed on to a reserve list to be periodically reviewed for priority and workload capacity.”

- 3.2 The Annual Work Programme (see Appendix 1) includes two columns. The first one shows Performance and Inspection Reports including quarterly Performance Indicators reports, quarterly reports on Customer Feedback and annual reports on SPIs and Annual Performance. As the programme is updated it will include future inspection reports presented by HMIE, the Care Inspectorate and other inspection agencies. The second column shows Policy Reviews, Annual Reports and other reports requested by members.
- 3.3 As the Work Programme is developed and updated this column will include any policy or performance areas that are selected for review by the Committee and other reports requested by members arising from the business of the Committee.
- 3.4 The Annual Work programme has been updated to take account of reports that were requested by members at the last Committee meeting on 20 March 2012. The work programme takes in all of the PPRC meetings until the 18 June 2013.

4 POLICY IMPLICATIONS

- 4.1 The identification of items of business for the Committee’s Work programme will assist in developing a programme of work that will meet the Committee’s remit to scrutinise the Council’s performance and policy.

5 EQUALITIES IMPACT ASSESSMENT

- 5.1 This report is not applicable to the well being of equalities groups and an Equalities 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 Guide to Scrutiny and Review; approved by East Lothian Council, 26 October 2010

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DATE	19 th April 2012

Appendix 1: Policy and Performance Review Committee 2012/13 Annual Work Programme

Date	Performance Monitoring / Inspection Reports	Annual Reports / Reports requested by members
29 th May 2012	Performance indicators Q4 11/12 Child and Adult Protection performance report Q3 11/12	Guide to scrutiny Review of the Work of the Committee and Proposed Annual Work Programme 2012/13 Roads Asset Management Plan Monitoring of Roadworks
25 th Sept 2012	Council Annual Performance Report Performance lines of enquiry Q1 12/13 Social Work Complaints and Feedback Annual Report Child and Adult Protection performance report Q4 11/12 Customer Feedback – six-monthly report	Work programme update
27 th Nov 2012	SPI Comparison Report Child and Adult Protection performance report Q1 12/13	Work programme update
29 th Jan 2013	Performance lines of enquiry Q2 12/13 Child and Adult Protection performance report Q2 12/13	Work programme update

30 th Apr 2013	Customer Feedback – six-monthly report	Work programme update
18 th Jun 2013	Performance lines of enquiry Q3 12/13 Child and Adult Protection performance report Q3 12/13	Work programme update

REPORT TO: Policy and Performance Review Committee
MEETING DATE: 12 June 2012
BY: Executive Director (Support Services)
SUBJECT: Summary of Performance for 2011/12 and Q4 2011/12

3

1 PURPOSE

- 1.1 To provide the Committee with an overview of performance during the year 2011/12 and Quarter 4 (January – March) 2011/12

2 RECOMMENDATIONS

- 2.1 The Committee is asked to use the information provided in this report to consider whether any aspect of the Council's performance is in need of improvement or further investigation.

3 BACKGROUND

- 3.1 The Council publishes a series of performance indicators to demonstrate its progress towards the outcomes contained in the Council Plan and Single Outcome Agreement. The indicators are available to view on the Council's new performance website. Further details regarding how to interpret the information on the performance website can be found at Appendix 1.
- 3.2 Specific lines of enquiry are usually pursued by the Committee rather than considering all of the indicators during the meeting. However, as the membership of the Committee has changed since the election an overview of performance in relation to all of the outcomes has been provided. Indicators highlighted in **green** are performing better than expected, those in **amber** are slightly worse than anticipated, and those highlighted in **red** are significantly worse than expected.

Outcome 1: East Lothian has a sustainable and successful local economy through developing key local sectors and enhancing business performance

- 3.3 Despite the difficult economic conditions the **survival rate for new start businesses** supported by Council grants and loans has been better than expected. Other indicators show that the Council has had some success in engaging and supporting local businesses. Grants and loans provided by the Council to support new business start-ups and expansion have led to a higher than anticipated number of **jobs being created and protected**. However, the number of **new business start-ups** supported by the Council has been slightly below target. Business survival and start-up was the subject of a report to the PPRC in November 2011.

Outcome 2: All of East Lothian's young people are successful learners, confident individuals, effective contributors and responsible citizens

- 3.4 Indicators of **educational attainment** for 2011/12 will not be reported upon until later in the year when the exam results are published. The most recently available data, for 2010/11, demonstrates that East Lothian performs better than similar sized comparator authorities. The most recent data for school leaver destinations refers to those young people leaving school in 2010/11. The proportion of **school leavers entering positive destinations** shows an improving trend and is above target.
- 3.5 Pupils in P6 and S2 take part in the Student Evaluation and Experience Survey. The results for 2011/12 show an improvement in the % **of pupils that agree 'my school recognises my achievements in school'**. The % of pupils that agree **'they contribute to how decisions are made in schools'** shows a mixed picture as the percentage of S2 pupils that agree has increased, while the percentage of P6 pupils that agree has declined.

Outcome 3: East Lothian's children have the best start in life and are ready to succeed

- 3.6 Of the three indicators of children's health reported two demonstrate a worsening trend. The **'% of children exclusively breastfed at 6-8 weeks'** has declined from 34% to 30%. The **'% of children who are above the 95th centile of the Body Mass Index'** has increased from 8.6% to 10%. The most recent data for both indicators relates to 2010/11 and the data for 2011/12 will not be available until 2013.

Outcome 4: The life chances for children, young people and families at risk or with disability in East Lothian are improved

- 3.7 Child and adult protection is the subject of another report on the agenda for this meeting.

Outcome 5: In East Lothian we live healthier, more active and independent lives

- 3.8 The **balance of care** continues to shift from institutional settings towards homecare. Although national comparisons will not be available until later in the year, the Council has performed comparatively well in relation to the 'number of homecare hours provided as a rate per 1,000 population aged 65+'. Improvements in partnership working with the NHS have led to 0 '**delayed discharges of more than 6 weeks**' being reported in each quarter during 2011/12.
- 3.9 The percentage of pupils in P6 and S2 that agree '**taking part in physical activities out with school is important to them**' demonstrates an improving trend.

Outcome 6: Fewer people experience poverty in East Lothian

- 3.10 **Current tenant rent arrears** and the '**% of tenants owing more than 13 weeks rent**' demonstrate a worsening trend and are worse than target. Rent arrears have been the subject of reports to the PPR Committee in March 2011, June 2011 and March 2012.

Outcome 7: Fewer people are the victim of crime, disorder or abuse in East Lothian

- 3.11 Child and adult protection is the subject of another report on the agenda for this meeting.

Outcome 8: Fewer people experience antisocial behaviour in East Lothian

- 3.12 The 'total number of calls made to the Anti-Social Behaviour helpline' has recently been added to Aspireview. The trend is reasonably stable as between 400 and 500 calls have been received in each of the three quarters that have been reported.

Outcome 9: East Lothian's homes and roads are safer

- 3.13 The number of people **killed or seriously injured on roads in East Lothian** continues to decrease.

Outcome 10: In East Lothian people in housing need have access to an appropriate type, tenure and standard of housing and are prevented from becoming homeless

- 3.14 The Council has improved the **average time to re-let Council houses**, although performance got slightly worse in the last quarter of 2011/12. The **% of rent lost due to voids** has crept up slightly above target and a gradual upward trend has been evident over the past two years. The **% of response repairs completed within target time** has declined slightly and is below target; however, there has been an increase in the overall number of repairs completed.

Outcome 11: East Lothian has high quality natural and built environments that enhance the well-being of the local community

- 3.15 The **time taken to determine planning applications** has continued to be above target for both householder applications and non-householder applications over the course of 2011/12. However, performance dipped slightly during Q4. Other indicators that relate to the built environment include the '**retail vacancy rate**' and '**pedestrian flow count**' in our town centres. Data for 2011/12 will not be available for these indicators until later in the year.
- 3.16 Indicators relating to the quality of the natural environment include the '**number of priority species benefitting from active management**' and the '**number of priority habitats benefitting from active management**'. Performance has declined due to a lower number of farms receiving a rural priorities grant under the biodiversity axis. The '**% of the Core Path Network maintained**' has increased significantly due to work carried out by volunteer path wardens. The Council continues to perform well in regard to the **Cleanliness Index** that relates to the amount of litter on the streets.

Outcome 12: East Lothian is less dependent on finite resources by moving to a more localised, low-carbon economy and reducing its ecological and carbon footprints by 80% by 2050

- 3.17 **Civic Amenity sites** recorded a large increase in the number of users in Q4 2011/12 in comparison to the same period in 2010/11. Warm weather led to increased use of the sites, although this trend is likely to be reversed in Q1 2012/13. The '**proportion of waste that is recycled or composted**' has increased to 44.5%. However, a change in the way that this indicator is calculated will affect the data that is reported in the future.
- 3.18 Following the introduction of charges for special uplifts in 2009 the **number of fly-tipping incidents** increased substantially. The number of incidents per quarter has stabilised at between 200 and 300 incidents per quarter having previously been as high as 516.

Outcome 13: East Lothian has well connected communities with increased use of sustainable forms of transport

- 3.19 The **% of the road network that should be considered for maintenance** has improved in comparison to the previous year. The **% of road resurfaced** has been higher than the target level for the past two years, which will have contributed to the overall improvement in the state of the road network. The **number of accident claims received** has increased in Q4 2011/12, although this period of the year experiences the worst of the winter weather which causes the roads to deteriorate. Fewer claims were received than in the corresponding period in 2010/11.

Outcome 14: East Lothian has strong, vibrant communities where residents are responsible and empowered with a positive sense of well-being

- 3.20 Community Learning and Development have developed an indicator to show the **impact of the learning opportunities they provide for adults and young people**. Performance against the indicator has gradually improved over the past two years. The **number of volunteers engaged in delivering Healthy Living Services** and the **number of volunteer days spent on conservation projects** are slightly below target.

Service built around people and communities

- 3.21 The PPR Committee monitored the handling of phone calls during 2011/12 to ensure that performance did not suffer as a result of the Adult Social Care calls being transferred to the Contact Centre. The **'% of calls answered'** and the **'% of calls answered within 7 rings'** are slightly, but not significantly, below target.

Effective, efficient and excellent services

- 3.22 The **% of Council Tax collected** and the **% of non-domestic rates collected** are both on target.
- 3.23 Asset management is measured by the **proportion of operational accommodation that is in a satisfactory condition** and the **proportion of operational accommodation that is suitable for its current use**. Both indicators are above target and show an improving trend.
- 3.24 Procurement performance is measured by the **% of invoices paid within 30 days** and the **% spend with contracted suppliers**.
- 3.25 Human Resources use indicators developed by Audit Scotland to measure the value for money of the HR function. Both the **ratio of employees to HR staff** and **cost of the HR function per employee** are better than target. However, the **average number of days to fill a vacancy** has increased due to post advertised for Enjoy leisure not being filled.

Prioritising prevention and promoting equality

- 3.26 The **'proportion of buildings from which the Council delivers services that are suitable for and accessible to disabled people'** has improved gradually over recent years. However, at 50% it remains somewhat lower than the Scottish average.

4 POLICY IMPLICATIONS

- 4.1 Reporting performance helps the Council demonstrate that it is achieving Best Value in regard to 'Commitment and Leadership', 'Sound

Governance at a strategic, financial and operational level' and 'Accountability'.

- 4.2 The scrutiny of performance by Elected Members is part of 'Commitment and Leadership'. The Best Value Guidance explains that the scrutiny of performance means 'That members are involved in setting the strategic direction for Best Value and there is a mechanism for internal scrutiny by members of performance and service outcomes.' Reporting the performance indicators for each service every quarter is intended to aid this process.

5 EQUALITIES IMPACT ASSESSMENT

- 5.1 This report is not applicable to the well being of equalities groups and an Equalities 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: Using and interpreting the performance website

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DATE	18 May 2012

Appendix 1: Using and interpreting the performance website

The performance website

The Council reports its performance publically via the East Lothian Council performance website (www.eastlothian.gov.uk/performance). The performance website can also be accessed via the Council's main website by clicking on 'Council and government' then 'Information, Performance and Statistics' and finally 'Performance Reporting'.

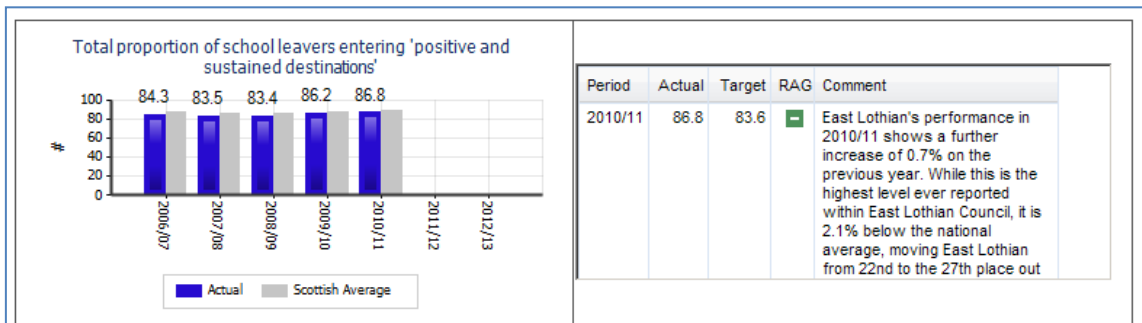
Indicators displayed on the website are drawn directly from 'Aspireview', which is the software used by the Council to monitor its performance. Indicators on the performance website are up-to-date as soon as officers have entered the information into Aspireview. However, the lag between the end of the reporting period and the data appearing on the performance website may be up to six weeks. For some outcome indicators the lag may be even greater.

The performance website includes the Council's Key Performance Indicators that demonstrate progress towards the Council's priorities and outcomes described in the Council Plan and Single Outcome Agreement. The indicators are a mixture of quarterly (a period of 3 months) and annual measures. The indicators also represent a mixture of inputs, outputs and outcomes.

The performance website can be viewed at two levels. The first level is a summary of the performance indicators that relate to each outcome. The summary uses the target for each indicator to generate a red (worse than target), amber (slightly worse than target) or green (better than target) colour. Each table on the summary page also shows the period that the data relates to, the 'actual' result for the period, and the target figure.

	Period	Actual	Target	RAG
SPI 9: % of older people with intensive needs receiving services at home	2011/12	41.6	37.0	

Clicking on the wording of an indicator in the summary page will lead to a further page that contains greater detail for the indicator. This page displays the trend, the comparison (where available), commentary and the definition of the indicator.



How to interpret the indicator

Higher number is better

Definition

A school leaver is classed as a young person of school leaving age who left school during or at the end of the school year, where the school year is taken to run from 1 August to 31 July. Positive destinations are - higher education, further education, employment, training or voluntary work.

Performance reporting to the Policy & Performance Review Committee

Members of the Committee receive a performance briefing prior to each meeting. Members present at the performance briefing pick out lines of enquiry that relate to particular indicators to scrutinise in greater detail at the Committee meeting. Officers are normally requested to provide a report to the Committee expanding upon the factors that have influenced performance.

The performance indicators are very much a starting point to identify areas for greater scrutiny. Members of the Committee should also be aware that the performance indicators act as a means of prioritisation. Changes in what is measured, or the targets that are set, are likely to lead to changes in behaviour as resources and effort are directed towards improving performance against the indicator. Such changes can improve performance, although they can also have unintended detrimental consequences. Concentrating on outcomes can help to avoid the creation of unintended consequences.

Different types of indicator: Inputs, Outputs and Outcomes

The Council reports different types of indicator using the performance website. The distinction between these indicators is outlined below:

Inputs

Input – def. any stimulating information or event; acts to arouse action

Or, in the case of the Council and its partners, usually the resources that are needed to undertake an activity. Examples of inputs include funding, staff time, IT equipment and the provision of office accommodation. Inputs are defined in the Council's budget, Asset Management Plan, and each Service and Unit's business plan. Some inputs are measured and reported as part of the balanced scorecard used by each service.

Processes / activities

Process – def. A series of actions, changes, or functions bringing about a result

Processes, or activities, are usually outlined in the Council's various strategies, project plans, improvement plans and business plans.

Outputs

Output – def. An amount produced or manufactured during a certain time

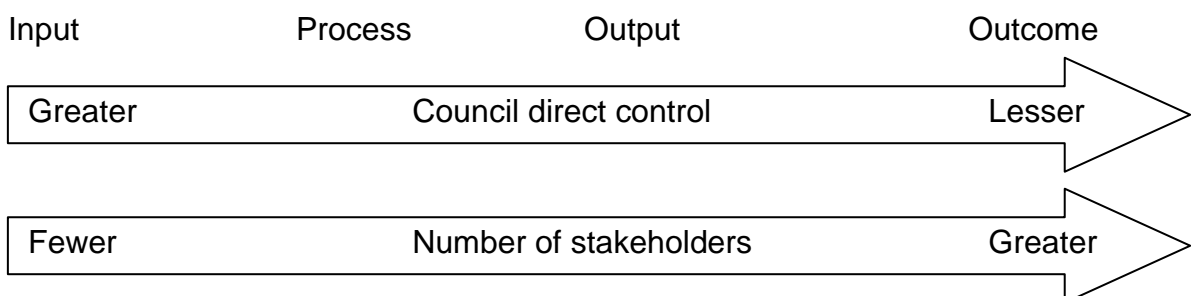
Output refers to what has been produced as a result of a process or activity. For example, an output could be the number of people that have undertaken a training course.

Outcomes

Outcome – def. An end result; a consequence

Outcomes are the effect of an output or set of outputs. For example, the outcome of people undertaking a training course would be what they have learnt and how they apply it. This could be broken down even further by classifying 'what they have learnt' as the short-term outcome and 'how they apply it' as the long term outcome.

One of the most important things to take account of when reviewing these different types of indicator is that the Council's direct control usually diminishes as it gets closer to the outcome. The number of actors involved usually increases as we go along the same spectrum, which contributes to the diminishing impact of the Council acting alone, e.g.:



Interpreting performance indicators

One of the main difficulties in analysing performance indicators is the extent to which our actions are the cause of a change in performance. Take the amount of green waste that is recycled. The provision of recycling facilities, refuse collection and promotional activities by the Council certainly have a large effect on the volume of green waste that is recycled. However, so does the weather, as people are more likely to garden (and generate green waste) during good weather.

Cause and effect becomes even more difficult to discern the closer we move towards an outcome. For example, the Council measures the proportion of school leavers that move into 'positive destinations', but how much of this result is attributable to the education system, how much to the parents, how much to employers and other agencies, and how much to societal influences on a child's upbringing?

Outcomes ultimately relate to the things that matter the most to communities; therefore despite the difficulties in working out cause and effect it remains important to focus on the outcome.

Ways of interpreting performance indicators

Performance indicators should be interpreted in relation to what we would expect to happen anyway; in other words what value have we actually added? There are various ways of interpreting performance indicators that help us to work out the difference that we are making.

- **Comparisons**

Comparative data is sometimes available for the Council's performance indicators. The use of comparisons tends to relate to either the Scottish average or a 'family group' of councils with similar social and demographic characteristics. Comparisons can help us form expectations of how the Council should be performing, or what the Council could achieve.

- **Trends**

Comparing the performance of the same indicator over a period of time helps in assessing the significance of changes in performance. Declining performance from one period to the next may not look as poor when viewed in the context of several previous periods of improvement for example.

- **Targets**

Services set a target for each of the indicators that they are responsible for. The target provides context for an expected level of performance. Targets are normally set at a level which is an improvement on the previous trend. Good targets are generally considered to be those that motivate services to achieve improved performance by 'stretching' them. However, target setting is an inexact science and in many cases (especially in regard to outcomes) whether a specific target is achieved is beyond the Council's control. Outlining and refining performance expectations should, however, be regularly considered by the Committee to help ensure that resources are focussed towards achieving the Council's priorities.

REPORT TO: Policy and Performance Review Committee

MEETING DATE: 12 June 2012

BY: Executive Director (Services for People)

SUBJECT: Child and Adult Protection Reporting To Elected Members,
Chief Executive and Board of Directors

4

1 PURPOSE

The purpose of this report is to give an update on Child Protection and Adult Protection activity in East Lothian to the Policy and Performance Review Committee, offering an opportunity to both gain an understanding of the issues and challenges for these services, and raise any issues regarding performance.

2 RECOMMENDATIONS

2.1 The Committee is asked to:

a) Note the contents of this report.

3 BACKGROUND

3.1 East Lothian Child Protection Summary.

At the end of the financial year, quarter 4 there were 66 children on the Child Protection Register (CPR) in 52 families. There are currently 14 sibling groups. The predominant factor remains issues of neglect, poor supervision and drug and alcohol misuse for 45 children, with a high incidence of domestic abuse also. The number of non engaging families has also increased affecting 24 children on the register.

The increase in children on the CPR in East Lothian remains above the national average at 3.5 per 1,000 where the national average is 2.9 per 1,000. Eleven of these children are also looked after. 8 children have been registered previously. This gives an average of 62 children on the Register for the year, down from last year's average of 74. All of the children on the CPR are allocated to a Children's Services worker, have a lead professional and a Child Protection plan.

The referrals to Children's Services teams continue to increase making a total of 2,631 over the year. With the data collected over the past 10 years it is anticipated that there will be between 2,500 and 3,000 referrals over the coming year and the busiest months are likely to be May/June, October and February/March.

The number of children and young people in residential care now stands at 28, the highest number in recent years. 57% of those children are now accommodated outwith East Lothian in stark contrast to the figure of 29% in March/April 2008. Within the Integrated Children's Services Plan there is a stated outcome to reduce the number of children and young people accommodated outwith East Lothian.

Within Health over this quarter the total number of Cause for Concern cases rose to 224 from 209 last quarter. This is broken down geographically to 52 in Cluster 1 (North Berwick, Haddington and Dunbar). Cluster 2 (Port Seton, Tranent and Prestonpans) has had the largest increase this quarter from 87 to 103 (18.4% increase) and Cluster 3 (Musselburgh) an increase from 67 to 69 records. This is an overall increase of 15 cause for concern records across East Lothian.

The number of Inter-agency Referral Discussions this quarter has increased to 138 from 100 last quarter.

The SCRA statistics for East Lothian for quarter 4 demonstrate a further decrease of referrals to the Reporter from 54 to 42. The majority of this decrease is in relation to referrals from the Police from 37 in quarter 3 to 19 in quarter 4. The social work referrals went up from 19 to 26. This reduction in referrals is assessed as being due to early intervention by Police and the Multi-agency Screening Group. The number of Child Protection Orders this quarter increased from 1 to 3 and there are now 2 children in secure accommodation. There has been an increase of 9 children on supervision requirements, all of them boys.

At 31 March 2010 there were 70 children on the East Lothian Child Protection Register. At the yearend of 31 July 2011 there were 94 initial/pre-birth case conferences with 74 registrations demonstrating a 79% registration rate on Case Conferences held. The total number of de-registrations was 107 with an average of 62 children on the CPR. The total number of children on CPRs across Scotland at July 2011 was 2,571.

3.2 East & Midlothian CPC.

Police are still awaiting the toxicology results in relation to the 3 baby deaths across East and Midlothian. The final draft of the "Protecting Children Living in Families with Problem Substance Use" is, as far as I know not disseminated as yet for use by practitioners and training purposes. The amended Child Protection Procedures in light of the National Guidance have not been, as far as I know published for implementation. It is likely that the changed timescales will increase the number of case conferences in East Lothian by 100 a year.

3.3 East Lothian Adult Protection Summary.

In Quarter 4, Police referrals increased by 7% from 159 in Quarter 3 to 170. Of these, 32 (18%) were progressed through Adult Protection, which represents 43% of all referrals which were progressed through Adult Protection in Quarter 4 (75). The highest numbers of referrals received were for older people, (33 - 42%) which as acknowledged last quarter, will include people with dementia. A significant number (25 - 21%) of referrals continue to feature other vulnerable, mental health or substance misuse clients who often are young people with alcohol/substance misuse issues and the main type of harm reported in this quarter being self-harm (20 - 26%). Physical harm (17 - 23%) and financial harm (19 - 25%) also feature highly.

The number of cases currently being managed under Adult Protection is 49. This represents a decrease of 10% from 55 in quarter 3. The number of inquiries decreased by 25% from 101 in quarter 3, to 75 in quarter 4, and the number of Inter-agency Referral Discussions decreased by 21 % from 43 to 34. The number of Professionals meetings/Case Conferences increased slightly from 24 in quarter 3 to 25 in quarter 4.

In Quarter 4 East Lothian had 2 Protection Orders (Banning Orders) running:

- 1) The adult is an older person with alcohol misuse issues and the subject is her son who has drug and alcohol issues and was causing her serious physical, emotional and financial harm.
- 2) There was another Banning Order in relation to the same subject who was causing his learning disabled brother serious physical emotional and financial harm. This order expired on 8 February 2012.

Interviews have been completed for the Management Review following a concluded large Scale Investigation in a care home. The meeting to consider recommendations is scheduled and will report to the Adult Protection Committee in May.

In Quarter 4, 1 Large Scale Investigation was initiated for a Service Provider.

3.4 Adult Protection Summary 2011-2012.

In terms of the full year, Inquiries have increased by 215% from 143 in 2010-11 to 307 in 2011-12, with 47% (145) progressing to Inter-agency referral discussion, and 65% (95) of those progressing to case conference. Although numbers have increased significantly it should be noted that the percentage of those progressing through Adult Protection and to case conference remains comparable.

Police referrals have increased by 35% from 469 in 2010–2011 to 635 in 2011-2012. Case Conferences including Professionals Meetings have increased from 36 in 2010–2011 to 95 in 2011-2012, and the number of Adult Protection reviews has increased from 46 in 2010–2011 to 85 in 2011-2012. There has been a total of 7 Large Scale Investigations this year, an increase from 2 in the previous year.

4 POLICY IMPLICATIONS

4.1 N/A

5 EQUALITIES IMPACT ASSESSMENT

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

6 RESOURCE IMPLICATIONS

6.1 Financial – N/A

6.2 Personnel – N/A

6.3 Other – N/A

7 BACKGROUND PAPERS

7.1 Performance figures Quarter 4 as will be reported in Public Protection Report to Critical Services Oversight Group.















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Appendix 1

**East and Midlothian Child Protection Committee
East Lothian Area**

Measure	Short term trend	Long term trend	Previous year	Q1	Q2	Q3	Q4	Annual	
ACTIVITY LEVELS									
No of children referred to Children and Families	↑	↑	2311	725	613	606	687*	Total 2631	
No of Health Visitor Cause for Concern cases	-	↑	202	214	214	209	224	Average 215	
No of IRDs	↑	↓	502	127	125	100	138	Total 490	
No of ICPCCs	↓	-		18	14	14	13	Total 59	
CHILD PROTECTION REGISTER									
No of children on CPR	↓	↑	53	49	62	70	66	Average 62	
No of families with children on the CPR	↓	↑	33	33	40	41	40	Average 38	
Rate of registration per '000 children	↓	↑	2.8	2.6	3.3	3.7	3.5	Average 3.3	
Rate of registration per '000 children – Scotland 2010				2.9					
No of children placed on register	↓	-		18	21	28	18	Total	

Measure	Short term trend	Long term trend	Previous year	Q1	Q2	Q3	Q4	Annual
								85
No of re-registrations	↓	▬		4	4	5	2	Total 15
No of children removed from CPR	↓	▬		23	10	20	21	Total 74
Time on CPR before removal – 0 to 3 months	↓	▬		0	0	1	0	
Time on CPR before removal – 3 to 6 months	↓	▬		6	1	5	4	
Time on CPR before removal – 6 to 12 months	↑	▬		12	4	12	15	
Time on CPR before removal – 12 to 24 months	▬	▬		5	5	2	2	
Time on CPR before removal – 24 months +	▬	▬		0	0	0	0	
CHILD PROTECTION REGISTRATION / AREAS OF CONCERN **								
Physical Injury	↓	▬		16	12	9	3	
Sexual abuse	↑	▬		1	1	0	1	
Emotional abuse	↑	▬		10	9	7	12	
Physical neglect	↓	▬		30	33	25	24	
Child placing him / herself at risk	↓	▬			3	5	0	
Domestic abuse	↑	▬			3	16	25	
Parental Drug Misuse	↑	▬			1	6	45	
Child Exploitation	▬	▬				2	2	

Measure	Short term trend	Long term trend	Previous year	Q1	Q2	Q3	Q4	Annual
Non-engaging family							24	
Other concerns							11	
Parental mental health problems							23	
Physical abuse							5	
CASE MANAGEMENT								
% of cases allocated			100%	100%	100%	100%	100%	Average 100%
% of cases with a CP Plan			100%	100%	100%	100%	100%	Average 100%
% of cases with Core Group in place			100%	100%	100%	100%	100%	Average 100%

* Please note that as recording methods and practice differ across East Lothian and Midlothian many of these statistics (Referrals to Children’s Services, CPR stats) cannot be compared on a like for like basis. For example – East Lothian record Children’s Services referrals on an inter-team basis while Midlothian do not; Midlothian only record Children’s Services referrals from external agencies and the public.

** The Scottish Government recently changed the data specification in relation to Child Protection statistics. As a result of these changes categories of registration are no longer collated and have instead been replaced by areas of concern. Both East Lothian and Midlothian have now completely migrated to the new data set.

Appendix 2

**East and Midlothian Adult Protection Committee
East Lothian Area**

Quarter 4 – 2011/12

Measure	Short term trend	Long term trend	Previous year	Q1	Q2	Q3	Q4	Annual
ACTIVITY LEVELS								
Duty to inquire	↓	↑	143	53	78	101	75	Total 307
No of LBP referrals received	↑	↑	469	140	166	159	170	Total 635
No of IRDs	↓	↑	58	26	43	43	34	Total 145
No of large scale investigations	↓	↑	2	0	3	3	1	Total 7
No of ACPCCs, including professionals' meetings	↑	↑	36	16	30	24	25	Total 95
No of AP Reviews	↑	↑	46	8	20	24	33	Total 85
No of new protection orders	-	↓	7	3	1	0	0	Total 4
REFERRALS PROGRESSED THROUGH ADULT PROTECTION / REFERRAL SOURCE								

Measure	Short term trend	Long term trend	Previous year	Q1	Q2	Q3	Q4	Annual
Police	↓	↑		18	28	50	32	Total 128
Health	↓	↑		3	7	9	4	Total 23
Social Work	↑	↑		9	14	8	9	Total 40
Other	↓	↑		23	29	34	30	Total 116
CATEGORIES OF HARM								
Physical	↓	↑	26	7	13	20	17	Total 57
Sexual	↓	↑	7	9	5	8	2	Total 24
Psychological	↓	↑	2	13	13	12	7	Total 45
Financial	-	↑	12	12	11	19	19	Total 61
Neglect	↑	-	14	3	9	2	5	Total 14
Self harm	↓	↑	19	8	16	31	20	Total 75
CLIENT GROUPS AT END OF QUARTER								
Acquired brain injury	-	-		0	2	0	0	Average 1
Child – no substantial disability	↓	↑		1	4	5	3	Average 3

Measure	Short term trend	Long term trend	Previous year	Q1	Q2	Q3	Q4	Annual
Dementia	▬	▬		0	0	0	0	Average 0
Learning disabilities	↑	▬		9	4	7	9	Average 7
Mental Health	↓	↓		6	6	13	4	Average 7
Other vulnerable groups	↓	↑		5	9	25	20	Average 15
Physical disability	↓	↓		6	10	6	4	Average 7
Substance misuse	▬	▬		1	8	1	1	Average 3
Older people	↑	↑		15	12	25	33	Average 21
Throughcare and Aftercare	▬	▬		0	14	0	0	Average 4
Offender	↓	↓		5	4	6	4	Average 5
CASE MANAGEMENT								
No of cases being managed under AP Procedures	↓	▬		48	74	55	49	Average 56
% of cases allocated	▬	▬		100%	100%	100%	100%	Average 100%

REPORT TO: Policy and Performance Review Committee

MEETING DATE: 12 June 2012

BY: Executive Director (Services for Communities)

SUBJECT: Road Asset Management Plan 2012 -
Carriageway Annual Status and options Report

5

1 PURPOSE

1.1 To update the Panel on the current condition of the Councils adopted public road network carriageway asset group as at April 2012. The report describes the current condition of the carriageway asset; detail of the level of service that the asset currently receives; the range of activities being employed; and present spend options available for the future.

2 RECOMMENDATIONS

2.1 To note the condition of the carriageway asset; the predicted impact of current spending levels; the long term cost in maintaining the asset; and the options available going forward.

3 BACKGROUND

3.1 This report discusses the carriageway group only. Asset groups are presented in accordance with the CIPFA (Chartered Institute of Public Finance and Accounting) Transport Asset Code for finance reporting. The detail of other asset groups will be reported separately in due course. The carriageway group has a significant value, such that the overall GRC (Gross Replacement Cost) is £750 million. (Table 1 – Depreciated Replacement Cost [DRC])

3.2 Road assets deteriorate slowly and it is not possible to determine the impact of the level of investment by looking over the short term. The report therefore examines 20 year forecasts to ensure that decisions are taken with an understanding for the long term implications.

Measures to improve the accuracy of the information use to predict condition are ongoing with yearly SCANNER data collection and refinements in pavement performance data. Treatment life expectancy varies widely and is hugely influenced by drainage, substandard historic construction, use, traffic volumes and loading. Interventions are planned throughout the lifecycle of the asset using treatment Design Life (DL) of between 5 – 60 years. However, the ESL (Expected Service Life) for 80% of the network can be considered to be 30 years.

Table 1 – Depreciated Replacement Cost

Asset Group	Gross Replacement Cost (GRC) estimate £'000	GRC less Depreciation (DRC)	
		Depreciation £'000	DRC estimate £'000
carriageway	749,029	88,847	660,182
Footways + cycleways	52,994	18,024	34,970
structures	111,000		
Lighting	65,050	1607	63,443
Traffic Management	605	252	353
Street Furniture	5,093	3085	2,008
Land	298,821	na	298,821
Total	1,282,592	111,815	1,059,777

3.3 The East Lothian Public Road network length in 931 km, made up as follows:

Classification	Urban (km)	Rural (Km)	The asset has grown by 19.9km since 2003.
A	32.8	62.4	
B	35.4	134	
C	15.5	207.4	
U	244.9	198.5	

3.4 In August 2011 the value of the adopted public road network carriageway asset, Depreciated Replacement Cost was calculated at £660m. An annualised depreciation (AD) of £2.8m was calculated. This AD represents the predicted average carriageway depreciation in one year with no investment in asset renewal.

3.5 In 2011/12 £3.062m was invested in planned maintenance / renewals of the carriageway asset. This represents 110% of the estimated annual depreciation of £2.8m. The AD figure is an initial estimate and will be refined in coming years. Current investment levels are predicted to lead to increasing asset value, based upon the current levels of renewal. This is borne out by the continually improving Road Condition Indicator (RCI) for the East Lothian road network.

3.6 The condition of the carriageway network is recorded nationally through the Scottish Road Maintenance Condition Survey (SRMCS). The data collected is done so by a machine based survey (SCANNER), and the data is validated to a nationally agreed set of rules and parameters. Based on the results of 2010-12 RCI the Council is 5th out of the 32 Councils in Scotland when measured by network level RCI values:

Trend in the Road Condition Indicator (RCI) for East Lothian:

2008-09	2009-10	2009-11	2010-12
32.6	32.5	31.0	29.0

3.7 Existing investment levels on average reflect a renewal of carriageway every 38.7 years. This is significantly beyond the 30 years ESL, which is considered to be a reasonable return. However, this varies dramatically, between Urban / Rural and road classifications for 2011-12.

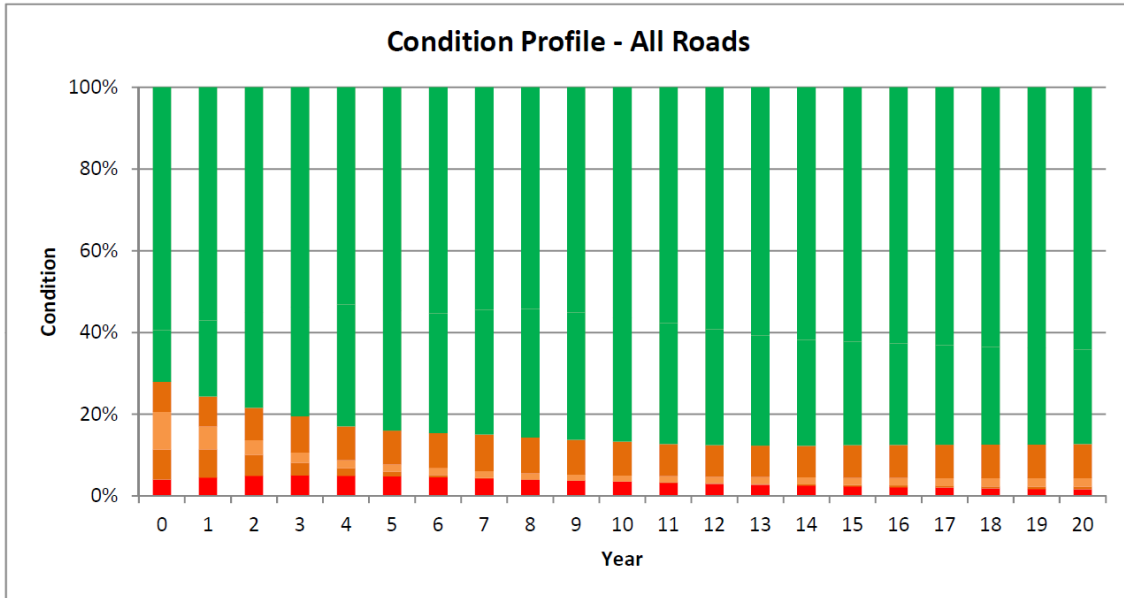
Classification	Urban (Yrs)	Rural (Yrs)
A	93	95
B	12.9	25.6
C	25.8	45.7
U	65.5	30.7

This however, does not take into account other preventative treatments or repairs which all influence the performance of the asset. Making realistic forecasts requires the application of various treatments to maximise the carriageway lifecycle taking into account whole life costs. Significant benefits can be realised by applying the correct treatment at the correct time, which is demonstrated through the annual surface dressing programme. A full breakdown of carriageway outputs for 2011-12 is shown in **Appendix A**.

3.8 Long term projections are based on estimated rates of deterioration. Estimates of expected service lives of the carriageway surface course on each classification of road have been used to predict how each class of road will deteriorate on average, over time. The predictions are based on average weather conditions and do not take into account a typically harsh winter, which have recently been experienced.

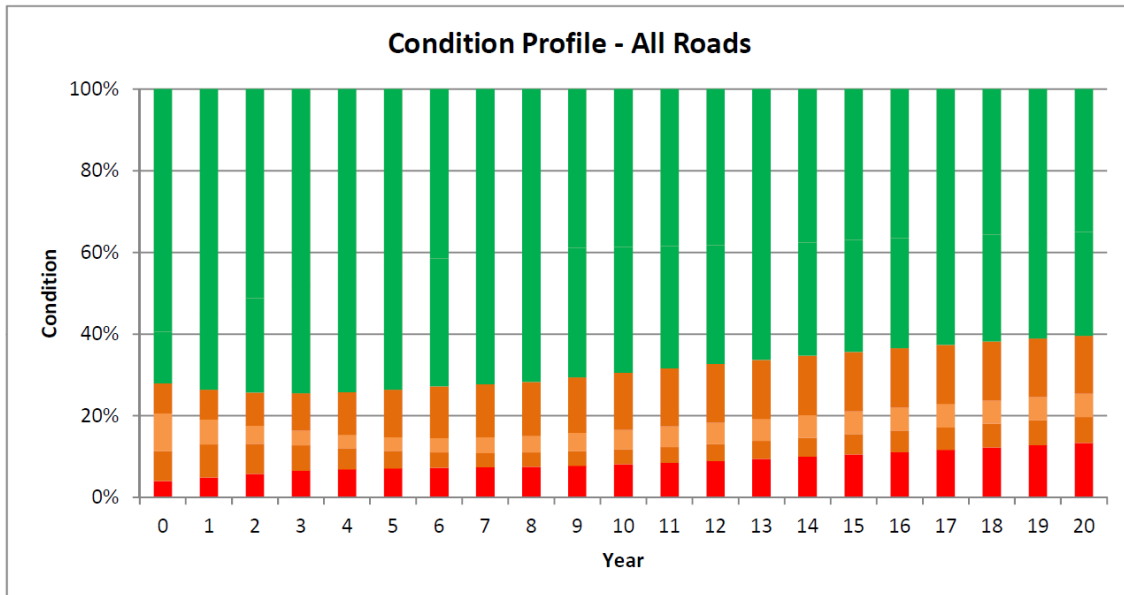
3.9 Costs of maintaining the asset in its current condition for 2011/12 is shown to be £4.1m (planned maintenance, corrective and preventative). An additional £2.3m is required to deliver the current standards for reactive, cyclic and winter maintenance as described in **Appendix B**.

3.10 A continuance of current funding at approximately £3.2m (current years carriageway budget allocation – excluding drainage) is predicted to lead to an overall improvement in condition as illustrated.

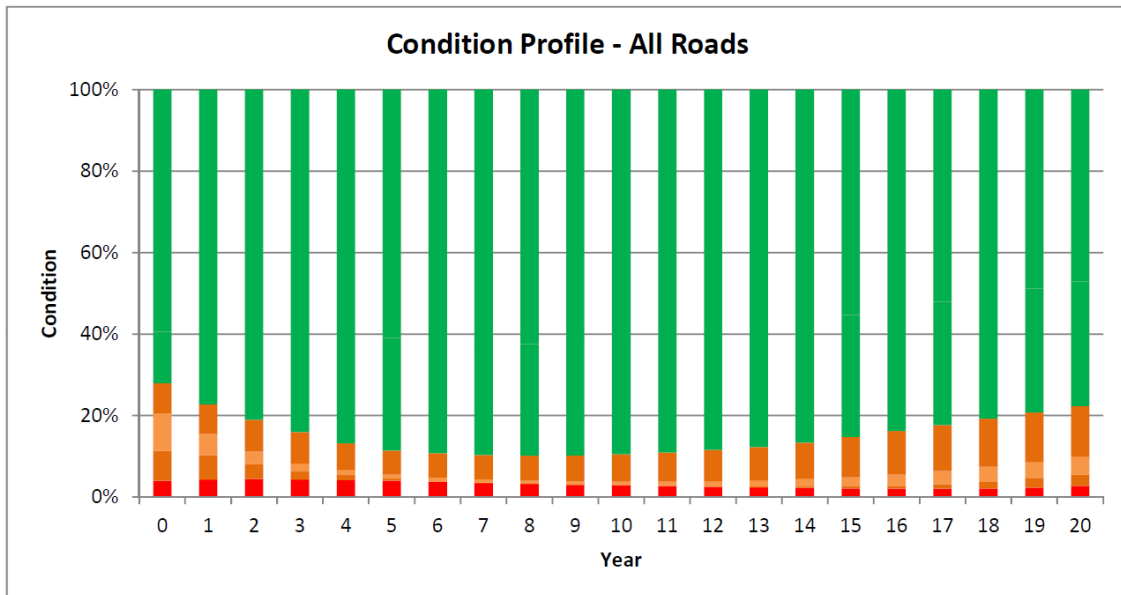


The predicted RCI at the end of 20 years would be 12.64% (current RCI 29%). However, this does not take into account material and labour cost increases, which between 2007-2012 have increased on average 6% per annum. This effectively means that over a 20 year cycle the amount of spend will be reduced to £990,000/ annum in real terms. To achieve the same level of service – accommodating a 6% annual increase – the carriageway budget would have to increase to £9.9m. Unchecked the RCI value would increase to 41%

3.11 A reduction of the funding by 40% (on current £3.2m) would have the effect of increasing the Councils RCI to 39.56% and 58.7% including 6% inflation



3.12 An increase in budgetary spend on carriageway by 30% over a 5 year period and then reverting back to £3.2m spend would have the following effect.



Over a 5 year period the RCI would be reduced to 12% but rise to 23% due to the effect of compound inflation.

4 POLICY IMPLICATIONS

4.1 None

5 EQUALITIES IMPACT ASSESSMENT

5.1 This report is not applicable to the well being of equalities groups and an Equality 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 None

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Appendix A – Carriageway Outputs 2011-12

Category	Charge	Output
Planned Maintenance - Preventative	£645k	- 43.8km of surface treatment (surface dressing)
Planned maintenance - corrective	£3,509k	- 24.0km of surfacing (£2401k) - 1.3km of reconstruction (£661k) - Drainage repairs (£447k)
Routine cyclic maintenance	£253k	- 17225 no. gullies emptied every 12 months, plus 32 with an additional monthly clean pa (£207k) - 2no swathe and visibility splay cuts pa (£39k) - Weedkilling (£7k)
Routine – Reactive repairs (emergency)	£345k	- Emergency call outs (£97.2k) - 3000 cat 1 + 2 repairs (£317.8k) - 5 no. drainage & flooding incidents (£30k)
Routine – Reactive Repairs (non – emergency)	£750k	- 14080m2 of patching (£468,523) - Road marking and stud replacing (£88k) - 22,651 sq.m Footway slurry (46.4K) - 155no. Find and Fix repairs (£111k) - 15no. Misc minor repairs (£36.5k)
Routine – Inspection & Survey		- Condition surveys – SCANNER 100% A roads, 50% B Roads, 25% C roads and 10% U roads - Safety inspections 100% compliance with A + B, C + U inspections

Appendix B: Carriageway Renewals – Lifecycles and Unit Costs

TableAn 4.1: East Lothian Council Carriageway Renewal Treatments – Lifecycles and Unit Costs																					
Treatment	Mat	Primary Distributor			District Distributor			Local Distributor			General Access Road			Minor Access Link			Cul-de-sac				
		Life	U	R	Life	U	R	Life	U	R	Life	U	R	Life	U	R	Life	U	R		
		(yr)	(£/m2)		(yr)	(£/m2)		(yr)	(£/m2)		(yr)	(£/m2)		(yr)	(£/m2)		(yr)	(£/m2)		(yr)	(£/m2)
Full Reconstruction		40	92	87	40	92	87	40	83	78	50	83	78	60	73	68	60	73	68		
Resurfacing (surface and binder)	HRA	20	36	31	20	36	31	20	35	30	20	35	30	30	34	29	30	34	29		
	SMA	15	35	30	15	35	30	15	34	29	20	34	29	25	33	28	25	33	28		
	AC	10	34	29	10	34	29	10	33	28	15	33	28	20	32	27	20	32	27		
Resurfacing (surface course – including asphalt reinforcement grid)	HRA	20	30	25	20	30	25	20	29	24	25	29	24	30	28	23	30	28	23		
	SMA	15	29	24	15	29	24	15	28	23	20	28	23	25	27	22	25	27	22		
	AC	10	28	23	10	28	23	10	27	22	15	27	22	20	26	21	20	26	21		
Retread	HRA										25	29	25	30	26	22	30	26	22		
	SMA										20	28	24	25	25	21	25	25	21		
	AC										15	27	23	20	24	20	20	24	20		
	SD										10	13	12	15	13	12	15	13	12		
REPAVE	HRA	15	25	22	15	25	22	15	24	21	20	24	21	25	22	19	25	22	19		
	SMA	10	24	21	10	24	21	10	23	20	15	23	20	20	21	18	20	21	18		
	AC	10	23	20	10	23	20	10	22	19	15	22	19	20	20	17	20	20	17		
Overlay	HRA	20	23	18	20	23	18	20	22	17	25	22	17	30	21	16	30	21	16		
	SMA	15	22	17	15	22	17	15	21	16	20	21	16	25	20	15	25	20	15		
	AC	10	21	16	10	21	16	10	20	15	15	20	15	20	19	14	20	19	14		
Resurfacing (surface course)	HRA	20	25	20	20	25	20	20	24	19	25	24	19	30	22	17	30	22	17		
	SMA	15	24	19	15	24	19	15	23	18	20	23	18	25	21	16	25	21	16		
	AC	10	23	18	10	23	18	10	22	17	15	22	17	20	20	15	20	20	15		
IMPRINT			42.8			42.8			42.8			42.8			42.8			42.8			
IMPRINT (with			65			65			65			65			65			65			

TableAn 4.1: East Lothian Council Carriageway Renewal Treatments – Lifecycles and Unit Costs

Treatment	Mat	Primary Distributor			District Distributor			Local Distributor			General Access Road			Minor Access Link			Cul-de-sac		
		Life	U	R	Life	U	R	Life	U	R	Life	U	R	Life	U	R	Life	U	R
		(yr)	(£/m ²)		(yr)	(£/m ²)		(yr)	(£/m ²)		(yr)	(£/m ²)		(yr)	(£/m ²)		(yr)	(£/m ²)	
resurfacing (surface course)																			
Micro asphalt (including pre-patching)		5	6.05		5	6.05		5	5.75		5	5.75		5	5.45		5	5.45	
Micro asphalt		5	5.0		5	5.0		5	4.70		8	4.70		10	4.40		10	4.40	
Slurry Surfacing (including pre-patching)														5	3.75		5	3.75	
Slurry Surfacing														5	3.00		5	3.00	
Surface Dressing (Including pre-patching)		7		2.50	7		2.50	7		2.00	10		2.0	10		2.0	10		2.0
Surface Dressing		7		2.00	7		2.00	7		1.5	10		1.5	10		1.5	10		1.5
Carriageway Patching (40mm)	HRA	10	29	28	10	29	28	10	28	27	12	28	27	15	27	26	15	27	26
	SMA	10	28	27	10	28	27	10	27	26	12	27	26	15	26	25	15	26	25
	AC	10	27	26	10	27	26	10	26	25	12	26	25	15	25	24	15	25	24
Carriageway Patching (100mm)	HRA	10	45	44	10	45	44	10	44	43	12	44	43	15	43	42	15	43	42
	SMA	10	44	43	10	44	43	10	43	42	12	43	42	15	42	41	15	42	41
	AC	10	43	42	10	43	42	10	42	41	12	42	41	15	41	40	15	41	40
Carriageway Retexturing		5	2.50		5	2.50		5	2.30		5	2.30		5	2.20		5	2.20	
High Friction Surfacing (Anti-skid)		5	19	18	5	19	18	5	18	17	7	18	17	10	17	16	10	17	16
High Friction (Anti-skid)		5	43	42	5	43	42	5	42	41	7	42	41	10	41	40	10	41	40
Edge Reconstruction		40	110	105	40	110	105	40	101	96	50	101	96	60	91	86	60	91	86
Edge Recycling					40		70	40		70	50		70	60		70	60		70
Block Paving (Renewal)															55			55	
Block Paving (Reconstruction)															95			95	

REPORT: Policy and Performance Review Committee

MEETING DATE: 12 June 2012

BY: Executive Director (Services for Communities)

SUBJECT: The Monitoring of Roadworks - October 2010 to March 2012

6

1 PURPOSE

- 1.1 To provide details of the performance of Public Utilities/Statutory Undertakers (SU) and their contractors working within East Lothian during Quarters 3 and 4 of 2010/11, and to monitor trends / progress by comparing performance against Quarters 3 & 4 for 2011/12.
- 1.2 To advise the Committee of the results of the ongoing Customer Satisfaction Feedback for road works sites and other projects carried out by in - house and external contractors.
- 1.3 To report on the content of the most recent Annual Performance Review for East Lothian Council as issued by the Scottish Road Works Commissioner on 26 January, 2012.

2 RECOMMENDATIONS

- 2.1 To note the content of the report and the action points in response to the Scottish Road Works Commissioner's Performance Review.

3 BACKGROUND

3.1 Public Utilities/Statutory Undertakers (SU) Performance – Site Inspections

The relevant information obtained on the performance of the Public Utilities based on site inspections carried out during Quarters 3 and 4 of 2010-11, and comparative information for the same Quarters for 2011/12, is contained in **Appendix 1**.

Site Inspections are carried out by suitably trained and (NRSWA) qualified Road Network Inspectors using the comprehensive Works Inspection Report attached. Feedback from the Inspectors is that

concerns they raise with the SU contacts are rectified promptly, particularly in relation to signing, lighting and guarding on-site, and over-running works are subsequently closed when drawn to the SUs attention, within the specified timescale.

Under the relevant regulatory Code of Practice the intervention level is 80%, so with the majority achieving between 90 & 100%, and the lowest at 87%, performance is satisfactory and no further action required.

3.2 Monitoring of Internal / External Road Contactors

The performance of both internal and external Contractors carrying out site works on behalf of Road Network Management continues to be monitored.

As part of this ongoing process householders and others directly affected by planned works are notified by letter. The notification process advises residents of the anticipated duration of the works, and a contact name and number of the appropriate engineer whereby any aspect of the job may be discussed.

Included with the notification letter, and forming part of the ISO 9001:2008 Quality System accreditation requirements, is a feedback questionnaire containing eight questions seeking their opinion on the advance notification of the works and the safety, efficiency and expediency of the work on site. Respondents rate the scheme using nine categories from very satisfied to very dissatisfied. Additional comments can also be added.

During 2011/12 feedback on some 113 projects was received via this process. Feedback has been received on a diverse range of projects, including carriageway resurfacing works, footway resurfacing works, the installation of new pelican crossings & traffic signals, drainage improvement works, road safety improvements, footway & carriageway improvement works, and the installation of new street lighting.

95% of the responses received indicated that respondents are either very satisfied or satisfied with the standard of work undertaken, and only 5% are either dissatisfied or very dissatisfied. During 2009/10 these figures were 91 and 9% respectively, based on 103 projects.

Appendix 2 shows a graphical representation of the 2011/12 results.

3.3 2010 National Coring Programme – Road Reinstatements by Statutory Undertakers

The most recent Scotland-wide coring programme was carried out in 2010, the seventh national coring programme to be undertaken jointly by all 32 Councils in Scotland, in collaboration with the SU organisations and with the support and involvement of the Scottish Road Works Commissioner(SRWC). The results were published in August 2011.

32 core samples were taken in East Lothian. The locations were selected at random from SU trench and other reinstatements that became permanent between 1 January and 31 December 2010. 150mm diameter cores are extracted so that the top surfacing layers can be measured, assessed and analysed.

Of the 32 cores extracted and checked, 28 complied with the required standards for material type(s) used and specified material layer thickness, therefore an 88% pass rate overall. The 2008 East Lothian pass rate was 68%.

2010 Breakdown as follows (2008 pass rate in brackets):

BT Open Reach – 5 cores taken, 3 failed = 40 % pass rate (60%)

Energetics - 5 cores taken, 4 passed, =80% (n/a)

Scottish Power – 6 cores taken, all passed, = 100% pass rate (66%)

Scottish Water – 8 cores taken, all passed, = 100% pass rate (75%)

Scotland Gas Networks – 8 cores taken, all passed, = 100% pass rate (71%).

For information the 2006 coring programme pass rate in East Lothian was 47% - therefore a significant and welcome trend upwards in the two sets of results to date. However, the Commissioner had suggested a pass rate of 80% was the target and expected Councils to write to any Undertaker failing to achieve this in any individual Council area and BT Openreach has been asked to provide an improvement action plan.

The Roads Authorities and Utilities Committee for Scotland (RAUCS) has agreed that the next coring programme will be carried out this year with the results announced in the summer of 2013 and the SRWC has advised he expects a pass rate of 90%.

3.4 Roadworks Offences – Fixed Penalty Notices (FPNs)

East Lothian Council started issuing FPNs for offences committed under the New Roads & Street Works Act, 1991(NRSWA) and also the Roads (Scotland) Act,1984(RSA) in 2009. Currently, East Lothian Council is one of only 10 Roads Authorities throughout Scotland processing FPNs.

By 30 September 2011, a summary of both NRSWA & RSA FPNs issued was as follows (relevant figures for the period to the end of December 2009, are shown in brackets, for comparison): -

- 223 NRSWA FPNs have been accepted for payment (69)
- A further 21 NRSWA FPNs are currently being considered by the respective SU organisations. (15)
- 31 FPNs were initially declined but remain subject to further review / discussion. (16)
- 7 RSA FPNs have been issued and paid (30)

The Fixed Penalty Notice charge (£120, discounted to £80 for prompt payment) is fixed by the Scottish Ministers and the full amount covers the costs incurred by the Council in inspecting, checking and administering the process for an individual FPN.

3.5 The Scottish Road Works Commissioner (SRWC)

Since his appointment in 2007 the Scottish Road Works Commissioner has been working with representatives from Scottish Councils and statutory undertakers to develop a suite of indicators that will measure various aspects of the performance of both roads authorities and the main public utility organisations in relation to the way they are coordinating works and entering and exchanging information using the centralised electronic Scottish Road Works Register (SRWR). The data collection for the indicators commenced on 1 October 2008.

The Commissioner's current Performance Review Form relates to the period between October 2010 and September 2011, with roads authorities' performance monitored in four main areas:

1. Noticing activity & fixed penalty notices
2. Management & timing of works
3. Gazetteer submissions
4. Attendance at Area RAUC (S) meetings.

A summary of the Commissioner's Review Report for East Lothian for 2010/11 is as follows:

Commissioner's Comments (noticing activity)

- Works entered, completed and categorised would appear to be broadly in line with similar roads authorities and in comparison with similar sized roads authorities East Lothian Council **has a high compliance rate** with regard to placing notices on to the SRWR.

Commissioner's Comments (noticing failures)

- I consider that East Lothian has over the year generally performed at or about the average for a roads authority, but I would hope to see an improvement over the next twelve months.
- My expectation is that roads authorities issuing FPNs should be performing at least as well as the average rate for SUs and I note that your (ELC) noticing failure rate is currently comparable with the average SU failure rate.

Commissioner's comments (management & timing of works) -

- The percentage of early starts is high. Over-reliance on early starts may indicate a lack of forward planning, or an abuse of the requirement for advance noticing.
- The number of late starts and works overruns is generally close to the roads authority current average but continue to review this aspect of using the Register
- As the number of works extensions has been higher than the roads authority current average. You should review your procedure to ensure that the works periods entered better reflect the actual time periods
- The number of works awaiting closure is relatively low and needs no attention at present.

Commissioner's comments (gazetteer submissions) –

The commissioner wants to be assured that roads authorities' street gazetteers are accurate and up to date. East Lothian Council's last submission was successful, and the Commissioner would wish for this to continue.

Commissioner's comments (Area RAUC (S) meetings attended) –

The Commissioner wishes to ensure that all roads authorities participate at Area RAUC (S) meetings and so that they remain abreast of current issues. The Commissioner is pleased to note East Lothian's 100% attendance at Area RAUC(S) meetings.

However, the Commissioner asked for an action plan to show how the Council intends to improve on the points of concern raised in his review and this is attached to this Report.

4 POLICY IMPLICATIONS

4.1 None

5 EQUALITIES IMPACT ASSESSMENT

5.1 This report is not applicable to the wellbeing of equalities groups and an Equalities 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 Reports to the former Environment PPRP on 3 May, 2005, 20 September, 2005, 28 February, 2008, 29 September 2009 and the 16 February, 2010.

AUTHOR'S NAME	Brian Cooper
DESIGNATION	Senior Transportation Manager
CONTACT INFO	Ext 7150
DATE	16 May, 2012.

Quarter 3 – 2011/12

Utility	Defect Inspections	Sample Inspections
Open Reach (BT)	3	100% pass rate (11 insps)
SGN (gas)	5	100% (15 insps)
Scottish Water	39	87% (23 insps)
Scottish Power	5	100% (16 insps)

Quarter 4 – 2011/12

Utility	Defect Inspections	Sample Inspections
Open Reach (BT)	10	100% (15 insps)
SGN (gas)	26	100% (19 insps)
Scottish Water	112	96% (26 insps)
Scottish Power	3	100% (12 insps)

Income generated from the inspection regime for Quarter 3 & Quarter 4 – 2011/12 is as follows: -

Sample inspections = £3392

Defect inspections = £608

A direct comparison against the results for Quarter 3 & Quarter 4 – 2010/11 reveals the following: -

Quarter 3 – 2010/11

Utility	Defect Inspections	Sample Inspections
Open Reach (BT)	20	100% pass rate (16 insps)
SGN (gas)	16	100% (37 insps)
Scottish Water	84	94% (16 insps)
Scottish Power	0	100% (12 insps)

Quarter 4 – 2010/11

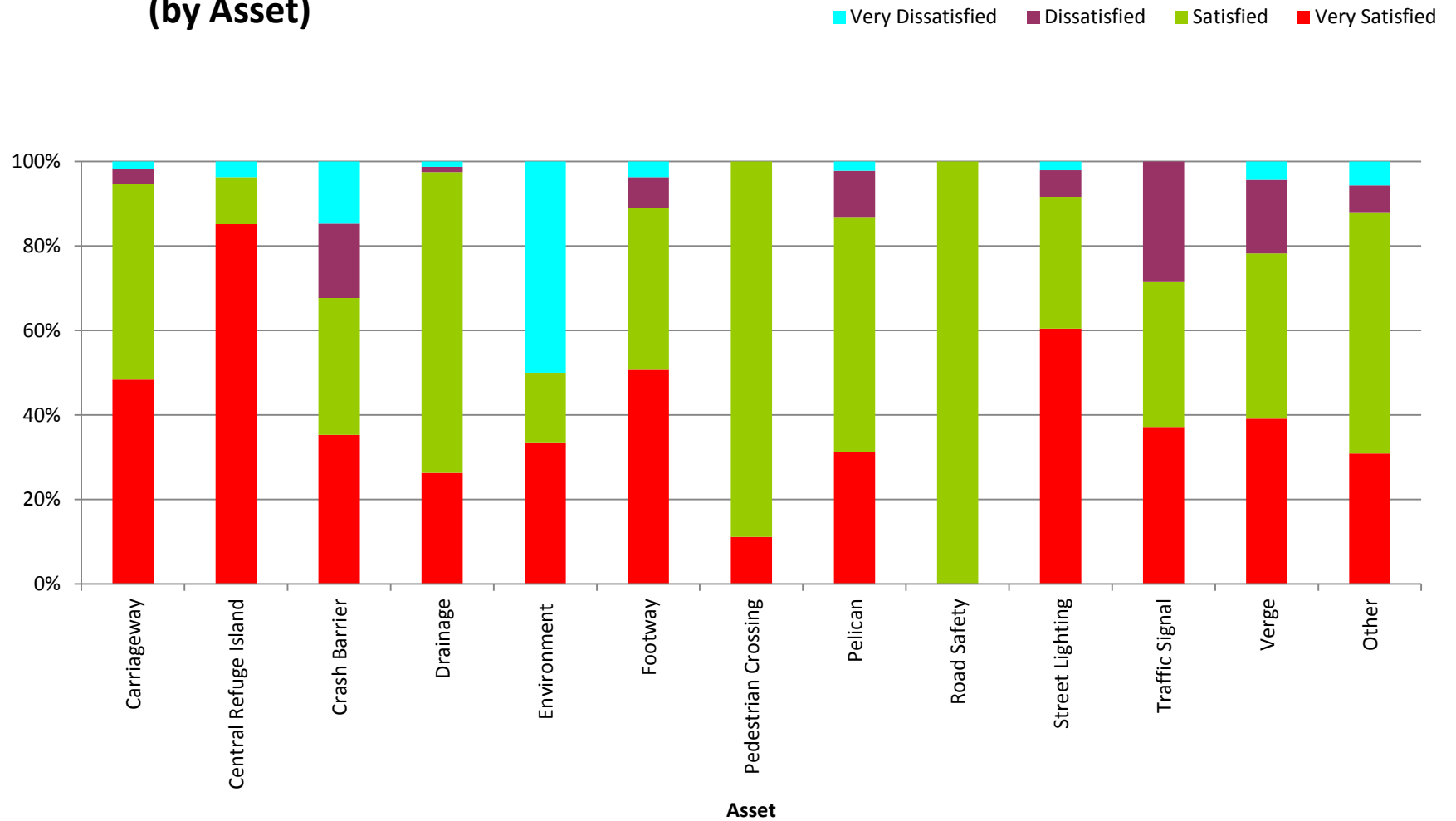
Utility	Defect Inspections	Sample Inspections
Open Reach (BT)	29	100% (15 insps)
SGN (gas)	10	98% (60 insps)
Scottish Water	103	91% (44 insps)
Scottish Power	1	96% (28 insps)

Income generated from the inspection regime for Quarter 3 & Quarter 4 – 2010/11 is as follows: -

Sample inspections = £4092

Defect inspections = £1023

Overall Response Results (by Asset)



WORKS INSPECTION REPORT



Undertaker:

Location:

SRWR LA Ref:

Routine Inspection Third Party Inspection
 Investigatory Works
 Dangerous Non Dangerous

Cause for Failure	Incorrect Equipment	Acceptable	Not Acceptable	Not seen / Not applicable
Signing/Guarding/Lighting				
Signs	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Distance	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Safety Zone	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Barriers	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Traffic Control	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Pedestrian Control	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Other	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Excavation		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Backfill & Reinstatement				
Apparatus Surround		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Material		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Compaction		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Sub-base		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Base		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Binder Course		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Surface Course		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Profile & Structure				
Edge Depressions		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Edge Cracking		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Surface Depressions		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Crowning		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Texture Depth		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Surface Regularity		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Structure		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
As Laid Profile		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Other		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

Further Comments

Name:

Signature:

Date:

Time: