

**REPORT TO:** Policy and Performance Review Committee

**MEETING DATE:** 24 September 2013

**BY:** Depute Chief Executive (Resources and People Services)

**SUBJECT:** Audit Scotland Housing Benefit and Council Tax Benefit Risk Assessment Report

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## **1 PURPOSE**

- 1.1 To advise PPRC Members about the Audit Scotland Housing Benefits and Council Tax Benefit Risk Assessment Report and the action plans produced by the East Lothian Benefits Service as a response.

## **2 RECOMMENDATIONS**

- 2.1 That the PPRC note and consider the content of the Audit Scotland Risk Assessment Report and the Benefit Unit's Action Plans.

## **3 BACKGROUND**

- 3.1 Under statutory duties relating to Best Value and Community Planning Audit Scotland have responsibility for conducting a Housing Benefit/Council Tax Benefit, (HB/CTB) risk assessment programme. During a rolling programme of engagement the assessment takes account of the performance of HB/CTB administrations across all 32 Scottish Local Authorities and identifies 'risks to achieving continuous improvement within the service'.
- 3.2 Whilst the HB/CTB risk assessment does not represent a full audit of the Benefits Service it serves to determine the extent that the Council's Benefits Service is meeting its obligations to achieve continuous improvement in all its activities and provides some assurance for the Secretary of State for Social Security in respect of HB/CTB administration.
- 3.3 Following an initial risk assessment report carried out on East Lothian Council's Benefits Service in April 2009 which identified 15 risks to

continuous improvement, the Council submitted an action plan to address the identified risks.

- 3.4 In preparation for the most recent Risk Assessment the Council submitted a self assessment in December 2012, updated action plans relating to the previous report along with supporting evidence.
- 3.5 Following the on-site phase of the Risk Assessment Audit Scotland produced its latest report in March 2013 which identifies that of the 15 risks previously identified 3 actions were fully completed, 7 actions were ongoing and 5 were still outstanding. The format of the risk assessment report covered following 5 themes:
  - Welfare Reform,
  - Business Planning,
  - Performance Reporting,
  - Meeting the needs of the user and the community
  - Delivering outcomes
- 3.6 During the 2013 assessment process Audit Scotland highlighted a further 12 risks to continuous improvement of which 6 were linked to those previously identified.
- 3.7 In response to the latest Risk Assessment Report the Council produced 2 further action plans in order to track the management of the identified risks to continuous improvement.
- 3.8 In addition to identifying risks to achieving continuous improvement the latest Audit Scotland report also noted some of the major changes that had taken place in the East Lothian Benefits HB/CTB administration and highlighted a number of areas where the Council had made a positive contribution to the delivery of the Service.
- 3.9 The latest report also highlighted the significant impact which Welfare Reform will have on local authorities and the services they provide. The report also acknowledged the actions that the Council had taken to prepare for the welfare changes.

#### **4 POLICY IMPLICATIONS**

- 4.1 None

#### **5 EQUALITIES IMPACT ASSESSMENT**

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

## **6 RESOURCE IMPLICATIONS**

- 6.1 Financial - None
- 6.2 Personnel - None
- 6.3 Other - None

## **7 BACKGROUND PAPERS**

- 7.1 East Lothian Council Audit of Housing and Council Tax Report, (dated March 2013)
- 7.2 Letter dated 3 April 2013 from Assistant Auditor General enclosing the Report
- 7.3 ELC Progress against previous HB/CTB Risk Assessment Action Plan, (dated April 2013)
- 7.4 ELC HB/CTB Risk Assessment Action Plan, (dated 3 May 2013)
- 7.5 Letter dated 15 May 2013 from Assistant Auditor General accepting the Council's proposed actions

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<b>DATE</b>	10 September 2013



# **East Lothian Council**

## **Audit of housing and council tax benefit**

### **Risk assessment report**



Prepared for East Lothian Council  
March 2013

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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# Introduction

1. This risk assessment was completed as part of Audit Scotland's housing benefit/council tax benefit (HB/CTB) risk assessment programme. It does not represent a full audit of East Lothian Council's benefits service.
2. The Local Government in Scotland Act 2003 introduced new statutory duties relating to Best Value and Community Planning. The key objective of the risk assessment is to determine the extent to which the benefits service is meeting its obligations to achieve continuous improvement in all its activities.
3. Specifically, the risk assessment considers the effectiveness of the benefits service in meeting the needs of the community and its customers, and delivering outcomes.
4. Information for this risk assessment was gathered from a range of sources including:
  - the self-assessment, supporting evidence, and updated action plan provided by the council
  - Department for Work and Pensions (DWP) indicators and other performance measures
  - scrutiny of internal and external audit reports
  - discussions with the appointed external auditor
  - discussions with senior officers in the council during our site visit in February 2013.

## Executive summary

5. A risk assessment was previously carried out on East Lothian Council's benefits service in March 2009 when Audit Scotland identified 15 risks to continuous improvement. These were reported to the Chief Executive in April 2009 and the council submitted an action plan in May 2009 to address these risks which Audit Scotland accepted as satisfactory, if fully implemented.
6. Since our previous visit in 2009, there have been significant changes within the benefits unit. In 2011, a review was carried out which resulted in processing tasks being split between the two main benefit processing teams, with the private sector team taking on responsibility for processing CTB claims for owner-occupiers, and the public sector team taking on the responsibility for overseeing the Haddington revenues reception customer service duties and the scanning and indexing of benefits mail.
7. In late 2011, the fraud team lost the services of its part-time administration officer and an experienced fraud investigator who had recently been dismissed on the grounds of capability. In addition, during 2012, the benefits unit lost three experienced benefits processors and, although approval has been granted to recruit replacement staff, at the time of our site visit in February 2013 only one of these officers had been replaced. However, a further round of



recruitment was about to commence, and the council had also agreed to provide the benefits unit with two additional benefits officers under Scottish Welfare funding.

8. Since our previous visit, the council has successfully completed two major IT projects with the introduction of a new benefits IT system in December 2009, and an electronic document and records management system (EDRMS) in October 2012. In August 2012, the benefits unit adopted a risk-based verification approach to processing new claims which has helped maintain claims processing performance during a difficult period when the unit has been under-resourced.
9. In December 2012, the council submitted a current self-assessment along with supporting evidence, and an updated action plan. Of the 15 risks identified, the council has made some progress:
  - 3 actions fully completed
  - 7 actions on-going
  - 5 actions outstanding.

Appendix A covers this in detail.

10. In completing, or partially completing, 10 of these risks, the council has made a positive contribution to the delivery of the benefits service. In particular, by:
  - continuing to deliver a good level of performance in 2012/13 in processing new claims at an average of 23 days, and maintaining an excellent level of performance in processing changes of circumstances at an average of six days
  - regularly reporting progress against the key aims and targets within the *Benefits Unit Plan 2012/13* to the Senior Management Team (SMT) and Council Management Team (CMT)
  - carrying out a customer satisfaction survey in March 2012, and receiving positive feedback on the quality of the service it provides
  - having a documented approach to carrying out daily post payment accuracy checks, and carrying out a calculation check on all cases where a payment is in excess of £1000
  - successfully implementing a new benefits IT system, and using this system to facilitate the recovery of benefits overpayments from ongoing deductions in respect of council tenants which had not been previously possible
  - utilising local IT systems to help facilitate the recovery of benefits overpayments, and routinely monitoring the recovery of administrative penalties
  - having 100% of cases that were referred for consideration of a prosecution accepted by the Procurator Fiscal, and being a top performer in respect of the number of joint sanctions carried out with the DWP's Fraud Investigation Service (FIS) in 2011/12.
11. Although the council demonstrates awareness of what constitutes an effective, efficient and secure benefits service, there are five risks outstanding and seven risks where action is ongoing from our previous risk assessment. In order to ensure continuous improvement, the council needs to address these risks, and the new risks identified. These include:

- setting targets and formally reporting performance against all aspects of the benefits service to senior management and members
- re-commencing the Capita management checks that ceased in June 2012 to provide the council with assurance that benefit payments are accurate, safeguarded, and that the risk of fraud and error entering the system is reduced
- reviewing the benefits overpayment recovery process with a view to introducing more detailed analysis of the outcomes to help identify trends and patterns that could help develop and improve the service
- reconciling the £394,000 of outstanding overpayments that are unaccounted for on the council's reported data
- having sanctions decisions made by a senior officer not involved in the investigation process to ensure that sanctions are administered in compliance with guidance, and that customers are treated fairly and equitably.

## Welfare Reform

12. In November 2010, the UK Government published a White Paper Universal Credit: welfare that works which set out proposals for reforming the welfare system for people of working age. The Welfare Reform Act received Royal Assent on 8 March 2012 and aims to simplify the benefits system. A range of working-age benefits, including housing benefit, will be brought together into a single streamlined payment of universal credit (UC) administered by DWP. The first applications for UC will be made in October 2013.
13. DWP sent a letter to each local authority Chief Executive in March 2012 entitled Planning for Welfare Reform from April 2013 which sets out key elements of the welfare reform. These include councils:
  - providing face to face support for those customers who will need help to access the on-line universal credit system
  - applying, in appropriate cases, a household benefit cap from April 2013
  - applying a social sector size criteria where there will be a reduction in the applicable maximum rent when a property is deemed to be under occupied
  - overseeing an increased discretionary housing payment budget in light of the planned changes.
14. This is the biggest change to the welfare system for over 60 years and will have a significant impact on local authorities and the services they provide. Effective planning is essential to meet the challenge of this large scale change. Factors that councils need to take into account include:
  - the cessation of new claims for housing benefit from October 2013 followed by a phased transfer of all housing benefit claims to UC by 2017

- the implementation of the Scottish Council Tax Reduction Scheme, and the administration of the Scottish Welfare Fund from April 2013
  - the likely increased liaison and face to face contact with customers and stakeholders in light of the many changes welfare reform will bring
  - the Single Fraud Investigation Service (SFIS) which will see local authority fraud staff operating under SFIS policies
  - the payment for housing support under UC being paid to the customer and not directly to the landlord.
15. Since the government's emergency budget of 2010, the council has been very proactive in its efforts to ensure that it is prepared for the changes arising from the implementation of the welfare reform agenda. This has included presenting a series of detailed reports to full Council, Cabinet members and members of the Audit and Governance Committee which outlined the impact that the welfare reform changes would have on the council, its customers, and the local economy.
16. In addition, the council has carried out a number of other initiatives to ensure that it communicates the welfare reform changes to its key external stakeholders and the wider community. This included:
- holding a welfare reform stakeholder event which was attended by over 120 people, including representatives from the Citizens Advice Bureau, local housing associations, the DWP, and local tenants groups.
  - interrogating the benefits IT system to identify customers that will be affected by the changes in respect of under-occupancy, and carrying out visits to those customers to provide advice and guidance on the options available to them
  - utilising local press and media, and making excellent use of the council website and the internet to communicate the welfare reform changes to its customers.
17. The council has also established a Welfare Reform Changes Group chaired by the Corporate Policy and Improvement Manager, and consisting of officers from across a number of council services, for example, revenues and benefits, welfare rights, corporate communications, education, and customer services. This group meets regularly and has a remit to identify cross cutting issues and present options for changes to CMT and members. In addition, four sub-groups have been established and tasked with looking at specific work streams as follows:
- Information and communication
  - Data sharing
  - Training
  - Service migration.
18. At the time of our site visit, the group had developed a draft Welfare Reform Strategy based on the Improvement Service's 'Local Authority Preparatory Checklist' and we were told that once this strategy is approved, it will form the basis of an action plan to drive the required service changes.

Risk to continuous improvement	
1	The use of benefits unit staff to work on the implementation of the welfare reform agenda, or any slippage in the council's Welfare Reform action plan targets, could have a detrimental effect on claims processing performance.

# Business planning

19. An effective business plan provides an opportunity for the council to set out the aims and objectives for each service and should contain key deliverables against which performance can be measured, monitored and reported.
20. The benefits unit is responsible for providing an HB/CTB service to the residents of East Lothian. As part of this service the unit also undertakes fraud investigations and pursues the recovery of benefits overpayments. It also works closely with key internal stakeholders to meet a shared objective of providing and sustaining affordable housing within the council area.
21. The council has a formal business planning process which commences in February and concludes in June each year. We were told that individual service business plans follow a corporate template, and that there is limited scope to produce a business plan outside the structure of the template.
22. The *Benefits Unit Plan 2012/13* sets out the key priorities and challenges for the unit and details its two key performance indicators which are to maintain or improve new claims and changes of circumstances processing performance. The key priorities include:
  - the introduction of risk-based verification for new claims
  - maintaining or improving new claims and changes of circumstances performance
  - preparing for the changes arising from welfare reform, and for the introduction of universal credit.
23. There are clear links between the *Benefits Unit Plan 2012/13* and the council's other key strategic documents, most notably the *Single Outcome Agreement (SOA)* which has two outcomes that link directly to the work of the benefits unit. These are:
  - fewer people experience poverty in East Lothian (SOA6)
  - in East Lothian people in housing need to have access to an appropriate type, tenure and standard of housing and are prevented from becoming homeless (SOA10).
24. Audit Scotland identified two risks to continuous improvement during the previous risk assessment in that:
  - although the business plan details the key activities to be carried out in order to achieve targets, there is no audit trail to demonstrate the systematic monitoring of progress throughout the year

- pre-implementation planning for the new IT system will be included in the *Benefits Unit Plan 2009/10*. However given the size of the task, more detailed planning is required breaking down the critical activities that must be carried out prior to the key milestone dates in the current IT implementation project plan.
25. We consider that both of these risks have been addressed, as the new benefits IT system has been successfully implemented, and the Benefits Manager regularly reports progress against the *Benefits Unit Plan 2012/13* at the monthly CMT and quarterly SMT meetings.

Risk to continuous improvement	
2	Although it is acknowledged that the council has a business plan for the benefits unit, there are only two targets that relate to the work of the unit. In addition, there is no counter-fraud business plan setting out the aims, objectives, targets, monitoring and reporting arrangements for the work of the fraud team. We therefore consider that there is limited assurance that the benefits unit is being actively monitored against all aspects of its work and that, when appropriate, performance is being challenged by senior management and members.

## Performance reporting

26. The regular reporting of performance to senior management and members is an essential component of service delivery and provides senior managers and members an opportunity to:
- challenge an under-performing service
  - recognise and give credit to the service when performance meets or exceeds expectations
  - gain assurance that a service is operating effectively, efficiently and economically.
27. The council uses an online corporate performance management system to record the performance of the benefits unit. This system is populated directly with performance information from the DWP's monthly single housing benefit extract taken from the benefits IT system, and we were told that it is available to view by staff in the Policy and Performance Unit, senior management, and members.
28. Although the performance management system holds detailed benefits performance information, it is mainly used by the Benefits Manager to monitor new claims and changes of circumstances performance, which are the two key indicators in the *Benefits Unit Business Plan 2012/13*. We were told that new claims and changes of circumstances performance is regularly reported to staff at team meetings, and formally reported monthly to CMT and quarterly to SMT.
29. Despite the council having the facility to set targets for all aspects of its work, and a mechanism to record, monitor and report against these targets, the lack of a suite of

performance indicators means that there is limited information available for senior management or members to which to challenge the service.

30. We were told that in the last twelve months the Policy Performance and Review Committee, which provides the framework for members to monitor and challenge council services, has challenged the Benefits Manager on the council's cost per case, and on the priority for recovering rent arrears against benefits overpayments. However, members have not challenged the benefits unit in respect of the percentage of in-year overpayments recovered, or the accuracy of claims, despite performance in both areas being below local targets since 2010/11.
31. Audit Scotland identified one risk to continuous improvement during the previous risk assessment in that performance targets had not been set, and performance had not been monitored within the benefits unit for appeals, reconsiderations, overpayments recovery and intervention activity.
32. We consider that this risk is ongoing as, although the council has some targets in place for the recovery of overpayments, these are not being routinely monitored or reported to senior management and members, and there are no formal targets for other areas of the business.

Risk to continuous improvement	
3	As there is limited reporting of the benefits unit's performance, senior management and members are not provided with regular opportunities to challenge performance that does not meet local targets.

## Meeting the needs of the user and the community

33. Encouraging benefit take-up, providing customers with easy access to skilled and knowledgeable staff, taking account of the needs of the local community, and managing customers' expectations when things go wrong are essential components of an effective and efficient benefits service.
34. The council aims to provide the best possible service to its customers as set out in its *Customer Care Charter* which outlines its commitment to meeting this aim, and to delivering continuous improvement in service delivery. The charter also details the council's customer service performance targets. These include:
  - answering telephone calls within seven rings
  - resolving written enquiries within 20 days
  - acknowledging written and email correspondence within 20 days.

35. There is good access to the benefits unit at the council's main offices in Haddington, and customers can submit an application for HB/CTB at any of the council's area offices and local libraries. Customer service staff at area offices have been trained to provide customers with general benefits advice and guidance, and a weekly benefits surgery is held at the Musselburgh area office which is attended by benefits unit staff.
36. The council website provides customers with quick access to comprehensive benefits information, including an electronic HB/CTB application form that can be downloaded for offline completion, and an online benefit calculator which can be used to determine the amount of benefit a customer could be entitled to before submitting an application.
37. The council told us that it has good working relationships with its key internal and external stakeholders. This includes:
  - holding quarterly meetings with its main housing associations
  - participating in the housing-led private landlord forums
  - attending six-monthly meetings with the Dundee Pensions Service
  - working closely with revenues and community housing to ensure council tenants receive their benefit.
38. In March 2012, the benefits unit conducted a customer survey by sending a questionnaire to 820 customers. Of these approximately 280 questionnaires (34%) were returned and subsequent analysis provided the benefits unit with positive feedback on its customer service provision. For example:
  - 85% of respondents rated the benefits unit administration as good or very good
  - 88% of respondents were satisfied, or very satisfied, at how quickly and fairly the benefits unit handled their claim or enquiry
  - 84% of respondents agreed or strongly agreed that benefits unit staff were knowledgeable and able to answer their query.
39. Audit Scotland identified two risks to continuous improvement during the previous risk assessment in that:
  - the benefits unit's performance against corporate customer service standards was not being monitored
  - there were no routine consultations with customers and the wider community on the level and type of service they need.
40. Although it is acknowledged that the benefits unit has engaged with its customers, the survey questions were focused on the general experience of the customer in dealing with the service. In order to get more meaningful feedback on the quality of service provided, the council should consider conducting a benefits-specific customer survey.
41. We were told that there is limited telephony data available to monitor the benefits unit's performance in answering calls within seven rings. In addition, although there is an automated process for acknowledging e-mail enquiries, as a consequence of the volume and

complexity of mail handled by the benefits unit, it does not have sufficient resources to monitor performance against the key correspondence performance indicators. We therefore consider that action to address these risks is ongoing.

Risks to continuous improvement	
4	The council has not met the target to respond to 100% of complaints within 20 days since 2010/11, and was unable to provide data for 2012/13 due to a problem with the customer relationship management system.
5	Although the council has good relations with key external stakeholders, it has not been in regular contact with its local benefits delivery centre at Bathgate. This has led to a breakdown in communication and delays when requesting information in respect of DWP clerical claims which could have a detrimental affect on claims processing times.

## Delivering outcomes

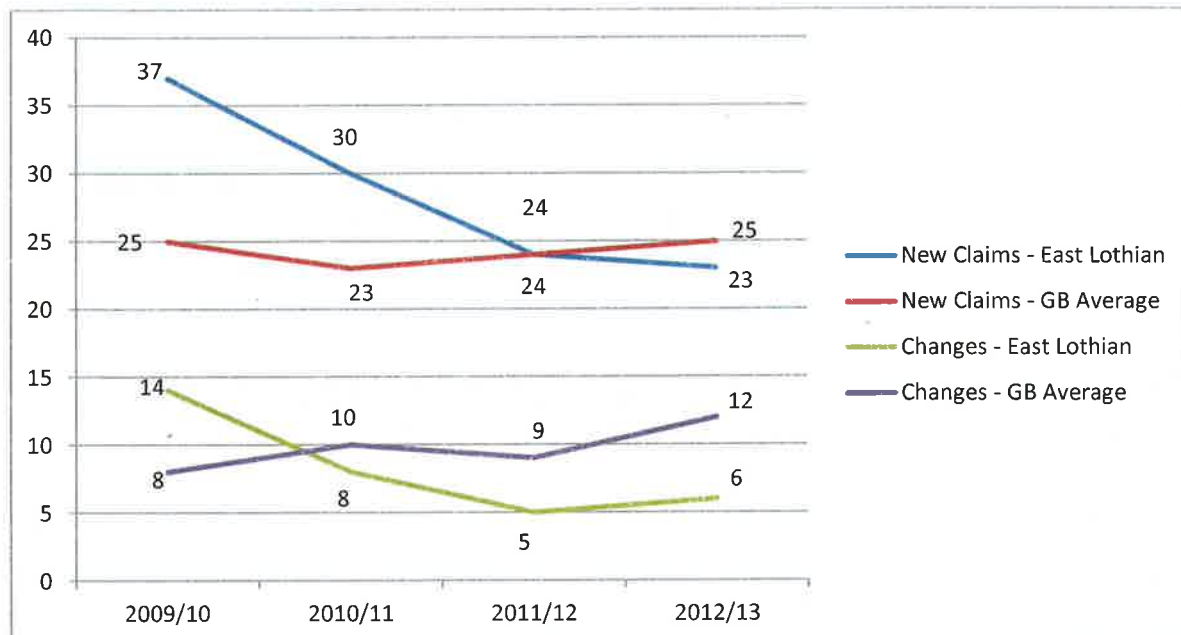
42. Effective operational processes and IT systems, along with skilled staff help benefit services deliver sound performance and continuous improvement.

### Speed of processing

43. When customers claim benefits, it is a time of financial uncertainty for them and, as such, it is essential that the service has sufficient fully trained and effective benefit processors in place that can make informed decisions on complex benefit claims and pay benefits promptly.
44. In 2009/10, the council processed new claims and changes of circumstances in an average of 37 days and 14 days respectively. In 2010/11, challenging targets were set for processing new claims and changes of circumstances in an average of 26 days and eight days respectively. While the council did not meet its new claims target, it delivered continuous improvement by processing new claims in an average of 30 days and changes of circumstances in an average of eight days.
45. In 2011/12 the council continued to deliver continuous improvement by processing new claims in an average of 24 days and changes of circumstances in an average of five days. Based on the DWP's published figures for 2011/12, this level of performance placed the council 16th out of 32 Scottish councils for new claims, and 3rd for changes of circumstances.
46. In 2012/13 the council has continued to deliver a good level of performance in the time to process new claims at an average of 23 days, and has maintained an excellent performance in the time taken to process change of circumstances at an average of six days, at 31 December 2012.



47. Exhibit 1 illustrates the council's current and historic performance. We have compared the council's most recent performance at 31 December 2012, against the Great Britain averages at 30 September 2012, which is the most recently published DWP data available.



Source: DWP and East Lothian Council

48. Although the improvement in the time taken to process new claims could be attributable to the implementation in August 2012 of a risk-based verification approach to gathering evidence, it is nonetheless commendable in the current economic climate, and during a period when the benefits unit lost three experienced processors, that the council has continued to deliver a good level of performance.

## Accuracy

49. The accurate and secure administration of HB/CTB should be a key priority for every council, and to support this it should have a robust quality assurance framework in place.
50. The council has a clear management checking process in place which consists of a pre-payment calculation check where a payment is in excess of £1,000, and a daily Capita post payment accuracy of eight cases randomly selected from a benefits IT system report.
51. The daily Capita post payment checks are carried out by senior officers within the benefits unit and are full case checks which are documented on a comprehensive management check sheet on the benefits IT system which provides a clear audit trail of action taken. Where errors are found the claim is passed back to the processor for corrective action and once completed, the benefits training and development officer carries out a 10% check of these cases to ensure that the correct action has been taken.

52. The benefits training and development officer carries out additional management checks as part of the benefits unit's management checking regime. These include:
- a 5% check of non-automated ATLAS decisions to establish the quality and accuracy of the changes actioned
  - a 100% check of the work new staff, and staff who are under-performing. We were also told that this check is also carried out in respect of the work of high-performing staff to provide assurance over the quality of the work being carried out.
53. Although the outcomes from the Capita post payment checks are recorded on an electronic spreadsheet, only limited information is recorded, for example, whether the error has resulted in a financial or non-financial change to the claim.
54. Exhibit 2 below details the council's reported post payment accuracy performance.

<b>Exhibit 2: Reported post-payment accuracy performance</b>		
<b>Year</b>	<b>Target</b>	<b>Achieved</b>
2010/11	97%	96%
2011/12	97%	95%
2012/13 (31 Dec)	97%	96%

Source: East Lothian Council

55. When we analysed the council's post-payment accuracy data provided as part of the evidence to support its self-assessment, we were unable to reconcile it against the information reported on the performance matrix completed by the council as part of the self-assessment process. Exhibit 3 below details the council's post-payment accuracy performance based on Audit Scotland's analysis.

<b>Exhibit 3: Post-payment accuracy performance (Audit Scotland)</b>		
<b>Year</b>	<b>Target</b>	<b>Achieved</b>
2010/11	97%	92%
2011/12	97%	90%
2012/13 (31 Dec)	97%	88%

Source: East Lothian Council & Audit Scotland

56. We consider that the reason for this anomaly is that the council had included the results of its high-value payment accuracy checks, which are carried out before the payment is made, as part of its reported post-payment accuracy performance.
57. Audit Scotland identified two risks to continuous improvement during the previous risk assessment in that:

- the council has no documented policy or guidance covering pre-notification checks and, as a result, the sample population and the method of selection are unclear. As an example in the quarter ending December 2008, 348 cases were selected for checking but only 197 had actually been checked. It is unclear what happened to the remaining 151 cases. While the number checked exceeded the quarterly target, the methodology gives limited assurance that the quality checking regime is effective and secure
  - the majority of checks are carried out after benefit notifications and indeed payments have been issued. Consequently the council's ability to prevent fraud and error entering the system, and reduce the numbers and amounts of any resultant overpayments is decreased.
58. As the council now has a documented procedure for its Capita post-payment checks, we consider that this risk has been addressed. However, although the majority of accuracy checks continue to be carried out post-payment, we accept that there is an element of pre-payment checking being carried out in respect of payments in excess of £1,000 and therefore we consider that work to address this risk remains ongoing.

Risks to continuous improvement	
6	Due to the limitations of the benefits IT system, the council is unable to carry out any pre-payment accuracy checks. In addition, there has been no Capita post-payment checks carried out since June 2012, and therefore there is an increased risk of fraud and error entering the system unchecked.
7	At the time of the on-site visit Audit Scotland was unable to reconcile the accuracy performance reported on the Audit Scotland performance matrix with the accuracy information provided by the council in support of its self-assessment.
8	Although outcomes from management checks are recorded on a spreadsheet, it is not to the level of detail that could help the council identify trends, patterns and areas for learning and development of the service.

## Interventions

59. To minimise error in the caseload, councils must encourage customers to report changes of circumstances on time and have a robust intervention programme to identify changes and take appropriate corrective action.
60. The benefits unit's notification letters advise customers of the requirement to report any change in circumstances, and the council website contains detailed information and examples of the types of changes of circumstances that should be reported, including a facility for customers to download a changes of circumstances form.
61. Although the council told us that, as a consequence of losing three benefits processors in 2012, it had reduced its proactive intervention activity to focus on ensuring that claims processing times were maintained, some proactive interventions work has been carried out.

62. During the period April 2012 to December 2012, the council carried out 132 proactive interventions either by visit, telephone, or by post. In addition, the council told us that it reviews self-employed cases on a six monthly basis to help identify any un-reported changes of circumstances.
63. However, we were told that the outcomes from interventions activity are not fully recorded, and therefore there is limited information which could help the council determine the effectiveness of its approach, or identify areas for learning and development of the service.
64. Audit Scotland identified one risk to continuous improvement during the previous risk assessment in that the council did not have effective processes in place to routinely gather and analyse information on the effectiveness of its risk criteria to ensure its activity is efficiently targeted.
65. The council's recently introduced risk-based verification approach for new claims has provided an opportunity to identify high-risk claims for further scrutiny. While we acknowledge that this approach helps the council to focus its activity on these high-risk cases, we consider that work to address this risk remains ongoing as there is insufficient information on the outcomes of its activity to ensure that it is effective.

## Overpayments

66. To protect public funds, councils should take appropriate steps to ensure that overpayments are minimised and, when they do occur, they are correctly classified and rigorously recovered.
67. The *HB/CTB Overpayments Recovery Policy* details the council's aim to ensure that customers that have been overpaid are treated fairly, while maintaining its responsibility to the local taxpayer. The policy also sets out the council's approach to the management of overpayments and provides guidance to staff on:
  - whether an overpayment is recoverable
  - who the overpayment should be recovered from
  - methods of recovery
  - recovery rates.
68. During our previous visit in 2009, the council was unable to recover overpayments from ongoing benefit in respect of council tenants as the legacy IT systems did not support this functionality. However, the council implemented a new benefits IT system in December 2009, and since then, this option has been available to, and fully utilised by the benefits unit.
69. We were told that benefits processors are responsible for ensuring that overpayments are recovered by ongoing deductions where appropriate and, where a customer is no longer in receipt of benefit, that a dedicated overpayments recovery officer is responsible for monitoring invoices that have been issued. To help facilitate the recovery of overpayments, the overpayments officer utilises the DWP's Customer Information System and other commercial IT systems to trace customers who are no longer claiming benefit in the local authority area.

70. Additionally, at the time of the on-site visit, the benefits unit had recently entered into an arrangement with the council's external debt recovery partner to seek recovery of old benefits debt on its behalf, and planned to setup a small claims court process to provide further options to recover outstanding overpayments.
71. Exhibit 4 illustrates the council's reported current and historic performance.

<b>Exhibit 4: Overpayment levels and recovery performance</b>				
<b>Performance measure</b>	<b>2009/10</b>	<b>2010/11</b>	<b>2011/12</b>	<b>2012/13 (31 Dec)</b>
Value of overpayments carried forward	£1,333,000	£1,467,448	£1,979,404	£1,772,398
HB debt raised in-year	£598,229	£945,322	£666,939	£523,192
Total debt	£1,931,229	£2,412,770	£2,646,343	£2,295,590
HB debt recovered in-year	£301,998	£344,733	£340,536	£356,649
% recovered of total HB debt	16%	14%	12%	16%
% recovered of in-year debt	50%	36%	51%	68%

Source: East Lothian Council

72. When we scrutinised the performance information the council provided to Audit Scotland as part of its self-assessment, we were unable to reconcile the figures. Based on Audit Scotland's analysis, the value of overpayments outstanding at the beginning of 2012/13 council was £2,166,719 and not the reported £1,772,398. This represents a difference of £393,881.
73. Audit Scotland identified four risks to continuous improvement during the previous risk assessment in that:
- there is no audit trail detailing the number of overpayment decisions checked or the number and type of errors found
  - there is no routine analysis of overpayments raised to identify any necessary changes or additions to processes, procedures or training that could improve accuracy and minimise official and claimant error overpayments
  - the council reports that the service it receives from DWP's Debt Management has declined since the office providing the service for East Lothian Council has changed. The council needs to invoke the escalation procedures within the Service Level Agreement to ensure it is receiving an effective level of service.

- despite a commitment in its Overpayment Policy, the council does not routinely monitor the recovery of fraud overpayments and administrative penalties to ensure they are rigorously recovered and that benefit fraud is deterred.
74. As we were told that the overpayments officer monitors the recovery of administrative penalties, we consider that the risk to monitor the recovery of fraud overpayments and administrative penalties has been met in part, and is therefore ongoing. However, we consider that the remaining three risks are outstanding.

Risks to continuous improvement	
9	At the time of our site visit, the overpayments data provided to Audit Scotland as part of the council's self assessment submission was inaccurate. Based on our analysis, there is approximately £394,000 of additional debt that is unaccounted for.
10	The council has not met its in-year overpayments recovery targets since 2008/09. In addition, fraud overpayments and administrative penalties are not prioritised for recovery.
11	Due to the limitation of the council's debt recovery system there is only limited analysis of overpayments data.

## Appeals and Reconsiderations

75. Customers who disagree with the council's decision on the manner in which their benefit application is processed have a right to request the claim to be reconsidered, and to appeal against the decision.
76. The council told us that reconsiderations received by the benefits unit are dealt with by senior benefit officers or team leaders, and are given a high priority within the EDRMS. We were also told that, to ensure an independent review of the claim is carried out, the officer dealing with the reconsideration is not the person that processed the claim.
77. Historically the council has received very few appeals, and between 2008/09 and 31 December 2012, only five appeals were submitted to the Tribunals Service. The council told us that it considered the reasons that few appeals were received was customers' high degree of satisfaction with the HB/CTB decisions being made by the benefits unit, and the changes to DWP regulations which have reduced the scope for customers submitting an appeal. For example, in 2008, the maximum time a council could backdate benefit was reduced from twelve months to six months for working age claimants, and from twelve months to three months for claimants of a pensionable age.
78. However, when we scrutinised the council's reconsiderations data for 2011/12 and 2012/13 (to 22 Jan 2013), we found an exceptionally high number of reconsiderations were revised in favour of the customer. Without detailed analysis it cannot be established why the council's

original decision was revised in each case, however, it could be considered a reason for the low number of subsequent formal appeals. Exhibit 5 details our findings.

<b>Exhibit 5: Requests for reconsideration outcomes</b>			
<b>Year</b>	<b>No. Received</b>	<b>No. Revised</b>	<b>No. Unchanged</b>
2011/12	90	70 (78%)	20 (22%)
2012/13 (to 22 Jan)	68	54 (79%)	14 (21%)

Source: East Lothian Council & Audit Scotland

79. Audit Scotland identified two risks to continuous improvement during the previous risk assessment in that:
- the council does not monitor the progress of reconsiderations or appeals and as a result it does not measure the level of service it delivers to its customers making such requests
  - there is no routine analysis of reasons for reconsiderations and appeals with a view to informing training, processes or procedures to deliver continuous improvement.
80. We consider that both of these risks remain outstanding.

<b>Risk to continuous improvement</b>	
12	A significantly high percentage of requests for reconsideration received by the council in 2011/12 and 2012/13, to 31 December 2012, were revised in favour of the customer.

## Counter-fraud

81. The prevention, detection and investigation of fraudulent claims are important aspects of a secure and effective benefits service. Counter-fraud activities help to protect public funds by ensuring that fraudulent claims are identified and sanctions are applied where appropriate.
82. Since our previous visit, and as detailed under *Business Planning*, there have been significant changes within the counter-fraud team. In late 2011, the fraud team lost the services of its part-time administration officer and an experienced fraud investigator who had recently been dismissed on the grounds of capability.
83. Operationally, fraud staff have been trained to Professionalism in Security (PINS) standards, and make good use of a fraud case management system to record the receipt of fraud referrals and monitor the progression of investigations. When a referral is initially received, it is scored using a risk scoring matrix and, when a referral meets or exceeds the minimum acceptable risk score, it is accepted for investigation and logged onto the fraud case management system.

84. The fraud team has excellent working relationships with its key stakeholders. In particular, there is a close working relationship with the Police and the DWP's FIS who have an investigation officer based at the council two days per week to work on joint investigations and other initiatives.
85. The success of this arrangement can be demonstrated by the number of joint sanctions the council has carried out in association with FIS. In 2011/12, of the 23 councils that provided joint prosecution data, the council carried out approximately 4.8 joint sanctions per 1,000 caseload. This level of performance showed the council to be the leading authority in Scotland in respect of joint sanctions carried out. This is commendable.
86. When a sanction has been administered, there is a clear decision-making process in place which is fully documented in the council's *Prosecutions and Sanctions Policy*. The policy states that the Benefits Manager or a PINS qualified officer will administer a sanction when appropriate. All sanctions decisions are recorded on the fraud case management system to ensure a full audit trail.
87. Exhibit 6 illustrates the council's current and historic performance.

<b>Exhibit 6: Benefit fraud sanctions performance</b>			
<b>Sanction type</b>	<b>2009/10</b>	<b>2010/11</b>	<b>2011/12</b>
<b>Administrative Cautions</b>	13	15	15
<b>Administrative Penalties</b>	15	14	9
<b>Referred for prosecution</b>	25	19	26
<b>Total</b>	53	48	50

Source: East Lothian Council

88. Since 2008/09, the council has submitted 91 cases for consideration of a prosecution to the Procurator Fiscal, and all were accepted. This is highly commendable and testament to the quality of the investigative work, and the preparation and completeness of prosecution files.
89. The council has also developed a good working relationship with the local press and media and successful prosecutions receive publicity in the local papers which helps to raise the profile of the fraud team, and act as a deterrent to potential fraudsters.
90. Audit Scotland identified one risk to continuous improvement during the previous risk assessment in that the council's HB/CTB Sanctions Policy stipulates that the decision to apply a sanction will be taken by the Investigations Team Leader and/or the Benefits Manager. However all decisions had been taken solely by the Investigations Team Leader. Consequently, assurance on impartiality and equality of treatment, when administrative cautions or penalties are administered, was reduced.



91. Although we acknowledge that the Benefits Manager discusses sanctions cases with the Investigations Team Leader, the majority of sanctions decisions continue to be made by the Investigations Team Leader. We consider that, to ensure that sanctions are administered in compliance with guidance, and that customers are treated fairly and equitably, sanctions decisions should be made by a senior officer not involved in the investigation process. We therefore consider that work to address this risk remains ongoing.

## Appendix A

Progress against action plan dated September 2012	
Risk identified	Status
The benefits service's performance against corporate customer service standards is not monitored.	Ongoing
There are no routine consultations with customers and the wider community on the level and type of service they need.	Ongoing
Although the business plans detail the key activities to be carried out in order to achieve targets, there is no audit trail to demonstrate the systematic monitoring of progress throughout the year.	Completed
Pre-implementation planning for the new IT system will be included in the Benefits Unit Plan 2009/10. However given the size of the task, more detailed planning is required breaking down the critical activities that must be carried out prior to the key milestone dates in the current IT implementation project plan.	Completed
The balanced scorecard presents a broad picture of the benefits service's performance to senior managers and members. However, performance in other areas is not given the same attention. Performance targets have not been set, and performance has not been monitored within the unit, for appeals, reconsiderations, overpayments recovery and intervention activity.	Ongoing
The majority of checks are carried out after benefit notifications and indeed payments have been issued. Consequently the council's ability to prevent fraud and error entering the system, and reduce the numbers and amounts of any resultant overpayments is decreased.	Ongoing
The council has no documented policy or guidance covering pre-notification checks and, as a result, the sample population and the method of selection are unclear. As an example in the quarter ending December 2008, 348 cases were selected for checking but only 197 had actually been checked. It is unclear what happened to the remaining 151 cases. While the number checked exceeded the	Completed

<b>Progress against action plan dated September 2012</b>	
quarterly target, the methodology gives limited assurance that the quality checking regime is effective and secure.	
The council does not have effective processes in place to routinely gather and analyse information on the effectiveness of its risk criteria to ensure its activity is efficiently targeted.	Ongoing
There is no audit trail detailing the number of overpayment decisions checked or the number and type of errors found.	Outstanding
There is no routine analysis of overpayments raised to identify any necessary changes or additions to processes, procedures or training that could improve accuracy and minimise official and claimant error overpayments.	Outstanding
The council reports that the service it receives from DWP's Debt Management has declined since the office providing the service for East Lothian Council has changed. The council needs to invoke the escalation procedures within the Service Level Agreement to ensure it is receiving an effective level of service.	Outstanding
Despite a commitment in its Overpayment Policy, the council does not routinely monitor the recovery of fraud overpayments and administrative penalties to ensure they are rigorously recovered and that benefit fraud is deterred.	Ongoing
The council does not monitor the progress of reconsiderations or appeals and as a result it does not measure the level of service it delivers to its customers making such requests.	Outstanding
There is no routine analysis of reasons for reconsiderations and appeals with a view to informing training, processes or procedures to deliver continuous improvement.	Outstanding
The council's HB/CTB Sanctions Policy stipulates that the decision to apply a sanction will be taken by the Investigations Team Leader and/or the Benefits Manager. However all decisions have been taken by the Investigations Team Leader. Consequently, assurance on impartiality and equality of treatment, when administrative cautions or penalties are administered, is reduced.	Ongoing

## APPENDIX 7.2

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Ms Angela Leitch  
Chief Executive  
East Lothian Council  
John Muir House  
Brewery Park  
Haddington  
East Lothian  
EH41 3HA

3 April 2013

Dear Ms Leitch

### **Audit of housing and council tax benefit – outcome of risk assessment**

Further to my letter of 14 September 2012 advising that East Lothian Council had been selected for a benefits performance audit, I now write to advise you of our findings.

During the risk assessment phase, carried out in February 2013, we looked at your benefits service's self-assessment and supporting evidence, and analysed information from a number of other sources. We also spent one day on-site and discussed performance with your senior managers. Our work was focused on the following four key areas:

- business planning
- performance reporting
- meeting the needs of the user and community
- delivering outcomes.

The council demonstrates awareness of what constitutes an effective, efficient and secure benefits service. Since our last risk assessment, there have been significant changes within the benefits service. The service has successfully implemented two major IT projects with the introduction of a new benefits IT system and an electronic document and records management system.

The service has demonstrated continuous improvement in processing new claims and change of circumstances. In 2012/13 the service processed new claims in an average of 23 days and changes in an average of six days when the Great Britain averages were 25 days and 12 days respectively. The introduction of a risk-based verification approach to processing new claims has helped the service maintain claims processing performance during a period when the service was under resourced.

The service has also improved overpayment recovery processes although there is now a need to introduce more detailed analysis of outcomes to identify areas for further improvement.

The service has been successful in having all cases submitted to the Procurator Fiscal for consideration of a prosecution accepted. This is highly commendable. In addition, the fraud team has an excellent working relationship with the Department for Work and Pension's Fraud Investigation Service (FIS) and is the leading benefits service in Scotland in respect of joint sanctions carried out with FIS.

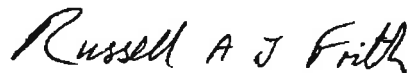
Further improvement is still required however with certain aspects of performance management, decision making processes for sanctions and management accuracy checking.

I attach our report and would welcome your response to it. I would be grateful for a response by Friday 3 May 2013 including your proposals to reduce the risks identified, so that we can determine whether any further engagement is appropriate.

I would like to take this opportunity to thank you and your benefits staff, in particular John Cunningham, for the well presented self-assessment and their co-operation and assistance throughout the risk assessment process.

If you have any questions or concerns, please contact Anne Cairns in the first instance on 0131 625 1926 or by email at [acairns@audit-scotland.gov.uk](mailto:acairns@audit-scotland.gov.uk).

Yours sincerely



**Russell Frith**  
**Assistant Auditor General**

**Encl.**

HB Audit Risk Assessment report

**Copied to:**  
John Cunningham, Benefits Manager

Appendix 7.3

ELC Progress against previous HB/CTB Risk Assessment Action Plan (As @ 24 September 2013)

Risk No	Description of Risk	Responsibilities	List of tasks to be carried out to remove risk	By when	Link to New Action Plan	Status as at 24 September 2013	Context
1	The benefits service's performance against corporate customer service standards is not monitored.	Benefit Manager/Customer Feedback Manager	Liaison between Benefits Unit & Customer Feedback Team to be reviewed and Feedback system issues to be addressed	30-Jun-13	<i>Linked to point 4 in May 2013 Action Plan</i>	Completed (31 August 2013)	Feedback statistical recording system problem addressed by 31 August 2013. Q1 Benefit responses within target.
2	There are no routine consultations with customers and the wider community on the level and type of service they need.	Benefit Manager	To repeat annual Benefits Unit Customer Survey, (using CIPFA Housing and Council Tax Benefit model survey)	30-Sep-13	N/A	Revised Completion date of 31st March 2014	Last Benefit Customer Survey done in 2012. Yet to carry out one in 2013. Questionnaire under development for issue by 31st March 2014.
3	Although the business plans detail the key activities to be carried out in order to achieve targets, there is no audit trail to demonstrate the systematic monitoring of progress	Benefit Manager	Completed	N/A	N/A	Completed	Completed
4	Pre-implementation planning for the new IT system will be included in the Benefits Unit Plan 2009/10. However given the size of the task, more detailed planning is required breaking down the critical activities that must be carried out prior to the key milestone dates	Benefit Manager	Completed	N/A	N/A	Completed	Completed
5	The balanced scorecard presents a broad picture of the benefits service's performance to senior managers and members. However, performance in other areas is not given the same attention. Performance targets have not been set, and performance has not been monitored within the unit, for appeals, reconsiderations, overpayments recovery and intervention activity	Benefits Manager/CMT/PPRC	CMT Monthly Updates to include Key Benefit Performance Measures.	31 May 2013 Monthly thereafter and when required by CMT & PPRC	<i>Linked to points 3 in new Action Plan</i>	Completed	CMT Update reports being submitted monthly. Aside from reporting significant positive & negative variances in performance measures these reports highlight Key Activities, Service Plan achievements/Progress, Ongoing Budget Position,Risks and Challenges as well as the Priorities for the coming month.
6	The majority of checks are carried out after benefit notifications and indeed payments have been issued. Consequently the council's ability to prevent fraud and error entering the system, and reduce the numbers and amounts of any resultant overpayments is decreased.	Benefit Manager/Benefit Team Leaders	Accuracy checking process to be re-introduced for 2013/14 claims processing work.	30th June 2013 (Revised date 30th November 2013)	<i>Linked to point 6 in new Action Plan</i>	Revised Completion date of 30th November 2013	Post payment accuracy checking re-introduced for cases actioned by staff under going training/monitoring. Wider accuracy checking process still to be re-instated after review is complete.
7	The council has no documented policy or guidance covering pre-notification checks and, as a result, the sample population and the method of selection are unclear. As an example in the quarter ending December 2008, 348 cases were selected for checking but only 197 had actually been checked. It is unclear what happened to the remaining 151 cases. While the number checked exceeded the quarterly target, the methodology gives limited assurance that the quality checking regime is effective and secure.	Benefits Manager/Benefit Team Leaders	Completed	N/A	Completed	Completed	Completed

8	The council does not have effective processes in place to routinely gather and analyse information on the effectiveness of its risk criteria to ensure its activity is efficiently	Benefit Manager/Benefit Performance Officer	RBV Policy in place since August 2012 and automated risk scoring facility implemented as part of Capita New Claims process. However reporting	30-Sep-13	N/A	Completed	Reports detailing High Risk Scoring cases now being dealt with by Fraud Investigation Team.
9	There is no audit trail detailing the number of overpayment decisions checked or the number and type of errors found.	Benefits Team Leaders/Training and Development Officer	Accuracy checking/recording process to be reviewed to include effective analysis & feedback loop	30th June 2013 (Revised date 30th November 2013)	Linked to point 8 in new Action Plan	Revised Completion date of 30th November 2013	Wider accuracy checking process still to be re-instated after review is complete. Completion date revised.
10	There is no routine analysis of overpayments raised to identify any necessary changes or additions to processes, procedures or training that could improve accuracy and minimise official and claimant error overpayments.	Benefits Team Leaders/Training and Development Officer	Accuracy checking/recording process to be reviewed to include effective analysis & feedback loop	30th June 2013 (Revised date 30th November 2013)	Linked to point 8 in new Action Plan	Revised Completion date of 30th November 2013	Wider accuracy checking process still to be re-instated after review is complete. Completion date revised.
11	The council reports that the service it receives from DWP's Debt Management has declined since the office providing the service for East Lothian Council has changed. The council needs to invoke the escalation procedures within the Service Level Agreement to ensure it is receiving an effective level of service.	Benefit Manager/Benefits Performance Officer	A further approach will be made to re-instate referral process between ELC and DWP Debt Management.	30 September 2013 (Revised date 31st March 2013)	N/A	Revised Completion date of 31st March 2014	Departure of previous DWP External Relationship Manager and priority of Welfare Reform issues has delayed completion of action. The Benefit Manager will now raise issue with recently appointed 'Employer and Partnership' Manager. Completion date revised.
12	Despite a commitment in its Overpayment Policy, the council does not routinely monitor the recovery of fraud overpayments and administrative penalties to ensure they are rigorously recovered and that benefit fraud is	Benefits Manager/Benefits Performance Officer	Review overpayment recovery targets set in Benefits Unit Business Plan 2013/14 and review overpayment process to allocate appropriate priority to the recovery of fraud overpayments	31-May-13	Linked to point 10 in new Action Plan	Completed	New overpayments targets set in 2013/14 Benefit Service Plan. Reports being produced to ensure that fraud overpayments are given appropriate priority.
13	The council does not monitor the progress of reconsiderations or appeals and as a result it does not measure the level of service it delivers to its customers making such requests.	Benefits Manager/Team Leaders	Review reconsiderations and appeals monitoring process to establish the potential for carrying out more detailed analysis of appeals/reconsideration requests	30th September 2013	Linked to point 12 in new Action Plan	Q2 Analysis will be completed W/C 30 September 2013	Analysis of reconsiderations requests in Q1 2013/14 carried out. Q2 figures still to be analysed.
14	There is no routine analysis of reasons for reconsiderations and appeals with a view to informing training, processes or procedures to deliver continuous improvement.	Benefits Manager/Team Leaders	Review reconsiderations and appeals monitoring process establish the potential for carrying out more detailed analysis to inform training, processes &	30st September 2013	Linked to point 12 in new Action Plan	Q2 Analysis will be completed W/C 30 September 2013	Analysis of reconsiderations requests in Q1 2013/14 carried out. Q2 figures still to be analysed.
15	The council's HB/CTB Sanctions Policy stipulates that the decision to apply a sanction will be taken by the Investigations Team Leader and/or the Benefits Manager. However all decisions have been taken by the Investigations Team Leader. Consequently, assurance on impartiality and equality of treatment, when administrative cautions or penalties are administered, is reduced.	Benefits Manager/Investigation Team Leader	Will undertake review of HB/CTB Prosecution and Sanctions Policy.	30-Sep-13	N/A	Due to complete by 30 September 2013	Benefits Manager & Investigation Team Leader continue to case conference decisions relating to sanctions as per HB/CTB Prosecutions & Sanctions Policy. The 2013 policy review due to be completed by 30th September 2013.

Appendix 7.4

ELC HB/CTB Risk Assessment Action Plan 24 September 2013

Risk No	Description of Risk	Action to be Taken	Responsibilities	List of tasks to be carried out to remove risk	By when	Link to Previous Action Plan	Status as at 24 September 2013	Context
1	The use of benefits unit staff to work on the implementation of the welfare reform agenda, or any slippage in the council's Welfare Reform action plan targets, could have a detrimental effect on claims processing performance.	ELC Welfare Reform Action Plan activities to be supported by Policy & Improvement resources	Corp' Policy & Improvement Manager/Benefit Manager	Welfare Reform Action Plan to be implemented	31-Jan-14  (subsequent actions subject to on-going planning)	N/A	Ongoing  Ongoing	Implementing the Welfare Reform Action Plan is currently the Benefits Unit's highest priority. In addition to managing the various welfare changes the Unit's staffing resource is being used to implement the SWF Service and to Integrate the CCFU Financial Assessment service. Inevitably these actions have had a detrimental impact on HB Processing. HB Processing performance will be balanced with other services being delivered by Unit
2	Although it is acknowledged that the council has a business plan for the benefits unit, there are only two targets that relate to the work of the unit. In addition, there is no counter-fraud business plan setting out the aims, objectives, targets, monitoring and reporting arrangements for the work of the fraud team. We therefore consider that there is limited assurance that the benefits unit is being actively monitored against all aspects of its work and that, when appropriate, performance is being challenged by senior management and members.	Benefits Unit Plan 2013/14 currently under development will include further targets relating to HB/CTR admin'.  In addition to this a separate business plan will be drafted to reflect the work of the Benefits Fraud Investigations Team. Both business plans will be available for the Council Management Team and Council Members to review, monitor and challenge.	Benefits Manager/CMT/PPRC	Benefits Unit Business Plan 2013/14 to be finalised & published  Benefits Investigation Team Plan 2013/14 to be finalised and Published	31 May 2013 (Signed off for publication on 4th July 2013).	N/A	Completed  Completed  Completed	Benefits 'Service' Plan drafted by 31st May 2013 and signed off for publication on 4th July 2013. The Revised plan contains an expanded range of performance indicators however separate Fraud Investigation 'Unit Level' Plan is being used to direct & monitor counter fraud performance .  Separate Counter Fraud 'Unit Plan' in Place as @ 31st May 2013  Separate Counter Fraud 'Unit Plan' in Place as @ 31st May 2013
3	As there is limited reporting of the benefits unit's performance, senior management and members are not provided with regular opportunities to challenge performance that does not meet local targets.	Monthly updates to the Council Management Team, (CMT) will include information relating to the Benefits Unit's performance against a selection of key targets. The Council's Policy and Performance Review Committee, (PPRC) will also have the opportunity to challenge	Benefits Manager/CMT/PPRC	CMT Monthly Updates to include Key Benefit Performance Measures.	31 May 2013 Monthly thereafter and when required by CMT & PPRC	Linked to point 5 'ongoing' from previous Action Plan	Completed	CMT Update reports being submitted monthly. Aside from reporting significant positive & negative variances in performance measures these reports highlight Key Activities, Service Plan achievements/Progress, Ongoing Budget Position,Risks and Challenged as well as the Priorities for the coming month.
4	The council has not met the target to respond to 100% of complaints within 20 days since 2010/11, and was unable to provide data for 2012/13 due to a problem with the customer relationship management system.	Feedback reporting arrangements to be reviewed and system issues to be addressed.	Benefit Manager/Customer Feedback Manager	Liaison between Benefits Unit & Customer Feedback Team to be reviewed and Feedback system issues to be	30-Jun-13	Linked to point 1 'ongoing' from previous Action Plan	Completed (31 August 2013)	Feedback statistical recording system problem addressed by 31 August 2013. Q1 Benefit responses within target.
5	Although the council has good relations with key external stakeholders, it has not been in regular contact with its local benefits delivery centre at Bathgate. This has led to a breakdown in communication and delays when requesting information in respect of DWP clerical claims which could have a detrimental effect on claims processing times.	The Benefits Unit Management Team will seek to re-instate effective liaison arrangements with the Bathgate DWP Benefits Delivery Centre, (BDC).	Benefit Manager/DWP External Relations Manager	Meeting to be arranged with (DWP External Relationship Manager) to discuss potential for re-instatement of regular, joint operational liaison meetings.	30th June 2013 (Revised date 31 March 2013)	N/A	Ongoing	Departure of previous DWP External Relationship Manager and priority of Welfare Reform issues has delayed completion of action. The Benefit Manager will now raise issue with recently appointed 'Employer and Partnership' Manager.

6	Due to the limitations of the benefits IT system, the council is unable to carry out any pre-payment accuracy checks. In addition, there has been no Capita post-payment checks carried out since June 2012, and therefore there is an increased risk of fraud and error entering the system unchecked.	The Benefits Unit Management Team to re-establish the Capita post-payment accuracy checking process.	Benefit Manager/Benefit Team Leaders	Accuracy checking process to be re-introduced for 2013/14 claims processing work.	30th June 2013 (Revised date 30th November 2013)	<i>Linked to point 6 'Ongoing' from previous Action Plan</i>	Ongoing	Post payment accuracy checking re-introduced for cases actioned by staff under going training/monitoring. Wider accuracy checking process still to be re-instated after review is complete.
7	At the time of the on-site visit Audit Scotland was unable to reconcile the accuracy performance reported on the Audit Scotland performance matrix with the accuracy information provided by the council in support	The Benefits Unit Management Team to review the process for recording the results of post-payment accuracy checking.	Benefit Manager/Benefit Team Leaders	Accuracy checking/recording process to be reviewed prior to being re-introduced for 2013/14	30th June 2013 (Revised date 30th November 2013)	N/A	Ongoing	Wider accuracy checking process still to be re-instated after review is complete.
8	Although outcomes from management checks are recorded on a spreadsheet, it is not to the level of detail that could help the council identify trends, patterns and areas for learning and development of the service	The Benefits Unit Management Team to review the process for analysing the results of post-payment accuracy checking.	Benefits Team Leaders/Training and Development Officer	Accuracy checking/recording process to be reviewed to include effective analysis & feedback loop	30th June 2013 (Revised date 30th November 2013)	<i>Linked to points 9 &amp; 10 'Outstanding' from previous Action Plan</i>	Ongoing	Wider accuracy checking process still to be re-instated after review is complete.
9	At the time of our site visit, the overpayments data provided to Audit Scotland as part of the council's self assessment submission was inaccurate. Based on our analysis, there is approximately £394,000 of additional debt that is unaccounted for.	The Benefits Unit Management Team will work with the Council's Finance Team to improve analysis of overpayment recovery performance and accounting for outstanding HB debt.	Benefits Manager/Benefits Performance Officer/Departmental Accountant	Review procedure for recording overpayment recovery performance.  Review accounting arrangements for HB Debt	30th June 2013 (Revised date 31st March 2014)	N/A	Ongoing	Review of self assessment suggests that self assessment return may have been inaccurate. New overpayments targets set in 2013/14 Service Plan  Review of accounting arrangements for historic/ongoing HB overpayment debt will take longer to complete
10	The council has not met its in-year overpayments recovery targets since 2008/09. In addition, fraud overpayments and administrative penalties are not prioritised for recovery.	In drafting the 2013/14 Benefits Unit Business Plan the Benefits Unit Management Team will review its overpayments recovery targets to ensure they are 'achievable' whilst still promoting the overpayment recovery process will also be reviewed to optimise recovery methods for recovery of fraud overpayments and administrative penalties.	Benefits Manager/Benefits Performance Officer	Review overpayment recovery targets set in Benefits Unit Business Plan 2013/14.  Review overpayment process to allocate appropriate priority to the recovery of fraud overpayments and administrative penalties.	31 May 2013 (Signed off for publication on 4th July 2013).  31 May 2013 (Signed off for publication on 4th July 2013).	<i>Linked to point 12 'Outstanding' from previous Action Plan</i>  <i>Linked to point 12 'Outstanding' from previous Action Plan</i>	Completed  Completed	New overpayments targets set in 2013/14 Benefit Service Plan. Reports being produced to ensure that fraud overpayments are given appropriate priority.  Housing Benefit Overpayments Recovery Policy reviewed July 2013 to reflect overpayments recovery focus in 2013/14 Benefit Service Plan.
11	Due to the limitation of the council's debt recovery system there is only limited analysis of overpayments data.	The Benefits Unit Management Team will endeavour to develop available systems functionality to optimise overpayments data analysis.	Benefits Manager/Benefits Performance Officer	Review current systems capability in order to develop or enhance wherever possible.	31st March 2014	N/A	Ongoing	Action requires the involvement of Benefits Unit, Finance Team & Sundry Debtors
12	A significantly high percentage of requests for reconsideration received by the council in 2011/12 and 2012/13, to 31 December 2012, were revised in favour of the customer.	The Benefits Unit Management Team will carry out further analysis of reconsiderations to better understand reasons for reconsideration decisions.	Benefits Manager/Benefit Team Leaders	Develop system to facilitate analysis of reconsiderations	30th September 2013	<i>Linked to points 13 &amp; 14 'Outstanding' from previous Action Plan</i>	Ongoing	Analysis of reconsiderations requests in Q1 2013/14 did not indicate high percentage revised in favour of customer although Q2 figures still to be analysed.



## APPENDIX 7.5

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Ms Angela Leitch  
Chief Executive  
East Lothian Council  
John Muir House  
Brewery Park  
Haddington  
East Lothian  
EH41 3HA

15 May 2013

Dear Ms Leitch

### **The audit of housing and council tax benefit – benefits performance audit risk assessment**

I would like to thank you for your letter of 6 May 2013 and the attached response to our risk assessment report sent to you on 3 April 2013.

I have considered your proposals to reduce the risks identified in our report and I am satisfied that your proposed actions, and note those already implemented, will make a positive contribution to the continuous improvement of the council's housing and council tax benefits service.

Accordingly we will review progress on your action plan during our next round of risk assessments in approximately twenty four to thirty six months time.

I would like to thank you and your benefits management team for the positive and helpful approach displayed throughout the risk assessment process.

Yours sincerely



**Russell Frith**  
**Assistant Auditor General**

cc: John Cunningham, Benefits Manager



**REPORT TO:** Policy and Performance Review Committee

**MEETING DATE:** 24 September 2013

**BY:** Depute Chief Executive - Resources and People Services

**SUBJECT:** Key Performance Indicators – baseline position at the beginning of 2013/14

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## **1 PURPOSE**

- 1.1 To provide the Committee with information regarding the baseline position of the revised set of Key Performance Indicators at the beginning of 2013/14

## **2 RECOMMENDATIONS**

- 2.1 That the Committee reviews the baseline data presented in Appendix A to ensure that the targets represent appropriate thresholds to help identify significant variations in performance

## **3 BACKGROUND**

- 3.1 The Committee has received two previous reports (in January and April 2013) regarding the review of the Key Performance Indicators. These reports (and the feedback received from the Committee) have helped to define a new set of Key Performance Indicators for 2013/14 onwards.
- 3.2 Appendix A shows the baseline position for the revised set of indicators at the beginning of 2013/14. The indicators are divided into the four objectives of the Council Plan 2012-17. The indicators are also divided into quarterly and annual measures as a mixture of both will be reported.
- 3.3 The tables in Appendix A include some context to help members determine whether the targets are set at an appropriate level. However, it should be noted that target setting is not an exact science and in some cases a specific annual or quarterly target may not be appropriate. The purpose of the targets is to provide context to the performance results in order to assist the Committee in identifying areas for scrutiny.

3.4 The tables in Appendix A include the following fields:

<b>Annual measures</b>	
<b>2011/12 result</b>	The annual result for the indicator for 2011/12
<b>2012/13 result</b>	The annual result for the indicator for 2012/13
<b>2012/13 target</b>	The target that was set for the indicator for 2012/13
<b>RAG status</b>	The status of the indicator in relation to the target: Red – significantly worse than target Amber – slightly worse than target Green – better than target
<b>Range</b>	The maximum and minimum results that have been achieved for the indicator over the past 5 years

<b>Quarterly measures</b>	
<b>Q4 2012/13 result</b>	The result of the indicator for the fourth quarter in 2012/13
<b>Q1 2013/14 result</b>	The result of the indicator for the first quarter in 2013/14
<b>Q1 2013/14 target</b>	The target for the indicator for the first quarter of 2013/14
<b>RAG status</b>	The status of the indicator in relation to the target: Red – significantly worse than target Amber – slightly worse than target Green – better than target
<b>Range</b>	The maximum and minimum results that have been achieved for the indicator over the four quarters of 2012/13

3.5 Some of the indicators that had been outlined as Key Performance Indicators in previous reports to the Committee have been excluded from the report as recent baseline data is not available. Notable indicators that have been excluded include:

- The Local Government Benchmarking Framework - the most recent data for the indicators relates to 2011/12. Data for 2012/13 will not be available until the beginning of next year. However, in some cases these indicators were previously reported as SPIs, in which case data for 2012/13 is included in the report
- Educational attainment and school leaver destinations – the results for these indicators will be published in December
- Outcome indicators from the Single Outcome Agreement – the Single Outcome Agreement 2013 is currently in preparation

- Scottish Social Housing Charter Indicators – data for most of these indicators will not be available until the end of the year. However, some of these indicators have previously been reported by the Council, in which case data for 2012/13 is included in the report

3.6 The Committee will be provided with a further report outlining the baseline position of the remaining indicators should they wish to receive one.

#### **4 POLICY IMPLICATIONS**

4.1 The KPIs will be published on the Council’s website and will, therefore, help the Council to address its Best Value obligations in regard to public performance reporting. The indicators will also form the basis of the scrutiny of performance by the Policy and Performance Review Committee, which is another essential element of Best Value.

#### **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: Key Performance Indicators – baseline position at the beginning of 2013/14

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<b>DATE</b>	12/09/2013

## Appendix A: Key Performance Indicators – baseline position at the beginning of 2013/14

### Growing the Capacity of the Council – annual measures

	Unit of measure	2011/12 result	2012/13 result	2012/13 target	RAG status	Range (over past 5 years)	Notes
1.4 Socitm User Satisfaction score (/7)	/7	-	<b>5.52</b>	5.30	Green	4.2 – 5.52	Survey conducted once every two years
The cost per dwelling of collecting Council Tax	£	12.11	<b>12.40</b>	13.00	Green	12.11 – 15.34	Indicators from the Local Government Benchmarking Framework, previously reported as SPIs
% of Invoices that were paid within 30 days	%	89.10	<b>86.50</b>	90.00	Amber	85.8 – 89.1	
Percentage of employees in the highest 2% of earners that are female	%	35.94	<b>42.60</b>	40.00	Green	34.8 – 42.6	
Percentage of employees in the highest 5% of earners that are female	%	47.50	<b>52.40</b>	45.00	Green	44.4 – 52.4	
Percentage of income due from Council Tax received by the end of the year	%	95.82	<b>96.40</b>	96.00	Green	95.3 – 96.4	
Proportion of internal floor area of operational buildings in satisfactory condition	%	96.48	<b>96.10</b>	90.00	Green	94.1 – 96.5	
Proportion of operational buildings that are suitable for their current use	%	80.10	<b>83.20</b>	80.00	Green	75.6 – 83.2	

## Growing our Communities – annual measures

	Unit of measure	2011/12 result	2012/13 result	2012/13 target	RAG status	Range (over past 5 years)	Notes
% of stock meeting SHQS	%	62.40	<b>76.68</b>	80.00	Amber	55.00 – 76.68	Indicator from the Social Housing Charter, previously reported as an SPI
Number of court actions initiated during the reporting year	#	-	<b>32.00</b>	-	N/A	-	New indicators from the Social Housing Charter
• number of properties recovered for non-payment of rent	#	-	<b>5.00</b>	-	N/A	-	
• number of properties recovered for anti social behaviour	#	-	<b>5.00</b>	-	N/A	-	
• the number of properties recovered for other reasons	#	-	<b>1.00</b>	-	N/A	-	
Rent collected as percentage of total rent due in the reporting year.	%	-	<b>98.29</b>	-	N/A	-	Indicator from the Social Housing Charter – new indicator
% of Total Waste arising that is recycled	%	43.70	<b>45.10</b>	44.00	Green	40.90 – 45.10	Indicators from the Local Government Benchmarking Framework, previously reported as SPIs
Overall cleanliness index	#	75.00	<b>74.00</b>	73.00	Green	73.00 – 75.00	
Percentage of A class roads that should be considered for maintenance treatment	%	23.01	<b>26.20</b>	-	N/A	23.01 – 32.80	Indicator from the Local Government Benchmarking Framework, previously reported as an SPI. The indicator was formerly reported as the overall proportion of the entire road network, rather than the proportion of A, B and C class roads.
Percentage of B class roads that should be considered for maintenance treatment	%	26.61	<b>33.30</b>	-	N/A	26.61 – 33.30	
Percentage of C class roads that should be considered for maintenance treatment	%	26.39	<b>29.70</b>	-	N/A	26.30 – 29.70	
Householder developments: % determined within 2 months	%	92.60	<b>95.00</b>	90.00	Green	90.80 – 95.00	Indicator from the Planning Performance Framework, previously reported as an SPI
Length of Paths Improved	km	6.58	<b>1.20</b>	3.50	Red	1.20 – 6.58	

Local business and industry developments: % of decisions made within 2 months	%	78.10	<b>59.40</b>	-	N/A	-	Indicator from the Planning Performance Framework – new indicator
Local developments (non-householder): % of decisions made within 2 months	%	62.00	<b>64.00</b>	-	N/A	-	Indicator from the Planning Performance Framework - new indicator
Local housing developments: % of decisions made within 2 months	%	39.00	<b>43.10</b>	-	N/A	-	Indicator from the Planning Performance Framework – new indicator
Number of child killed & serious (KSI) injury casualties.	#	3.00	<b>1.00</b>	-	N/A	0.00 – 6.00	The following targets apply for the period between 2011 and 2020: <ul style="list-style-type: none"> <li>• 40% reduction in people killed</li> <li>• 55% reduction in people seriously injured</li> <li>• 50% reduction in children aged under 16 killed</li> <li>• 65% reduction in children aged under 16 seriously injured</li> </ul>
Number of killed & serious injury (KSI) casualties.	#	30.00	<b>23.00</b>	-	N/A	23.00 – 55.00	
Number of slight injury casualties	#	205.00	<b>195.00</b>	-	N/A	186.00 – 220.00	
% of road resurfaced by surface renewal	%	2.75	<b>1.43</b>	2.60	Red	1.43 – 4.26	
% of road resurfaced by top dressing	%	5.80	<b>3.60</b>	5.00	Red	3.50 – 6.00	



## Growing our Economy – annual measures

	Unit of measure	2011/12 result	2012/13 result	2012/13 target	RAG status	Range (over past 5 years)	Notes
Local business and industry developments: % of decisions made within 2 months	%	78.10	<b>59.40</b>	-	N/A		Indicator from the Planning Performance Framework – new indicator
Number of businesses per 10,000 adults (business density)	Rate / 10,000	-	<b>332.00</b>	-	N/A		Target in the Economic Development Strategy of 375 by 2022
Employment rate	%	73.10	<b>74.20</b>	-	N/A	72.20 – 76.10	Target – to maintain and increase the gap between the East Lothian and Scotland figures
Area of employment land immediately available for business use	Ha	-	<b>1.00</b>	-	N/A		New indicator – target of 3.00 Ha for 2013/14
Total number of tourist days	#	2497000.00	<b>2399000.00</b>	2400000.00	Amber	2399000.00 – 2720000.00	
Number of tourist beds - serviced	#	2269.00	<b>2036.00</b>	-	N/A		Target to maintain the number of bed spaces
Number of tourist beds – non-serviced	#	5349.00	<b>5323.00</b>	-	N/A		
Number of vacant units in town centres	#	41.00	<b>37.00</b>	-	N/A		Target of 35 for 2013/14
Pedestrian flow count - total:	#	26060.00	<b>25400.00</b>	-	N/A		Pedestrian flow counts are a count of the number of pedestrians passing each of a number of observational sites within each town centre during a 6 hour period between 10.00am and 5.00pm on a Friday and Saturday in November. Data for the two days is grossed up to provide estimates of footfall for the whole week.
• Tranent (pedestrians)	#	3040.00	<b>3640.00</b>	-	N/A	2940 - 3640	
• Prestonpans (pedestrians)	#	1400.00	<b>1010.00</b>	-	N/A	1010 – 1910	
• Dunbar (pedestrians)	#	4130.00	<b>4450.00</b>	-	N/A	4130 - 4570	
• Haddington (pedestrians)	#	3650.00	<b>3330.00</b>	-	N/A	3330 - 4760	
• Musselburgh (pedestrians)	#	9550.00	<b>9130.00</b>	-	N/A	9130 – 10370	
• North Berwick (pedestrians)	#	4290.00	<b>3840.00</b>	-	N/A	3840 - 4370	

## Growing our People – annual measures

	Unit of measure	2011/12 result	2012/13 result	2012/13 target	RAG status	Range (over past 5 years)	Notes
% P6 pupils agreeing that taking part in physical activities out with school is important to them	%	87.90	<b>86.80</b>	87.00	Amber	82.20 – 87.90	
% P6 pupils agreeing that they are encouraged to live a healthy life	%	98.00	<b>98.20</b>	-	N/A	95.40 – 98.20	
% P6 pupils agreeing that they have opportunities to contribute to the life of the school	%	92.60	<b>93.80</b>	-	N/A	90.60 – 96.30	
% S2 pupils agreeing that taking part in physical activities out with school is important to them	%	76.10	<b>74.60</b>	-	N/A	68.50 – 76.10	
% S2 pupils agreeing that they are encouraged to live a healthy life	%	95.40	<b>96.40</b>	-	N/A	87.40 – 96.40	
% S2 pupils agreeing that they have opportunities to contribute to the life of the school	%	83.30	<b>84.60</b>	-	N/A	69.70 – 84.60	
Number of attendances per 1000 population for indoor sports and leisure facilities	Rate / 1000 population	5534.00	<b>5546.00</b>	5200.00	Green	4360 – 5546	
Number of attendances per 1000 population for pools	Rate / 1000 population	4551.00	<b>4172.00</b>	4500.00	Red	4172 - 4551	

### Growing the Capacity of the Council – quarterly

	Unit of measure	Q4 2012/13 result	Q1 2013/14 result	Q1 2013/14 target	RAG status	Range (during 2012/13)	Notes
% of calls within contact centre (excluding switchboard) answered	%	90.22	<b>82.66</b>	90.00	Red	78.58 – 91.00	
% of Stage 2 complaints completed (within 20 working days)	%	68.00	<b>67.00</b>	80.00	Red	68.00 – 81.00	
% spend with contracted suppliers quarterly	%	75.92	<b>76.00</b>	80.00	Amber	75.92 – 81.67	
Business rates in-year collection	%	96.62	<b>15.27</b>	11.89	Green	-	This is a cumulative measure; therefore different targets are set each quarter

### Growing our Communities - quarterly

	Unit of measure	Q4 2012/13 result	Q1 2013/14 result	Q1 2013/14 target	RAG status	Range (during 2012/13)	Notes
% of abandoned vehicles uplifted within 14 days	%	100.00	<b>100.00</b>	100.00	Green	100.00 – 100.00	
Total number of Community Payback Orders made	#	51.00	<b>53.00</b>	-	N/A	39.00 – 51.00	
Proportion of CP Orders (with unpaid work requirement) starting placement within 7 working days	#	73.33	<b>75.00</b>	67.00	Green	66.67 – 77.42	
Consumer complaints - % response within 14 days	%	93.00	<b>91.00</b>	100.00	Amber	85.00 – 93.00	
Business Advice Requests - % response within 14 days	%	89.00	<b>96.00</b>	100.00	Amber	89.00 – 100.00	
% of tenants owing more than 13 weeks rent, excluding those owing less than £250	%	9.50	<b>9.40</b>	9.47	Green	8.10 – 9.50	Provisional target set for 2013/14 of 9.47% which is end of year achieved in 2012/13. Discussions still ongoing around rent arrears targets for 2013/14 as likely to see an increase as a result of under occupancy.
Rent direct debit uptake	%	-	<b>39.90</b>	50.00	-	38.62 – 39.90	

### Growing our Economy - quarterly

	Unit of measure	Q4 2012/13 result	Q1 2013/14 result	Q1 2013/14 target	RAG status	Range (during 2012/13)	Notes
% of businesses surviving after 12 months	Percentage	79.80	<b>75.80</b>	80.00	Amber	79.80 – 81.50	
No. of jobs created	number	37.00	<b>27.50</b>	17.00	Green	6.00 – 37.00	
Number of jobs protected	Number	103.00	<b>66.00</b>	75.00	Amber	11.50 – 103.00	
Total no. of new starts	Number	57.00	<b>46.00</b>	50.00	Amber	23.00 – 57.00	

### Growing our People - quarterly

	Unit of measure	Q4 2012/13 result	Q1 2013/14 result	Q1 2013/14 target	RAG status	Range (during 2012/13)	Notes
% of people aged 65+ with intensive care needs receiving care at home	%	43.17	<b>42.17</b>	35.00	Green	41.66 – 43.17	
Number of Adult Protection Duty to Inquire cases	#	86.00	<b>78.00</b>	-	N/A	71.00- 113.00	
Number of Adult Protection IRDs	#	40.00	<b>27.00</b>	-	N/A	30.00 – 40.00	
Number of Adult Protection Investigations/Case Conferences	#	41.00	<b>29.00</b>	-	N/A	39.00 – 59.00	
% of people for whom target for assessment was met	Percentage	84.69	<b>82.22</b>	-	N/A	82.59 – 84.69	Note that targets are being developed and there is, as yet, no National target for this measure. This figure shows the % of new clients receiving an assessment within 8 weeks of first contact.
Child Protection Register Per 1,000	per 1,000	2.80	<b>2.50</b>	-	N/A	2.80 – 3.90	
Average number of placement moves per child	#	-	<b>2.20</b>	2.10	Amber	-	The way in which this indicator is recorded has been revised from the beginning of 2013/14 onwards

**REPORT TO:** Policy and Performance Review Committee

**MEETING DATE:** 24 September 2013

**BY:** Depute Chief Executive - Resources and People Services

**SUBJECT:** Draft East Lothian Council Annual Performance Report  
2012/13

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**1 PURPOSE**

- 1.1 To provide the Committee with the draft Annual Performance Report for 2012/13

**2 RECOMMENDATIONS**

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

**3 BACKGROUND**

- 3.1 The Annual Performance Report is a summary of the Council's performance in relation to its commitments in the Council Plan and the Single Outcome Agreement. The information contained within the report generally relates to the financial year 2012/13 (April 2012 – March 2013); however, in some cases, data for 2012/13 may not be available. Where this is the case the latest available data is shown.
- 3.2 Information contained within the report has been drawn from the Council's set of performance indicators that are reported to the Policy and Performance Review Committee, the Single Outcome Agreement, from audit and inspection reports and from other reports to Council committees. The report shows performance against the four objectives of the Council Plan 2012-17.
- 3.3 As in previous years the Annual Performance Report will be made available to the general public via the Council's website before the end of September 2013, although hard copies will be available for anyone that does not have access to the internet.

#### **4 POLICY IMPLICATIONS**

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

#### **5 EQUALITIES IMPACT ASSESSMENT**

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

#### **6 RESOURCE IMPLICATIONS**

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

#### **7 BACKGROUND PAPERS**

- 7.1 Appendix 1: Draft East Lothian Council Annual Performance Report 2012/13

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**East Lothian Council**

**Draft Annual Performance Report 2012/13**

## Outcomes and priorities

This is the first Annual Performance Report for the period covered by the *Council Plan 2012-17*.

This year's Annual Performance Report is structured around the four Objectives of the Council Plan 2012-17:

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

The Report also reflects the 14 outcomes of the Single Outcome Agreement 2011.

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

## The 14 outcomes of the Single Outcome Agreement 2011

1. East Lothian has a sustainable and successful local economy through developing key local sectors and enhancing business performance
2. All of East Lothian's young people are successful learners, confident individuals, effective contributors and responsible citizens
3. East Lothian's children have the best start in life and are ready to succeed
4. The life chances for children, young people and families at risk or with disability in East Lothian are improved
5. In East Lothian we live healthier, more active and independent lives
6. Fewer people experience poverty in East Lothian
7. Fewer people are the victim of crime, disorder or abuse in East Lothian
8. Fewer people experience antisocial behaviour in East Lothian
9. East Lothian's homes and roads are safer
10. In East Lothian people in housing need have access to an appropriate type, tenure and standard of housing and are prevented from becoming homeless
11. East Lothian has high quality natural and built environments that enhance the well-being of the local community
12. East Lothian is less dependent on finite resources by moving to a more localised, low-carbon economy and reducing its ecological and carbon footprints by 80% by 2050
13. East Lothian has well connected communities with increased use of sustainable forms of transport
14. East Lothian has strong, vibrant communities where residents are responsible and empowered with a positive sense of well-being



## Performance indicators


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

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

Performance indicators are reported in the Annual Report to help show the progress towards each of the Council's objectives. Further information regarding each indicator can be found on the Council's performance website: <http://www.eastlothian.gov.uk/performance/>


### Key:


Each indicator is presented in the following format:


Indicator	Result	Target	
% of new businesses surviving after 12 months	79%	85%	

**Result:** The result refers to the year 2012/13 (April 2012 – March 2013) unless otherwise stated. 'Q4 12/13' would refer to the 4<sup>th</sup> quarter of 2011/12 (January – March).

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

**Red:**  Performance is significantly worse than target.

**Amber:**  Performance is slightly worse than target.

**Green:**  Performance is better than the target.



Performance is improving in comparison to the previous period.



Performance is getting worse in comparison to the previous period.



Performance has stayed the same.

## Growing our Economy – to increase sustainable economic growth as the basis for a more prosperous East Lothian

Related outcomes:

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

### Context

Strengthening East Lothian's economic base and making it more diverse is a priority for the Council. Currently a sizable proportion of our working population commutes to Edinburgh for employment. This has an impact on community cohesion and also means potential loss of trade for local businesses.

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

### Key Actions

What we said we would do:	What we have done during 2012/13:
Implement the East Lothian Economic Development Strategy 2012-2022 and its action plan to achieve the two strategic goals	<ul style="list-style-type: none"> <li>Approved by Council and Community Planning partners, Autumn 2012. Implementation Plans developed and monitored and reported through the Sustainable Economy Partnership</li> </ul>
Establish an Economic Forum with business and farming community representatives and further education institutions and engage with local businesses and potential investors in East Lothian to identify how the Council can further support business growth	<ul style="list-style-type: none"> <li>Sustainable Economy Strategic Partnership established, June 2012. Ongoing engagement with businesses, individually and sectorally, and with Federation of Small Businesses and Chamber of Commerce</li> </ul>
Continue to support the county's farmers and fishing communities through the food and drink and other initiatives and funding programmes	<ul style="list-style-type: none"> <li>Delivery of Tyne/Esk Leader Programme and Axis 4 Fisheries Programme. Food &amp; Drink initiatives delivered – Trade Shows, Producer and Supplier engagement, competition</li> </ul>
Provide high quality employment pathways for East Lothian's workforce which will support those furthest from the labour market to develop work ready skills and give every young person the opportunity to undertake training, take up an apprenticeship, work experience or a job	<ul style="list-style-type: none"> <li>Opening of East Lothian Works, March 2013. Central point of contact for individuals and businesses for employability guidance and support. Focus on young people through Skill Centre, bespoke Activity Agreements and Work Experience programmes. Working in partnership with key employability agencies to provide more targeted and efficient joined-up service</li> <li>Focus on Looked After Children's positive destinations incorporated into Children's Wellbeing strategic and operational plans</li> </ul>

## The East Lothian Economic Development Strategy 2012-2022

The Strategy aims to make a significant contribution to achieving visions already set for East Lothian. As a result, the vision for the East Lothian Economic Development Strategy plays directly into the economic development aspects of the vision set in East Lothian Council's Council Plan 2012-2017. The vision is:

*In 2020 East Lothian will have a dynamic and flourishing economy with our citizens proud to live, learn, work and play in East Lothian.*

To achieve this strategic vision, East Lothian must deliver against two major strategic goals:

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

What we said we would do:	What we have done during 2012/13:
Use the Council's purchasing power through the use of community benefit clauses to provide opportunities for work experience, training and apprenticeships	<ul style="list-style-type: none"> <li>• Embedding community benefits in procurement (CBIP) into all appropriate procurement contracts. East Lothian Works leading on engagement with employers and their offer, monitoring and ensuring successful outcomes in provision. Progress Report to Cabinet 11 June 2013</li> <li>• Several businesses now involved in this growing programme.</li> </ul>
Support investment in business start ups and growing businesses, including the construction industry and other key sectors, through interest free loans and other local and national support programmes	<ul style="list-style-type: none"> <li>• Number of schemes operated to support business growth:               <ul style="list-style-type: none"> <li>➢ East Lothian investments Interest-Free Loans and signposting to other forms of grant and loan funding</li> <li>➢ High Value Recruitment Grant</li> <li>➢ Business Development Grant</li> <li>➢ ELI Ltd £10,000 start-up and £25,000 established Business Loans</li> <li>➢ New "Invest in East Lothian" marketing material at Draft stage</li> </ul> </li> </ul>
Identify areas for business opportunities in the East Lothian Local Development Plan and reduce the time taken to determine commercial planning applications through a more efficient and streamlined approach to dealing with all planning applications	<ul style="list-style-type: none"> <li>• Applications from business are low.</li> <li>• The recent experience with Sainsbury's demonstrates the high level of performance by the planning service</li> </ul>
Support and encourage the development of land allocated for business; where appropriate, fund infrastructure to enable sites to be developed to support new jobs and opportunities for strong sustainable economic growth through working with the business sector and agencies such as Scottish Development International to attract inward investment	<ul style="list-style-type: none"> <li>• Through developer negotiations several sites are being brought forward for mixed use, accelerating the development of business land</li> <li>• Ongoing engagement with SDI and attention to QMU site at Oldcraighall</li> </ul>

## Case Study – East Lothian Investments

East Lothian Investments established an instrument for the development of the business base in East Lothian that took the form of providing interest free loans to any company based within the county of East Lothian. Initially this was funded from investment income inherited from LEB but was then continued through the loan facility made available by the Council.

The loans typically offered are unsecured funding up to a ceiling of £10,000 repayable over a maximum period of 36 months. The Board of East Lothian Investments award loans based on due diligence of each application by the fund manager and subsequent detailed board debate. All companies applying for a loan must provide a detailed business plan, cash flow and at least 2 years of accounts.

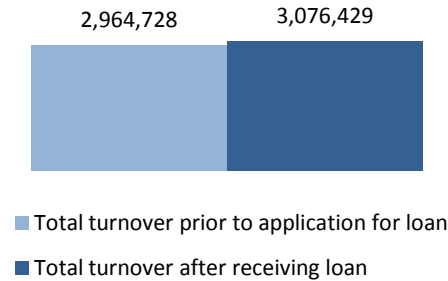
The East Lothian Council loans have supplemented the funds of East Lothian Investments and the scheme has been highly successful and is regarded by many as innovative and award winning. Since April 2008 and the start of credit crisis:- Awarded £1,275,504 of loans to 138 companies Received 238 loan applications Created 180 jobs and protected 575 Levered in private sector £5,481,214

What we said we would do:	What we have done during 2012/13:
Work with partners and providers to explore how we can improve connectivity, including the roll out of faster broadband and mobile communications across the county to support and encourage local businesses and home working	<ul style="list-style-type: none"> <li>• Procurement process for consultancy support underway</li> <li>• Proceeding with test site for Haddington Town Centre and Stage 1 ESF related bid submitted</li> <li>• Project run by Scottish Government underway with contract award to BT in July – expect to know East Lothian impact by August together with rollout timescales</li> </ul>
Support local companies and build their capacity to ensure they have the opportunity to compete for Council and other public sector contracts	<ul style="list-style-type: none"> <li>• Range of procurement seminars and 1:1 consultancy advice available to local businesses</li> <li>• New targeted programme of support in conjunction with ELC procurement in relation to tendering for Council frameworks from local small businesses</li> </ul>
Work with East Lothian’s tourism sector to support appropriate tourism opportunities including sports and cultural events that attract visitors to East Lothian	<ul style="list-style-type: none"> <li>• Working with emerging East Lothian Festivals’ Group to develop offering and ensure East Lothian positioned as ‘events county’</li> <li>• Grant and sponsorship support to new and existing events generating economic impact. John Muir one of the signature events for Homecoming 2014 and his legacy to be incorporated where appropriate into 2014 East Lothian events</li> <li>• John Muir Festival (April 2014) - key national agencies supporting John Muir Festival with a focus on the opening of the John Muir Way in Dunbar, April 2014.</li> <li>• Brunton refurbishment is providing additional opportunities for increasing number and range of cultural events</li> </ul>
Work with the voluntary sector to create and develop social enterprises using the Social Investment Fund and other sources of funding and support	<ul style="list-style-type: none"> <li>• Dedicated Business Adviser for Social Enterprise support working with Social Enterprise in East Lothian. SEEL based in East Lothian Works. Grant and other support, as well as signposting to other forms of funding</li> <li>• Work underway with 3rd Sector to develop local community based early intervention and prevention initiatives</li> </ul>

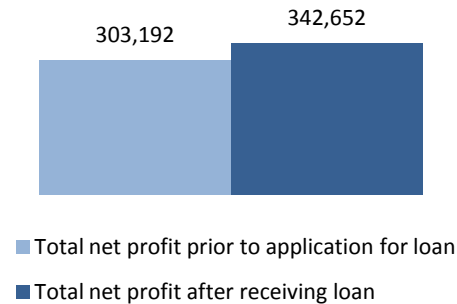
## Case Study – East Lothian Investments (cont.)

11 companies that were in receipt of grants or loans from East Lothian Investments were monitored during 2012:

Change in turnover of companies receiving loans from East Lothian Investments, 2012



Change in net profit of companies receiving loans from East Lothian Investments, 2012



What we said we would do:	What we have done during 2012/13:
Regenerate East Lothian's town centres through: ensuring that planning decisions made by the Council are sympathetic to preserving the vitality and viability of our town centres; supporting "Shop Local" promotional activity and initiatives that will support the re-opening of empty shops; reducing congestion and improving town centre parking	<ul style="list-style-type: none"> <li>Musselburgh Town Centre Strategy has been consulted on a final report will be published in the Autumn of 2013</li> <li>Christmas Shop Local each year, growing year-on-year, in terms of retailers and purchases made. Open Retail Competition, Summer 2013. Working with town business and trade organisations to support footfall and regeneration</li> </ul>
Develop a new Culture and Heritage Plan that maintains the success of community initiatives, tourism opportunities and recent Council investment in infrastructure to support the economic development strategy	<ul style="list-style-type: none"> <li>1st Draft completed. Wider consultation on Plan now required with a view to refining and finalising.</li> </ul>
Support Fair Trade County status for East Lothian	<ul style="list-style-type: none"> <li>A number of East Lothian towns have Fair Trade status to</li> </ul>

### Key Indicators:

Indicator	Result	Target	
% of new businesses surviving after 12 months	80.6%	85%	
Total number of new business start-ups	141	100	

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

Related outcomes:

8. Fewer people experience antisocial behaviour in East Lothian
9. East Lothian's homes and roads are safer
10. In East Lothian people in housing need have access to an appropriate type, tenure and standard of housing and are prevented from becoming homeless
11. East Lothian has high quality natural and built environments that enhance the well-being of the local community
12. East Lothian is less dependent on finite resources by moving to a more localised, low-carbon economy and reducing its ecological and carbon footprints by 80% by 2050
13. East Lothian has well connected communities with increased use of sustainable forms of transport
14. East Lothian has strong, vibrant communities where residents are responsible and empowered with a positive sense of well-being

### Context - Housing

East Lothian's attractive environment along with its proximity to Edinburgh makes it a desirable place to live. Unfortunately the demand for housing in East Lothian makes it one of the most expensive areas for housing in Scotland. Housing costs, coupled with a vast reduction in the number of houses being built as a result of the recession, make it difficult for many people to access suitable housing.

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

### Key Actions

What we said we would do:	What we have done during 2012/13:
Implement the East Lothian Local Housing Strategy 2012-2017	<ul style="list-style-type: none"> <li>• Housing Strategy being implemented</li> <li>• Opportunities are being explored with Adult Wellbeing to develop core and cluster models of housing for older people</li> <li>• Commitments to explore and develop appropriate housing options for ex-Looked After Children in our communities</li> </ul>
Identify sites for house building through the Local Development Plan	<ul style="list-style-type: none"> <li>• The Main Issues Report call for sites has led to a significant number of sites being brought forward that will be assessed and consulted upon. In the short term a process for bringing forward sites that are deliverable, outwith the plan, is being developed</li> </ul>
Re-introduce and review the provision of loft conversions and extensions	<ul style="list-style-type: none"> <li>• Completed</li> <li>• Provision for loft conversions has been re-instated</li> </ul>
Introduce sustainable, fair allocation policies to support balanced communities	<ul style="list-style-type: none"> <li>• The allocations review is currently at the consultation stage</li> </ul>

## The East Lothian Local Housing Strategy 2012-2017

The Local Housing Strategy aims to deliver five outcomes:

1. Increase housing supply and improve access to appropriate housing including affordable housing;
2. Improve the condition and energy efficiency, and where appropriate the management, of existing housing stock;
3. Fewer people become homeless;
4. People with particular needs are able to access and sustain their choice of housing including independent living, where appropriate; and
5. Fewer people live in fuel poverty.

### Case Study - Modernisation/Extensions (Existing Stock) Programme




£10.135m has been allocated to the delivery of the Council's Modernisation/Extensions Programme. The majority of this programme delivers improvements to the Council's stock to meet the Scottish Housing Quality Standard (SHQS). This programme includes the following:

- kitchen, bathroom, central heating, window and door replacements
- energy efficiency works (mainly in the form of insulation)
- re-roofing
- dry dash
- roughcast repair programme
- stair improvement programme

It is anticipated that the programme will deliver in the region of 550 kitchen replacements, 250 bathroom replacements and 450 replacement heating systems

What we said we would do:	What we have done during 2012/13:
Use planning and other powers to ensure that new housing developments have the community infrastructure they need to create and support viable, balanced and sustainable communities	<ul style="list-style-type: none"> <li>• Significant improvements to community infrastructure has been and will continue to be delivered through new developments</li> </ul>
Support affordable housing initiatives, prioritising the building of sustainable new homes to provide affordable housing of all tenures (social rent, mid-market rent, shared ownership, shared equity and sale) and help first time buyers and young people to enter the housing market	<ul style="list-style-type: none"> <li>• The New Build programme has continued to deliver a significant number of completions. Working with RSLs mid-market rent opportunities have been developed and are proving to be very popular</li> </ul>
Provide additional supported tenancies for young and vulnerable people	<ul style="list-style-type: none"> <li>• Housing and Children's Wellbeing teams are working together to develop suitable housing options, with some important test cases in the pipeline</li> <li>• Commitment to explore and develop appropriate housing options for ex- Looked After Children in our communities</li> </ul>

### Key Indicators:

Indicator	Result	Target	
% of households meeting the Scottish Housing Quality Standard	76.7%	80%	
% of homelessness cases reassessed within 12 months (those in permanent accommodation)	2.3%	5%	
% of current tenants owing more than 13 weeks rent, excluding those owing less than £250	9.5%	9.0%	

## Context - Transport

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

East Lothian Council is developing a sustainable transport plan for East Lothian in association with South East Scotland Transport Partnership. The Plan aims to reduce the number of private car journeys, support the development of the bus network, enhance rail provision and increase the use of cycling and walking.

## Local Transport Strategy




The draft Local Transport Strategy is currently in preparation. The objectives of the draft Strategy are:

- to deliver a more attractive and safer environment for pedestrians and cyclists;
- to reduce the overall dependence on the car and the environmental impact of traffic;
- to promote the availability and use of more sustainable means of travel;
- to locate new development to reduce the need to travel;
- to maximise accessibility for all and reduce social exclusion; and
- to promote integration and interchange between different means of travel

## Key Actions

What we said we would do:	What we have done during 2012/13:
Implement the East Lothian Local Transport Strategy and lobby public transport providers and the Scottish Government to improve the quality and accessibility of road, rail and bus links and services across East Lothian, and to support community transport initiatives	<ul style="list-style-type: none"> <li>• A draft Transport Strategy is to be produced and will include consideration of support from community transport and the feedback from young people about the need for improved access and availability to transport services</li> <li>• A Bus Forum has been established</li> <li>• First Rail and Network Rail are increasing car parking provision at Drem and Longniddry stations</li> </ul>
Work with local bus operators to improve services across the county and aim to use the Council's share in Lothian Buses to help secure an expanded service	<ul style="list-style-type: none"> <li>• A Bus Forum has been established to support dialogue between the Council and bus operators which has led to improvements in bus services</li> </ul>
Actively support improvements to rail services in East Lothian, including: a better service between Edinburgh and Dunbar/Berwick; the re-opening of East Linton station; a rail halt at Blindwells; and, better car parking at stations	<ul style="list-style-type: none"> <li>• The RAGES rails study has been submitted to Transport Scotland for comment. It seeks to build a case for two new stations, one at East Linton and the other at Reston.</li> </ul>
Lobby for dualing of the A1 east of Innerwick and junction safety improvements south of Haddington	<ul style="list-style-type: none"> <li>• A cross council group to press for improvements to the A1 has been established</li> </ul>
Introduce measures to reduce speeding, including 20mph speed limits where these are supported by residents	<ul style="list-style-type: none"> <li>• 20mph speed limit areas are being piloted</li> </ul>
Protect the roads maintenance budget to ensure that all local roads are maintained to a very high standard, and surface water drainage is improved to help prevent flooding	<ul style="list-style-type: none"> <li>• The roads maintenance budget in the Capital Programme has been protected</li> </ul>

## Key indicators:

Indicator	Result	Target	
% of the road network that should be considered for maintenance	31.6%	35%	
% of road re-surfaced by top dressing	3.6%	5%	
% of road re-surfaced by surface renewal	1.4%	2.6%	



## Context - Communities

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



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

## Key Actions

What we said we would do:	What we have done during 2012/13:
Establish Local Area Partnerships for all six areas of East Lothian to give local communities, Community Councils and local groups more say in local services and to develop Local Community Plans that will influence the achievement of the Community Planning Partnership's Single Outcome Agreement	<ul style="list-style-type: none"> <li>A framework for establishing six Area Partnerships has been developed and will be consulted on before being reported for approval to Council</li> </ul>
Devolve decision making and budgets starting with allocating a £100,000 budget for each secondary school cluster	<ul style="list-style-type: none"> <li>The devolution of decision making and budgets is being considered within the development of Area Partnerships and Area Co-ordination/ Management</li> </ul>
Keep public services as local as possible and explore the further integration of Council and other public services at local area level, ensuring that locality planning arrangements (for example, the planned Health and Social Care Partnership arrangements) are integrated with the work of Local Area Partnerships	<ul style="list-style-type: none"> <li>Proposals for establishing Area Co-ordination/ Management are being developed</li> <li>The review of 'Face-to-Face Services' is recommending integration of Customer Service face-to-face services with Library services in local areas</li> <li>The framework for establishing Area Partnerships is based around locality planning and area management and Health and Social Care integration arrangements</li> </ul>
Build community capacity and support local civic events, voluntary, community and social enterprise organisations across all communities in East Lothian	<ul style="list-style-type: none"> <li>Capacity Building Training Calendar has been developed and is being delivered</li> <li>Local community events have been supported over the year, including Galas, Music events, etc.</li> </ul>
Support and celebrate diversity in our communities	<ul style="list-style-type: none"> <li>Continued support for Multi-cultural Day</li> </ul>
Support the Transition Towns initiative across all East Lothian's towns as a means of developing resilient communities	<ul style="list-style-type: none"> <li>Continued support for Transition Towns initiatives</li> </ul>
Implement the Council's Asset Management Strategy to maximise use of existing resources and engage with partner organisations such as the NHS to achieve best value from local assets, including possible use or sale of surplus land and property for housing development	<ul style="list-style-type: none"> <li>A draft Asset Management Strategy has been submitted in to the Member's library and a finalised version will be completed in Autumn 2014</li> </ul>

What we said we would do:	What we have done during 2012/13:
Explore opportunities for imaginative and flexible use of facilities, including community use of school buildings outwith school time and reviewing opening hours of community facilities with a view to increasing activities by young people	<ul style="list-style-type: none"> <li>• 'Face-to-Face Services' review includes recommendation to make better use of Council buildings and to share buildings where appropriate</li> <li>• Further work required on developing community use of school buildings and community facilities</li> </ul>
Explore community ownership and control of local facilities where appropriate	<ul style="list-style-type: none"> <li>• Work ongoing on the transfer Community Centres to community ownership</li> </ul>
Develop a new sports development strategy including extending provision at the Meadowmill Sports Centre and providing sporting pathways within the county for our young people	<ul style="list-style-type: none"> <li>• Meadowmill refurbishment completed</li> <li>• Sporting pathways in place and productive in East Lothian's core sports</li> <li>• New Sports Strategy not started. Awaiting new Government Youth Sports Strategy to inform</li> </ul>
Work with the new single police force to establish effective local scrutiny and engagement arrangements which will maintain a strong police presence in our communities by continuing to support initiatives such as the Police Initiative Teams in order to reduce anti-social behaviour, crime and fear of crime	<ul style="list-style-type: none"> <li>• New Service Level Agreement agreed with Police Scotland</li> <li>• Current Memorandum of Agreement with regard to the Town Centre CCTV monitoring with Police Scotland for approval</li> <li>• Continuation of close working with Police Scotland, in terms of routine access to CCTV images</li> </ul>

#### Key Indicators:

Indicator	Result	Target	
Number of attendances per 1000 population for indoor sports facilities	5546	5200	
Number of attendances per 1000 population for pools	4172	4500	

## Context - Environment


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

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

## Key Actions

What we said we would do:	What we have done during 2012/13:
Implement the East Lothian Environment Strategy and the Council's Carbon Management Plan, reducing carbon emissions in line with national targets	<ul style="list-style-type: none"> <li>East Lothian Council continues to monitor it's carbon emissions and is focussed on reducing these through better asset management</li> <li>Staff participating in recycling initiatives in most buildings</li> </ul>
Meet the Council's recycling targets, if necessary providing incentives and rewards, and investigate ways of dealing with collected material locally including development of renewable energy sources such as bio-mass	<ul style="list-style-type: none"> <li>Further development of recycling services waiting developments among private sector providers</li> </ul>
Bring forward plans to modernise waste collection services to take account of new legislative requirements relating to collection of food waste including free special uplifts	<ul style="list-style-type: none"> <li>Proposals being developed on modernising waste collection services to take account of new food waste responsibilities</li> <li>Free special uplift service has been re-introduced</li> </ul>
Explore options for taking stronger action to reduce the problem of dog fouling	<ul style="list-style-type: none"> <li>Monitoring current arrangements to ascertain whether further action is required</li> </ul>
Seek investment from the Scottish Government and take action to protect East Lothian from flooding and coastal erosion	<ul style="list-style-type: none"> <li>Phase 2 study on flood protection measures has been commissioned and will form the basis of funding requests</li> </ul>
Ensure the quality and character of East Lothian's natural environment is preserved and enhanced through a range of measures including promoting biodiversity, considering the landscape impact of new development and summer and winter planting	<ul style="list-style-type: none"> <li>Ongoing work supported through Landscape and Countryside services</li> </ul>
Work to ensure stricter regulation on the siting of wind turbines	<ul style="list-style-type: none"> <li>A new policy framework has been established that addresses all types of wind turbine developments within the Council's decision making powers</li> </ul>

## Key indicators:

Indicator	Result	Target	
% of waste recycled	45.1%	44%	

## Growing our People – to give our children the best start in life and protect vulnerable and older people

Related outcomes:

2. All of East Lothian's young people are successful learners, confident individuals, effective contributors and responsible citizens
3. East Lothian's children have the best start in life and are ready to succeed
4. The life chances for children, young people and families at risk or with disability in East Lothian are improved
5. In East Lothian we live healthier, more active and independent lives
6. Fewer people experience poverty in East Lothian
7. Fewer people are the victim of crime, disorder or abuse in East Lothian

### Context – Children & Young People

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

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

### Key Actions

What we said we would do:	What we have done during 2012/13:
Implement the Integrated Children's Service Plan	<ul style="list-style-type: none"> <li>• ICSP 2011-13 completed</li> <li>• ICSP 2013-2017 to be approved by August Council</li> </ul>
Continue to increase educational attainment and ensure that the Council has a resource strategy to implement the Curriculum for Excellence, protect school budgets, reduce the number of composite classes and protect rural schools	<ul style="list-style-type: none"> <li>• Education Service and schools are focussed on increasing educational attainment and implementing Curriculum for Excellence.</li> <li>• School budgets have been protected in the three-year budget</li> </ul>
Take advantage of technological opportunities for pupils to access a wider range of subjects at their own school	<ul style="list-style-type: none"> <li>• Work is ongoing on improving schools access to broadband and wifi</li> </ul>
Develop the partnership with Queen Margaret University and the Further Education colleges to develop the Academy model and provide vocational training spaces in all secondary schools	<ul style="list-style-type: none"> <li>• The Tourism and Hospitality Academy has been successful and is now well-being used as a model for rolling out to other areas and other subjects</li> </ul>
Implement the agreed approach to kinship care	<ul style="list-style-type: none"> <li>• Children's Wellbeing Kinship Care and Fostering Strategy: Payments to Foster Carers and Kinship Carers agreed by April Cabinet</li> <li>• Policy and Guidance in draft</li> </ul>
Ensure women and children who experience domestic violence have access to specialist services and support	<ul style="list-style-type: none"> <li>• East and Mid Lothian Women's Aid now one organisation. Exploring how they will link into the Multi-Agency Screening Group and offer support to women and children who have been victims of Domestic Violence</li> </ul>

## Integrated Children's Services Plan

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

The Plan is based around four themes:




- Early Years & Early Intervention
- Curriculum for Excellence and Positive Destinations
- Corporate Parenting
- Child Protection
- Additional Support Need and Disability

What our auditors say:

The council continues to be strongly committed to the protection and welfare of vulnerable people. However, there are a number of worsening outcomes for vulnerable young people who are looked after and adults who are homeless or using temporary accommodation.

One of the current challenges faced by Children's Wellbeing relates to an ongoing trend of disappointing figures for the educational attainment of looked after children and exclusions of looked after children.

What we said we would do:	What we have done during 2012/13:
Fully support the development of early intervention, including: delivering family interventions that strengthen families so that children can safely stay with them; rolling out the Support from the Start model across East Lothian through cluster based engagement with local people and groups; and, beginning an ambitious programme to develop children and families services in the community across East Lothian	<ul style="list-style-type: none"> <li>• Children's Wellbeing Service Review priorities will be to:               <ul style="list-style-type: none"> <li>➢ Protect and support children and families in or on the edge ('on the cusp') of care</li> <li>➢ Meet statutory and legal obligations</li> <li>➢ Improve the long-term life chances of children and young people who have a disability /looked after by ELC</li> </ul> </li> <li>• Early Development Instrument (EDI) Analysis of data completed, ongoing dissemination of background, process, function and results, determining local cluster based improvement priorities through Support from the Start and School Cluster groupings</li> <li>• We are developing an Early Years and Early Intervention Strategy built on the work of the Support from the Start Plan, the Early Years Collaborative, the National Parenting Strategy, and the Early Years Framework</li> </ul>
Develop equitable early years and nursery services to provide nursery places for all 3 and 4 year olds and work towards meeting parental choice	<ul style="list-style-type: none"> <li>• Education Service rolling out universal early learning and childcare provision as provided for in the Children and Young People Bill. As part of this we plan to increase resources for 2 year olds</li> <li>• Children's Wellbeing proposal to transfer the targeted Early Years and Childcare Olivebank service and resources from Education Services to Children's Wellbeing, in the light of the developing focus of this service on the most vulnerable families with very young children</li> </ul>

Indicator	Result	Target	
Percentage of school leavers entering positive post-school destinations	86.7% (2012)	83.6%	
% of pupils gaining 5+ Level 5 or better by the end of S4	38% (2012)	41%	
% of pupils gaining 5+ Level 4 or better by the end of S4	82% (2012)	83%	

## Context – Older People

East Lothian Council provides social care for a growing number of adults. The number of older people in East Lothian requiring care is forecast to grow significantly. The overall population of East Lothian is expected to increase by 77.4% between 2010 and 2035. This represents another 13,561 people aged over 65 living in East Lothian by 2035.

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

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



What we said we would do:	What we have done during 2012/13:
<p>Update the Older People's Strategy and develop a new integrated early intervention services model to build on the success of our response and rehabilitation service to continue to shift the balance of care through developing community based options and maximising opportunities to live independently for as long as possible</p>	<ul style="list-style-type: none"> <li>• Health &amp; Social Care Integration will continue to inform and support the development of the Older People's Strategy. The appointment of the Jointly Accountable Officer and a Shadow Board will provide the Governance and support for the update.</li> <li>• Council continues to maintain an excellent balance of care ensuring that people remain in their own home and communities for as long as possible. We have developed an emergency care service which provides a rapid response to people who may have had issues in their own homes. This service was anticipated to see 60-80 people per month but is now providing interventions for nearly three hundred people per month</li> <li>• Community Response and Community Access Teams continue to support people staying in their own homes with telephone response to Community Alarm/Telecare activations and requests for aids and adaptations</li> </ul>
<p>To meet the growing demand for home care services we will work with the voluntary sector and encourage the creation of social enterprises to work together with commercial home care services to enhance the quality, standards and choice and capacity of care available to East Lothian residents</p>	<ul style="list-style-type: none"> <li>• We continue to work with VAEL to support start up social enterprise organisations. We have created a partnership approach with Cornerstone and CASA to introduce a franchised social enterprise in 2013</li> <li>• We have developed a procurement exercise which will deliver on outcome focused support for people who require help to live at home and ensure increased capacity within East Lothian's care at home services</li> </ul>
<p>Modernise adult day services led by users and guarantee personal development plans for all vulnerable adults</p>	<ul style="list-style-type: none"> <li>• We have created the hub for people with a range of needs in Fisherrow, Musselburgh. This has allowed the closure of Mansfield Road, a traditional day centre for people with learning disabilities. The Hub provides increased opportunities for access to education, training, employment and social activity</li> <li>• We have worked closely with service users to provide personal development plans and support and engaged specifically with external providers to look at how that these can be provided. We are introducing individual plans as part of the self directed support assessment</li> </ul>

## East Lothian Older People's Strategy

The Older People's Strategy aims to achieve four outcomes:

- Services will meet the needs of East Lothian's growing and ageing population
- Services will enable older people to live independently, with support whenever necessary
- Older people and their carers will be healthier and more active and feel included in their community
- We will raise standards of service to deliver effective and efficient services in a challenging financial climate

### Key Indicators:

Indicator	Result	Target	
% of homecare clients receiving a service during the evening / overnight	51.6%	40%	
% of homecare clients receiving a service at weekends	86.2%	80%	

What we said we would do:	What we have done during 2012/13:
Provide high quality respite opportunities for carers and users of care services	<ul style="list-style-type: none"> <li>• We have enhanced respite services for older people by continuing to purchase places within the private sector thereby offering different choices for support and care.</li> <li>• A new respite unit (Potters Path) for people with a disability has been opened up as a replacement for a service that could no longer be sustained.</li> <li>• We have produced a strategy and action plan for delivery of respite services which will introduce a respite bureau which will allow people to "book" their choice of respite through one central position</li> </ul>
Promote opportunities for healthy living throughout East Lothian	<ul style="list-style-type: none"> <li>• We are working closely with health colleagues to look at the opportunities for healthy living through East Lothian. In particular we have supported the development of the Ageing Well service, including part-funding a post to provide this service</li> </ul>
Continue to plan for the introduction of a Health and Social Care Partnership and further develop opportunities with NHS Lothian for integrated service provision, to protect existing local health care services and ensure East Lothian residents have access to local health facilities	<ul style="list-style-type: none"> <li>• The establishment of the Shadow Board for the Health &amp; Social Care Partnership and the appointment of the Jointly Accountable Officer has progressed the integration agenda with NHS Lothian. We will be working with our colleagues in Health to provide an Integration Plan</li> </ul>
Implement the Tackling Poverty Strategic Plan, increase access to welfare and money advice and to Credit Unions in East Lothian and seek to minimise any potentially negative impacts from the UK Government's welfare reforms	<ul style="list-style-type: none"> <li>• Tackling Poverty Strategy to be approved by the Community Planning Partnership and Council</li> <li>• Ongoing work on the Welfare Reform Action Plan to mitigate the impact of welfare reform</li> </ul>
Oppose any plans to close Haddington Sheriff Court	<ul style="list-style-type: none"> <li>• The Council played a leading role in opposing the proposals to close Haddington Court</li> </ul>

## Growing the capacity of our Council – to deliver excellent services as effectively and efficiently as possible

### Context

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

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

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

### Key Actions

What we said we would do:	What we have done during 2012/13:
Implement the Council's Improvement Framework to pursue 'continuous improvement' in the delivery of services and ensure that waste, bureaucracy and administrative costs are minimised so that funding is ploughed into front line services and the Council provides the highest quality of service	<ul style="list-style-type: none"> <li>As part of the Council's 2013-2016 budgets ambitious targets have been set for efficiency savings. These will be reported to Cabinet/Council each quarter with an annual report to the Scottish Government on 2012/13 efficiency measures currently being prepared. In addition, the Council is currently investigating new ways of organising and managing administrative staff across all services</li> </ul>
Support and develop partnership working through: <ul style="list-style-type: none"> <li>the Community Planning Partnership</li> <li>the partnership funding strategy</li> <li>exploring shared and integrated service provision with local partners and other local authorities</li> <li>other strategic partnerships such as Scottish Futures Trust and South East Scotland hubCo</li> </ul>	<ul style="list-style-type: none"> <li>The new CPP structure has been established</li> <li>The Partnership Funding Strategy has been approved</li> <li>Shadow Health and Social care partnership has been established</li> <li>Possible areas of partnership working are being explored with Midlothian council including health and safety and Emergency Planning</li> <li>Opportunities for partnership with SFT and hubCo are explored</li> </ul>
Implement the Single Equality Scheme	<ul style="list-style-type: none"> <li>Single Equality Scheme has been adopted by the Council and progress will be monitored and reported</li> <li>Cabinet agreed the East Lothian Equality Plan 2013-16 on the 14th May 2013</li> </ul>
Adopt a new integrated impact assessment process for Council policies incorporating equalities and environmental, economic and social sustainability, including an assessment of potential impact on jobs and the economy of East Lothian, to ensure that any potential negative impacts are identified and mitigated	<ul style="list-style-type: none"> <li>The new Combined Impact Assessment has been developed and is being rolled out following training and awareness raising with relevant staff. An e-learning module has been developed</li> </ul>



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

- the Modernising Government programme - identifying new ways of working
- Customer Excellence Strategy - ensuring that customers are at the core of service delivery (e.g. through the development of the Council contact centre)
- Worksmart - encouraging flexible working options to allow the Council to rationalise use of office space in Haddington and Macmerry
- Printsmart - substantial reductions in the number of printers and the use of photocopying
- Efficient Workforce Management - reviewing how the Council's workforce is organised and used

What our auditors say:

Overall, East Lothian Council continues to perform well in most areas. However, it is entering a period of significant change in financial and organisational terms as a Council. The Chief Executive, appointed in August 2011, has established a clear vision and direction for the Council. She has ensured that there continues to be areas of strong performance and a number of improvement activities have progressed well, for example around using How Good is Our Council to support and extend self-evaluation and in Corporate Services.

What we said we would do:	What we have done during 2012/13:
Implement the strategies that support the Improvement Framework including: <ul style="list-style-type: none"> <li>• People Strategy</li> <li>• Asset Management Strategy</li> <li>• Risk Strategy</li> <li>• Customer Contact Strategy</li> <li>• IT Strategy</li> <li>• Procurement Strategy</li> <li>• Consultation and Engagement Strategy</li> </ul>	<ul style="list-style-type: none"> <li>• People Strategy 2012-15 approved January 2012 and published/promoted on ELnet</li> <li>• Draft Asset management Strategy being considered by Corporate Asset Group</li> <li>• Risk Strategy adopted by Council and Risk registers have been developed for all services</li> <li>• Face-to-Face Services review recommendations to improve access for people to Council services/reduce Receptions/review Payments Service/improve training for staff and continue CSPQ training</li> <li>• Ongoing monitoring and reporting of Customer Feedback</li> <li>• Continuation of moving calls into the Contact Centre</li> <li>• Continuation of development of self-service through the web</li> <li>• Existing strategy in place but now due for refresh in 2013/14 – underway.</li> <li>• Procurement Strategy is now progressing well as part of the Procurement Improvement Programme (PIP)</li> <li>• IT Strategy being implemented</li> <li>• Procurement Strategy being implemented</li> <li>• Consultation and Engagement Strategy being implemented – Consultation Hub now live of the Council's website</li> </ul>
Introduce a 'Living Wage' for Council employees	<ul style="list-style-type: none"> <li>• Living Wage introduced in Sept 2012</li> </ul>
Maintain the Council Tax freeze in line with Scottish Government policy	<ul style="list-style-type: none"> <li>• Three year budget set with no increase in Council Tax</li> </ul>

## Scrutiny

East Lothian Council has two committees that perform the 'scrutiny' function: the Audit and Governance Committee and the Policy and Performance Review Committee. Scrutiny involves examining and monitoring the activity of the Council with the aim of improving the quality of services. Scrutiny ensures that executives are held accountable for their decisions, that their decision-making process is clear and accessible to the public and that there are opportunities for the public and their representatives to influence and improve public policy.

Each Committee receives regular monitoring reports that highlight issues that might need further scrutiny. The Audit & Governance Committee receives audit reports that show the results of investigations conducted by the Council's auditors. The Policy & Performance Review Committee receives regular performance reports that demonstrate the extent to which the Council is achieving its goals.

The following table summarises some of the issues that the Audit & Governance Committee and Policy & Performance Review Committee have reviewed during 2012/13:

<b>Audit &amp; Governance Committee</b>	<b>Policy &amp; Performance Review Committee</b>
<p data-bbox="94 598 698 625"><b>Impact of Welfare Reform – November 2012</b></p> <p data-bbox="94 639 1081 699">An update report outlining the impact of Welfare Reform on Council services and the actions that the Council is undertaking to address the impact.</p> <p data-bbox="94 758 616 785"><b>Council Risk Register – January 2013</b></p> <p data-bbox="94 799 1048 890">The Register highlights the main risks that might prevent the Council from achieving its objectives. The report also describes the actions that the Council will take to control each risk.</p>	<p data-bbox="1128 598 1668 625"><b>Roads Asset Management – June 2012</b></p> <p data-bbox="1128 639 2101 699">A review of the options available to maintain and improve the roads in East Lothian in the future.</p> <p data-bbox="1128 758 1939 785"><b>Looked After Children on the Cusp of Care – January 2013</b></p> <p data-bbox="1128 799 2069 826">An explanation of the options available to care for Looked After Children.</p> <p data-bbox="1128 885 1500 912"><b>Rent Arrears – March 2013</b></p> <p data-bbox="1128 927 2047 986">The Committee investigated the increasing trend in rent arrears among tenants of Council houses.</p>

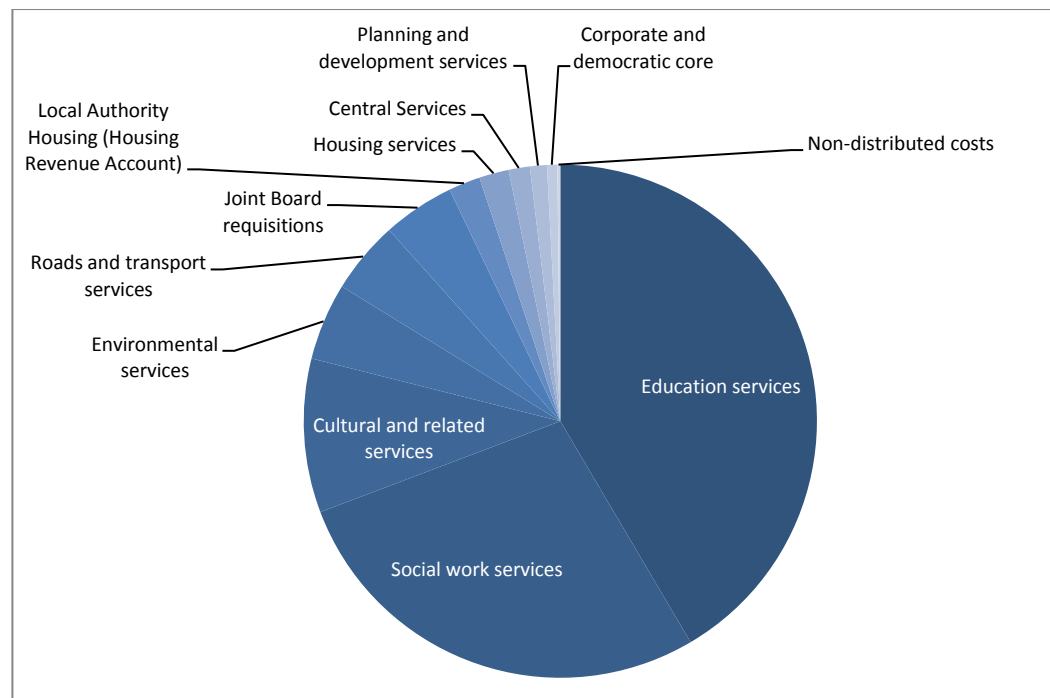
## Finances

Where the money goes:

Net expenditure by service (£,000s):

	2011/12	2012/13
Central Services	£3,724	£2,964
Cultural and related services	£23,357	£21,507
Education services	£93,394	£92,099
Environmental services	£13,741	£10,795
Housing services	£4,602	£4,141
Joint Board requisitions	£10,181	£10,027
Local Authority Housing (Housing Revenue Account)	£4,015	£4,426
Planning and development services	£2,246	£2,370
Roads and transport services	£12,341	£10,166
Social work services	£60,819	£61,468
Corporate and democratic core	£2,753	£1,440
Non-distributed costs	£272	£407
<b>Total cost of services</b>	<b>£231,445</b>	<b>£221,810</b>

Net expenditure by services as a proportion of total Council net expenditure 2012/13



## Financial outlook:

### What our auditors say:

East Lothian faces a number of particular challenges. 2011-12 was the first year that the Council actually used reserves albeit this was at a lower level than had been planned. The Council is planning to utilise most usable un-earmarked general reserves by 31 March 2015. In 2015-16 the Council is planning for a sustainable balanced budget that does not draw from reserves.

In the medium term it is clear that the Council faces some difficult financial decisions as a result of the following;

- Reductions in the income it will receive from central government;
- New legislative requirements e.g. food waste treatment/homelessness legislation;
- Responding to the challenges arising from proposed UK benefit reforms over the coming years; and
- Increasing population e.g. school rolls/elderly care.

The latest estimate of funding that is available to support council services is going to drop from £195.7 million in 2012/13 to £191.4 million by 2015/16. This trend has been evident over the past couple of years but our estimate is that we have only managed 20% of the reduction which will be needed by the end of the budgetary period.

As far as possible, the Council is seeking to contain costs by becoming more efficient, which would minimise the effect on services provided. However, the size of the medium-term deficit suggests that more significant changes in how services are managed and delivered will be required as the means of containing costs whilst maintaining and where possible improving services in accordance with the Council Plan.

£2.284 million remains available in reserve to support the 2013-2016 budgets or be returned to taxpayers. Financial sustainability is demonstrated by having the final year of the budget showing balanced income and expenditure without the use of reserves. Borrowing is usually repaid over a longer period than three years, and the best indicator of whether the future repayments are sustainable is a 2015/16 budget that does not rely on temporary sources of funding such as reserves.

The Council faces a wide range of risks and an increasingly difficult financial environment. For General Services, in the short and medium term expenditure is outstripping income. In the longer-term, pension liabilities are increasing and should be funded now rather than passed on as a burden for future taxpayers.

However, by effectively working together, and by delivering the required change programme, this challenge can be managed and that, by the end of the budgetary period we will be delivering our priority outcomes for the people of East Lothian within a sustainable and balanced budget.

To achieve this, over the next three years, the Council's financial strategy will be focused upon;

- Delivering a Change Programme that will achieve significant efficiency savings across all areas and all inputs such as staffing and supplies;
- Constraining cost growth – through effective demand management, good financial control by managers and by effective negotiation with suppliers
- Generating additional income and ensuring that, where the Council has decided, there is full cost recovery;
- Progressing integrated working with our partners where there is a promise of greater efficiency;
- Avoiding any new additional borrowing after the 2013/14 financial year

## **Local Government Benchmarking Framework**

The Local Government Benchmarking Framework helps councils in Scotland compare their performance with one another. The information that is included in the Framework covers how much councils spend on particular services and, where possible, service performance. The core purpose of the Framework is benchmarking: making comparisons on spending and performance between similar councils so that councils can identify strengths and weaknesses, learn from councils who seem to be doing better and improve their local performance.

East Lothian Council reported the results for the indicators that form the Framework to the meeting of the Policy & Performance Review Committee in April 2013. The report covers the most recent data that is available for the indicators, which mainly relates to 2011/12. The report can be found here:

[http://www.eastlothian.gov.uk/download/meetings/id/14478/3\\_local\\_government\\_benchmarking\\_framework](http://www.eastlothian.gov.uk/download/meetings/id/14478/3_local_government_benchmarking_framework)

The full results for the Local Government Benchmarking Framework for all Scottish Councils can be found here:

<http://www.improvementservice.org.uk/benchmarking/>

## **Statutory Performance Indicators**

All Scottish councils are required to report their performance against a number of indicators known as Statutory Performance Indicators (SPIs). The SPIs are determined by the Accounts Commission and the results are published by Audit Scotland. East Lothian Council publishes the results of its SPIs among the indicators included as part of the Council's performance website, which can be found here: <http://www.eastlothian.gov.uk/performance/>

The full results for the Statutory Performance Indicators are published on the Audit Scotland website here:

<http://www.audit-scotland.gov.uk/performance/council/>



**REPORT TO:** Policy and Performance Review Committee

**MEETING DATE:** 24 September 2013

**BY:** Head of Service / CSWO

**SUBJECT:** Child and Adult Protection

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**4**

## **1 PURPOSE**

This report gives an overview of the statistical information for Child and Adult Protection for Quarter 1 (2013 / 2014).

## **2 RECOMMENDATIONS**

2.1 The Committee is asked to:

a) Note the contents of this report.

## **3 BACKGROUND**

### **3.1 Child Protection**

Over 30% of referrals are from Musselburgh with 25% from Tranent. The average number of children this year in foster care is 96 – a rate per 1,000 of 4.4, below the national average of 5.0 (as at July 2012).

The number of children on the Child Protection Register continues to reduce since Signs of Safety was introduced in April this year. Signs of Safety is a practice model which places greater emphasis on preparation, participation and planning for Child Protection Case Conferences where families are more engaged within the process. More children's safety plans are being drawn up at Case Conference, as opposed to Child Protection plans. There are currently 47 children on the Child Protection Register.

The majority of children on the register remain under 4 years of age or in utero (62%) demonstrating that it is the most vulnerable who have child protection plans in place.

The predominant areas of concern remain neglect and substance misuse, with a steady rise of inter-agency referral discussions for domestic violence. There has been an increase of drug misuse concerns from 26% last quarter to 49% this quarter, with a decrease in alcohol misuse from 28% to 15% this quarter. The Child Protection registrations remain concentrated in the Musselburgh area with a shift from Haddington, Prestonpans and Port Seton to Tranent.

The Health Visitor cause for concern families are broadly similar to the last quarter with a total of 185 children who are sitting just below the Child Protection level. These families receive a higher level of support from their Health Visitor, due to the vulnerability of the children.

North Berwick / Cockenzie and Port Seton have a total of 41 cause for concern families with no children on the Child Protection Register, possibly demonstrating good preventative work, which requires further analysis through health.

The total number of children who were re-registered on the Child Protection Register between 1/09/11 and 31/08/13 is 30 children:

13 single children

3 families of 2 siblings

1 family of 3 siblings

2 families of 4 siblings

The number of one repeat Inter-agency Referral Discussions (IRD) has decreased from 21% in Quarter 4 to 14% this quarter. An IRD is the first stage in the process of joint information sharing, assessment and decision making about children at risk of harm.

The number of Case Conferences held between 1/09/12 and 31/08/13 was 119, a decrease of 10% from 1/09/11 to 31/08/12 when there were 132 Case Conferences. There was 1 young person in secure accommodation in July / August.

The first training session for the new Getting it Right for Children & Families Affected by Parental Problem Alcohol & Drug Use guidance was delivered on 6 September to an inter-agency audience of 64 professionals including a large number of Education staff, the feedback from this first session was positive.

With a decreasing number of children on the Child Protection Register the data sample is reducing and therefore any change in numbers can be significant. It is therefore possibly more useful to start including referral statistics mapped geographically, which have been increasing over the past year – currently an 8% increase from last year.



### 3.2 Adult Protection

In quarter 1 the referral rate in East Lothian fell by 4% from 304 to 293; 26% of referrals were progressed through Duty to Inquire 33% of which progressed through IRD to Investigation. These figures are broadly consistent with the trend over 2012-13. The actual number of cases being managed under Adult Protection has reduced from 43 in Quarter 4 to 34 which is 20% lower than the average for 2012-13 which was 48. The reduction in numbers has arisen following developmental training and awareness raising of staff around the importance of procedural timescales and electronic closures on Framework i. Previously there were a large number of outstanding "Duty to Inquires", this number currently stands at zero.

In this period the profile of Adult Protection inquiries remains broadly consistent with 2012-13, with 45% in relation to over 65s. In terms of client group, 39% of inquiries were in relation to older people, with 33% in the "other vulnerable" category which includes people with alcohol and substance misuse issues, who do not neatly fall into other categories. This figure reflects the majority of police referrals received despite a large proportion not meeting the criteria of an Adult at Risk of Harm. An Adult at Risk of Harm is described in the Adult Support and Protection (Scotland) Act 2007 as someone over 16, who is:

- a) 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, is more vulnerable to being harmed than adults who are not so affected.

Operationally this category often presents with very chaotic and risky behaviours and can have a significant demand on frontline resources. In the majority of cases referred by police, consent is not obtained from the adult and they are unaware that a referral has been submitted to Adult Wellbeing, this raises ethical issues in relation to the Right to Privacy and can often raises dilemmas for practitioners when screening the referrals.

Whilst acknowledging that people are usually subject to more than one type of harm, in Quarter 1, the primary type of harm reported in 20% of Inquiries were in relation to self harm, 17% in relation to financial harm, 17% in relation to physical harm and 17% in relation to psychological harm. The remainder were in relation to neglect, including self neglect (10%), sexual harm (8%) and the remaining 11% was recorded as other / not known.

The number of professionals meetings has reduced slightly and the number of case conferences has reduced to 20 in Quarter 1 from 27 in Quarter 4 2012-13 which is comparable with the overall trend in 2012-13. A record of attendance at case conferences is being considered by the

Quality Assurance sub-committee and issues highlighted include how to best facilitate GP involvement. East Lothian Council has created a short working document to support council officers when carrying out Inquiries within the framework of Scottish Governments Guidance for G.Ps. Further development in the form of “roadshows” with G.Ps is planned to assist with the engagement of G.Ps in Adult Protection practices within East Lothian.

The geographical spread of referrals is mostly clustered around the Musselburgh Tranent and Haddington areas.

#### **4 POLICY IMPLICATIONS**

4.1 N/A

#### **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 – N/A

6.2 Personnel – N/A

6.3 Other – N/A

#### **7 BACKGROUND PAPERS**

7.1 Attached to this report is an appendix which is the Quarter 1 Observations Report prepared for CSOG and Committee Forums.

<b>AUTHOR'S NAME</b>	Anne Thompson / Sheila Foggon
<b>DESIGNATION</b>	Adult Protection Lead Officer – East & Midlothian / Child Protection Lead Officer Joint CPC & East Lothian
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<b>DATE</b>	24/09/13

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# East Lothian Public Protection Lead Officer Observations report

## Quarter 1 2013 / 2014

### April to June

#### Reporting to the:

- 1) East Lothian Council Policy & Performance Review Committee on Tuesday 24<sup>th</sup> September 2013.

#### Contents:

Child Protection	-	Page 2
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Violence Against Women – MARAC	-	Page 14

## 1) Child Protection:

### 1.1) Trends & patterns

Measure	Short term trend	Long term trend	2010/11	2011/12	2012/13	Q1 2013/14	Q2 2013/14	Q3 2013/14	Q4 2013/14	Annual (average)
No of children on CPR in East Lothian	↓	↓	53	66	53	47	-	-	-	47

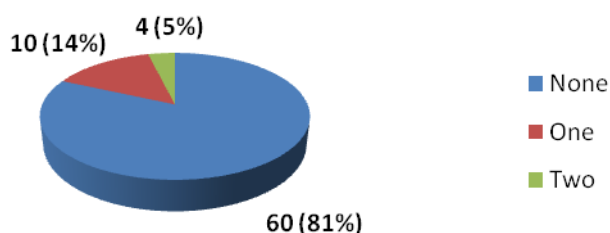
Comparison with similar sized authority areas – as at 31<sup>st</sup> July 2011:

Authority Area	Rate per 1,000 (0-15 pop)
West Dunbartonshire	1.2
Argyll & Bute	2.7
National average	2.9
Moray	3.1
East Lothian	2.5 (as at 30/06/13)

### Repeat Inter-agency Referral Discussion's (East Lothian):

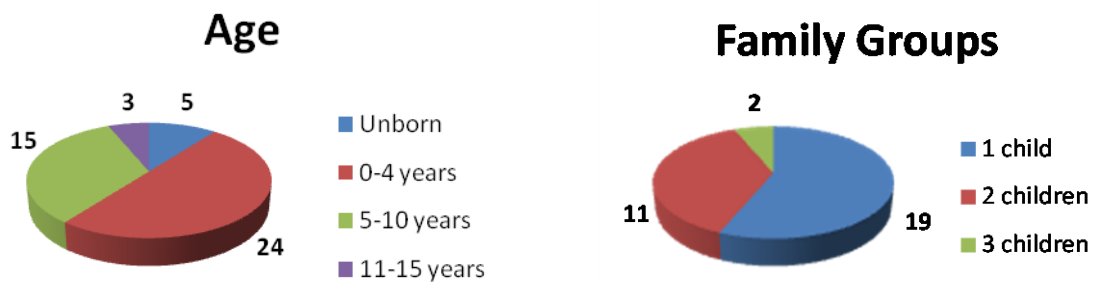
Between 1<sup>st</sup> April 2013 and 30<sup>th</sup> June 2013 there were a total of 74 sibling groups subject to an IRD within East Lothian. When an IRD is undertaken the Team Leader is asked to record how many IRD's the child has been subject to in the previous 15 months. The pie chart below is a breakdown of this data over quarter 1:

### East Lothian - repeat IRD's by sibling group



## 1.2) Profile:

East Lothian Child Protection profile as at 30<sup>th</sup> June 2013 (quarter 1)



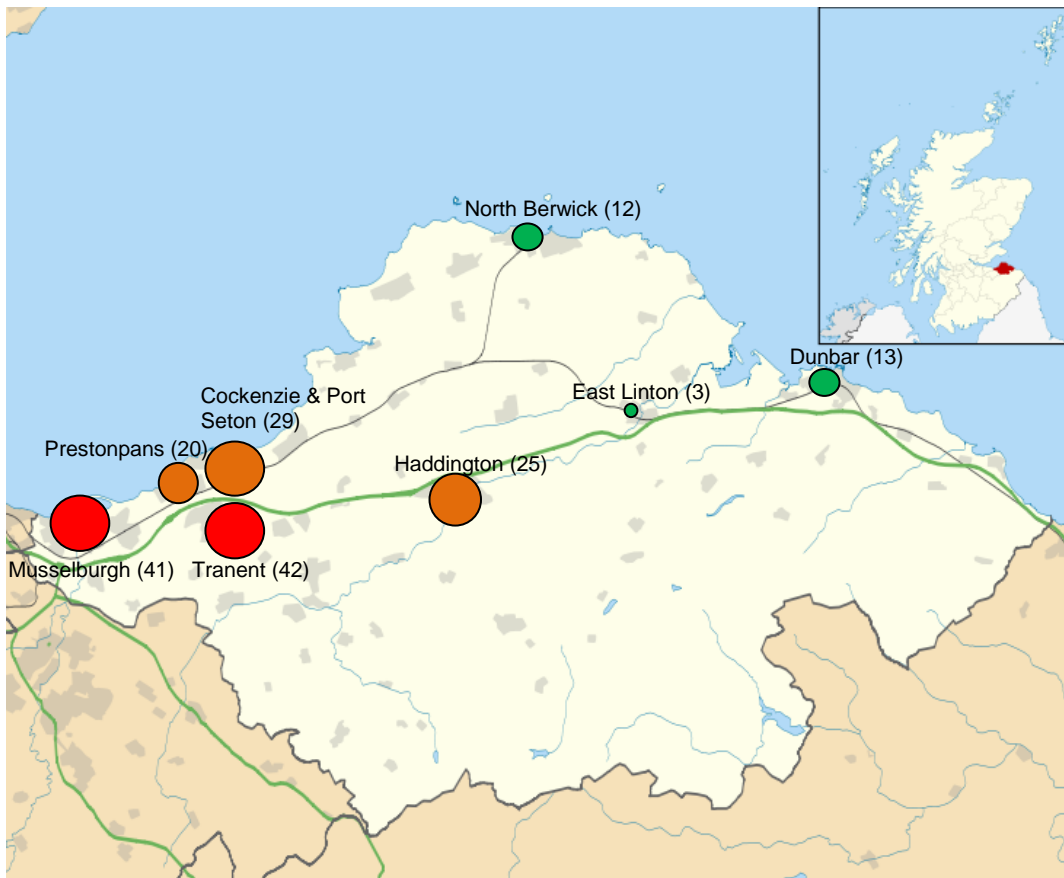
- For 34% of children (16) on the Child Protection Register domestic violence was an area of concern.
- For 49% of children (23) on the Child Protection Register parental drug misuse was an area of concern.
- For 15% of children (7) on the Child Protection Register parental alcohol misuse was an area of concern.
- For 43% of children (19) on the Child Protection Register neglect was an area of concern.
- For 6% of children (3) on the Child Protection Register parental mental health problems were an area of concern.

**1.3) Geography:**

East Lothian Children on the Child Protection Register



East Lothian Health Visitor Cause for Concern



## **1.4) Closing Remarks:**

### **East Lothian**

- The number of children on the Child Protection Register continues to reduce demonstrating a longer term trend of reductions and currently sitting at 47 children.
- East Lothian's rate per 1,000 of population of children is 2.5 compared to the national average of 2.9 in relation to registration.
- The majority of children on the register remain under 4 years of age or in utero (62%).
- The repeat IRD's over the past 15 months demonstrates an increase of '**no repeats IRD's**' to 81% from 74% in the quarter 4 report. The number of 'one repeat IRD' has decreased from 21% in quarter 4 to 14% in quarter 1 while 'two repeat IRD's' has remained the same at 5%.
- The predominant areas for concern remain neglect and substance misuse. There is an increase of drug misuse from 26% to 49% and a decrease in alcohol misuse from 28% to 15%. Domestic violence has increased slightly from 32% to 34%.
- The Child Protection Registrations remain concentrated in the Musselburgh area with a shift from Haddington and Prestonpans / Port Seton areas to Tranent.
- The Health Visitor Cause for Concern families, in number and spread geographically within East Lothian are broadly similar to last quarter.
- North Berwick, Cockenzie and Port Seton all have a number of children who are identified as Cause for Concern families. There are no children on the Child Protection Register in these 3 areas.
- East Lothian has 209 looked after children, 34 of those children are in formal Kin Care which is a rate of 1.5 per 1,000, considerably below the national average of 3.7 per 1,000. This form of care is being actively promoted both at national and local level.

### **3<sup>rd</sup> sector – Children 1<sup>st</sup>**

Young Families Outreach	45	increase of 10 from quarter 4
Family Group Conferencing	12	reduction of 13
Bfriends Project	31	reduction of 5

Children worked with on Child Protection Register:

Young Families Outreach	11	decrease of 2
Family Group Conferencing	6	decrease of 4
Bfriends Project	2	increase of 1

**N.B:** Some children may have been worked with across quarters and will therefore have been counted more than once.

I have no information from SCRA this quarter.



It is important to point out that the decreasing number of children on the Child Protection Register means that the data sample is getting smaller and therefore any change in numbers can be significant. It is therefore possibly more useful to start including referral statistics which have been increasing over the past year with an 8% increase over the same period last year.

Using Child Protection referral statistics alongside the data in relation to the Child Protection Register would hopefully broaden the information available to CSOG in future.

Sheila Foggon  
Child Protection Lead Officer  
East Lothian

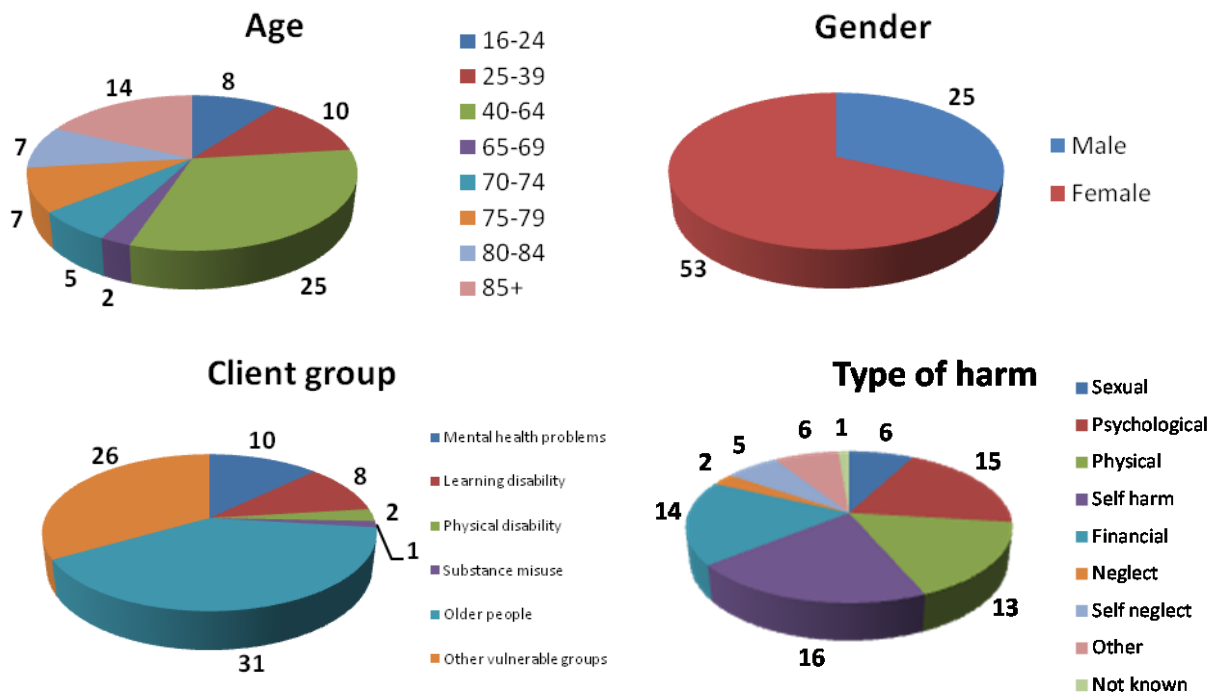
## 2) Adult Protection:

### 2.1) Trends and Patterns – East Lothian

Measure	Short term trend	Long term trend	2010/11	2011/12	2012/13	Q1 2013 / 14	Q2 2013 / 14	Q3 2013 / 14	Q4 2013 / 14	Annual
Referrals	▬	↑	835	941	1065	293	-	-	-	293
Duty to Inquire	↓	↑	143	307	363	78	-	-	-	78
IRD	↓	↓	58	145	132	27	-	-	-	27
Case Conferences*	↓	↑	36	95	141	20	-	-	-	20
Professionals meetings	▬	↓	-	-	40	4	-	-	-	4
No of open cases	↓	↓		56	48	34	-	-	-	Average 34
Protection Orders	▬	↑	8	5	11	3	-	-	-	3
No of Large Scale Investigations	▬	↓	2	7	6	1	-	-	-	1

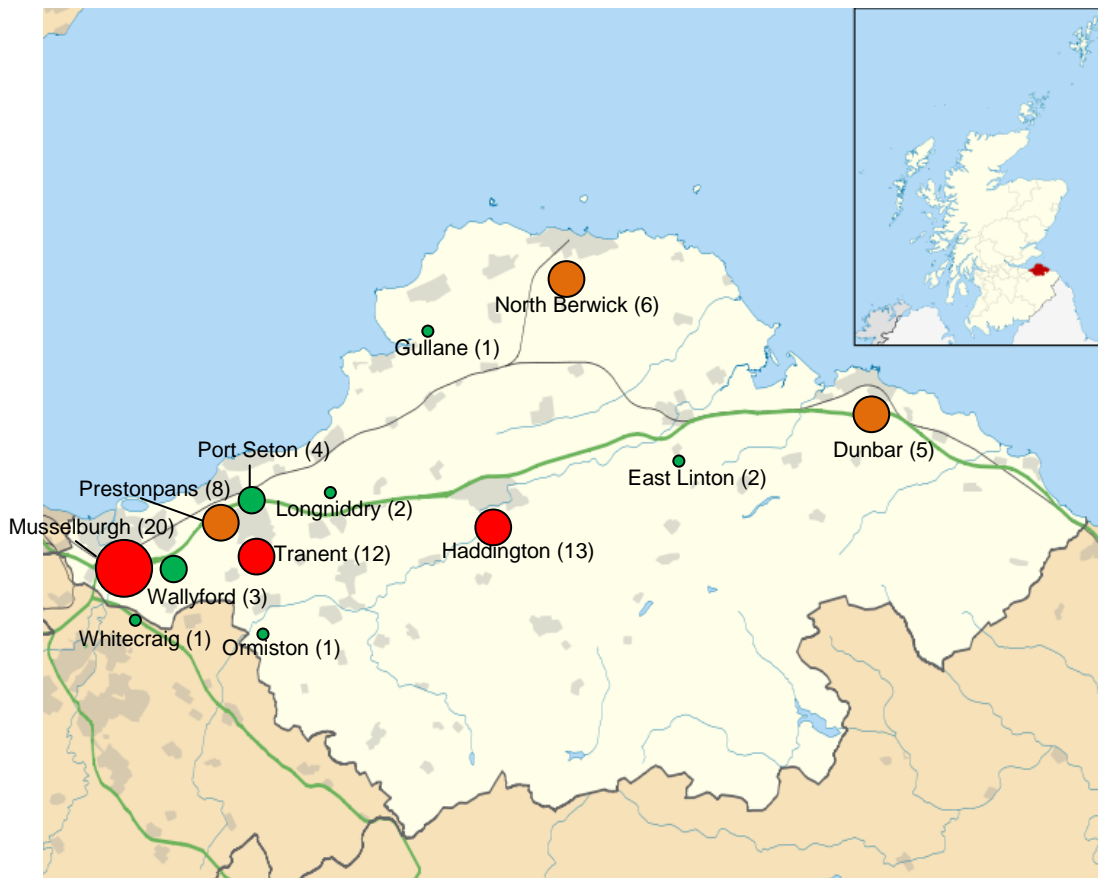
\* 2010/11 & 2011/12 figures include Professionals Meetings.

### 2.2) Profile – East Lothian



## 2.5) Geography:

### East Lothian Referrals by Home Address



## **2.6) Closing Remarks:**

### **East Lothian**

The referral rate in East Lothian fell by 4% in quarter 1 from 304 to 293 (246 of which were police Adult Concern Forms, 32 (13%) for which Inquiries were made under Adult Support and Protection) 26 of the total inquiries resulted from police referrals. In quarter 1 26% of referrals were progressed through Duty to Inquire 33% of which progressed through IRD to Investigation. These figures are broadly consistent with the trend over 2012-13. The actual number of cases being managed under Adult Protection has reduced from 43 in quarter 4 to 34 which is 20% lower than the average for 2012-13 which was 48. The reduction in numbers has arisen following developmental training and awareness raising of staff around the importance of procedural timescales and electronic closures on Framework i. Previously there were a large number of outstanding "Duty to Inquires", this number currently stands at zero.

In quarter 1 the profile of Adult Protection inquiries remains broadly consistent with 2012-13, with 45% in relation to over 65s. In terms of client group, 39% of inquiries were in relation to older people, with 33% in the "other vulnerable" category which includes people with alcohol and substance misuse issues, who do not neatly fall into other categories. This figure reflects the majority of police referrals received despite a large proportion not meeting the criteria of an Adult at Risk of Harm. Operationally this category often presents with very chaotic and risky behaviors and can have a significant demand on frontline resources. In the majority of cases referred by police, consent is not obtained from the adult and they are unaware that a referral has been submitted to Adult Wellbeing, this raises ethical issues in relation to the Right to Privacy and can often raise dilemmas for practitioners when screening the referrals.

Whilst acknowledging that people are usually subject to more than one type of harm, in quarter 1, 20% of Inquiries were in relation to self harm, 17% in relation to financial harm and 17% in relation to physical harm or psychological harm as the primary harm reported.

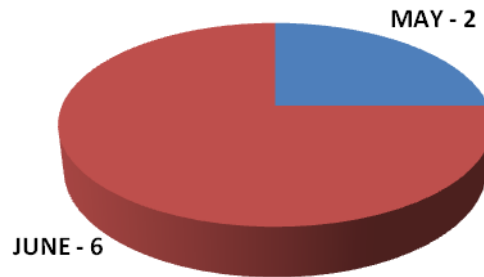
- The number of professionals meetings has reduced slightly to 4 in quarter 1 from 5 in quarter 4 2012-13, and the number of case conferences has reduced to 20 in quarter 1 from 27 in quarter 4 2012-13 which is comparable with the overall trend in 2012-13. A record of attendance at case conferences is being considered by the Quality Assurance sub-committee and issues highlighted include how to best facilitate GP involvement. East Lothian Council has created a short working document to support council officers when carrying out Inquiries within the framework of Scottish Governments Guidance for GPs. Further development in the form of "roadshows" with GPs is planned to assist with the engagement of GPs in Adult Protection practices within East Lothian.

#### 4) Violence Against Women – MARAC:

The Multi-agency Risk Assessment Conference conducted its first conference on 30<sup>th</sup> May 2013. Therefore these figures are a 2 month snapshot of the cases being referred to the service.

#### MARAC profile from May – June 2013

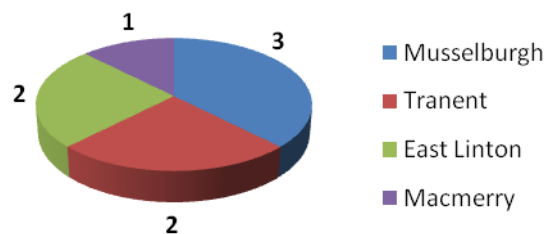
##### **East Lothian**



- Total of 8 referrals from East Lothian:
  - 100% of which were from Police Scotland.

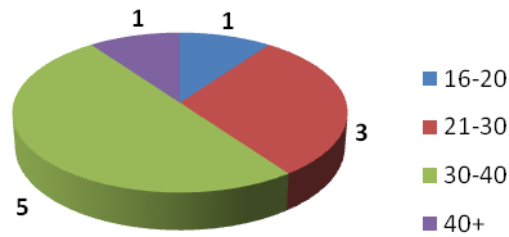
The following charts show the areas in which the referrals are coming from:

##### **East Lothian**



In terms of a pattern of age groups being referred, MARAC have noted the following figures:

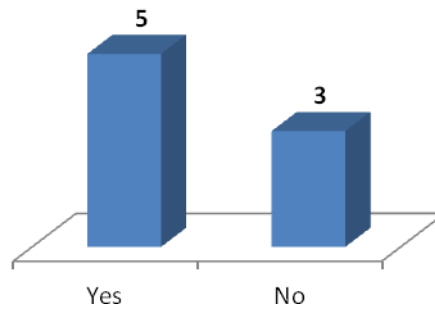
### East Lothian



### Children involved in Domestic Abuse relationships:

MARAC has also observed the number of children involved in domestic abuse relationships and where these children are being cared for. MARAC has identified the following figures.

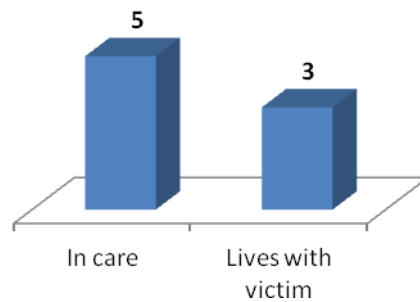
### East Lothian



- As these figures show 5 of the 8 cases referred from East Lothian the victim was a parent to 1 or more children.

The following breakdown shows what number of these families are being “looked after” outwith the family home. This includes kinship care, foster care and residential care.

### East Lothian



Michelle Williams  
MARAC Co-ordinator

**REPORT TO:** Policy and Performance Review Committee

**MEETING DATE:** 24 September 2013

**BY:** Depute Chief Executive - Partnerships and Services for Communities

**SUBJECT:** Social Work Complaints and Feedback Annual Report 2012-2013

**5**

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**1 PURPOSE**

- 1.1 To give a report on the use of the Council's Social Work complaints procedure for the year 2012/13.

**2 RECOMMENDATIONS**

- 2.1 To note the report

**3 BACKGROUND**

- 3.1 Section 52 of the NHS Community Care Act 1990 and the Social Work (Representations Procedure) (Scotland) Directions 1996 requires every Local Authority Social Work Service to develop and implement a complaints procedure. The Council is also required to consider, in public business, an annual report on the use made of the procedure and the outcome of complaints.
- 3.2 Feedback (comments, complaints and compliments) about social work services are recorded on a customer feedback module on the Council's Customer Relationship Management System (CRM), which allows for the recording, monitoring and reporting of client feedback.
- 3.3 In line with its statutory requirements, the Council operates a 3 stage social work complaints procedure:

**Stage 1** – Complaint dealt with directly at point of service

**Stage 2** – Complaint requires formal investigation and response

**Stage 3** – Referral to independent Complaint Review Committee (CRC)

Thereafter, there is a legal right of referral to the Scottish Public Services Ombudsman (SPSO).

#### BREAKDOWN OF FEEDBACK

3.4 Stage 1 complaints are dealt with directly at point of service. **35** Stage 1 complaints were recorded for the year 2012/2013, a 14% increase from the previous year. These were straightforward complaints either resolved at first point of contact or referred to the relevant social worker/manager for swift resolution. Examples of Stage 1 complaints include messages not being returned, requested information not being provided, or delays in providing an agreed service.

3.5 For the year 2012/13, East Lothian Council received **68** Stage 2 complaints about its social work services, overall a slight reduction from last year when 71 were received.

3.6 A breakdown of complaints by subject and social work area is attached at Appendix 1.

3.7 The following is a breakdown by service:

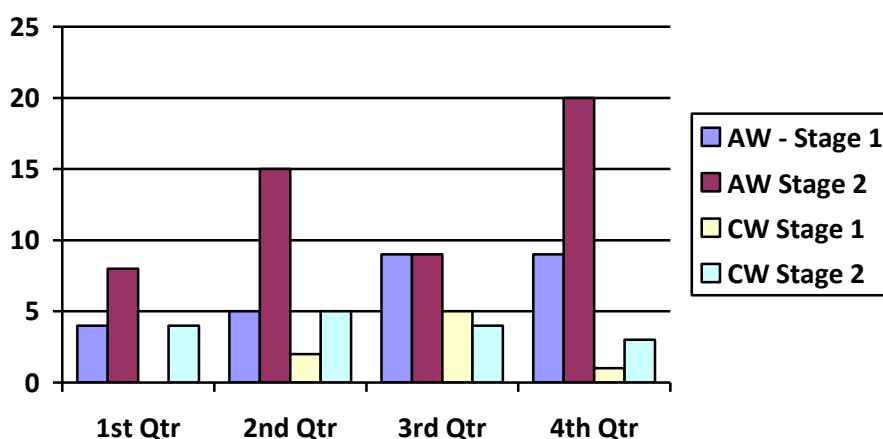
Adult Wellbeing (AW): Stage 1: **27**; Stage 2: **52**

Children’s Wellbeing (CW): Stage 1: **8**; Stage 2: **16**

Criminal Justice (CJ): **0**

3.8 The following bar chart shows the number of Stage 1 and Stage 2 complaints for each social work service received per quarter for the year 2012/13:

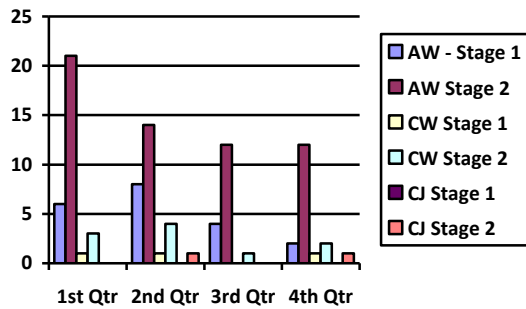
**Social work complaints per quarter 2012/2013**



3.9 This can be compared against the chart below, which shows the total numbers of complaints received per quarter for last year (2011/2012):



### Social Work complaints per quarter 2011/2012:



3.10 One thing to note is that last year there was a decrease in Stage 2 complaints for Adult Wellbeing over the year; as opposed to this year where the number of Stage 2 complaints rose in Q2 and peaked in Q4. It is positive to note that more complaints are being dealt with at Stage 1, as resolving complaints at an early stage is best for both the client and the Council. However, this is still an area for improvement. It should be noted that a number of concerns are resolved at service level on a day-to-day basis without recourse to the complaints procedure.

3.11 Examples of Stage 2 complaints include:

- Concerns about care provision
- Type and level of sensitive personal information contained in social work reports – felt to be inappropriate
- Relatives not feeling included in decision making process relating to client's care / not listened to by social workers
- Unhappy with conduct / recommendations of social workers
- Unhappy with access / contact arrangements (in relation to children)
- Financial assessment process for care contributions
- Delay in Occupational Therapy assessment
- Delayed discharge from hospital

3.12 Social work services also receive positive feedback about the services they provide, as well as about individual social workers. It is important to provide a balanced view of services and so staff are actively encouraged to report any compliments they receive. **66** compliments were received about social work services in 2012/13, a slight increase from last year (62). Extracts of some of the positive comments received from clients and their families are attached at Appendix 2.

3.13 Complaints should be acknowledged within 5 days and responded to within 28 days. The average acknowledgement and response times for the year 2012/13 were as follows:

**99%** acknowledged within 5 days (2011/12: 93%)

**82%** responded to, or an update provided, within statutory timescale (28 days). 60% received a full response within timescale. (2011/12: 83% and 62% respectively)

3.14 Often, due to the complex nature of social work complaints, there can be difficulties in providing a full response within the statutory timescale. However, updates will be provided wherever possible and extensions agreed with the complainant. Holding more face-to-face meetings and increasing telephone contact to try and resolve complaints at an earlier stage is being encouraged.

3.15 The proportion of Stage 2 complaints upheld, partially upheld and not upheld was as follows:

	<b>2012/13</b>	<b>2011/12</b>
Upheld	21%	28%
Partially upheld	45%	32%
Not upheld	34%	40%

3.16 It is interesting to note the % of complaints upheld and not upheld decreased while the % of complaints partially upheld increased from the previous year. This corresponds with an increased emphasis on ensuring all parts of the complaint are being considered and that determinations are being made on individual issues. The experience of the Customer Feedback Team this year has been that managers are willing to review their services in an objective way.

3.17 Wherever a complaint was partially or fully upheld an appropriate apology was given and learning actions were undertaken. This included updating and improving information to clients, reviewing procedures and reminding staff of customer care standards.

3.18 The top 5 subjects of complaint for all social work services were:

- 1) Care package – changes / delays in provision / level of support provided etc
- 2) Staff attitude / conduct / decisions
- 3) Home care
- 4) Financial issues e.g. assessment process for care contributions / funding / invoicing
- 5) Equipment provision

3.19 One complainant asked for their complaint to be referred to a Complaints Review Committee (CRC). This related to a deprivation of capital case.

The CRC did not uphold the complaint and agreed with the outcome of the financial assessment.

3.20 The SPSO received 7 complaints about East Lothian Council's Social Work Services, up from 4 received last year. 1 complaint proceeded to full investigation but was not upheld.

3.21 For the complaints closed at Stage 1 or Stage 2 of the feedback process, resolutions included:

- Providing additional information / clearly explaining policies and procedures e.g. eligibility criteria for services
- Giving an apology, where appropriate
- Acknowledging mistakes and taking action to correct any errors
- Providing required service
- Arranging meetings with social worker or social work manager to explain decisions taken

3.22 A number of improvement actions have been undertaken this year in response to complaints received. These have included:

- Training in report writing skills carried out for social workers
- Changes to financial assessment process
- Improvements to public information

#### DEVELOPMENTS FOR 2013/14

3.23 The statutory social work complaints procedure is currently under review by the Scottish Government. A short life working group was convened and will be making recommendations to ministers. The Deputy Director, Scottish Government wrote to Local Authority Chief Executives on 22 July 2013 to advise that, while the review may recommend change in line with the Scottish Public Services Ombudsman (SPSO) model complaints handling procedure, until any legislative change is passed and enacted Complaint Review Committees remain a legal requirement for local authorities.

## **4 POLICY IMPLICATIONS**

4.1 None

## **5 EQUALITY IMPACT ASSESSMENT**

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

## **6 RESOURCE IMPLICATIONS**

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

## **7 BACKGROUND PAPERS**

- 7.1 Appendix 1– Complaints Breakdown (Adult Wellbeing) 2011/2012.  
7.2 Appendix 2 - Extracts of compliments received about social work services in East Lothian 2012/2013.

<b>AUTHOR'S NAME</b>	Sarah E.M Bogunovic
<b>DESIGNATION</b>	Customer Feedback Manager
<b>CONTACT INFO</b>	X 7497 email: sbogunovic@eastlothian.gov.uk
<b>DATE</b>	9 September 2013

**Appendix 1 Complaints Breakdown (Social Work) 2012/2013**

<b><u>Adult Wellbeing</u></b>	<b>Number</b>	<b>Upheld</b>	<b>Partially Upheld</b>	<b>Not Upheld</b>
<b>Main subject of complaint</b>				
Care package – changes / delays in provision / level of support provided etc	<b>12</b>	<b>2</b>	<b>6</b>	<b>4</b>
Home care	<b>10</b>	<b>4</b>	<b>4</b>	<b>2</b>
Financial issues e.g. assessment process for care contributions / funding / invoicing	<b>9</b>	<b>2</b>	<b>6</b>	<b>1</b>
Equipment Provision	<b>5</b>	<b>3</b>	<b>1</b>	<b>1</b>
Staff attitude / conduct	<b>4</b>		<b>2</b>	<b>2</b>
OT Assessments	<b>3</b>	<b>1</b>		<b>2</b>
Delayed Discharge	<b>3</b>		<b>2</b>	<b>1</b>
Lack of communication / support	<b>2</b>		<b>1</b>	<b>1</b>
Day care services	<b>1</b>			<b>1</b>
Taxi Service	<b>1</b>			<b>1</b>
Reablement	<b>1</b>		<b>1</b>	<b>1</b>
Information Recording	<b>1</b>			<b>1</b>
<b>Total Number:</b>	<b>52</b>	<b>12</b>	<b>23</b>	<b>17</b>

<b><u>Children's Wellbeing</u></b>	<b>Number</b>	<b>Upheld</b>	<b>Partially Upheld</b>	<b>Not Upheld</b>
<b>Main subject of complaint</b>				
Staff attitude / conduct / decisions	<b>8</b>	<b>1</b>	<b>2</b>	<b>5</b>
Contact / access issues	<b>2</b>		<b>2</b>	
Foster Care	<b>2</b>		<b>1</b>	<b>1</b>
Lack of action in response to concerns	<b>2</b>	<b>1</b>	<b>1</b>	
Supervision of children in care	<b>1</b>		<b>1</b>	
Residential units	<b>1</b>		<b>1</b>	
<b>Total Number:</b>	<b>16</b>	<b>2</b>	<b>8</b>	<b>6</b>

## **Appendix 2 – Extracts from compliments received about social work services for the year 2012/2013**

### **Subject: Telecare Equipment Installation**

*“Called back today following urgent referral made yesterday for Telecare equipment for Mr W. Delighted to see, that on arriving today, the equipment is in place and up and running for Mr W. Want to pass on upmost thanks for everyone who contributed to doing this so quickly”.*

### **Subject: Actions of social worker**

*“I really appreciate that even although my Mum is in Eskgreen it is never an issue for JM to help us. She still contacts me to see how my Mum is doing and how I am coping with both my parents in care. I think it is only right that you hear positive comments about members of your staff. I appreciate JM’s help and care towards both myself and my Mum. JM has been my rock in 2012. May I take this opportunity to wish you and your staff all the very best for 2013 - keep up the good work”.*

### **Subject: Referral process**

*Mr G phoned to say how pleased he and his wife are about the service they received from SP, IB and AH since a referral was made last week. Mr G said that everything has gone like clockwork and they are very pleased.*

### **Subject: Provision of equipment**

*“Just to say thank you, the handrail was fitted on Tuesday afternoon. The joiner did an excellent job and cleaned up afterwards for my mum. Can’t believe how quickly this was put in place for her, we both really appreciated all your help”.*

### **Subject: Reablement service**

*“I found the service excellent. The girls were always on time ...they were helpful and pleasant and all so lovely”.*

### **Subject: Residential care**

*(The Abbey) “Many, many thanks for the wonderful care and attention you gave mum during her recent stay at the Abbey, she enjoyed her visit so much”.*

*(Eskgreen) “Many thanks for your care of my mother over the last 18 months or so ...it is so comforting to know that she was so well cared for, with dignity and respect”.*





**REPORT TO:** Policy and Performance Review Committee

**MEETING DATE:** 24 September 2013

**BY:** Depute Chief Executive - Partnerships and Services for Communities

**SUBJECT:** Customer complaints and feedback

6

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**1 PURPOSE**

- 1.1 To give a report on the use of the Council's complaints handling procedure for Q4: 1 January 2013 to 31 March 2013, and provide an overview of all customer feedback received for the year 2012/2013.

**2 RECOMMENDATIONS**

- 2.1 To note the report

**3 BACKGROUND**

- 3.1 East Lothian Council complies with the model complaints handling procedure for local authorities introduced by the Scottish Public Services Ombudsman (SPSO):

**Stage 1 (Frontline Resolution)** - Complaint dealt with at point of service within 5 working days

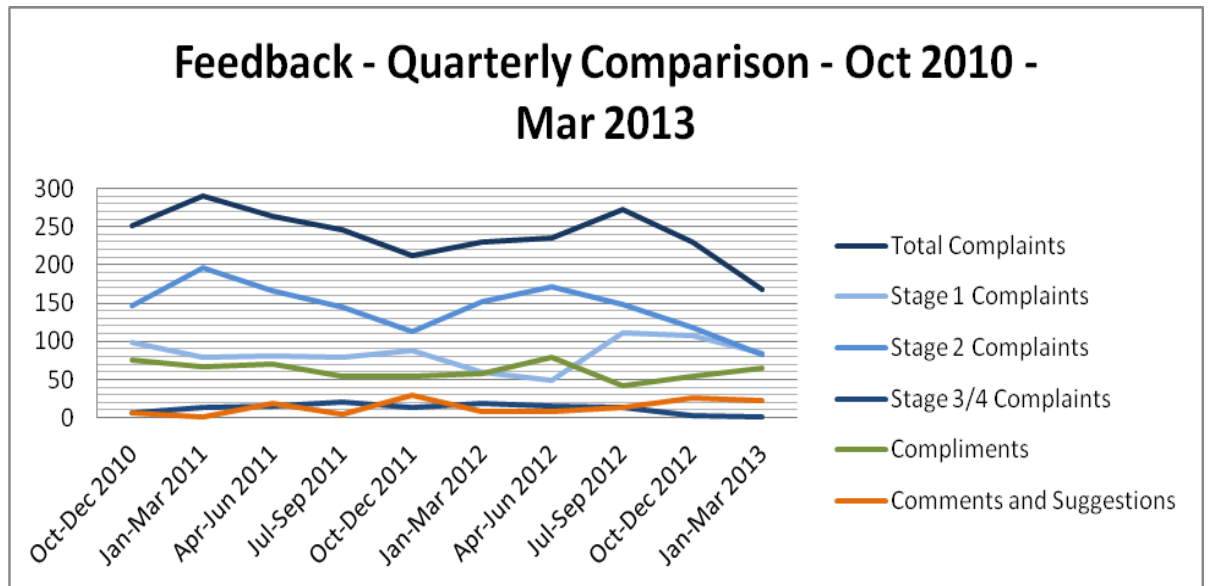
**Stage 2 (Investigation)** – Investigation of points raised, acknowledged within 3 working days and response provided within 20 working days

If complainants remained dissatisfied after completing this process then they have a legal right of appeal to the SPSO.

- 3.2 Complaints, comments and compliments are recorded on the Council's Customer Relationship Management system (CRM), which provides data on the types of complaints customers make about Council services, as well as complaint handling performance. This system also records comments and compliments from customers.

- 3.3 The Council records and reports on complaints received by the Contact Centre, Customer Feedback Team or Coordinators appointed for individual service areas. Service areas are encouraged to report complaints they receive through these channels, to ensure recording is as accurate as possible.
- 3.4 The total number of complaints received for Q4 was **166**. This was made up of 84 Stage 1 complaints and 82 Stage 2 complaints. This represented a 30% decrease on the total number of complaints received over the same period last year (237) and a 27% decrease on the number of complaints received the previous quarter (Q3); which was 226.
- 3.5 84 complaints (51%) were dealt with at Stage 1. It is encouraging to see that an increasing proportion of complaints are being dealt with at service level, building on the progress made in earlier quarters this year. This will partly be due to the increased emphasis in the new complaints handling procedure on resolving complaints at the front line, which is considered best practice, as well as improved recording.
- 3.6 89% of Stage 1 complaints were responded to within the 5 working day timescale.
- 3.7 In line with the overall decrease in complaint numbers, there was a 51% decrease in Stage 2 complaints compared to the same period in 2011/12, and a 30% decrease from last quarter.
- 3.8 Performance against agreed targets for acknowledging and responding to complaints for Q4 was as follows:
- Acknowledgement within 3 working days: 100%, against a target of 80%
  - Response within 20 working days (28 days for social work): 68%, against a target of 80%
  - Extension agreed / update provided within timescale in a further 19% of cases.
- 3.9 Although the acknowledgement rates improved to 100% from 97%, response rates dropped from 76% last quarter. This has in part been due to resource difficulties in service areas, which has led to a delay in information being gathered. As an additional internal review stage was removed when the model complaints handling procedure was adopted, the Stage 2 investigation process is now more robust as Stage 2 responses have to stand up to external scrutiny. Complainants are referred to the Scottish Public Services Ombudsman (SPSO) at this point.
- 3.10 It is important to present a balanced view of services and so compliments received about services are also recorded. **65** were recorded for Q4, a 17% increase from last quarter.

3.11 A quarterly comparison graph of top line figures for all customer feedback shows the following:



3.12 Considering the financial challenges being faced by local authorities in the delivery of services, the drop in the number of complaints being received and the increase in the number of compliments is encouraging. East Lothian Council places emphasis in good customer service and training is provided, as well as the opportunity to study for the Customer Service Professional qualification (CSPQ). Lessons are being learnt from complaints and there is also an increasing emphasis on managing customer expectations at an early point.

3.13 The service areas with the highest number of complaints for Q4 were as follows:

**Q4 – 1 January 2013 to 31 March 2013**

Service Area	Stage 1 complaints	Stage 2 complaints	Total
Property Maintenance	28	34	<b>62</b>
Adult Wellbeing	9	20	<b>29</b>
Transportation	9	2	<b>11</b>
Community Housing	10	0	<b>10</b>
Waste Services	7	1	<b>8</b>

3.14 A breakdown of complaints, comments and compliments received per service area and Directorate per quarter is attached at Appendix 1 and performance by service area at Appendix 2.

3.15 The top subject of complaint was **outstanding repairs** to council properties.

3.16 Other notable issues complained about included:

- Administration of planning applications
- Charge for not arranging access for annual gas safety check
- Staff attitude
- Conduct / recommendations of social worker
- Condition of new tenancy
- Financial assessment process for care contributions
- Delays in delivering a service
- Outgoing tenant charged following void inspection
- Delay in Occupational Therapy assessment
- Bin not uplifted
- Management of disruptive behaviour in schools
- Lack of information
- Delayed discharge from hospital
- School catchment areas

3.17 The number of complaints recorded about staff attitude decreased from 21 in Q3 to 15 in Q4.

3.18 Property Maintenance consistently receives the highest number of complaints, which is not surprising considering the nature of the service and the high level of interaction with tenants. It is positive to note that complaint numbers for this service decreased by 35% this quarter.

3.19 Complaint outcomes for Q4 were as follows:

Upheld: **22%**

Partially Upheld: **37%**

Not Upheld: **41%**

3.20 A graph showing the actions taken in response to complaints is attached at Appendix 3. The most common actions were to provide an appropriate explanation / additional information, provide the requested service or offer an appropriate apology. An apology was always provided wherever failings were identified. Meeting directly with complainants is also being actively encouraged to try and resolve complaints.

- 3.21 One Adult Wellbeing complaint was referred to a Complaints Review Committee (CRC). This was about deprivation of capital. The complaint was not upheld.
- 3.22 For the year 2012/13, East Lothian Council received **872** complaints about its services, made up of 352 Stage 1 complaints and 520 Stage 2 complaints. This was a slight reduction from last year when 881 complaints were received.
- 3.23 In addition, 241 compliments and 70 comments were received, meaning a total of 1183 customers contacted us to give feedback, both good and bad, on the services they received.
- 3.24 Acknowledgement and Response performance for 2012/13 by quarter:

	<b>Q1</b>	<b>Q2</b>	<b>Q3</b>	<b>Q4</b>	Average
Acknowledgement	94%	94%	97%	100%	96%
Response	81%	81%	76%	68%	76.5%
Update/Extension	6%	9%	3%	19%	9%

- 3.25 Complaint outcomes for 2012/13 by quarter:

	<b>Q1</b>	<b>Q2</b>	<b>Q3</b>	<b>Q4</b>	Average
Upheld	32%	39%	17%	22%	27.5%
Partially Upheld	34%	26%	33%	37%	32.5%
Not Upheld	30%	35%	50%	41%	39%
Outcome not selected	4%				

- 3.26 For the year 2012/13, the Scottish Public Services Ombudsman received 40 complaints about East Lothian Council, compared to 32 for the year 2011/12. A breakdown is attached at Appendix 4.
- 3.27 Given that the introduction of the model complaints handling procedure removed a stage of internal review, meaning a higher number of cases are being referred to the SPSO, a slight increase is not surprising. East Lothian Council is below the sector average for the % of premature complaints to the SPSO and the % of complaints upheld/partially upheld.
- 3.28 The Ombudsman partially upheld two complaints at early resolution/initial investigation stage. These related to Building Standards. No concerns were raised over professional practice but the complaints were partially upheld due to administrative delays, which had already been

acknowledged and apologised for. No complaints progressed to the final investigation stage.

## **CUSTOMER FEEDBACK DEVELOPMENTS**

- 3.29 A national review of the current statutory social work complaints procedure is currently underway and a short-life working group has been set up by the Scottish Government and will shortly be making recommendations to Ministers.
- 3.30 Information on the new complaints handling procedure is available on the ELC website and in council offices. Updated staff guidance is available on ELNET.
- 3.31 Briefings to raise awareness of the new complaints handling procedure and the standards expected in dealing with complaints are being delivered.

## **4 POLICY IMPLICATIONS**

- 4.1 None

## **5 RESOURCE IMPLICATIONS**

- 5.1 Financial - None
- 5.2 Personnel - None
- 5.3 Other - None

## **6 EQUALITY IMPACT ASSESSMENT**

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

## **7 BACKGROUND PAPERS**

- 7.1 Appendix 1 - breakdown of complaints, comments and compliments received per service area and Directorate
- 7.2 Appendix 2 - breakdown of performance per service area in relation to acknowledgement and response times
- 7.3 Appendix 3 – Complaint outcomes
- 7.4 Appendix 4 – SPSO stats

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<b>DATE</b>	10 September 2013

Appendix 1: Customer Feedback (complaints, comments and compliments) breakdown by Service Area (Q4)

Directorate	Service Area	Comment	Stage 1 Complaint	Compliment	Stage 2	Stage 3 (SPSO or CRC)	Total
<b>Services for Communities</b>	Antisocial Behaviour	0	0	0	1	0	1
	Community Housing	1	10	1	0	0	12
	Facilities Management	0	0	6	0	0	6
	Homelessness	0	0	0	0	0	0
	Housing Strategy	0	0	1	1	0	2
	Landscape and Countryside	5	4	2	1	0	12
	Licensing	0	0	0	0	0	0
	Planning and Building Control	0	0	0	5	0	5
	Property Maintenance	1	28	9	34	1	73
	Property Services	0	1	0	3	0	4
	Trading Standards	0	0	0	0	0	0
	Transportation	4	9	6	2	0	21
	Waste Services	2	7	4	1	0	14
	Other - Services for Communities	0	0	2	1	0	3
<b>Directorate Totals</b>		<b>13</b>	<b>59</b>	<b>31</b>	<b>49</b>	<b>1</b>	<b>153</b>
<b>Services for People</b>	Adult Wellbeing	0	9	15	20	1	45
	Children's Wellbeing	0	1	0	3	0	4
	Criminal Justice	0	0	0	0	0	0
	Education and Schools	0	1	1	5	0	7
	Other - Services for People	0	0	0	1	0	1
	<b>Directorate Totals</b>		<b>0</b>	<b>11</b>	<b>16</b>	<b>29</b>	<b>1</b>
<b>Support Services</b>	Community Care Finance	0	1	0	0	0	1
	Council Tax	0	1	1	1	0	3
	Cultural Services	0	0	0	0	0	0
	Customer Services	0	3	13	0	0	16
	Democratic Services	0	0	0	0	0	0



Appendix 1: Customer Feedback (complaints, comments and compliments) breakdown by Service Area (Q4)

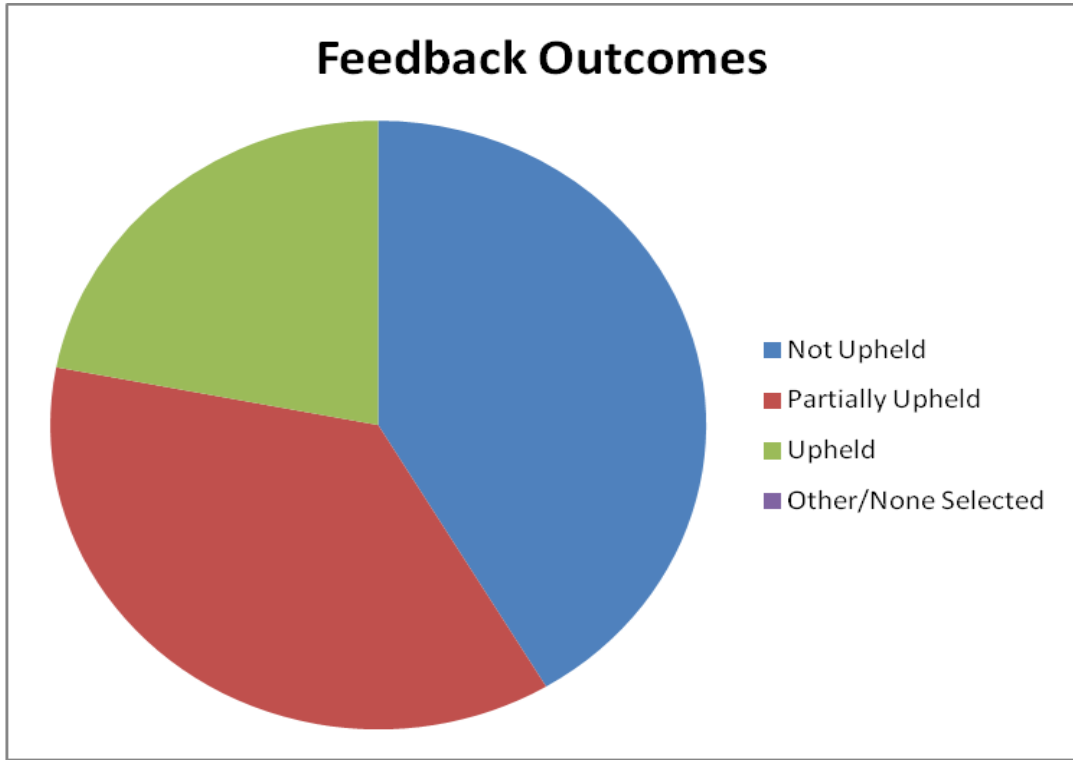
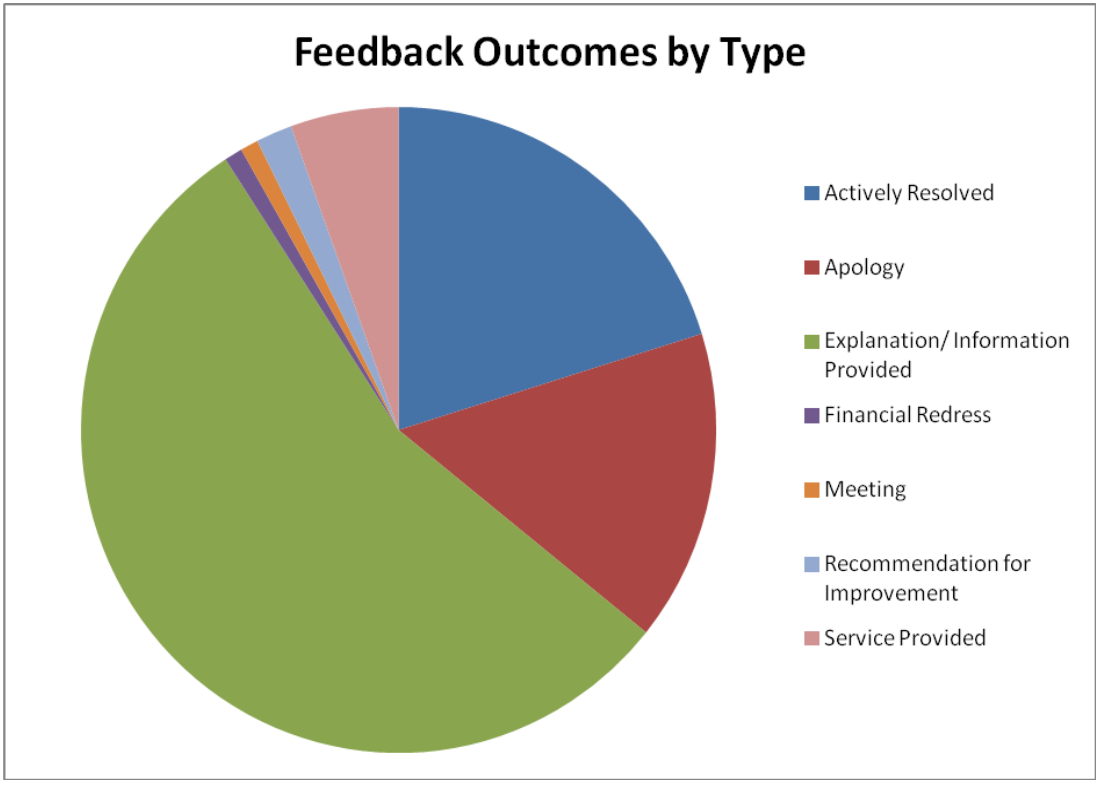
Directorate	Service Area	Comment	Stage 1 Complaint	Compliment	Stage 2	Stage 3	Total
Support Services	Economic Development	0	0	0	0	0	0
	Finance	0	2	2	1	0	5
	Human Resources	0	0	0	0	0	0
	IT	0	1	0	0	0	1
	Legal Services	0	0	0	0	0	0
	Libraries	7	3	1	0	0	11
	Print Unit	0	0	0	0	0	0
	Revenues and Benefits	0	0	1	0	0	1
	Other - Support Services	3	3	0	2	0	8
	<b>Directorate Totals</b>	<b>10</b>	<b>14</b>	<b>18</b>	<b>4</b>	<b>0</b>	<b>46</b>
<b>Feedback Total</b>		<b>23</b>	<b>84</b>	<b>65</b>	<b>82</b>	<b>2</b>	<b>256</b>

<b>Stage 2 Complaints relating to Staff Attitude</b>	<b>15</b>
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Appendix 2 – Performance for Stage 2 complaints (acknowledgement and response)(Q4)

Service Area	Number of Stage 2 Complaints	Acknowledged Within 5 Working Days	% Acknowledged Within 3 Working Days	Update Needed and Sent On Time	% Update Needed Sent On Time	Responded To Within 20 Working Days	% Responded To Within 20 Working Days
Antisocial Behaviour	1	1	100.00%	0	0.00%	0	0.00%
Housing Strategy	1	1	100.00%			1	100.00%
Landscape and Countryside	1	1	100.00%			1	100.00%
Planning and Building Control	5	5	100.00%	1	50.00%	3	60.00%
Property Maintenance	34	34	100.00%	1	16.67%	28	82.35%
Property Services	3	3	100.00%	0	0.00%	2	66.67%
Transportation	2	2	100.00%	0	0.00%	0	0.00%
Waste Services	1	1	100.00%			1	100.00%
Other - Services for Communities	1	1	100.00%			1	100.00%
Adult Wellbeing	20	20	100.00%	2	18.18%	9	45.00%
Children's Wellbeing	3	3	100.00%	0	0.00%	2	66.67%
Education and Schools	5	5	100.00%	0	0.00%	4	80.00%
Other - Services for People	1	1	100.00%	1	100.00%	0	0.00%
Council Tax	1	1	100.00%			1	100.00%
Finance	1	1	100.00%			1	100.00%
Other - Support Services	2	2	100.00%			2	100.00%
<b>Total</b>	<b>82</b>	<b>82</b>	<b>100.00%</b>	<b>5</b>	<b>19.23%</b>	<b>56</b>	<b>68.29%</b>

**Appendix 3: Complaint outcomes (actions taken) (Q4)**



# Appendix 4 - Complaints to SPSO.

## Complaints Received by Subject 2012-13

Subject Group	East Lothian Council	Rank	Complaints as % of total	Sector Total	Rank	Complaints as % of total
Housing	12	1	30%	361	1	24%
Social Work	7	2	18%	183	3	12%
Planning	3	3	8%	197	2	13%
Environmental Health & Cleansing	2	4=	5%	60	7	4%
Building Control	2	4=	5%	26	10	2%
Finance	1	6=	3%	85	4	6%
Education	1	6=	3%	76	5	5%
Legal & admin	1	6=	3%	48	8	3%
Roads & Transport	0	-	0%	73	6	5%
Land & Property	0	-	0%	28	9	2%
Recreation & Leisure	0	-	0%	20	11	1%
Other	0	-	0%	10	12	1%
Consumer protection	0	-	0%	9	13	1%
Personnel	0	-	0%	7	14	0%
Valuation Joint Boards	0	-	0%	6	15	0%
Fire & Police Boards	0	-	0%	2	16	0%
Economic development	0	-	0%	1	17	0%
Out Of Jurisdiction	0	-	0%	20	-	1%
Subject Unknown	11	-	28%	293	-	19%
<b>Total</b>	<b>40</b>		<b>100%</b>	<b>1,505</b>		<b>100%</b>

Complaints as % of Sector

2.7%

100%

## Complaints Received by Subject 2011-12

Subject Group	East Lothian Council	Rank	Complaints as % of total	Sector Total	Rank	Complaints as % of total
Housing	14	1	44%	341	1	22%
Social Work	4	2	13%	182	3	12%
Planning	3	3	9%	210	2	14%
Education	2	4	6%	77	5	5%
Roads & Transport	1	5=	3%	96	4	6%
Finance	1	5=	3%	73	6	5%
Building Control	1	5=	3%	42	8	3%
Other	1	5=	3%	12	12	1%
Legal & admin	0	-	0%	44	7	3%
Environmental Health & Cleansing	0	-	0%	40	9	3%
Land & Property	0	-	0%	30	10	2%
Recreation & Leisure	0	-	0%	23	11	2%
Personnel	0	-	0%	11	13	1%
Consumer protection	0	-	0%	10	14	1%
Valuation Joint Boards	0	-	0%	9	15	1%
Fire & Police Boards	0	-	0%	1	16=	0%
National Park Authorities	0	-	0%	1	16=	0%
Subject Unknown or Out Of Jurisdiction	5	-	16%	325	-	21%
<b>Total</b>	<b>32</b>		<b>100%</b>	<b>1,527</b>		<b>100%</b>

Complaints as % of sector

2.1%

100%

**REPORT TO:** Policy and Performance Review Committee

**MEETING DATE:** 24 September 2013

**BY:** Depute Chief Executive, Partnerships and Services for Communities

**SUBJECT:** East Lothian Community Planning Economic Development Strategy

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7

**1 PURPOSE**

- 1.1 To provide report to PPRC on progress towards meeting the outcomes of the East Lothian Community Planning Economic Development Strategy

**2 RECOMMENDATIONS**

- 2.1 To note the contents of this report

**3 BACKGROUND**

- 3.1 The revised East Lothian Economic Development Strategy was led by East Lothian Council in conjunction with Community Planning partners and was developed by the Training and Employment Research Unit at the University of Glasgow in 2012. This strategy and accompanying documents provide strategic direction for all Community Planning partners involved in economic development interventions. Business engagement, Community Planning partner feedback and research and baseline information were integral to this process providing a strategy 'fit for purpose' and the strategic framework for partner projects. The Improvement Service through its Economic Outcomes Programme provided valuable support to the Council, partners and Economic Development staff in developing the monitoring framework and Implementation Plans.
- 3.2 The Strategy highlights the economic opportunities that the Council and Community Planning partners can exploit in order to drive growth in jobs and business development and stimulate local economic recovery.

- 3.3 The vision is: ‘in 2020 East Lothian will have a dynamic and flourishing economy with our citizens proud to live, learn, work and play in East Lothian’. To achieve this vision, two strategic goals have been set, namely to increase the number of businesses with growth potential and to increase the proportion of residents working in and contributing to East Lothian’s economy. The five strategic objectives that enable delivery of the two strategic goals are:
- To be the best place in Scotland to set up and grow a business
  - To be Scotland’s leading coastal, leisure and food & drink destination
  - To build on our proximity to Edinburgh to encourage study, work and spend in East Lothian
  - To provide high quality employment pathways for East Lothian’s workforce
  - To become Scotland’s most sustainable local economy
- 3.4 Eight ‘Strategic Projects’ were highlighted and subsequently 7 Implementation Plans were developed – these being Tourism (incorporating Food & Drink), Renewables, Profile, Connectivity, Business Infrastructure, Town Centres and Employability. These Plans are subject to ongoing industry feedback and input.
- 3.5 The one-council approach to economic development to enable and support delivery of the strategy has been evidenced by a number of companies complimenting the Council on its support. A notable recent success is the Tourism and Hospitality Academy model, pioneered in East Lothian and since rolled out to south east Scotland and to other sectors, linking the employability of young people with the strong Food & Drink/tourism sector. The Open golf 2013, projected economic impact of £70m to East Lothian and Edinburgh, brought benefits to local businesses and to the profile and awareness of the county. The all-council approach has been commended and contributed to a well-executed event.
- 3.6 Leading and driving forward the implementation of the strategy is the recently-formed Community Planning Sustainable Economy Partnership and the chair and vice-chair are both from outwith the Council, Scottish Enterprise and the Federation of Small Businesses respectively, demonstrating the commitment to this approach from the wider partnership.
- 3.7 In order to provide a baseline and monitoring framework for progress on the strategy to Community Planning partners and the PPRC, it is proposed to use the following measures to map overall progress, as outlined in the strategy action plan – namely jobs, businesses and employment rate.

### Jobs

Measure - number of jobs per 10,000 adults

East Lothian 2010 – 3199 (since revised)

Target – to increase the number of jobs

East Lothian 2011 – 3151

### Businesses

Measure – number of businesses per 10,000 adults

East Lothian 2010 – 341 (since revised)

Target – to increase the number of businesses

East Lothian 2011 – 333

*The adult population for East Lothian has increased from 78,700 to 81,200 between 2010 and 2011*

### Employment rate

Measure – employment rate

East Lothian 2011 – 73%

Scotland 2011 – 71%

Target – to maintain and increase the gap between the East Lothian and Scotland figures

East Lothian 2013 74.2%, Scotland 2013 70.7%

- 3.8 In addition, a range of indicators to gauge progress under each of the five strategic objectives is outlined below and these will be refined and considered by members of the Sustainable Economy Partnership in order to establish the Key Performance Indicators.
- 3.9 This report also provides a more detailed report on the development, implementation, progress and future priorities for the Food & Drink Initiative and on East Lothian Works, the flagship initiative of the Employability Implementation Plan/Strategic Objective 4.

### **Strategic Objective 1 - To be the best place in Scotland to set up and grow a business**

#### **Number of business start-ups delivered through Business Gateway**

2011/12 actual	88
2012/13 actual	131
2013/14 target	200

## **Survivability of businesses delivered through Business Gateway**

Definition – start-ups measured at 18 months after business start

2011/12 actual	85%
2012/13 actual	80%
2013/14 target	80%

*Business survivability remains relatively high and steady and business start-up numbers have been increasing since 2011/12*

## **Availability of employment land**

Definition - ongoing measurement of immediately available, minor and major constrained

2012/13 actual	
Available	1 hectare
Minor	9 hectares
Major	90.43 hectares
2013/14 target	
Available	3 hectares
Minor	12 hectares
Major	85.42 hectares

*The availability of employment land remains an issue and options are explored on ongoing basis*

## **Procurement**

Definition - number of businesses engaging in procurement initiatives

Number of businesses joining Supplier Development Programme

2012/13 actual	43
2013/14 target	48

Number of businesses provided with one-to-one engagement/support

2012/13 actual	20
2013/14 target	25

*Through support for procurement an increase in the number of businesses engaged has been seen and is projected.*



## **Objective 2 - To be Scotland's leading coastal, leisure and food & drink destination**

Scottish Tourism Economic Activity Monitor information

### **Number of tourist beds**

2011 - 2269 beds in 141 establishments serviced, 5349 in 131 establishments non-serviced

2012 – 2036 beds in 118 establishments serviced, 5323 in 103 establishments non-serviced

2013 target – to maintain the number of bedspaces in East Lothian

### **Number of tourist days**

2011 actual            2,497,000

2012 actual            2,399,000

2013 target            2,400,000

### **Number of tourists**

2011 actual            1,394,000

2012 actual            1,362,000

2013 target            1,400,000

*2013 figures will reflect the substantial number of Open-related visitors to East Lothian*

Food & Drink measures

### **Number of businesses participating in Food & Drink competition**

2011 actual            51

2012 actual            51

2013 target            52

### **Number of Food & Drink businesses engaging via participation in exhibitions/shows**

Royal Highland Show, ScotHot, BBC Good Food Show

2011 actual            14

2012 actual            10

2013 target            16

*The number of food and drink businesses engaged remains steady, see Appendix 2, East Lothian Food and Drink Initiative*

### **Website visitor statistics**

Definition - number of unique visitors to following websites

Food & Drink East Lothian ([www.foodanddrinkeastlothian.co.uk](http://www.foodanddrinkeastlothian.co.uk))

2011 actual 15,887

2012 actual 24,739

2013 target 30,000

Visit East Lothian ([www.visiteastlothian.org](http://www.visiteastlothian.org))

2011 actual 42,615

2012 actual 126,615

2013 target 130,000

Golf East Lothian ([www.golfeastlothian.com](http://www.golfeastlothian.com))

2011 actual 54,503

2012 actual 73,072

2013 target 100,000

*Growth in unique visitors to websites is noted with golf naturally seeing substantial increase to date*

### **Objective 3 - To build on our proximity to Edinburgh to encourage study, work and spend in East Lothian**

#### **Retail initiatives**

Number of retailers participating in Christmas Shop Local

2011 actual 126

2012 actual 134

2013 target 135

Number of participants in Christmas Shop Local

2011 actual 7,654

2012 actual 7,012

2013 target 7,500

Shop Doctor Participants (new initiative 2013)

2012/13 actual 16

2013/14 target 18

*Greater awareness of Christmas Shop Local is highlighted and the new initiative, Shop Doctor, is attractive to retailers*

**Objective 4 - To provide high quality employment pathways for East Lothian's workforce**

*Numbers participating in National Training programmes*

2011/12 actual 655

2012/13 actual 679

2013/14 target 705

*Employer Recruitment Incentive (YES)*

New initiative 2013

2013 target – 74 young people aged 16-24, unemployed 6 months or less, 6 month paid work placement with local small business

*School leaver destinations*

School Leaver destination returns and follow up exercises are conducted in September and March of each year. The table indicates the percentage of school leavers in positive destinations (education, employment, training).

	East Lothian		Scotland	
	Initial (%)	Follow up (%)	Initial (%)	Follow up (%)
<b>2010/11</b>	86.8	86.4	88.9	87.2
<b>2011/12</b>	88.1	88.9	89.9	89.5
<b>2012/13 target</b>	88.9	90.1		

*Further commentary is found under Appendix 1, East Lothian Works*

**Objective 5 - To become Scotland's most sustainable local economy**

**Renewables**

Number of businesses engaging in renewable initiatives

Number of businesses provided with intensive support

2012/13 actual        6

2013/14 target        7

Number of businesses provided with energy audits and ongoing guidance

2012/13 actual        12

2013/14 target        8

*Growing interest in this emerging sector*

### **Town centre vacancy rates**

*Definition - number of vacant units*

2011 actual            41

2012 actual            37

2013 target            35

### **Town centre pedestrian footfall**

*Definition - average for all 6 towns, measured end November*

2011 actual            26060

2012 actual            25400

2013 target            25700

*The retail environment remains challenging but fall in number of town centre vacant units is welcomed*

- 3.10 In conclusion, economic activity in East Lothian remains challenging with the Council and Community Planning partners endorsing the one-partnership approach to business and enterprise support. The Sustainable Economy Partnership will take the strategic role in setting the Key Performance Indicators required to effectively monitor economic performance.
- 3.11 The Youth Employment Scotland initiative is proving popular in East Lothian with the lack of work experience often cited as a barrier for young people securing employment and additional council support has enabled a lower contribution from businesses. Business representative organisations have highlighted the need to provide premises for local micro-businesses in East Lothian, currently under consideration by the Council.

#### **4 POLICY IMPLICATIONS**

- 4.1 Delivery of East Lothian Community Planning Economic Development Strategy

#### **5 EQUALITIES IMPACT ASSESSMENT**

- 5.1 This report is not applicable to the wellbeing of equalities group and an Equality Impact Assessment is not required.

#### **6 RESOURCE IMPLICATIONS**

- 6.1 Financial – as outlined
- 6.2 Personnel - none additional
- 6.3 Other - none

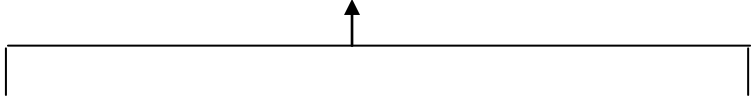
#### **7 BACKGROUND PAPERS**

- 7.1 East Lothian Community Planning Economic Development Strategy 2012-22  
[http://www.eastlothian.gov.uk/downloads/download/1831/east\\_lothian\\_economic\\_development\\_strategy\\_2012\\_-2022](http://www.eastlothian.gov.uk/downloads/download/1831/east_lothian_economic_development_strategy_2012_-2022)
- 7.2 Appendix 1 - East Lothian Community Planning Economic Development Strategy 2012-22 – Strategic Framework
- 7.3 Appendix 2 – East Lothian Works
- 7.4 Appendix 3 – East Lothian Food & Drink Initiative

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<b>DATE</b>	11 September 2013

**EAST LoTHIAN ECONOMIC DEVELOPMENT STRATEGIC FRAMEWORK**

**Vision**  
In 2020 East Lothian will have a dynamic and flourishing economy with our citizens proud to live, learn, work and play in East Lothian.



**Strategic Goal 1**  
To increase the number of businesses in East Lothian with growth potential.

**Strategic Goal 2**  
To increase the proportion of East Lothian residents working in and contributing to East Lothian's economy.



**Strategic Objective 1**  
To be the best place in Scotland to set up and grow a business.

**Strategic Objective 2**  
To be Scotland's leading coastal, leisure and food & drink destination.

**Strategic Objective 3**  
To build on our proximity to Edinburgh to encourage study, work and spend in East Lothian.

**Strategic Objective 4**  
To provide high quality employment pathways for East Lothian's workforce.

**Strategic Objective 5**  
To become Scotland's most sustainable local economy.

## **REPORT TO PPRC - 24 September 2013**

### **Appendix 2 - East Lothian Works**

**Background and partners.** East Lothian Works (ELWorks) was officially launched and opened for business on 15 April 2013 bringing together all employability-related services within East Lothian Council, namely East Lothian Skill Centre (previously Services for People), Guideline (Support Services) and ELVOS (Services for People) co-locating with the Adult Learning service. External partners are also delivering services from 9-11 Lodge Street, Haddington. Job Centre Plus provide an employer engagement adviser weekly and a Disability Employment Adviser fortnightly and a Skills Development Scotland careers advisor can be accessed half day per week. Queen Margaret University, The Edinburgh College, Social Enterprise in East Lothian, MiEnterprise, Cornerstone and Community Care Forum have also desk space in the building. Business Gateway has also now moved to this improved shop front location where new and existing businesses can better access help with business start-up advice, business plans, finance, premises and recruiting staff and apprentices and a Business Growth Officer is available for existing businesses seeking support and advice. ELWorks is open Monday to Thursday 9.00am – 5.00pm and Friday between 9.00am and 4.00pm

**Support.** ELWorks provides all kinds of support for individuals such as:

- How to find and keep a job
- Creating high impact CV's and job applications
- Improving interview techniques
- Developing new skills
- Training and development opportunities, boosting self confidence,
- Becoming self-employed
- Disability advice and support into employment

**Partnership development.** The co-location has allowed for greater sharing of information and synergy with the objective of getting more East Lothian residents into work, providing support and guidance to businesses to enable them to take on more staff and providing skills development support for those in work wishing to progress. There has been a greater awareness and knowledge of the different agency support services and thus a better and more joined-up service to clients avoiding duplication and overlap.

**Employability.** A review of the Employability Implementation Plan (East Lothian Community Planning Economic Development Strategy), led by Skills Development Scotland, has clarified purpose of strategic planning groups and has reported on progress against set outcomes. In order to promote the service to schools, the meeting of secondary head teachers on 24<sup>th</sup> October will also consider the strategic direction for MCMC/Opportunities for All cohorts. East Lothian Council is the largest employer in East Lothian and individual meetings with Service managers from Children's Services, Customer Services and Housing are also planned to explore how modern apprentice schemes and work placements might possibly be delivered better by the Council. Regular engagement with local business also continues formally with Chamber of Commerce and Federation of Small Businesses. ELWorks is currently

promoting guaranteed work placements for all looked after and accommodated young people who have left or are about to leave school and officers from Children's Services and ELWorks have been exploring how achievement of this can be maximised. The recent introduction of Community Benefits in Procurement has also increased the volume of opportunities available to young people to enable them to gain valuable on-the-job skills development and experience. The current employer offer is being reviewed to further encourage take-up and with the emergence of the Community Planning Sustainable Economy Partnership links with local business will be further strengthened.

**Marketing and communications.** There has been an improved profile for the Council and its partners in addressing the current economic climate through utilising a range of media. ELWorks is located on the main council website and provides direct access to information and guidance to job seekers and business alike. ELWorks services are regularly promoted via the local press, on bus shelters, inside local buses and the Living East Lothian newspaper. There is also good evidence of word of mouth recommendations and referrals.

The **Employer Recruitment Incentive** is a Scottish Government initiative, using Scottish Government funding and European Social Fund monies to provide a 50% wage subsidy for six months to local small and medium-sized enterprises for them to take on a 16-24 year old unemployed for less than 6 months. East Lothian Council has provided additional support to increase this subsidy to 67% and potentially 74 young people will benefit from this scheme.

**Information Communication Technology (ICT)** is nowadays crucially important to securing employment and/or making benefit claims. ICT Skills for Work courses, in partnership with Job Centre Plus and the Council's Adult Literacies Team, have to date engaged 80 learners in tutorial sessions to equip participants with the necessary computer skills to effectively compete for jobs in the labour market. The programme is continuing to March 2014 with courses operating in Haddington, Musselburgh, Tranent and Prestonpans. Additional employability courses were this year introduced to the adult learning programme and delivered free of charge. IT access within ELWorks is proving popular and is expected to increase with more online benefit claims.

**Conclusion.** Measuring the impact of the East Lothian Works services is ongoing. For example, since its opening Council Guidance Service staff have experienced a fourfold increase in initial referral demand compared to the corresponding period last year and staff working priorities have been aligned to cope with this increase in demand. East Lothian unemployment continues to remain below the national level of 7.2% and in September 2012 the percentage of school leavers sustaining a positive destination was 88.9%. Despite this being marginally below the national average, the number of school leavers from East Lothian who were in positive destinations in March 2013 was a 2.5% increase on the corresponding period for the previous year.

Colin Forbes  
Principal Officer, Employability/Manager East Lothian Works



## **REPORT TO PPRC - 24 September 2013**

### **Appendix 3 - East Lothian Food and Drink Initiative**

Progress report on the East Lothian Food & Drink Initiative that started in 2006.  
Current budget allocated - £47,000.

#### **Aim**

The aim is to develop East Lothian Food & Drink into the leading county for food and drink in Scotland and to be recognised by visitors and residents alike for the high quality food and drink produce available in hospitality and tourism outlets, shops and farmers' markets.

#### **Objectives**

- To engage with East Lothian hospitality and tourism outlets and food and drink producers/manufacturers through establishing two industry steering groups (Hospitality and Food & Drink producers)
- To ensure that the initiative is founded on a bottom-up principle – ie. listening to the needs of the industry sectors
- To develop East Lothian food and drink brand image by the use of a Food & Drink logo identifying the key essentials of food and drink from the area
- To educate local hotels and restaurants about the availability and benefits of using local food and drink products
- To develop an annual food and drink competition to incorporate both the hospitality industry and its suppliers and producers to encourage best practice in the use of local produce
- To develop a range of marketing materials and to raise brand awareness in Scotland and the UK

#### **Economic Development Strategy 2013**

The initiative links directly into the Economic Development strategy Objective 2 of being 'Scotland's leading coastal, leisure and food and drink destination'.

A commitment was made at the commencement of the initiative from the council that this would be a long term project and has resulted in good business engagement. The initiative is regularly reviewed as to what is working or not, what economic benefits are forthcoming and what is else is needed or should be dropped.

#### **Highlights**

Of particular note:

- Companies now supplying supermarkets/major retailers through presence at various shows such as BBC Good Food Show and Scotthot (Note subjective view from major buyers that they were attracted to the large prominent well-branded stand)
  - Cider company supplying major supermarket groups such as Tesco, Sainsbury and Morrison
  - Rapeseed oil company supplying Harvey Nichols
  - Smoked trout company supplying Campbell's meat suppliers and distributed throughout Scotland
  - Preserve company supplying John Lewis with range of gift items

- A start up cider company now employing 10 employees and exporting worldwide. In 2013 voted the 3<sup>rd</sup> best cider in the world at the Chicago Cider convention 2013
- A start up chocolate manufacturer now employing 19 employees and moved during 2011 to a large manufacturing unit in Haddington.
- A dairy farm now providing direct deliveries of milk to the doorstep – 17 employees.

<b>Statistics</b>	2006	2012/13
<i>Number of companies engaging in initiative</i>		
Food and drink producers	19	46
Hospitality - eating out/competition	19	43
Eat East Lothian Promotion	0	18
Attendees at food and drinks awards dinner	59	157
Number of companies exporting	5	12
<i>Financial assistance</i>		
Food and drink/hospitality - direct aid loans and grants	0	52
Funds awarded	0	£442,699
Matched by private sector	0	£1,962,037
Jobs created	0	70
Jobs protected	0	179
<i>Exhibitions</i>		
Number of shows - cumulative since start from zero	0	29
Number of companies attending	0	78
F&D directories taken from the stand	0	140 boxes
Average levels of sales achieved – per show (note trade shows)	0	£11,000
Scottish Enterprise account-managed food & drink companies	0	2

## **Quotes**

Richard Lochhead MSP – Cabinet Secretary for Rural Affairs and the Environment:

*“I have been delighted with the success of East Lothian’s food and drink and have been hugely impressed by the dedication and quality from all involved.”*  
*“With great support from the council East Lothian food and drink industry will continue to grow.”*

The Scottish Government holds the initiative in high esteem and as an exemplar for others to duplicate.

Viv Collie, Director, Fife Food Network:

*“The work carried out through East Lothian Council food and drink activities is always very impressive and innovative. It provides a genuine focus for food and drink businesses, and puts them firmly in the national spotlight.”*

Wendy Barrie, Director of Scottish Food Guide and member of the Cross Party Parliamentary Food Group:

*“ELC have been doing an exceptional job with food and drink for a considerable number of years and keep improving year on year and it is tangible the difference they make to local food producers and places to eat.”*

Richard Baty  
Depute Manager, Economic Development

### Logo and picture





**REPORT TO:** Policy and Performance Review Committee

**MEETING DATE:** 24 September 2013

**BY:** Chief Executive

**SUBJECT:** 2013/14 Council Improvement Plan

**8**

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## **1 PURPOSE**

- 1.1 To present the 2013/14 Council Improvement Plan to the Policy and Performance Review Committee for comment and noting.

## **2 RECOMMENDATIONS**

- 2.1 That Committee notes the 2013/14 Council Improvement Plan (Appendix 2) that was approved by Council, 25<sup>th</sup> June 2013.

## **3 BACKGROUND**

- 3.1 Council, 25<sup>th</sup> June 2013 approved the 2013/14 Council Improvement Plan.
- 3.2 The diagram in Appendix 1 illustrates the sources used to determine the 2013/14 Council Improvement Plan. The action points in the Plan are primarily drawn from the results of the How Good is Our Council? (HGIOC) self-evaluation carried out by all services and the Corporate Governance self-evaluation (reported to Audit & Governance Committee, 11<sup>th</sup> June 2013). All of the improvement points raised in the self-evaluations have been reviewed to ascertain which actions should be addressed corporately. The results of the 2013 Employee Engagement Survey have also been taken into account.
- 3.3 The Council Improvement Plan also contains relevant improvement points and actions from Audit Scotland's Overview of Local Government in Scotland, Audit Scotland's Annual Report to Members and the Shared Risk Assessment prepared by the Local Area Network. A small number of action points from the 2012/13 Council Improvement Plan that have not been completed have also been carried forward into the latest Plan.
- 3.4 In accordance with the principles of Best Value the Council strives to pursue 'continuous improvement' and seeks to deliver services in as effective and efficient way as possible. The recommendations arising from all of the self-evaluation, review and inspection work identified above help to inform the

Council's pursuit of 'continuous improvement through the adoption and implementation of the 2013/14 Council Improvement Plan.

- 3.5 The 2013/14 Plan outlines the actions that the Council as a whole will be undertaking at a council-wide level. This year's Plan includes 21 action points, which is a similar number of action points as were included in previous years' plans. Improvement points from HGIOC and other sources relating to specific Council services are not contained within the Council Improvement Plan as they are dealt with in Service and Business Plans.
- 3.6 One of the four areas of focus of the Council Plan 2012-2017 is *Growing the Capacity of Our Council* which has one specific outcome: *We deliver excellent services as effectively and efficiently as possible*. All the improvement points in the 2013/14 Council Improvement Plan will contribute to growing the capacity of the Council to meet this outcome.
- 3.7 The Council Plan established five core principles that underpin or influence the Plan. The 2013/14 Council Improvement Plan supports four of these principles:
- Services built around people and communities
  - Effective, efficient and excellent services
  - Working together to achieve outcomes
  - Prioritising prevention and promoting equality
- 3.8 Implementation of the Plan will be assured via ongoing internal monitoring of progress on key actions points by the relevant lead officers and Depute Chief Executives. Monitoring reports on progress with implementing the Plan will be made to the Council Management Team and the Audit and Governance Committee.

#### **4 POLICY IMPLICATIONS**

- 4.1 The 2013/14 Council Improvement Plan will assist the Council in demonstrating that it is achieving Best Value. It will provide the necessary focus to improve key areas of the Council at a corporate level, thus aiding delivery of the Council Plan. Moreover, it will support East Lothian Council in its constant striving for continuous improvement, to continue improving the quality and delivery of its services and to meet the Council Plan outcome: '*We deliver excellent services as effectively and efficiently as possible.*'

#### **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 directly, although certain actions within the Plan are likely to require the commitment of staff resources.
- 6.3 Other – none

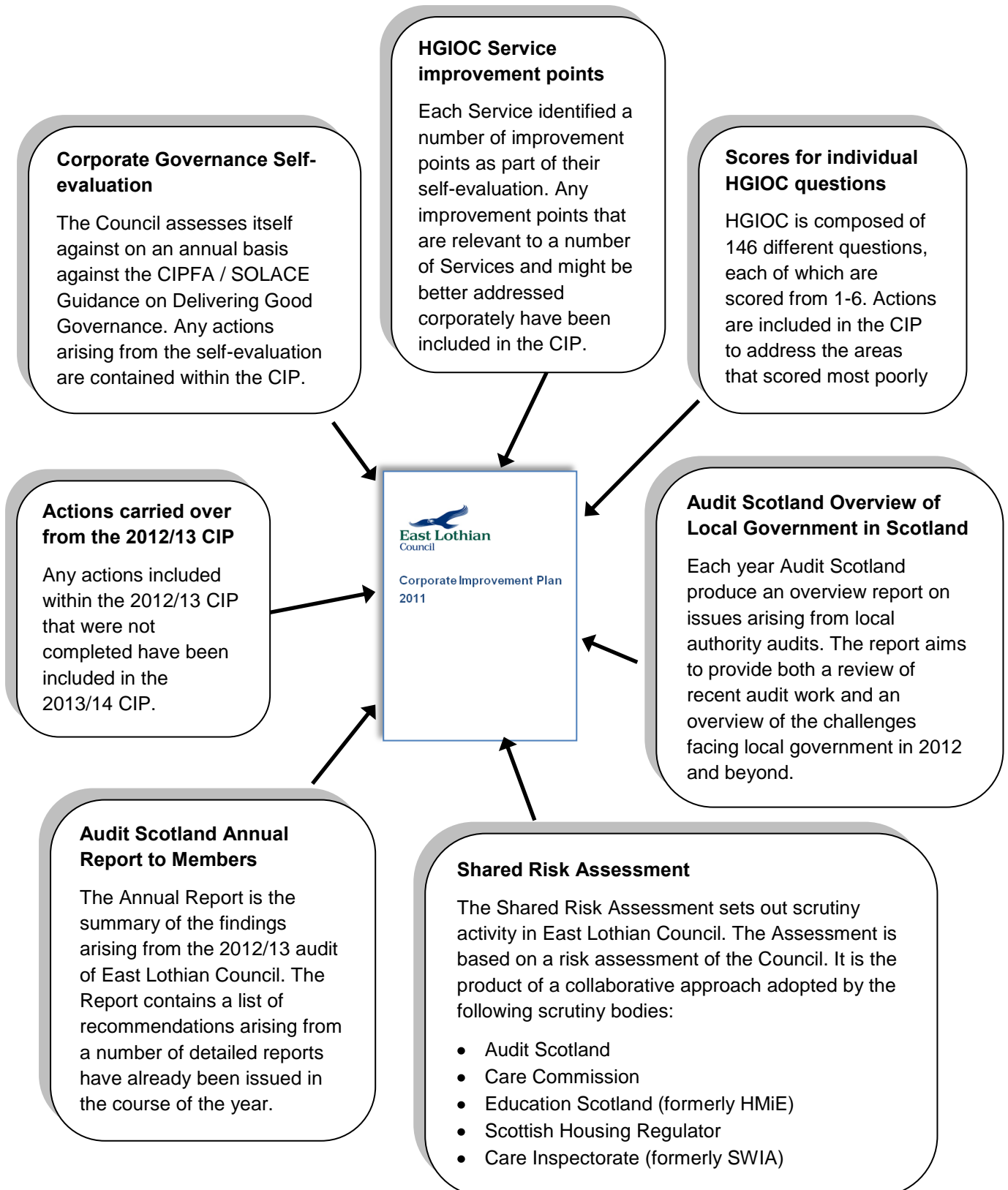
## **7 BACKGROUND PAPERS**

- 7.1 Overview of Local Government in Scotland; report to Audit & Governance Committee, 11 June 2013
- 7.2 Corporate Governance Self-Evaluation and Annual Governance Statement 2013; report to Audit & Governance Committee, 11 June 2012
- 7.3 Appendix 1: Sources of the Content of the Council Improvement Plan
- 7.4 Appendix 2: 2013/14 Council Improvement Plan

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<b>DATE</b>	28 August 2013

## Appendix 1: Sources of the Contents of the Council Improvement Plan

Actions contained within the Corporate Improvement Plan have arisen from several different sources.





## Appendix 2: 2013/14 Council Improvement Plan

### 2013/14 Council Improvement Plan

We deliver excellent services as effectively and efficiently as possible

	<b>ACTION</b>	<b>LEAD SERVICE</b>	<b>TIMESCALE</b>	<b>SOURCE (see glossary)</b>
1	Develop toolkit for self-evaluation of strategic partnerships	Policy and Partnerships	Dec 2013	CGSE / HGIOC
2	Review consultation strategy with view to ensuring that service users' views about quality of services is measured and used effectively	Policy and Partnerships	Nov 2013	CGSE
3	Roll out CPD for elected members and continue to support elected member and senior management development	Council Resources	Sept 2013 / Mar 2014	CGSE/ Outstanding from 2012/13 Plan
4	Hold training session for elected members on new Standing Orders including session on Members Conduct delivered by the Standards Commission	Council Resources	Oct 2013	CGSE
5	Training for Audit & Governance Co and PPR Co members	Council Resources	Oct 2013	CGSE
6	Induction programme for all members of new Community Planning Partnerships, including elected members	Policy and Partnerships	Oct 2013	CGSE
7	Review and revise the Improvement Framework and make more effective use of benchmarking, develop guidance and training on the use of benchmarking, Best Value reviews and options appraisal	Policy and Partnerships	Nov 2013/ Mar 2014	CGSE / HGIOC Outstanding from 2012/13 Plan
8	Focused work with Local Area Network on an agreed programme of self-evaluation for improvement	Policy and Partnerships	Mar 2014	CGSE / AIP

9	Implement programme of action to respond to the results of the Employee Engagement Survey	Policy and Partnerships	Nov 2013	CGSE / HGIOC
10	Review Whistleblowing Policy and publicise to all staff	Internal Audit	Oct 2013	CGSE
11	Introduce Combined Impact Assessment and process for monitoring the needs of minority and vulnerable groups	Policy and Partnerships	Aug 2013/ Mar 2014	CGSE
12	Review People Strategy including the how the values from the East Lothian Way are disseminated to staff	Policy and Partnerships	Oct 2013	CGSE / HGIOC
13	Develop Workforce Development Plan (including supporting internal jobs market, management of change, leadership development and succession planning)	Policy and Partnerships	Nov 2013	HGIOC / OLG
14	Review and further develop HGIOC self-evaluation, including involvement of stakeholders	Policy and Partnerships	Jan 2014	HGIOC / AIP
15	Review service planning guidance and develop 3-year service plans	Policy and Partnerships	Dec 2013	HGIOC
16	Review staff communications	Policy and Partnerships	Oct 2013	HGIOC
17	Prepare and implement Records Management Plan setting out arrangements for management and retention of records in line with requirements of the Public Records (Scotland) Act 2011	Council Resources	Dec 2013	Legislative requirement
18	Complete review of Standing Orders and Schemes of Administration and Delegation	Council Resources	June 2013	Outstanding from 2012/13 Plan
19	Develop a methodology for systematically reviewing and updating corporate policies	Council Resources	Nov 2013	Auditor
20	Review and further strengthen the Council's financial management process	Council Resources	Dec 2013	Auditor
21	Focused work with the Local Area Network and external auditors as part of an agreed programme of external audit to meet the financial challenges faced by the Council	Council Resources	Mar 2014	AIP

***Glossary of sources:***

CGSE = Corporate Governance Self-evaluation (May 2013)

HGIOC = How Good is Our Council? (March 2013)

AIP = Assurance and Improvement Plan Update 2013-2016 (April 2013)

Auditor = Auditor's Interim Management Report (April 2013)

OLG = Overview of Local Government, Audit Scotland (March 2013)



## Policy and Performance Review Committee: Annual Work Programme 2013 Update (September 2013)

Date	Performance Monitoring/ Inspection Reports	Reports requested by members/ Other Reports
24 <sup>th</sup> Sept 2013	Key Performance Indicators Q1 Performance Indicators Draft Council Annual Performance Report Adult and Child Protection performance monitoring report Social Work Complaints and Feedback Annual Report Customer Feedback – six monthly report Audit Scotland – Housing Benefits Performance Audit	Review of Progress in Delivering the Economic Development Strategy Impact of Welfare Reform Council Improvement Plan 2013/14 Work programme update
26 <sup>th</sup> Nov 2013	Q2 Performance Indicators 2012/ 1013 Statutory Performance Indicators Comparison Report SOLACE / Improvement Service Performance Indicators	Planning Performance Framework Transport/ Bus Services Review Roads Maintenance Status Report Work programme update
28 <sup>th</sup> Jan 2014		Report on impact of Homelessness legislation Report on the impact of the Voluntary Early Retirement Scheme
25 <sup>th</sup> Mar 2014	Q3 Performance Indicators Adult and Child Protection performance monitoring report	Evaluation of Electronic Vehicles Review of Effectiveness of Council Investment in Police and Community Wardens
29 <sup>th</sup> Apr 2014	Customer Feedback – annual/ six monthly report	Work programme update
17 <sup>th</sup> June 2014	Q4 Performance Indicators	Work programme update

**Other items suggested by elected members for future agendas:**

<b><u>Subject</u></b>	<b><u>Councillor making the request</u></b>	<b><u>Possible Date</u></b>
Report on Literacy Levels in East Lothian schools	Councillor MacKenzie	Jan or March 2014
Review of Voice Recognition Telephone system	Councillor McAllister	Jan 2014
Report on dog fouling	Councillor McAllister	March or April 2014
Report on Winter (roads) Maintenance	Councillor McAllister	Following the 2013/14 winter
Provision of outdoor education to schools	Councillor Williamson	Sept 2015