

REPORT TO: Policy and Performance Review Committee

MEETING DATE: 27 November 2012

BY: Executive Director (Services for People)

SUBJECT: Adult Protection

1

1. PURPOSE

- 1.1. To provide an update of Adult Protection in East Lothian

2. RECOMMENDATIONS

- 2.1. Members are asked to note content of report and receive future updates.

3. BACKGROUND

- 3.1 Since the implementation of the Adult Support and Protection (Scotland) Act 2007 in October 2008, the duties, powers and measures to safeguard adults who may be at risk of harm; have been embedded into practice and used to improve outcomes for people. Within the local authority areas of East Lothian and Midlothian the joint Adult Protection Committee, established in 2009, contributes to the protection and welfare of adults at risk of harm through collaboration between agencies, the government and the general public.
- 3.2 Under the Adult Support and Protection (Scotland) Act 2007 an adult at risk is someone aged sixteen and over who:
 - a) is unable to safeguard their own well-being, property rights or other interests;
 - b) is at risk of harm, and
 - c) because they are *affected* by disability, mental disorder, illness or physical or mental infirmity, are more vulnerable to being harmed than adults who are not so affected.

3.3 Most people affected by disability, mental disorder, illness, or physical or mental infirmity live their lives comfortably and securely, either independently or with the help of paid or unpaid carers. We know however, that not everyone affected in this way is able to safeguard themselves.

3.4 The support and protection of adults at risk of harm remains high priority for our adult protection services with no cases waiting for allocation. Support is offered in a way that promotes independence, choice and empowerment. Currently, there are 40 live Adult Protection cases.

3.5 Police Referrals

Police referrals to social work have increased considerably in the previous 12 months but only a very small percentage are being progressed through Adult Protection. None the less, these referrals created a significant increase in volume of work for council officers which impacted on allocation of work elsewhere in the service meetings were subsequently held with our police colleagues to discuss referral processes and we are monitoring the impact of changes in process.

3.6 Multi Agency, Large Scale Investigations

Currently, they are dealing with two agencies (Carr Gomm and Housecall, both provide services in the community) under the above protocol. Partnership working is ensuring that the risk of harm to service users is being minimised. However, the failure of these services will have an impact as we are no longer referring work to them, considerably reducing the availability of care within the county.

There are no care homes being managed in this way with Tranent Care Home having just been stepped down from the above although admissions continue to be restricted.

3.7 Public Awareness

As we improve our data collection (see Appendix 1) referrals by cluster areas indicate areas of priority to raise public awareness. It is planned to offer presentations to Community Councils on Public Protection before the end of 2012. The impact of this input will be monitored and referral data collected.

3.8 Suicide and Self Harm

In 2011 there were 18 Male deaths as a result of suicide; this was an increase of 9 on the previous year. This is the largest total in East Lothian in 30 years although it is still below the national rate for

Scotland. There were 4 suicides for women, which was down from 5 in 2011, despite the low numbers this rate continues to be higher than the national rate for Scotland.

Within an eight month period (3 Jan – 28 Aug 2012) East Lothian Council received 514 referrals from the police. 117 of the referrals were associated with feelings/thought of suicide and self harm which made up 20% of the referrals. 3% are repeat referrals but have only been counted once in the overall number of referrals. Of the overall referrals of self harm/suicide 49% were Female and 51% Male. Of the 51% that were known most of them had come into contact with Criminal Justice service and Children's services, the minority were known to mental health services (17%).

Alcohol was also a common feature with 52% of females presenting under the influence of alcohol and 48% of males.

The current service provision (outwith statutory services) within East Lothian provides an outreach service to individuals with a diagnosed mental illness, however there is no service provision that offers any crisis intervention to people who self-harm. The question of whether such a service, which is able to respond to people in crisis/distress/self-harm would reduce the numbers of people completing suicide and of those presenting with self harming behaviours should be considered?

A detailed report will be presented at a later date to PPRC.

4. POLICY IMPLICATIONS

4.1. None directly relating to this report.

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 None

7. BACKGROUND PAPERS

7.1 Appendix 1, statistical information

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DATE	15-November-2012

Appendix 1, Statistical Data.

Trends and Patterns:

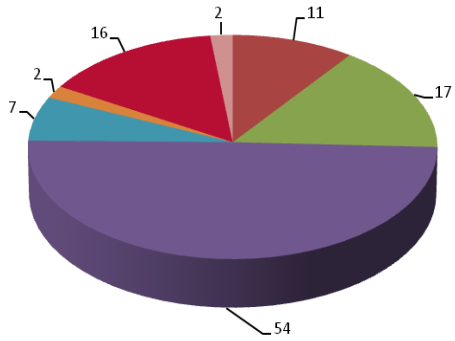
East Lothian

Measure	Short term trend	Long term trend	2010/11	2011/12	Q1 2012/13	Q2 2012/13	Annual
Referrals	↑		835	941	214	271	485
Duty to Inquire	↑	↑	143	307	71	113	184
IRD	-	↑	58	145	31	31	62
Case Conferences*	↓	↑	36	95	30	24	54
Professionals meetings			-	-	22	9	31
No of open cases	↑	-		56	42	59	110
Protection Orders			8	5	1	2	3
No of Large Scale Investigations	-	↑	2	7	0	0	0

* 2010/11& 2011/12 figures include Professionals Meetings.

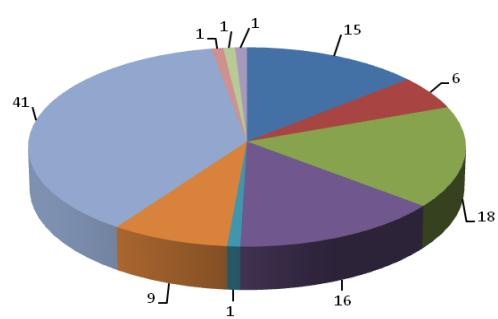
Profile: East Lothian

CLIENT GROUP



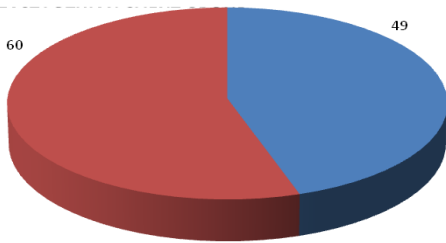
- learning disabilities
- mental health problems
- other vulnerable groups
- physical disability
- substance misuse
- older people
- not known

TYPE OF HARM



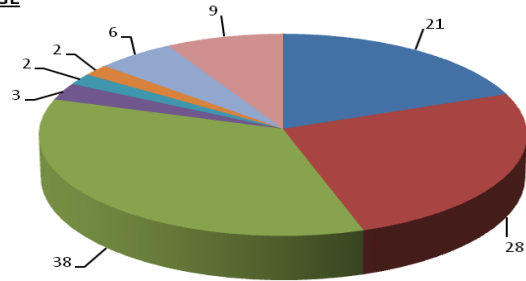
- Physical
- Sexual
- Psychological
- financial
- neglect
- self neglect
- self harm
- discrimination
- other
- not known

GENDER



- Male
- Female

AGE



- 16-24
- 25-39
- 40-64
- 65-69
- 70-74
- 75-79
- 80-84
- 85+

East Lothian referrals by home address.



REPORT TO: Policy and Performance Review Committee
MEETING DATE: 27 November 2012
BY: Executive Director (Services for Communities)
SUBJECT: Community Wardens Report

3

1. PURPOSE

- 1.1. To provide the Policy and Performance Review Committee with an update on the work of the community wardens and give information on work presently undertaken and future direction.

2. RECOMMENDATIONS

- 2.1. That the Policy and Performance Review Committee notes the content of the report and endorses the work of the community wardens.

3. BACKGROUND

- 3.1. The community warden service is part of a wider range of measures introduced by the Council to tackle antisocial behaviour issues across East Lothian, including the antisocial behaviour team, and directly funded Police officers.
- 3.2. There are seven community wardens and a senior warden. The community wardens work flexibly on a three week shift pattern which includes night shift working as part of the Council's night time noise team. The wardens have been managed within the Environmental Protection team since their inception on 1 September 2008.
- 3.3. The community wardens aim to provide a high quality, flexible and responsive service in relation to investigation of, dealing with and reporting on antisocial behaviour and related environmental protection matters to help promote a clean, safe and secure environment for the local community in East Lothian. Individual community wardens develop local knowledge and community liaison in relation to one of the Council's electoral ward areas, but operational deployment is across East Lothian as directed by the senior warden/ team manager.

- 3.4. Their duties are wide and varied and include high visibility patrols and community engagement, enforcement of dog fouling and littering legislation including issuing of fixed penalties, dealing with low level ASB complaints and working closely with ASB team. They also undertake joint patrols with police, estate inspections with Housing. They also attend monthly Community Action Police Partnership (CAPP) meetings, Community Council Meetings, Tenants and Residents group etc as appropriate.
- 3.5. It is not possible to record all the activities of the wardens, but in addition to the day to day patrols and community engagement, the list in Appendix 1 is indicative of the diversity of the wardens' work in recent months.
- 3.6. The wardens are tasked daily by the senior warden and have a three weekly work progress meeting when ongoing and proposed work is discussed. They are also tasked by the weekly Task & Co-ordinating Group (TAC) meeting which identifies areas requiring warden patrols based around local community/ police intelligence. The wardens also generate their own work within the individual ward areas. Most of the wardens now have bicycles for patrolling residential areas. As well as working within their own areas they are tasked for joint patrols with other wardens throughout East Lothian.
- 3.7. One week in three the wardens work a night shift Thursday to Sunday nights (18:00 – 03:00 hours) as part of the night time noise team. On night shift they will carry out locally tasked patrols in the early evening up to around 10:00, after this time they are available to deal with domestic noise calls, checks on licensed premises and Antisocial Behaviour (ASB) helpline calls. Most community wardens have taken or are about to undertake a qualification in ASB noise control.
- 3.8. The Community Wardens also support a range of diversionary and awareness raising activities in local communities eg assisting with cool down crew with L&B Fire and Rescue Service; school visits (particularly P6-7) raising awareness of ASB issues; dogwatch campaign etc.
- 3.9. An ongoing initiative is school visits (particularly p6-7 classes) to introduce the local area warden, and to discuss issues around graffiti, vandalism, what constitutes Anti-social behaviour and how these things impact on the local environment and vulnerable members of the community, the sorts of things that the wardens frequently get complaints about, snow ball throwing, banging on doors after dark and running away etc. Feedback from these visits is typically very positive eg:-
 - *“My class really enjoyed this and it made them think. Meeting adults who work in their community was a positive experience. It would be beneficial to have at least one visit per session for each class so that these links are maintained.”*

- *“A mine of information and most interesting to learn of the huge remit the wardens have, what their place is within the community and how we, as pupils and a school, can assist and support the excellent work they do”.*
- 3.10. An interim service assessment including a feedback survey was undertaken in 2010. Questionnaires were sent out to 150 recipients including Councillors, community groups, Police, and other stakeholders. There were 71 responses, the vast majority of which were very positive in support of community warden service. Some operational changes including more joint working with Housing Management and Police were introduced at that time, but by and large the operational deployment of the wardens has followed the original pattern stated in 2008.
- 3.11. There has been some staff turnover since 2008 with four wardens moving on to other jobs over the past 4 years. Although posts were filled this has caused some issues in terms of continuity of service delivery in certain areas.
- 3.12. As a consequence of the Council restructuring (April 2012) and ongoing workforce efficiency considerations, it is proposed to rationalise the staffing establishments and team management arrangements in the Environmental Protection and Antisocial Behaviour teams. Proposals for a new Safer Communities Team are underway to link the current Antisocial Behaviour team and the Community Wardens and promote greater working of the wardens from local area offices.
- 3.13. There are a number of operational benefits to bringing together the Community Wardens and the Antisocial Behaviour Team under the same operational management, including:
- Estate Management and Community Safety is inextricably linked with antisocial behaviour, graffiti, unkempt gardens, littering, vandalism, dog related complaints can all be deemed as being antisocial.
 - Dealing with antisocial noise emanating from residential premises is, by its very nature, linked to the major provisions of the Antisocial Behaviour Policy and Strategy.
 - Community Wardens can investigate lower level antisocial behaviour complaints in accordance with the Antisocial Behaviour Policy. This would expand the knowledge and skill base of Officers.
 - Foot Patrols by Community Wardens form part of the preventative arm of the Antisocial Behaviour Strategy.
 - The ASB Team has strong formal links with the Local Area Teams. We investigate their more serious antisocial behaviour complaints. This established bridge would allow the Community

Wardens to integrate themselves more easily in to Local Area Teams.

- Bringing the Community Warden Team in to the Safer Communities line management structure, would enhance the relationship between Lothian and Borders Police and the Community Warden Team. It would make the tasking of Officers on a daily basis easier. The ASB Team has direct and up to date information obtained via Police systems. Community Wardens could respond quicker to ongoing issues.
 - Having the Community Warden Team under the direct line management of the Safer Communities Team Leader, would make it easier for that Officer to have more control of the deployment of integrated resources.
 - The Community Wardens will continue to support the Council's Night Time Noise Team as part of their substantive duties.
- 3.14. The latest figures produced by Lothian and Borders Police indicate a drop of 19% in antisocial behaviour calls made to the Police during the period April to August 2012, as compared to the same period in 2011. The figures also show a drop of 37 % for youth related antisocial behaviour calls made during this period. It is submitted that the reduction shown in these Figures is, in part, due to the efforts being made by the Community Warden Team, working alongside partner agencies, in addressing antisocial behaviour within East Lothian.
- 3.15. The Community Wardens are now well established and within the available staff resources. The wardens continually aim to strike the right balance between pro-active intervention approaches and re-acting to day to day community concerns. This will be an ongoing challenge as the work of the wardens continues to develop in the coming years.

4. POLICY IMPLICATIONS

- 4.1. The work of the Community Wardens supports the implementation of the East Lothian Antisocial Behaviour Policy, and the Single Outcome Agreement Community Safety Outcomes.

5. EQUALITIES IMPACT ASSESSMENT

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

6. RESOURCE IMPLICATIONS

- 6.1. Financial – None

- 6.2. Personnel - Transfer of staff to Safer Communities Team subject of separate report
- 6.3. Other – None

7. BACKGROUND PAPERS

- 7.1. None

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REPORT TO: Policy and Performance Review Committee

MEETING DATE: 27 November 2012

BY: Executive Director (Support Services)

SUBJECT: 2011/12 SPI comparisons

4

1 PURPOSE

- 1.1 To provide the Committee with information on how East Lothian Council performed in comparison with other Scottish Councils in regard to the Statutory Performance Indicators for 2011/12

2 RECOMMENDATIONS

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

3 BACKGROUND

- 3.1 Members of the Committee received a briefing including the audited SPI results for 2011/12 prior to their meeting of September 2012. Members may also recall the inclusion of unaudited SPI results as part of the Annual Performance Report to Council in June 2012. However, comparative information for all 32 Council's in Scotland did not become available until October 2012; it is this information which is the subject of this report.
- 3.2 The report attached at Appendix A shows the indicators that are in the top quartile (i.e. within the best performing 25% of results) and bottom quartile (i.e. within the worst 25% of results) in comparison to other Scottish Councils. Results are analysed in the Appendix by showing the actual result for East Lothian, the Scottish Average, and the rank (usually 1-32). The Appendix also displays a graph for each indicator that falls within the bottom quartile to show the trend over time and any comments to explain what the indicator shows and why performance has changed.

4 POLICY IMPLICATIONS

- 4.1 Statutory performance indicators represent an important component of East Lothian Council's performance management arrangements and the drive to deliver Continuous Improvement.

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 A: East Lothian SPIs comparative performance 2011/12

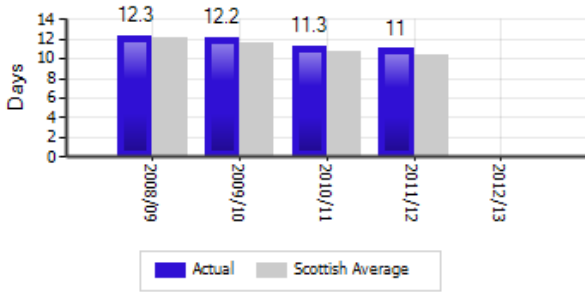
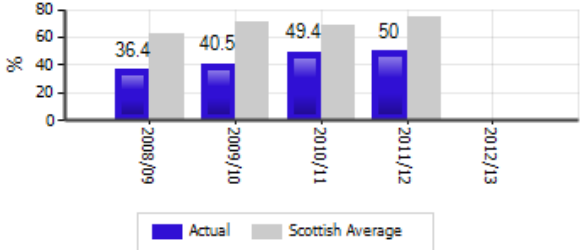
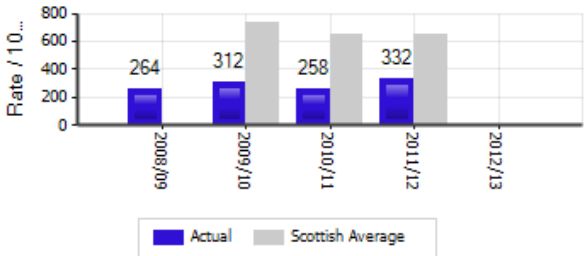
AUTHOR'S NAME	Andrew Strickland
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DATE	29 October 2012

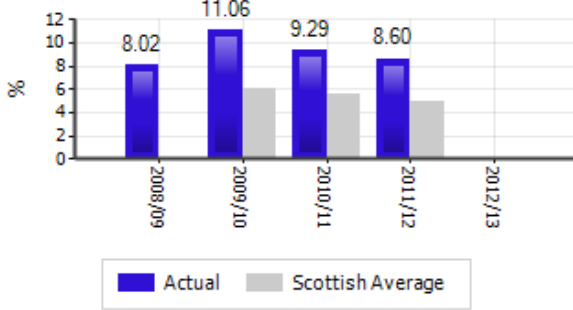
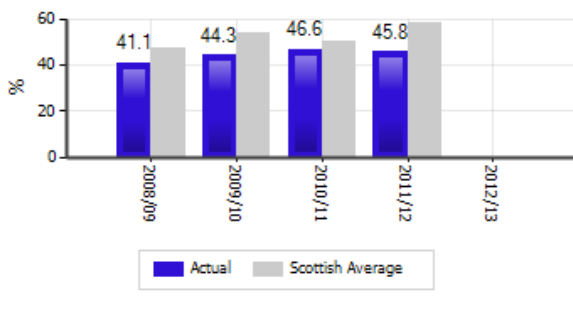
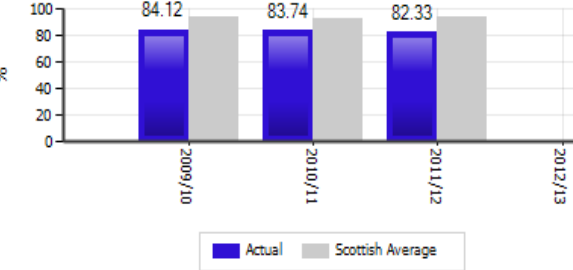
Appendix A: East Lothian SPIs comparative performance 2010/11

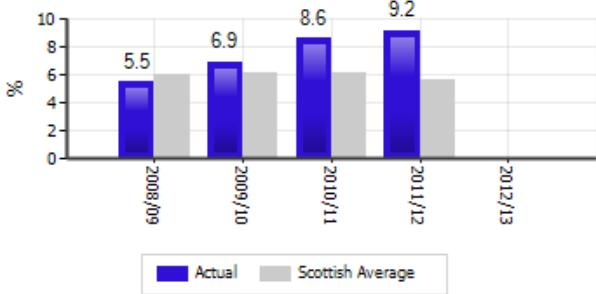
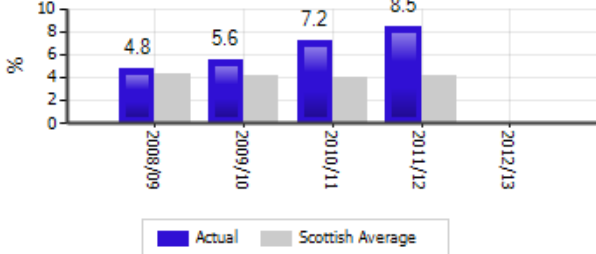
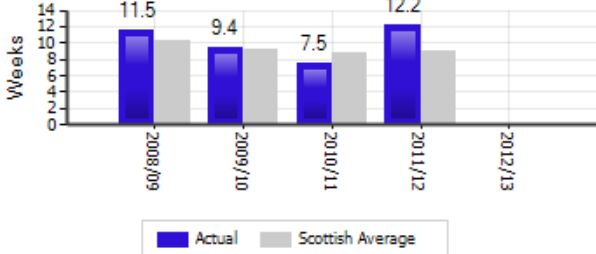
Top Quartile

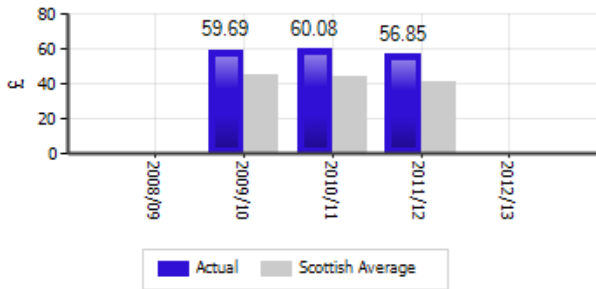
No.	Indicator	Actual	Scot Av. (median)	Rank (1-32 unless stated)
8	Proportion of internal floor area of operational buildings in satisfactory condition	96.5%	84.6%	3
9	Percentage of homecare clients receiving a service at weekends	87.1%	77.4%	6
10	Number of attendances per 1,000 population to all pools	4,551	3,496	8
11	Number of visits to/usages of council funded or part funded museums expressed per 1,000 population	4,559	1,075	4 (1-30)
13	Percentage of householder applications dealt with within two months	92.6%	86.5%	6
17	Average time to re-let not low demand houses	17 days	34 days	3 (1-26)
18	Proportion of those tenants [giving up tenancy] that were in rent arrears	30.5%	41.7%	6 (1-26)
19	The proportion of those provided with permanent accommodation in council stock who maintained their tenancy for at least 12 months	94.8%	85.8%	2 (1-26)
21	Percentage of consumer complaints dealt with within 14 days of receipt	90.9%	82.5%	6 (1-31)
22	Overall percentage of road network that should be considered for maintenance treatment	30.2%	36.4%	6

Bottom quartile

Indicator	Trend	Comments																		
<p>Days lost per employee for other Local Government employees</p> <p>East Lothian 11.0 days</p> <p>Scotland 10.3 days</p> <p>Rank (1-32) 24</p>	<p>Sickness absence - all other local government employees</p>  <table border="1"> <caption>Sickness absence - all other local government employees</caption> <thead> <tr> <th>Year</th> <th>Actual (Days)</th> <th>Scottish Average (Days)</th> </tr> </thead> <tbody> <tr> <td>2008/09</td> <td>12.3</td> <td>10.3</td> </tr> <tr> <td>2009/10</td> <td>12.2</td> <td>10.3</td> </tr> <tr> <td>2010/11</td> <td>11.3</td> <td>10.3</td> </tr> <tr> <td>2011/12</td> <td>11.0</td> <td>10.3</td> </tr> <tr> <td>2012/13</td> <td>-</td> <td>10.3</td> </tr> </tbody> </table>	Year	Actual (Days)	Scottish Average (Days)	2008/09	12.3	10.3	2009/10	12.2	10.3	2010/11	11.3	10.3	2011/12	11.0	10.3	2012/13	-	10.3	<p>Long-term sickness absence tends to be well managed. Short-term absences are a greater cause for concern. The monitoring data, produced centrally to support managers, is 6 weeks out of date, which makes managing short-term absence more difficult.</p> <p>Enquiries made to other councils suggest that there is some inconsistency in the way that this indicator is collected.</p>
Year	Actual (Days)	Scottish Average (Days)																		
2008/09	12.3	10.3																		
2009/10	12.2	10.3																		
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2011/12	11.0	10.3																		
2012/13	-	10.3																		
<p>Percentage of public service buildings that are suitable for and accessible to disabled people</p> <p>East Lothian 50%</p> <p>Scotland 74.8%</p> <p>Rank (1-32) 28</p>	<p>The proportion of Council buildings that are accessible to disabled people</p>  <table border="1"> <caption>The proportion of Council buildings that are accessible to disabled people</caption> <thead> <tr> <th>Year</th> <th>Actual (%)</th> <th>Scottish Average (%)</th> </tr> </thead> <tbody> <tr> <td>2008/09</td> <td>36.4</td> <td>74.8</td> </tr> <tr> <td>2009/10</td> <td>40.5</td> <td>74.8</td> </tr> <tr> <td>2010/11</td> <td>49.4</td> <td>74.8</td> </tr> <tr> <td>2011/12</td> <td>50.0</td> <td>74.8</td> </tr> <tr> <td>2012/13</td> <td>-</td> <td>74.8</td> </tr> </tbody> </table>	Year	Actual (%)	Scottish Average (%)	2008/09	36.4	74.8	2009/10	40.5	74.8	2010/11	49.4	74.8	2011/12	50.0	74.8	2012/13	-	74.8	<p>The slight improvement in performance may be the result of a number of factors including:</p> <ul style="list-style-type: none"> • New build works (which would be required to comply with current public access legislation). • Refurbishment works, of existing buildings, which may include DDA works. • Changes to Estate (e.g. properties acquired/disposed, properties changing from Non Operational to Operational). • Changes to asset type which may have a bearing on public access
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<p>Number of visits to museums that were in person expressed per 1,000 population</p> <p>East Lothian 322</p> <p>Scotland 645</p> <p>Rank (1-30) 26</p>	<p>The number of visits to Council funded museums per 1000 population that were made in person</p>  <table border="1"> <caption>The number of visits to Council funded museums per 1000 population that were made in person</caption> <thead> <tr> <th>Year</th> <th>Actual (Rate / 1000)</th> <th>Scottish Average (Rate / 1000)</th> </tr> </thead> <tbody> <tr> <td>2008/09</td> <td>264</td> <td>645</td> </tr> <tr> <td>2009/10</td> <td>312</td> <td>645</td> </tr> <tr> <td>2010/11</td> <td>258</td> <td>645</td> </tr> <tr> <td>2011/12</td> <td>332</td> <td>645</td> </tr> <tr> <td>2012/13</td> <td>-</td> <td>645</td> </tr> </tbody> </table>	Year	Actual (Rate / 1000)	Scottish Average (Rate / 1000)	2008/09	264	645	2009/10	312	645	2010/11	258	645	2011/12	332	645	2012/13	-	645	<p>During 2011-12 we had one museum closed for refurbishment (Dunbar Town House Museum and Gallery) and this undoubtedly had an effect on total figures. Of the open museums both Prestongrange and Musselburgh have part time hours (Musselburgh is open 3 days a week, Prestongrange is seasonal open April to October) this limits the visitor numbers we can achieve.</p>
Year	Actual (Rate / 1000)	Scottish Average (Rate / 1000)																		
2008/09	264	645																		
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Indicator	Trend	Comments																		
<p>Percentage of temporary accommodation cases reassessed within 12 months of completion of duty</p> <p>East Lothian 8.6%</p> <p>Scotland 5.0%</p> <p>Rank (1-32) 27</p>	<p>% of cases reassessed within 12 months (temporary)</p>  <table border="1"> <thead> <tr> <th>Year</th> <th>Actual (%)</th> <th>Scottish Average (%)</th> </tr> </thead> <tbody> <tr> <td>2008/09</td> <td>8.02</td> <td>5.0</td> </tr> <tr> <td>2009/10</td> <td>11.06</td> <td>5.0</td> </tr> <tr> <td>2010/11</td> <td>9.29</td> <td>5.0</td> </tr> <tr> <td>2011/12</td> <td>8.60</td> <td>5.0</td> </tr> <tr> <td>2012/13</td> <td>-</td> <td>5.0</td> </tr> </tbody> </table>	Year	Actual (%)	Scottish Average (%)	2008/09	8.02	5.0	2009/10	11.06	5.0	2010/11	9.29	5.0	2011/12	8.60	5.0	2012/13	-	5.0	<p>In 2009 the Council took a strategic decision not to implement the proposed abolition of priority need until the legislative change was enacted (planned for December 2012). Most councils chose to implement a targeted reduction in the number of “non-priority” decisions from 2009 onwards. Therefore as there were proportionally less non priority cases across Scotland then it is logical that the level of repeat applicants would also decline.</p> <p>In East Lothian terms the 8.6% figure compares to 9.29% repeat figure for the same client group in 2010/11 indicating that despite the impact of the above an improving performance.</p>
Year	Actual (%)	Scottish Average (%)																		
2008/09	8.02	5.0																		
2009/10	11.06	5.0																		
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<p>Percentage of households assessed as homeless that were housed in permanent accommodation</p> <p>East Lothian 45.8%</p> <p>Scotland 58.1%</p> <p>Rank (1-30) 26</p>	<p>The % of households assessed as homeless who are housed (permanent)</p>  <table border="1"> <thead> <tr> <th>Year</th> <th>Actual (%)</th> <th>Scottish Average (%)</th> </tr> </thead> <tbody> <tr> <td>2008/09</td> <td>41.1</td> <td>58.1</td> </tr> <tr> <td>2009/10</td> <td>44.3</td> <td>58.1</td> </tr> <tr> <td>2010/11</td> <td>46.6</td> <td>58.1</td> </tr> <tr> <td>2011/12</td> <td>45.8</td> <td>58.1</td> </tr> <tr> <td>2012/13</td> <td>-</td> <td>58.1</td> </tr> </tbody> </table>	Year	Actual (%)	Scottish Average (%)	2008/09	41.1	58.1	2009/10	44.3	58.1	2010/11	46.6	58.1	2011/12	45.8	58.1	2012/13	-	58.1	<p>The percentage housed in permanent accommodation reflects the severe housing supply difficulties faced by East Lothian. We have a lower than average housing turnover rate which in turn means that waiting times for re-housing for priority decision are longer than applicants or the council find acceptable, current average waiting times are 9 months, but for smaller house sizes the waiting times are at least 1 year and frequently longer.</p>
Year	Actual (%)	Scottish Average (%)																		
2008/09	41.1	58.1																		
2009/10	44.3	58.1																		
2010/11	46.6	58.1																		
2011/12	45.8	58.1																		
2012/13	-	58.1																		
<p>Percentage of repairs completed within target times</p> <p>East Lothian 82.3%</p> <p>Scotland 94%</p> <p>Rank (1-26) 26</p>	<p>% of response repairs completed within target times</p>  <table border="1"> <thead> <tr> <th>Year</th> <th>Actual (%)</th> <th>Scottish Average (%)</th> </tr> </thead> <tbody> <tr> <td>2009/10</td> <td>84.12</td> <td>94</td> </tr> <tr> <td>2010/11</td> <td>83.74</td> <td>94</td> </tr> <tr> <td>2011/12</td> <td>82.33</td> <td>94</td> </tr> <tr> <td>2012/13</td> <td>-</td> <td>94</td> </tr> </tbody> </table>	Year	Actual (%)	Scottish Average (%)	2009/10	84.12	94	2010/11	83.74	94	2011/12	82.33	94	2012/13	-	94	<p>See minute of PPRC 25th September 2012</p> <p>The use of sub-contracting and outsourcing to deal with repairs is being kept to a minimum. However, the downside of this approach is having limited resources to tackle periods of abnormally high demand caused by extreme conditions. The Council is currently looking to put in place a number of external framework contractors that can be called upon at short notice to assist in dealing with periods of abnormally high activity. This should assist greatly in improving response times in future. Also, the introduction of mobile working last year has seen a significant improvement in response times which will undoubtedly assist in improving response times going forward.</p>			
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2010/11	83.74	94																		
2011/12	82.33	94																		
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Indicator	Trend	Comments																		
<p>Current tenants' arrears as a percentage of net rent due</p> <p>East Lothian 9.2%</p> <p>Scotland 5.6%</p> <p>Rank (1-26) 21</p>	<p>Current tenants arrears as a percentage of net rent due</p>  <table border="1"> <thead> <tr> <th>Year</th> <th>Actual (%)</th> <th>Scottish Average (%)</th> </tr> </thead> <tbody> <tr> <td>2008/09</td> <td>5.5</td> <td>5.6</td> </tr> <tr> <td>2009/10</td> <td>6.9</td> <td>5.6</td> </tr> <tr> <td>2010/11</td> <td>8.6</td> <td>5.6</td> </tr> <tr> <td>2011/12</td> <td>9.2</td> <td>5.6</td> </tr> <tr> <td>2012/13</td> <td>-</td> <td>5.6</td> </tr> </tbody> </table>	Year	Actual (%)	Scottish Average (%)	2008/09	5.5	5.6	2009/10	6.9	5.6	2010/11	8.6	5.6	2011/12	9.2	5.6	2012/13	-	5.6	<p>See report to PPRC 20th March 2012</p> <p>There could conceivably be a number of reasons why rent arrears are on the rise. Some of the main areas where difficulties are being reported are summarised below.</p> <p>The current economic climate has made it increasingly challenging for councils to collect house rents and revenues in general.</p> <p>Having to contract services in line with budgetary constraints is proving to be a challenge too and has the potential to cause difficulties in future should the Revenues establishment continue to shrink.</p>
Year	Actual (%)	Scottish Average (%)																		
2008/09	5.5	5.6																		
2009/10	6.9	5.6																		
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<p>Percentage of current tenants owing more than 13 weeks rent excluding those owing less than £250</p> <p>East Lothian 8.5%</p> <p>Scotland 4.1%</p> <p>Rank (1-26) 26</p>	<p>% of current tenants owing more than 13 weeks rent excluding those owing less than £250</p>  <table border="1"> <thead> <tr> <th>Year</th> <th>Actual (%)</th> <th>Scottish Average (%)</th> </tr> </thead> <tbody> <tr> <td>2008/09</td> <td>4.8</td> <td>4.1</td> </tr> <tr> <td>2009/10</td> <td>5.6</td> <td>4.1</td> </tr> <tr> <td>2010/11</td> <td>7.2</td> <td>4.1</td> </tr> <tr> <td>2011/12</td> <td>8.5</td> <td>4.1</td> </tr> <tr> <td>2012/13</td> <td>-</td> <td>4.1</td> </tr> </tbody> </table>	Year	Actual (%)	Scottish Average (%)	2008/09	4.8	4.1	2009/10	5.6	4.1	2010/11	7.2	4.1	2011/12	8.5	4.1	2012/13	-	4.1	<p>It is worth mentioning a significant local factor which has impacted on our ability to collect rent. The council is now recovering overpayments of housing benefit from ongoing benefit entitlement. This effectively increases the fortnightly rent charge when applied and leads to the council trying to collect more money from people with limited means.</p> <p>There is a direct link between housing benefit issues and rent arrears. Despite having the support of rent income officers, tenants on low income are often slow to apply for benefit and arrears can accrue until there is a willingness to engage and the process can begin. There can also be unwillingness on the part of the tenant to apply for benefit despite being entitled – the complexity of the claim form can sometimes be a factor. Claim verification can be a slow process, especially now that there are no benefits visiting officers, and can lead to claims being made void if e.g. supporting evidence for a claim is not returned timeously. Some tenants assume they will qualify for benefit and avoid paying until the outcome of their application, which leads to arrears if benefit is not awarded or the award is not what the tenant had expected.</p>
Year	Actual (%)	Scottish Average (%)																		
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<p>Average number of weeks rent owed by tenants leaving in arrears</p> <p>East Lothian 12.2</p> <p>Scotland 8.92</p> <p>Rank (1-26) 23</p>	<p>Average number of weeks rent owed by tenants leaving in arrears</p>  <table border="1"> <thead> <tr> <th>Year</th> <th>Actual (Weeks)</th> <th>Scottish Average (Weeks)</th> </tr> </thead> <tbody> <tr> <td>2008/09</td> <td>11.5</td> <td>8.92</td> </tr> <tr> <td>2009/10</td> <td>9.4</td> <td>8.92</td> </tr> <tr> <td>2010/11</td> <td>7.5</td> <td>8.92</td> </tr> <tr> <td>2011/12</td> <td>12.2</td> <td>8.92</td> </tr> <tr> <td>2012/13</td> <td>-</td> <td>8.92</td> </tr> </tbody> </table>	Year	Actual (Weeks)	Scottish Average (Weeks)	2008/09	11.5	8.92	2009/10	9.4	8.92	2010/11	7.5	8.92	2011/12	12.2	8.92	2012/13	-	8.92	<p>There is a relatively high level of arrears for council homeless properties (managed by Community Services) and at times non-paying tenants are being moved from homeless accommodation into mainstream housing with limited experience of successfully managing their tenancy, financially. The council needs to encourage a culture of prompt and regular payment from all tenants, whilst ensuring compliance with Homelessness legislation.</p> <p>Possibly the biggest challenge facing local authority rent collection services has yet to come – the government's proposed Welfare Reform. The introduction of universal credits and changes to Local Housing Allowance payments, together with reductions in some welfare benefits and allowances, can only make rent far more difficult to collect and will undoubtedly have a major impact on the social housing sector in general.</p>
Year	Actual (Weeks)	Scottish Average (Weeks)																		
2008/09	11.5	8.92																		
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Indicator	Trend	Comments																		
<p>Gross cost per case of benefits administration</p> <p>East Lothian £56.85</p> <p>Scotland £41.10</p> <p>Rank (1-32) 25</p>	<p>The gross cost per case for benefits administration</p>  <table border="1"> <caption>Data for 'The gross cost per case for benefits administration'</caption> <thead> <tr> <th>Year</th> <th>Actual (£)</th> <th>Scottish Average (£)</th> </tr> </thead> <tbody> <tr> <td>2008/09</td> <td>-</td> <td>41.10</td> </tr> <tr> <td>2009/10</td> <td>59.69</td> <td>41.10</td> </tr> <tr> <td>2010/11</td> <td>60.08</td> <td>41.10</td> </tr> <tr> <td>2011/12</td> <td>56.85</td> <td>41.10</td> </tr> <tr> <td>2012/13</td> <td>-</td> <td>41.10</td> </tr> </tbody> </table>	Year	Actual (£)	Scottish Average (£)	2008/09	-	41.10	2009/10	59.69	41.10	2010/11	60.08	41.10	2011/12	56.85	41.10	2012/13	-	41.10	<p>The East Lothian Benefits Service has continued to use whatever means at its disposal to reduce the gross administration cost per case. Whilst this has included a 10% reduction in its staffing establishment since 2009/10 and modernising its computer systems during the same period these changes have only managed to yield a 5% reduction in the gross administration cost per case. Other costs recharged to the Benefits Unit are out with the scope of its control and may therefore continue to be reflected to the Unit's performance against this particular SPI. It should be noted that the accuracy of reporting of this particular SPI is subject to what costs Councils actually include in their performance returns. Given the variance in figures reported it is likely that this indicator may be an unreliable measure for comparison of true costs being borne by Housing Benefit / Council Tax Benefit Administrations across Scotland.</p>
Year	Actual (£)	Scottish Average (£)																		
2008/09	-	41.10																		
2009/10	59.69	41.10																		
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2011/12 SPIs – Scottish Average and Rank

No.	Indicator	Actual	Scot Av. (median)	Rank (1-32 unless stated)
1	Days lost per employee for teachers	5.7	6.3	9
1	Days lost per employee through sickness absence for other Local Government employees	11.0	10.3	24
2	Percentage of council employees in top 2% of earners that are women	35.9%	39.8%	22
2	Percentage of council employees in top 5% of earners that are women	47.5%	47.1%	15
3	Percentage of public service buildings that are suitable for and accessible to disabled people	50.0%	74.8%	28
4	Gross [cost of benefits] administration cost per case	£56.85	£41.10	25
5	Cost of collecting council tax per dwelling	£12.11	£12.46	16
6	Percentage of income due from council tax for the year that was received by the end of the year	95.8%	95.6%	13
7	Percentage of invoices sampled paid within 30 days	89.1%	88.6%	16
8	Proportion of internal floor area of operational buildings in satisfactory condition	96.5%	84.6%	3
8	Proportion of operational buildings that are suitable for their current use	80.1%	81.6%	19
9	Percentage of homecare clients receiving personal care	91.1%	95.4%	22
9	Percentage of homecare clients receiving a service during evening/overnight	41.7%	43.5%	19
9	Percentage of homecare clients receiving a service at weekends	87.1%	77.4%	6
10	Number of attendances per 1,000 population to all pools	4,551	3,496	8
10	Number of attendances per 1,000 population for other indoor sports and leisure facilities excluding pools in a combined complex	5,534	5,874	20
11	Number of visits to/usages of council funded or part funded museums expressed per 1,000 population	4,559	1,075	4 (1-30)
11	Number of visits that were in person expressed per 1,000 population	332	645	26 (1-30)

12	Number of visits to libraries expressed per 1,000 population	5,258	5,871	21
13	Percentage of householder applications dealt with within two months	92.6%	86.5%	6
13	Percentage of non-householder applications dealt with within two months	56.2%	58.6%	19
13	Percentage of householder and non-householder applications dealt with within two months	74.2%	71.6%	14
14	Percentage of repairs completed within target times	82.3%	94%	26 (1-26)
15	Percentage of council dwellings brought up to a tolerable standard	100%	100%	-
15	Percentage of council dwellings free from serious disrepair	98.3%	98.6%	15 (1-26)
15	Percentage of council dwellings that are energy efficient	75.9%	86.1%	19 (1-26)
15	Percentage of council dwellings that have modern facilities and services	83.9%	92.2%	22 (1-26)
15	Percentage of council dwellings that are healthy, safe and secure	96.7%	93.6%	9 (1-26)
15	Percentage of dwellings meeting SHQS	62.4%	70.8%	17 (1-26)
16	Percentage of rent due in the year that was lost due to voids	1.0%	1.0%	14 (1-26)
17	Average time to re-let low demand houses	72 days	66 days	17 (1-26)
17	Average time to re-let not low demand houses	17 days	34 days	3 (1-26)
18	Current tenants' arrears as a percentage of net rent due	9.2%	5.6%	21 (1-26)
18	Percentage of current tenants owing more than 13 weeks rent excluding those owing less than £250	8.5%	4.1%	26 (1-26)
18	Proportion of those tenants [giving up tenancy] that were in rent arrears	30.5%	41.7%	6 (1-26)

18	Average debt owed by tenants leaving their tenancies with arrears	£544	£548	14 (1-26)
18	Average number of weeks rent owed by tenants leaving in arrears	12.18 weeks	8.92 weeks	23 (1-26)
18	Percentage of former tenant arrears written off or collected during the year	28.7%	34.0%	10 (1-26)
19	Percentage of decision notifications issued within 28 days of date of initial presentation for permanent accommodation	89.8%	89.5%	16
19	Percentage who are housed into permanent accommodation	45.8%	58.1%	26
19	Percentage of permanent accommodation cases reassessed	4.9%	5.7%	12
19	Percentage of decision notifications issued within 28 days of date of initial presentation for temporary accommodation	81.2%	83.5%	20
19	Percentage of temporary accommodation cases reassessed	8.6%	5.0%	27
19	The proportion of those provided with permanent accommodation in council stock who maintained their tenancy for at least 12 months	94.8%	85.8%	2 (1-26)
20	Average time (hours) between time of complaint and attendance on site, for those requiring attendance on site	4.0	12.5	11 (1-29)
20	Average time (hours) between time of complaint and attendance on site, for those dealt with under the ASB Act 2004	1.0	0.5	18 (1-24)
21	Percentage of consumer complaints dealt with within 14 days of receipt	90.9%	82.5%	6 (1-31)
21	Percentage of business advice requests dealt with within 14 days of receipt	96.6%	96.8%	18
22	Overall percentage of road network that should be considered for maintenance treatment	30.2%	36.4%	6
23	Net cost of refuse collection per premise	£61.24	£67.00	13
23	Net cost of refuse disposal per premise	£70.01	£89.16	4
24	Percentage of municipal waste recycled	43.7%	43.6%	15
25	Overall cleanliness index	75	75	12

REPORT TO: Policy and Performance Review Committee
MEETING DATE: 27 November 2012
BY: Chief Executive
SUBJECT: Managing performance: are you getting it right?

5

1 PURPOSE

- 1.1 To assess the position of the Council in regard to the findings of the Audit Scotland report 'Managing performance: are you getting it right?'

2 RECOMMENDATIONS

- 2.1 Note the findings of the Audit Scotland report and the contents of the Improvement Framework that is being developed by the Council.
- 2.2 Review the Council's Key Performance Indicators in relation to the new Council Plan, Single Outcome Agreement and other requirements.
- 2.3 The Council should adopt a framework for undertaking Best Value Reviews that will assist services in continuous improvement journey from improvement to excellence.

3 BACKGROUND

- 3.1 'Managing performance: are you getting it right?' is the latest in the series of Audit Scotland reports entitled 'How councils work: an improvement series for councillors and officers'. The report aims to stimulate discussion among councillors and officers and support change and improvement. The report includes checklists and other self-assessment tools for councillors and officers.
- 3.2 The report's premise is that having an effective performance management framework and culture helps councils to achieve Best Value. Effective and resilient performance management arrangements provide firm foundations for councils to:
- assess whether they are delivering their stated objectives

- assure themselves, and demonstrate to others that they are delivering efficient and effective services to their communities and contributing towards outcomes.

3.3 The key messages in the report are:

- Everyone in the council has a role to play in managing performance.
- Councillors need good-quality performance information to make well-informed decisions, scrutinise performance and identify areas for improvement.
- Performance measures must reflect a council's priorities if it is to assure itself that its objectives are being met.
- Managing performance is important for governance and accountability.
- An effective performance management culture, led by both officers and councillors, is essential.
- Performance information must be acted on to improve outcomes.
- Self-evaluation and review activity form an important part of continuous improvement.
- Councillors and officers need to ensure that the principles of effectively managing performance apply equally when working with partners.

3.4 The report identifies a number of characteristics that a council with effective performance management and improvement processes will possess. This overview of the report assesses the Council's position against these characteristics.

An effective council will have a developed culture where leaders demonstrate good management of performance and communicate regularly on performance and improvement issues

3.5 In good councils performance management practices are embedded throughout the organisation, are part of the 'day job' and are not seen as a burden or an add-on. Where performance management is part of the organisation's culture, councillors and managers lead by example, by actively managing performance and communicating results. Good councils acknowledge and recognise good performance and deal with poor performance.

3.6 The Council has adopted an Improvement Framework which sets out and promotes the development of a performance management culture. The most recent Assurance Improvement Plan for the Council notes that ‘The [Local Area Network] 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.’ Furthermore the Assurance Improvement Plan found that there are ‘no significant risks’ in relation to leadership and culture, noting that ‘the chief executive and strategic management are actively extending a corporate culture based on continuous improvement...’

3.7 The results of How Good is Our Council (HGIOC) present a more mixed picture of the performance culture at the Council which reflects a self-critical awareness of the need to ensure that performance management is more fully embedded across the organisation.

Relevant HGIOC question	Average score	Rank (1-102)
9.2 To what extent do senior managers challenge and support services regarding performance?	4.07	66
9.2 How effectively do senior managers drive continuous improvement?	3.57	95

3.8 The Council Improvement Plan includes actions aimed at supporting the development of a performance culture including the development of a Leadership Development programme for senior managers.

An effective council will have a corporate framework for performance management and continuous improvement, will be clear on its priorities and have plans that meet the ‘golden thread’ test

3.9 The Audit Scotland report suggests that for a performance management framework to be effective it needs to reflect the Council’s priorities and be integrated into business planning arrangements. Audit Scotland has found that many councils have had difficulty in implementing a comprehensive approach to managing performance.

3.10 The Council’s priorities are outlined in the Council Plan and Single Outcome Agreement (SOA). Managers are asked to identify ‘service outcomes’ that describe the contribution the service makes to the Council Plan / SOA as part of the service planning process. Specific actions relating to the service outcomes are also included in the service / unit plans. Some teams that are part of larger units have developed team plans. The contribution that individuals make to the service / unit or team plan is evaluated via PRD.

- 3.11 The hierarchy of service, unit and team plans has become less clear since the Council re-structure. In some cases units have created service plans due to the range and complexity of activities that are delivered by the enlarged Council services. The business planning structure needs to be reviewed and clarified in light of the revised management structure.

Relevant HGIOC question	Average score	Rank (1-102)
1.1 To what extent does the Service contribute to meeting the aims and objectives of the Council?	4.60	15
6.2 To what extent do business plans link to local and national priorities, the budget setting process and the work cycles of the Service?	4.13	54
6.2 How well is resource management integrated with business planning?	4.13	54

- 3.12 Further work is required to ensure that the activities described in the Improvement Framework are fully co-ordinated. Service planning and financial planning, for example, need to be developed in conjunction to ensure that resources are aligned with priorities. Changing the outlook of service plans to cover a rolling 3-year period would help to align corporate planning, service planning and financial planning.
- 3.13 The Council's Improvement Framework is less prescriptive than similar policies adopted by other councils. However, it covers a broader range of activities, including workforce planning and asset management. The Council's auditors identified the Improvement Framework as an example of good practice in their Annual Audit Report.

An effective council will use a wide range of measures to effectively manage performance

- 3.14 The Audit Scotland report highlights that a good performance management framework uses a range of robust performance measures that provide a clear picture of performance. The measures should reflect a council's priorities and meet the needs of those who use them.
- 3.15 The Council performance website reports approximately 120 'Key Performance Indicators' (KPIs). These indicators are a mixture of inputs, processes, outputs and outcomes. Most services also use a range of other performance indicators to monitor their own progress. These service indicators are generally organised along the principles of the balanced scorecard.

- 3.16 The Council's self-evaluation found a fairly high degree of critical self-awareness of the performance indicators used by council services (see table below). The Performance and Policy Review Committee, which reviews Key Performance Indicators on a quarterly basis has also questioned the efficacy and relevance of some indicators and the targets that have been set for some indicators.

Relevant HGIOC question	Average score	Rank (1-102)
1.1 Does the Service collect and use appropriate performance data?	4.07	66
1.1 How well does the Service measure its contribution to outcomes?	4.00	72

- 3.17 A review of Key Performance Indicators is being carried out. Managers have been asked to review their performance indicators to ensure that they are still relevant and they contribute to the Council Plan and SOA. Indicators will also be identified that help services benchmark their performance and help them to measure service costs.
- 3.18 Logic models are being developed using the contents of existing service plans to help identify the extent to which plans reflect Council priorities. The logic models include inputs, activities, outputs, service outcomes and Council Plan / SOA outcomes. Gaps in the planning and measurement framework can be identified using the logic models.

An effective council will use benchmarking to compare and monitor improvement against other councils

- 3.19 Audit Scotland recommends that performance information must be acted on to improve performance. Benchmarking is an effective way of helping organisations to deliver better outcomes.
- 3.20 The Council does not use benchmarking of performance information as extensively and effectively as it could (see table below). Whilst some services do conduct regular benchmarking via established benchmarking clubs, for example APSE and CIPFA, benchmarking is not conducted consistently across the Council.

Relevant HGIOC question	Average score	Rank (1-102)
1.1 How is the Service performing?	4.13	54
1.1 What do benchmarks show?	4.00	72

- 3.21 SOLACE and the Improvement Service have developed a set of benchmarking indicators that cover a greater range of services, with the aim of improving the consistency of benchmarking and provide benchmarking around costs. In many cases where benchmarking activities are undertaken the results are not reported to any of the Council's committees. Establishing a service review process that includes benchmarking will help to increase the use of benchmarking and help to make better use of existing benchmarking activity.

An effective council will encourage scrutiny and challenge from councillors and use overview and scrutiny panels to challenge performance

- 3.22 Scrutiny of performance is conducted by the Policy and Performance Review Committee (PPRC). Members of the PPRC are able to review the Council's performance at any time using the performance website. The Members of the Committee also receive a briefing on performance at the end of each quarter. Members are able to develop lines of enquiry as a result of the briefing that allow for a more comprehensive report regarding a specific issues to be prepared for the PPRC meeting.
- 3.23 The Scrutiny Toolkit outlines the role of councillors in the scrutiny of performance. The Audit Scotland report highlights Perth & Kinross Council's Guide to Scrutiny as an example of good practice; the Scrutiny Toolkit performs a similar function. The practises of the PPRC are reviewed in relation to the Scrutiny Toolkit annually. Recommendations for improvement arising from the review are reported to the Committee.

An effective council will actively respond to areas requiring improvement

- 3.24 Audit Scotland reports that audit work shows that an integrated corporate improvement plan makes it easier for councils to prioritise improvements and manage improvement activity. Councils may need to amend corporate, divisional, business, team and individual plans to reflect improvement priorities.
- 3.25 The Council Improvement Plan incorporates improvement actions that have arisen from self-evaluation using How Good is Our Council, the corporate governance self-evaluation, and external audit reports, for example Audit Scotland's 'Overview of Local Government in Scotland'. The purpose of the Council Improvement Plan is to ensure that improvement activities that are common to all (or most) of the Council's services are properly co-ordinated. Improvement points from services' self-evaluations are reflected in their Service Plans. Service also respond to external audits and inspections and improvement actions from these sources are also reflected in Service plans

An effective council will use self-evaluation and reviews to demonstrate continuous improvement

- 3.26 The Audit Scotland highlights the need for councils to undertake robust and effective self-evaluation as a core part of their performance management framework.

- 3.27 All services have conducted self-evaluation using How Good is Our Council (HGIOC). Some services also use complementary self-evaluation models, for example the Care Inspectorate Performance Improvement Model. Where possible the evidence for HGIOC is used to inform other self-evaluation models. The results of HGIOC will be used to help the Council achieve Investors in People (IIP) status.
- 3.28 HGIOC has been applied across all services annually for the past three years. The quality of the self-evaluations differs between services. Services that are required to undertake alternative self-evaluation exercises as part of specific inspection frameworks tend to undertake self-evaluation more thoroughly than other services. However, the Council's practises compare favourably to many other councils that only apply self-evaluation corporately. Improvements in the quality of self-evaluation across all services are being assisted by the use of a team of facilitators drawn from across the Council.

An effective council will use internal audit service to assure performance management systems and measures

- 3.29 Internal Audit reviews the processes that are used to generate the Statutory Performance Indicator (SPI) results. The review is conducted during the summer prior to the final results being published by the Council and Audit Scotland. The Performance Data Quality Policy outlines a wider range of Key Performance Indicators (KPIs) in accordance with the Direction provided by Audit Scotland. The wider set of KPIs would benefit from review by Internal Audit in a similar manner to the SPIs.

An effective council will work constructively with partners to manage performance and improvement. The principles of performance management apply equally to working with partners

- 3.30 The East Lothian Community Planning Partnership is comprised of a number of theme groups relating to the outcomes of the SOA. Each theme group reviews the performance of the Partnership in achieving the SOA outcomes. In practice the performance management processes adopted by each theme group can differ considerably. Governance of the Community Planning Partnership is currently under review.
- 3.31 SOA performance indicators are reported via 'East Lothian Performs' on the Community Planning Partnership website. The relevant questions from HGIOC show that the performance management of partnerships is an area which could be improved and this issue has been picked up in the Council Improvement Plan.

Relevant HGIOC question	Average score	Rank (1-102)
5.2 How well does the Service monitor the performance of partnerships?	3.57	95
5.4 To what extent are stakeholders involved in evaluating performance?	4.00	72

An effective council will ensure that all staff understand their role in managing performance and use it in their day-to-day work

- 3.32 The Performance Review & Development (PRD) process helps to ensure that employees understand how their role contributes to the Council’s priorities. PRD asks employees to consider how well they have achieved their agreed objectives and what they might do in future to improve performance.

An effective council will ensure that councillors understand their role in all aspects of performance management and improvement

- 3.33 The members of the Policy and Performance Review Committee and Audit and Governance Committee have been briefed on their role in relation to scrutiny and review and have the Scrutiny Toolkit. In addition the Audit and Governance Committee is having a one-day training session run by CIPFA on the role of Audit and Governance Committee. All councillors are being given the opportunity to participate in the Improvement Service CPD for elected members.

An effective council will ensure that councillors are provided with clearly presented and quality information to enable them to make decisions / Both internal and public reports are of good quality and are tailored appropriately for their use

- 3.34 East Lothian Council’s performance is presented via the performance website: www.eastlothian.gov.uk/performance
- 3.35 The website is arranged around the outcomes contained in the Council Plan and Single Outcome Agreement. Each outcome has a webpage displaying a summary of the relevant performance indicators. The summary highlights how indicators are performing in relation to targets by using the colours red, amber or green. Further information, including graphs, explanatory comments and definitions, can be accessed by clicking on the name of a particular indicator.
- 3.36 Recent enhancements to the Council’s performance management software enable greater tailoring of performance reports. The enhancements will allow internal performance report to managers to be provided on a ‘by exception’ basis, picking out only those indicators that are of concern. Geographic differences in performance in different parts of East Lothian will soon be reported using a maps module of the performance management software.

Relevant HGIOC question	Average score	Rank (1-102)
5.4 How well does the Service report its performance to stakeholders?	4.57	22
5.4 How useful are performance reports in helping to improve services?	4.33	35

4 POLICY IMPLICATIONS

- 4.1 Measuring performance is important as it helps to identify areas for improvement, provides an incentive for achieving priorities and shows whether outcomes are being achieved. Measurement works better when it is part of a coherent performance management framework that links Council priorities and outcomes with day-to-day operational activities. The links between performance measurement and the Council's wider activities are outlined in the Improvement Framework.
- 4.2 Councils are required under the Local Government in Scotland Act 2003 to achieve Best Value in regard to economy, efficiency, effectiveness, equal opportunities and sustainable development. The appropriate use of performance information will assist the Council in particular in demonstrating the Best Value characteristics of 'Sound governance at strategic, financial and operational level' and '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 Managing performance: are you getting It right? (Audit Scotland)
http://www.audit-scotland.gov.uk/docs/local/2012/nr_121004_hcw_performance.pdf
- 7.2 From Improvement to Excellence: The East Lothian Council Improvement Framework (report to East Lothian Council, 27th March 2012)

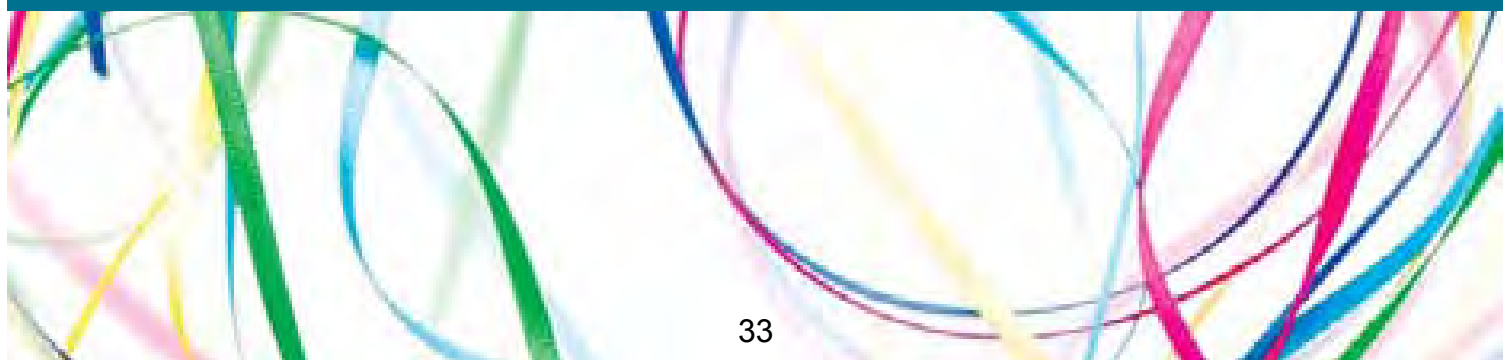
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How councils work:
an improvement series for councillors and officers

Managing performance: are you getting it right?



Prepared for the Accounts Commission
October 2012



The Accounts Commission

The Accounts Commission is a statutory, independent body which, through the audit process, requests local authorities in Scotland to achieve the highest standards of financial stewardship and the economic, efficient and effective use of their resources. The Commission has four main responsibilities:

- securing the external audit, including the audit of Best Value and Community Planning
- following up issues of concern identified through the audit, to ensure satisfactory resolutions
- carrying out national performance studies to improve economy, efficiency and effectiveness in local government
- issuing an annual direction to local authorities which sets out the range of performance information they are required to publish.

The Commission secures the audit of 32 councils and 45 joint boards and committees (including police and fire and rescue services).

Audit Scotland is a statutory body set up in April 2000 under the Public Finance and Accountability (Scotland) Act 2000. It provides services to the Auditor General for Scotland and the Accounts Commission. Together they ensure that the Scottish Government and public sector bodies in Scotland are held to account for the proper, efficient and effective use of public funds.

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What do auditors say?

These boxes appear throughout this report and represent case studies from individual councils. They have been drawn from Audit Scotland audit reports. They are not key findings for all councils.

About our 'how councils work' series

The Accounts Commission seeks to support developments in best value and how to manage resources such as people and finance. We recognise these as two components vital to successfully delivering council services.

Our 'how councils work' series of reports aims to stimulate change and improve performance. We select topics based on the recurring themes and issues from our Best Value audit work, the work of local auditors and our annual overview report.

This is the fourth report in the series. The first, published in August 2010, examined roles, responsibilities and working relationships of councillors and council officers in achieving best value. The second report, published in June 2011, examined the relationships between councils and their ALEOs (arm's-length external

organisations). The third report, published in May 2012, highlighted the importance of good-quality cost information in policy decision-making and scrutinising performance. All reports are available on Audit Scotland's website: www.audit-scotland.gov.uk

This report highlights the importance of councils effectively managing performance and improvement to:

- deliver efficient and effective services to local communities
- show they are achieving best value.

We have worked closely with the Improvement Service in developing this report and we are grateful for their contribution.

Key messages



Everyone has a role to play in managing performance.

1. Our audit work has found that all councils can improve how they manage performance and improvement. Effectively managing performance and improvement helps councils demonstrate that they are delivering efficient and effective services to communities and are making the best use of resources.

2. Councils have a statutory duty to provide Best Value, set out in the Local Government in Scotland Act 2003. This duty applies to both councillors and council employees (council officers). Best Value is about councils continuously improving the performance of their services, and effectively managing performance and improvement is essential to achieve this.

3. The key messages in this report are:

- Everyone in the council has a role to play in managing performance.
- Councillors need good-quality performance information to make well-informed decisions, scrutinise performance and identify areas for improvement.
- Performance measures must reflect a council's priorities if it is to assure itself that its objectives are being met.
- Managing performance is important for governance and accountability.
- An effective performance management culture, led by both officers and councillors, is essential.
- Performance information must be acted on to improve outcomes.
- Self-evaluation and review activity form an important part of continuous improvement.
- Councillors and officers need to ensure that the principles of effectively managing performance apply equally when working with partners.

Part 1. Introduction



Having an effective performance management framework and culture helps councils to achieve Best Value.

Why is managing performance and improvement important?

4. In 2011/12, councils spent £21 billion on providing a wide range of important services for the public. In challenging economic times it is even more important that every pound is spent wisely, and that councils are as efficient as they can possibly be.

5. Audit Scotland reports¹ highlight that managing performance is an area where all councils can improve. No single council has all the elements of a comprehensive performance management and improvement framework in place.

What do we mean by managing performance?

Performance management involves gathering, analysing and acting on performance information to improve services and the quality of people's lives in the local community. Managing performance is a continuous part of the day-to-day role of councillors and all staff.

Source: Audit Scotland

6. Having an effective performance management framework and culture helps councils to achieve Best Value for the public money they spend. Effective and resilient performance management arrangements provide firm foundations for councils to:

- assess whether they are delivering their stated objectives
- assure themselves, and demonstrate to others, that they are delivering efficient and effective services to their communities and contributing towards outcomes.

7. Community Planning Partnerships (CPPs) also need an effective performance management framework in place to show how they are contributing towards outcomes for local communities.

8. During 2011, we gathered evidence on the self-evaluation arrangements in place across councils. This highlighted inconsistencies in the coverage and quality of information available to enable councils to implement effectively performance management. Having an informed view of how well services are performing and how corporate processes are contributing to this enables a council to focus on which areas they need to improve.

What do we mean by self-evaluation?

Self-evaluation is where a council systematically examines its own services, achievements, and processes to assess whether it is meeting its stated aims, objectives and outcomes efficiently and effectively.

Source: Audit Scotland

Who is this report for?

9. This report is for:

- councillors – who are responsible for setting the direction and scrutinising performance. They need to ensure they have the information and support available to enable them to do this. [Part 2](#) of the report focuses on the important role councillors have in managing performance
- chief executives and corporate management teams – who are responsible for delivering the council's objectives. To do this, they need to develop and sustain a culture of continuous improvement and ensure action is taken to improve performance

- managers – who are responsible for managing effective performance. They need self-evaluation frameworks to help ensure they are meeting the needs of communities and that all employees contribute to managing performance.

10. Our report combines information and guidance that already exists with the findings from our audit work ('what do auditors say?'). We have also included case studies to show how councils are using performance management in practice.


11. We want this report to stimulate discussion among councillors and officers and support change and improvement. This is critical given the current financial climate and the need to challenge existing ways of doing things. The report supports councillors and officers by signposting sources of information and guidance. We have also included checklists and other self-assessment tools that we hope councillors and officers will find helpful.

12. This report covers:

- the important role of councillors in managing performance
- the importance of leadership by both officers and councillors in developing a performance management culture
- developing effective performance management frameworks to support improvement
- developing performance measures
- using performance information effectively
- developing self-evaluation and improvement activity
- managing performance in partnerships.

1 Local audit reports, Best Value audit reports, overview reports and national performance audit reports.

Part 2. Councillors have an important role in managing performance and delivering improvement



Councillors need to be clear about what the council is trying to achieve and how they will monitor and review performance.

Councillors have an important role in managing performance. They need to be clear about what the council is wanting to achieve and how they will monitor and review performance. They also need to be prepared to challenge officers on service performance to ensure that priorities are delivered and the needs of local communities are being met. Councillors can support improvement by showing they are actively interested in performance and taking action based on what the performance information is telling them.

13. All councillors have a strategic role in managing performance. This can be council wide or may be service specific, depending on their role. They are responsible for setting the vision of the council, prioritising what needs to be done and monitoring how well it is being achieved. It is not about the operational management of services, that is the role of council officers.

14. Councillors need to develop a shared understanding of managing performance with senior officers across all service areas and partnership activity. In practice, this develops by councillors regularly considering performance reports in meetings and by discussing performance with officers. Councillors need to have the confidence, skills and appropriate training to challenge officers constructively and effectively. This sends out a clear message to council officers that managing performance is being taken seriously by councillors.

Councillors need to be clear about priorities and ensure appropriate performance measures are in place

15. Councillors need to be clear about their strategic vision and the council's priorities. All councils have finite resources and councillors have to ensure that what they are trying to achieve is effectively prioritised and resourced.



What do auditors say?

"Performance reporting to the committee is limited and inconsistent and this has impacted on the ability of councillors to scrutinise performance."

"The council reported performance against 308 indicators. The council recognised that this number of indicators did not enable clarity on the key issues for councillors."

"Quarterly performance reports have been produced since late 2009 and are made available to councillors. Councillors find the reports, particularly the narrative, useful. Reports could, however, be more balanced in terms of highlighting areas for improvement as well as the positive messages."

Source: Audit reports

16. A council's vision and its priorities are typically set out in either a strategic or corporate plan and are reflected in the community plan. Service plans or operational plans flow from these documents and should detail how individual services plan to deliver on the council's priorities. Councillors should review these plans to ensure they clearly reflect the council's priorities and therefore ensure that service performance is helping to deliver the council's objectives.

17. Once the council's priorities have been agreed, councillors need to decide what it is they want to know in order for them to assure themselves that they are achieving the desired outcomes. Councillors should work with officers to make sure they get the information they need to fulfil their role effectively and therefore need to consider:

- what information they need
- how often they need it
- how it should be presented, so that it is easily understood.

18. Councillors need a range of high-level indicators to help assess performance at a strategic and corporate level, supplemented by more detailed indicators on service performance. To be fit for purpose the information needs to be:

- accurate
- timely
- meaningful (but not overly detailed)
- relevant
- high quality
- well presented.

19. Councils are large, complicated organisations and it is not realistic or practical to routinely report on all aspects of performance. We have found that very lengthy detailed performance reports are not effective, as important issues can be buried away in the detail. Councils should therefore use tools to help councillors focus on the important issues.

20. Some measures might, for example, be reported on an exception basis to show where performance has varied from a specified standard. Councillors can be involved in helping to set the levels of variance and then be advised when performance is outside these acceptable levels.

21. Many councils use the 'traffic light' or RAG (red, amber, green) approach which uses colour coding to help highlight where performance is on track and where there are areas of concern.

22. Councillors should also use benchmarking data. Comparing performance trends against targets, over time and with other councils can prompt questions about performance such as ‘why is it other councils appear to be performing better than us?’ or ‘why are other councils apparently providing cheaper services?’

Councillors should actively scrutinise performance and act on the performance information they receive

23. Having set the strategic direction for the organisation councillors have a responsibility to scrutinise performance.

24. To fulfil this scrutiny role effectively, councillors need to hold officers to account and ensure they are delivering good-quality services by taking action to address any areas of poor performance.² Effective and challenging scrutiny by councillors demonstrates a commitment to Best Value and reinforces a positive performance management culture.

25. Councillors should robustly and constructively challenge service performance. Questioning is an important part of scrutiny. Simply considering performance reports is not sufficient and councillors have a responsibility to ask for explanations and additional analysis when necessary.

26. Many councils have committees and panels with a specific remit covering performance and scrutiny these are covered in more detail in [Part 7](#) of this report. These forums can be an effective way of scrutinising performance and supporting improvement. It is worth remembering, however, that managing performance and scrutiny needs to take place in all forums, from full council, through committees and subcommittees to less formal panels and working groups. Managing performance is not the responsibility of an individual committee.



How does it work in practice?

The council uses a combination of scrutiny committees and an audit committee to scrutinise performance. The roles and responsibilities of service scrutiny committees and the audit committee are clearly defined and do not overlap. Service scrutiny committees consider matters relating to service performance whereas the audit committee will consider matters relating to corporate service reviews, self-evaluation activity and external audit or scrutiny. A guidance booklet on scrutiny is provided to councillors. It covers:

- overall scrutiny arrangements within the council
- roles and responsibilities of individual councillors, committees and of officers
- the role of internal and external audit and inspection audit in scrutiny
- the work of the scrutiny committees
- the work of the audit committee
- contacts for members for assistance
- key techniques and lines of scrutiny questioning.

Source: *Guide to Scrutiny*, Perth & Kinross Council, September 2010



27. Performance measurement and scrutiny are only a means to an end and not an end in themselves. Councillors have an important role in taking decisions to respond to what the performance information is telling them. This might include:

- Revising plans and measures – where priorities or circumstances have changed.
- Targeting resources – to ensure priorities are delivered.
- Identifying improvement activity – to address any areas of concern.
- Considering options – about how or what services are delivered.

Councillors need training and support to fulfil their role effectively

28. Councillors need to have the appropriate support or training to ensure that they have a good understanding of how managing performance works and what their role is. This should be part of any induction process for new councillors and can also be useful for returning councillors. Training and support on managing performance should also form part of a councillor’s continuous personal development (CPD). Councillors may also benefit from specific training, for example, where they are part of specific review process or a member of a scrutiny panel.

29. Appendix 1 to this report includes a checklist of prompt questions designed to assist councillors evaluate whether they receive the information, guidance and support they need to fulfil their role effectively.



Want to know more?

- *Guide to scrutiny (Perth & Kinross Council, September 2010)*
<http://www.pkc.gov.uk/NR/rdonlyres/B3A2393E-732F-4280-A3F2-F50E2501610E/0/FINALSCRUTINYHANDBOOKSEPTEMBER10.pdf>
- *Scrutiny: Driving Performance Improvement (Welsh Local Government Association, 2007)*
<http://www.wlga.gov.uk/english/overview-scrutiny-publications/scrutiny-driving-performance-improvement-2007/>
- *Guide to becoming a councillor (COSLA/Improvement Service)*
<http://www.improvementservice.org.uk/library/download-document/3444-the-candidate-s-guide-to-becoming-a-councillor/>
- *2012 councillor induction pack, Notebook 3 Corporate Governance (COSLA/Improvement Service)*
- *A councillor's guide to performance management (2nd edn), 2006*
<http://www.idea.gov.uk/idk/aio/4810912>
- *Audit Commission: Is there something I should know: Questions for councillors to ask (IDEA/Audit Commission)*
<http://www.audit-commission.gov.uk/SiteCollectionDocuments/AuditCommissionReports/NationalStudies/20090730istheresomethin gishouldknowrep.pdf>
- *Achieving excellence: An elected member guide to performance management (APSE)*
<http://www.apse.org.uk/research.html>
- *Case studies: The Role of Board Members in Strategy Execution: How an Effective Board helps to Drive Performance (Advanced Performance Institute)*
<http://www.ap-institute.com/case-studies.aspx>
- *CPD framework (Improvement Service)*
http://www.improvementservice.org.uk/component/option,com_is_blank/Itemid,1328/



Part 3. Developing a performance management culture



Councillors and senior officers need to ensure managing performance is part of their day-to-day business.

Managing performance is everyone's business. In good councils, performance management practices are embedded throughout the organisation, are part of the day job and are not seen as a burden or an add-on. Where performance management is part of the organisation's culture, councillors and managers lead by example, by actively managing performance, and communicating results. Good councils acknowledge and recognise good performance and deal with poor performance.

30. Performance management frameworks, systems and measures are essential – but they can only go so far. Having a good performance management culture in place helps councils to deliver their objectives and ensure they are providing efficient and effective services.

An effective performance management culture will help improve performance

31. An effective performance management culture will help councils deliver their priorities, improve services and outcomes and deal with the challenges that they face. This involves everyone, councillors, officers and partners, all having a shared understanding of what is expected and why. Fostering an effective performance management culture means that:

- councillors and officers share a common purpose and vision
- everyone knows how their work contributes to priorities
- managers and staff monitor and manage their own performance and achievements
- performance is reported regularly at all levels of the organisation



What do auditors say?

“The Corporate Management Team (CMT) should demonstrate strong leadership in managing performance and driving continuous improvement. CMT meetings, the forum for discussion of strategic issues, rarely focus on improvement activity and related performance issues.”

“The council has not had a strong culture of improvement, with significant weaknesses in performance monitoring and scrutiny by councillors and no strategic approach to self-assessments to help drive improvements.”

Source: Audit Scotland

- councils recognise and acknowledge where they are succeeding and where they need to deal with poor performance
- high standards of conduct and performance are expected and delivered.

32. Our audit work has identified a lack of an effective performance management culture as a common theme. There are a number of reasons why this seems to be the case. In some instances, we found a lack of awareness and leadership. In others, we found a focus on a system or process but not on developing a culture that would make best use of the systems that are in place.

Councillors and senior officers should demonstrate a good understanding of performance and share this across the council

33. Councillors and senior officers need to ensure that managing performance is part of their day-to-day business. In practice, this develops by councillors regularly considering performance reports in meetings and by discussing performance with officers. It also involves managers considering performance corporately in management team meetings as well as in service management meetings and team meetings.

34. Councils should regularly communicate about how they are performing throughout the organisation. This needs effective communication systems to be in place so that all staff are kept up to date on performance. Councils can do this in various ways, depending on where and when people work. For example, they can use:

- electronic media such as email or the council's intranet
- written media such as newsletters, briefings and notice boards
- discussions at staff conferences, team meetings and briefings.

35. Councillors should be kept up to date through performance reports and formal meetings but councils can also supplement this by communicating in other ways, such as councillors' briefings and notices on notice boards in the councillors' lounge.

36. Managers need to recognise good performance and openly acknowledge it at both individual and team level. Recognising good performance is also about sharing success stories and knowledge across the council and with councillors and partners. It is about highlighting how improved performance has made a positive impact on communities.

Everyone has a role to play in managing performance

37. Performance management is not something that is just done by managers; everyone has a role to play. [Exhibit 1](#) summarises the main roles and responsibilities within councils.

38. All employees need a clear understanding of how:

- their day-to-day own work contributes to the organisation's priorities
- their individual work objectives link to corporate objectives.

39. Effective induction processes for new employees are extremely important in setting the right expectations of performance for both the employee and the manager. In an effective performance review process, employees and managers focus on improvement and the employee's development. This forms the basis of the employee's personal development plan.

Exhibit 1

Main roles and responsibilities within councils

Group	Role	Responsibility
Councillors		
Council	Strategic role in setting vision and direction.	Setting council objectives and priorities. Monitoring overall council performance. Agreeing performance measures.
Committee	Holding officers to account on performance issues and providing constructive challenge.	Directing specific reviews to scrutinise decisions and offer alternative policy or service proposals to help improvement.
Councillor	Keeping a watching brief of the council's overall performance position, particularly areas of poorer performance and risk as well as areas of good practice and innovation. Use information received through surgeries and queries from members of the public when considering performance.	Providing challenge on performance issues.
Officers		
Chief executive	Ensuring action is being taken to deal with areas of poorer performance and risk as well as developing areas of best practice and innovation.	Taking action to deal with, or referring them to, the CMT or the council as appropriate.
Corporate Management Team	Managing performance and setting out what the council wants to achieve.	Challenging areas to improve and areas of risk. Implementing strategic decisions and sharing good practice.
Senior managers	Leading council services and taking the lead on continuous improvement; reporting performance to the public and corporately.	Carrying out self-evaluation of strengths, areas for improvement, outstanding risks and how these are being dealt with.

Source: Audit Scotland

40. Members of staff should discuss their performance regularly with their manager ensuring they have enough time and the appropriate skills to enable them to achieve their objectives. An employee's personal development plan should explain how the council will meet their development needs and should be reviewed annually.



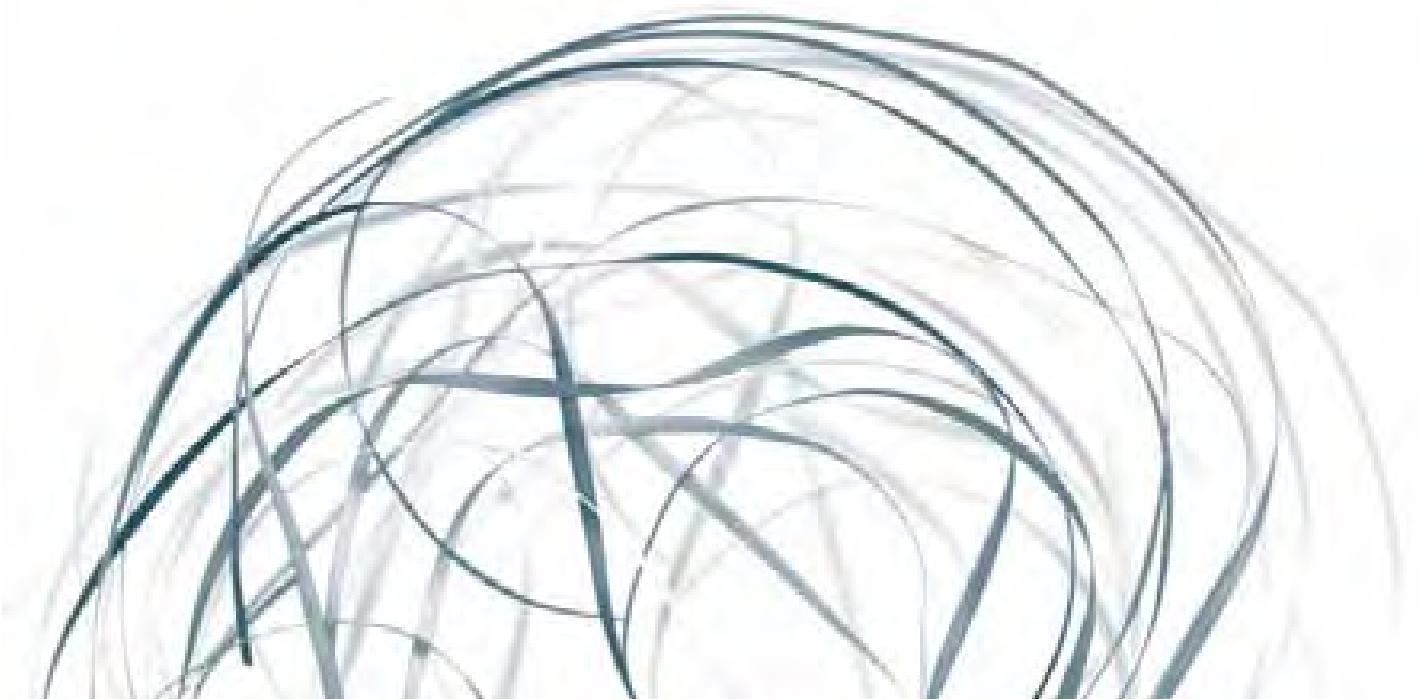
What do auditors say?

"The chief executive, directors and assistant chief executive are using progress reports and delivery of performance targets described in business plans as part of the evidence to support regular performance management reviews with senior officers. The information forms part of the evidence for annual appraisal of senior officers and is being built into the current work to revise personal development processes within the council."

"The council has made good progress against its improvement priorities over the last year including a council-wide appraisal process for staff linked to performance management."

Source: Audit Scotland

Part 4. Developing an effective performance management framework



Managing performance is essentially about planning what an organisation wants to achieve, doing the work, reviewing what has been done and assessing whether it has the desired impact.

For a performance management framework to be effective it needs to reflect the council's priorities and be integrated into business planning arrangements.

41. Managing performance is essentially about planning what it is an organisation wants to achieve, doing the work, reviewing what has been done and assessing whether it has had the desired impact. This is often called the 'plan, do, review, revise' cycle (Exhibit 2).

42. Councils need to be clear about their priorities so they can understand what they need to measure when developing their approach to managing performance.

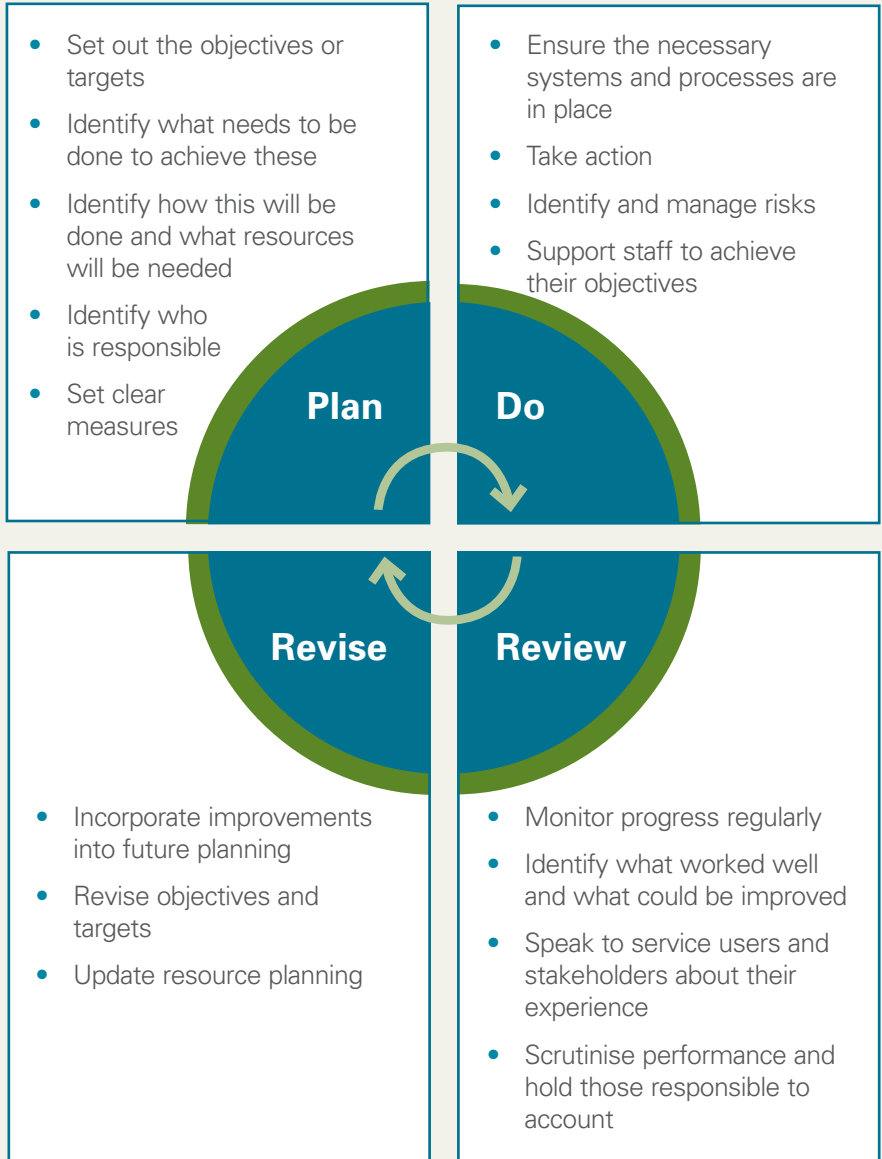
43. Councils also need to find effective ways of involving local communities and developing a good understanding of what local people need, want and expect from them. The results of this community engagement activity can then feed into the council's business planning processes.

Sound business planning forms the basis of what to measure

44. Good councils have business planning processes which clearly link high-level strategic priorities with more specific objectives for services, teams and individuals. This is often referred to as the 'golden thread' (Exhibit 3, overleaf). Audit work tells us that in the most effective councils there are clear links between strategic priorities (typically set out in Single Outcome Agreements (SOAs) and corporate plans), service priorities (captured in service plans) through to plans at an operational and individual level.

45. Each level of business planning should be accompanied by a relevant set of performance objectives and measures to assess progress and impact.

Exhibit 2
Types of performance measure



Source: Audit Scotland

What do auditors say?

"...we reported that work was under way to map the service plans' objectives and performance measures against the council's strategic priorities, key actions and the SOA outcomes. This work has been completed resulting in improved linkages between key objectives, strategic priorities and the SOA within service plans."

"The targets and indicators used in the performance management system are linked to service business plans and national outcomes. Links to SOA local outcomes and corporate priorities could be clearer and more explicit."

Source: Audit Scotland

Exhibit 3

What we mean by the 'golden thread'



Source: Audit Scotland

Many councils have had difficulty in implementing a comprehensive approach to managing performance

46. The principles of performance management are widely known. However, many councils have found it difficult to design and implement a comprehensive corporate approach to managing performance.

47. Audit work tells us that commonly experienced difficulties include:

- a lack of a corporate approach to managing performance – there are different arrangements across services
- weaknesses in the information available – information is of poor quality, unclear or incomplete
- a focus on introducing electronic systems at the expense of developing a performance management culture.

48. We have previously reported on the main features of an effective performance management framework (Exhibit 4).³

Exhibit 4

Key features of an effective performance management system

The process

- There is an effective corporate framework in place and embedded across the organisation.
- The system produces information that is accurate, timely and relevant to the council's priorities and service activities.
- The data is analysed to enable the quality of services at a global level, eg social work, and at a divisional level or area level to support the different levels of accountability within the council.

Focusing on action and improvement

- Information is monitored at an appropriate level.
- Poor performance is challenged.
- Effective action is taken to improve performance and the impact is monitored.
- Improvement actions are specific and measurable.

Source: Audit Scotland

Part 5. Developing good performance measures



Good performance measures are SMART.

A good performance management framework uses a range of robust performance measures that provide a clear picture of performance. The measures should reflect a council's priorities and meet the needs of those who use them.

Councils need to set clear performance measures

49. Councils need to use a range of measures including performance indicators, targets and trends to get a clear picture of whether the council is achieving its objectives. This is essentially the 'do' part of the 'plan, do, review, revise' cycle ([Exhibit 2 in Part 4](#)).

50. Good performance measures typically have the characteristics set out in [Exhibit 5](#). Performance measures are most effective where they:

- focus on the council's priorities
- are based on a sound understanding of current and past performance and what is likely to influence future performance.

51. Council strategic plans rightly span a number of years and it is therefore important that shorter-term, interim objectives or milestones are in place to assess progress. Similarly it is important that councils have a clear picture of current performance – a 'baseline' – so that they can assess both progress and impact over time.

Types of performance measures

52. To manage performance effectively, councils need to set clear objectives and then use a combination of measures to track progress and impact. They need good-quality information on:

- inputs – to understand what resources the council is using to deliver services and objectives

Exhibit 5

Characteristics of good performance measures

Good performance measures are SMART:

- **Specific:** the performance measure indicates exactly what result is expected so that performance can be judged accurately
- **Measurable:** data are available or can be collected relatively easily
- **Achievable:** they are realistic, not based on aspirations
- **Relevant:** they matter to the intended audience and clearly relate to the service being measured
- **Timely** and have information available frequently enough to have value in making decisions
- combine fact (quantitative) with views and opinions (qualitative)
- measure inputs, outputs and outcomes.

Source: Audit Scotland



What do auditors say?

"The BV2 pathfinder report highlighted the need for more comprehensive performance management arrangements including the need for good performance information which includes the views of customers and local people and analysis of comments and complaints."

"The council's performance reporting and monitoring remains too dependent on process-based information, such as the progress of specific projects, and SPIs divorced from local outcomes. It should rather take into account information on customer views and other service-user data; value for money; how well the council is achieving service standards; and delivering wider outcomes."

"The council has over 5,000 performance indicators on the performance management system, providing a wide range of detailed management information on the efficiency and effectiveness of services. Each service in the council has a suite of indicators that provide a multi-faceted view of performance, including the level of customer satisfaction, quality of service provision against service standards, efficiency and effectiveness."

Source: Audit Scotland

- processes – to know when and where services are being delivered and if they are being delivered on time
- outputs – to understand both the level and quality of the service the council is delivering
- outcomes – to assess what impact the services are having and whether they are achieving the agreed objectives.

53. Good performance management frameworks combine these measures to give a council an overview of performance. [Exhibit 6](#) describes the types of performance measures and gives examples. Knowing what it costs to deliver a service is an important input measure. Our recent report *Using cost information to improve performance* focuses specifically on using cost information and measures.⁴

54. People need different kinds of performance information at the different levels of the organisation. Councillors and senior managers need a strategic overview of organisational performance while service managers require information that helps them to manage their service or team. Individual members of staff also need to know how they are performing. This means that there is a natural hierarchy of measures ([Exhibit 7, overleaf](#)) which should reflect the hierarchy of plans described in [Part 4](#) of this report and the structure of the organisation.

Good performance measures take account of who and what they are for

55. Performance measures need to serve the purpose they were designed for. They should, therefore, be tailored for the information user. Councillors typically need a set of

Exhibit 6

Types of performance measure

Type of performance measure	Description	Example
Input measure	A measure of the resources used by a service or process. Some inputs relate to workload, others relate to the amount of resources used in a process.	Staff hours used Cost of school books
Output measure	The number of units of a process or service produced or delivered.	Number of hours of care provided
Process measure	Aspects of business or service processes such as completion rates, processing times, backlogs, error rates.	Days between request for care assessment and assessment Days to process benefits application
Outcome measure	A measure of the ultimate benefit from undertaking an activity or providing a service.	Improvement in standard of living and equality of opportunity Reduction in deaths

Source: Audit Scotland

high-level indicators giving them an overview of overall performance. Managers need more detailed measures to help them manage services, and team leaders need operational indicators to manage their teams.

56. A regular core set of measures that summarises the council's overall achievement is useful for councillors, especially when backed up by a commentary that provides clear messages on performance. Other measures might be reported only to highlight where performance has varied from an expected standard. Councils use various methods to report performance information. For

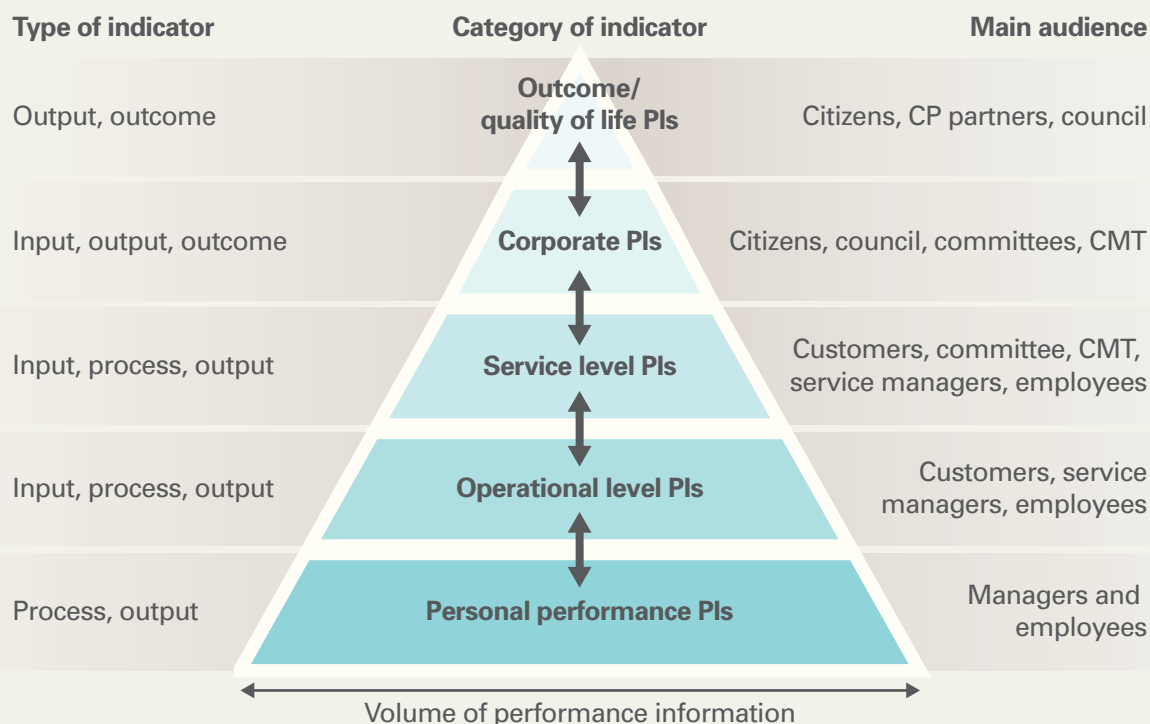
example the RAG (red, amber, green) system uses colours to highlight positive performance as well as under-achievement or where there is a risk of not meeting a target.

57. Simply reporting performance by itself cannot explain success or failure. In some cases, extra analysis is needed, perhaps using statistics or graphs, to understand the trend, history and probable direction of performance. Service managers and staff who collect performance information have a responsibility to identify areas where additional analysis can help. Equally, councillors and senior officers have a responsibility to ask for and provide

⁴ *Using cost information to improve performance: are you getting it right?*, Accounts Commission, May 2012.

Exhibit 7

Hierarchy of performance indicators (PIs)



Source: Audit Scotland

resources (people or money) for additional analysis if necessary. The most effective reporting by performance officers:

- presents information in an accessible way using appropriate charts rather than tables
- limits the number of measures in any one report to avoid information overload
- highlights measures that are causing concern, for example by using a dashboard to graphically represent performance information
- clearly explains reasons for performance being off target
- sets out what action will be taken to restore performance where measures are off target.

Good performance measures take account of customer satisfaction and the needs of specific user groups

58. Councils need to take account of the needs of their communities and people who use their services when deciding what performance measures to use. This is because customer feedback is an important measure of success or progress towards outcomes.

59. Councils that take account of the needs and preferences of the people who use services can adapt services and better satisfy the needs of their communities. Most councils survey service users and citizens in some way. Some have established customer standards that set out what people can expect by way of service quality. Reports from surveys, and about how well the council is meeting

customer standards, are useful performance measures. Information from complaints systems identify problems and also helps gauge customer satisfaction.

Performance measures are vital to demonstrate Best Value

60. Our Best Value audits have shown that councils need to do more to demonstrate cost effectiveness across the whole range of their services. They can do this by comparing cost and service performance trends over a period of time. Performance measures therefore need to include a combination of cost and quality indicators. Councils can also demonstrate Best Value by using benchmarking to compare themselves with other councils or comparable organisations. [Part 6](#) of this report covers benchmarking in more detail.



What do auditors say?

“As part of the improvement model all services are developing efficiency indicators to help the council understand its costs relative to other providers and authorities.”

Source: Audit Scotland

61. In May 2012, we published a report called *Using cost information to improve service performance: are you getting it right?* This report highlighted the benefits of using cost measures as part of a performance management framework. Would an apparently high-performing service be viewed in the same light if it appeared to be costing twice as much as a similar service in a neighbouring council, for example? Without good cost information, councillors cannot fully monitor and scrutinise service performance.

Good outcome measures are vital to demonstrate impact

62. Delivering better outcomes is a complicated business and can be difficult to measure. The measures councils use must not only adequately reflect what is going on but also provide a basis for decision-making, identifying areas for improvement or where learning could be shared.

63. Part of the value of a good measure is in comparing performance against others, so, wherever possible, councils should use existing measures. Using a range of sources of performance information to provide comparisons makes data more reliable. Sources include the Society of Local Authority Chief Executives (SOLACE) local outcome indicators, benchmarking groups, and statutory performance indicators from the Accounts Commission.



What does a good set of performance measures look like in practice?

In 2007, the five UK audit agencies (Audit Commission, Audit Scotland, National Audit Office, Northern Ireland Audit Office and Wales Audit Office) jointly launched a set of indicators for each of five corporate service activities: estates management, finance, human resources, ICT, and procurement. Two further services were added later: communications and legal. The indicators are widely acknowledged as a reliable source of measurement. Many public bodies across the UK adopted them voluntarily, and they are used for benchmarking. This suggests they have been successful.

The indicators produced for each corporate service area comprise a set of primary and secondary indicators that combine indicators of cost, user satisfaction, management practice, input, process and outcomes.

Source: Audit Scotland



Want to know more?

- *Using cost information to improve service performance: are you getting it right?* (Accounts Commission)
http://www.audit-scotland.gov.uk/docs/local/2012/nr_120510_hcw_costs.pdf
- *Value for money in public sector corporate services: A joint project by the UK public sector audit agencies*
http://www.nao.org.uk/publications/0607/vfm_in_public_sector_corporate.aspx
- *On target: The practice of performance indicators* (Audit Commission)
http://www.audit-commission.gov.uk/SiteCollectionDocuments/AuditCommissionReports/NationalStudies/archive_mptarget.pdf
- *A measure of success: Setting and monitoring local performance targets* (Audit Commission)
<http://www.audit-commission.gov.uk/Pages/default.aspx>
- *How to design key performance indicators: management white paper* (Advanced Performance Institute)
<http://www.ap-institute.com/white-papers.aspx>
- *Customer satisfaction measurement tool* (Improvement Service)
<http://www.improvementservice.org.uk/library/592-customer-first-programme/777-customer-satisfaction-measurement-tool/view-category/>
- *SOLACE/Improvement service local outcome indicators*
<http://www.improvementservice.org.uk/local-outcome-indicators/>
- *ABC benchmarking partnership*
<http://www.improvementservice.org.uk/resources/toolkits/benchmarking-for-improvement-toolkit/>
- *SOCITM benchmarking ICT service*
http://www.socitm.net/info/216/benchmarking_services/106/benchmarking_ict_service/1
- *CIPFA corporate services benchmarking club*
<http://www.cipfabenchmarking.net/corporateservices/>
- *Accounts Commission Statutory Performance Indicators*
<http://www.audit-scotland.gov.uk/performance/>

Part 6. Using performance information effectively



Councillors and officers need good-quality performance information that enables them to identify areas of concern and respond to these through well-informed decisions.

Performance information must be acted on to improve performance. Performance reports for the public are important for accountability and should be easy to find and easy to understand. Benchmarking is an effective way of helping organisations to deliver better services.

Good-quality performance information must be acted on to improve performance

64. Having a highly developed performance management framework is not an end in itself. It is vital that decision-makers take action based on what the performance information is telling them. For example, where performance measures are indicating that performance is poor, or deteriorating, a council should decide what action needs to be taken to improve performance.

65. Councillors and officers therefore need good-quality performance information that enables them to identify areas of concern and respond to these through well-informed decisions. The performance information therefore needs to be accurate, timely and meaningful.

66. Councils that manage performance well focus on gathering and using information about performance – at all levels of the organisation. Reliable information means they can start to make decisions about what needs to improve.

67. Where an action plan is developed to respond to performance issues councils need to have good governance in place to ensure they are delivered. Improvement plans therefore need to clearly identify:

- the issues
- action to be taken

- who will be responsible for action
- timescales
- what resources are required to implement the actions
- how progress will be monitored and by whom
- what the measure of success will be.

Performance reports for the public should be easy to find and easy to understand

68. Public performance reporting (PPR) is all about informing the local community about where the council is performing well and where they need to do better. It is an essential part of accountability. However, a recent Audit Scotland review showed there is significant scope to improve the methods councils use to tell the public how they are performing.

What do auditors say?

“The council has developed a PPR strategy and uses a range of methods for communicating and engaging with stakeholders. The council has worked with its residents to develop its PPR arrangements in line with residents’ needs. However, performance reports to councillors and the public did not set out clear targets for the council’s services and objectives for future service delivery. In addition, the reports did not set out timescales and measurable targets for how the council will address areas of poor performance.”

Source: Audit Scotland

69. To meet public performance reporting expectations councils need to:⁵

- clearly identify what information to provide at a service activity level and which at a corporate level
- use information from its performance management and information systems
- use a range of media to report how they are performing
- include guidance on how people can find more detailed information
- present information in a clear, easy-to-understand and concise format
- have an accessible feedback system which encourages people to comment on the information, and ensures the feedback is regularly reviewed.

70. An easy-to-understand and concise public performance report would typically include the following:

- Information on what services the authority provides, what people can expect from them, and how to find out more detailed information.
- Information on what the council has learned from consultations and how it will respond to them.
- Information on how the council works with partners on Community Planning.
- Information that shows the council is spending its money wisely and providing value for money.
- Information that provides a rounded, honest and balanced picture of how the council is performing.



What does it look like in practice?

A council carries out effective public performance reporting. The main aspects of this are:

- making information publicly available within a reasonable time of the period it refers to
- reporting on a range of information to show that it is securing best value across all services in:
 - how it uses resources, such as skills and money
 - in responding to community concerns
 - on equality
 - on sustainability
- using several media to communicate with the public. It makes information available on its website but also uses local newspapers and mailshots to inform the public. Performance information is easy for people to access from the website's homepage
- all reports and website information are in plain, clear language
- using visual devices to show performance information using red, amber and green 'traffic lights' graphics to help readers understand the information
- benchmarking family groups of councils to show how the council compares with similar councils. Data cover a three-year period where it is possible to make comparisons
- using cost information to show that value for money is improving over time. This is accompanied by contextual information explaining the data
- including information to show that the council listens and responds to the public. Examples include satisfaction survey results, complaints data and what action the council has taken in response to customer feedback
- including a balanced view of performance on areas of good performance and where improvement is needed.

Source: Audit Scotland



Want to know more?

- *The Local Government in Scotland Act 2003 – Best Value Guidance Measures to Support public Performance Reporting – Guidance for local authorities on reporting performance to the public (2005)*
<http://www.scotland.gov.uk/Publications/2005/01/20531/50061>
- *Best Value toolkit: Public Performance Reporting (Audit Scotland)*
http://www.audit-scotland.gov.uk/docs/best_value/2010/bv_100809_performance_management_toolkit.pdf

- Trend information, comparative information, and performance against targets or benchmarks to help people assess how performance is changing.
- Information that explains:
 - what the council is doing to improve its performance and impact
 - what targets it has for improvement
 - what improvements have been achieved since it last reported.

Benchmarking performance information helps improvement

71. At its most basic level, benchmarking is simply about making comparisons. Councils can compare their own performance over time, or compare how they are doing with other councils or other organisations. As far back as 1999, we published guidance about benchmarking in a report called *Measuring up to*

the best: a manager's guide to benchmarking which remains relevant today.⁶ More recently the report *Using cost information to improve performance*⁷ focuses on using cost information in benchmarking.

72. Using benchmarking effectively, councils might ask questions about their performance such as:

- Why is performance deteriorating over time?
- Why is it other councils appear to be performing better than us?
- Why are other councils providing cheaper services?

73. Benchmarking can be an effective way of helping organisations to deliver better services by sharing knowledge and information directly and learning from other organisations. Benchmarking can be a powerful tool for managers to improve services, but used inappropriately it can also be expensive and can fail to deliver benefits.

74. Councils need to be clear about what they expect from benchmarking. This will provide a focus for their work, and will reduce the danger of making performance comparison an end in itself. Outcomes might include:

- lower costs
- better value for money
- improved 'customer' satisfaction
- achieving targets
- implementing good practice.

75. The factors that lead to successful benchmarking include:

- allowing enough time for planning and devoting enough people and time to benchmarking



What do auditors say?

"The council has been active in the development of the SCOTS¹ national road asset management performance indicator suite and national benchmarking exercises and can demonstrate improved performance management and reporting."

"The performance management framework can be further enhanced by the use of comparative data and clearer links to SOA performance."

Note: 1. Society of Chief Officers of Transportation in Scotland
Source: Audit Scotland



Want to know more?

- **ABC benchmarking survey**
The Improvement Service (IS) has developed a benchmarking toolkit in response to findings from research by the ABC Benchmarking Partnership.¹ The research found that managers in local authorities believed benchmarking to be important but they sometimes faced practical barriers when undertaking it. The toolkit aims to respond to some of the issues raised by the research by providing opportunities for self-learning and facilitated learning to help managers develop practical knowledge and skills.
<http://www.apse.org.uk/>
- **APSE performance networks**
Association for Public Service Excellence (APSE) performance networks are public sector benchmarking groups across the UK. They cover 14 services and members get a range of performance reports, comparative data and access to other resources.
<http://www.apse.org.uk/>
- **Public Audit Forum**
The UK audit agencies developed indicators designed to help public sector organisations understand, compare and demonstrate the value for money performance of their corporate services. These indicators have been used extensively by public sector organisations across the UK. More detail is available on the forum's website:
www.public-audit-forum.gov.uk
- *Measuring up to the best: a manager's guide to benchmarking* (Accounts Commission, January 1999)
http://www.audit-scotland.gov.uk/docs/local/pre1999/nr_9901_managers_guide_benchmarking.pdf
- *Better benchmarking for high performance* (CIPFA, 2010)
<http://www.cipfa.org/Policy-and-Guidance/Publications/B/Better-Benchmarking-for-High-Performance>

Note: 1. Members of the ABC Benchmarking Partnership work together to improve services by sharing and comparing data, processes and solutions to common problems.

6 http://www.audit-scotland.gov.uk/docs/local/pre1999/nr_9901_managers_guide_benchmarking.pdf

7 *Using cost information to improve service performance: are you getting it right?*, Accounts Commission, May 2012.

- ensuring councillors and senior officers support benchmarking activities
- organising the process of benchmarking
- defining the measures for comparison
- having clear objectives
- focusing on important issues
- identifying partners such as those with similar issues
- understanding why performance varies
- implementing change.

76. Overall, councils do not use benchmarking as much as they could. Some councils use benchmarking for specific services but it is not used consistently. Our report on *Maintaining Scotland's roads* for example, identified that councils have developed around 80 local performance indicators but that they are not used consistently across councils.⁸ This means that councils might not compare their costs and performance with other councils. The vast majority of indicators are about promptness of response. Only seven councils reported using indicators relating to customer service such as satisfaction levels or the number of third-party liability claims they received. As part of the road asset management project, the Society of Chief Officers of Transportation in Scotland (SCOTS) has developed performance indicators for road maintenance that all Scottish councils can use. This consistency allows councils to use benchmarking.



How does it work in practice?

A council has a single live, active corporate improvement plan that includes all its improvement activity and actions required at any point in time. The corporate improvement plan clearly details the action required and its intended outcome, the officer responsible for the action and timescales. All improvement activity is reported and monitored through committees and all committees are responsible for ensuring all activities make their way into the corporate improvement plan. The corporate management team and audit and scrutiny committee have joint responsibility for considering and monitoring improvement actions.

Source: Audit Scotland



What do auditors say?

"We found limited evidence that progress against the Best Value improvement plan and corporate improvement plan is being regularly monitored."

Source: Audit Scotland

Revising activity in response to information improves performance

77. The 'revise' stage of the performance management cycle ([Exhibit 2](#)) identifies how councils might respond to what performance information is telling them. This might include:

- revising plans and measures – where circumstances may have changed so that plans are no longer achievable, objectives have changed or where measures are under – or over – ambitious or no longer relevant
- realigning resources – where a council may need to make changes to its workforce, assets or financial resources to achieve its objectives

- changing performance information – a council may need to change the quality of the performance information collected if this is not providing a basis for effective decision-making and scrutiny.

78. Audit work tells us that an integrated corporate improvement plan makes it easier for councils to prioritise improvements and manage improvement activity. Councils may in turn need to amend corporate, divisional, business, team and individual plans to reflect improvement priorities.

Part 7. Developing self-evaluation and improvement activity



Having considered the need for improvement, councils then need to consider the most appropriate way to respond.

Performance management information should clearly identify where improvement is needed. There is a wide range of improvement tools techniques available and councils need to select the most effective way to review and improve services. Self-evaluation and review must be robust and honest to be effective.

Performance management supports continuous improvement

79. Continuous improvement requires councils to consider whether they are providing services in the most efficient and effective way on an ongoing basis. Effective performance management arrangements should clearly identify where improvement is needed.

80. Having identified the need for improvement, councils then need to consider the most appropriate way to respond.

Self-evaluation and review is key to improving performance

81. Self-evaluation is a process which uses evidence, challenge and critical reflection to improve performance. To continuously improve councils should consider:

- how services are performing
- what impact services are having
- how effectively corporate processes support service delivery.

82. Councils need to 'know themselves' and what they can realistically achieve. Self-assessment activity can provide an organisation with a structured approach to improvement. It should also provide assurance:

- for the council – that it is improving
- for the public – that services are being provided efficiently

- for auditors and inspectors – that the council is critically evaluating its services.

83. Where there is evidence that self-evaluation is working well, auditors and other scrutiny partners can reduce their audit and scrutiny activity.

84. There is a wide range of review and improvement tools and methodologies available to councils. They include:

- Public Sector Improvement Framework (PSIF)
- European Framework for Quality Management (EFQM Excellence model)
- reviews at strategic, service and operational levels.

85. Appendix 2 summarises some of these and other methodologies. We do not favour any particular methodology over another. The most important thing is that councils choose tools that are effective and deliver improvement.

86. The characteristics of an effective improvement methodology are that it is:

- focused and proportionate – so that the council looks at the right things, and strikes the right balance to ensure that the time it spends reviewing things leads to tangible results
- structured, rigorous and challenging
- transparent, honest and realistic
- flexible – the review should be a learning process; positive experiences should be shared across the organisation and negative experiences should not be replicated elsewhere in the council.

87. During 2012, we surveyed councils to gauge the level and range of self-evaluation activity. Overall, this showed a commitment to self-evaluation. But it also showed inconsistencies in coverage and in the quality of how it was being used across services, outcome areas and corporate systems.



What do auditors say?

"The corporate self-assessment was completed in May 2010, and helped the council identify a number of areas for improvement. These actions are being taken forward in the Corporate Improvement Plan, and include an organisational development framework, a number of leadership development programmes, and further improvements in internal communications. A programme of PSIF reviews is also being rolled out across service areas."

"The service has undertaken self-assessment exercises but these have not been used effectively to provide internal challenge and prompt improvement. A cyclical programme of Best Value reviews has been undertaken covering all service areas. The reviews have contributed to improvements, however there is little prioritisation of the areas that are subject to review."

Source: Audit Scotland



What does good self-evaluation look like?

The council has a self-evaluation and improvement plan. This comprises:

- a regular strategic level self-assessment
- a cycle of service level reviews
- an annual review of corporate governance arrangements
- a cycle for service level self-evaluation using an established model
- a programme of business reviews targeting areas for efficiencies
- cross-cutting service reviews led by the Governance and Scrutiny Committee.

The council ask suitably experienced officers from across the organisation and internal audit to perform the reviews. A peer from another council acts as a 'critical friend' throughout the reviews providing an independent perspective and judgements. The output from each self-improvement activity is a clear, detailed improvement plan identifying actions, responsibilities and timescales. It feeds into the council's single corporate improvement plan. Progress is scrutinised and monitored by both the CMT and the Governance and Scrutiny Committee. The council has a track record of delivering improvements effectively.

Source: Audit Scotland



Want to know more?

- *Assess yourself: using self assessment for performance improvement (Accounts Commission, May 1998)*
<http://www.audit-scotland.gov.uk/about/ac/>

Audit work can help with continuous improvement

88. Both internal and external audit can support continuous improvement. Audit provides an independent and objective check on systems, processes and performance.

89. Internal audit teams are responsible for evaluating the effectiveness of a council's internal control systems. These are the systems that help an organisation to use its resources, economically, efficiently and effectively.

90. The CIPFA publication *Measuring up: An introduction to theories and concepts of performance management in the public services*⁹ states that 'Internal audit has a key role in relation to an organisation's performance management systems. It is in a unique position to provide an organisation with assurances about the overall integrity of the performance management systems: that they have been appropriately designed and are balanced, that they reflect both internal and external requirements, and that the data can be used with a measure of confidence.'

91. CIPFA's Technical Information Service (**Exhibit 8**) covers the internal audit's responsibility for providing assurance on performance information and supporting systems.

92. Most councils have audit and scrutiny committees. These committees typically are charged with considering internal and external audit reports and checking that the council's governance arrangements are sound. In some cases, they are also responsible for:

- holding administration councillors and officers to account for managing performance

Exhibit 8**Extract from CIPFA's Technical Information Service**

"It is the responsibility of management to ensure it has an effective performance management system but this can be independently validated by the internal audit service and may be subject to scrutiny by external agencies. This should enable managers across the council to use the information with confidence and manage more effectively. The aim of internal audit in this context is to provide independent assurance on the performance information and the supporting systems. The main audit objectives are:

- to review the extent that the performance management system and its accompanying targets and measures adequately supports and promotes the achievement of corporate objectives
- to establish to what extent the council has sound systems and controls to support performance management and to validate performance outputs
- to examine how far those systems and controls operate satisfactorily in practice and link with effective management information systems to monitor performance
- to examine the extent to which performance information is reliable, accurate and timely
- to identify appropriate ways of improving performance information systems and recommend actions where improvements are shown to be necessary, practicable and cost effective."

Source: CIPFA Technical Information Service – Internal Audit

- identifying areas of need or issues of concern
- directing service, cross-cutting or policy reviews
- directing and occasionally being directly involved in reviewing the performance review activity
- coordinating and managing the programme of scrutiny.

93. An effective audit committee can therefore provide a valuable independent check of the council's financial and non-financial performance and support improvement.

94. Councils are subject also to external audit and inspection and this provides a useful source of information to help them improve. Councils should have processes in place so that the relevant councillors and officers consider findings and recommendations. It is important that councils consider how the findings from external scrutiny can best be incorporated within its existing improvement plans.

95. Some councils, however, can rely too much on audits and inspections for assurance or to 'cover' specific areas of corporate activity. This leads them to exclude audit and inspection focus areas when considering their own improvement activity. External scrutiny is not a substitute for rigorous self-evaluation.

Part 8. Partnership working



Managing performance in a partnership
is complex.

The principles of effectively managing performance also apply to partnership working. Partners need to have a shared understanding of priorities and the impact their work is having.

96. Managing performance in a partnership is complex. The organisations in any partnership are likely to have different decision-making and accountability arrangements, organisational cultures and planning and performance systems.

97. All of this makes it all the more important that partnerships have good performance management arrangements in place as this helps to ensure partners have a shared understanding of the priorities and the impact that the partnership work is having.

98. Our audit work shows that:

- the performance management and reporting processes of

partnerships are not well developed

- there is a clear need to improve the way they report performance to the public.

99. Performance management systems for community planning need to cope with the demands of reporting on SOAs and the complexities of partnership working (Exhibit 9).

100. In November 2011, we published a report on economic development in Community Planning Partnerships (CPPs).¹⁰ The report found that, in more complex partnerships, CPPs differ in how they manage performance. Some CPPs acknowledge that they are not achieving some outcomes as planned, but take little further action. Sometimes this is because they feel lack of progress is outwith the CPP's control. In other CPPs, board members may work behind the scenes to find out why outcomes are

not being achieved and may agree informal actions to deal with this.

101. Some CPPs adopt a more collective and transparent approach to managing performance. They work together to understand why they are not achieving outcomes and to identify what different partners can do to deal with the problem. Building a culture of mutual respect and trust to enable partners to constructively challenge each other when outcomes are not being achieved is vital.

What do auditors say?

“The partnership is unable to effectively demonstrate progress against partnership outcomes due to partnership arrangements still developing and limitations with the partnership’s performance management arrangements.”

Source: Audit Scotland

Exhibit 9

Good governance principle for partnership working

Key principles	Features of partnerships when things are going well	Features of partnerships when things are not going well
Performance measurement and management		
<p>Clearly defined outcomes for partnership activity</p> <p>Partners agree what success looks like and indicators for measuring progress</p> <p>Partners implement a system for managing and reporting on their performance</p>	<ul style="list-style-type: none"> • Understand the needs of their local communities and prioritise these • Have a clear picture of what success looks like and can articulate this • Have clearly defined outcomes, objectives, targets and milestones that they own collectively • Have a system in place to monitor, report to stakeholders and improve their performance • Demonstrate that the actions they carry out produce the intended outcomes and objectives 	<ul style="list-style-type: none"> • Prioritise their own objectives over those of the partnership • Unable to identify what success looks like • Fail to deliver on their partnership commitments • Do not have agreed indicators for measuring each partner’s contribution and overall performance or do not use monitoring information to improve performance • Unable to demonstrate what difference they are making

Source: Audit Scotland

10 *The role of community planning partnerships in economic development*, Accounts Commission/Auditor General for Scotland, November 2011.

102. Our recent report on community health partnerships (CHPs) also emphasised how over-complicated performance reporting arrangements are for CHPs.¹¹ They are burdensome on CHPs as they need to take account of different national and local planning and performance monitoring systems and targets which have been developing over time. This means there is a risk that the different requirements may overlap and are not always aligned.



What do auditors say?

“We noted that arrangements to extend the council’s performance and risk management processes to the Community Planning Partnership (CPP) are now embedded. The council’s partners have access to the pyramid system and are able to populate and comment upon data in the scorecards.”

“The council has extended the improvement model and performance management system to its community planning partners ensuring consistency of approach to performance improvement.”

“Performance management remains underdeveloped and needs to improve to enable partners to effectively monitor progress against identified outcomes.”

Source: Audit Scotland

Part 9. Key points for action



An effective council will have the key characteristics for managing performance and improvement.

The characteristics of a council with effective performance management and improvement

An effective council will:

- have a developed culture where leaders demonstrate good management of performance and communicate regularly on performance and improvement issues
- have a corporate framework for performance management and continuous improvement
- be clear on its priorities and have plans that meet the 'golden thread' test
- use a wide range of measures to effectively manage performance
- use benchmarking to compare and monitor improvement against other councils
- encourage scrutiny and challenge from councillors
- use overview and scrutiny panels to challenge performance
- actively respond to areas requiring improvement
- use self-evaluation and reviews to demonstrate continuous improvement
- use internal audit service to assure performance management systems and measures
- work constructively with partners to manage performance and improvement.

An effective council will ensure that:

- all staff understand their role in managing performance and use it in their day-to-day work
- councillors understand their role in all aspects of performance management and improvement
- councillors are provided with clearly presented and quality information to enable them to make decisions
- both internal and public reports are of good quality and are tailored appropriately for their use
- the principles of performance management apply equally to working with partners.

Appendix 1.

A tool for checking progress

Questions for councillors	Yes/No	Action
<p>Performance management culture</p> <p>1. Do I have a good understanding of performance across the council?</p> <p>2. Does a key aspect of my role involve scrutinising performance information and challenging officers?</p> <p>3. Do I need training to help me understand performance management?</p> <p>Performance management framework</p> <p>4. Am I involved in establishing what communities need, allowing me to establish priorities?</p> <p>Performance measures</p> <p>5. Does the information I receive cover:</p> <ul style="list-style-type: none"> • service performance? • customer satisfaction? • trend data? • benchmarking data? • targets? • outcomes? <p>Performance information</p> <p>6. Is the performance information I receive concise, accurate, balanced and presented in an easily understandable format?</p> <p>7. Do officers provide me with performance information which is clear and concise and allows me to judge how well we are doing?</p> <p>8. Does the information I receive tell me:</p> <ul style="list-style-type: none"> • if we are meeting our targets? • why variances occurred? • what the implications are of not meeting the target? • if resources are adequate? • what impact it will have on people who use services, local people and partner agencies? • if there is an impact on equalities, sustainability or efficiency? • what impact this might have on corporate priorities? 		

Questions for councillors	Yes/No	Action
<p>9. Does the information presented by officers tell me:</p> <ul style="list-style-type: none"> • what performance is predicted over the short and longer term? • what action needs to be taken to see improved performance (this could include additional resources, more training)? • where there is under-performance when will it be back on track and whether additional resources are required to achieve this? <p>10. Does the information I receive allow me to challenge over and under-performance and question whether we are achieving value for money?</p> <p>11. Do I regularly challenge officers on the performance information presented to me?</p> <p>12. Does performance information provided by officers allow me to monitor progress on priorities and plans?</p> <p>13. Do I require any training or support to help me challenge officers on performance?</p> <p>Self-evaluation and improvement</p> <p>14. Am I aware of the self-evaluation and review processes in the council?</p> <p>15. Do I scrutinise the results of reviews and suggest appropriate action?</p> <p>16. Do I receive regular updates on progress against the improvement plan?</p> <p>Partnership working</p> <p>17. Do I work constructively with partners to improve performance?</p>		

Questions for officers	Yes/No	Action
<p>Performance management culture</p> <p>1. Do I regularly discuss performance and improvement at meetings?</p> <p>2. Do I communicate and discuss our performance with my team?</p> <p>3. Do all staff understand their role in managing performance?</p> <p>4. Am I managing performance in day-to day activities and do I share practice with others?</p> <p>Performance management framework</p> <p>5. Am I clear on our approach to managing performance?</p> <p>6. Is it the approach based on a clearly structured framework?</p> <p>7. Do we have a clear link in plans from corporate plans to personal work plans?</p> <p>Performance measures</p> <p>8. Do we have a comprehensive hierarchy of performance measures which provides councillors with the information they need to judge performance?</p> <p>9. Am I involved in benchmarking across our service, and do I compare performance with our peers?</p> <p>Performance information</p> <p>10. Does information provide a clear picture of performance?</p> <p>11. Am I clear on where we need to improve?</p> <p>12. Am I regularly challenged by councillors on performance issues?</p> <p>13. Do I use the internal audit service to provide assurance on our performance management systems?</p> <p>14. Do we present clear performance information to the public on our performance?</p> <p>15. Are our plans and resources revised in response to areas of concern?</p> <p>16. Do I regularly monitor action plans from improvement activity?</p>		

Questions for officers	Yes/No	Action
<p>Self-evaluation and improvement</p> <p>17. Do we have a framework for self-evaluation and improvement activity?</p> <p>18. Is our corporate improvement activity well coordinated?</p> <p>Partnership working</p> <p>19. Do we have a performance framework in place for partnership working?</p>		

Appendix 2.

Tools to aid performance management and improvement

Tool	What is it?	Estimate of time to implement
Balanced scorecard	<p>A strategic planning and management system. It provides a method of:</p> <ul style="list-style-type: none"> ensuring business activities are in line with the organisation's vision and strategy of the organisation improving internal and external communications monitoring organisation performance against strategic goals. 	Four to six months to implement depending on level of measurement in place.
Business process re-engineering	This is about analysing and designing workflows and processes within an organisation. A business process is a set of logically related tasks performed to achieve a defined business outcome.	Improvements anticipated in 6-12 months from the start of the project, although can be sooner for individual processes.
EFQM excellence model	<p>This is used as a basis for self-assessment, an exercise in which a service assesses itself against nine criteria. This helps to identify current strengths and areas for improvement against strategic goals. The model takes an all-over view to enable organisations to:</p> <ul style="list-style-type: none"> assess where they are understand their strengths and potential gaps in performance. 	Approximately 35 staff days over six weeks.
Investors in People	Specialises in transforming business performance through people. A framework of best practice that's outcome focused: it outlines what you need to achieve but never prescribes how, making it truly flexible.	Six months to three years from committing to achieving it.
ISO9001 quality management system	It is the internationally recognised standard for Quality Management Systems (QMS). It is a framework and a set of principles that ensure a common-sense approach to managing business activities to consistently achieve customer satisfaction.	Implementation to assessment takes approximately six to nine months.
Kaizen Blitz	It is a focused short-term project to improve a process. It includes training followed by analysis, design and implementation.	Usually two to three months from conception to bedding in a new process.
Lean review	Aims to eliminate waste in processes at all levels, from identified need to service delivery. It involves constantly reviewing processes to ensure they are constantly and consistently delivering value to customers.	Three to 36 months to fully implement.
Public Service Improvement Framework	A self-assessment framework that encourages organisations to comprehensively review their own activities and results. It provides various improvement tools so that organisations can look at how continuous improvement is working across the whole organisation.	Approximately two to four months.

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REPORT TO: Policy and Performance Review Committee
MEETING DATE: 27 November 2012
BY: Executive Director (Services for Communities)
SUBJECT: Planning Performance Framework

6

1 PURPOSE

- 1.1 To give a report on the background to and content of the Council's first annual Planning Performance Framework.

2 RECOMMENDATIONS

- 2.1 It is recommended that the Committee note the Planning Performance Framework (PPF).

3 BACKGROUND

Background to PPF

- 3.1 A new system of annual Planning Performance Frameworks for all of Scotland's planning authorities was introduced this year. As part of the 'Modernising the Planning System' agenda, the Heads of Planning Scotland worked with the Scottish Government to develop a new framework for measuring and reporting performance.
- 3.2 The work recognised that the time taken to make a decision on any application is important to applicants and developers. However, the work also recognised that a narrow focus on a purely quantitative measure offered an incomplete and narrow assessment of performance at any one time. Furthermore, it did not consider the context within which decisions were taken, including the characteristics of the local authority area, the planning authority's operational systems, its democratic processes and any external factors outwith the authority's control.
- 3.3 The outcome of this work is that for the first time the Scottish land use planning system has a balanced scorecard approach to performance measurement. Speed of decision making still features as an important factor, but is set within a wider supporting context including quality, organisation and outcomes achieved on the ground.

- 3.4 The PPF is structured around a context-setting introduction, followed by the main headline indicators, decision-making timescales for planning applications and other consents and commentary on these. This is followed by a more qualitative, standard assessment defining how the planning authority (a) is open for business (b) delivers high quality development (c) provides certainty (d) promotes communication, engagement and customer service (e) delivers efficient and effective decision-making (f) has efficient management structures (g) has good financial management and local governance procedures and (h) has a culture of continuous improvement. Finally, a series of service improvement actions for 2012-13 are detailed.
- 3.5 The first Planning Performance Framework was submitted to the Scottish Government in October 2012. Attached to this report, it encompasses the prime statutory responsibilities of the planning service's Policy & Projects and Development Management business units.

Content of East Lothian's PPF

- 3.6 The East Lothian PPF sets the context for its land use planning function by highlighting the high quality built and natural environment within which it operates. For example, its significant proportion of listed buildings increases the percentage of planning applications that also require listed building consent. This can extend the time taken to determine such applications with a consequent performance impact.
- 3.7 East Lothian's increasing population is acknowledged to place particular demands on the provision of infrastructure and supporting services. For example, available school capacity is limited. The requirement to assess the additional capacity implications of a development proposal, and how this will be delivered (eg by means of a Section 75 Agreement), can add to the complexity of the planning assessment and its determination time.
- 3.8 Significant issues are highlighted, including affordable housing provision, infrastructure constraints, the level of out-commuting and the need to increase East Lothian's employment base. It is acknowledged that the planning system in East Lothian needs to address these issues while accommodating new development in a way that does not undermine the area's special qualities.

National Headline Indicators 2011-12

- 3.9 In terms of development planning, the Council continues to have a local plan that was finalised/adopted less than five years ago. The housing land availability figure of only 10 months supply is an artificial one since the current structure plan period ends in 2015 and the Council does not currently have an annual requirement beyond that period. The continuing economic conditions are also having their effect on the take-up of the housing land supply. The effective employment land supply is limited to 10 hectares, largely because little of the 100 hectares or so of allocated employment land is in the control of a business/industrial developer.

- 3.10 The development management service approved 95.8% of applications over the 2011-12 period. The average time to determine householder developments was 9.6 weeks, local developments 20.9 weeks and major developments 94.5 weeks.
- 3.11 Notwithstanding the large number of conservation areas and listed buildings in East Lothian, 92.6% of all householder development type applications were determined in less than 2 months. This compares with a 91.8% performance for the preceding period of August 2009 to March 2011.
- 3.12 62.0% of all non-householder local development type applications were determined in less than 2 months, a significant improvement compared with a 56.6% performance for the preceding period of August 2009 to March 2011.
- 3.13 At 39.0%, the rate of determination of local housing development type applications in less than 2 months was low. However, a quarter of those decisions were taken following the prior conclusion of a Section 75 Agreement designed to provide planning control over the development and/or to secure developer contributions, mainly for education and affordable housing provision.
- 3.14 That 91.4% of business and industry development type applications were approved demonstrates the priority given to the delivery of economic development in East Lothian. Although 78.1% of the applications were decided in less than 2 months (an improvement on the 68.1% performance for the preceding period of August 2009 to March 2011) greater focus needs to be given to the quicker determination of business and industry type applications
- 3.15 11 of the 14 major development type applications decided (78.6%) were granted, however the average time taken to reach these decisions was high.
- 3.16 Overall, the planning authority's performance compares well with the Scottish average. Our 2011-12 performance of determining 75.2% of all applications in less than two months compares with the Scottish average of 68.1%.

Defining and measuring a high quality planning service

- 3.17 The PPF assessment against the more qualitative categories detailed in para 3.4 above were as follows:

Open for business

- Development Management operates a free enquiry service for the giving of pre-application advice
- Case officers are the single points of contact for customers with an interest in an application for planning permission or some other consent

- Development Management offers customers a full online application service
- The vast majority of planning applications and applications for other consents are approved
- Most applications for planning permission for business and industry type developments are approved.
- Development Management is effective in facilitating the provision of affordable housing within East Lothian
- There is a co-ordinated approach to the delivery of strategic housing land allocations
- Co-ordinated response to strategic housing applications

High quality development on the ground

- Regular engagement in the good practice of negotiated or conditional design improvements to development proposals
- Clear development plan policy, development frameworks and supplementary guidance promote good design and layout

Certainty

- Guidance notes for the making of applications are available to applicants/agents and following stakeholder engagement they were recently re-written to make it clearer, and less onerous, of what are the necessary requirements for the submission of a valid application
- Only a few applications are decided by the Planning Committee against officer recommendation
- The majority of officer decisions that go before the Local Review Body are upheld
- Up to date development plan

Communications, engagement and customer service

- Formal procedures are in place for a transparent consideration of public representations on applications for planning permission and other consents and of decision making on applications
- Complaint handling is through the Council's Feedback procedures
- Use of web site
- Follow up surveys

Efficient and effective decision making

- Operation of the Council's Scheme of Delegation, Scheme of Delegation List and Committee Expedited List procedures enables efficient and effective decision making.
- Most local development type applications are officer decisions through the Scheme of Delegation.

Effective management structures

- There is a well defined yet flexible staff structure to the Development Management team to deal with the large and varied caseloads of pre-application enquiries, applications and post determination matters, whilst also providing for required specialisations of work.

Culture of continuous improvement

- The planning service adheres to the How Good is Our Council practices of self assessment and performance management.

Service improvement actions 2012-13

3.18 The proposed service improvement actions 2012-13 respond to the planning service's How Good is Our Council assessment. They include:

- Consideration of a 'one-stop shop' approach for pre-application advice
- Develop customer feedback processes
- Develop further the planning pages on the web site
- Consider staff rotation or similar between teams
- Reduce average times to determine applications

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 Planning Policy Framework, October 2012, East Lothian Council

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DATE	13 th November 2012

PLANNING PERFORMANCE FRAMEWORK



October 2012
version 1.0

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- 2.0 East Lothian Context
- 3.0 Planning Performance Framework
 - 3.1 *National Headline Indicators*
 - 3.2 *Defining and measuring a high-quality planning service*
 - 3.3 *Supporting Evidence*
 - 3.4 *Service Improvement Actions 2012-13*
- Appendix One
 - Planning performance Framework Official Statistics

1.0 INTRODUCTION

1.1 Following discussions with a range of agencies and representatives of the land use planning profession, the Scottish Government has introduced a requirement on planning authorities to prepare an annual Planning Performance Framework (PPF).

1.2 Using a balanced scorecard approach, the PPF enables each planning authority to demonstrate its achievements and successes within its own local context. While the requirement for speed of decision is an important factor, this is set within a wider context of development quality, resources, organisation and outcomes achieved on the ground

1.3 At national level, the context behind the framework is:

- A consistent approach across Scotland.
- A clear demonstration of performance improvement outputs and areas of best practice and innovation.
- An integral part of a Council's current performance reporting processes, and not a separate, stand-alone document.
- An opportunity to incorporate other areas of work which are seen as independent, e.g. staff workforce survey, bench marking, case studies and budgetary information reflecting unit costs and the costs of the different parts of the planning service.

1.4 This is the first PPF for East Lothian Council. Its key parts are:

Part 1 - National Headline Indicators

Part 2 - Defining and measuring a high quality planning service.

Part 3 - Supporting evidence

Part 4 – Service Improvement Actions 2012-13

Appendices

1- Official statistics - decision making timescales 2011-12

2.0 EAST LoTHIAN CONTEXT

Natural environment

2.1 The land use planning process in East Lothian takes place against a background of an area that is growing, accessible, has a high quality built and natural heritage and has many leisure tourism opportunities. Being within easy reach of Edinburgh, East Lothian is in high demand as a place in which to live and to visit.

2.2 The quality of the urban and rural environment in East Lothian is one of its greatest assets. The countryside contains a significant proportion of Scotland's prime quality agricultural land, although it tends to exist where there is most pressure for development. Areas designated for their biodiversity value include the Firth of Forth Ramsar site (also a SPA) and two SPA's - the Firth of Forth and the Forth Islands. Fifteen SSSI's cover the Forth Estuary and Islands, parts of the Lammermuir Hills, as well as former quarries and coastal areas and areas of woodland and unimproved grassland of botanical interest. There are 10 Areas of Great Landscape Value, including the coast, the Lammermuir and Garleton Hills and Traprain Law.

2.3 The Tyne and Esk are the areas main rivers; they, and the Biel Water, all have a history of flooding. SEPA reported in 2009 that 18 (34%) of water bodies in or partially in East Lothian were at good ecological status. The remaining 35 (66%) were classified at moderate, poor or bad ecological status. Water bodies at good status are generally situated in the south eastern areas of East Lothian, whilst those of moderate, poor or bad quality are in the northern, central and western areas where most agricultural activity takes place. Urban diffuse pollution is not identified as a pressure affecting any water body in East Lothian. There are no declared Air Quality Management Areas in East Lothian, although parts of Musselburgh High Street and Tranent High Street are being monitored.

Built heritage

2.4 Positioned along an historic invasion route from the north of England, East Lothian contains a variety of historic battle sites, encampments, castles and other fortifications. Numerous archaeological sites are found in the rural landscape of East Lothian from crop mark sites to earthworks and castles. There are 291 Scheduled Monuments and three of its historic battlefields are currently included on the national inventories. The Historic Environment Record records a further 7,500 known archaeological and historic sites. These include a further 4 historic battlefields and numerous designed landscapes not designated nationally. The quality of East Lothian's built environment is reflected in its 2,700 listed buildings, 30 conservation areas and 28 Gardens and Designed Landscapes



Example of East Lothian's built heritage

2.5 East Lothian's economic history is in agriculture, fishing and mining, with the latter most prevalent to the west above the coal fields. Settlements have grown and evolved in this context, with many developing organically around harbours, market squares, former mines and at river crossings with some including historic mills and lades. Smaller settlements developed around farmsteads, fortifications, parish churches and manses, while some were planned by estate managers to house workers during agricultural improvement. The diversity of settlements developed in harmony with their surroundings and in response to the area's economic activities and connections to its surroundings. This is reflected in their layout, architectural styles and in the materials and colours used for building. Many are renowned for their historic and architectural interest and are attractive places to live in and to visit.

Population growth

2.6 As a result of these special characteristics, and unlike much of Scotland, East Lothian's population continues to grow. Between 1981 and 2010 it increased by around 20% from 79,000 to 97,500. This has reflected East Lothian's attractiveness as a place in which to live, supported by a long-standing strategic planning policy that has directed substantial amounts of additional housing land here as part of the wider Edinburgh housing market area. The GRO's 2012 population projections estimate on a further 33.5% increase to 129,729 by 2035. The scale and age structure of this population growth has and will continue to have implications for increasing and changing demands on Council services and facilities and will bring a need for more development land. With little previously-developed 'brownfield' land, most of East Lothian's development requirements must be found on previously undeveloped 'greenfield' land, much of which is also prime quality agricultural land.

Economic and social

2.7 Between 1998 and 2008 East Lothian experienced growth in the service, construction and tourism sectors, but a decline in manufacturing. Of the working age population around 78% are economically active, with 80% of males and 76% of females. Out of work benefits issued in the area (JSA) in 2010 stood at 3.3%, below the Scottish figure of 4.3%. The 2006 claimant count also showed that the area had a low unemployment rate at 1.7% and ranked 28th out of Scotland's 32 local authority areas. However, by 2011 this figure had increased to 4.1% and it is now ranked 17th among them. In 2009 around 30,000 jobs were available in the area (for around 61,200 people of working age), resulting in a job density of 0.5, compared to the Scottish and GB average of 0.78.

2.8 Despite East Lothian's overall relative prosperity and environmental quality, the Scottish Indices of Multiple Deprivation, based on 2009 data, shows parts of Musselburgh, Prestonpans, Tranent and Haddington to be among the most deprived 15% in Scotland in areas of health, employment, income, education, housing and crime.

Infrastructure

2.9 The strategic transport routes of the A1(T) trunk road and the East Coast Main Line pass through East Lothian from east to west and the North Berwick Branch Rail Line extends northward to the coast. Torness Nuclear Power Station and Cockenzie Power Station lie within the area as do a number of commercial scale wind farms in the Lammermuirs. There are major gas pipelines and electricity grid connections and transmission lines in the area that distribute energy throughout it and beyond. There are also active mineral, landfill and waste handling operations of strategic importance.



East coast main line service at Dunbar

Development issues

2.10 The growth in population and housing has not brought benefits to everyone in East Lothian. It is very difficult for first-time buyers to enter the owner-occupied housing market: prices are high and house types tend towards the upper end of the market. At the same time, the Council's house waiting list continues to grow and homelessness remains a problem. The lack of affordable housing has become a major issue. The Council seeks to develop a partnership approach with all housing providers in order to secure adequate affordable housing provision for all needs, but current economic conditions are acting as a barrier to the delivery of all housing and the infrastructure and facilities needed to support their delivery.

2.11 East Lothian has been the subject of strategic development pressure for many years, mainly because it is part of the Edinburgh Housing Market Area. All of East Lothian is easily accessible to Edinburgh and therefore it is not a remote rural area. However, when compared to other parts of the city region in terms of relative accessibility via national and international modes of transport, it has not to date been a preferential location for large scale economic development and employment. As such, whilst many people are attracted to live in the area, most residents elect to travel out of it to access the wider range of jobs, goods and services on offer elsewhere.



Brierybank, Haddington

2.12 These factors combine to restrict access to housing, jobs and other opportunities for some residents, placing them at a disadvantage, as well as promoting unsustainable travel patterns. The 2001 Census indicated that around 31,000 people commute to work via car, van or motor cycle and that around 28,950 of these people (93%) travel between 5 - 40km to work. This demonstrates the link between the size of the working age population, the availability of jobs in the area (job density), the commuting travel pattern and the capacity issues in the transport network.

2.13 This has manifested itself in the need for affordable housing, in the requirement to resolve transport network capacity issues, in the demand for the limited capacity in public transport services, and in the car based commuting travel pattern. The trend towards travelling longer distances has also influenced shopping habits, impacting on the role, vitality and viability of traditional town centres and the range of amenities available locally.

2.14 Within a growing local authority area, particular demands are also placed on facilities and infrastructure to secure adequate local service provision and infrastructure capacity where this does not already exist. Until relatively recently, East Lothian's population and housing growth could largely be absorbed by existing capacity in its schools, social and community services and other infrastructure. This is no longer the case. Existing education capacity is very limited and many new housing developments require the provision of expanded or even new school provision. In today's economic climate, developers no longer have the same access to development finance to provide this. While the Council is exploring ways in which it can assist, this is having a particular effect on the delivery of East Lothian's current development plan strategy and on its five year housing land supply.

2.15 There are also junction and link capacity constraints on the A1 west of the Gladsmuir interchange and capacity constraints in the rail network. Factors such as

these constrain the identification and delivery of land for housing. Local public transport provision within East Lothian, particularly to the villages and north/south across the area, is an issue but one over which the Council has limited influence.

2.16 Whilst most existing settlements have generally reached the logical limit of their expansion in terms of infrastructure and landscape capacity, there is a continuing need to make appropriate development land available within the area. A new settlement at Blindwells is recognised as having potential to deliver much of East Lothian's future strategic housing growth.

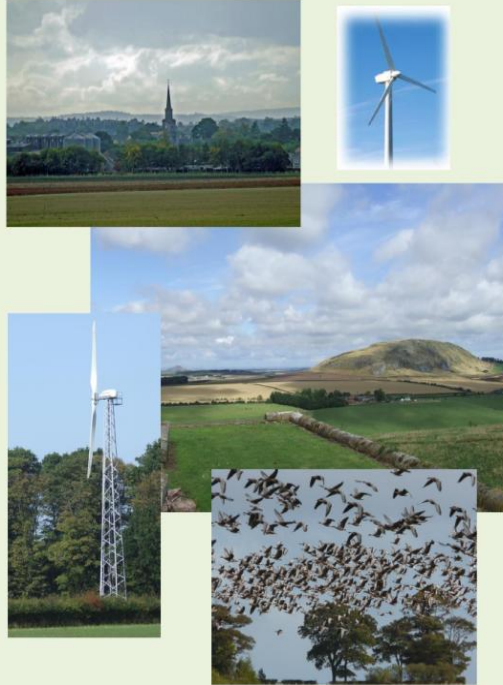
2.17 The planning authority has embraced the Scottish Government's place-making agenda. It has sought to promote higher density development less dominated by the car through a masterplan-led approach. Indeed, the Council's Design Standards for New Housing Areas received a commendation from the Scottish Awards for Quality in Planning and Designing Places. However, it is a particular challenge to secure the acceptance of some of the house building industry to submit development proposals consistent with the Council's requirements in this regard. There is a tension between delivering this agenda while at the same time recognising the current economic constraints on the house building industry.

2.18 In addition to the significant amount of installed wind turbine capacity in the Lammermuirs, there is a particular and current demand for single and/or small groups of wind turbines in lowland East Lothian, raising significant tensions between the benefits of renewable energy provision and landscape impact. The Council has approved a landscape capacity study for smaller wind turbines to provide an enhanced policy context for their assessment.

The challenge

2.19 The need to accommodate and manage development in a way that benefits East Lothian and its communities, while not undermining their special qualities, is a particular and continuing challenge to the land use planning process within East Lothian. This is accentuated by an articulate and well-informed community well-able to question development proposals and planning recommendations. In addition, the process of delivering land use planning in an area where there are substantial statutory designations brings its own challenges to efficient and timely decision-making.

PLANNING GUIDANCE FOR THE LOCATION
AND DESIGN OF WIND TURBINES IN THE
LOWLAND AREAS OF EAST LoTHIAN



December 2010

Example of Supplementary Planning Guidance

PLANNING PERFORMANCE FRAMEWORK

ANNUAL REPORT 2011-2012

1. National Headline Indicators (NHIs)

Key outcomes	2011-2012	
Development Planning: <ul style="list-style-type: none"> age of local/strategic development plan(s) (full years) <i>Requirement: less than 5 years</i> development plan scheme: on track? (Y/N) 	<p>4 years</p> <p>No</p>	
Effective Land Supply and Delivery of Outputs <ul style="list-style-type: none"> effective housing land: years supply effective housing land supply housing approvals effective employment land supply employment land take-up effective commercial floor space supply commercial floor space delivered 	<p>10 months (<i>see commentary</i>)</p> <p>2,246 dwellings</p> <p>1,329 dwellings</p> <p>10 ha</p> <p>3.6 ha</p> <p>25ha</p> <p>4098 m²</p>	
Development Management <p>Project Planning</p> <ul style="list-style-type: none"> percentage of applications subject to pre-application advice number of major applications subject to processing agreement or other project plan percentage planned timescales met <p>Decision-making</p> <ul style="list-style-type: none"> application approval rate delegation rate 	<p><i>No accessible recorded data</i></p> <p><i>none</i></p> <p><i>not applicable</i></p> <p>95.8%</p> <p>91.7%</p>	
Decision-making timescales Average number of weeks to decision: <ul style="list-style-type: none"> major developments local developments (non-householder) householder developments 	<p>94.5</p> <p>20.9</p> <p>9.6</p>	
Enforcement <ul style="list-style-type: none"> time since enforcement charter published / reviewed (months) <i>Requirement: review every 2 years</i> 	<p>Published: June 2011/reviewed May 2012</p>	

• number of breaches identified	248	
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Commentary on National Headlines Indicators

Development planning

The Development Plan programme has slipped by at least six months from that originally envisaged in DPS No 1. This has largely been due to (i) the unanticipated amount of work associated with SEA and the preparation of the LDP evidence base (ii) the effects of the significant staff resources that were diverted onto work on the Strategic Development Plan (iii) the introduction of an additional pre-MIR consultation stage in early spring 2012 and (iv) to a wish to front-load the MIR and ensure that it is robust with a strong evidence base. It is still anticipated that the first East Lothian Local Development Plan will be adopted within two years of approval of SESplan's Strategic Development Plan.

Housing Land Supply

There is a shortfall in the housing land supply set against the requirements of the Edinburgh and the Lothians Structure plan 2015. This is a direct result of the continuing economic conditions and their impact on the house building industry. To date the Council has not released additional housing land. The Edinburgh and Lothians Structure Plan Joint Liaison Committee has previously agreed not to invoke Structure Plan Policy HOU10 policy to bring forward additional land on the grounds that the situation has arisen for infrastructure and marketing reasons rather than a lack of land identified for housing. East Lothian is of the view that there are few, if any, currently unallocated sites of significance that would be suitable for housing and which would be free of infrastructure constraints such that early house completions could be anticipated. SESplan, the Strategic Development Plan for South East Scotland, advises in its Proposed Plan that the focus of the first phase to 2019 should be on the delivery of the current development plan strategies.

Effective Housing Land Supply: years supply

Calculations are based on the remaining 3 year period until the end of the Edinburgh and the Lothians Structure Plan period (2015). The Council does not have annualised housing requirements beyond that date and so cannot estimate how many years' supply exists. The figure of 10 months, as estimated below, is therefore an artificial figure.

Remaining target completions to 2015 to meet ELSP (at 04/2012):	3694
Equals an annual target of:	1231 (i.e. one year supply)
East Lothian's effective supply for the period 2012-2015 :	1028
% of the target completions we can achieve:	27.84%
Proportion of the 3 year supply we can achieve (27.84% of 3 years):	0.84 years = 10 months

PLANNING PERFORMANCE FRAMEWORK

2. Defining and measuring a high-quality planning service

Open for business

Each day of the working week Development Management operates a free enquiry service, including the giving of pre-application advice. Part of this is a written enquiry service with a service standard response time of 10 working days. In 2011-2012, of the total number of 378 written enquiries received 66% were responded to within 10 working days. Each morning a duty planner service is provided for applicants/agents/the public who come into the Council's offices and to persons telephoning the service. One of the functions of the free enquiry service is to facilitate the giving of pre-application advice, including consideration and advice on the detail and quality of development proposals, in addition to the principles of development.

A senior planner in Development Management is, as part of a larger caseload of applications, dedicated to the processing of applications for planning permission for housing developments entirely of affordable housing units. Accordingly, that senior planner is a member of the Council's Affordable Housing Co-ordination Group. Additionally that senior planner and Development Management's principal planner process all major housing development type applications and thereby they act to secure from each development proposal a 25% affordable housing provision as a requirement of the Council's Affordable Housing Policy.

Through the determination of applications for developments of 5 new houses/flats or more since August 2009 planning permissions have been granted or resolved to be granted for a total of 3193 new houses/flats, of which 1163 units is the required affordable housing provision. Of these total 395 new houses/flats are completed and occupied, with 372 of them being affordable housing units. Additionally, development has commenced or is due to commence on the building of 860 of the 3193 new houses/flats of which 269 would be affordable housing units.

One of the Development Management planners is, as part of a larger caseload of local development type non-householder applications, dedicated to giving pre-application advice on and to the processing of the applications made to the Council for single and small number wind turbine developments. In the past

few years there has been an upsurge in the number of these enquiries and applications. In 2008 the Council received only 2 such applications. In 2009 the number of applications received increased to 9. In 2010 a total of 34 applications were received and in 2011 a total of 31 applications were received.

In addition to the other work of their caseloads two Development Management planners are dedicated to giving pre-application advice on alterations/extensions to listed buildings and to the processing of most applications made to the Council for listed building consent for such developments.

In the interests of achieving a high standard of performance in the determination of all applications some of the planners of Development Management work to caseloads of householder development type applications (and associated applications for listed building consent and conservation area consent) and the others to caseloads of non-householder development type applications. One senior planner and the principal planner process the major development type applications.

Once an application for planning permission or other statutory consent is registered it is allocated to a respective Development Management planner who from that time until the application is reported for a determination and thereafter in cases of post decision activity is the single point of contact for the application. At the time of registration applicants are informed in writing of who the planner for the processing of their application is and consultees and the public are informed of this through the Council's published weekly list of registered applications and thereafter through the file record of the application, viewable online and in the Council's offices.

Development Management offers a full online application service. In the year 2011-2012 a total of 508 applications were submitted online, being 41% of the 1223 applications submitted.

Development Management have regular liaison and consultation with the Council's Economic Development Unit on business development type proposals and applications

The vast majority of planning applications and applications for other consents made to East Lothian Council are granted. In 2011-2012 a total of 1089 applications were decided, with the percentage granted being 95.8%. In the preceding period of 3 August 2009 to 31 March 2011 96.6% of all applications decided were granted.

	<p>This, in part is reflective of the extent to which the Council’s planning service actively engages with applicant’s both at the pre-application stage of the development management process and through appraisal and negotiation at the application stage to best ensure that development proposals are compliant with</p> <p>the development plan and other material considerations, that development is fit for its place without detriment to the high quality character, appearance and amenity of East Lothian, and makes a positive contribution to the economy of East Lothian.</p> <p>In 2011-2012, 97.8% of all householder applications decided were granted, 92.7% of all non-householder development type applications were granted and 96.6% of all applications for other consents were granted.</p> <p>In the case of business and industry development a total of 35 applications were decided in 2011-2012 (3 of a major development type and 32 of a local development type). 32 of those applications (2 major and 30 local) were granted at an overall approval rate of 91.4%. In the preceding period of 3 August 2009 to 31 March 2011, all of the total of 50 business and industry development type applications decided were granted (100%).</p> <p>Finally, planning for the delivery of strategic housing land allocations is supported by the coordination of a team of officers from different ELC departments led by a Principal Planner to co-ordinate infrastructure and service requirements for strategic site development including advice on expected standards for planning application submissions.</p>
<p><i>High quality development on the ground</i></p>	<p>The East Lothian Local Plan 2008 has a range of development policies that encourage good design that takes into account the context of the site. Supplementary Planning Guidance on Design Standards for New Housing Developments in East Lothian has been introduced to shape places and encourage higher quality housing design on the ground, aimed firmly at encouraging a range of different house types in an area and reducing the visual dominance of the car. Development frameworks, briefs and design guidelines prepared for individual sites and buildings are aimed at ensuring that development on the ground reflects the context in which it sits.</p> <p>These Development frameworks have been prepared for strategic land allocations to provide clear and comprehensive</p>

	<p>guidance for the developer to follow in the preparation of a masterplan for the site that meets the considered needs of the site in its context. Smaller allocated sites have development briefs or design guidelines prepared for them which provide the right amount of guidance to the developer of the site. East Lothian is the second fastest growing area of Scotland and there are considerable pressures on infrastructure, particularly the school estate and lack of affordable housing. However the need to address infrastructure to accommodate growth brings additional burdens and has slowed site delivery.</p> <p>Although the delivery rate of development on the ground has slowed, recent private housing developments at Nungate Gardens (Briery Meadow) in Haddington and at Manse Road (Orchard Lane) in Dirleton won Homes for Scotland Designing Places Awards for best small town and village developments in Scotland. Both had detailed development briefs and were the subject of a series of pre-application meetings. ELC won a British Urban Regeneration Award and a Scottish Quality in Planning Award for Development on the ground for its work in regeneration of Dunbar Conservation Area.</p> <p>Development Management regularly engages in the good practice of negotiated or conditional design improvements to development proposals through the processing of applications for planning permission. Development Management does not have any performance data to evidence this. However, it reflects in East Lothian's high quality environment and amenity and quality of life.</p> <p>East Lothian Planners have benefited from tailored urban design training courses provided by Heriot Watt University.</p>
<p><i>Certainty</i></p>	<p>For many years the Council has published its 'guidance notes' for the making of an application for planning permission and other statutory consents. These are published on the Council's website and in paper form and thus are readily available to applicants and agents. In 2011-2012, following consultation with a selected group of agents (workshop and subsequent emails), the 'guidance notes' were re-written to make it clearer in them and less onerous of what the Council deems to be the necessary requirements for a valid application are. Notwithstanding any of this 756 of the 1223 applications submitted to the Council in 2011-2012 (i.e. 62%) were found to be invalid on receipt.</p> <p>The planning authority has consistently maintained an up-to-date development plan. In 2011-2012 of the total of 1089</p>

	<p>applications decided only 13 of them (1%) were approved contrary to the development plan. This demonstrates that in East Lothian the decision making on applications is based on a robust development plan policy framework and a consistency of decision making in accordance with the provisions of the development plan.</p> <p>Of the 1089 applications decided in 2011-2012 only 5 of them (0.5%) were decided by the Council’s Planning Committee against officer recommendation.</p> <p>In 2011-2012, of the 12 applications for review that went to the Council’s Local Review Body, 2 (16.7%) were allowed.</p>
<p><i>Communications, engagement and customer service</i></p>	<p>The Council’s online application service enables the public to submit representations on applications for planning permission and other statutory consents and whether representations are received in this way or in some other written form they are, if they are objections, dealt with as a material consideration in the determination of the applications they relate to. In the case of applications that go before a meeting of the Council’s Planning Committee for a decision, Members of the Committee are given sight of all written representations in full in addition to the summary of them given in application reports and, additionally, objectors are afforded the opportunity of giving the Committee a 5 minutes spoken presentation of their grounds of objection. Objectors are invited to attend Planning Committee site visits undertaken prior to meetings of the Committee to point out salient locational features and features of the proposed development.</p> <p>Notwithstanding the procedure through which an application is to be decided a full written report for every application is produced giving a full assessment of the development proposal and the justification for the decision.</p> <p>Through the terms of the Council’s Customer Care Charter, Development Management has a responsibility to ensure the provision of the best service possible to its customers.</p> <p>Complaints against the Development Management service are handled through the Council’s Feedback procedures.</p> <p>The Council web page provides up to date information on the development plan and a database of interested parties has been</p>

	<p>developed to facilitate distribution of updates. ELC uses corporate standards for public engagement and customer care.</p> <p>We have responded to the current high level of interest in wind turbine applications by maintaining a dataset of such applications, indicating details of the proposal and their planning status. This includes applications made under Section 36 of the Electricity Act. We have also included details of planning application consultations from adjoining authorities, particularly where these may have cross-boundary effects.</p> <p>At the pre-MIR stage of the Local Development Plan in February 2012 an early round of public engagement facilitated by Planning Aid for Scotland was well received by consultees and stakeholders. The exercise involved some 200 people in</p> <p>workshop style meetings held in the main communities of East Lothian. A follow up questionnaire survey was undertaken and the results published on the Council’s website.</p>
<p><i>Efficient and effective decision-making</i></p>	<p>The Council’s Scheme of Delegation empowers the Council’s Appointed Officer to decide applications for planning permission for all local development type proposals other than the statutory exclusions of: (i) applications made by the planning authority; (ii) applications made by a member of the planning authority; and (iii) applications where the planning authority has an ownership or financial interest in the land.</p> <p>Notwithstanding, applications for planning permission for local development type proposals falling within the Scheme of Delegation that raise important planning issues and/or are subject to any amount of public objection are reported to all Members of the Council through a Scheme of Delegation List issued to them on Thursday of each week. This provides Members with an informed basis through which to decide whether under the statutory provisions of Section 43A(6) of the Town and Country Planning (Scotland) Act 1997 that an application should not be determined as a Scheme of Delegation decision by the Appointed Officer but that instead it be taken to the Planning Committee for the decision of the Committee. Other than for a two month summer recess each year the Planning Committee is scheduled to meet monthly.</p> <p>Through the procedure of the Scheme of Delegation List Members have 1 week in which to decide that an application be taken from the Scheme of Delegation in order that it be decided by the Planning Committee and to give in writing their reason(s)</p>

for their decision. The decision that an application be taken from the Scheme of Delegation can be that of only 1 Member or otherwise of any other number of Members. Usually it is the decision of only 1 Member. An application so taken from the Scheme of Delegation is put on the agenda for the first available meeting of the Planning Committee and prior to the meeting there has to be a Committee site visit.

Even with the operation of this procedure and the statutory exclusion of some local development type applications from the Scheme of Delegation, 91.7% of the applications for planning permission for local development types decided in 2011-2012 were Scheme of Delegation decisions (795 out of a total of 867 applications decided)

In tandem with the Scheme of Delegation List procedure and also to facilitate expeditious decision making the Council operates a Planning Committee expedited decision making procedure for the determination of applications for (i) listed building consent, conservation area consent and advertisement consent and also for (ii) Council applications for planning permission, planning permission in principle and approval of matters specified in conditions for developments of a local development type and (iii) applications for planning permission, planning permission in principle and approval of matters specified in conditions for developments of a local development type where the Planning Authority has an ownership or financial interest in the land.

Through a Committee Expedited List issued to all members of the Planning Committee and other Members of the Council on Thursday of each week reports and decision recommendations on any of these categories of applications included on the List. Members have 1 week in which to decide that an application be taken from the Committee Expedited List in order that it be decided by the Planning Committee at a meeting of the Committee and to give in writing their reason(s) for their decision. The decision that an application be taken from the Committee Expedited List can be that of only 1 Member or otherwise of any other number of Members. Usually it is the decision of only 1 Member. An application so taken from the Committee Expedited List is put on the agenda for the first available meeting of the Planning Committee and prior to the meeting there has to be a Committee site visit. If an application is not called off the Committee Expedited List then on the expiry of the 1 week life of the List the expedited decision of the Planning Committee is as per the officer recommendation made in the application report.

<p><i>Effective management structures</i></p>	<p>The management structure at East Lothian Council changed in April 2012. The Planning Service is now subsumed into a Housing and Environment Division within the Services for Communities Department. There is no Director or Head of Planning post, with the senior planning staff being the Development Management Manager and the Policy and Projects Manager. Both report to a Head of Housing & Environment.</p> <p>There is a well defined but flexible staff structure to the Development Management team which is managed to effectively deal with required specialisations of work whilst also providing a range of professional competencies and experience required for the effective processing of the large and varied caseloads of applications for planning permission and other statutory consents and related work of pre-application discussions, other planning enquiries and post-determination matters.</p> <p>The Policy and Projects team is responsible for the development plan, planning policy, supplementary planning guidance and development frameworks, briefs and design guidelines. It is also responsible for project work including landscape and tree related work, historic building conservation and regeneration, environmental improvement, town centre strategies, coordinating Council departments in respect of delivery of development on the ground, the local transport strategy and transport planning, environmental impact assessment, and provision of the corporate GIS, gazetteer and street naming and numbering service.</p>
<p><i>Financial management and local governance</i></p>	<p>Planning managers have access to monthly financial monitoring statements to track current expenditure against budget. Regular meetings are held with dedicated Management Accountant to ensure any issues with budgets are highlighted early.</p>
<p><i>Culture of continuous improvement</i></p>	<p>East Lothian Council uses the <i>How Good is Our Council</i> (HGIOC) performance management system to assess annually the performance of its services, including land use planning. This requires a critical analysis of performance and is designed specifically to encourage continuous improvement. The planning service is committed to developing its staff and improving their skills through an annual Performance Review and Development process. This helps to identify and justify staff training and development needs.</p>

3. Supporting evidence

Part 2 of this report was compiled, drawing on evidence from the following sources:

- How Good is Our Council?: self assessment of Policy & Projects and Development Management services, March 2012
- East Lothian Customer Care Charter
- East Lothian Customer Care Standards
- East Lothian Feedback Policy
- East Lothian Council Web Site: Planning Pages
- Planning Service Improvement Plan 2011/12
- East Lothian Council Plan
- Single Outcome Agreement
- East Lothian Local Plan 2008
- Development Plan Scheme No 4, March 2011
- Design Standards for New Housing Areas, ELC, 2008
- East Lothian Supplementary Landscape Capacity Study for Smaller Wind Turbines, 2011
- Development Frameworks for Blindwells New Settlement, Wallyford Settlement Expansion, Pinkie Mains (Musselburgh), Mains Farm/Gilsland (North Berwick), Letham Mains (Haddington), Hallhill South West (Dunbar)
- Draft Housing land Audit 2011
- East Lothian Council Affordable Housing Policy
- Scheme of Delegation
- Scheme of Delegation List and Committee Expedited List Procedures
- Published Scottish Government Performance Figures
- East Lothian Council Planning Performance Figures
- Notes for Guidance for Submission of Applications

4. Service improvement actions 2012-13

Committed improvements and actions
<ul style="list-style-type: none"> <i>We will examine the introduction of a 'one stop shop' for the provision of pre-application advice bringing together planning, economic development, education, housing, landscape and biodiversity, transportation and environmental protection inputs</i>
<ul style="list-style-type: none"> <i>We will develop and implement ways to obtain and evaluate customer feedback</i>
<ul style="list-style-type: none"> <i>We will improve access/content of planning web site and explore other forms of publicity</i>
<ul style="list-style-type: none"> <i>We will implement a GIS mapping interface to allow public access to Council-held data and mapping</i>
<ul style="list-style-type: none"> <i>We will review performance indicators to ensure they reflect the primary services provided by the Policy & Projects Team</i>
<ul style="list-style-type: none"> <i>We will continue to ensure that staff are effectively briefed on new legislation and given adequate training in new practices and procedures (ongoing)</i>
<ul style="list-style-type: none"> <i>We will continue to support to staff to ensure that they meet their Continuing Professional Development requirements (ongoing)</i>
<ul style="list-style-type: none"> <i>We will consider if staff skills and development can be broadened by giving policy planning and development management staff direct experience in each other's teams, either through staff rotation, job shadowing or specific initiatives such as joint policy development</i>
<ul style="list-style-type: none"> <i>We will undertake regular monitoring of the planning service's web pages and on-line planning service to ensure they remain up-to-date, relevant, accessible and usable by the customers of our service (ongoing)</i>
<ul style="list-style-type: none"> <i>We will seek to reduce the average time taken to decide all major development type applications.</i>
<ul style="list-style-type: none"> <i>We will continue to determine more than 90% of all householder development type applications in less than 2 months.</i>
<ul style="list-style-type: none"> <i>We will seek to improve our rate of determination of non-householder local development type applications to at least 70%.</i>
<ul style="list-style-type: none"> <i>We will seek to improve our rate of determination of local and business and industry development type applications to over 80%.</i>

PLANNING PERFORMANCE FRAMEWORK OFFICIAL STATISTICS

Decision-making timescales 2011-12

Category	Total number of decisions	Proportion of Decisions	Average timescale (weeks)
Major developments	14		94.5
Local developments (non-householder)	329		20.9
<ul style="list-style-type: none"> Local: less than 2 months Local: more than 2 months 	204 125	62.0% 38.0%	7.1 43.5
Householder developments	539		9.6
<ul style="list-style-type: none"> Local: less than 2 months Local: more than 2 months 	499 40	92.6% 7.4%	7.5 36.0
Housing developments			
Major	3		59.0
Local housing developments	82		36.8
<ul style="list-style-type: none"> Local: less than 2 months Local: more than 2 months 	32 50	39.0% 61.0%	7.5 55.5
Business and industry			
Major	3		27.1
Local business and industry	32		9.1
<ul style="list-style-type: none"> Local: less than 2 months Local: more than 2 months 	25 7	78.1% 21.9%	6.9 17.0
EIA developments	2 major 1 local		
Other consents*	207		
Planning/legal agreements**	31		
Local reviews	12		

* Consents and certificates: Listed buildings and Conservation area consents, Control of Advertisement consents, Hazardous Substances consents, Established Use Certificates, certificates of lawfulness of existing use or development, notification on overhead electricity lines, notifications and directions under GPDO Parts 6 & 7 relating to agricultural and forestry development and applications for prior approval by Coal Authority or licensed operator under classes 60 & 62 of the GPDO.

** Legal obligations associated with a planning permission; concluded under section 75 of the Town and Country Planning (Scotland) Act 1997 or section 69 of the Local Government (Scotland) Act 1973

Decision-making: local reviews and appeals 2011-12

Type	Total number of decisions	Original decision upheld			
		No.	%		
Local reviews	12	2	16.7		
Appeals to Scottish Ministers	13	2	15.4		

Enforcement activity

	2011-2012	
Cases taken up	248	
Cases resolved	163	
Notices served***	21	
Reports to Procurator Fiscal	0	
Prosecutions	0	

*** Enforcement notices; breach of condition notices; planning contravention notices; stop notices; temporary stop notices; fixed penalty notices, and Section 33 notices.

Commentary on Performance Statistics

Although in 2011-2012, 11 (78.6%) of the 14 major development type applications decided were granted the average timescale for decision making was high. This is a reflection of the complexity of consideration that goes into the determination of such applications, the extent of consultation required and the need for legal agreements.

East Lothian maintains a high standard of performance in the determination of householder applications, particularly in the circumstance of the number of these applications which propose development in a conservation area and alterations/extensions to listed buildings that is a consequence of there being within East Lothian 30 conservation areas and 2,700 listed buildings. The 2011-2012 performance of 92.6% of all householder applications determined in less than 2 months compares favourably with a 91.8% performance for the preceding period of 3 August 2009 to 31 March 2011.

The 2011-2012 performance of 62.0% of all non-householder local development type applications determined in less than 2 months compares more than favourably with a 56.6% performance for the preceding period of 3 August 2009 to 31 March 2011; demonstrating a significant improvement in performance.

Only 39.0% of local housing development type applications were decided in less than 2 months. However of the 82 applications decided as many as 21 of them (25.6%) required the conclusion of a legal agreement to secure required developer contributions mainly for education provision and the provision of affordable housing in accordance with the terms of the Council's affordable housing policy.

Whilst 91.4% of the local business and industry type applications were granted, demonstrating that delivering economic development in East Lothian is a priority, greater focus needs to be given to improving on the performance of 78.1% of the applications decided in less than 2 months. Nonetheless this 2011-2012 performance is a marked improvement on the comparable performance of 68.1% for the preceding period of 3 August 2009 to 31 March 2011.

These performances demonstrate that the planning service of East Lothian Council is open for business and is working to a culture of continuous improvement.

Our performance compares well with the Scottish average. In the performance period of 3 August to 31 March 2010 we decided 74.3% of all applications in less than 2 months compared with the Scottish average of 62.7%. In 2010-2011 our performance of 76.5% compares with the Scottish average of 66.5% and in 2011-2012 our performance was 75.2% in comparison with the Scottish average of 68.1%. In this an allowance should be made for the higher than average number of applications for listed building consent and conservation area consent that East Lothian Council has to decide. In 2011-2012 a total of 159 such applications were decided, being 29% of all non-householder development type applications decided. Of those 159 applications, 100 had to be statutorily notified to Historic Scotland before the decisions on them could be issued, involving a procedural 28 days notification period beyond the time at which the Council had concluded its appraisals of the applications. Mostly as a consequence of this only 62 (39.0%) of the 159 applications for listed building consent/conservation area consent were decided in less than 2 months.

Of the applications for other consents decided in 2011-2012 there was in comparison to the 39.0% of listed building consent/conservation area consent applications decided in less than 2 months, 87.8% of advertisement consent applications and 100% of other consents and certificate applications determined in less than 2 months.



***East Lothian Council
Department of Services for Communities
Housing & Environment***

REPORT TO: Policy and Performance Review Committee

MEETING DATE: 27 November 2012

BY: Executive Director (Support Services)

SUBJECT: Review of Annual Work Programme

7

1 PURPOSE

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

2 RECOMMENDATIONS

- 2.1 Committee is requested to note the Annual Work Programme (Appendix 1) and provide guidance on Policy Reviews or other additional reports to be included in the Work Programme (see paragraphs 3.5 and 3.7).

3 BACKGROUND

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

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

On-going regular items

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

Items that have met the topic selection criteria for policy review

Some items for inclusion in the work programme will have passed through the topic selection criteria outlined previously. Topics that are

identified as possible items for scrutiny through the selection criteria should be placed on to a reserve list to be periodically reviewed for priority and workload capacity.”

- 3.2 The updated Annual Work Programme (see Appendix 1) includes two columns. The first one shows Performance and Inspection Reports including quarterly Performance Indicators reports, quarterly reports on Customer Feedback and annual reports on Statutory Performance Indicators and Annual Performance. As the programme is updated it will include future inspection reports presented by Education Scotland, the Care Inspectorate and other inspection agencies. The second column shows Policy Reviews, Annual Reports and other reports requested by members.
- 3.3 As the Work Programme is developed and updated this column will include any policy or performance areas that are selected for review by the Committee and other reports requested by members arising from the business of the Committee.
- 3.4 The Annual Work Programme, which covers the period September 2012 to June 2013, has been updated to take account of reports that were requested by members at the last Committee meeting on 25 September 2012.
- 3.5 At the agenda setting meeting for the 25 September 2012 meeting of the Committee the Convener suggested a number of topics which could form the basis for reports from officials. These were:
 - Review of Development Control and Planning Performance
 - Review of internal and external transportation resources and their efficient use
 - Review of the effectiveness of Economic Development
 - Review of effectiveness of maintaining our own Roads Department
 - Are Community Wardens effectively organised?
- 3.6 The latter of these topics is the subject of a report to this Committee. The Committee's views are sought on if/ when the other topics should be included in the Annual Work Programme.
- 3.7 Housing repairs formed an item at the previous meeting of the Committee on the 25 September. The Committee agreed to receive a follow-up report on the subject. The views of the Committee are sought on when this report should be included in the Annual Work Programme.

4 POLICY IMPLICATIONS

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

5 EQUALITIES IMPACT ASSESSMENT

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

6 RESOURCE IMPLICATIONS

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

7 BACKGROUND PAPERS

- 7.1 Guide to Scrutiny and Review; approved by East Lothian Council, 26 October 2010

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DATE	13 th November 2012

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

Date	Performance Monitoring / Inspection Reports	Annual Reports / Reports requested by members
27 th Nov 2012	Performance lines of enquiry Q2 12/13 SPI Comparison Report Child and Adult Protection performance report Q1 12/13	Community Wardens Planning Performance Framework Audit Scotland Report: Managing Performance Are You Getting it Right? Work programme update
29 th Jan 2013	Child and Adult Protection performance report Q2 12/13	Review of Key Performance Indicators Work programme update
19 th Mar 2013	Performance lines of enquiry Q3 12/13	Work programme update
30 th Apr 2013	Customer Feedback – annual / six monthly report	Follow up to report on Roads Asset Management Annual Plan Work programme update
18 th Jun 2013	Performance lines of enquiry Q4 12/13 Child and Adult Protection performance report Q3 12/13	Service Plans Work programme update