

REPORT TO: East Lothian Council
MEETING DATE: 28 August 2012
BY: Chief Executive
SUBJECT: Assurance and Improvement Plan Update 2012-2015

2

1 PURPOSE

- 1.1 To inform Council of the Assurance and Improvement Plan Update 2012-2015 provided by Audit Scotland.

2 RECOMMENDATIONS

- 2.1 Council is asked to welcome the Assurance and Improvement Plan Update 2012-15 and to request that the Chief Executive keeps the Council updated on any on-going monitoring of Areas of Uncertainty (see para 3.12) by the Auditor and Local Area Network.

3 BACKGROUND

- 3.1 Audit Scotland works closely with other local government inspectorates in a Local Area Network (LAN) of local audit and inspection representative. The LANs undertake a shared risk assessment process for all 32 local authorities, to identify targeted, risk-based scrutiny. This process results in each council receiving an Assurance and Improvement Plan each year which sets out the scrutiny activity that the Council can expect to take place over a rolling three-year period. The first Assurance and Improvement Plan, which were published in July 2010, covered the period from April 2010 to March 2013; the second Assurance and Improvement Plans for the period April 2011 – March 2012 were published in May 2011. The next and current Assurance and Improvement Plan, covering April 2012 to March 2015, was published in May 2012.
- 3.2 The update process which began in November 2011 drew on evidence from various sources, including:

- The annual report to the Controller of Audit and elected members for 2010/11 from the Council's appointed external auditors.
 - The Council's own performance data, discussion with senior Council officers and the council's self-evaluation evidence.
 - Evidence gathered from Education Scotland, the Care Inspectorate and the Scottish Housing Regulator (including published inspection reports and other supporting evidence).
- 3.3 Based on this review, the LAN has produced the Assurance and Improvement Plan Update 2012-15 (see Appendix 1) which it considers reflects an appropriate level of scrutiny based on the risks identified.
- 3.4 The narrative to the plan includes a summary of any areas where risk assessments have changed since the last Assurance and Improvement Plan together with the impact on the scrutiny plan. It also includes an assessment of areas of on-going risks and uncertainties as against national risk priorities identified by the Scottish Government. Lastly, it includes a review of planned audit and inspection activity 2012-2015.
- 3.5 The key conclusion of the Assurance and Improvement Plan is that *"there are no significant concerns about East Lothian Council's overall performance. The LAN recognises the Council's ongoing commitment to continuous improvement and self-evaluation. There is a clear vision and direction for the work of the council and a number of improvement activities are already underway and progressing well."*
- 3.6 The possibility of a full Best Value Audit was identified in the first Assurance and Improvement Plan of 2010. This was to focus on scrutiny risk areas, particularly in Corporate Services. However, the Annual Audit over the last two years has identified that the council has made effective progress on many areas within Corporate Services. This meant that the Best Value Audit was not held in 2011 and the scrutiny plan presented in the Assurance and Improvement Plan Update 2012-2015 does not include any plans to carry out a Best Value Audit.
- 3.7 The Assurance and Improvement Plan recognises the work that has been done to embed self-evaluation across the Council through the use of the *How Good is our Council?* framework and that the Council continues to build management expertise and capacity through its 'Challenge for Change' programme. The Assurance and Improvement Plan concludes that there continues to be very strong commitment from officers and members to improving the work of the council although there remains the need to develop a common approach to challenge and improvement.
- 3.8 Significantly the LAN found *No Significant Risks* related to the three national risk priorities that have been applied to all 32 councils.
- *The protection and welfare of vulnerable people (children and adults) including access to opportunities: The council is strongly committed to the protection and welfare of vulnerable people.*

- *Assuring public money is being used properly: The council is making good progress and continues to ensure that improving use of resources is at the core of their work.*
 - *How councils are responding to the challenging financial environment: East Lothian Council will face significant financial challenges over the next three years. The council recognises the challenging financial environment it is facing. It has responded positively by setting a three year budget that it believes is sustainable and also by continuing to increase its financial reserves over the last three years.*
- 3.9 The Assurance and Improvement Plan considers 38 areas of scrutiny risk assessment specific to East Lothian Council. Each area is given one of three risk assessments, in descending order of risk: Operational Scrutiny Risk; Area of Uncertainty; No Significant Risk.
- 3.10 The 2011 Assurance and Improvement plan assessed 5 of these areas as being areas with Operational Scrutiny Risk; 3 were assessed as Areas of Uncertainty; and, 30 were given a No Significant Risk status.
- 3.11 The 2012-2015 Update has assessed 0 areas as being areas of Operational Scrutiny Risk; 3 areas as Areas of Uncertainty; and the remaining 35 areas were given a No Significant Risk status.
- 3.12 The three Areas of Uncertainty identified in the Update are:
- Corporate Services
 - Challenge and improvement
 - Use of resources – asset management.
- 3.13 These three areas will be the focus of ongoing monitoring by the Auditor and the LAN.

4 POLICY IMPLICATIONS

- 4.1 The Assurance and Improvement Plan Update 2012-15 provides the Council with the LAN's assessment of areas of risk that will be subject to specific scrutiny activity. It recognises the Council's on-going commitment to continuous improvement and developing self-evaluation. The Assurance and Improvement Plan Update provides the Council with an indication of areas where the Local Area Network expects improvement work to be targeted in order to meet the identified risks. It will assist in service planning and in supporting the development and implementation of the Council's Improvement Framework.

5 EQUALITIES IMPACT ASSESSMENT

- 5.1 This report is not applicable to the well being of equalities groups and 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 Appendix 1: East Lothian Council, Assurance and improvement Plan Update 2012-15

AUTHOR'S NAME	Paolo Vestri
DESIGNATION	Corporate Policy Manager
CONTACT INFO	pvestri@eastlothian.gov.uk Tel: 01620 827320
DATE	31 July 2011

East Lothian Council

Assurance and Improvement Plan Update

2012–15

Introduction

1. The first Assurance and Improvement Plan (AIP) for East Lothian Council was published in July 2010. That document set out the planned scrutiny activity for the council for the period April 2010 to March 2013 based on a shared risk assessment undertaken by a local area network (LAN) made up of representatives of all of the main local government audit and inspection agencies.
2. The aim of the shared risk assessment process was to focus scrutiny activity where it is most needed and to determine the most proportionate scrutiny response over a three year period. The AIP gave an overview of the information that informed the risk assessment and showed how this links to the proposed scrutiny response.
3. The LAN met again in November 2010 to update the AIP for the period 2011-14. The AIP Update was published in May 2011.
4. This report is the result of the shared risk assessment which began in November 2011. The update process drew on evidence from a number of sources, including:
 - The annual report to the Controller of Audit and elected members for 2009/10 from the council's appointed external auditors.
 - The council's own performance data, discussion with senior council officers and the council's self-evaluation evidence.
 - Evidence gathered from Education Scotland, the Care Inspectorate and the Scottish Housing Regulator (SHR) (including published inspection reports and other supporting evidence).
5. The outcomes of that exercise are contained in this short report which summarises changes to risk assessments and proposed scrutiny responses. Appendix 1 to this report sets out a timetable for proposed audit and inspection activity between April 2012 and March 2015 which reflects the revised and updated scrutiny risk assessment.

Summary

6. There are no significant concerns about East Lothian Council's overall performance. The LAN recognises the council's ongoing commitment to continuous improvement and self-evaluation. There is a clear vision and direction for the work of the council and a number of improvement activities are already underway and progressing well.
7. There have been a number of significant changes in East Lothian Council this year. A new chief executive was appointed in August 2011, replacing the previous post holder who had held this office for three years. The new chief executive was previously employed by Clackmannanshire Council. She has a good understanding of the work of the council and her transition in to this new role has been smooth. It is too early to determine the impact of this appointment on the work of the council. In addition, the council has continued to explore and develop shared services across education and children's services, in partnership with Midlothian Council. Progress has been made in developing workstreams that bring together staff from both councils to take forward this work. Elected members from both councils approved the work undertaken to date in November 2011. The two councils will now look to appoint a new joint head of service early in 2012 and both councils will share a director of education and children's services from March 2012 on a temporary basis. However, there remains further work to be done. The LAN will review the possibility of scrutiny work relating to shared services by Education Scotland and Audit Scotland in 2013-14.
8. The possibility of a Best Value Audit was identified in the first AIP of 2010. This was to focus on scrutiny risk areas, particularly in Corporate Services. However, the Annual Audit over the last two years has identified that the council has made effective progress on many areas within Corporate Services. This meant that the Best Value audit was not held this year. The Annual Audit 2011 has identified that improvement has continued although there remain areas of uncertainty such as Corporate budget setting, challenge and improvement and use of assets. After discussion with Audit Scotland and the LAN, it was agreed that these areas will be a focus for ongoing monitoring by the Auditor and the LAN.
9. East Lothian Council continues to build management expertise and capacity through its 'Challenge for Change' programme. There continues to be very strong commitment from officers and members to improving the work of the council although there remains the need to develop a common approach to challenge and improvement. The council continues to extend and embed its approach to corporate self-evaluation through the use of *How good is our council?*

National risk priorities

10. A number of core national risk priorities will be applied to all 32 councils. These are:
 - **The protection and welfare of vulnerable people (children and adults) including access to opportunities: No significant risks.** The council is strongly committed to the protection and welfare of vulnerable people. The LAN has not identified any significant scrutiny risks for the council for this

national risk priority. The 2011 Inspection of Services to Protect Children and Young People, found that the majority of indicators were very good or good. The council have prepared a detailed action plan to address the few areas for improvement identified in the 2011 report. With regard to vulnerable adults, the Care Inspectorate Initial Scrutiny Level Assessment (ISLA) of October 2011 found there were no significant concerns relating to areas such as management and support of staff, assessment and care management, risk assessment management, self-evaluation, and compliance with equality legislation. No significant difficulties are currently reported in respect of regulated services that are run by East Lothian Council. In adult social care, the council has improved its performance for all indicators compared with the previous year. Nevertheless, areas of concern have been identified. As part of the national risk priorities from 2011-12, the Care Inspectorate will carry out further scrutiny in early 2012. The Care Inspectorate ISLA, identified three main areas of concern: governance and finance, outcomes for service users particularly the educational outcomes for young people who are looked after and looked after and accommodated and in adult social work and partnership working with the NHS.

- The SHR undertook on-site activity in January/February 2012 with a particular focus on Asset management and the council's progress towards achieving Scottish Housing Quality Standard (SHQS), to address the council's approach to homelessness and its ability to meet the 2012 homeless target. This work is carried over from the previous plan and was agreed by the council and the LAN. The SHR will also undertake a Housing Benefit audit in late 2012.
- The council's approach to developing a shared approach to the strategic management of its education services with Midlothian Council continues to present the opportunity to strengthen capacity and improve services to vulnerable groups. The process of managing change carries with it important risks and whilst at a strategic level the council are aware of this and managing jointly, the impact on staff and on service users remains uncertain. The progress of shared services work undertaken at this point in time does not warrant specific new scrutiny work in 2012-13. The LAN will continue to work with the council to maintain an overview of these areas and may undertake scrutiny in 2013-14. The Care Inspectorate and SHR will continue to be involved in monitoring progress from recent scrutiny.
- **Assuring public money is being used properly: No significant risks** The council is making good progress and continues to ensure that improving use of resources is at the core of their work. The Annual Audit found that ongoing improvements have been made. For example, strengthening the challenge and scrutiny aspects have been key developments. The council is well placed to continue to develop its approaches in assuring public money is being used properly. KPMG, the council's appointed auditors will continue to assess progress in this area as part of the annual audit programme.
- **How councils are responding to the challenging financial environment: No significant risks** All councils continue to face significant financial challenges in the ongoing economic climate and this is likely to increase in the next few years. East Lothian Council will face significant financial challenges over the next three years. The council recognises the challenging financial environment it is facing. It has responded positively by setting a three year budget that it believes is sustainable and also by continuing to increase its financial reserves over the last three years. The Audit Scotland report to

members of October 2011 found that the council has sound budget setting and financial monitoring processes and is well placed to meet future challenges.

11. The LAN is committed to maintaining its engagement with the council between now and the next SRA/AIP refresh so that we can retain an overview of how the council is managing its response to the significant financial challenges that it and all other Scottish public bodies face.

Areas of unchanged scrutiny risk assessments

12. The following comments relate to issues where perceived risks in the council's processes and activities remain unchanged since the 2011/12 AIP Update. This update focuses predominantly on those areas assessed as being uncertain or having significant risk. However, in the interest of providing a broader view of council's overall risk assessment, it is important to highlight those areas that were previously assessed as having no significant risks which, based on additional evidence in the current year, continue to be so.

Area	R/A/G	2011/12 Update
Environment <ul style="list-style-type: none"> • Planning team • Transport • Waste services • Building standards • Food safety • Trading standards • Environmental protection 	No Significant Risks	<p>Positive progress in maintaining and improving standards drawn from evidence:</p> <p>Development services -The council are better than the Scottish average for processing planning applications within the target time.</p> <p>Roads & Lighting - The council's road network is improving, which is good and shows investment. There will be a follow up work on roads in 2012.</p> <p>Waste management - Kerbside dry recycling has increased. High costs of collection, but the council has reported disposal costs lower than the Scottish average</p>
We live in a Scotland that is the most attractive place for doing business in Europe.	No Significant Risks	<p>Positive progress in maintaining and improving standards in this area drawn from evidence:</p> <p>East Lothian Council is equal to or better than the national average in over 60% of the SOA measures.</p> <p>Full year overview 2010/2011: The average number of businesses surviving over 12 months to March 2011 is 73%.</p> <p>East Lothian's number of business start-ups per 10,000 population have been higher than the national average for the last three years.</p>
We realise our full economic potential with more and better employment opportunities for our people.	No Significant Risks	<p>Positive progress in maintaining and improving standards in this area drawn from evidence:</p> <p>Three out of 5 SOA targets met. Of the 2 that were not met, both are showing positive trends over the last three years</p> <p>There has been an increase in positive destinations for school leavers of 0.7% since last year and an increase of 3.4% over the last two years. This is still below the national average</p>
We are better educated, more skilled and more	No Significant Risks	<p>Positive progress in maintaining and improving standards in this area drawn from evidence:</p>

Area	R/A/G	2011/12 Update
successful, renowned for our research and innovation.	Risks	East Lothian Council is performing well in the smarter outcome indicators with attainment that is better than the Scottish average. The council's Integration team continues to address exclusion levels of looked after and looked after and accommodated young people.
Our young people are successful learners, confident individuals, effective contributors and responsible citizens	No Significant Risks	Positive progress in maintaining and improving standards in this area. Recent school inspection reports continue to show a positive picture of children and young people achieving very well and schools which have a strong focus on the successful implementation of Curriculum for Excellence.
Our children have the best start in life and are ready to succeed	No Significant Risks	Positive progress in maintaining and improving standards in this area with almost all targets met. The proportion of newborn children breastfed at 6-8 weeks has continued to improve The Educational Psychological Service is improving the quality and consistency of its services to stakeholders and that they are working well with the link inspector. The service has a sound understanding of their strengths and areas for development
We live longer, healthier lives.	No Significant Risks	Positive progress in maintaining and improving standards in this area. Slight increase in healthy living activities in 2011 and increase in gym and swimming pool numbers. The rate of both alcohol and drug related hospital admissions per 1,000 population has dropped significantly.
We have tackled the significant inequalities in Scottish society.	No Significant Risks	Positive progress in maintaining and improving standards in this area. The Care Inspectorate ISLA found that East Lothian social work services strived to comply with equality legislation. East Lothian continues positive work relating to adult literacy and numeracy in recent learning community reports.
We have improved the life chances for children, young people and families at risk	No Significant Risks	Positive progress in maintaining and improving standards in this area and a positive Child Protection inspection in 2011.
We live our lives safe from crime, disorder and danger.	No Significant Risks	Positive progress in maintaining and improving standards in this area highlighted in publication of Best Value audit of Lothian & Borders Fire and Rescue in early 2012. This was a positive report.
We have strong, resilient and supportive communities where people take responsibility for their own actions and how they affect others.	No Significant Risks	Positive progress in maintaining and improving standards in this area. Recent learning community inspections highlight community capacity building activities as very good. There are high levels of volunteering and active community councils. The number of East Lothian primary schools gaining the Rights Respecting Schools Award is increasing
We value and enjoy our built and natural	No Significant	Positive progress in maintaining and improving standards in this

Area	R/A/G	2011/12 Update
environment and protect it and enhance it for future generations.	Risks	area. Increase in proportion of municipal waste that is recycled and decline in bio-degradable waste going into landfill Increase to 95% of East Lothian primary schools with one Eco-Schools Scotland green flag award
Our public services are high quality, continually improving, efficient and responsive to local people's needs.	No Significant Risks	2011 Residents Survey that public opinion about quality of ELC services, value for money etc has shown a marked increase in approval ratings since 2009.
We take pride in a strong, fair and inclusive national identity.	No Significant Risks	The Single Outcome Agreement performance monitoring shows a decline in museum attendance. However, this is due to two local museums being closed for refurbishment
Partnership working and community leadership	No Significant Risks	East Lothian Community Planning Partnership (ELCPP) has delegates from public, private and voluntary organisations and county forums. Recent inspections by Education Scotland found positive results with regard to community leadership and partnership working East Lothian Council and Midlothian Council have continued to develop their approaches to sharing services in education. There is still uncertainty over the outline structure, governance and personnel in terms of impact
We reduce the local and global environmental impact of our consumption and production.	No Significant Risks	Positive progress in maintaining and improving standards in this area. Increase in priority habitats and species benefiting from active management. Increase in East Lothian Fair Trade grants and businesses
Vision and strategic direction	No Significant Risks	Positive progress in maintaining and improving standards. The new chief executive has a good understanding of the council and has experience from her previous role in shared services. The council has well established priorities and has a strong focus on continuous improvement.
Leadership and culture	No Significant Risks	Positive progress in maintaining and improving standards in this area. The chief executive and strategic management are actively extending a corporate culture based upon continuous improvement and the How Good is Our Council? work is developing this approach across the corporate body.
Planning and resource alignment	No Significant Risks	Positive progress in maintaining and improving standards in this area. The council continues to improve its capacity for change by the ongoing development of management expertise through the "Challenge for Change" transformation programme.
Use of resources - competitiveness	No Significant Risks	Positive progress in maintaining and improving standards in this area. The council has responded proactively by setting a three year budget. The council has also increased its reserve levels in the last three financial years. Close budget monitoring and a recent selective staff recruitment freeze have contributed to this positive position.

Area	R/A/G	2011/12 Update
Community engagement	No Significant Risks	<p>Positive progress in maintaining and improving standards in this area. The council are producing a Corporate Consultation and Engagement Strategy.</p> <p>The council is also carrying out engagement work in Education and Children's Services to engage with children, young people and parents to ensure their voices are heard and taken into account better.</p>
Governance and accountability (including public performance reporting)	No Significant Risks	<p>Positive progress in maintaining and improving standards in this area. A transformational leadership programme was delivered and is now expanded. Further training for new managers is being developed. The 2011 Annual Audit report noted that Audit and Governance Committee is well attended and in overall terms its remit and working practices are in accordance with good practice principles</p>
Performance management	No Significant Risks	<p>Positive progress in maintaining and improving standards in this area.</p> <p>The 2011 Annual Audit report noted that Aspireview is being used throughout the council to monitor performance, which is reported quarterly at member's performance briefings and bi-monthly on an exception basis to the Policy and Performance Review Committee (PPRC). This enables members and officers to focus their attention on areas where improved performance is required. Performance reports are also submitted to the Corporate Management Team and Divisional Management teams.</p> <p>The 2011 Audit report noted that Policy and Performance Review Committee (PPRC) is well attended and in overall terms its remit and working practices are in accordance with good practice principles.</p>
Customer focus and responsiveness	No Significant Risks	<p>Positive progress in maintaining and improving standards in this area. In 2010/11, a total of 25 Statutory Performance Indicators (SPIs) were required and these show that performance has continued to improve</p>
ICT	No Significant Risks	<p>Positive progress in maintaining and improving standards in this area. Currently the council is refreshing its ICT strategy for the period 2011-2014. The ICT strategy will focus on four major elements: people, data management and security, process and technology</p>
Use of resources – efficiency	No Significant Risks	<p>Positive progress in maintaining and improving standards in this area through 'Challenge for Change' programme.</p>
Use of resources – managing people	No Significant Risks	<p>Positive progress in maintaining and improving standards in this area through 'Challenge for Change' programme.</p>
Use of resources - procurement	No Significant Risks	<p>Positive progress in maintaining and improving standards in this area. The council has made progress since previous AIP. The Annual Audit report of 2011 found that the Procurement Capability Assessment (PCA) carried out on the council in November 2010 showed increasing level of conformity from 19% to 26%. A need to</p>

Area	R/A/G	2011/12 Update
		improve performance measurement is still required.
Equalities	No Significant Risks	Positive progress in maintaining and improving standards in this area. East Lothian has increased its commitment to raise the profile of equalities issues. It has improved the numbers of equalities related programmes across a number of areas relating to health, skills, disabilities and poverty and also participant numbers.
Sustainability	No Significant Risks	Positive progress in maintaining and improving standards in this area. The ecological footprint of East Lothian residents reduced by 11% to 4.78 global hectares per capita (SEI 2010). As a measure of biodiversity, the number of priority habitats benefiting from active management increased by 23.

Changes to 2011/12 risk assessments

13. The following table relates to risk assessments that have been changed from the 2011/12 AIP Update.

Area	2011/12 Risk Assessment	2012/13 Risk Assessment	Reason for Change
Corporate Services <ul style="list-style-type: none"> Information technology & financial services Customer services Revenue & benefits services Human resources/OD Accounting Budgeting Supplier management Bank management Payroll Insurance Legal & licensing 	Significant concerns and risks	Area of Uncertainty	The 2011 Annual Audit report found that on a number of areas designated under Corporate Services the council was making progress. For example, a three year budget, has now been set. The council has made initial progress in establishing a corporate asset register, but whole life costings for assets or common option appraisal are not yet established. It is not yet possible to measure the impact of this development and this aspect remains an area of uncertainty. This will remain an area of ongoing monitoring by the LAN and KPMG.
Education & Children's Services Education and social work services for children and families	Area of Uncertainty	No Significant Risks	East Lothian services to protect children received a very positive Child Protection report in 2011 with all evaluations at Good or above. The majority of attainment trends remain positive. The council is seeking to improve the attainment of looked after and looked after and accommodated young people. This will remain an area of monitoring for the LAN and for ongoing discussion with the council
Community Services <ul style="list-style-type: none"> Adult social care with care homes and day centres Social work services and 	Area of Uncertainty	No Significant Risks	Whilst positive progress has been made within some areas of Community Services there remain areas for continued improvement. These are: <ul style="list-style-type: none"> In Adult social work, scrutiny activity in January 2012 that was continued from the

Area	2011/12 Risk Assessment	2012/13 Risk Assessment	Reason for Change
occupational therapists Community housing & property management: <ul style="list-style-type: none"> • Homelessness services • Council tenancies Community wellbeing: <ul style="list-style-type: none"> • Libraries • Museums • Sports centres • Parks • Play areas • Beach management 			ISLA of October 2011, found there is a improvement in performance across the services to older people and adults indicators. <ul style="list-style-type: none"> • In Housing, staffing issues at ELC prevented the council from completing its self assessment on time and so on-site scrutiny had to be held over till late February 2012. This was in agreement with the LAN lead and ELC. Audit Scotland will undertake an audit of Housing Benefit in late 2012.
We live in well-designed, sustainable places where we are able to access the amenities and services we need	Area of Uncertainty	No Significant Risks	Whilst positive progress has been made within some aspects of housing there remain areas for continued improvement, identified in the Community Services paragraph. These will be addressed in the SHR scrutiny of February 2012 that was postponed from 2011.
Challenge and improvement	Operational – scrutiny risks	Area of Uncertainty	Through staff consultations, a revised How Good Is Our Council? process commenced in autumn 2010. In order for the council to realise any reduction in the burden of external scrutiny, its own self-evaluation must first be considered robust. This will remain an area of ongoing monitoring by the LAN and KPMG.
Risk management	Operational – scrutiny risks	No Significant Risks	Significant progress made in 2010/11 in risk management. It is now a regular part of agenda of management meetings. 'Aspireview' is used effectively to deploy risk management framework
Use of resources – financial management	Operational – scrutiny risks	No Significant Risks	The 2011 Audit report found that the council has strong financial management processes and has been proactive in preparing financial plans; a £7.4m statutory surplus was added to the general fund reserves. This surplus was attributable mainly to savings across service budgets, savings on treasury management and windfall receipts. Increase in General Fund Reserve in 2010/11 by £7.4m to £17.9m. This represents 8.2% of council's annual net expenditure. This is well above level in council's reserves policy of £2m. However, there was still a shortfall of £0.9m in terms of planned use of reserves. This will remain an area for monitoring for the LAN and KPMG
Use of resources – asset management	Operational – scrutiny risks	Area of Uncertainty	The Asset Management Plan approved by council in October 2010, now provides clear strategic direction. However, the impact on council activities is not yet clear. This will remain an area of ongoing monitoring by the LAN and KPMG

Scrutiny plan changes

14. This plan for scrutiny this year encompasses the completion of scrutiny work from 2011 in housing and social work. These scrutiny events are not included within the plan diagram which commences from April 2012.
15. **The Care Inspectorate** plans to carry out scrutiny in January 2012. The on-site scrutiny (15 sessions over three days) will address the three areas of uncertainty – governance and finance, outcomes and partnership working (particularly the strategic partnership between the council and NHS Lothian) for the councils delivery of social work services. This activity arose from the ISLA carried out by the Care Inspectorate in late 2011.
16. **The SHR** undertook on-site activity in February 2012 with a particular focus on Asset management, progress towards achieving SHQS, Homelessness and its ability to meet the 2012 homeless target. This activity is postponed from October 2011.
17. **Audit Scotland and the Auditor** will specifically focus on ongoing monitoring of areas in Corporate Services in relation to challenge and improvement and asset management as identified in the Audit Report to members of 2011. Audit Scotland will also undertake an audit of Housing Benefit in late 2012.
18. **Education Scotland's** District Inspector will work with the Director of Education and the Head of Schools in supporting and challenging East Lothian Council to improve with regard to the exclusions and attainment levels of children who are looked after and looked after and accommodated. In addition, the council will be asked for a report on progress on exclusions and raising attainment of these vulnerable groups by December 2012.
19. Given the ongoing development of shared services and with key personnel now beginning to be appointed. the LAN will continue to monitor progress and will consider carrying out possible scrutiny in relation to the Shared Services agenda across East Lothian and Midlothian Councils in 2013/14.

Scrutiny plans

Scrutiny activity in the shaded rows does not result from the shared risk assessment but is either at the request of the council eg supported self-evaluation or national activity eg national follow-up work or work requested by Ministers.

EAST LOTHIAN COUNCIL		2012-13											
Scrutiny activity year 1		Apr	May	June	July	Aug	Sept	Oct	Nov	Dec	Jan	Feb	Mar
Roads follow up work Date to be confirmed													
Housing Benefit Audit													
		2013-14											
Scrutiny activity year 2		Apr	May	June	July	Aug	Sept	Oct	Nov	Dec	Jan	Feb	Mar
Shared Educational Services with Midlothian (indicative date only)													
		2014-15											
Indicative scrutiny activity for rolling third year	Potential scrutiny bodies involved												
Joint scrutiny between Education Scotland and SHR on links between vulnerable families and educational attainment and exclusion	SHR, Education Scotland												

Footnotes

- The focus of the AIP Update is **strategic scrutiny activity**, that is scrutiny activity which is focused at corporate or whole service level, but there will also be baseline scrutiny activity at unit level on-going throughout the period of the AIP. This will include, for example, school and residential home inspections.
- At the request of Scottish Ministers the Care Inspectorate will lead a **Joint Inspection of Children's Services** in each local authority area in Scotland. These inspections will commence in 2012/13 starting with a development site in April/May 2012 and a cycle of inspection of services for children which will report publicly from Autumn 2012. The selection of local authority areas for inspection will be based on intelligence and risk and take account of the Shared Risk Assessment. LAN leads will be advised in due course.
- In addition, Audit Scotland will be working with scrutiny partners to pilot an approach to assessing the **delivery of outcomes by community planning partnerships**. Pilot sites will be confirmed with the LAN lead in due course.

- Audit Scotland undertake an annual rolling programme of **thematic performance audits**. The fieldwork sites are identified as part of the development of the scope for each individual audit. Fieldwork sites will be confirmed with LAN leads as each audit is developed.
- The **annual audit** of local government also comprises part of the baseline activity for all councils. In April 2008, the Accounts Commission agreed to a request from the Department for Work and Pensions (DWP) to take over the Benefit Fraud Inspectorate's responsibility for inspecting housing and council tax benefit (benefits) services in Scotland. As Audit Scotland has no inspection function, this '**benefits performance audit**' work has been incorporated into the annual audit of local government. The exact timing of the audits will be confirmed through the LAN lead.
- **Education Scotland**, through the District Inspector, will continue to support and challenge Education Services regularly and as appropriate the **Care Inspectorate** will regulate care services and inspect social work services based on the Public Services Reform (Scotland) Act 2010.
- Scrutiny bodies also reserve the right to make unannounced scrutiny visits.

REPORT TO: East Lothian Council
MEETING DATE: 28 August 2012
BY: Chief Executive
SUBJECT: Council Plan 2012 - 2017

3

1 PURPOSE

- 1.1 To present the Council Plan 2012-2017 for approval.

2 RECOMMENDATIONS

- 2.1 Council approves the Council Plan 2012-2017 (Appendix 1).

3 BACKGROUND

- 3.1 Council on 24 January 2012 approved a draft Council Plan 2012-2017 and instructed the Chief Executive to present a final Council Plan 2012-2017 following the May 2012 Council elections. At the first meeting following the May elections the Council agreed that the manifestos of the Administration parties should be reflected within the new Council Plan.
- 3.2 The final draft of the Council Plan brought to the Council for approval establishes a clear vision and sense of purpose for the Council which reflect local needs, the views of local people and national priorities and will secure improved outcomes and continuous improvement. It takes into account, and reflects the commitments made in:
- the Single Outcome Agreement 2011
 - the public sector reform agenda as set out by the Christie Commission
 - the challenges faced by East Lothian and the Council, including the Council financial position, the impact of the recession on East Lothian's economy, East Lothian's growing population and welfare reform
 - the draft Council Plan approved in January 2012
 - the manifestos of the Administration parties.

3.3 The Council Plan states that over the next five years the primary focus for the Council should be to respond to the challenges it faces to enable East Lothian to continue to move towards achieving the ambition as set out in the 2020 Vision, the Single Outcome Agreement and the Administration's manifestos. The Council's aim is to create a prosperous, safe and sustainable East Lothian that will allow our people and communities to flourish.

3.4 To achieve this, the Council Plan establishes four objectives:

- *Growing our Economy – to increase sustainable economic growth as the basis for a more prosperous East Lothian*
- *Growing our Communities – to give people a real say in the decisions that matter most and provide communities with the housing, transport links, community facilities and environment that will allow them to flourish*
- *Growing our People – to give our children the best start in life and protect vulnerable and older people*
- *Growing the capacity of our Council – to deliver excellent services as effectively and efficiently as possible within our limited resources.*

The Council Plan details the actions that will be pursued over the next five years to achieve these objectives.

3.5 Annual reports will be produced to measure progress in achieving the Council Plan objectives.

4 POLICY IMPLICATIONS

4.1 The Council Plan 2012-2017 and creation of a consolidated set of priorities and commitments will assist the Council in ensuring that corporate and service planning is well founded on a clear vision and strategic direction. This will also assist the Council in delivering services in accordance with our statutory Best Value obligations.

5 EQUALITIES IMPACT ASSESSMENT

5.1 An Equalities Impact Assessment has been carried out and no negative impacts have been found.

6 RESOURCE IMPLICATIONS

- 6.1 Financial – there are no immediate financial implications associated with the recommendations made in this report although the Council Plan does contain a number of strategic policy objectives that may well have a financial impact during the next five year period. Where such impact cannot be accommodated within existing approved budgets the action will be the subject of a separate report to Cabinet or Council before implementation. Future budget development work will take into account any financial implications of the Council Plan in accordance with any more detailed implementation timetable that is developed.
- 6.2 Personnel – no direct implications on staffing associated with this report's recommendations although implementation of the Council Plan and its actions may have staffing implications which would be the subject of separate reports.
- 6.3 Other – none.

7 BACKGROUND PAPERS

- 7.1 Corporate Plan 2008-2012
- 7.2 Single Outcome Agreement 2011
- 7.3 Draft Council Plan 2012-2017; report to East Lothian Council, 24th January 2012
- 7.4 Let's Work Together for a Better East Lothian: East Lothian Labour Party 2012 Council Election Manifesto
- 7.5 Appendix B: Putting Local People First: Scottish Conservatives East Lothian 2012 Council Election Manifesto
- 7.6 Administration Manifestos; report to East Lothian Council, 15th May 2012
- 7.7 Appendix 1: Council Plan 2012-2017

AUTHOR'S NAME	Paolo Vestri
DESIGNATION	Corporate Policy Manager
CONTACT INFO	pvestri@eastlothian.gov.uk Ext 7230
DATE	16 th August 2012

**WORKING TOGETHER FOR
A BETTER EAST LOTHIAN**

**The EAST LOTHIAN
COUNCIL PLAN**

2012-17

August 2012

Working Together for a Better East Lothian

The East Lothian Council Plan 2012-2017

Contents	Page
Statement from Chief Executive and Council Leader	2
1. Our Council Plan	3
2. Our Ambition for East Lothian	5
3. Our Challenges	6
4. Our Objectives	12
• Growing our Economy	12
• Growing our Communities	15
• Growing our People	18
• Growing our Council Capacity	20
Appendices	
Appendix 1: Single Outcome Agreement 2011 Outcomes	25
Appendix 2: Key Strategies and Plans	26

STATEMENT from Chief Executive and Council Leader

Our ambition is that East Lothian should be a prosperous, safe and sustainable place with a dynamic and thriving economy that will allow our people and communities to flourish. We are committed to working together with the Council's partners and the people and communities of East Lothian to achieve this ambition.

The Council Plan 2012-2017 is more than a business plan for the Council. It is a document for all of East Lothian's people and communities. Our aim is to clearly set out what the Council plans to do over the next five years and why. The Council Plan sets out our collective ambition for East Lothian and the commitments we make to bring the real differences that will improve the quality of life of East Lothian's residents.

The Council Plan is based on four objectives:

- **Growing our Economy** – to increase sustainable economic growth as the basis for a more prosperous East Lothian
- **Growing our Communities** – to give people a real say in the decisions that matter most and provide communities with the housing, transport links, community facilities and environment that will allow them to flourish
- **Growing our People** – to give our children the best start in life and protect vulnerable and older people
- **Grow the capacity of our Council** – to deliver excellent services as effectively and efficiently as possible.

We are proud of the many services that the Council delivers, and will continually strive to deliver value for your money. But East Lothian and its Council face serious challenges including having less money, more unemployment and a growing population. As demand for quality services rises and resources are restricted we need to provide best value for money – better services at lower cost.

The Council has embarked on a radical improvement programme based on building services around the needs of our people and communities; delivering the most effective, efficient and excellent services possible within the context of reduced resources; working together with partners, communities and the people of East Lothian to achieve agreed outcomes; and prioritising prevention and promoting equality.

The Council Plan will be delivered over the next five years. We will have ongoing dialogue about how it will be delivered so would be very pleased to receive your comments and views.

Councillor Willie Innes
Council Leader

Angela Leitch
Chief Executive

1. Our Council Plan

The East Lothian Council Plan 2012-2017 is an ambitious and aspirational statement setting out what the Council wants to achieve over the next five years.

The Plan has been influenced by the 2020 Vision for East Lothian, the Single Outcome Agreement (East Lothian Community Planning Partnership's plan for the future of East Lothian), and the Council Administration's manifestos, adopted as Council policy in May 2012. It puts these aspirations and commitments into one strategic document that sets the framework and priorities through which the Council will work towards achieving its ambition for East Lothian.

East Lothian faces significant challenges over the coming years, including: the Council's financial position; the impact of the economic recession; the projected growth in population and growing demand for services.

Over the next five years, our primary focus will be to respond to these challenges to enable East Lothian to continue to move towards achieving the ambition as set out in the 2020 Vision, the Single Outcome Agreement and the Administration's manifestos.

The Council's aim is to create a prosperous, safe and sustainable East Lothian that will allow our people and communities to flourish. To achieve this, our Council Plan has four objectives:

- ***Growing our Economy – to increase sustainable economic growth as the basis for a more prosperous East Lothian***
- ***Growing our Communities – to give people a real say in the decisions that matter most and provide communities with the housing, transport links, community facilities and environment that will allow them to flourish***
- ***Growing our People – to give our children the best start in life and protect vulnerable and older people***
- ***Growing the capacity of our Council – to deliver excellent services as effectively and efficiently as possible within our limited resources.***

Our Council Plan details the actions that will be pursued over the next five years to achieve these objectives.

The Council is committed to equal opportunities for all. In pursuing the objectives of our Council Plan, we will meet the general and specific duties set out in the Equality Act 2010, and will have due regard to the need to:

- Eliminate unlawful discrimination, harassment and victimisation
- Advance equality of opportunity
- Foster good relations.

While the Council Plan sets out what the Council will do, the Council has also adopted a set of behaviours called ‘the East Lothian Way’– the key qualities that help provide direction and highlight what is expected of staff across all levels and all areas of the Council.

These key qualities:

focus on service – providing excellent customer service and contributing to improvements in service.

explore the bigger picture – understanding how our daily activities are linked to the vision of East Lothian Council.

initiate solutions – taking personal responsibility and ownership to be effective in our jobs.

share knowledge – demonstrating regular and effective team working.

deliver outstanding results – taking responsibility and seeing tasks through to successful completion.

The Council Plan provides clear direction for Council services and staff on our priorities for the next five years. The detail about what our services are doing, or plan to do, to support the strategic aims and priorities of the Council Plan and the Single Outcome Agreement outcomes (see Appendix 1) is set out in Service Plans and other strategic documents such as the Integrated Children’s Services Plan and the Local Housing Strategy. A list of key Council and partnership strategies is set out in Appendix 2.

Annual reports will be produced to measure progress in achieving the Council Plan objectives.

2. Our Ambition for East Lothian

The 2020 Vision adopted in 2006 sets out the long term ambition for East Lothian.

“In 2020 East Lothian will have an established reputation as having the highest quality of life in the UK and the quality of our environment will be recognised as amongst the best in Europe.

Our dynamic and flourishing economy will support strong, sustainable, safe and inclusive communities where:

- ***the demand for affordable, high standard housing will be met;***
- ***our world class education service will encourage all our children and young people to achieve their full potential; and,***
- ***all our citizens will have access to the highest quality public services and a modern integrated transport infrastructure.***

In 2020 our citizens will be proud to live, learn, work and play in East Lothian.”

East Lothian Council is committed to supporting the East Lothian Community Planning Partnership and its plan for the future of East Lothian, the Single Outcome Agreement 2011. The Council is committed to achieving the outcomes set out in the Single Outcome Agreement and to the Partnership’s Statement of Intent.

“We will work in partnership to build an East Lothian where everyone has the opportunity to lead a fulfilling life and which contributes to a fair and sustainable future for Scotland and the wider world.”

The manifestos of the Scottish Labour Party and Scottish Conservatives that form the Council Administration were adopted as Council policy in May 2012. The commitments made in the manifestos are summarised as:

“To create a prosperous, safe and sustainable East Lothian where its people and communities can flourish.”

Our Council Plan 2012-2017 sets out how we will work to achieve the ambition and aspirations of East Lothian’s 2020 Vision, the Single Outcome Agreement and the Council Administration.

3. Our Challenges

Our Council Plan has been developed within the context of major challenges faced by East Lothian's Council and our communities. These challenges have been a major factor in determining the Plan's priorities.

Less money

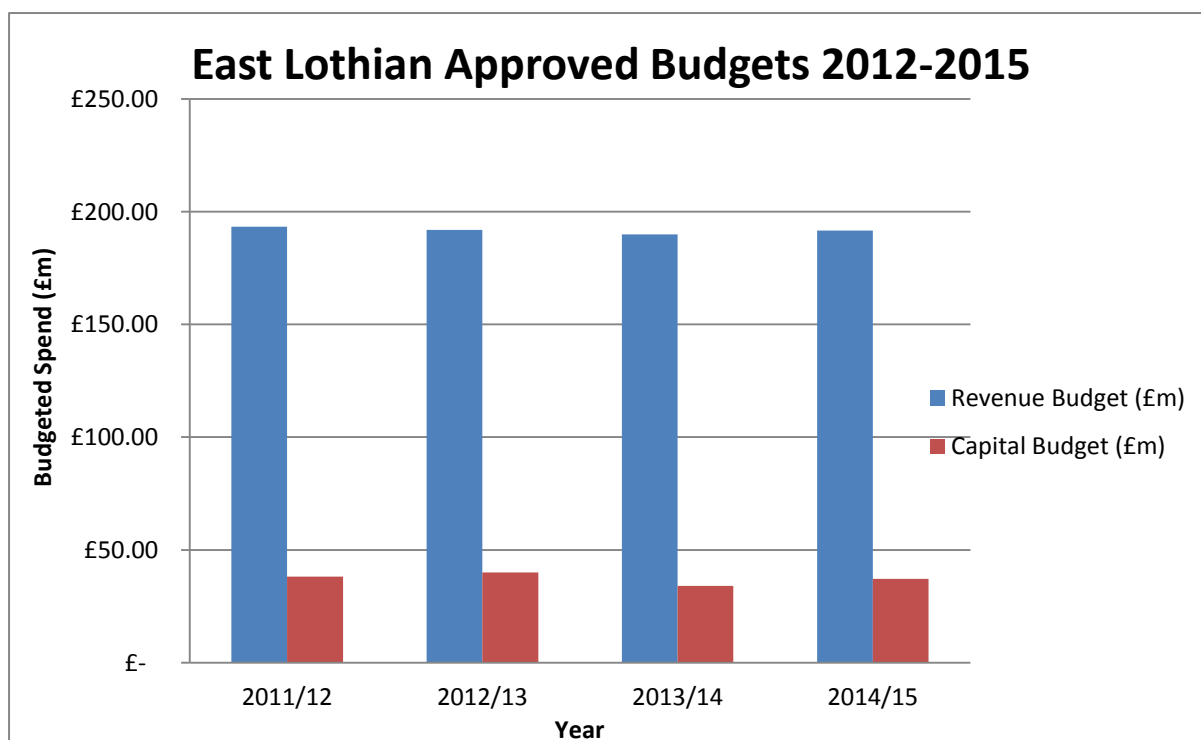
In common with all public organisations, East Lothian Council is facing significant financial challenges over the period covered by this plan.

The financial challenges facing us come in three main areas.

Firstly, the Council's annual spending is currently greater than the income it receives each year. In the past this has been managed by the use of reserves – i.e. the balances built up in previous years has given the Council a financial 'cushion'. However, these reserves are only forecast to last another two years and the Council will need to make the transition to a more sustainable budget in the medium term.

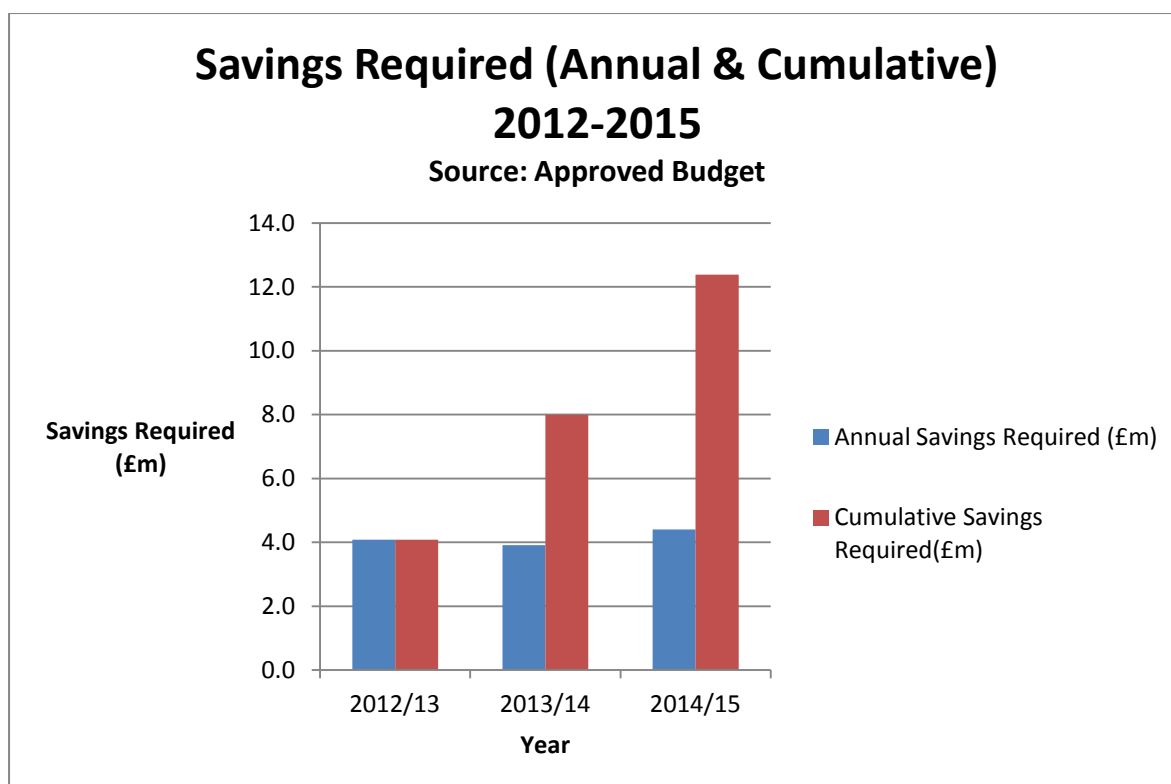
Secondly, the income the Council receives, from central government and Council Tax is forecast to either reduce or increase very slowly over the next five years. This, combined with the ending of reserves use, means that the amount the Council will have to spend on services is likely to reduce, in real terms, over the period of this plan. This can be seen in the graph below. At the same time, costs are likely to rise. Although the Council has been able to contain costs over the past couple of years there are serious doubts about whether this is possible in the medium to long term.

Thirdly, the projected increase in East Lothian's population across all age groups will increase demand for services, particularly for young children and families and older people.



In February 2012 the Council adopted a three-year budget for 2012/13 to 2014/15 based on a three-year financial strategy which took into account the Scottish Government's spending announcements (essentially freezing the Council's grant) and the commitment to freeze Council Tax. The strategy aims to bring Council expenditure and income into sustainable balance by 2014/15.

To balance budgets there will need to be real term reductions in Council spending. The 2011/12 approved revenue budget was £193.3 million. Taking into account both planned and target efficiency savings, this will need to reduce to £185.9 million by 2014/15 - which is a reduction of almost 4% over the period. This is something that the Council has not had to face in recent history. If the Council fails to manage and contain cost increases then the reduction required could be even greater. This will be managed by making savings of at least £12.4m over the next three years. The level of the savings required is shown in the graph below.



Meeting these savings targets will put great pressure on Council services.

The impact of the recession on East Lothian

East Lothian is widely recognised as a fantastic place to live with a beautiful coast and countryside, attractive and distinctive towns, good quality housing, schools and services, and its proximity to Edinburgh's jobs, businesses and attractions. All these factors contribute to a view of East Lothian being an area of high employment and general affluence.

The impact of the 2008 recession and the slow economic recovery has challenged this perception of East Lothian. The loss of jobs in Edinburgh's public sector and

financial services sectors have contributed to increasing unemployment amongst East Lothian residents and many local businesses are struggling, which has impacted on the diversity of East Lothian's town centres. At the same time, public finances have been squeezed and public spending is not expected to achieve pre-recession levels until 2023-24.

The East Lothian Economic Development Strategy 2012-2022 identifies key issues that need to be addressed including:

- East Lothian has a relatively small, stable business base that lacks businesses of scale
- Almost half our residents work outside of East Lothian – and East Lothian's low jobs density figure contributes to this
- East Lothian has a relatively low number of jobs per head of population compared with the Scottish average
- The economic downturn has significantly increased East Lothian's adult and youth unemployment levels – and these are now close to the Scottish average
- School attainment is good in East Lothian but progression into positive destinations is a problem
- East Lothian is not an area of high deprivation but deprivation levels in parts of Musselburgh, Wallyford and Prestonpans are moving in the wrong direction relative to Scotland's other datazones.

East Lothian's growing population

In 2011, East Lothian had an estimated population of 98,170. Between 2006 and 2011, East Lothian's population had increased by 6%; compared with an increase of 3% across Scotland.

The General Register Office for Scotland's 2010-based population projections state that '*East Lothian's population will increase significantly over the next 10 years.*'

Between 2012 and 2022, East Lothian's population will increase by 12% from 99,900 to 111,800. Scotland's projected increase is 7%. By broad age group, the percentage changes between 2012 and 2022 are:

- aged 0 to 15: East Lothian – 11%; Scotland – 6%
- aged 16 to 64: East Lothian – 9%; Scotland – 0%
- aged 65 and over: East Lothian – 24%; Scotland – 21%.

The projections made by the General Register Office for Scotland suggest that by 2035 East Lothian's population could grow to total just under 130,000 – an increase of 30% from 2012.

The Council has to plan for the impact this growth in population will have on services including:

- schools and services for children and families

- services for older people and vulnerable adults
- demand for new infrastructure to cope with the new settlements and housing required e.g. roads and schools
- development pressures on East Lothian's natural environment.

Welfare changes

The UK Government is planning to save up to £11 billion annually from the benefit system through significant changes that will have major implications for those who rely on benefits and also will significantly impact on the work of the Council. The key reforms that will impact most on us are:

- restrictions in the amount of Housing Benefit that can be claimed
- integration of Housing Benefit into a new Universal Credit
- replacement of Council Tax Benefit with local schemes
- the longer term implications of the introduction of Universal Credit.

The Scottish Local Government Forum Against Poverty has estimated that (as at September 2010) the proposed welfare reforms will result in an annual total loss of £8m-£9.5m in welfare benefits received by residents of East Lothian.

The impact of welfare reform in East Lothian presents a number of challenges for the Council. These include an increase in demand for some services including children's and adult wellbeing services, housing and homelessness services, free school meals and other services for vulnerable children, families and adults. The Council will also feel the negative impact from reduced levels of grant funding and a reduction of income through increases in Council House rent and Council Tax arrears.

Affordable housing

A severe lack of affordable housing is a significant challenge for the Council. This is demonstrated by high demand for social housing and high levels of homeless presentations throughout the county. The Local Housing Strategy 2012-2017 was developed in the context of increasing pressure on the housing market in East Lothian.

The Strategy has five key outcomes including increasing housing supply and improve access to appropriate housing including affordable housing; fewer people become homeless; and, people with particular needs are able to access and sustain their choice of housing including independent living, where appropriate.

The Council has an extensive new build programme and in 2010/11 completed 170 new homes on six sites, with a further 86 completed by local housing associations. The Local Housing Strategy and the Strategic Housing Investment Plan 2012/13 – 2014/15 set out how the Council plans to allocate resources to achieve the aim of increasing the supply of affordable housing through a range of measures and housing tenures.

Sustainability and Environmental Challenges

Reducing our dependency on fossil fuels, delivering on greenhouse gas emissions targets and developing resilience to adapt to climate change will have major implications for local communities and provide significant challenge to delivery of services. At the same time, there may well be opportunities to do things differently.

The Climate Change (Scotland) Act 2009 requires the Council to work towards mitigation and adaptation of climate change, and incorporate the principles of sustainability into its decisions and actions. These principles are defined by the Scottish Government: to live within our environmental limits and ensure a strong, healthy and just society by means of: a sustainable economy; promotion of good governance; and responsible use of sound science.

East Lothian's natural environment and the attractiveness of its towns and villages are major factors in the quality of life appreciated by residents and visitors, underpinning the health and well-being of our communities and supporting our local economy. Protecting and enhancing that environment is a key priority for the Council. This will be challenging in the coming years in the face of financial and development pressures, demographic change, climate change and other competing demands. The Council working with local communities and other partners will need to meet these challenges in order to maintain a healthy and attractive environment.

Public Sector Reform

East Lothian Council is fully engaged with the public sector reform agenda which is one of the driving forces for major changes in Scotland's public services. The reform agenda is challenging for local authorities. However, it also presents opportunities to which East Lothian Council has been responding positively.

The Council welcomed the report and recommendations of the Commission on the Future Delivery of Public Services (The Christie Commission) and endorsed its principles and objectives which underpin the Council's radical improvement programme based on:

- Services built around people and communities
- Effective, efficient and excellent services
- Working together to achieve outcomes
- Prioritising prevention and promoting equality.

The Council has been working with Lothian and Borders Police and Lothian and Borders Fire and Rescue Service to put in place scrutiny and engagement arrangements with the aim of ensuring that the move to national police and fire and rescue services in 2013 will not lead to a diminution in the level and quality of services provided in East Lothian.

Also, the Council and the NHS are working very closely to consider the implications of the Scottish Government's proposal to create integrated Health and Social Care

Partnerships and ensure a good fit between this and the work of the Community Planning Partnership.

What our Citizens Say

East Lothian Council's 2011 Residents' Survey provided strong evidence that residents like living in East Lothian – 99% of respondents to the survey stated East Lothian is a very good or good place to live and 98% of respondents said their neighbourhood was very or fairly good.

Residents generally appreciate the high quality of services provided by the Council. 93% of respondents stated they were very or fairly satisfied with the way the Council is running the area. The survey found that fear of crime has reduced significantly and concern about issues such as dog fouling, rubbish and rowdy behaviour has also declined since the last survey, which was carried out in 2009.

However, the Council cannot be complacent about the need to continue to strive to deliver high quality services and respond to the needs and concerns of East Lothian's communities. When asked to identify key areas that need to improve, concern about unemployment and the need for jobs for local people clearly topped the list of concerns of the survey respondents.

The survey was used to identify the kind of future people would like to see for East Lothian. When asked to choose the single word that best described their hope for East Lothian six out of ten people (61%) chose 'prosperous' with the next highest being 'ambitious' (15%).

The Council actively seeks the views of children and young people in a number of ways and settings, including surveys of Looked After Children, surveys of pupils and through a Youth Council. Several key themes have emerged from recent consultations.

East Lothian's young people clearly want better and more affordable public transport, better jobs opportunities and access to more services such as advice on the issues surrounding employment. They want negative attitudes towards young people to be tackled, more opportunities to share their views on services in the community (for example, easier access to sports and other activities) and more say in the running of their schools.

4. Our Objectives

Over the next five years the primary focus for the Council will be to respond to the challenges to enable East Lothian to continue towards achieving its ambitions and aspirations.

The Council needs to focus on priorities that will make the most difference and create the environment and opportunities and the dynamic and flourishing economy that will create a prosperous, safe and sustainable East Lothian.

Our Council Plan sets out four objectives for the next five years.

- ***Growing our Economy – to increase sustainable economic growth as the basis for a more prosperous East Lothian***
- ***Growing our Communities – to give people a real say in the decisions that matter most and provide communities with the housing, transport links, community facilities and environment that will allow them to flourish***
- ***Growing our People – to give our children the best start in life and protect vulnerable and older people***
- ***Growing the capacity of our Council – to deliver excellent services as effectively and efficiently as possible within our limited resources.***

This section of the Council Plan provides further detail on these four objectives and outlines the key actions the Council will pursue in order to meet them. The actions include commitments made by the Administration in their election Manifestos and adopted as Council policy following the May 2012 Council elections.

Growing Our Economy

We will increase sustainable economic growth as the basis for a more prosperous East Lothian

The central purpose of the East Lothian Economic Development Strategy for 2012 to 2022 is to identify the opportunities which East Lothian can exploit to maximise its sustainable economic competitiveness. In doing so, the Strategy provides a framework which will guide and drive forward a more joined up approach to economic development across East Lothian's Community Planning Partnership. By setting out clear strategic priorities, it is hoped that more effective bids for funding can be submitted and more cost effective delivery achieved through greater integration and co-ordination.

The Strategy was informed by the views of a wide range of stakeholders – including local employers and local communities. Overall, there was broad consensus around what East Lothian's strengths, weaknesses, opportunities and challenges are:

- **Strengths** - a diverse business base with sectoral strengths in food and drink, tourism and Higher Education, entrepreneurial culture, skilled workforce, proximity to Edinburgh and its quality of life.
- **Weaknesses** - lack of large employers, rising unemployment levels, pockets of deprivation in Musselburgh, Wallyford and Prestonpans, limited land availability for economic use, and poor public transport infrastructure.
- **Opportunities** - tourism, food and drink, new sectors (e.g. renewable, life sciences, creative industries and re-locations from Edinburgh), and better promotion of East Lothian's assets.
- **Challenges** - bringing land zoned for economic use to market, balancing East Lothian's environment and quality of life with economic development, town centre regeneration, servicing East Lothian's projected population growth and increasing the proportion both living and working in East Lothian.

The strategy has two strategic goals:

- To increase the number of businesses in East Lothian with growth potential.
- To increase the proportion of East Lothian residents working in and contributing to East Lothian's economy.

These are supported by five strategic objectives:

- To be the best place in Scotland to set up and grow a business
- To be Scotland's leading coastal, leisure and food and drink destination
- To build on our proximity to Edinburgh to encourage study, work and spend in East Lothian
- To provide high quality employment pathways for East Lothian's workforce
- To become Scotland's most sustainable local economy.

The Strategy will be delivered by the Council working in partnership with its partners including, national agencies, the business sector, the voluntary sector and further education institutions.

Key Actions

- Implement the East Lothian Economic Development Strategy 2012-2022 and its action plan to achieve the two strategic goals
- Establish an Economic Forum with business and farming community representatives and further education institutions and engage with local businesses and potential investors in East Lothian to identify how the Council can further support business growth
- Continue to support the county's farmers and fishing communities through the food and drink and other initiatives and funding programmes

- Provide high quality employment pathways for East Lothian’s workforce which will support those furthest from the labour market to develop work ready skills and give every young person the opportunity to undertake training, take up an apprenticeship, work experience or a job
- Use the Council’s purchasing power through the use of community benefit clauses to provide opportunities for work experience, training and apprenticeships
- Support investment in business start ups and growing businesses, including the construction industry and other key sectors, through interest free loans and other local and national support programmes
- Identify areas for business opportunities in the East Lothian Local Development Plan and reduce the time taken to determine commercial planning applications through a more efficient and streamlined approach to dealing with all planning applications
- Support and encourage the development of land allocated for business; where appropriate, fund infrastructure to enable sites to be developed to support new jobs and opportunities for strong sustainable economic growth through working with the business sector and agencies such as Scottish Development International to attract inward investment
- Work with partners and providers to explore how we can improve connectivity, including the roll out of faster broadband and mobile communications across the county to support and encourage local businesses and home working
- Support local companies and build their capacity to ensure they have the opportunity to compete for Council and other public sector contracts
- Work with East Lothian’s tourism sector to support appropriate tourism opportunities including sports and cultural events that attract visitors to East Lothian
- Work with the voluntary sector to create and develop social enterprises using the Social Investment Fund and other sources of funding and support
- Regenerate East Lothian’s town centres through: ensuring that planning decisions made by the Council are sympathetic to preserving the vitality and viability of our town centres; supporting “Shop Local” promotional activity and initiatives that will support the re-opening of empty shops; reducing congestion and improving town centre parking
- Develop a new Culture and Heritage Plan that maintains the success of community initiatives, tourism opportunities and recent Council investment in infrastructure to support the economic development strategy
- Support Fair Trade County status for East Lothian.

Growing our Communities

We will give people a real say in the decisions that matter most and provide communities with the housing, transport links, community facilities and environment that will allow them to flourish

Communities need to be supported to ensure they have the capacity to flourish. The Council is committed to ensuring that communities are empowered to develop strategies and Local Community Plans tailored to their needs and that decision making is devolved to the most appropriate local level.

The Council must make every effort to meet the need for affordable housing by maximising opportunities to increase the supply of affordable housing.

The draft Local Transport Strategy acknowledges that transport is fundamental to the maintenance of today's lifestyle whether it is for personal work or leisure or for the delivery of the goods and services necessary to sustain this lifestyle. It recognises that a sensible transport strategy is not simply about choosing between and developing different modes of travel but must also consider ways of reducing the overall need for travel.

The overall vision for the draft strategy is that East Lothian will have well-connected communities with increased use of sustainable transport to access services and amenities.

The objectives of the emerging strategy are to:

- deliver a more attractive and safer environment for pedestrians and cyclists
- reduce the overall dependence on the car (where it is not the only reasonable transport choice available) and the environmental impact of traffic
- promote the availability and use of more sustainable means of travel
- locate new development to reduce the need to travel
- maximise accessibility for all and reduce social exclusion
- promote integration and interchange between different means of travel.

One of East Lothian's strengths is the strong sense of community in each of its towns and villages. The projected increase in population with significant housing developments being planned across the county could threaten this sense of community. Therefore, new settlements or significant additions to existing communities should be accompanied by the community infrastructure required to make viable, balanced and sustainable communities.

The quality of the natural environment is one of East Lothian's greatest assets. There is a fundamental link between people and place which recognises that looking after our natural and built environments has positive benefits on the health and well-being of our communities. A good quality environment offers opportunities for promoting a healthy life style, active travel and safe and successful communities. It has economic impact and value, such as attracting inward investment as a result of

environmental quality and through supporting tourism. It contributes to the challenges of climate change and helps us to move towards a low carbon economy. The Council is committed to providing a high quality environment, improving the wellbeing and quality of life of our communities and promoting a sustainable lifestyle, and will work with, encourage and support communities to become actively engaged with their local environment.

Key Actions

Housing

- Implement the East Lothian Local Housing Strategy 2012-2017
- Identify sites for house building through the Local Development Plan
- Use planning and other powers to ensure that new housing developments have the community infrastructure they need to create and support viable, balanced and sustainable communities
- Support affordable housing initiatives, prioritising the building of sustainable new homes to provide affordable housing of all tenures (social rent, mid-market rent, shared ownership, shared equity and sale) and help first time buyers and young people to enter the housing market
- Re-introduce and review the provision of loft conversions and extensions
- Introduce sustainable, fair allocation policies to support balanced communities
- Provide additional supported tenancies for young and vulnerable people

Transport

- Implement the East Lothian Local Transport Strategy and lobby public transport providers and the Scottish Government to improve the quality and accessibility of road, rail and bus links and services across East Lothian, and to support community transport initiatives
- Work with local bus operators to improve services across the county and aim to use the Council's share in Lothian Buses to help secure an expanded service
- Actively support improvements to rail services in East Lothian, including: a better service between Edinburgh and Dunbar/Berwick; the re-opening of East Linton station; a rail halt at Blindwells; and, better car parking at the county's stations
- Lobby for dualling of the A1 east of Innerwick and junction safety improvements south of Haddington
- Introduce measures to reduce speeding, including 20mph speed limits where these are supported by residents

- Protect the roads maintenance budget to ensure that all local roads are maintained to a very high standard, and surface water drainage is improved to help prevent flooding

Communities

- Establish Local Area Partnerships for all six areas of East Lothian to give local communities, Community Councils and local groups more say in local services and to develop Local Community Plans that will influence the achievement of the Community Planning Partnership's Single Outcome Agreement
- Devolve decision making and budgets starting with allocating a £100,000 budget for each secondary school cluster
- Keep public services as local as possible and explore the further integration of Council and other public services at local area level, ensuring that locality planning arrangements (for example, the planned Health and Social Care Partnership arrangements) are integrated with the work of Local Area Partnerships
- Build community capacity and support local civic events, voluntary, community and social enterprise organisations across all communities in East Lothian
- Support and celebrate diversity in our communities
- Support the Transition Towns initiative across all East Lothian's towns as a means of developing resilient communities
- Implement the Council's Asset Management Strategy to maximise use of existing resources and engage with partner organisations such as the NHS to achieve best value from local assets, including possible use or sale of surplus land and property for housing development
- Explore opportunities for imaginative and flexible use of facilities, including community use of school buildings outwith school time and reviewing opening hours of community facilities with a view to increasing activities by young people
- Explore community ownership and control of local facilities where appropriate
- Develop a new sports development strategy including extending provision at the Meadowmill Sports Centre and providing sporting pathways within the county for our young people
- Work with the new single police force to establish effective local scrutiny and engagement arrangements which will maintain a strong police presence in our communities by continuing to support initiatives such as the Police Initiative Teams in order to reduce anti-social behaviour, crime and fear of crime

Environment

- Implement the East Lothian Environment Strategy and the Council's Carbon Management Plan, reducing carbon emissions in line with national targets
- Meet the Council's recycling targets, if necessary providing incentives and rewards, and investigate ways of dealing with collected material locally including development of renewable energy sources such as bio-mass
- Bring forward plans to modernise waste collection services to take account of new legislative requirements relating to collection of food waste including free special uplifts
- Explore options for taking stronger action to reduce the problem of dog fouling
- Seek investment from the Scottish Government and take action to protect East Lothian from flooding and coastal erosion
- Ensure the quality and character of East Lothian's natural environment is preserved and enhanced through a range of measures including promoting biodiversity, considering the landscape impact of new development and summer and winter planting
- Work to ensure stricter regulation on the siting of wind turbines

Growing our People

We will give our children the best start in life and protect vulnerable and older people

The Council is committed to implementing policies and providing services that give everyone the opportunity to lead a fulfilling life. The Council has a legal duty of care for vulnerable people but it also has a moral duty. As highlighted in the Challenges section above, the projected population growth in East Lothian's young and older people will create significant pressures on Council services.

The Council is fully committed to giving our children and young people the best possible start in life in terms of education and educational attainment. Investment in early intervention and prevention to overcome financial, social and health inequalities that may affect the future life chances of our children is going to be increasingly important. The Council's roles and responsibilities to children who need to be 'looked after' are set out in the Corporate Parenting Policy.

The growth of East Lothian's older population means that the Council will be faced with significant cost pressures in meeting the demand for care services. The priority will be to focus resources where they are most needed, to shift the balance of care to provide enhanced quality of life for people in their own homes, and to invest in early intervention to reduce the demand for more costly crisis intervention.

The Council is working with its partners to provide better joined up health and social care services through the creation of a Health and Social Care Partnership with the

aim of improving health and reducing health inequalities and supporting independent living. The outcomes for integrated health and social care can be summarised as

- Healthier living – individuals and communities are able and motivated to look after and improve their health and wellbeing, resulting in more people living in good health for longer, with reduced health inequalities
- Independent living – people with disabilities, long term conditions or who become frail are able to live as safely and independently as possible in the community and have control over their care and support. They will have positive experiences of health, social care and support services, which help to maintain their quality of life. People who provide unpaid care to others are supported and able to maintain their own health and wellbeing.

The Council is committed to taking action to minimise potentially negative impacts from the UK Government's welfare reform agenda.

Key Actions

- Implement the Integrated Children's Service Plan
- Continue to increase educational attainment and ensure that the Council has a resource strategy to implement the Curriculum for Excellence, protect school budgets, reduce the number of composite classes and protect rural schools
- Take advantage of technological opportunities for senior pupils to access a wider range of subjects at their own school
- Develop the partnership with Queen Margaret University and the Further Education colleges to develop the Academy model and provide vocational training spaces in all secondary schools
- Fully support the development of early intervention, including: delivering family interventions that strengthen families so that children can safely stay with them; rolling out the Support from the Start model across East Lothian through cluster based engagement with local people and groups; and, beginning an ambitious programme to develop children and families services in the community across East Lothian
- Implement the agreed approach to kinshipcare
- Ensure women and children who experience domestic violence have access to specialist services and support
- Develop equitable early years and nursery services to provide nursery places for all 3 and 4 year olds and work towards meeting parental choice
- Update the Older People's Strategy and develop a new integrated early intervention services model to build on the success of our response and

rehabilitation service to continue to shift the balance of care through developing community based options and maximising opportunities to live independently for as long as possible

- To meet the growing demand for home care services we will work with the voluntary sector and encourage the creation of social enterprises to work together with commercial home care services to enhance the quality, standards and choice and capacity of care available to East Lothian residents
- Modernise adult day services led by users and guarantee personal development plans for all vulnerable adults
- Provide high quality respite opportunities for carers and users of care services
- Promote opportunities for healthy living throughout East Lothian
- Continue to plan for the introduction of a Health and Social Care Partnership and further develop opportunities with NHS Lothian for integrated service provision, to protect existing local health care services and ensure East Lothian residents have access to local health facilities
- Implement the Tackling Poverty Strategic Plan, increase access to welfare and money advice and to Credit Unions in East Lothian and seek to minimise any potentially negative impacts from the UK Government's welfare reforms
- Oppose any plans to close Haddington Sheriff Court.

Growing the Capacity of our Council

We will deliver excellent services as effectively and efficiently as possible within our limited resources

In order to meet the challenges outlined in section 3 above the Council has embarked on a radical improvement programme based around:

- Services built around people and communities
- Effective, efficient and excellent services
- Working together to achieve agreed outcomes
- Prioritising prevention and promoting equality

Services built around people and communities

A key feature of the Council's approach is that services should be built around people and communities; not professions and organisations. The Council is committed to, and has been developing, a range of ways in which to engage effectively with East Lothian's people and communities in order to better develop services around their needs.

A programme of establishing Local Area Forums to develop Local Community Plans was started in 2009. The East Lothian Tenants and Residents Panel provides a

forum for the views of tenants and residents to be fed into the Council. Community Councils are consulted on planning matters and key Council policies. The Council has carried out Residents' Survey to gather information about the views and experiences of East Lothian residents. The Education and Children's Wellbeing Service is committed to engaging with children and young people so that their views can influence policy. The Adult Wellbeing Service consults extensively with service users and carers in its planning and service redesign process.

In 2012 the Council adopted a Consultation and Engagement Strategy and Action Plan that will act as the framework for ensuring that we meet the highest standards of community consultation and engagement.

Effective, efficient and excellent services

Resource maximisation, performance management, continuous improvement and customer excellence are central to the Council's way of working. Over the last four years the Council has implemented a range of successful programmes or strategies to improve effectiveness and efficiency and deliver excellent services, including:

- the Customer Contact Strategy – ensuring that customers are at the core of service delivery and have easier access to services through the development of the Council Contact Centre and local offices
- Worksmart – encouraging flexible working options to allow the Council to rationalise use of office space in Haddington and Macmerry
- Efficient Workforce Management – reviewing workforce deployment.

The Council's employees – over 4,900 staff (just under 3,700 full time equivalent) – are our most valuable resource. In order to deliver the ambitious agenda set out in this Plan the Council needs to focus on its staff who must be capable, flexible, responsive and performance focussed. The Council has adopted a new People Strategy building on improving our performance through our people. In order to achieve the improvements sought, we will continue to work in partnership with the trade unions representing Council staff.

In achieving the Council Plan and delivering effective, efficient and excellent services the Council and its staff will be guided by the qualities set out in 'the East Lothian Way' which help provide direction and highlight what is expected of staff across all levels and all areas of the Council.

- focus on service
- explore the bigger picture
- initiate solutions
- share knowledge
- deliver outstanding results.

The Council has adopted ***From Improvement to Excellence*** the improvement framework through which we will strive for best value and move from being an improving Council to an excellent Council. The framework is based on five inter-related elements:

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

A new Leadership Development Programme is being developed to give managers the skills to manage the changes required to bring about the improvements to take East Lothian Council from being an improving Council to an excellent Council.

The Council will continue to strive to maximise its resources and ensure that resources and efforts are aligned with the Single Outcome Agreement and the Council Plan priorities.

The Council needs to ‘live within its means’ and ensure that its budgets are balanced. Our three-year financial strategy outlines how this will be achieved and ensures the Council continues to be financially stable.

Given the diminishing resources that are available and the growing demand for services the Council will have to increase its efforts to improve performance and provide value for money – provide better services at lower cost.

Working together to achieve agreed outcomes

The ambition and aspiration set out in this Plan will only be achieved if the Council works in partnership with the people and communities of East Lothian. The Plan commits the Council to work closely with the business community to deliver economic growth; to establish Local Area Partnerships with community organisations; to ensure that services are built around the need of people; and to support the voluntary and social enterprise sector to deliver key services.

The Council is committed to renewing its efforts to ensure that all its services work together to meet common goals and to develop effective partnership working with other public sector bodies, the voluntary and public sectors and most importantly the people and communities of East Lothian.

Partnership working is integral to the Council’s approach. East Lothian Community Planning Partnership has taken the lead in developing the Single Outcome Agreement based around close working between the Council and its Community Planning partners.

The Council has been at the forefront of developing shared/ integrated services with partners such as the Midlothian Council and the NHS. For example, the forthcoming Health and Social Care Partnership will have to be able to deliver better services and

meet outcomes to improve health and reduce health inequalities and to support independent living.

The Council is working with Lothian & Borders Fire and Rescue Service and Lothian and Borders Police to respond positively to the challenges that will be posed by the creation of national fire and rescue and police services to ensure that they meet the needs of, and are accountable to, East Lothian's communities. The new arrangements will aim to ensure that our communities are safe and our people feel safe.

Prioritising prevention and promoting equality

Early intervention and tackling inequalities are key priorities for East Lothian Council and the Community Planning Partnership. The Council recognises the need to deliver a step change in how services are provided; moving from a model of public services that focus on crisis intervention – services that try to put people and communities together again after things have failed – to a model that concentrates on preventing failure. The focus has to be on prevention and early intervention to avoid crisis intervention. Over the next five years the Council will need to re-direct resources to priorities and the development of a preventative model of service delivery.

East Lothian Council and its partners in health, the voluntary, third and private sectors have done much in recent year to develop early years' services with the aim of ensuring that young children are healthy, happy and ready to succeed in life. A key development has been the Support from the Start project. Learning from the outcomes of this pilot was used to launch an engagement and partnership approach across the whole county with the aim of ensuring that East Lothian's children all get the best possible start in life.

The right to be treated fairly and to fulfil his or her potential is something that everyone should enjoy. The law provides protection from discrimination to ensure that individuals can access services and gain employment. However, some people still face barriers when trying to access services. The Council has additional legal requirements to ensure that we make our services available to everyone in the community and promote awareness and understanding about equality and diversity.

The Council's Single Equality Scheme sets out the how we will ensure that people are not discriminated against. Priorities established in the Scheme include:

- reducing the number of people who are victims of domestic abuse and its affects
- remaining an employer of choice for equalities groups
- removing the barriers that people face and ensure our services are inclusive to all service users, including those with special needs
- reducing the exclusion rates for boys in school.
- reducing the number of people affected by hate crime.
- reducing the stigma of mental ill health particularly in families and in the workplace.

Key Actions

- Implement the Council's Improvement Framework to pursue 'continuous improvement' in the delivery of services and ensure that waste, bureaucracy and administrative costs are minimised so that funding is ploughed into front line services and the Council provides the highest quality of service
- Implement the strategies that support the Improvement Framework including:
 - People Strategy
 - Asset Management Strategy
 - Risk Strategy
 - Customer Contact Strategy
 - IT Strategy
 - Procurement Strategy
 - Consultation and Engagement Strategy
- Support and develop partnership working through:
 - the Community Planning Partnership
 - the partnership funding strategy
 - exploring shared and integrated service provision with local partners and other local authorities
 - other strategic partnerships such as Scottish Futures Trust and South East Scotland hubCo
- Implement the Single Equality Scheme
- Adopt a new integrated impact assessment process for Council policies incorporating equalities and environmental, economic and social sustainability, including an assessment of potential impact on jobs and the economy of East Lothian, to ensure that any potential negative impacts are identified and mitigated
- Introduce a 'Living Wage' for Council employees
- Maintain the Council Tax freeze in line with Scottish Government policy

Appendix 1: Single Outcome Agreement 2011 Outcomes

SOA 2011 East Lothian Outcomes	Council's Objectives
1. East Lothian has a sustainable and successful local economy through developing key local sectors and enhancing business performance	Grow Our Economy
2. All of East Lothian's young people are successful learners, confident individuals, effective contributors and responsible citizens	Grow Our People
3. East Lothian's children have the best start in life and are ready to succeed	
4. The life chances for children, young people and families at risk or with disability in East Lothian are improved	
5. In East Lothian we live healthier, more active and independent lives	
6. Fewer people experience poverty in East Lothian	
7. Fewer people are the victim of crime, disorder or abuse in East Lothian	
8. Fewer people experience antisocial behaviour in East Lothian	
9. East Lothian's homes and roads are safer	
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	
11. East Lothian has high quality natural and built environments that enhance the well-being of the local community	
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	
13. East Lothian has well connected communities with increased use of sustainable forms of transport	
14. East Lothian has strong, vibrant communities where residents are responsible and empowered with a positive sense of well-being	

Appendix 2: Key Strategies and Plans

East Lothian Older People's Strategy 2011-20
East Lothian Joint Health Improvement Plan
Lothian and Borders Community Justice Authority Area Plan

East Lothian Tourism Strategy 2010-13
East Lothian Tourism Events 2010-15
East Lothian Food & Drink Strategy 2010-13
East Lothian Coastal Tourism Strategy 2010

East Lothian Integrated Children's Service Plan 2011-13
Child Protection Improvement Plan 2011
Corporate Parenting Policy and Action Plan 2010-13
Children and Young People's Participation Strategy 2011-13
East Lothian Youth Vision

East Lothian Local Housing Strategy 2012 - 17
East Lothian Tenant Participation Strategy 2012-15
Temporary Accommodation Strategy 2010-16
Housing Information and Advice Strategy 2012-17

East Lothian Anti-Social Behaviour Strategy 2009-13

Active East Lothian
East Lothian Learning Partnership Community Learning and Development Strategy
2011-16

Local Biodiversity Action Plan 2008-13
East Lothian Environment Strategy 2010-15 and Action Plan
Carbon Management Plan 2009-14
East Lothian Local Development Plan 2008-13
SES Plan Strategic Development Plan

Regional Transport Strategy 2008 - 2023

East Lothian Council People Strategy 2012-15
Employability and Young People into Work Policy
Corporate Asset Management Strategy
Corporate Financial Strategy
Corporate Procurement Strategy
Treasury Management Strategy
Corporate Risk Management Strategy
Customer Contact Strategy
IT Strategy
Consultation and Engagement Strategy
Communications Strategy
Single Equality Scheme

In development

East Lothian Economic Development Strategy 2012-2022

Early Years Review and Early Years Strategy

Kinship Care Strategy – the way forward (2012-2014)

Education and Children’s Wellbeing Commissioning Strategy 2012 – 2022

Joint Physical Disability and Sensory Impairment Strategy 2012-20

Adult Social Care Commissioning Strategy 2012-20

Adult Social Care Community Engagement Strategy 2012

Change Fund Commissioning Strategy 2012-20

Respite Strategy 2012

East Lothian Tackling Poverty Strategy 2012-15

East Lothian Road Safety Plan 2012

South East Scotland (SES) Plan 2014

East Lothian Local Development Plan 2014

East Lothian Open Space Strategy

East Lothian Local Transport Strategy 2012

East Lothian Culture and Heritage Plan 2012

REPORT TO: East Lothian Council
MEETING DATE: 28 August 2012
BY: Chief Executive
SUBJECT: East Lothian Council Annual Performance Report 2011/12

4

1 PURPOSE

- 1.1 To update the Council on its performance and progress through the publication of the Annual Performance Report 2011/12.

2 RECOMMENDATIONS

- 2.1 Council is asked to approve the Annual Performance Report 2011/12.

3 BACKGROUND

- 3.1 The Annual Performance Report is a summary of the Council's performance in relation to its commitments in the Corporate Plan and the Single Outcome Agreement. The information contained within the report generally relates to the financial year 2011/12 (April 2011 – March 2012); however, in some cases, data for 2010/11 may not be available. Where this is the case the latest available data is shown.
- 3.2 Information contained within the report has been drawn from the Council's set of performance indicators that are reported to the Policy and Performance Review Committee, the Single Outcome Agreement, from audit and inspection reports and from other reports to Council committees. The report shows performance against the 14 outcomes of the Single Outcome Agreement.
- 3.3 As in previous years the Annual Performance Report will be made available to the general public via the Council's website in September 2012, although hard copies will be available for anyone that does not have access to the internet.

4 POLICY IMPLICATIONS

- 4.1 The measurement, target setting and reporting of performance indicators is essential if the Council is to demonstrate Best Value. Reporting these indicators will help the Council to display openness, transparency and accountability. Best Value places a duty upon the Council to report performance to the public in order to enhance accountability.

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: East Lothian Council Annual Performance Report 2011/12

AUTHOR'S NAME	Andrew Strickland & Claire Goodwin
DESIGNATION	Policy Officers
CONTACT INFO	astrickland@eastlothian.gov.uk cgoodwin@eastlothian.gov.uk
DATE	16 th August 2012

Annual Performance Report 2011/12

Contents

	Page
Outcomes and priorities	1
Outcome 1: East Lothian has a sustainable and successful local economy...	4
Outcome 2: All of East Lothian's young people are successful learners...	6
Outcome 3: East Lothian's children have the best start in life and are ready to succeed	8
Outcome 4: The life chances for children, young people and families at risk or with disability in East Lothian are improved	10
Outcome 5: In East Lothian we live healthier, more active and independent lives	12
Outcome 6: Fewer people experience poverty in East Lothian	15
Outcome 7: Fewer people are the victim of crime, disorder or abuse in East Lothian	17
Outcome 8: Fewer people experience anti-social behaviour in East Lothian	19
Outcome 9: East Lothian's homes and roads are safer	21
Outcome 10: In East Lothian people in housing need have access to an appropriate type, tenure and standard of housing...	22
Outcome 11: East Lothian has high quality natural and built environments that enhance the well-being of the local community	26
Outcome 12: East Lothian is less dependent on finite resources by moving to a more localised, low carbon economy...	29
Outcome 13: East Lothian has well connected communities with increased use of sustainable forms of transport	31
Outcome 14: East Lothian has strong, vibrant communities...	33
Services built around people and communities	37
Effective, efficient and excellent services	39
Prioritising prevention and promoting equality	42
Where the money goes: financial summary	43

Outcomes and priorities

This is the last Annual Performance Report for the period covered by the Council's *Corporate Plan 2008-1012* and the 2007-12 Council Administration's *Contract with the People*. It is also the first report covering the first full year of East Lothian's Single Outcome Agreement 2011.

This year's Annual Performance Report is structured around the 14 outcomes East Lothian Council shares with the Community Planning Partnership's Single Outcome Agreement. Following sections on the 14 outcomes the report provides an overview of the Council's activities and performance in three key cross cutting themes which the Council has adopted along with the Single Outcome Agreement as core principles governing how it operates:

- Services built around people and communities
- Effective, efficient and excellent services
- Prioritising prevention and promoting equality.

Finally the report provides a brief summary of the Council's finances and financial position, highlighting 'where the money goes'.

The Single Outcome Agreement's 14 outcomes

1. East Lothian has a sustainable and successful local economy through developing key local sectors and enhancing business performance
2. All of East Lothian's young people are successful learners, confident individuals, effective contributors and responsible citizens
3. East Lothian's children have the best start in life and are ready to succeed
4. The life chances for children, young people and families at risk or with disability in East Lothian are improved
5. In East Lothian we live healthier, more active and independent lives
6. Fewer people experience poverty in East Lothian
7. Fewer people are the victim of crime, disorder or abuse in East Lothian
8. Fewer people experience antisocial behaviour in East Lothian
9. East Lothian's homes and roads are safer
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
11. East Lothian has high quality natural and built environments that enhance the well-being of the local community
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
13. East Lothian has well connected communities with increased use of sustainable forms of transport
14. East Lothian has strong, vibrant communities where residents are responsible and empowered with a positive sense of well-being

Performance indicators


The Council monitors how well it delivers its services using a range of performance indicators. Some of the indicators, known as Statutory Performance Indicators (SPIs), are set by the Accounts Commission and are used by every council in Scotland. However, most of the indicators are chosen by the Council or the East Lothian Community Planning Partnership to reflect local priorities that are detailed in the Single Outcome Agreement.

Our indicators are generally reported on a quarterly basis (once every three months) or on an annual basis. Most of the indicators have a target that helps to provide context regarding how well the Council is performing. Comparisons with other areas in Scotland are also available for some indicators.

Performance indicators are reported in the Annual Report to help show the progress towards each of the Council's outcomes. Each indicator is hyperlinked to the Council's performance website enabling readers to click on the link to access further details regarding the indicator and view the most up-to-date information that is available.


Key:


Each indicator is presented in the following format:


Indicator	Result	Target	
% of new businesses surviving after 12 months	79% (Q4 11/12)	85%	

Result: The result refers to the year 2011/12 (April 2011 – March 2012) unless otherwise stated. 'Q4 11/12' would refer to the 4th quarter of 2011/12 (January – March).

Target: The target refers to the same period as the result.

Red:  Performance is significantly worse than target.

Amber:  Performance is slightly worse than target.

Green:  Performance is better than the target.



Performance is improving in comparison to the previous period.

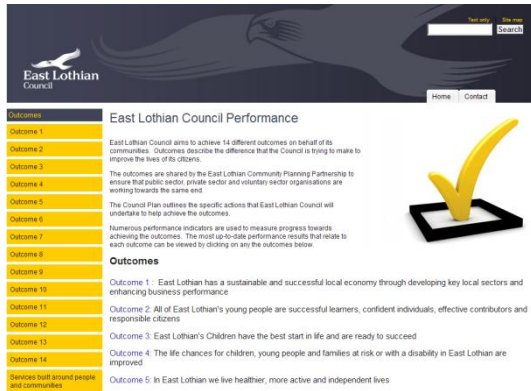


Performance is getting worse in comparison to the previous period.



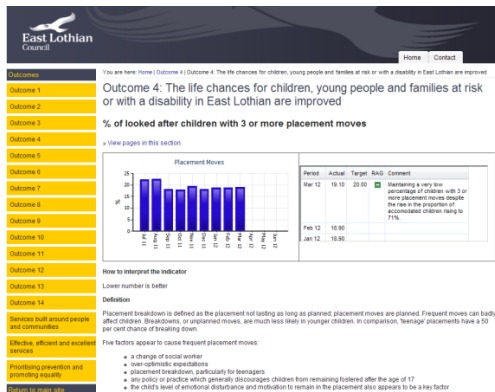
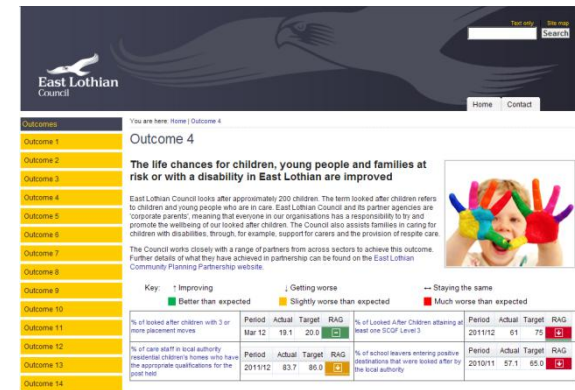
Performance has stayed the same.

East Lothian Council Performance Website



The Council reports its performance publically via the East Lothian Council performance website (www.eastlothian.gov.uk/performance). 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 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.



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.

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

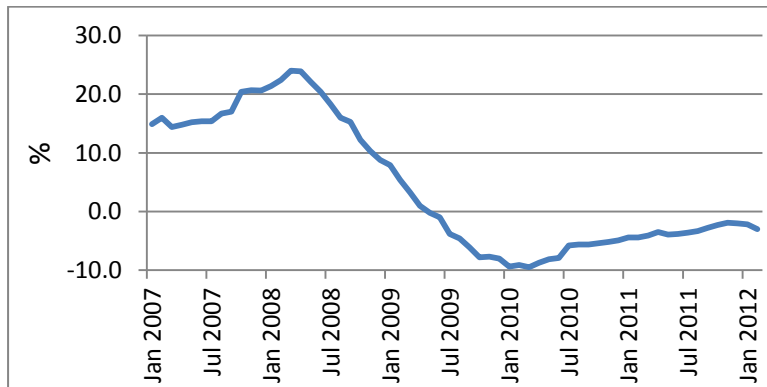
Context

Strengthening and diversifying East Lothian’s economic base is a priority for the Council. At present, a sizable proportion of our working population commutes to Edinburgh for employment; this has an impact on community cohesion and also means potential loss of trade for local businesses.

East Lothian Council provides support and advice for local businesses. Examples of the work that Council does to support economic development include the provision of grants and loans to assist business start-ups and business growth, the provision of business advice, and the promotion of tourism via Visit East Lothian.

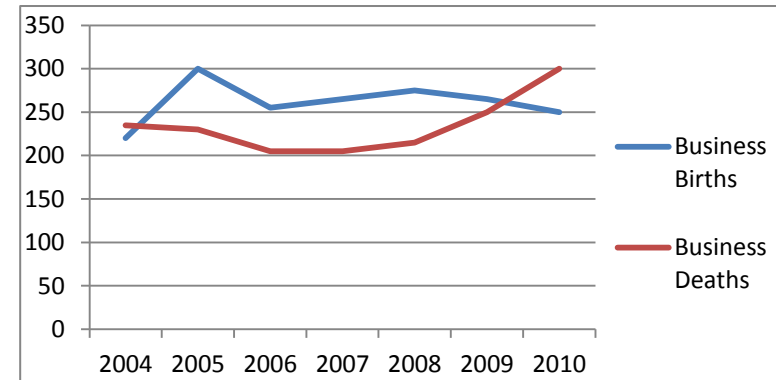
East Lothian’s economy continues to be adversely affected by the effects of the recession. Bank lending to businesses and individuals has fallen, making it difficult for businesses to start-up or expand.

12 month % change in lending by financial institutions in the UK (Bank of England)



Recent data from the Office of National Statistics shows that since 2009 more businesses are closing than opening in East Lothian.

Number of business births and business deaths in East Lothian (ONS)



Achievements / activities

Business Start-up

There were 89 Business Gateway start-ups in 2011/12, this figure is marginally lower than would normally be anticipated, but reflects wider economic circumstances.

The conversion rate (the number of initial discussions that lead to actual business start-up) fell from around 60% to 40% in 2011/12, showing that a significant number of those indicating an interest in starting a business did not follow through, in some instances this can be attributed to availability of finance.

Our Economic Development Strategy includes activity to encourage people to shop locally, promoting East Lothian food and drink and supporting the growth of small businesses.

Tourism









With many and diverse attractions on offer for visitors, tourism accounts for East Lothian's largest business sector. In 2011/12 the Council continued to work in partnership with the tourism industry to enhance and increase awareness of the advantages of East Lothian as a tourist destination.

The East Lothian Golf Tourism Alliance is recognised as an exemplar of industry engagement. We continued our support of this group in 2011/12, which included providing a Golf Development Officer. The Ladies Scottish Open in August 2011 and May 2012 generated a good level of media attention for East Lothian, as did the US Kids Golf in 2012, bringing over 500 young people from across the globe to East Lothian.

Individual cultural events held in East Lothian, such as The Saltire, Lennoxlove Book Festival, Lammermuir Festival, Fringe by the Sea and Three Harbours also attracted many visitors from outwith East Lothian.

The 2011 visitor survey provided in-depth analysis of visitor requirements and trends to guide the industry and public sector. The survey indicated that two thirds of visitors to East Lothian are aged 35-64 with a higher than Scottish average in the ABC1 social class. Most visitors are either families or 'empty nesters'. 92% of visitors are from the UK with 74% from within Scotland. 52% are on a day trip and 80% are on a repeat visit. The most common activity relates to beach or coast (64%). High satisfaction levels are consistently reported and £48.84 is the averages daily spend, excluding accommodation.

Performance Indicators

Indicator	Result	Target		Indicator	Result	Target	
% of new businesses surviving after 12 months	79% (Q4 11/12)	85%		Number of New Enterprise Allowance start-up businesses	21	15	
Total number of new business start-ups	99	112		Accommodation occupancy levels	280130 (2010/11)	290000	
Number of jobs created	127.5	40		Number of visitors	937890 (2010/11)	950000	
Number of jobs protected	333	170		Number of businesses referred to the Scottish Enterprise Growth pipeline	5	5	

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

Context

East Lothian Council is responsible for the education of approximately 13,300 children in its 6 secondary schools and 35 primary and infant schools. Continuous improvement in SQA Examinations, coupled with a wide variety of other school activities, is necessary to enable all children and young people to have the best start in their life after school.

Achievements / activities

The Saltire Awards

A new youth volunteering recognition programme was introduced in 2011/12 to encourage young people to become actively engaged in volunteering and to capture the learning and skills achieved. Young people were heavily involved in guiding the development of the Saltire Awards. In 2011/12:

- 612 Saltire Award certificates were awarded
- 132 young people took part in 9 Team Challenges
- 'Saltire Awards' was adopted by the Scottish Government as a national recognition programme for youth volunteering

Curriculum for Excellence

The Curriculum for Excellence is the Scottish Government's Education Strategy. The Curriculum aims to achieve a transformation in education in Scotland by providing a coherent, more flexible and enriched curriculum from 3 through to 18.

Implementing the Curriculum in East Lothian schools has been a major undertaking for the Council. Progress in 2011/12 included:

- The ongoing development of classroom practice in line with CfE local and national guidance;
- The adaptation of the 'Planning Ahead' document to take into account national guidance – this has assisted schools with development planning;
- The development of approaches to assessment, moderation and reporting to parents continued to be a major focus and included the introduction of a new leaflet for parents on Curriculum for Excellence assessment and reporting;
- Secondary Schools prepared for the final year of the 'broad general education', with implementation to begin in June 2012 (providing a 'broad general education' is the first of the two stages central to Curriculum for Excellence and runs from age 3 to the third year at Secondary School);
- Secondary School staff worked with Midlothian Council to write high-level plans for National 4 and 5 qualifications for use in both local authorities;
- Work began to develop pre-vocational and vocational courses across East Lothian schools.

Education Scotland (previously HMIE) inspections in relation to the Curriculum for Excellence and Self Evaluation during 2011/12 were positive.

Staff Development

Our Education Service Staff Development Programme continues to offer high quality training and development opportunities for staff, ultimately leading to the improvement of outcomes for all pupils.







Place2Be

Place2Be is a multi-award winning charity which delivers a range of services in six East Lothian primary schools including one-to-one emotional support for individual children, a referral drop in centre open to all pupils and information and advice for parents, carers and staff. This reflects our drive to make all our primary schools “nurturing schools”.

Attainment

The most recent results available are for 2010/11. The results for 2011/12 results will be available in September 2012 and this section of the report will be updated with the latest figures.

Performance Indicators

Indicator	Result	Target		Indicator	Result	Target	
% of pupils achieving 5 or more awards at SCQF level 3	95%	94%		Gap between the lowest attaining 20% of pupils and their peers (3 year average)	141.5		
% of P6 and S2 pupils agreeing that 'my school recognises my achievements in school'	86.1%	85%		Percentage of school leavers entering positive destinations	86.8%	83.6%	
% of pupils agreeing that they contribute to how decisions are made at school	89.5%	93%		% of pupils achieving 5 or more awards at SCQF level 5	36%	41%	
% of pupils achieving 5 or more awards at SCQF level 4	82%	83%					

The 2010/11 attainment results show that East Lothian’s children tend to attain a higher level of qualification than their counterparts in similar areas of Scotland. However, attainment is improving more quickly in these comparative areas than in East Lothian.

The lowest attaining 20% of pupils are more likely to be disadvantaged in later life. Reducing the gap between the lowest attaining 20% of children and their peers is, therefore, important to help tackle poverty. The gap in East Lothian increased slightly in 2010/11 compared to the previous year.

School leaver destinations

The proportion of school leavers that enter positive destinations (i.e. higher and further education, employment, volunteering or training) is gradually improving in East Lothian. However, a lower proportion of school leavers from East Lothian enter positive destinations than their counterparts in similar areas of Scotland.

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

Context

East Lothian Council, NHS Lothian, East Lothian Child Protection Committee, Lothian & Borders Police and the Scottish Children's Reporter Administration have developed the Integrated Children's Services Plan. Between them the partners aim to 'deliver well-integrated, seamless services for children and young people, which result in positive outcomes for children, young people and their families'.

Achievements / activities

Early Years

Our work in relation to Early Years recognises the importance of intervening early to support and develop children's care and learning. Both HMIE and East Lothian Council have identified the positive impact of this work, praising in particular the strong links with health partners and the development of consistently high quality learning experiences. Some specific Early Years initiatives are described below.

Multi Agency Internal Panel for pre-school children

Referrals are made to this Panel in relation to families and young children in need of support. The Panel considers each referral and can make use of a range of East Lothian wide resources to provide the necessary support.

PEEP (Parents Early Education Partnership)

East Lothian Council, in partnership with Support from the Start, has funded two PEEP training sessions for practitioners. The sessions aim to give staff the skills to develop parents' confidence in playing, reading and singing to their children, thereby supporting children's readiness to learn.

Under-3s provision for children with severe and complex needs

New provision was developed to support families with young children who have additional and complex needs. This specialist group care provision was developed for 2-3 year olds and is located in the Sandersons Wynd Primary School Complex. The Complex also includes KidsZone (a support group for parents of children with additional and complex needs) and the HUB (primary school provision for children with complex needs).

Tots & Teens

An innovative pre-school playgroup run within Knox Academy in Haddington. Tots & Teens provides positive pre-school experiences for young children at the same time as providing an opportunity for eighteen S3 pupils to work alongside playgroup staff.

Parenting skills

A number of other initiatives were delivered to support parents to develop parenting skills and confidence – these included Prestonpans Young Parents Group, Wee Pans play / support sessions and Stay 2 Play sessions.

Excellent Early Years Settings

The majority of East Lothian Early Years Settings registered with the Care Inspectorate achieved ongoing improvements in inspection grades in 2011/12, with many centres achieving the highest grade of 'Excellent' in one or more inspection theme.

Early Development Instrument




Teachers are beginning to apply the Early Development Instrument, which will help to assess how far young children have developed in relation to the following areas:

- physical health and well-being
- social competence
- emotional maturity
- language and cognitive development, and
- communication skills and general knowledge

Support from the Start

The Council continues to play a key role in 'Support from the Start' along with partners from health, voluntary and third and private sectors. Support from the Start has been running since 2008 in a number communities where health outcomes are significantly poorer than the East Lothian average (Prestonpans, Musselburgh East and Tranent).

Performance Indicators

Indicator	Result	Target		Indicator	Result	Target	
% of children exclusively breastfed at 6-8 weeks	30.2% (2010/11)	35%		% of all East Lothian children aged 3-5 registered with a dentist	87.7% (2010/11)	80%	
% of children in P1 who are above the 95th centile of the Body Mass Index	10% (2010/11)	8%					

An evaluation of Support from the Start test site by Queen Margaret University College in 2011/12 identified the following impacts:

- Families and parents reported greater confidence and resilience in their children and improved routines and patterns in family life
- Those involved in Support from the Start groups reported improved family relationships and better mental health, wellbeing and confidence
- Early Years practitioners said they had developed new ways of working and had increased their ability to manage devolved budgets

The evaluation findings are being used in 2012/13 to roll out this engagement and partnership approach across the whole county. This will include the identification of Support from the Start Champion Groups in each school cluster to work with communities to achieve a set of agreed outcomes.

More information is available from:

<http://edubuzz.org/equallywell/>

<https://www.facebook.com/SupportfromtheStart>

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

Context

East Lothian Council looks after approximately 200 children. The term looked after children refer to children and young people who are in care. East Lothian Council and its partner agencies are 'corporate parents', meaning that everyone in our organisations has a responsibility to try and promote the wellbeing of our looked after children. The Council also assists families in caring for children with disabilities, through, for example, support for carers and the provision of respite care.

Achievements / activities

Looked After Children

East Lothian Council had 199 Looked After Children at the end of 2011/12, including 28 children and young people in residential care. The number of referrals to Children's Services teams increased to a total of 2,631 in 2011/12.

The Council runs two residential units for children that deliver a high standard of care – Lothian Villa and Pathway Resource Centre. Care Commission Reports on our residential care units have been consistently been positive with aspects of the service judged as 'very good' or 'excellent'. We also make use of a pool of dedicated foster carers.

At the end of 2011/12, 28 East Lothian children or young people were accommodated in residential care. The proportion of children and young people in residential accommodation within East Lothian stood at 57% in 2011/12, a significant increase from 29% in 2008. Reducing the number of children and young people accommodated outwith East Lothian is a stated outcome in the Integrated Children's Services Plan.

Providing a Social Work Service

The Care Inspectorate assessed the Council's social work services for adults, children and families during 2011/12 and judged them to be a 'level one assessment' – 'low risk, good performance and good improvement work'. This rating is the best possible outcome from the assessment process and puts East Lothian amongst the top quarter of Scottish Councils assessed to date.

Only two recommendations were made regarding services for children – to drive down the number of exclusions of looked after children and improve the educational attainment of looked after children. Improvement actions have been underway for some time in relation to these issues.

Kinshipcare

In 2011/12, there were 29 children and young people in formal kinshipcare with relatives or friends. There were a further 27 in informal kinshipcare who were receiving support and / or payments. The Council aims to develop a strategy for kinship care as a positive placement alternative for children and young people.

Commissioning Services

Increasing demands on services led to the development of an Education & Children's Wellbeing Services Commissioning Strategy as a means of commissioning services for looked after children more intelligently. The Strategy aims to:

- Reduce the total number of looked-after children
- Reduce the number of accommodated children
- Place more looked-after children and young people locally
- Reduce placement moves
- Improve care and education experiences of children
- Educate more children with severe and complex needs locally





Attainment of Looked After Children

The proportion of Looked After Children attaining at least one SCQF at level three was lower in 2011/12 than in the previous year. However, it should be noted that the result tends to fluctuate from year-to-year as there are relatively few Looked After Children taking exams.

School leaver destinations for Looked After Children

Proportionately fewer Looked After Children move into positive destinations once they leave school than their peers in East Lothian. The proportion of Looked After Children leaving school in 2010/11 that moved into positive destinations was lower than for the previous year. However, the figures relate to relatively few school leavers; therefore the results can fluctuate from one year to the next.

Performance Indicators

Indicator	Result	Target		Indicator	Result	Target	
% of looked after children with 3 or more placement moves	19.1 (Mar 12)	20		% of Looked After Children attaining at least one SCQF Level 3	65%	75%	
% of care staff in local authority residential children's homes who have the appropriate qualifications for the post held	83.7%	86%		% of school leavers entering positive destinations that were looked after by the local authority	57.1% (2010/11)	65%	

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

Context

People living in East Lothian tend to be in better health than people living in most other parts of Scotland. However, there remain significant differences between areas within East Lothian.

According to the 2010 Community Health Profile people living in the areas East Lothian with the poorest health are:

- More than three times as likely to be admitted to hospital with coronary heart disease than those living in the healthiest area
- Likely to live, on average, seven years less than those living in the healthiest area
- Twice as likely to be admitted to hospital as an emergency than those living in the healthiest area

The overall population of East Lothian is expected to increase by 33.1% between 2010 and 2035. Over the same timescale the number of people aged over 65 is expected to increase by 77.4%. This represents another 13,561 people aged over 65 living in East Lothian by 2035.

East Lothian Council provides social care for a growing number of adults. The number of older people in East Lothian requiring care is forecast to grow significantly. Some older people are cared for in care homes, although the Council is increasingly trying to care for older people in their own homes. The Council also provides care for vulnerable adults that have mental health problems, learning disabilities and physical disabilities. Enjoy Leisure delivers sports and leisure facilities to promote health and wellbeing on behalf of the Council.

The Scottish Government plans to integrate health and social care services in order to be able to deal with the anticipated future demand. This means that a joint Health and Social Care Partnership will be created, which will be the joint responsibility of the Council and NHS. Budgets and the plans for spending the budget will be integrated and a higher proportion of the available resources will be spent on providing community care.

Achievements / activities

Living Better in Later Life

The East Lothian Older Peoples' Strategy 'Living Better in Later Life' (2009-2020) sets out a long-term vision for the health and social care of older people in East Lothian. The Strategy includes changes in the way we provide care in the future, with more of a focus on supporting people to live independently in their own homes as long as possible.

A Change Plan was developed in partnership with independent and voluntary sectors to enable funding to be drawn down from the Scottish Government's Change Fund to support this shift in the balance of care. During 2011/12, £1.25 million of Change Fund money was used to support 33 new projects – this funding will increase to £1.43m in 2012/13.

Emergency Care

Our new Emergency Care Service reached its first full year of operation at the beginning of 2012. The service responds 24 hours a day to Community Alarm and Telecare alerts. Call outs rose steadily from an average of 100 per month during the summer of 2011 to more than 300 in March 2012.

Social Work Services

During 2011/12, the Care Inspectorate completed its Initial Scrutiny Level Assessment (ISLA) process of adult and children's social work services in East Lothian. We were awarded a Level 1 scrutiny rating – this is the best possible rating and reduces the amount of scrutiny that inspectors need to carry out in the future.

Day Services












East Lothian Day Services started their redesign programme in 2011/12 and a new hub facility was established in the Fisherrow Community Centre. A system of Individual Reviews has been introduced for all day service users to help ensure that the service they receive meets their needs.

Health and Wellbeing

We were involved in a number of activities to promote health and wellbeing during 2011/12, these included:

- The establishment of the first four Community Sports Hubs (in North Berwick, Tranent, Haddington & Musselburgh) –involving a total of 32 clubs. The purpose of Hubs is to bring together sports clubs and physical education, sports development and school staff to share, learn and plan development at cluster level. It is anticipated that all six clusters will have Hubs by the end of 2012
- Completion of 3G pitches in Musselburgh, Tranent, and Haddington funded in partnership through ELC Capital Plan and Sportscotland Lottery Fund. The pitches provide significant increase in quality and capacity of provision
- Provision of around 45 different sports to school children via Active Schools – with a total of 6,831 activity sessions delivered.
- Delivery of Sports Development programmes to support children and young people's sporting achievement
- Delivery of a number of health improvement projects in partnership with NHS Lothian and the Council focusing on supporting child healthy weight; active choices for those 18+ who have a long term health condition and ageing well for over 50's

Performance Indicators

Indicator	Result	Target		Indicator	Result	Target	
SPI 9: % of older people with intensive needs receiving services at home	41.6%	37%		Average waiting time (days) for assessments	41% (Q4 11/12)	40%	
SPI 9: The number of homecare hours per 1000 population aged 65+	554	545		SPI 10: Number of attendances per 1000 population for indoor sports facilities	5534	5200	
SPI 9: The number of people aged 65+ receiving homecare	1178	1100		SPI 10: Number of attendances per 1000 population for pools	4551	4500	
SPI 9: % of homecare clients receiving personal care	87.4%	90%		Number of delayed discharge patients waiting over 6 weeks	0	0	
SPI 9: % of homecare clients receiving a service during the evening / overnight	42.4%	40%		% of P6 pupils agreeing that taking part in physical activities out of school is important to them	87.9%	87%	
SPI 9: % of homecare clients receiving a service at weekends	87.4%	80%					

Outcome 6: Fewer people experience poverty in East Lothian

Context

Despite being relatively prosperous compared to other parts of Scotland, East Lothian contains some areas with high levels of deprivation. The Scottish Index of Multiple Deprivation (SIMD) is used to provide an indication of the level of deprivation in an area. The SIMD is a relative measure of deprivation that ranks 6,505 similarly sized small areas called datazones across Scotland.

Three areas of East Lothian fall within the most deprived 15% of the 6,505 areas ranked by the SIMD. These small areas can be found in Tranent and Prestonpans. Further areas of East Lothian, including parts of Cockenzie, Port Seton, Haddington, Musselburgh, Prestonpans and Tranent fall within the most deprived 20% of areas in Scotland.

People living in deprived circumstances can also be found throughout East Lothian, including its rural areas. The cost of transport and reduced access to services contribute to the problems faced by rural residents on low incomes. Residents of rural areas are also more likely to suffer fuel poverty. East Lothian Council provides many services to help address deprivation, including benefits advice, education, economic development and community learning and development.

Achievements / activities

The Fairer East Lothian Fund (FELF) continued to support projects aimed at tackling the causes and effects of poverty. Thirteen projects received funding from the Fairer East Lothian Fund during 2011/12. Organisations receiving funding were required to deliver on one or more of the following outcomes:

- Fewer people in East Lothian will be financially excluded
- Financial capability in East Lothian will be improved
- The life chances of people at risk of falling into poverty, or already living in poverty will be improved
- People in East Lothian will have better access to advice and information services, including money and debt advice

The following are some examples of projects funded from the Fairer East Lothian Fund in 2011/12.

Financial Inclusion Project for Older People & Their Carers

Delivered by Carers of East Lothian, this project aims to improve the financial situation of older people and their carers by providing information and advice via presentations, roadshows and one-to-one consultations. In its first 6 months the project helped gain an additional £245,000 in income for older people in East Lothian.

Intowork

Intowork East Lothian supports disabled people into employment, training or further education. In its initial 9 months the project supported 28 people. Intowork also enables service users to access specialist welfare rights advice and support – this led to 37 people receiving almost £46,000 in additional benefits in the project's first 9 months.

Amber Mediation

The Amber Project works with young people and their families where there is conflict in the family home, with the aim of preventing youth homelessness (leading to poverty and reduced life chances). In its first year, Amber helped to prevent 31 young people becoming homeless and equipped over 40 families with conflict resolution skills.

The Way Forward

A new Tackling Poverty Strategy for 2012-2017 will outline how East Lothian Community Planning Partnership will continue to work together to tackle poverty.

Fuel Poverty

Fuel poverty is addressed as part of the 2012-2017 Local Housing Strategy. Up to 25% of households in East Lothian are estimated to suffer from fuel poverty according to the Scottish House Condition Survey. The Energy Assistance Package delivers a range of measures aimed at maximising incomes, reducing fuel bills and improving the energy efficiency of homes.

The Council also funds Changeworks to provide the East Lothian Energy Advice Centre (ELEAC), Warm and Well (a project focusing

on people whose housing may be affecting their health) and the Fuel Poverty Prevention Project, delivered in collaboration with the Haddington Citizens Advice Bureau.






The community group Sustaining Dunbar have received funding to deliver energy and fuel poverty advice through the Be Green Dunbar Energy Advice Shop and have also been undertaking home energy audits to a number of households in Dunbar.

Rent arrears

Council house rent debt has become a growing problem in East Lothian with current tenant arrears now amounting to over £1m. Effective housing debt management is vital to moderate the risk of arrears to the Council increasing further. Early intervention to prevent arrears escalating and a strong presence in the community are considered to be fundamental in a robust arrears management strategy.

The Council adopted a new Rent Arrears Policy in October 2011. While it is hoped that the provisions made within this policy will help the Council manage rent arrears with challenging times ahead, the impact of welfare reform, in particular payment of universal credit direct to tenants, will need to be addressed.

Performance Indicators

Indicator	Result	Target		Indicator	Result	Target	
SPI 18: Current tenants rent arrears as a % of the net rent due	9.2%	6.1%		SPI 18: Average number of weeks rent owed by tenants leaving in arrears	12.2	9	
SPI 18: % of current tenants owing more than 13 weeks rent, excluding those owing less than £250	8.5%	4.9%		SPI 18: % of former tenants rent arrears that were written off or collected during the year	28.7%	35%	
SPI 18: Proportion of current tenants giving up their tenancy that were in arrears	30.5%	25%					

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

Context

East Lothian Council works in partnership with its community planning partners to tackle the causes and effects of crime, disorder and abuse. Joint work with Lothian and Borders Police in relation to this outcome is well established and includes the provision of additional funding for dedicated Police teams. The Council also directly provides various services to help deal with crime and anti-social behaviour.

The Council's Criminal Justice Service works in partnership with other agencies as a member of Lothian and Borders Community Justice Authority. Community Justice Authorities were set up by the Scottish Government to support agencies to work together to provide services to reduce re-offending rates.

The Council's Antisocial Behaviour Team, Community Wardens and Night Time Noise Team also deal directly with tackling crime and antisocial behaviour (see outcome 8 below).

There are a number of partnerships that have been established to deal with various aspects of crime and abuse – each of which has been developed to cover both East and Midlothian – they are the East and Mid Lothian Violence Against Women Partnership, the East and Mid Lothian Child Protection Committee and the Joint Adult Protection Committee of East and Midlothian.

Achievements / activities

Enhanced Policing

2011/12 saw the introduction of a further Council-funded local police team, bringing the total number of additional police teams to four. The teams focus on local issues and antisocial behaviour, with dedicated teams for Musselburgh, Tranent and Prestonpans as well as the East Lothian Community Action Team which covers the whole of the county. The teams are 'intelligence led', responding to information gathered from partners including local housing officers, tenants and residents associations and voluntary groups and organisations.

Criminal Justice

Community Payback Orders came into force in Scotland in February 2011 and replaced provisions for Community Service Orders, Probation Orders and Supervised Attendance Orders.

A new Community Service Workshop was established in Prestonpans – work carried out has an environmental focus including making bird boxes and tables, building scooter racks and stripping and recycling bike parts. A new Community Service contract was also agreed in relation to parks and cemeteries, including the repair of gravestones and maintenance of core paths.

Adult Protection

Adult protection inquiries have increased significantly in comparison the previous year. Although numbers have increased significantly it should be noted that the percentage of those progressing through Adult Protection and to case conference remains comparable.




Violence Against Women

The Caledonian Programme was formally launched in December 2011. The Programme works with the perpetrators of domestic violence, whilst also addressing the needs of woman and children experiencing domestic violence.

Reaching Rural Communities

Operation Ether took place during 2011/12 with a focus on promoting community safety and wellbeing in rural communities. Police and Council Antisocial Behaviour Officers visited rural locations across East Lothian giving local people an opportunity to air any concerns whilst receiving relevant crime prevention advice. A number of antisocial behaviour hotspots were identified as a result of this initiative and ongoing surgeries are planned in some of the areas visited.

Performance Indicators

Indicator	Result	Target		Indicator	Result	Target	
Number of hate crimes recorded by the Police	62	61		Proportion of Community Payback Orders starting placement within 7 working days	73% (Q4 11/12)	67%	
Proportion of Social Enquiry Reports submitted to the courts by the due date	96.2%	97%		Number of Adult Protection Initial Referral Discussions	146	No target	
Number of Adult Protection Duty to Enquire cases	307	No target		Number of Adult Protection Investigations / Case Conferences	106	No target	

Outcome 8: Fewer people experience anti-social behaviour in East Lothian

Context

Antisocial behaviour is defined in Section 143 of the Antisocial Behaviour etc. (Scotland) Act 2004 as being any behaviour “that causes or is likely to cause alarm or distress” to a person or persons outwith the same household as the perpetrator of that behaviour.

East Lothian Council provides an Antisocial Behaviour Team that responds to problems in the community caused by, for example, nuisance, vandalism and graffiti. The Council also employs Community Wardens that provide visible uniformed patrols, aimed at reducing and deterring crime and tackling issues of anti-social behaviour, while encouraging good citizenship.

Achievements / activities

Antisocial Behaviour Team

The Council’s Antisocial Behaviour Team works with community planning partners to address the issue of antisocial behaviour. 1,847 complaints were made to the Antisocial Behaviour Helpline during 2011/12 (a slight increase from the previous year’s figure of 1,665).

A joint Police / East Lothian Council Tasking and Coordinating Group brings partners together on a weekly basis. The Group uses Police and Antisocial Behaviour Team statistics to identify antisocial behaviour “hotspots”. Agreement is then reached on the deployment of partner resources to address issues in hotspots – resources available include Local Policing Teams, the Community Warden Team, the Neighbourhood Outreach Team and CCTV.

The Council’s Anti Social Behaviour and Community Housing Teams also worked together successfully during 2011/12 to secure Eviction Orders against a number of Council Tenants convicted of drug offences in or around their properties.

Youth Diversionary Activity

During 2011/12, the Tasking and Coordinating Group allocated funding to a number of youth initiatives aimed at providing activities for young people involved or at risk of becoming involved in antisocial behaviour – this funding amounted to £35,000 and was used to fund six initiatives. These initiatives, along with other inputs from partners contributed to a drop of 6% in youth complaints to the Police.

The Council’s Community Learning and Development Team, along with Third Sector organisations deliver youth diversionary activities.

Night Time Noise Team

The Council’s Night Time Noise Team work in close partnership with Lothian and Borders Police dealing with all calls received by the Police Communication Centre in relation to noise related complaints. From June 2011 to May 2012, there were 962 noise related calls to the Police, the Night Time Noise Team responded to 642 of these. Evidence obtained by the Noise Team during 2011/2 was used in relation to obtaining a number of Antisocial Behaviour Orders.



The Council performs relatively well in relation to its targets for dealing with domestic noise complaints. The average time between a complaint being made and attendance on site is well within the target time of 24 hours.

Community Wardens

The Council has eight Community Wardens – one for each Council Ward and an additional Senior Warden. During 2011/12, Wardens have been involved in:

- Carrying out foot / cycle patrols
- Issuing Fixed Penalty Notices for litter and dog fouling;
- Promoting and coordinating the Council’s Dog Watch initiative (aimed at encouraging responsible dog ownership)
- Visiting schools to raise awareness of environmental issues and citizenship, as well as working with young people in the community
- Participating in local state inspections and reporting vandalism and street maintenance issues

Performance Indicators

Indicator	Result	Target		Indicator	Result	Target	
SPI 20: Average time between complaint and attendance on site for domestic noise complaints dealt with under part 5 of the Anti-social Behaviour Act	1.00 hour	0.8 hours		SPI 20: The number of complaints settled without the need for attendance on site	40	No target	
SPI 20: The average time between domestic noise complaints and attendance on site	4.00 hours	24 hours		Total number of calls made to the Anti-Social Behaviour helpline	489 (Q4 11/12)	No target	

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

Context

East Lothian Council is responsible for the maintenance of roads in the area. The Council can implement traffic management schemes to improve road safety. Measures taken to improve safety might include the establishment of traffic signals, one way streets and facilities for disabled people (e.g. tactile paving). The Council also provides school crossing guides and develops safer routes to school for children.

The Scottish Government published Scotland's Road Safety Framework to 2020 in June 2009. The Strategy sets out national casualty reduction targets: to reduce deaths by 40% (50% for children under 16) and serious injuries by 55% (65% for children under 16) by 2020.

The East Lothian Fire & Home Safety Group brings together representatives of the Police, Fire Service, Council and voluntary sector to look at joint responses to fire and home safety issues.

Achievements / activities



Safer Homes

Our Community Response Team received and made 139,000 calls from elderly and vulnerable residents of East and Midlothian via their Community Alarm. Over 250 East Lothian residents have an enhanced 'Telecare' package, giving them greater independence whilst allowing them to remain safe at home. In addition, the Team monitored CCTV across all the main towns of the county, working closely with our Police partners to deter and detect crime.

Road Safety

The number of road accidents in East Lothian is below the Scottish average and continues to decline, with 2011 seeing the lowest accident and casualty numbers ever recorded. The Council is a key partner in the Road Safety Working Group which works to make East Lothian's roads even safer. Some key road safety achievements during 2011/12 include:

- Two successful Walk To School Weeks took place – this is the 14th year of this initiative being delivered and resulted in around 200 fewer cars on the school run and over 1,000 pupils walking, cycling and scooting to school;
- East Lothian Council recognised as the best performing local authority in Scotland for active and sustainable school travel participation;
- Four successful school theatre tours delivered – 'The Journey', 'The Nine Lives of Roddy Hogg', '2MOROs Driver' and 'Better Late Than Dead on Time';
- Six projects completed through Cycling, Walking & Safer Streets Initiative including 2 new Pelican crossings and a new Zebra crossing;
- Five additional solar power Speed Reactive Signs commissioned;

Indicator	Result	Target	
Number of road accident casualties killed or seriously injured	30	36	
Number of road accident casualties with slight injuries	177	225	

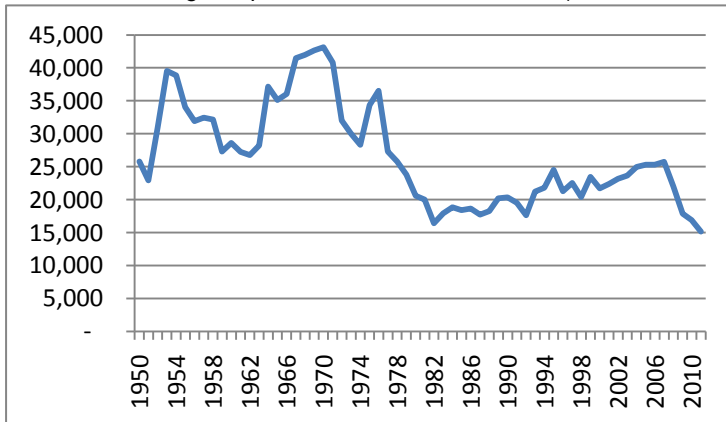
Outcome 10: In East Lothian people in housing need have access to an appropriate type, tenure and standard of housing and are prevented from becoming homeless

Context

East Lothian's attractive environment along with its proximity to Edinburgh makes it a desirable place to live. Unfortunately the demand for housing in East Lothian makes it the fifth most expensive area for housing in Scotland (Jan-March 2012). Housing costs, coupled with a vast reduction in the number of houses being built as a result of the recession, make it difficult for many people to access suitable housing. The overall number of new houses completed in Scotland was lower in 2011 than at any point over the preceding 60 years.

The Council helps to increase the supply of affordable housing using a range of methods. Examples of the Council's work include building new Council houses, working with local housing associations to provide new social rented housing, and requesting that private developers make a contribution to affordable housing as part of larger developments.

New build housing completions Scotland 1950-2011 (Scottish Government)



As at 1st April 2011, 4,403 households were on the Council's housing list. Until recently, the Council's turnover has remained at around 5% per annum with RSL's in East Lothian turning over around 4% of their stock. This represents an average of 610 social lets per annum and shows significantly lower turnover rates than the national average. However, as a result of an increase in supply through the Council's new build programme and increased transfer activity, the Council let a total 627 properties in 2010/11, a turnover rate of 7.5%.

Achievements / activities

Affordable Housing

There remains a significant demand for and pressure on affordable housing stock and the Council is continuing to implement ambitious plans to expand affordable housing in the county:

- The East Lothian Local Housing Strategy 2012-17 was approved in March 2012. The Strategy provides strategic direction to tackle housing need and demand and inform future investment in housing. The Strategy has five core priorities, one of which is to increase the supply of housing.
- The Local Housing Strategy sets out a 15-year housing supply target for affordable and market housing in East Lothian. The target for housing supply between 2009 and 2024 is 6,835 units, this includes 2,461 affordable homes.

- In 2011/12, the affordable housing programme delivered 190 units. This includes 123 through the Council's new build programme and 67 Registered Social Landlord units.
- The Council has submitted a total of four bids for funding from the Scottish Government's Kick-Starting Council House-Building and latterly through the Innovation and Investment Fund in 2011/12. We have been successful in securing a total of £11.4m to date towards the delivery of 411 units. The first draw down of funding, totalling £2.95m for 118 units was undertaken in March 2011. A further £3.06m will be received before the end of March 2012.
- The Scottish Government's Open Market Shared Equity Scheme (OMSE) budget for South East Scotland was increased in September 2011. In 2011/12, East Lothian saw the greatest number of sales across the six local authorities, a total of 15 sales between April 2011 and February 2012 representing 40% of sales across Edinburgh, Lothians, Borders and Fife.

Good Quality Housing

One of the five core priorities in the LHS is to improve the condition, energy efficiency and where appropriate the management, of all East Lothian's housing. In 2011/12, the Council's Scheme of Assistance and Council house modernisation programme contributed to achieving this priority.

Scheme of Assistance

The Scheme of Assistance aims to help homeowners, private landlords and private tenants repair, maintain, improve and adapt their homes. The Council implemented the Scheme of Assistance in April 2010 and delivery is co-ordinated by the Private Sector Housing Team. In 2011/12, the Private Sector Housing Team

provided telephone advice to almost 100 homeowners, around 30 households also received practical assistance.

Through the Scheme of Assistance, the Council provides grant assistance for disabled adaptations and in limited circumstances repair / improvement works. In 2011/12, 87 households were provided with grant assistance to adapt their home to make it more suitable for their needs.

Modernising Council Housing Stock

An accelerated programme for refurbishing existing Council housing stock began in 2009/10, with funding of £10.257 million. The programme continued into 2010/11 with a further funding allocation of £10.257 million. Refurbishment and modernisation carried out included:

- Replacing 400 central heating systems to raise efficiency levels;
- Electrical rewiring (324 rewiring and 208 partial rewiring projects);
- Re-roofing nine dwellings and carrying out five stair upgrades;
- Maintaining the paintwork and colourwash of houses;
- Re-rendering of 40 houses, plus repair of external boundary walls;
- Installing insulation in houses;
- Replacing 532 kitchens and upgrading 257 bathrooms.

Responding to Tenants Needs

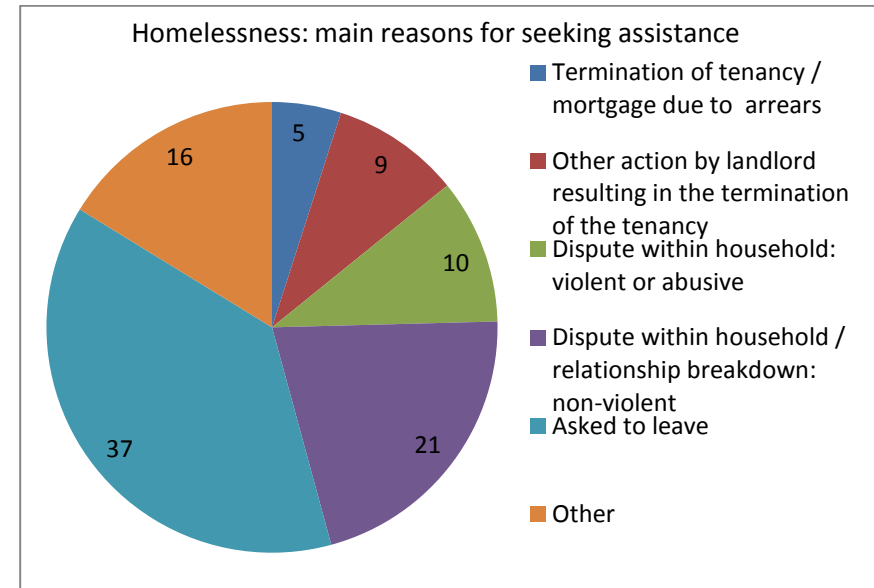
This year the East Lothian Tenants and Residents Panel (ELTRP) has continued to work tirelessly to strengthen participation and give tenants a meaningful voice. Working closely with the ELTRP, has enabled the Council to listen to tenants, respond effectively to their needs and develop the service accordingly.

Homelessness

Around 1,200 people present as homeless in East Lothian each year, although the number of homeless applicants has stabilised in recent years it remains high overall. Changes in legislation, which are due to come into effect in December 2012, will significantly increase the number of homeless cases we will have a responsibility to respond to.

















One of the Local Housing Strategy’s five core priorities is to ensure that fewer people become homeless. The Council has a strong commitment to reducing and preventing homelessness and has taken positive steps to work towards the 2012 target to ensure that all unintentionally homeless people are housed in permanent accommodation. The shortage of affordable housing remains a key issue in relation to homelessness and increasing the supply of housing is crucial (see section on affordable housing above).

Main reasons for seeking assistance: East Lothian 2009-10
<http://www.scotland.gov.uk/Topics/Statistics/Browse/Housing-Regeneration/hmlss0910>



The Council places significant importance on the role of good quality housing information and advice which can assist households to make good housing choices. The Council’s Housing Information and Advice Strategy 2012-17 will be approved later this year and will further support the Council to reduce and prevent homelessness.

Performance Indicators

Indicator	Result	Target		Indicator	Result	Target	
SPI 15: % of households meeting the Scottish Housing Quality Standard (SHQS)	62%	70%		SPI 17: Managing tenancy change (average time to re-let Council houses)	21.6 days (Q4 11/12)	44 days	
SPI 19: % of homelessness cases reassessed within 12 months	4.9%	5%		New build housing programme completions	123	156	
SPI 19: The % of households assessed as homeless that are housed in permanent accommodation	45.8%	50%		Number of households on the housing register	4403 (2010/11)	4500	
SPI 19: % of decision notifications issued within 28 days (temporary)	81.6%	80%		% of private rented properties registered with the Council	99.7% (Q4 11/12)	98%	
SPI 19: % of decision notifications issued within 28 days (permanent)	80.3%	80%		% of homelessness assessments completed in under 28 days	83% (Q4 11/12)	80%	
SPI 19: % of people that are housed in permanent accommodation that have maintained their tenancy for at least 12 months	94.8%	90%		Average number of days from priority to re-housing	270 (Q4 11/12)	240	
SPI 14: % of response repairs completed within target times	82.3%	90%		Average number of days in bed & breakfast	37 (Q4 11/12)	56	
SPI 16: % of rent lost due to voids	1.03%	1%		Average void time for temporary accommodation	16 days (Q4 11/12)	16 days	

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

Context

East Lothian offers a great variety of landscapes for walking, cycling and horse riding, with the Lammermuir Hills to the south, a coastline of broad sandy beaches and rugged cliffs to the north and east, and an expanse of arable farmland, woods and rivers in between. The Council's Landscape & Countryside Service helps people to enjoy the environment by, for example, maintaining paths and providing a countryside ranger service. The service also helps to conserve important habitats. East Lothian's population is forecast to grow rapidly and the impact of new developments on the environment needs to be carefully managed. The Council's planning service is responsible for balancing the social, economic and environmental impact of new developments.

Achievements / activities

Volunteer Path Warden Scheme

Launched during 2011/12, the Path Warden Scheme allows local people to adopt their local core paths, regularly inspect them and undertake minor maintenance tasks. A total of 27 people have volunteered to look after core paths close to where they live. During 2011-12, the Path Wardens carried out more than 628 hours of voluntary work on 175 km of the core path network.

New Paths

A 5km section of the River Tyne Path from Haddington to Hailes was created in 2011/12, linking Haddington to East Linton (and to John Muir Country Park and the John Muir Way). A path from

Haddington to Bolton was also created, linking Haddington to Gifford. These paths are part of the Core Path Network.

Pathways

East Lothian's Core Path Plan was adopted in December 2010. We now have over 300 kilometres of core paths connecting into the wider path network. Producing a Core Path Plan is a statutory duty that aims to give the public reasonable access to their area for walking, cycling and horse riding. Over 2,500 people were consulted in the process of producing the plan.

In parallel to Core Path activity, we have continued to develop and maintain the existing path network in East Lothian and have upgraded and created various new paths.

The Best Of East Lothian`s Wildlife

'The Best of East Lothian`s Wildlife' was published in 2011/12 – this guide gives an insight into what are considered to be the best places in East Lothian to get close to nature and encourages people to get out and about all through the year.

Biodiversity & the Curriculum for Excellence

The Curriculum for Excellence encourages teaching in the outdoors and this guidance booklet was developed to highlight the resources that are available and organisations that can help.

Dog Watch

The Dog Watch Campaign was launched in East Lothian during 2011/12. Dog Watch is designed to encourage the public and local community groups to be actively involved in helping the Council promote responsible behaviour among dog owners.

Planning

The Development Management Service determined 1,089 applications for planning permission and other statutory consents, a 5% increase on the previous year. Of these there were 159 applications for listed building consent and conservation area consent, a 9% increase on the previous year. Overall the proportion of all applications determined within two months fell by 1.65% to 74.2%.

Looking to the Future

The Council worked with neighboring local authorities (City of Edinburgh, Fife, Midlothian, Scottish Borders and West Lothian) during 2011 to prepare the Proposed South East Scotland Strategic Development Plan (SESplan).

The Proposed SESplan sets out a vision for future development and land use for the South East Scotland region up to 2032. It aims to ensure that the city region, underpinned by its high quality built and natural environment, continues to be internationally recognised as an outstanding area in which to live, work and do business.

Work then commenced on the preparation of a Local Development Plan for East Lothian (to link with the SESplan). The first stage in this process involved the preparation of a Main Issues Report. A programme of community events run by Planning Aid for Scotland then took place across East Lothian in early 2012 to gather views from the public, the business community and community councils on how East Lothian might develop and what issues should be addressed in the new Local Development Plan. The Main Issues Report is due to be published later in 2012.





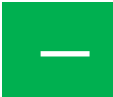



Wind Turbines

There continues to be strong interest in the development of wind turbines in East Lothian. To assist with the assessment of wind turbine applications the Council commissioned the East Lothian Supplementary Landscape Capacity Study for Smaller Turbines. This was approved following public consultation.

Haddington Town Centre

As part of the Haddington Town Centre Strategy work continues on the Conservation Area Regeneration Scheme, funded largely by Historic Scotland, which provides grants for quality repairs and enhancements to historic buildings in the town centre. The John Gray Centre was opened in March 2012, part of the series of restored listed buildings in Haddington town centre and providing a new home for the town library, local history centre, museum and exhibition space and the East Lothian archives.

Performance Indicators

Indicator	Result	Target		Indicator	Result	Target	
Number of priority habitats benefitting from active management	11	15		% of priority species benefitting from active management	45	45	
% of the core path network maintained	52.5%	26%		SPI 13: Proportion of householder planning applications dealt with within two months	92.6%	90%	
SPI 25: Cleanliness Index (LEAMS)	74%	73%		SPI 13: Proportion of non-householder planning applications dealt with within two months	56.2%	50%	
Pedestrian flow counts	26060	28500		Length of paths improved	6.58km	3.5km	

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

Context

The Council recognises climate change as a major issue and was a signatory of Scotland's Climate Change Declaration. One of the ways in which the Council measures its impact on climate change is via its 'carbon footprint' (i.e. the greenhouse gas emissions of the organisation). Waste is a major contributor to the Council's carbon footprint. Weekly refuse collections are made from over 40,000 households. In order to reduce the carbon footprint the proportion of waste sent that is recycled is being increased. The Council is also taking other steps to reduce its dependence on finite resources, for example reducing energy use via the Carbon Management Plan.

Achievements / activities

Environment Strategy

The East Lothian Environment Strategy (2010-15) was approved by the East Lothian Community Planning Partnership in December 2010 and formally adopted by the Council in January 2011. Its long term vision is that:

'East Lothian will be a place of opportunity for all, with a thriving low carbon economy, high quality environment and healthy communities that are prepared for the challenges of climate change'.

The Strategy contains an Action Plan to help guide delivery and monitor progress. One of our long-term outcomes is to minimise our dependence on finite resources, by reducing our ecological and carbon footprints by 80% by 2050.

Carbon Management

In 2008, the Council participated in the Carbon Trust's Carbon Management Programme to develop a Carbon Management Plan (2009-14), which aims to reduce the greenhouse gas emissions associated with activities under the direct control of the Council. We have set an ambitious target of reducing these emissions by 25% by 2014. During the first two years of the plan emissions have reduced by 11% (5.4% per annum).

This work is helping the Council to meet its obligations under the Climate Change (Scotland) Act 2009 and also reduces the Council's exposure to future energy price rises and the forth-coming Carbon Reduction Commitment tax.

Municipal Waste & Recycling

The Council provides many opportunities for recycling across the county. The Council has extended the number of 'Recycling On The Go' facilities. This is in addition to the 85 Recycling Points already provided.

Over two thirds of the material taken to our Recycling Centres were sent for recycling or reuse and residents can now recycle hard plastics and carpets at Kinwegar and Macmerry Recycling Centres.

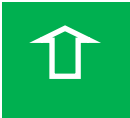





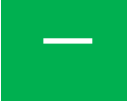

April 2011 saw the start of mixed plastic food container collection at the kerbside and the frequency of our rural recycling collection service was increased from monthly to fortnightly. All residents now receive a fortnightly collection of multi-materials from the kerbside.

Our recycling rate has increased once again and we are making steady progress towards the Zero Waste target to recycle 50% of household waste by 2013.

The waste treatment contracts now in place will enable East Lothian Council to meet both landfill diversion and carbon reduction targets. Around 5,000 tonnes of waste have so far been treated and value recovered instead of being sent directly to a landfill. Nearly all our waste will be sent for pre-treatment by the end of 2013.

The number of fly-tipping incidents has increased since the Council introduced a charge for special uplifts in 2009. Fly-tipping is being reviewed by the Council's Policy & Performance Review Committee to ascertain whether improvements could be made.

Performance Indicators

Indicator	Result	Target		Indicator	Result	Target	
East Lothian Carbon Footprint	35,004 tonnes (2010/11)	39,971		Kilograms per household residual waste	493	650	
% of schools with at least one Eco-school status award				Number of fly-tipping incidents	927	352	
SPI 24: The % of municipal waste collected through the year that was recycled or composted	43.7%			% of abandoned vehicles uplifted within 14 days	100%	100%	
Number of people using Civic Amenity Sites	245095	210000		% of green waste recycled	100%	100%	
				% of 'other' waste recycled	83% (Q4 11/12)	74%	

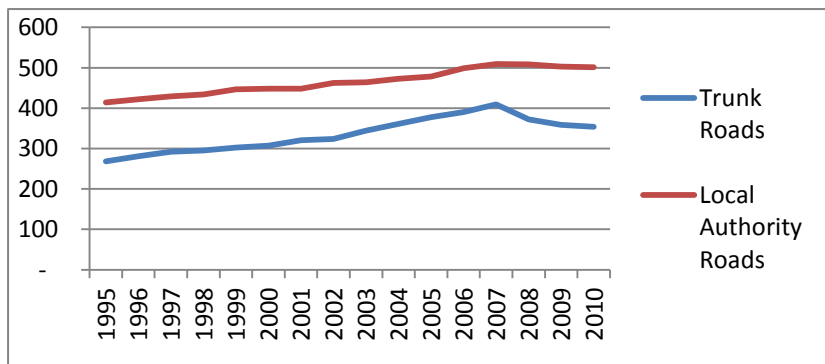
Outcome 13: East Lothian has well connected communities with increased use of sustainable forms of transport

Context

The major east coast Anglo-Scottish transport corridor of the A1 Trunk Road and East Coast Main railway Line (ECML) passes through the county and acts as a major passenger and freight artery for national, regional & local traffic. East Lothian’s proximity to the major employment opportunities in Edinburgh, its road and rail accessibility and its environmental quality continue to make it an attractive area in which to live. However, the relative lack of local employment opportunities results in 47% of the East Lothian working population commuting out on a daily basis (2001 census).

East Lothian Council is developing a sustainable transport plan for East Lothian in association with South East Scotland Transport Partnership. The Plan aims to reduce the number of private car journeys, support the development of the bus network, enhance rail provision and increase the use of cycling and walking. Road traffic levels have recently started to decline for the first time, largely due to the effects of the recession and high oil prices.

Traffic (million vehicle Kms) on trunk roads and local authority roads in East Lothian (Transport Scotland)



Achievements / activities

Local Transport Strategy

The Council carried out a comprehensive consultation exercise in 2011 to obtain the views of stakeholders and the wider public in relation to transport issues. The consultation included the use of an online survey, an easy read survey and meetings with local groups with additional needs and with Local Area Forums. The online survey itself received 204 replies. Information gathered during the consultation has been used to inform the development of the new Local Transport Strategy.

Public Transport

Discussions continue with bus and rail operators in order to improve services to and within East Lothian. In December 2011, ScotRail introduced a late Saturday night service to Dunbar from Edinburgh following the introduction of a daytime service in 2010.

Walking and Cycling

The production of individual School Travel Plans plays an important role in promoting safe, healthy and sustainable options for travel to school. Activities for pupils to encourage safe / sustainable transport options during 2011/12 included two “Walk to School Weeks”, the Bikeability Scotland initiative and “Cycling, Walking and Safer Streets” projects.

The 2011 Sustrans National Hands-Up Survey asked about pupils' mode of transport to and from school during a one week period in September and found that:




- 54% of school pupils in East Lothian walked to school (well above the national average of 44%)
- 7% cycled (national average 3%)
- 5% scooted (national average 1%)
- 12% travelled by car (national average 23%)

These figures mean that East Lothian continues to lead the way in promoting active travel choices for the journey to school.

Roads

In 2011/12 £3.062m was invested in planned maintenance and renewals of East Lothian's roads. This level of investment has brought about an improvement in the Road Condition Indicator that all Scottish councils use to measure the condition of their roads. Using this measure East Lothian is ranked 5th out of Scotland's 32 councils in relation to the proportion of the road network that should be considered for maintenance.

Performance Indicators

Indicator	Result	Target		Indicator	Result	Target	
SPI 22: % of the road network that should be considered for maintenance	29%	35%		% of road resurfaced	5.8%	5%	
Number of accident claims received	100	80					

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

Context

The Council helps to support strong and vibrant communities in a number of ways. Cultural services, for example museums and libraries, are provided by the Council. The Council's Community Learning and Development Service provide support for community groups and also provide courses and classes for people of all ages.

Community Councils continue to play a vitally important role in East Lothian community life, providing valuable support and giving a voice to the communities they represent. The Council has a positive and effective working relationship across the network of 20 Community Councils.

Achievements / activities

Community Centres

There are 15 community centres / facilities across the county where Community Learning and Development (CLD) staff support community management committees – helping to ensure that the Centres offer relevant and responsive programmes for the community.

Two new Community Centres were opened in 2011/12, Ormiston Community Centre and the Bleachingfield Centre in Dunbar, with the involvement of local communities at all stages. A further community facility is planned for Whitecraig and involvement of the local community will again be a priority.

The Council supports the 'Managing Together Programme' which brings together committees managing village halls and community centres to enable them to learn from each other, exchange information and skills, keep up to date with relevant policy and legislation and access training.

Sustainable and Resilient Communities

There are a number of community based, grassroots Transition Groups across East Lothian, aimed at making local communities more sustainable and resilient. The Council has been involved in establishing a new transition group in Musselburgh in 2011/12. We also supported the establishment of 'Ormiston Grows' – a new community business providing opportunities for people to volunteer in the community shop, garden in the market garden or become involved in environmental projects.

Community Activist Training

East Lothian's communities benefit from the work of local activists who get involved in addressing local issues and activities to improve the quality of life in their communities. Community Learning and Development delivered a 10 week course for community activists during 2011/12 aimed at helping them consolidate their skills and develop new ones.

'I'm so glad I had the opportunity to do the Community Activist course. Found the course fun, informative and helpful from a personal and a community view.' (Course Participant)

Communities Influencing Decisions

Muirpark Tenants and Residents Association and Elphinstone Community Centre worked together in 2011/12 to help develop artwork, play parks, allotments and other facilities for a new estate being built in the area - a good example of how communities can influence development in their local area.

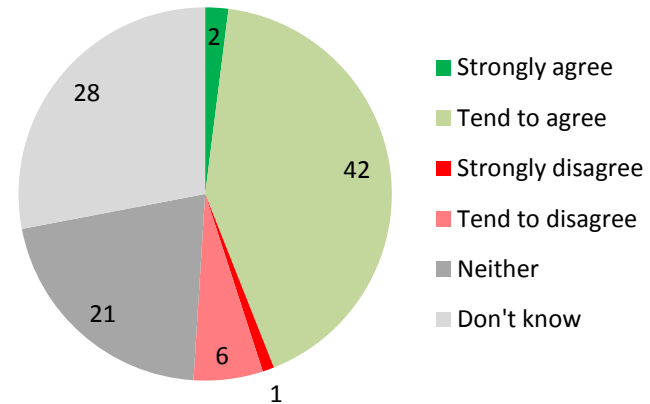
Work was underway in 2011/12 to develop a Local Community Plan for the North Berwick Coastal Ward. Consultation and engagement took place to identify needs and ambitions for the area; this involved 42 local groups and over 200 individuals.

A major consultation exercise took place in relation to the development of a Town Centre Strategy for Musselburgh. Over 1,200 people were involved in this process – the innovative ‘Planning for Real’ methodology was used to make the process as inclusive as possible.

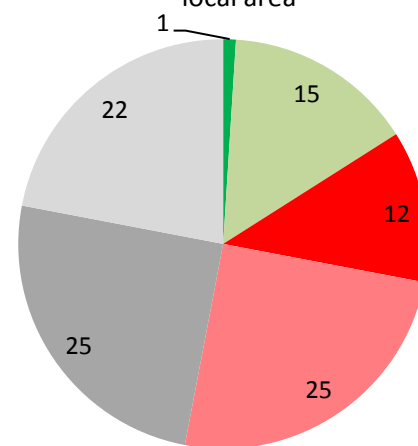
Other major consultation exercises taking place during 2011/12 included consultation on the East Lothian Housing Strategy, the East Lothian Transport Strategy and the Local Development Plan.

The 2011 Resident’s Survey asked people about the extent to which they believed that the Council listens to people’s views before taking a decision. 44% of residents agreed that the Council was good at listening to people’s views in comparison to 7% that disagreed. Fewer people (16%) thought that they could influence decisions, although it should be noted that only 10% of residents would like to be more involved in decision-making.

My Council is good at listening to people's views before it takes decisions



I can influence decisions affecting my local area



Libraries

Work continued during 2011/12 on capital projects for the John Gray Centre, Dunbar Library and Tranent Library. Haddington Library reopened in the John Gray Centre in March 2012, with 15,550 visits in the first month of opening – the Centre’s Development Team worked with local schools and communities to create pieces of visual art work for the opening exhibition ‘Our Place in Time’.

Supporting Community Councils










The Council continued to support Community Councils during 2011/12 with the provision of the Local Priorities Scheme (alongside Administration Grants).

The success of the Local Priorities Scheme is now recognised nationally as an exemplar of good practice. The Scheme provides local communities with financial resources to support their own locally determined priorities; in 2011/12 this amounted to almost £155,000 of funding. Local Priorities monies also often allow Community Councils to draw down funding from other funders, making this contribution even more valuable.

Some examples of how Local Priorities Scheme funding was used in 2011/12 include:

- Support to local groups, including playgroups, pipe bands and horticultural / In Bloom societies;
- Refurbishment of village halls and play parks;
- Providing notice boards, repairing fencing and restoring monuments;
- Buying dog fouling bins, Christmas lights and Speed Reactive Signs.

Performance Indicators

Indicator	Result	Target		Indicator	Result	Target	
% of adults agreeing with the statement 'I can influence decisions affecting my local area'	16%	23%		Number of borrowers as a % of the population	19% (Q4 11/12)	19%	
Number of people attending multi-cultural day	1100	800		Extent to which Community Learning and Development learning opportunities have a positive effect on the all round development and life chances of learners	80 (Q4 11/12)	72	
SPI 11: Number of visits to Council funded museums per 1000 population	4559	4000		Number of volunteers providing Healthy Living Services	476 (Q4 11/12)	500	
SPI 11: Number of visits to Council funded museums per 1000 population that were made in person	332	300		Number of volunteer days spent on conservation projects	748	750	
SPI 12: Number of visits to Council libraries per 1000 population	5258	5000					

Services built around people and communities

Context

The Council is committed to, and has been developing, a range of ways in which to engage effectively with citizens, customers and communities in order to better develop services around the needs of people and communities.

Local Area Forums have been established in three Council wards to develop Local Community Plans. The East Lothian Tenants and Residents Panel provides a forum for the views of tenants and residents to be fed into the Council. Community Councils are consulted on planning matters and key council policies. The Council carries out a bi-annual Residents' Survey to gather information about the views and experiences of East Lothian residents. The Education and Children's Service is committed to engaging with children and young people so that their views can influence policy.

A new Consultation and Engagement Strategy is due to be launched in 2012, the aim of this Strategy is:

'to establish a framework for all consultation and engagement activity to help ensure that it is well planned and coordinated and carried out in a meaningful and effective manner, following good practice and benefitting all those involved'

The Strategy will help to ensure good practice and consistency across the Council. There are also plans to introduce an online Consultation Hub – this will allow members of the public and other stakeholders to see what is taking place in terms of consultation exercises, it will also enable people to respond online where appropriate.

Achievements / activities

Customer Feedback

The Council's feedback procedure allows people to submit comments, suggestions, compliments or complaints in relation to the Council and its services.

During 2011/12:

- A total of 881 complaints were received. A 7% decrease on the total received last year.
- 309 (35%) were stage 1 complaints – dealt with directly at service level
- 572 (65%) were stage 2 complaints - required investigation and formal response
- 32 complaints were made to the Scottish Public Services Ombudsman (SPSO). Only 8 were taken forward and none proceeded to full investigation (report laid before the Scottish Parliament)
- 254 compliments were recorded about a range of services, consistent with last year
- Regular reports on the subject and outcome of complaints, as well as any service improvements undertaken as a result were submitted to PPRC

The Customer Feedback Module on the Council's Customer Relationship Management System (CRM) is now established and helps with the monitoring of response times against timescale and quality assurance.

The Scottish Public Services Ombudsman was commissioned to provide complaints investigation training in March 2012 to managers and team leaders to help improve the quality of complaints handling throughout the Council.

Trading Standards

The Trading Standards service handles consumer complaints where a consumer is in dispute with a trader or believes that a trader may be breaching trading standards law. Trading Standards received 318 consumer complaints, dealing with 90.9% of the complaints within 14 days of receipt.

The Trading Standards service also handles business advice requests, helping businesses to adhere to trading standards legislation. 59 Business Advice Requests were received during 2011/12. 96.6% of these were dealt with within 14 days of receipt.

Contact Centre

During 2011/12, we transferred calls for the Private Sector Housing service and for Children's Wellbeing to the Contact Centre. The Contact Centre are now answering approximately 21,700 calls a month through the main telephone lines and out-of-hours lines. Upgrading systems and logging all calls on the Customer Relationship Management (CRM) has allowed detailed information to be taken and calls transferred to the most appropriate member of staff making better use of staff time in service areas.




Council Website

A refreshed version of the Council website was launched in November 2011 with an upgrade to the site Content Management System, alongside a re-organisation of the website structure and navigation.

The aim of the project was to create clearer, more intuitive navigation which focuses on the 'top tasks' members of the public are likely to carry out. This new approach coincided with an increase in the number of online self service options available to the public via the Pay for it, Report it and Apply for it links.

The improvements to the website saw an 11% increase in overall traffic for the first 4 months of 2012 against the same period in 2011, as well as receiving an improved 3 star rating (out of a maximum 4) from the SOCITM Better Connected 2012 survey.

Performance indicators

Indicator	Result	Target	
SPI 21: Percentage of consumer complaints dealt with within 14 days of receipt	94%	100%	
SPI 21: Percentage of Business Advice Requests dealt with within 14 days of receipt	96%	100%	
% of complaints dealt with within target time			
% of phone calls answered by the contact centre	69.9%	70%	

Effective, efficient and excellent services

Context

Local authorities and other public services are entering a period where they will be required to 'do more with less'. Public spending is being reduced to help tackle the national budget deficit, which has a consequent effect on the amount of money available to fund Council services. East Lothian Council's Financial Strategy for the next three years aims to ensure that funding is provided for all known contractual commitments; however, any other increase in costs will need to be met by more efficient use of existing resources.

The Council has a legal duty known as Best Value to:

'make arrangements to secure continuous improvement in performance (while maintaining an appropriate balance between quality and cost); and in making those arrangements and securing that balance, to have regard to economy, efficiency, effectiveness, the equal opportunities requirements and to contribute to the achievement of sustainable development'

Resource maximisation, performance management, continuous improvement and customer excellence are central to the Council's way of working. The Council has implemented a range of successful programmes or strategies to improve effectiveness and efficiency and deliver excellent service, including:

- the Modernising Government programme - identifying new ways of working
- Customer Excellence Strategy - ensuring that customers are at the core of service delivery (e.g. through the development of the Council Contact Centre)

- Worksmart - encouraging flexible working options to allow the Council to rationalise use of office space in Haddington and Macmerry
- Printsmart - substantial reductions in the number of printers and the use of photocopying
- Efficient Workforce Management - reviewing workforce configuration and deployment

Achievements / activities

What the inspectors and auditors say...

Every year an overall assessment of the main risks to the Council is prepared by Scotland's public audit bodies (Audit Scotland, Care Inspectorate, HMIe and the Scottish Housing Regulator). The risk assessment found that:

'There are no significant concerns about East Lothian Council's overall performance... There is a clear vision and direction for the work of the council and a number of improvement activities are already underway and progressing well'

However, areas of uncertainty remain, including asset management and the use of self-evaluation and these will be the subject of scrutiny by the inspection agencies.

Self-evaluation

Corporate Governance self-evaluation

The following improvement points have been identified as actions that will ensure the Council can better meet its corporate governance responsibilities.

- Promote the Council Plan, Vision, Mission and Focus to staff and East Lothian citizens
- Complete the review of Community Planning Partnership governance arrangements and structures
- Roll out elected members' CPD to allow all members to participate
- Complete Review of Scheme of Administration and Scheme of Delegation, including the roles and responsibilities of the Council's Statutory Officers will be detailed in the revised Standing Orders and Scheme of Administration
- Review reports template following on from the Review of Scheme of Administration

How Good is Our Council?

Each of the Council's services have undertaken a self-evaluation using the 'How Good is Our Council?' (HGIOC) framework. The framework asks services to evaluate themselves against the following criteria:

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

Services use HGIOC to identify areas in which they need to improve. The improvement actions arising from HGIOC are reflected in service plans. Improvement actions that are relevant to the entire Council are contained in the Council Improvement Plan.
















Council Improvement Plan

The action points in the Plan are primarily drawn from the results of the HGIOC self-evaluation carried out by all services and the Corporate Governance self-evaluation. The Plan also contains relevant improvement points and actions from Audit Scotland's Overview of Local Government in Scotland, Audit Scotland's Annual Report to Members and the Shared Risk Assessment prepared by the Local Area Network.

Key areas for improvement identified within the Council Improvement Plan include:

- Options appraisal
- Asset management
- Developing the use of self-evaluation
- Performance measurement, especially in regard to equalities
- Review and communication of the Council's vision and priorities

Performance Indicators

Indicator	Result	Target		Indicator	Result	Target	
SPI 5: Cost per dwelling of collecting Council Tax	£12.11	£13.00		Ratio of employees to HR staff	152 (Q4 11/12)	96	
SPI 6: % of Council Tax collected	95.8%	95.4%		Cost of HR function per FTE employee	£91.82 (Q4 11/12)	£125	
SPI 23: Net cost per premise of refuse collection	£61.24	£80.00		SPI 7: % of all invoices paid on time	89.1%	85%	
SPI 23: Net cost per premise of refuse disposal	£70.01	£78.00		% spend with contracted suppliers	76% (Q4 11/12)	80%	
SPI 4: The gross cost per case of benefits administration	£56.85	£59.00		SPI 8: Proportion of operational accommodation that is in satisfactory condition	96.5%	90%	
Reports of Injuries, Diseases, and Dangerous Occurrences (RIDDORS) per 1000 employees	1.4 (Q4 11/12)	5		SPI 8: Proportion of operational accommodation that is suitable for its current use	80.1%	80%	
SPI 1: Sickness absence - teachers	5.7 days	6.5 days		SPI 1: Sickness absence - local government employees excluding teachers	11 days	10 days	
Non-domestic rates collection rate (quarterly)	98.1%	98%					

Prioritising prevention and promoting equality

Early intervention and tackling inequalities are key priorities for East Lothian Council and the Community Planning Partnership. The Council recognises the need to deliver a step change in how services are provided; moving from a model of public services that focuses on crisis intervention - services that try to put people and communities together again after things have failed - to a model that concentrates on preventing failure. The focus has to be on prevention and early intervention to avoid crisis intervention.




East Lothian was one of the areas for the Scottish Government's Equally Well programme which piloted different approaches to early intervention to tackle health inequalities. The successful Support from the Start initiative is to be rolled out across the whole county.

The Older People's Strategy, agreed jointly by the Council and East Lothian Community Health Partnership focuses on the need to shift the balance of care by developing community based options, preventative services and early interventions (e.g. developing telecare services to allow people to remain in their homes rather than more to care homes).

East Lothian Council became only the second local authority in Scotland to become a Stonewall Education Champion. This program provides bespoke support and guidance to local authorities in tackling homophobia and homophobic bullying in their local schools; in addition to this Ross High, Knox Academy, North Berwick High School, Preston Lodge High School and Dirleton Primary all became Stonewall School Champions where their performance on tackling homophobia and homophobic bullying will be benchmarked against other schools in the UK. We also hosted the first ever Stonewall Education Champions Seminar where senior teachers and quality improvement officers from all over Scotland came to the Brunton Hall.

East Lothian Council began a process auditing their main public buildings from a disabled access point of view. The process has started with John Muir House and focuses on both physical access and Inclusive Communication. The results of the audit will inform the development of the customer services development plan and will be rolled out across other major public buildings over the next year.

Performance Indicators

Indicator	Result	Target		Indicator	Result	Target	
SPI 2: The proportion of the highest 2% of earners among Council employees that are women	35.9%	40%		SPI 3: The proportion of buildings from which the Council delivers services to the public that are suitable and accessible to disabled people	50%	70%	
SPI 2: The proportion of the highest 5% of earners among Council employees that are women	47.5%	45%					

Where the money goes and financial summary

2011/12 has been a significant year for the Council in a number of ways. Although it has managed to successfully cope with immediate and significant expenditure pressures it has had to draw from its reserves for the first time. As a result of using reserves to balance its budgets, the amount of usable reserves available to the Council decreased by £7.5m (22%); comprising a decrease in Housing Revenue Accounts reserves of £3.4 million and a General Services decrease of £4.1 million.

The recovery in the national public finances now looks like it will be slower than first hoped and our reserves will be required to give East Lothian Council the time and the flexibility to respond to the financial challenges ahead.

Looking ahead, it is clear that the Council, along with other public bodies, is facing some significant financial challenges. Going into 2012/13 the Council is holding almost £14.7 million of General Services reserves, although these are now fully committed. The reserves will need to be used carefully and effectively to help manage the process of change that will be necessary to reduce our costs in line with the expected reduction in income.

Where the money comes from (from 2011/12 Statement of Accounts)

	£m
Council Tax	£45.941
Non domestic rates	£19.319
Non ring-fenced government grants	£151.365
Capital grants and contributions	£15.693
Total	£232.318

Where the money goes

The graphic in the next page shows how the 2012/13 budget approved by the Council in February 2012 will be divided amongst different services.

Capital Investment

In 2011/12 we invested £71.5 million in assets that support service delivery within East Lothian, which is a 25% increase on the previous year (£56.8 million). Just over £33m was spent on the Housing Revenue Account, building or buying houses to add to the Council's housing stock or repairing and modernising existing council houses. A further £38.3m was spent on general services capital providing significant capital investment across the county on new schools, community centres, the John Gray Centre and refurbished museums.

To support this capital spending, external borrowing increased by £38.9 million (15%). The difference between capital spending and external borrowing has been funded either from capital grants and external contributions or from the Council's own cash resources.

2012/13 Budget (* figures not shown for services with a budget of less than £2m)

Adult Social Care £45.4m	Primary Schools £31m			Transport & Waste Services £12.8m		
	Secondary Schools £36.2m	Children & Families £11.3m	Landscape & Countryside £6m	Pre-school Education & Childcare £5.6m		Healthy Living Service £4.4m
Culture £4m			Community Learning & Dev. £3.4m	Facility Support £3.1m	School Support £3m	
Pupil Support £7.7m		Community Housing £3.6m	Property Maint.	HR	Environmental Services	Customer Services
		Chief Executive's Office £3.6m	IT	Finance	Revenues & Benefits	EDU Legal

Key Contacts

If you should require further information or have a query in relation to this report, please contact our **Policy & Performance Team** at:

policy@eastlothian.gov.uk

or phone: **01620 827827**

Tell us what you think

We always want to hear what the people of East Lothian think about our services. Was this report easy to read? Did it inform you about Council services? Did it allow you to judge out performance? How could we improve the report next year?

If you want to give us feedback on this report or would simply like further information or to make a comment about the Council email the Policy & Performance Team at

policy@eastlothian.gov.uk

or phone: **01620 827827**

Versions of this publication are available on request on audiotape, in Braille or in your own language.

Tel: 01620 827199

REPORT TO: East Lothian Council
MEETING DATE: 28 August 2012
BY: Chief Executive
SUBJECT: Appointment of Head of Education

5

1 PURPOSE

- 1.1 To outline the process for appointment of the Head of Education following from the reconfiguration of the functions of the Council and the Chief Officer structure that has been in place since 1 April 2012.

2 RECOMMENDATIONS

- 2.1 Council is asked to approve the appointment and matching process outlined in paras 3.2 and 3.6 and to delegate to the Appointment Panel the authority to appoint the Head of Education.
- 2.2 Council is asked to nominate and approve two members of the Administration and one member of the Opposition party to constitute the Appointment Panel.
- 2.3 Council is asked to delegate to the Chief Executive the power to appoint suitable officers from Human Resources and Law and Licensing to support the Appointment Panel.

3 BACKGROUND

- 3.1 On 28 February 2012 the Council approved changes to the Chief Officer structure and the alignment of council services that arose as a result. It was recognised that Standing Orders did not apply in relation to the Chief Officer appointments because the appointments arose as a result of an organisational departmental restructure.
- 3.2 It was agreed that an Appointments Panel should be established consisting of two members of the Administration and one Opposition Group member, to be advised by the Chief Executive and Peter Hay, the Independent HR Adviser to the process. Officers from Human Resources

and Law and Licensing supported the process and provided any necessary clarification relating to applicable Council employment policies and procedures.

- 3.3 All existing Heads of Service at the time went through a selection process in March 2012 consisting of psychometric testing, presentation and interview following which the 6 successful candidates were appointed to one of the new generic Head of Service Posts with effect from 1 April 2012.
- 3.4 There were insufficient successful candidates to appoint to all posts and the Head of Education post remained unfilled.
- 3.5 On 26 June 2012 the Council rescinded an earlier agreement to share a Head of Education with Midlothian Council and agreed to proceed to recruit a Head of Education.
- 3.6 The recruitment exercise for the Head of Education is a continuation of the appointment process as a result of restructure for generic Heads of Service approved in February 2012 and accordingly it is appropriate that the same method of appointment by way of an Appointment Panel be followed rather than by the Chief Officer Appointments Subcommittee.

3.7 Indicative Timeline –

DATE	EVENT/ACTION	ACTIONS
Friday 21 st September	Campaign made 'live' MJS	HR
Midnight Sunday 7 th October	Campaign closes	HR
Monday 8 th – Wed 10 th October	Applications to Independent Adviser for 1 st sift and written report completed	Independent Adviser
Wed 10 th October 9am – 12noon	Appointment Panel meet to agree Long-leet	Appt Panel/ Independent Adviser/Chief Exec/HR
Thursday 11 th – Friday 12 th October	1:1 Interviews with long-leeted candidates and interview report on long-leeted candidates written up	Independent Adviser
Tuesday 16 th October 9am – 12noon	Appointment Panel meet to agree short-leet	Appt Panel/d Adviser/Chief Exec/HR
	Keil Centre notified of candidates for assessment	
Tuesday 16 th – Monday 29 th October	Keil Centre – Psychometric Testing See timeline below for details	Keil Centre
Monday 29 th October 2012	Psychometric Testing Feedback to Independent Adviser	Keil Centre/Ind Adviser/Chief Exec/HR
w/c 29 October 2012	Final Interviews	Appointment Panel

4 POLICY IMPLICATIONS

4.1 There are no policy implications.

5 EQUALITIES IMPACT ASSESSMENT

5.1 This report does not directly impact upon the wellbeing of equalities groups and an Equality Impact Assessment is not required. The Appointment Panel will ensure that the appointment is made on merit and that the selection process is compliant with the Council's Equalities in Employment policies and practice.

6 RESOURCE IMPLICATIONS

6.1 Financial – Relevant budgetary provision for the Head of Education post is included within the approved Education Budget for 2012-13 and that any associated campaign costs should be also charged against the Education Revenue budget.

6.2 Personnel - The HR Manager Operational Services will advise on Council Protocols, Policy and procedures relating to the proposed Appointment. The relevant Trades Union has been consulted on the proposal.

6.1 Other - None

7 BACKGROUND PAPERS

7.1 Report to Council of 28 February and Minutes of that meeting.

7.2 Members Library Report – Review of Chief Officer Structure Update dated 30 March 2012

7.3 Report to Council of 26 June and Minutes of that meeting.

AUTHOR'S NAME	Angela Leitch
DESIGNATION	Chief Executive
CONTACT INFO	Tel: 01620 827222 e-mail: aleitch@eastlothian.gov.uk
DATE	06 August 2012

REPORT TO: East Lothian Council
MEETING DATE: 28 August 2012
BY: Executive Director (Support Services)
SUBJECT: 2011/12 Year-end Financial Review

6

1 PURPOSE

- 1.1 To inform Council of the unaudited financial position for 2011/12 and to finalise arrangements for the carry-forward of funds into 2012/13.

2 RECOMMENDATIONS

The Council is recommended to:

- 2.1 Note the financial results for 2011/12, their impact on reserves and the Council's financial strategy.
- 2.2 Approve the addition of brought forward DSM surpluses to and deduction of brought forward DSM deficits from the 2012/13 individual schools budgets.
- 2.3 Approve the cessation of the Older Peoples Care Homes Service and Domiciliary Care Service as Trading Activities with effect from 01 April 2012.
- 2.4 Approve the final budget adjustments for the 2011/12 financial year (Section 3.30 - 3.32).

3 BACKGROUND

Overall Summary

- 3.1 The draft accounts for 2011/12 were submitted for audit on 26 June 2012 which is within the deadline set by the Accounts Commission. Audit work has commenced and will be completed by the end of September. The figures noted below and in the subsequent appendices, are unaudited and these could change as a result of discussions with our external auditors.

- 3.2 The draft accounts were presented to and discussed at the meeting of the Audit & Governance Committee on 17 July and a full copy of the draft accounts has been submitted to the Members Library.
- 3.3 Since 2010/11 the accounts of all local authorities must be prepared under International Financial Reporting Standards (IFRS). The presentation to the Audit & Governance Committee correctly focused upon the IFRS figures within the financial statements. However, we typically monitor our accounts on a statutory basis which strips out a number of IFRS adjustments. This report therefore focuses upon on the statutory position of the Council at the end of the financial year.
- 3.4 The key highlights from the 2011/12 closure of accounts are as follows;
- Usable Reserves decreased by £7.5m comprising a HRA decrease of £3.4 million and a General Services decrease of £4.1 million.
 - Capital spending totalled £71.5 million – a significant increase (26%) when compared to the previous financial year.
 - To support this capital spending, external borrowing increased by £38.9 million (15%). The difference between capital spending and external borrowing has been funded either from capital grants and external contributions or from the Council’s own cash resources.
 - Pension liabilities as measured by the actuary increased by £14.2 million (18%) to £94 million.
- 3.5 The results for the year have a number of implications for the Council’s financial strategy. In particular;
- The 2011/12 financial year is a significant watershed as the Council has used reserves to bridge the gap between income and spending on services. Usable General Service reserves dropped by 22% during the year.
 - The Council enters the 2012/13 financial year with the reserves expected and required as part of setting the 2012-2015 budgets in February 2012. However, all the existing reserves are now fully committed.
 - As at 31st March 2012, the Council remains on track with its existing financial strategy. However, significant financial risks – not least the inability of certain services to constrain and reduce costs and over-spends on capital projects – are emerging and will require further close monitoring and review as part of my reporting on 2012/13 financial performance.

General Services Revenue

- 3.6 The final results for the various General Services revenue budgets was generally in line with expectations and as reported in the quarterly reports made during the year. A summary of the financial position across

each of the Business Groups at the end of March 2012 is attached at Appendix 1a.

- 3.7 In overall terms there were under-spends across most Council revenue budgets – leading to a smaller use of reserves than originally planned when setting the 2011/12 budget in February 2011.
- 3.8 However, all the Groups rated as ‘High’ financial risk as part of the Quarter 3 report - which included Children & Families, Pupil Support, Community Partnerships and Transport & Waste overspent their approved budgets. The underlying pressures are unlikely to abate during the 2012/13 financial year. A key part of the Council’s financial strategy is based upon cost containment and any continued overspending across these areas would compromise delivery of the approved strategy.
- 3.9 The former Education & Children’s Services Department ended the year with an overall budget under-spend. However, this masked a number of significant variances. While the Primary Group was well under-spent – as a result of slower than expected increase in roll numbers - there were significant over-spends within the Children & Families and Pupil Support Groups. The situation within Children & Families has continued into the 2012/13 financial year and gives particular cause for concern.
- 3.10 The former Community Services Department (excluding the Housing Revenue Account) also ended the year with a budgetary under-spend – helped by an increased surplus within the Building Services Trading Activity. Adult Social Care ended the year broadly within budget. There were however over-spends within Community Partnerships as a result of additional grant payments to community groups and as a result of the increase in National Non Domestic Rate charges. These are also ongoing issues for the 2012/13 financial year.
- 3.11 When the planned use of reserves are taken into account, all corporate budgets (Finance, IT, Human Resources, Legal Services and the Chief Executive’s Office) were under-spent at the year-end. As had been anticipated during the year, Council tax income at the end of 2011/12 was slightly less than budgeted (0.7%) due to a reduction in the number of house completions that had been anticipated in setting the budget.
- 3.12 The former Environment Group ended the year with a small budget deficit of £52,000. There were overspends within the Roads Services Group – largely as a result of increased energy costs relating to Street Lighting, the cost of winter emergency work and responding to flooding emergencies. We are working with managers across this Group to ensure that greater cost control is exercised in this area over the coming year.

Reserves

- 3.13 During 2011/12 the Council used £4.1 million of its usable General Services reserves. This represented 22% of the total available at the start of the year and although planned, reflects a significant shift in the way in

which services are funded. An analysis of the movement and the current balances on each of the different reserves is included at Appendix 1b.

- 3.14 The Roads Renewals Fund – set up two years ago to meet the costs of reinstating the roads network after the severe winter – has now been fully used.
- 3.15 The 2011/12 financial year also saw the first use of the Cost Reduction Fund. This has now decreased from £5 million to £3.7 million with most of the reduction arising from the additional one-off costs which can arise when staff numbers are reduced. The staff groupings involved were; Chief Officers, IT Services and Domiciliary Care Services and these will generate significant recurring annual savings across future years.
- 3.16 Appendix 1b highlights two elements of General Services reserves that have been earmarked to support particular purposes. The first is £573,000 which is earmarked as carry-forwards for the schools under the Devolved School Management scheme. The second is £82,000 for Mid & East Lothian Drugs & Alcohol Project (MELDAP). This is a project that has been funded by a range of partners over an extended period of time.
- 3.17 Under the DSM scheme, the old year surplus or deficit for each school is added to or deducted from the current year budget for that school, all of which is funded by this earmarked element of the General Services reserve.
- 3.18 At the end of 2011/12 the Council retains £14.7 million of usable General Services Reserves. The largest part of this (£6.4 million) has been set aside to bridge the gap between budgeted income and expenditure in 2012/13 and 2013/14. There are currently no 'spare' General Services reserves and this is fully illustrated in Appendix 1b.

Trading Activities

- 3.19 East Lothian Council has set up five trading activities. Every trading operation has the statutory financial target of breaking even over a cumulative three period. This is seen as an important indicator of whether Best Value has been achieved in these services.
- 3.20 Each of the Council's trading activities produced a surplus during 2011/12. The results for the financial year for each are outlined below.

Trading Activities – Revenue Budget Performance for 2011/12 financial year		
Name of Trading Activity	(Surplus)/Deficit for the period £000	Cumulative (Surplus)/Deficit over past three years
Property Maintenance	(697)	(1,647)

Facility Services	(48)	(1,239)
Roads Services	(187)	(1,857)
Care Homes	(80)	(62)
Domiciliary Care Services	(248)	(74)

- 3.21 There is no definitive list of which service has to be a trading activity. The test of what is a Significant Trading Operation (STO) – to use the terms in the relevant legislation - is considered to be a matter for individual authorities and each Council is expected to structure the delivery of its services in order to achieve Best Value in their area.
- 3.22 In a number of cases, especially where there were services that were used to competing for work under the old Compulsory Competitive Tendering (CCT) regime, there was also a desire to retain a competitive edge to service delivery. This was true of the Property Maintenance, Facility Services and Roads Services trading operations.
- 3.23 The two Adult Social Care trading operations (Care Homes and Domiciliary Care Services) were different as they were initially set up three years ago at the time the National Care Home contract was being developed and during the establishment of new procurement/contracting arrangements.
- 3.24 These two trading activities have now been operating for three years and have met the required statutory targets over this period. It is my view, along with the Head of Adult Wellbeing, that the original purpose of these two trading operations has been met.
- 3.25 In these circumstances it would be appropriate to cease the trading activity arrangements with effect from 01 April 2012. The two services would continue to operate in their current way and clients or customers would see no change in the way in which services are provided.

Housing Revenue Account

- 3.26 The financial results for the Housing Revenue Account were also very much in line with expectations. Although rental income was under-budget - due to the slower delivery of affordable homes - there were compensating variations in other lines in the budget.
- 3.27 During 2011/12 the reduction in usable reserves for the Housing Revenue Account totalled £3.4 million. This was planned as part of budget decisions made during the year and relates almost entirely to the purchase of homes under the Council's Open Market Acquisition scheme. An analysis of the movement in HRA reserves is included at Appendix 1b

- 3.28 Moving into 2012/13, the Housing Revenue Account remains healthy and has adequate reserves of £6.7 million. These will be used as part of the ongoing Modernisation and Affordable Homes capital programmes.
- 3.29 The HRA reserves of £6.7 million are split between general reserves of £2.8 million and a Capital Fund of £3.9 million. The latter can be used in the future to either finance capital expenditure or allow for the redemption of debt. The advantage of this reserve is that it can be used flexibly in the coming years to manage the effect of rising debt costs particularly those associated with the new build programme.

Budget Adjustments

- 3.30 As part of the year-end 'closedown' we are required by relevant statute to process a number of accounting adjustments in order that the statements we submit are in the approved format. The most significant adjustments are as follows;
- Central Support reallocations – to ensure that we report the total cost of each service provision we are required to reallocate the costs and budgets for central support services such as Finance/IT/Human Resources to 'service' accounts such as Social Work & Education;
 - IAS19 Pension Adjustments/Credits – for the majority of staff the Council made under statutory arrangements an employer's pension contribution of 17.5% of salary plus an amount to fund the interest on previous years' deficits. In accounting terms this charge is too high since it covers the necessary charge for the financial year plus a charge for pension contributions relating to previous years. An accounting adjustment needs to be undertaken at the end of the financial year in this respect.
 - Depreciation – in order that the Council follows generally accepted accounting practice we are also required to allow for depreciation in our annual accounts preparation.
- 3.31 The requirement to carry out these adjustments results in the final year-end figures being on a different basis compared to the budget reports issued to management during the year. To minimise any difficulties that may arise from this where possible budgets are entered for depreciation and the majority of pension credits. We also adjust for central support costs and reserves transfers as appropriate.
- 3.32 In addition to the above the Secondary School Group budget was increased by £32,000 in total to reflect the receipt of additional Revenue Support Grant relating to probationer teachers.

Capital Investment and Borrowing

- 3.33 During 2011/12 the amount spent on capital assets continued its upward trend. This is indicated in the Table below.

Year	Gross Capital Spend (£m)	HRA Capital Spend (£m)	General Services Capital Spend (£m)
2011/12	£71.5m	£33.2m	£38.3m
2010/11	£56.8m	£30.1m	£26.7m

3.34 The total capital spend in 2011/12 was £71.5 million - with the HRA accounting for £33.2 million of this total. The HRA capital spend can be split as follows;

- £14.2 million on new Affordable Homes;
- £8.0 million on Open Market Acquisition and the Mortgage to Rent scheme;
- £11.0 million on Modernisation.

3.35 Gross capital expenditure within General Services related specifically to the Capital Plan (£35.1 million) was less than planned (£39.9 million) mainly as it has taken longer than expected to initiate some major projects, particularly the new Musselburgh Care Home and the Gullane Day Centre.

3.36 However, 2011/12 has seen the emergence of significant overspends on specific capital projects. These include the following;

- Brunton Hall Refurbishment – the current final anticipated overspend is anticipated to be in the region of £350,000 in excess of the approved project cost of £3.7 million.
- Dunbar Community Facility – the final anticipated overspend is expected to be in the region of £200,000 in excess of the approved capital costs of £4.5 million.
- Ormiston Community Facility – the current costs on this project total £1.048 million against a budgeted project cost of £900,000.

3.37 A significant proportion of the additional costs of these projects has or will fall due in the 2012/13 financial year – again putting additional strain on the approved Capital Plan and to an extent, the Council's financial strategy.

3.38 I have requested further information on the background to these overspends and this will be considered in detail by the Corporate Asset Group (CAG). In conjunction with the CAG, I am also carrying out a review of the Capital Plan. This review includes extending the planning horizon for capital work, updating project timing and costs when appropriate, and assessing how the future capital spend will be afforded.

The results of this review will be reported back to Council/Cabinet for consideration and approval. As part of this review we will consider how the specific overspends noted above could be treated.

- 3.39 At its August 2010 meeting, the Council agreed to set up a £2 million Property Renewals Fund with the aim of meeting some of the costs of a £7M planned programme of priority works across the Council's property estate. During the 2011/12 financial year spending on these works totalled £1.8 million and has been partly funded by a transfer of £500,000 from the Property Renewals Fund with the remainder charged against the capital account. The balance on the Property Renewals Fund now stands at £932,000 and is presented alongside other reserves on Appendix 1b. The future funding of these works is also being considered as part of the review of the Council's Capital Plan referred to above.
- 3.40 Borrowing has increased in line with capital investment. During 2011/12 long-term and short term borrowing increased to £292.5 million, an increase from £253.6 million in 2010/11. This debt has to be repaid with interest from future revenue budgets.

4 POLICY IMPLICATIONS

None.

5 EQUALITIES IMPACT ASSESSMENT

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 – as described above.
- 6.2 Personnel – none.
- 6.3 Other – none.

7 BACKGROUND PAPERS

- 7.1 Council 8 February 2011– All
- 7.2 Council 29 March – Item 01 Increase in Revenue Support Grant Funding. Change in ELC Budget 2011-2012
- 7.3 Council 17 May 2011 – Item 6 Financial Strategy – Update

- 7.4 Council 23 August 2011 – Item 09 2010/2011 Financial Review.
- 7.5 Council 25 October 2011 – Item 12 Financial Strategy – Mid Year Review
- 7.6 Cabinet 8 November 2011 – Item 01 Mid Year Review – New Build Programme
- 7.7 Members Library February 2012 – Financial Review 2011/12 – Quarter 1
- 7.8 Council 14 February 2012 – All papers
- 7.9 Members Library July 2012 – Draft Statement of Accounts
- 7.10 Audit & Governance Committee 17 July 2012 – All papers

AUTHOR'S NAME	Jim Lamond
DESIGNATION	Head of Council Resources
CONTACT INFO	jlamond@eastlothian.gov.uk
DATE	15/08/2012

REVENUE BUDGET PERFORMANCE at 31 March 2012

	Budget for the year £000	Actual to 31/03/12 £000	Budget for the period £000	(Surplus) / Deficit for period £000	(Surplus) / Deficit %	Financial Risk Assessment	Change since last assessment
Education & Children's Services							
Children & Families	12,642	13,111	12,642	469	3.7%	High	Increase
Pre-school Education & Childcare	6,349	6,195	6,349	(154)	(2.4%)	Low	No change
Pupil Support	7,840	8,196	7,840	356	4.5%	Medium	No change
Schools - Primary	129,363	128,180	129,363	(1,183)	(0.9%)	Low	No change
Schools - Secondary	127,468	127,683	127,468	215	0.2%	Medium	Increase
Schools Support Services	4,396	4,155	4,396	(241)	(5.5%)	Low	No change
	288,058	287,520	288,058	(538)	(0.2%)		
Community Services							
Adult Social Care	50,853	50,772	50,853	(81)	(0.2%)	Medium	No change
Community Housing	4,278	3,942	4,278	(336)	(7.9%)	Low	No change
Property Maintenance	3,637	3,055	3,637	(582)	(16.0%)	Low	No change
Housing Revenue Account	0	4,432	0	4,432	0.0%	Low	No change
Community Partnerships	1,096	1,596	1,096	500	45.6%	High	Increase
Culture	6,664	6,710	6,664	46	0.7%	High	Increase
Community Development	16,429	16,329	16,429	(100)	(0.6%)	Low	No change
Facility Support	1,449	1,458	1,449	9	0.6%	High	Increase
Healthy Living	16,112	16,212	16,112	100	0.6%	Low	No change
Landscape & Countryside Mgt	6,734	6,686	6,734	(48)	(0.7%)	Medium	No change
	107,252	111,192	107,252	3,940	3.7%		
Chief Executive's Office	3,344	4,101	3,344	757	22.6%	Low	No change
Environment							
Economic Development	1,114	974	1,114	(140)	(12.6%)	Low	No change
Planning & Environmental Services	3,427	2,881	3,427	(546)	(15.9%)	Low	No change
Transport & Waste Services	21,379	22,117	21,379	738	3.5%	High	Increase
	25,920	25,972	25,920	52	0.2%		
Corporate Resources							

Human Resources	0	0	0	0	0.0%	Low	No change
Financial Services	0	0	0	0	0.0%	Low	No change
Revenues & Benefits	1,410	1,173	1,410	(237)	(16.8%)	Low	No change
Customer Services	488	471	488	(17)	(3.5%)	Low	No change
Law & Licensing	26	(12)	26	(38)	(146.2%)	Low	No change
IT Services	0	0	0	0	0.0%	Low	No change
	<u>1,924</u>	<u>1,632</u>	<u>1,924</u>	<u>(292)</u>	<u>(15.2%)</u>		
Total All Departments	<u>426,498</u>	<u>430,417</u>	<u>426,498</u>	<u>3,919</u>	<u>0.9%</u>		
Corporate Management							
Revenue Support Grant (inc. NNDR)	(170,684)	(170,684)	(170,684)	0	0.0%	Low	No change
Asset Management	(215,524)	(215,254)	(215,524)	270	(0.1%)	Low	No change
Council Tax	(46,259)	(45,945)	(46,259)	314	(0.7%)	Low	No change
Joint Board Requisitions	10,482	10,181	10,482	(301)	(2.9%)	Low	No change
Other	994	223	994	(771)	(77.6%)	Low	No change
HRA Transfer	(247)	(247)	(247)	0	0.0%	Low	No change
Use of Reserves	(5,260)	0	(5,260)	5,260	0.0%	Low	No change
	<u>(426,498)</u>	<u>(421,726)</u>	<u>(426,498)</u>	<u>4,772</u>	<u>(1.1%)</u>		
Total All Council	<u>0</u>	<u>8,691</u>	<u>0</u>	<u>8,691</u>			

Note

Budgets and Actuals are after the redistribution of central support and shared accommodation costs plus the impairment adjustments

RESERVES ANALYSIS - 31 MARCH 2012**Change in Usable Reserves**

Reserve	31 March 2011	Change/Use	31 March 2012
	Position	Position	Position
	£m	£m	£m
General Services Reserves			
Required to Support Future Budgets	8.408	-2.051	6.357
Civil Emergency	2.000	0.000	2.000
Property Renewals	1.432	-0.500	0.932
Cost Reduction Fund	5.000	-1.267	3.733
Roads Renewals	0.600	-0.600	0.000
Earmarked Reserves			
• DSM (Devolved School Management)	0.265	0.308	0.573
• MELDAP/DAAT	0.144	-0.062	0.082
Insurance Fund	1.006	-0.033	0.973
Capital Receipts Reserve	0.000	0.095	0.095
Sub-total General Services Reserves	18.855	-4.110	14.745
HRA Reserves			
Capital Fund	5.399	-1.414	3.985
General Reserve	4.743	-1.995	2.748
Sub-total HRA Reserves	10.142	-3.409	6.733
Total Reserves/Change	28.997	-7.519	21.478

CAPITAL BUDGET PERFORMANCE 2011/2012

Funded By Capital Programme

Capital Project	Area	2011/12 Capital Budget (£'000s)	2011/12 Capital Spend (£'000s)	Notes
New Day Centre - Gullane	Adult Social Care	1,400	91	Spend delayed to 12/13
Fa'side Tranent - new residential home and Day Centre (ASC005)	Adult Social Care	128	97	
Musselburgh Care Home	Adult Social Care	1,000	0	Spend delayed to 12/13
Mobile Working	Community Housing	23	0	
PV installations in public buildings	Corporate	600	541	
Brunton Hall - Theatre and Main Hall refurbishment	Culture & Community	2,100	1,617	Overspend on whole project expected
Dunbar - new Community facility (HC046)	Culture & Community	3,650	3,725	Overspend on whole project expected
Dunbar Town House Museum	Culture & Community	598	580	
John Gray Centre Haddington (HC018)	Culture & Community	3,516	3,306	Awaiting final bill
Musselburgh Racecourse - new stables & community building (HC033)	Culture & Community	61	165	Overspend on whole project
Ormiston Community Centre (HC047)	Culture & Community	786	817	Overspend on whole project expected
Tranent Library	Culture & Community	971	849	
North Berwick Museum - refurbishment (HC021)	Culture & Community	100	16	
Campie Primary - Relocate Nursery within main school	Education	60	0	
Dunbar New Primary School (ECS030)	Education	3,080	2,972	
Dunbar Primary - relocate Comms Unit from Burgh	Education	400	406	
Haddington IS / St Mary's RCPS - New shared Campus	Education	5,333	3,966	
Sandersons Wynd PS - additional Classrooms (ECS042)	Education	20	0	
SEN Equipment - specialised equipment for pupils (ECS047)	Education	30	19	
Toilets East Beach Nth Berwick - Glen Golf Club	Facility Support	25	0	
Replacement Vehicles (ENV002)	Fleet	1,691	1,685	
East Lothian Legacy Project - 3 new All Weather	Healthy Living	1,823	1,966	Overspend will be recovered in 12/13
East Lothian Legacy Project - All Weather Running/Meadowmill	Healthy Living	934	791	
Pavilions - Longniddry, Middleshot Sq, Olivebank, Whittinghame Drive, Lewisvale Park	Healthy Living	40	77	
Sports Centres - refurbishment & Equipment	Healthy Living	375	375	
Schools IT	IT	1,222	1,227	
Corporate IT	IT	240	286	
Core Path Plan Implementation (HC028)	Landscape	129	111	
New Groundcare Depot - the Heugh, Nth Berwick (relocation from Lime Grove)	Landscape	21	96	Overspend on whole project
Polson Park restoration (HC038)	Landscape	50	137	
John Muir Country Park Play Area	Landscape	80	0	
Vehicle Management System	Landscape	40	0	
Cuthill Park	Landscape	100	0	
Amenity Services Machinery & Equipment - replacement	Landscape	323	283	
Project Fees	Corporate	1,161	1,746	Adjustment as part of 12/13 budgets
Cemeteries - Extensions (HC026)	Landscape	300	0	
Coastal Car Parks	Landscape	400	48	

Peppercraig Depot Haddington - extension for staff welfare required by H & S etc
 New Investment Properties
 Roads
 Purchase of New Bins

Landscape	25	17
Property Maintenance	230	0
Roads	6,800	6,999
Waste Services	70	96

Underspend in 10/11

	39,935	35,107
--	---------------	---------------

Funded From Other Sources

Property Renewals (Mostly Primary Schools)
 Revenue Resources/Donated Assets
 Previous Under-spends on Projects

	0	1,844
	0	791
	0	520

Total Gross General Services Capital Spend

	39,935	38,262
--	---------------	---------------

REPORT TO: East Lothian Council
MEETING DATE: 28 August 2012
BY: Executive Director (Support Services)
SUBJECT: Welfare Reform Update

7

1 PURPOSE

- 1.1 To provide an update to Council Members on expected changes to the Housing Benefit and Council Tax Benefit schemes as a consequence of the Welfare Reform Act (2012).
- 1.2 To develop an understanding of what these changes may mean for a number of Council services and for East Lothian households sustaining affordable tenancies.
- 1.3 To identify key steps the Council can take to try to minimise any potentially negative impacts of welfare reform in the community.

2 RECOMMENDATIONS

- 2.1 Council agrees to:
 - promote awareness and understanding of the impact of the welfare reform agenda on East Lothian communities
 - take action to try to minimise any potentially negative impacts of welfare reform by ensuring that Council service areas are optimally configured to continue to deliver high quality services to East Lothian residents.
 - note the potential impact of welfare reform on individuals and families when taking decisions about service development and to consider as part of budget deliberations the potential impact of welfare reform on the Council's revenues and council house rental Income.

3 BACKGROUND

3.1 Previous reports to Council on 22 February 2011 and Cabinet on 8 November 2011 outlined the impact of the various changes to the 'current' Housing and Council Tax Benefit, (HB/CTB) schemes that came about as a result of the UK Government's emergency budget, (22 June 2010). These reports also anticipated the further changes proposed by the '21st Century Welfare Reform Bill'.

3.2 The changes proposed by this Bill were subsequently confirmed by the Welfare Reform Act (2012) which received Royal Assent on 8 March 2012. This report seeks to inform Council what these further welfare changes will mean for Council services and the communities they serve.

Recent Changes to Current Schemes

3.3 As previously reported the changes to the 'current' schemes have already impacted on:

- Local Housing Allowance claims
- Housing Benefits/ Council Tax Benefits Claimants with Non Dependants
- Local Housing Allowance Claims from single people aged 35 or younger living in self contained accommodation

Housing Benefits Restrictions for Over Accommodation

3.4 In April 2013 a restriction on Housing Benefit will be introduced for claimants in the 'Social Rented Sector' who are deemed to be 'over accommodated'. This will mean that claimants renting from councils or housing associations who are 'under occupying' their properties will see their Housing Benefit reduce.

3.5 Initial analysis carried out by the Benefits Unit and the Community Housing Service anticipates that approximately **567** East Lothian Council Tenants who are currently under occupying their tenancy by 1 bedroom are likely to see a 14% reduction in their Housing Benefits whilst **104** who are under occupying by 2 or more bedrooms may see a reduction of 25%.

3.6 Whilst there are plans to publicise this change and directly contact those that can be identified, claimants who are unable to consider moving to a smaller property will be left with a higher portion of their rent to pay and it is possible that those who can move will find that there is an insufficient supply of smaller properties to meet demand.

Overall Benefit Cap

- 3.7 One of the key principles of the coming welfare reforms is that no one in receipt of welfare benefits will be allowed to exceed average earnings, (currently £350pw for a single person, £500pw for a couple). To achieve this Housing Benefit entitlement will be restricted from April 2013 for any claimant likely to exceed the overall benefit cap.
- 3.8 In preparation for this change the Benefits Unit will receive regular data scans from the Department for Work and Pensions (DWP) which should help identify claimants that may be affected. Early indications suggest that only a small number are affected, however these are likely to include claimants in the Council's Private Sector Leased tenancies.

Abolition of Council Tax Benefits

- 3.9 In April 2013 the Welfare Reform Act will take Council Tax Benefit out of the Welfare System and 'localise' the administration of a Council Tax 'Relief scheme'. This will require the Scottish Government to amend Council Tax legislation and implement a national means tested relief scheme that will be administered by Local Authorities. Consultation on the draft guidance for the new scheme is expected shortly however the scheme and its associated software changes must be in place for Council Tax annual billing, (February 2013).
- 3.10 The budget that will be devolved to the Scottish Government for the Council Tax Relief scheme will be 10% less than the 2012/13 Council Tax Benefit expenditure figure. However the Scottish Government has decided that there will be no detriment to claimants for next year. Therefore the £40m shortfall in Scotland will be funded for 2013/14. It is understood that £17m of this shortfall will come from the financial settlement for Councils and the remaining £23m will come from the Scottish Government.

Social Fund Successor Arrangements

- 3.11 In April 2013 the 'Community Care Grants' and 'Crisis Loans' elements of the DWP's Social Fund will transfer to the Scottish Government which has decided to introduce an interim scheme for Local Authorities to administer. It is hoped that councils will be better placed to direct these funds more effectively to alleviate hardship being experienced by extremely vulnerable clients who either find themselves dealing with a crisis or are at risk of losing their ability to live independently.
- 3.12 A common application form will be developed and used throughout Scotland and the Scottish Government have circulated draft guidance for comment in respect of the new scheme which has a working title of 'Scottish Community Support Fund'.

- 3.13 CoSLA has appointed a Lead Officer to help councils with the implementation of the scheme. Council Finance Officers have attended meetings with CoSLA, Scottish Government and software providers. These discussions have established that in the short term the Council Benefits Unit is likely to be best placed to take on the administration of The Scottish Community Support Fund. However, it is recognised that close links will need to be forged between the Benefits Unit, Welfare Rights, Children's and Adult Wellbeing Services and the Homelessness Service if this assistance is to be correctly targeted.

Implementation of Universal Credit

- 3.14 In April 2013 the DWP will launch a 'Pathfinder' project to test Universal Credit arrangements with Local Authorities within the Greater Manchester area.
- 3.15 From October 2013 the UK Government plans to begin the transfer of all new claims for Housing Benefit for working age claimants to the new Universal Credit. The (pension age) Housing Benefit caseload is expected to transfer to Universal Credit at some point in 2014.
- 3.16 Whilst it is understood that Universal Credit will be administered centrally by the DWP/ HMRC there are a number of pilot projects underway exploring possibilities for Local Authorities to deliver face to face and/or 'assisted' services to claimants. Whilst no decision has been made yet about Local Authority involvement, it is likely that councils will be expected to maintain the remaining Housing Benefits claims already in payment until these can be migrated into Universal Credit (some point between 2013 and 2017). It is thought that Council budgets may come under further pressure if Housing Benefit/ Council Tax Benefit administration subsidy is reduced in line with the abolition of Council Tax Benefit and the potential reduction in local authority Housing Benefit caseloads.

Formation of a Single Fraud Investigation Service

- 3.17 The Welfare Reform changes are expected to remove the Local Authority duty of investigating 'Benefit Fraud' and transfer this duty to a Single Fraud Investigation Service at some point between 2013 and 2015.
- 3.18 Whilst the long term plan is for this Service to sit within DWP/ HMRC it is likely that an 'interim arrangement' will operate between 2013 and 2015. This interim arrangement will see Local Government Investigation Teams continue to operate under the Single Fraud Investigative Service rules and priorities but remain situated within councils. In the meantime, the Benefits Unit is taking part in a co-location pilot between its own Investigation Officers and those of the DWP's Fraud Investigation Service based in Edinburgh.

Council Response

- 3.19 The Council has established a cross-service Welfare Reform Task Group to develop the Council's response to the welfare reforms. The Group includes representatives from Benefits, Revenues, Corporate Policy, Housing, Education, Adult Wellbeing, Welfare Rights Service, Children's Wellbeing, Customer Services, Human Resources and the Council trade unions. The Group will report to the Council Management Team and to the Council or Cabinet as required.
- 3.20 The Task Group is establishing workstreams to develop take forward work in four key areas:
- Information / Communication to staff and public
 - Data Sharing
 - Training
 - Migration to new benefits.
- 3.21 The Council has been carrying out a review of advice services in East Lothian to ensure that it gets maximum value from the investment it is putting into the two East Lothian Citizens Advice Bureaux, the welfare rights team and other advice services. In the February 2012 budget the Council reversed planned cuts in the Welfare Rights Service budget and provided secure funding for the two main independent welfare and benefits advice agencies, Haddington and Musselburgh Citizens Advice Bureaux through extending their Service Level Agreements. Further work is on-going to complete the review of the advice services in order to maximise efficiencies and ensure the highest quality of service is provided across all communities.
- 3.22 The interim report of the review recommended that an East Lothian Advice and Rights Forum be established as a network of advice agencies, advocacy groups and user representative groups to facilitate greater collaboration, better communication and more effective joined up working.
- 3.23 The Council is leading in the production of the Community Planning Partnership's Tackling Poverty Action Plan which is based around three key themes one of which is 'the Money in My Pocket – considering the impacts caused by low income and reliance on benefits; the need to maximise the income people have available to them; tackling financial exclusion; and building financial capability. Actions related to this theme will relate directly to the work being pursued by the Welfare Reform task Group including:
- providing information to individual and communities about the impact of welfare reforms

- ensuring staff are aware and receive training on the welfare reforms
 - ensuring that people have access to welfare and money advice
 - increasing the number of people who are members of a Credit Union.
- 3.24 The Council is in advanced stage of negotiations with Macmillan Cancer Support to jointly fund a Macmillan Benefits Adviser to be based in the Welfare Rights Service for a period of six years. The Council's funding for the post would come from the Fairer East Lothian Fund.

4 POLICY IMPLICATIONS

- 4.1 The impact of welfare reform in East Lothian presents a number of challenges for the Council. These include an increase in demand for some services including adult and children's wellbeing services, housing and homelessness services, free school meals and others. The Council could also be impacted by reduced levels of grant funding and a reduction of revenue income through increasing rent and rate arrears and other more broad impacts arising from the loss of income into the local economy.
- 4.2 It is important to ensure that work to minimise the impact of the welfare reform agenda and the current economic climate informs the work of the Council over the coming years. Ensuring that decisions take account of the impact they have in relation to our more deprived communities and those vulnerable to falling into poverty will be an important aspect of the Council's work as the impact of the reforms begins to affect people locally.
- 4.3 The Council may have to consider its arrangements for investigation of potential for fraud within its Council Tax Relief scheme in preparation for the DWP taking back responsibility for investigating Benefit Fraud.

5 EQUALITIES IMPACT ASSESSMENT

- 5.1 No Equality Impact assessment has been carried out on this report. However, The Scottish Government Communities Analytical Services have undertaken an Equalities Impact Assessment on the welfare reforms. This initial analysis showed the following across Scotland: of the 470,000 claimant households, the biggest single group is the over 65's at 135,000 claimants or 20% (notably 68% of these are women). In terms of family type, 65% are single people without child dependants and 6% are couples with children. The impact on progress towards the 2012 Homelessness commitment is also likely to be negatively affected by the changes proposed with single people under 35 affected in particular.

6 RESOURCE IMPLICATIONS

- 6.1 Financial – Benefit claimants in East Lothian will lose an amount of direct personal benefits through welfare reform changes which will have a significant impact upon the local economy. Though it is difficult to estimate the direct impact of this on Council income and increasing demand for services, it is likely to impact significantly over coming years.

The report does not propose any additional expenditure apart from the funding for the Council's contribution to the cost of the Macmillan Benefit Adviser which will come from the Fairer East Lothian Fund. Any further financial implications in relation to reduced income to the Council from loss of subsidy for administering Housing Benefits, or increased costs relating to contributions to new benefits schemes or additional staffing requirements will be reported in future update reports or relevant reports.

- 6.3 Personnel – The welfare reform agenda will have implications on the deployment of Council staff and the increasing complexity of administering both the current and new schemes will also be a major factor.
- 6.3 Other – none.

7 BACKGROUND PAPERS

- 7.1 The Scottish Government Reports: 'Housing Benefit Changes'
<http://www.scotland.gov.uk/Topics/Built-Environment/Housing/supply-demand/chma/Benefitchanges>
- 7.2 The Scottish Government web pages on 'The Social Fund Successor Arrangements'
<http://www.scotland.gov.uk/Topics/People/welfare/welfarereform/socialfund>
- 7.3 The DWP web pages: 'Universal Credit – information for local authorities'
<http://www.dwp.gov.uk/local-authority-staff/universal-credit-information/>
- 7.4 The Scottish Local Government Forum against Poverty publication: 'Housing in Scotland, a crisis coming?'
<http://www.scottishpovertyforum.org.uk/HousingReportv1.pdf>

AUTHOR'S NAME	John Cunningham
DESIGNATION	Benefit Manager
CONTACT INFO	Tel: 01620 827706 Email: jcunningham@eastlothian.gov.uk
DATE	14 August 2012

REPORT TO: East Lothian Council
MEETING DATE: 28 August 2012
BY: Executive Director (Support Services)
SUBJECT: New Customer Feedback Procedure

8

1 PURPOSE

- 1.1 To advise Council of changes to the customer feedback procedure to bring it in line with a new model complaints handling procedure for local authorities, introduced by the Scottish Public Services Ombudsman (SPSO).

2 RECOMMENDATIONS

- 2.1 To approve the new feedback procedure with an implementation date of 1 September 2012.

3 BACKGROUND

- 3.1 On 28 March 2012, the SPSO published a new model complaints handling procedure (CHP) for the local government sector in Scotland under Section 16B of the SPSO Act 2002 (as amended by the Public Service Reform (Scotland) Act 2010).
- 3.2 This procedure applies to all local authorities in Scotland. Each local authority in Scotland is expected to apply the model as soon as possible within the 2012/13 financial year and is required to provide its CHP to the SPSO by 14 September 2012 for approval and to ensure compliance with the model.
- 3.3 As a result, East Lothian Council was required to review and amend its complaints handling process – the ‘feedback procedure’. A new version is attached at Appendix 1.
- 3.4 This procedure replaces all previous complaints procedures within East Lothian Council, with the exception of the statutory Social Work Complaints Procedure (see section 9 of Appendix 1). The social work

complaints procedure is currently the subject of a Scottish Government review.

3.5 Main changes from the previous procedure include:

- Revised definition of a complaint, as well as clarity on what issues cannot be dealt with through the feedback procedure
- 2 stage procedure instead of a 3 stage procedure (removal of Chief Executive review)
- A time limit of 6 months for a member of the public to make a complaint (discretion to extend to 12 months in particular circumstances, as outlined in the procedure)
- Timescale of 5 working days (with a possible extension to 10 working days) for resolving Stage 1 complaints (Frontline Resolution)
- Timescale of 3 working days to acknowledge and 20 working days to respond to Stage 2 complaints (Investigation)
- Specific reporting requirements

3.6 The streamlined procedure will make it more important that complaints are dealt with properly first time round and at source, wherever possible.

3.7 The feedback procedure also actively encourages the recording of compliments to present a balanced view of services.

3.8 Once approved, staff guidance notes and further information will be available on the Intranet and on Nimbus. The new procedure will be publicised internally through Team Talk and e-news and briefings will be provided, including a briefing for elected members.

3.9 New leaflets have been designed for the public and these will be available online, in local area offices, libraries, community centres and other Council buildings. The Council website will also be updated. An easy read version of the leaflet for children and adults with learning difficulties is being developed.

4 POLICY IMPLICATIONS

4.1 A change to the previous feedback procedure.

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 Appendix 1: Revised Feedback Procedure
- 7.2 Model CHP for local government in Scotland, available at www.valuingcomplaints.org.uk

AUTHOR'S NAME	Sarah E.M Bogunovic
DESIGNATION	Customer Feedback Manager
CONTACT INFO	Ext. 7497
DATE	12 July 2012

Appendix 1

Feedback Procedure

Foreward

East Lothian Council welcomes comments, complaints and compliments about its services and is committed to learning from individual experiences to improve the services we provide.

Customer complaints give valuable information which can be used to improve customer satisfaction. It is important that complaints are valued and every effort is made to resolve customer concerns locally and quickly; as close to the point of service delivery as possible. Resolving complaints early saves money, creates better customer relations and can also improve how the Council is viewed by the people that use our services.

East Lothian Council's procedure for handling complaints complies with the Model Local Authority Complaints Handling Procedure developed by the Scottish Public Services Ombudsman (SPSO) and local government complaints handling experts (available at www.valuingcomplaints.org.uk). Our procedure aims to 'get it right first time', to be simple to follow and easily understood. Most importantly it will make sure complaints are dealt with impartially and fairly by well-trained and capable staff and that decisions are evidence based. Handled well, complaints can give our customers a form of redress when things go wrong and can also help us continuously improve our services.

This procedure replaces all previous complaints procedures within East Lothian Council, with the exception of the statutory Social Work Complaints Procedure (see section 9).

Angela Leitch, Chief Executive

1. Comments and compliments

1.1 It is important that the Council captures a balanced view of its services so we can see what services are working well, as well as identify those areas that can be improved. Customer comments and compliments received by Local Area Offices, the Contact Centre, online, through feedback forms or by the Customer Feedback Team will automatically be recorded on the Customer Feedback Module on the Lagan Customer Relationship Management (CRM) System.

1.2 Officers should be encouraged to forward any comments or compliments they receive at the frontline to the Customer Feedback Team or the appointed Feedback Coordinator for their service area so they can be logged. A list of Feedback Coordinators is available on the Intranet.

1.3 Data on comments and compliments will be included in Customer Feedback reports and will be fed back to staff via *Team Talk*.

2. What is a complaint?

2.1 East Lothian Council has adopted the following definition of a complaint:

‘..an expression of dissatisfaction by one or more members of the public about the local authority’s action or lack of action, or about the standard of service provided by or on behalf of the local authority.’

For example, a complaint may relate to:

- Failure to provide a service
- Inadequate standard of service
- Dissatisfaction with a Council policy *(it should be noted that making a complaint about an approved Council policy does not mean it will be changed. However, checks can be made to see if the policy has been applied correctly and / or an explanation of why the policy is in place can be provided. Complaints information can also be used to inform any future policy review)*
- Attitude of, or treatment by, a Council employee
- Disagreement with a decision where there is no right of appeal
- Failure to follow appropriate policies / procedure / administrative process

(This list does not cover everything)

2.2 A complaint is **not**:

- A routine first time request for a service or information
- A request for compensation
- Issues that are in court or have already been heard by a court or tribunal
- Disagreement with a decision where a statutory right, or other right of appeal exists e.g. Council Tax, Planning. *(In such cases the customer should be given information on how to appeal).*
- An attempt to reopen a previously concluded complaint or to have a complaint reconsidered when a final decision has been made

2.3 Complaints relating to children that have a Co-ordinated Support Plan can be raised at a tribunal.

2.4 The following cannot be dealt with through this procedure:

- Complaints against Councillors
- A request under the Freedom of Information Act or Data Protection Act
- Insurance claims
- Complaints that have already been investigated and a final decision given

Appendix 1 gives more examples of 'what is not a complaint' and how to direct customers appropriately.

3. Who can make a complaint?

3.1 Anyone who receives, requests or is affected by our services can make a complaint. Sometimes a customer may be unable or reluctant to make a complaint. Complaints made by a Third Party will be accepted as long as consent has been given. Consent forms are available from the Customer Feedback Team.

3.2 If a customer has expressed dissatisfaction then officers should signpost them to the Feedback Procedure and encourage the customer to allow the Council an opportunity to look into the matter and respond to them. Leaflets are available in all area offices, libraries, community centres and other Council buildings and complaints can be submitted online at www.eastlothian.gov.uk. The Customer Feedback Team can be contacted by telephone on 0131 653 5290 or by email at feedback@eastlothian.gov.uk.

3.3 **Anonymous complaints** – We value all complaints. This means we treat all complaints, including anonymous complaints, seriously and will take action to consider them further wherever this is appropriate. Anonymous complaints will generally be considered if there is enough information in the complaint to enable us to make further enquiries. Serious allegations will be appropriately investigated. If not enough information is provided then we may decide not to take any further action. This decision will be taken by either the Customer Feedback Manager, or the relevant service manager. Anonymous complaints should be recorded on CRM by either the Feedback Coordinator for the service area or the Customer Feedback Team.

4. How can a complaint be made?

4.1 A customer can make a complaint by email, online, by telephone, in writing or in person or by having someone complain on their behalf.

4.2 Customers can also make complaints via their local Councillor. If the complaint is complex and cannot be easily resolved at service level, requiring investigation, elected members should consider referring their constituent to the Feedback Procedure so that the complaint and its outcome can be recorded and the customer formally advised of the options open to them if they wish to take the matter further.

5. Time limit for making complaints

5.1 Complaints should be made within **6 months** of the customer first becoming aware of the matter they want to complain about. The Council does have discretion to consider complaints beyond this time (up to a limit of **12 months** of the person becoming aware of their complaint) if there are special circumstances. Examples might include:

- Illness or bereavement
- The matter was brought to the Council's attention earlier but the customer has been waiting for action to be taken before making a complaint
- New information has come to light
- If the decision not to investigate a complaint is likely to lead to a request for an external review

5.2 The Council will only apply discretion to consider a complaint beyond the 12 month time limit in exceptional circumstances.

5.3 To ensure consistency and fairness, the decision whether or not to apply discretion will be taken by the Customer Feedback Team, in conjunction with the relevant Head of Service. When making such a decision, the Scottish Public Services Ombudsman Act 2002 (Section 10(1)) will be taken into account. This sets out the time limit within which a member of the public can normally ask the SPSO to consider complaints.

6. Complaints involving more than one service or organisation

6.1 If a complaint relates to the actions of two or more Council services, then the Customer Feedback Team will take the lead role in co-ordinating one response covering all issues. They will also take responsibility for contacting the customer. It is important the customer has a single point of contact and receives one response.

6.2 If a customer makes a complaint to the local authority about the services of another agency or public service provider, but the local

authority has no involvement, the customer should be advised to directly contact the appropriate organisation.

6.3 Where a complaint relates to a Council service and the service of another agency or public service provider, (for example a housing association or a government department), then the point of complaint relating to the Council must be dealt with through this procedure. The customer should also be signposted to the complaints procedure of the other organisation.

6.4 If enquiries need to be made of an outside agency in relation to the complaint, Data Protection legislation should always be taken into account. The Council's Data Protection and Freedom of Information Compliance Officer can give internal advice. The Information Commissioner also has detailed guidance on data sharing and has issued a data sharing code of practice.

7. The process for handling complaints

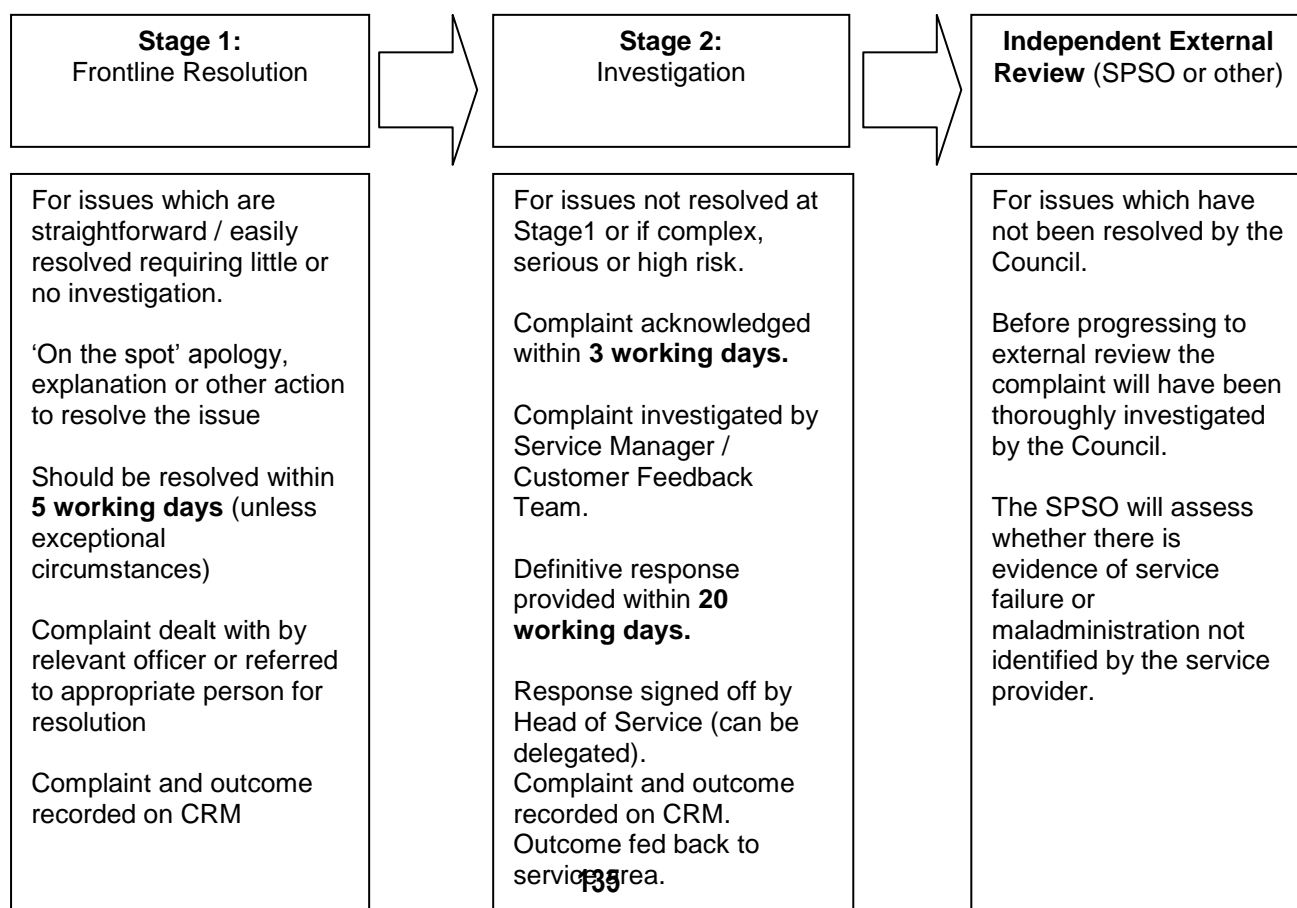
7.1 The Council's Feedback Procedure aims to provide a quick, simple and streamlined process for resolving complaints early and locally by capable, well-trained staff.

7.2 It has **2** stages:

Stage 1: Frontline Resolution

Stage 2: Investigation

7.3 Diagram -



8. Social Work Complaints

8.1 The procedure for social work complaints is slightly different from this procedure, as it currently follows specific legislation and guidance. A guidance note on how social work complaints should be dealt with can be found at Appendix 2.

9. Stage 1 - Frontline Resolution.

9.1 Frontline resolution aims to quickly resolve straightforward customer complaints that require little or no investigation. Any member of staff can deal with complaints at this stage.

9.2 The main principle is to seek early resolution, resolving complaints at the earliest opportunity and as close to the point of service delivery as possible. This may mean a face-to-face discussion with the customer, or asking an appropriate member of staff to deal directly with the complaint.

9.3 Whenever a complaint is received frontline resolution should always be considered. If the complaint can be resolved at the frontline then appropriate action should be taken. This might include:

- Providing an 'on-the-spot' apology
- Explaining why a problem occurred and what will be done to stop it happening again
- Providing the required service / information
- Taking appropriate remedial action e.g. cancelling an invoice if a customer has been incorrectly charged

Examples of Stage 1 complaints can be found at Appendix 3.

9.4 **Timescales** - Frontline resolution must be completed within **five working days** from the date the complaint was received, if not sooner. In exceptional circumstances, where there are clear and justifiable reasons for doing so, an extension of no more than five working days may be agreed with the customer. This must only happen when an extension will make it more likely for the complaint to be resolved at the frontline resolution stage.

9.5 All attempts to resolve the complaint at this stage must take no longer than **ten working days** from the date the complaint was received. The customer must be advised of the reasons for the delay and when they can expect to receive a response. The Customer Feedback Team can give advice on the circumstances in which it would be appropriate to agree an extension and the extension should be approved by the relevant service manager.

9.6 It is important that such extensions do not become the norm. If the issues are so complex that they cannot be resolved in five days, it may be more appropriate to escalate the complaint straight to Stage 2 – Investigation.

9.7 If the customer does not agree to the extension but it is unavoidable and reasonable, the relevant service manager can agree to the extension. The customer must be advised about the delay and the reason for the decision to grant the extension should be explained to them.

9.8 Non-working days i.e. weekends, public holidays and days of industrial action where service has been interrupted are not taken into account when measuring performance against timescales.

9.9 **Recording** - Stage 1 complaints received through the Contact Centre, Local Area Offices, online, on Feedback Forms or by the Customer Feedback Team will be logged on CRM and referred back to the relevant officer / service area for action. The outcome of the complaint will also be logged on CRM.

9.10 The Customer Feedback Team, or the Feedback Co-ordinator for the relevant service area should be notified of Stage 1 complaints received directly by a service area so that the complaint can be logged on CRM and the information used to drive service improvement.

9.11 **School complaints** Stage 1 complaints about schools should be dealt with directly by the school concerned. If a meeting is required with the Class or Guidance Teacher, Head Teacher or other senior member of staff and this cannot take place within the 5 working day timescale, then an extension should be agreed. Schools should keep a complaints log. If a complaint is made about bullying, the child and / or parents should also be signposted to Anti-bullying East Lothian (ABEL), which is a good source of advice and information.

9.12 **Closing the complaint** - Advising a customer of the outcome of their Stage 1 complaint does not have to be done in writing, although this may be appropriate on some occasions. A telephone call, email or face-to-face meeting is acceptable as long as a record is kept. The response must address all points of complaint and explain the reasons for the decision reached. The outcome should be recorded on CRM wherever possible.

More guidance on Stage 1 complaints is provided at Appendix 3.

9.13 **Escalating Stage 1 Complaints** – A complaint must be escalated to the investigation stage when:

- frontline resolution was tried but the customer remains dissatisfied and requests an investigation into the complaint. *(This may be immediately on communicating the decision at the frontline stage or could be some time later)*
- the customer refuses to take part in the frontline resolution process
- the issues raised are complex and require detailed investigation
- the complaint relates to serious, high-risk or high-profile issues.

9.14 Care should be taken to identify complaints that might be considered serious, high risk or high profile, as these may require particular action or raise critical issues that requires the direct input of the Head of Service or Executive Director of the service involved. Examples might include complaints that:

- involve a death or terminal illness
- involve serious service failure, for example major delays in providing, or repeated failures to provide, a service
- generate significant and ongoing press interest
- pose a serious risk to local authority operations
- present issues of a highly sensitive nature, for example concerning:
 - immediate homelessness
 - a particularly vulnerable person
 - child protection.

10. Stage 2: Investigation

10.1 Not all complaints are suitable for frontline resolution and not all complaints will be satisfactorily resolved at that stage. Complaints handled at the investigation stage of the complaints handling procedure are typically complex or require a detailed examination. These complaints may already have been considered at the frontline resolution stage, or they may have been identified from the start as needing immediate investigation.

10.2 An investigation aims to establish all the facts relevant to the points made in the complaint and to give the customer a full, objective and proportionate response that represents the Council's final position. Investigations will normally be carried out either by the relevant service manager, the Customer Feedback Team or an officer who has received specific complaint investigation training. Investigation plans should be completed to ensure conclusions are evidence based and all points of complaint have been addressed. These are available on the Intranet or from the Customer Feedback Team.

10.3 **Timescales** - The following deadlines are appropriate to cases at the investigation stage:

- complaints must be acknowledged within **three working days**
- A full response to the complaint should be provided as soon as possible, but no later than **20 working days** from the date the complaint was received for investigation.

Template acknowledgement and response letters are available on the Intranet.

10.4 Non-working days i.e. weekends, public holidays and days of industrial action where service has been interrupted are not taken into account when measuring performance against timescales.

10.5 **Extension to the timescale** - Not all investigations will be able to meet this deadline. For example, some complaints are so complex they require careful consideration and detailed investigation beyond the 20-day limit. However, these would be the exception and every effort should be made to deliver a final response within 20 working days. If there are clear and justifiable reasons for an extension, this should be agreed with the customer and a revised timescale given. If the Customer does not agree, the relevant Head of Service or Customer Feedback Manager can approve an extension, giving clear reasons to the customer. Examples might include:

- Essential accounts or statements, crucial to establishing the circumstances of the case, are needed from staff, customers or others but they cannot help because of long-term sickness or leave.
- You cannot obtain further essential information within normal timescales.
- Operations are disrupted by unforeseen or unavoidable operational circumstances, for example industrial action or severe weather conditions.
- The customer has agreed to mediation as a potential route for resolution.

10.6 **Recording** – Stage 2 complaints should be passed to the Customer Feedback Team or Feedback Co-ordinator for the service area for logging on CRM.

10.7 **Responses** – written responses should be given to Stage 2 complaints, unless the customer has given another preferred method of contact. These should be structured in line with the template provided and give a clear outcome e.g. upheld / partially upheld / not upheld. The Customer Feedback Team can offer advice and assistance on complaint responses and will carry out regular quality assurance

checks on final responses.

10.8 Stage 2 complaint responses should be signed by the relevant Head of Service. If this is not possible, this function can be delegated to the Customer Feedback Manager or relevant service manager, as long as the Head of Service has reviewed and is in agreement with the investigation findings and there is a record of this. If a complaint has been identified as high profile or high risk, it may be more appropriate for the response to be signed by the Executive Director responsible for the service area involved.

10.9 Stage 2 responses must include:

- the customer's right to ask SPSO to consider the complaint
- the time limit for doing so, and
- contact details for the SPSO.

10.10 A final copy of the response should be passed to the Customer Feedback Team / Feedback Co-ordinator so that the complaint outcome can be recorded on CRM and a copy of the response attached to the case file.

Further information on dealing with Stage 2 complaints can be found at Appendix 4 and a diagram of the process can be found at Appendix 5.

11. Independent External Review (SPSO)

11.1 Once the investigation stage has been completed, the customer has the right to approach the SPSO if they remain dissatisfied. The SPSO considers complaints from people who remain dissatisfied at the conclusion of this procedure. The SPSO looks at issues such as service failures and maladministration (administrative fault), as well as the way the complaint has been handled by the Council.

11.2 Standard wording for referring a customer to the SPSO can be found on the Intranet and is included in the Stage 2 response template. The SPSO also provides a leaflet, The Ombudsman and your organisation, which can be helpful in deciding how and when to refer someone to the SPSO. This is available at www.spsos.org.uk

11.3 The Customer Feedback Manager is the appointed SPSO liaison officer.

12. The Care Inspectorate

12.1 Local authorities that provide care services must be registered with the Care Inspectorate. Anyone receiving care services from East Lothian Council has the right to complain either directly to the Care Inspectorate or to the Council as service provider.

12.2 Customers may also receive care or support from other agencies under a contract with East Lothian Council. They may direct complaints about these services either to the Council (just like complaints about any local authority service) or directly to the Care Inspectorate.

12.3 Contact Details for the Care Inspectorate can be found on the Council's website and in Feedback Leaflets available from all Local Area Offices, Libraries, Community Centres and other Council buildings.

12.4 If a customer is raising concerns about a care service they should be advised of their right to contact the Care Inspectorate.

13. Confidentiality

13.1 Confidentiality is important in complaints handling. Details of a complaint should only be shared with those people who need to know for the purposes of carrying out a proper investigation, or to respond to an allegation. Access to the complaints module on CRM is limited to those specifically involved in managing and co-ordinating the Customer Feedback Procedure.

13.2 The Council's responsibilities under Data Protection legislation should always be taken into account. The Data Protection and Freedom of Information Compliance Officer can provide internal advice wherever necessary.

13.3 A customer should not be in any way disadvantaged as a result of making a complaint.

13.4 The Information Commissioner has published guidance to organisations on '*Access to information held in complaint files*' (available at www.ico.gov.uk). This should be consulted when dealing with such requests.

14. Complaints about Council employees

14.1 Complaints about staff members should be investigated by the relevant line manager. The staff member should be made aware of the complaint and be given an opportunity to respond. The outcome of the investigation and any learning points should be fed back to the staff member.

14.2 When serious complaints are raised against senior staff, it is particularly important that the investigation is conducted by an individual who is in an equal or more senior position and independent of the situation. The outcome of the investigation should be fed back to

the staff member and the Executive Director of the relevant service, or Chief Executive if the complaint concerns an Executive Director.

14.2 Wherever appropriate, investigating officers should refer to the Council's Disciplinary Procedure.

15. Mediation

15.1 Some complex complaints, or complaints where customers and other interested parties have become entrenched in their position, might require a different approach. Where appropriate, a service manager should consider using suitably trained and qualified mediators to try to resolve the matter and to reduce the risk of the complaint escalating further. Mediation will help both parties to understand what has caused the complaint, and so is more likely to lead to mutually satisfactory solutions. The cost of mediation will be met by the relevant service area.

15.2 The East Lothian Community Mediation Service currently provides mediation services for East Lothian Council and can provide advice on whether a complaint is suitable for mediation.

15.3 If both the service area and customer agree to mediation, revised Stage 2 timescales will need to be agreed.

15.4 **Additional Support Needs** - If a child has additional support needs and a complaint relating to this has been unable to be resolved by the Education Service, then the Additional Support for Learning Act (Scotland) 2004 provides the right to request independent mediation.

16. Managing Unacceptable Behaviour

16.1 People may act out of character in times of trouble or distress. The circumstances leading to a complaint may result in the customer acting in an unacceptable way. Customers who have a history of challenging or inappropriate behaviour, or have difficulty expressing themselves may still have a legitimate grievance. All complaints must be treated seriously and properly assessed.

16.2 However, it is recognised that the actions of customers who are angry, demanding or persistent may result in unreasonable demands on time and resources or unacceptable behaviour towards our staff. In such cases, East Lothian Council's Unacceptable Behaviour Policy should be referred to and appropriate action taken, as outlined in the policy.

17. Recording, Reporting, Learning and Publicising

17.1 Wherever possible, Stage 1 and all Stage 2 complaints should be recorded on the Customer Feedback Module on CRM. Information to be captured includes:

- the customer's name and address
- the date the complaint was received
- the nature of the complaint
- how the complaint was received
- the service the complaint refers to
- the date the complaint was closed at the frontline resolution stage (where appropriate)
- the date the complaint was escalated to the investigation stage (where appropriate)
- action taken at the investigation stage (where appropriate)
- the date the complaint was closed at the investigation stage (where appropriate)
- the outcome of the complaint at each stage
- the underlying cause of the complaint and any remedial action taken.

17.2 CRM provides a structured system for recording complaints, their outcomes and any resulting action. This data is analysed to identify any trends and to ensure any service failures are identified and appropriate action taken.

17.3 The Customer Feedback Team will be responsible for maintaining a log of any recommendations made following the outcome of a complaints investigation and any service improvements undertaken as a result.

17.4 6 monthly customer feedback reports will be presented to the Policy Performance Review Committee (PPRC). These reports will include performance statistics showing the volumes and types of complaints and key performance details, e.g. acknowledgement and response times and the stage at which the complaints were resolved, as well as information on service improvements. These reports will be publicly available on the Council's website. In addition, quarterly statistics and relevant case studies will be circulated to the Council Management Team.

17.5 In order to make sure there is learning from complaints, the complaint handler should, at the earliest opportunity, make sure the customer and relevant staff members understand the findings of the investigation and any recommendations made.

17.6 Where the need for a service improvement has been identified:

- the action needed to improve services must be authorised
- an officer (or team) should be designated the 'owner' of the issue, with responsibility for ensuring the action is taken
- a target date must be set for the action to be taken
- the designated individual must follow up to ensure that the action is taken within the agreed timescale
- where appropriate, performance in the service area should be monitored to ensure that the issue has been resolved

18. Supporting the customer

18.1 All members of the community have the right to equal access to the feedback procedure and to make a complaint. Customers who do not have English as a first language may need help with interpretation and translation services, and other customers may have specific needs.

18.2 Any customer making a complaint is welcome to bring along a person to support them at any meetings being held in relation to the complaint.

18.3 Versions of this procedure are available on request on audiotape, in Braille, large print or different languages through East Lothian Council's Translation and Interpretation Service.

18.3 Appropriate help should be provided to customers if they are having difficulty in making a comment, complaint or compliment. The Customer Feedback Team can offer advice on what supports are available.

Version 1: July 2012

Appendix 1 - What is 'not' a complaint

A concern may not necessarily be a complaint. For example, a customer might make a routine first-time request for a service. This is not a complaint, but the issue may escalate into a complaint if it is not handled effectively and the customer has to keep on asking for service.

A customer may also be concerned about various local authority decisions. These decisions may have their own specific review or appeal procedures, and, where appropriate, customers must be directed to the relevant procedure. These are some examples of the types of issues or concerns that should not be handled through the feedback procedure. This is not a full list, and the best route for resolution should be based on the individual case.

Example 1: Planning

Customers may express dissatisfaction about a refusal to grant planning or other permission, a condition imposed on a grant of planning permission or other permission or the service of an enforcement notice.

In cases where there has been a refusal to grant planning (or other) permission, a condition(s) imposed on a grant of planning (or other) permission or enforcement notice actions taken and where the decision was taken by the Planning Committee or full Council, the applicant/person to whom the notice is served has a right of appeal to the Scottish Ministers. Appeals are usually, but not always, decided by a Reporter from the Directorate of Planning and Environmental Appeals and can be considered on the basis of written submissions or by a hearing or public inquiry. The Reporter appointed to consider the appeal will manage the whole process and consider how to gather enough information to make a decision.

Applicants can ask the Local Review Body (a Committee of the Council) to review decisions made by the Council's Appointed Officer under the Council's Scheme of Delegation, where the Appointed Officer has either:

- a) Refused an application for planning permission; or
- b) Approved an application for planning permission subject to condition(s).

An applicant may also seek a review by the Local Review Body in respect of a deemed refusal i.e. whereby the Appointed Officer has failed to give the applicant their decision within a period of two months after the validation date (four months if the development requires an environmental impact assessment).

Customers who are dissatisfied with a planning decision, and who have a right of review or appeal are directed appropriately through an information note on the decision notice or enforcement notice. However, some complaints about planning matters are from third parties such as neighbours. These customers do not have a right of review or appeal. These complaints should, therefore, be considered through the Feedback Procedure. In such cases, the

purpose of the Feedback Procedure is to look at the procedural and administrative aspects connected with a planning application or other planning matter; it is not to review planning decisions that have followed due process or to revisit objections to an application.

Example 2: Benefits

A customer may be dissatisfied or disagree with a decision about their housing or council tax benefit claim. This is not a complaint. The customer has the right to ask for a review of the decision. If they remain dissatisfied at the outcome of the review or reconsideration of their claim, they can also appeal against the decision to an independent appeal tribunal and should be advised this option is open to them.

Example 3: Claims for compensation

A customer may seek compensation if they consider the Council to be liable. This includes issues such as personal injury or loss of or damage to property. Claims for compensation are not complaints and should not be handled through the feedback procedure. However, a customer may want to complain about the matter leading to their request for compensation, for example workmen damaging their home, or the condition of a public road causing damage to a motor vehicle. These matters should be dealt with as complaints, but the request for compensation should be dealt with separately. If the complaint action is suspended while the claim is being considered, the customer should be advised accordingly.

Complaints about how the Council has handled a claim for compensation should be dealt with through the feedback procedure.

Example 4: Licence decisions

Councils are responsible for issuing various licences, including public entertainment, HMO (houses in multiple occupation), liquor and taxi licences. These have their own legal redress. Customers dissatisfied with these decisions should pursue the matter through the correct procedure for the type of licence they want and be advised accordingly.

Complaints about how a licence application has been processed can be dealt with through the feedback procedure.

Example 5: School exclusions and placing requests

Decisions on appeals against a pupil's exclusion from school or a refusal of a school placing request are made by Committee. Once the Committee has made a decision, the customer cannot use the complaints process to continue their case.

Example 6: School exam results

Schools have devolved authority to offer examinations on the awarding body's behalf. If a customer is dissatisfied with the result of an exam, the school should refer it to the awarding body.

Remember that although there may be an alternative form of redress for the customer it should carefully be considered whether or not a customer's representations should be managed within the complaints handling procedure. Dissatisfaction with certain local authority decisions may simply require an explanation and directing to the correct route for resolution. If, however, a customer says they are dissatisfied with the administrative process followed in reaching a decision, this should be dealt with as a complaint through the feedback procedure. An example may be a complaint from a customer who is dissatisfied with a decision and alleges that the Council failed to follow or apply the appropriate guidance in reaching that decision.

Appendix 2 - Guidance Notes on Social Work Complaints Procedure

Introduction

East Lothian Council welcomes comments, complaints and compliments about its services and has a **feedback procedure** (and associated literature) so that members of the public can have their say. This information helps the Council gain an accurate picture of the level and quality of its services from the perspective of the user and also helps identify areas for improvement.

The law also requires the Council to have a process for dealing with complaints about social care issues. Section 5B of the Social Work (Scotland) Act 1968, Section 52 of the NHS Community Care Act 1990 and the Social Work (Representations Procedure) (Scotland) Directions 1996 requires every Local Authority Social Work Service to develop and implement a complaints procedure. Annual reports on Social Work complaints must also be produced.

Recording Feedback

Very often, people who make comments about our services do so in an informal way, while they are using a service or talking to a member of staff. It is important that we try and record as much of this feedback as possible and staff should have ready access to the Social Work Feedback Form and be encouraged to hand these out to service users.

If people want to make positive comments or say 'thank you', they should either be asked to complete a feedback form or the staff member should take a note. All positive feedback about social work services should be sent to the Customer Feedback Manager so that it can be formally recorded.

Regular reports on all feedback received will be circulated to the Council Management Team. An Annual Report will be submitted to Cabinet.

What is a complaint?

A complaint is defined as "an expression of dissatisfaction".

A person can make a complaint if they feel the Council (or an individual member of staff) has:

- Done something wrong
- Not delivered a service it should have
- Acted unfairly or been unhelpful
- Delivered a poor service
- Delayed in providing a service

A person can also make a complaint on behalf of someone else. For example, a parent, carer or advocate may want to make a complaint on behalf of a relative or client. Formal consent will usually be required in such cases, unless the person has legal guardianship.

To make a complaint under the statutory SW complaints procedure a person should be receiving social work services or believe that they are entitled to receive social work services.

In terms of Children's Services, complaints can be made from a child, parents, anyone with parental responsibility, any carer (including foster carers) or any person who has legitimate interest in the child's welfare.

What is not a complaint?

- A first request for a service or information
- Where a person has a legal right of appeal
- Where legal action is in progress

Social Work Complaints

The Council operates a three step internal process for dealing with social work complaints:

Stage 1 (early resolution)

The person should directly contact the service involved or member of staff who has been dealing with them. They will try to sort out the problem at source, as quickly as possible.

Stage 1 complaints received through the Community Access Team in the Contact Centre, on feedback leaflets or through the Customer Feedback Team will be recorded on CRM.

Stage 2 (formal investigation)

If the person is still unhappy they can make a formal complaint to the Customer Feedback Manager, who will then identify an appropriate senior officer for investigation.

If staff have concerns that they have been unable to resolve a complaint at Stage 1, they should refer the person to the next stage of the procedure and advise them how they can progress their complaint.

Any complaint identified as requiring investigation and response should be passed to the Customer Feedback Team straight away so it can be recorded on CRM and the information used to drive service improvement.

At Stage 2 an investigation plan will be completed. Each point of complaint should be investigated and conclusions must be evidence based. Template response letters are available.

It should be remembered that meeting with, or telephoning, a complainant can be useful in identifying the root cause of the complaint and can often lead to a resolution.

The person must receive an acknowledgement of their complaint within **5 working days** and a response within **28 days (statutory timescale)**. If it will take longer than this to deal with the complaint then the person must be contacted.

The Customer Feedback Team will take primary responsibility for acknowledging and responding to Stage 2 complaints, however service managers and Team Leaders will also be required to respond to complaints. Appropriate training can be provided if necessary.

Responses will be approved by either the Service Manager or Head of Service / Executive Director. This will be dependent on the nature and seriousness of the complaint and the seniority of staff involved in the earlier stages of the complaint.

Stage 3 (independent review)

If the person is unhappy with the outcome of the formal investigation then they have a legal right to ask for their complaint to be heard by an **independent Complaints Review Committee**. The Customer Feedback Manager can provide more information on this process.

How should we deal with complaints?

We will make sure that:

- Complaint are listened to seriously
- We respect other people's points of view
- Complaints are resolved quickly, at source, wherever possible
- Every point of the complaint is looked into and answered
- Any investigations are carried out objectively and the conclusions are evidence-based
- Our answer to the complaint is clear and understood by the complainant
- We take appropriate action to resolve the complaint. E.g. providing an explanation, taking action to fix a problem or offering an apology if necessary

Confidentiality

Complaints will be kept confidential and details will only be given to those people who need to know for the purpose of investigating the complaint.

We can accept anonymous complaints, but this could limit any investigation.

Complaints about service providers

If a complaint is received about an agency providing a service on the Council's behalf, an opportunity should be given for the agency to address the concerns raised through their own complaints procedure. The agency should be asked to inform the Council of the outcome of the complaint and any actions taken for contract monitoring purposes. If the client does not want to directly contact the agency concerned, then it may be appropriate for the Council to submit the complaint on their behalf.

Other Organisations

If the person remains dissatisfied with how the Council has handled their complaint then they have a legal right to ask the **Scottish Public Services Ombudsman (SPSO)** to look into the matter. This must usually be done within 12 months. The SPSO will only usually investigate complaints that have completed the Council's procedure.

SPSO

4 Melville Street
Edinburgh

EH3 7NS

Tel: 0800 377 7330

Email: ask@spsso.org.uk Web: www.spsso.org.uk

Complaints about regulated care services can also be made directly to **The Care Inspectorate**. Clients should be advised of their right to complaint directly to the Care Inspectorate.

These include:

- Care Homes for elderly people
- Day Care facilities, including care at home
- Residential Care for children and young adults
- Secure accommodation for young people

The Care Inspectorate can be contacted at:

Compass House
11 Riverside Drive
Dundee

DD1 4NY

Tel: 0845 600 9527

Email: enquiries@careinspectorate.com 

Web: www.careinspectorate.com

South East Regional Office

Stuart House, Eskmill

Musselburgh

EH21 7PB

Tel: 0131 653 4100

Fax: 0131 653 4100

Appendix 3– Examples of Stage 1 Complaints

The following table give examples of complaints that should be dealt with at the frontline stage, and suggests possible actions to achieve resolution.

Complaint	Possible actions to achieve resolution
The customer complains that her council tax direct debit has been set up wrongly.	Apologise to the customer and resolve the issue by properly updating the direct debit details.
The customer has provided evidence to verify his claim for benefits, but his case records have not been updated with this information.	<ul style="list-style-type: none"> • Apologise to the customer. • Update the customer's benefit record to record receipt of evidence. • Check that the benefit award is corrected from the appropriate date.
The customer complains that an operative did not attend to carry out a housing repair as agreed.	<ul style="list-style-type: none"> • Speak to the operative or the service manager to explain the customer's complaint and to agree how to resolve the issue, for example by arranging a new time and date to do the repair. • Explain the reasons for the failed appointment and apologise to the customer.
The customer complains that the quality of a repair is not satisfactory.	<ul style="list-style-type: none"> • Ask the service area to examine the repair to assess whether or not it is acceptable. • If appropriate, agree that more work should be carried out to resolve the matter. • Explain and apologise to the customer if necessary, or explain why the repair is considered to be appropriate. • Obtain a report from the service

Complaint	Possible actions to achieve resolution
	<p>or contractor to confirm that the repair is now complete.</p> <ul style="list-style-type: none"> • Feed back the lessons learned from the complaint into a service improvement plan.
<p>The customer complains that a road is not on a winter gritting route so it has not been gritted.</p>	<ul style="list-style-type: none"> • Find out which roads are on the agreed gritting routes, and explain this route to the customer. • Use the customer's concerns to inform the Council's future approach to gritting roads.
<p>A customer complains that her brown bin was not collected</p>	<ul style="list-style-type: none"> • Check whether the appropriate route was followed, if not provide an explanation why • Apologise to the customer and arrange for the bin to be uplifted.

What to do when receiving a Stage 1 complaint

- 1 On receiving a complaint, first decide whether the issue can indeed be defined as a complaint. The customer may express dissatisfaction about more than one issue. This may mean one element is treated as a complaint, but the customer needs to be directed to pursue another issue through an alternative route.
- 2 If frontline resolution is appropriate, four key questions should be considered:
 - What exactly is the customer's complaint (or complaints)?
 - What does the customer want to achieve by complaining?
 - Can I achieve this, or explain why not?
 - If I cannot resolve this, who can help?

What exactly is the customer's complaint (or complaints)?

It is important to be clear about exactly what the customer is complaining of. You may need to ask the customer for more information and probe further to get a full picture.

What does the customer want to achieve by complaining?

At the outset, clarify the outcome the customer wants. Of course, the customer may not be clear about this, and you may need to probe further to find out what they expect, and whether they can be satisfied.

Can I achieve this, or explain why not?

If you can achieve the expected outcome by providing an on-the-spot apology or explain why you cannot achieve it, you should do so.

The SPSO provides guidance on apology that can be accessed at www.spsso.org.uk

The customer may expect more than the Council can provide. If so, you must tell them as soon as possible. An example would be where the customer is so dissatisfied with a kitchen refurbishment that they demand a new kitchen, but the Council is only willing to repair any broken units.

If it is clear the desired outcome cannot be achieved, a compromise cannot be found or the customer remains unhappy, then the complaint should be referred to Stage 2.

Appendix 4 – Guidance on Stage 2 Investigations

What to do when you receive a complaint for investigation

It is important to be clear from the start of the investigation stage exactly what is being investigated, and to ensure that both the customer and the service understand the investigation's scope.

An investigation plan should be completed at this stage. This identifies each individual point of complaint and will ask specific questions of the service area, asking them to provide and specify appropriate evidence in support of their position. The use of investigation plans will ensure that conclusions are evidence based. It also helps to provide an audit trail of the scope and nature of the investigation carried out, as well as who was interviewed as part of the investigation.

Investigation plans are available on the Intranet. The Customer Feedback Team is also on hand to provide independent advice on any aspect of a complaints investigation. They can also arrange for appropriate training in complaint investigation skills.

It may be helpful to discuss and confirm the points of complaint with the customer at the outset, to establish why they are dissatisfied and whether the outcome they are looking for sounds realistic. In discussing the complaint with the customer, three key questions should be considered:

1. What specifically is the customer's complaint or complaints?
2. What does the customer want to achieve by complaining?
3. Are the customer's expectations realistic and achievable?

It may be that the customer expects more than the Council can provide. If so, you must make this clear to the customer as soon as possible. Managing expectations is key.

Where possible you should also clarify what additional information you will need to investigate the complaint. The customer may need to provide more evidence to help reach a decision.

If the investigation stage follows attempted frontline resolution, a request should be made by the officer responsible for the investigation for all case notes and associated information to be handed over.

Investigation officers should be encouraged to meet with the complainant, wherever appropriate, to explain the outcome of an investigation. Often a face-to-face meeting explaining what actions have been taken to investigate the complaint (and to put things right where necessary) can help to demonstrate the Council has taken the complaint seriously, as well as provide the customer with closure.

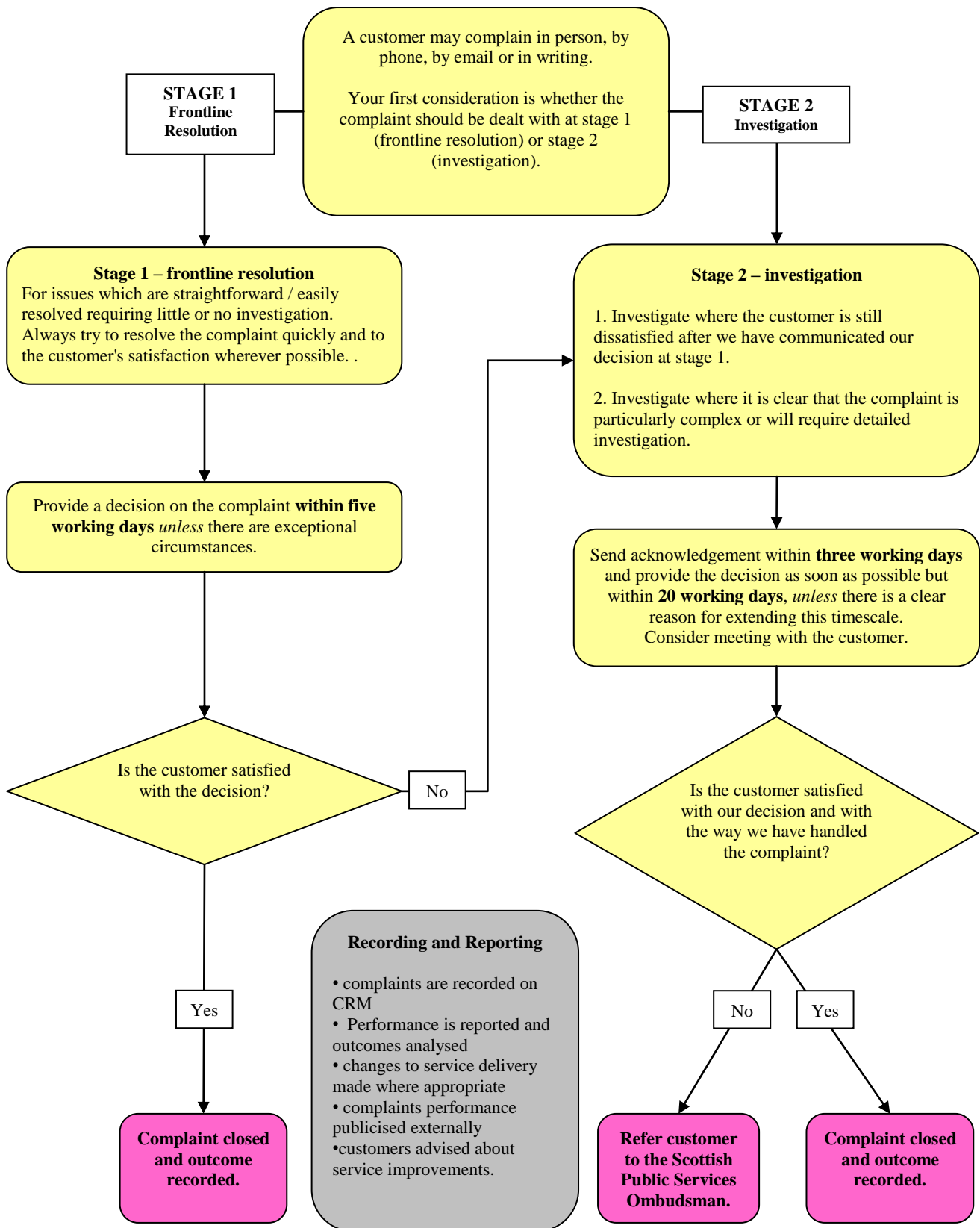
Stage 2 complaint responses should be set out in line with the template

provided. They should clearly outline the complaint, the nature and outcome of the investigation and the conclusion reached. It should be easily understood, written in plain English and contain the necessary referral to the SPSO.

At the earliest opportunity after the closure of the complaint, the complaint investigator should always make sure the customer and staff of the service area involved understand the findings of the investigation and any recommendations made.

The outcome of the investigation must be fed back to either the Feedback Co-ordinator for the service area or the Customer Feedback Team so that the information can be recorded on CRM for reporting purposes.

Appendix 5 - Procedural Diagram



REPORT TO: East Lothian Council
MEETING DATE: 28 August 2012
BY: Executive Director (Support Services)
SUBJECT: Summer Recess Business 2012

9

1 PURPOSE

- 1.1 To inform the Council of the urgent business undertaken over the Summer Recess period in terms of the procedures set out in Standing Order 43 and in line with the decision taken at its meeting of 26 June 2012.
- 1.2 It should be noted that full copies of the undernoted reports have been lodged in the Members' Library (July and August 2012 Bulletins).

2 RECOMMENDATIONS

- 2.1 The Council is requested to note the business undertaken over the Summer Recess period.

3 BACKGROUND

3.1 Amendment to East Lothian Council Scheme for Community Councils (Members' Library Reference 201/12)

A report submitted by Executive Director (Support Services) sought approval of a minor amendment to the East Lothian Council Scheme for Community Councils, enabling implementation at the next community council elections on 4 October 2012. This report was approved by the Council Leader and the Provost.

3.2 Appointment of Appropriate Representatives to Outside Bodies – Follow-up Report (Members' Library Reference 200/12)

A report submitted by the Executive Director (Support Services) sought approval of a number of additional nominations and amendments to the list of appointments of representatives to Outside Bodies. This report was approved by the Council Leader and the Provost.

3.3 Common Good Committees (Members' Library Reference 199/12)

A report submitted by the Executive Director (Support Services) sought approval to amend the Scheme of Administration adopted by East Lothian Council on 28 August 2007 that established the Common Good Committees. This report was approved by the Council Leader and the Provost.

3.4 Knox Academy: Retaining Places in S1 for Pupils Moving into the Catchment Area (Members' Library Reference 210/12)

A report submitted by the Executive Director (Services for People) sought approval to reduce the number of places held in reserve in S1 at Knox Academy for the school session 2012/13. This report was approved by the Council Leader and the Convener of the Education Committee.

4 POLICY IMPLICATIONS

4.1 As outlined in each of the submitted reports specified in Section 3.

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 – As outlined in each of the submitted reports specified in Section 3.

6.2 Personnel – none.

6.3 Other – As outlined in each of the submitted reports specified in Section 3.

7 BACKGROUND PAPERS

7.1 East Lothian Standing Orders

7.2 East Lothian Council, 26 June 2012, "Summer Recess Arrangements 2012"

7.3 Reports lodged in the Members' Library as specified in Section 3.

7.4 Background papers as detailed in each of the submitted reports specified in Section 3.

AUTHOR'S NAME	Lel Gillingwater
DESIGNATION	Democratic Services Manager
CONTACT INFO	01620 827725
DATE	15 August 2012

MOTION TO EAST LoTHIAN COUNCIL
28 August 2012

Carers Champion and Carers Forum

Council recognises the fantastic work that Carers play in the general wellbeing and health in East Lothian

Council moves that it will appoint a Carers Champion .

This Champion will work with carers and with senior Council Officers to support local carers to ensure that they have a strong and effective voice at the heart of council

Council also moves that it will support the setting up of a Carers Forum.

This Forum will involve senior councillors, senior officials, providers of care, Care support groups, Carers and those who receive care themselves

This Forum should meet on a regular basis to ensure all voices are heard

Council requests that a follow-up paper be brought to Council at the earliest opportunity with details of the Carers Champion and Carers Forum

10

Proposed by: *P. McEwan* Seconded by: *2A*

Date: 16 August 2012.....Date: 16 August 2012.....

P. McEwan

Kevin McLeod

EAST LoTHIAN COUNCIL
RECEIVED
16 AUG 2012
CHIEF EXECUTIVE'S
OFFICE

REPORT TO: East Lothian Council

MEETING DATE: 28 August 2012

BY: Executive Director (Support Services)

SUBJECT: Submissions to the Members' Library Service
14 June – 15 August 2012

11

1 PURPOSE

- 1.1 To record the reports submitted to the Members' Library Service since the last meeting of Council, as listed in Appendix 1, into the Council's Business.

2 RECOMMENDATIONS

- 2.1 Council is requested to record the reports submitted to the Members' Library Service between 14 June and 15 August 2012 as listed in Appendix 1, into the Council's Business.

3 BACKGROUND

- 3.1 The Members' Library Service has a formal role in the consultative process between Council officers and Members as outlined in Standing Order 9(iv). It is therefore necessary to circulate a list of those reports submitted to the Library Service, to be recorded into the proceedings of the Council.
- 3.2 If Members have no objections to the reports listed in Appendix 1 they will be recorded into the Council's Business. All reports submitted to the Members' Library since January 2005 are available on eGov.

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 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 East Lothian Council's Standing Orders – 9(iv)
7.2 Report to East Lothian Council on 25 January 2005 – Submission to the Members' Library Service 29 October 2004 - 14 January 2005, and Changes to the Members' Library Process

AUTHOR'S NAME	Lel Gillingwater
DESIGNATION	Democratic Services Manager
CONTACT INFO	lgillingwater@eastlothian.gov.uk
DATE	15 August 2012

**MEMBERS' LIBRARY SERVICE RECORD FOR THE PERIOD
14 June – 15 August 2012**

Reference	Originator	Document Title	Committee	Access
155/12	Executive Director (Services for Communities)	SESplan: Representations to Proposed Plan	Cabinet	Public
156/12	Executive Director (Services for Communities)	Proposed Lease of Land at Mid Road Industrial Estate, Prestonpans	Cabinet	Private
157/12	Executive Director (Services for Communities)	Queen Elizabeth Fields Challenge	Cabinet	Public
158/12	Executive Director (Services for Communities)	Mortgage to Rent Scheme – Purchase of House in Port Seton	Cabinet	Private
159/12	Executive Director (Services for Communities)	Disposal of a Section of Boundary Wall between the Former Goosegreen Stables and the Existing Electricity Sub-Station, Musselburgh	Cabinet	Private
160/12	Executive Director (Services for Communities)	A199 East Linton Bypass Railway Bridge – joint installation	Cabinet	Public
161/12	Executive Director (Support Services)	East Lothian in Edinburgh 2012	Cabinet	Public
162/12	Executive Director (Support Services)	Brunton Main Hall Bar Licence and Operation	Cabinet	Public
163/12	Executive Director (Support Services)	Family Outreach Worker – Extension of Temporary Contract	Cabinet	Private
164/12	Executive Director (Support Services)	Service Review – Tranent Library Opening Hours Review	Cabinet	Private
165/12	SNCT (per Human Resources)	SNCT/JS/38 Maternity Leave Calculations	Cabinet	Public
166/12	SNCT (per Human Resources)	SNCT – SPPA Employer Newsletter June 2012	Cabinet	Public
167/12	STSS (per Human Resources)	STSS Summer 2012 Retirals	Cabinet	Public
168/12	SNCT (per Human Resources)	SNCT 12/34 Surrogacy Leave	Cabinet	Public
169/12	CoSLA (per Human Resources)	CoSLA – LNCT Joint Secretaries	Cabinet	Public

170/12	Executive Director (Services for Communities)	Countryside Service Annual Report 2011/12	Cabinet	Public
171/12	Executive Director (Support Services)	Extension of Treasury Management Contract	Cabinet	Public
172/12	Executive Director (Support Services)	Shared Services Project Officer – Temporary Post, Jointly with Midlothian Council	Cabinet	Private
173/12	Executive Director (Support Services)	Aubigny Visit – Haddington Farmers' Market	Cabinet	Public
174/12	Executive Director (Services for Communities)	Mortgage to Rent Scheme – Purchase of a House in Musselburgh	Cabinet	Private
175/12	Head of Council Resources	Draft Statement of Accounts	Council	Public
176/12	Head of Housing and Environment	Building Warrants Issued under Delegated Powers between 1 st and 30 th June 2012	Planning	Public
177/12	Executive Director (Services for Communities)	Public Health etc. (Scotland) Act 2008 Lothian Joint Health Protection Plan 2012-14	Cabinet	Public
178/12	Executive Director (Services for Communities)	Proposed Roofing Works to Whitecraig PS and Pencaitland PS	Cabinet	Public
179/12	SNCT(per Human Resources)	The Role and Enhanced Contribution of Chartered Teachers and Future Pay Arrangements	Cabinet	Public
180/12	Executive Director (Services for Communities)	Empty Homes Shared Services Pilot Project	Cabinet	Public
181/12	Executive Director (Services for Communities)	Proposed Works to Harbour & Seashore Nursery Areas at Dunbar PS: Summer 2012	Cabinet	Public
182/12	Executive Director (Services for Communities)	Proposed Fire Door Replacement at Musselburgh Burgh PS: Summer 2012	Cabinet	Public
183/12	Executive Director (Services for Communities)	Proposed Fire Door Upgrade Work at Saltoun PS: Summer 2012	Cabinet	Public
184/12	Executive Director (Services for Communities)	Proposed Hardstanding Works at North Berwick Community Centre, North Berwick	Cabinet	Public
185/12	Executive Director (Support Services)	East Lothian Council Consultation and Engagement Strategy	Cabinet	Public
186/12	Executive Director (Support Services)	The Industrial Communities Alliance	Council	Public
187/12	Executive Director (Services for Communities)	Proposed Works to Longniddry PS: Summer 2012	Cabinet	Public
188/12	Executive Director (Services for Communities)	Scottish Government Consultation Paper on Housing Support for Homeless Households	Cabinet	Public

189/12	Executive Director (Services for Communities)	Service Review – Additional Staffing Establishment within Facilities Management Services for new premises – Ormiston Community Centre	Cabinet	Private
190/12	Executive Director (Services for Communities)	Service Review – Additional Staffing Establishment within Facilities Management Services for new Tranent Area Office and Public Library	Cabinet	Private
191/12	Executive Director (Services for Communities)	Proposed Extension to Lease at the Fisherrow Centre, Musselburgh	Cabinet	Private
192/12	Executive Director (Services for Communities)	Proposed Housing Upgrades at Pinkie Braes, Musselburgh	Cabinet	Public
193/12	Executive Director (Services for Communities)	Road Network Management Quotation 2012/13 – Footway Slurry Resurfacing	Cabinet	Public
194/12	Executive Director (Services for Communities)	Railway Infrastructure Safety Supervision Services – A199 East Linton Bypass Railway Bridge	Cabinet	Public
195/12	Executive Director (Support Services)	Sports Award Scheme – Special Awards	Cabinet	Public
196/12	Executive Director (Services for Communities)	Proposed Housing Development in Musselburgh	Cabinet	Private
197/12	Executive Director (Services for Communities)	Sale of Land in Prestonpans	Cabinet	Private
198/12	Executive Director (Services for Communities)	Proposed Redevelopment of Meadowmill Sports Centre, Prestonpans	Cabinet	Public
199/12	Executive Director (Support Services)	Common Good Committees	Council	Public
200/12	Executive Director (Support Services)	Appointment of Appropriate Representatives to Outside Bodies – Follow-up Report	Council	Public
201/12	Executive Director (Support Services)	Amendment to East Lothian Scheme for Community Councils	Cabinet	Public
202/12	Head of Housing and Environment	Building Warrants Issued under Delegated Powers between 1 and 31 July 2012	Planning	Public
203/12	Head of Infrastructure	A199 East Linton Bypass Railway Bridge - Maintenance Painting Contract: Repainting Contract – CON-10-59a	Cabinet	Public
204/12	Executive Director (Services for Communities)	Food & Safety Team Performance Review 2011/12	Cabinet	Public
205/12	Executive Director (Services for Communities)	Proposed Fire Door Upgrade Work at Lothian Villa, Ravensheugh Road, Musselburgh	Cabinet	Public

206/12	Executive Director (Services for Communities)	SESplan Proposed Plan – Ratification of Habitats Regulations Appraisal Record	Cabinet	Public
207/12	Head of Policy and Partnerships	Musselburgh Corporation Golf Medal	Cabinet	Public
208/12	Head of Council Resources	2012-13 Quarter 1 Awards Made by Common Good Funds	Council	Public
209/12	Head of Council Resources	2011-12 Awards Made by Common Good Funds	Council	Public
210/12	Executive Director (Services for People)	Knox Academy: Retaining places in S1 for pupils moving into the catchment area	Education Committee	Public
211/12	Head of Council Resources	Annual Return and Tax Charges	Cabinet	Public
212/12	Head of Policy and Partnerships	Extension to Leisure Pass Plus Eligibility Criteria	Cabinet	Public

15 August 2012