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West Lothian Council

Partnership and Resources Policy Development and Scrutiny Panel

West Lothian Civic Centre
Howden South Road
LIVINGSTON
EH54 6FF

17 August 2017

A meeting of the **Partnership and Resources Policy Development and Scrutiny Panel** of West Lothian Council will be held within the **Council Chambers, West Lothian Civic Centre** on **Wednesday 23 August 2017** at **10:00am**.

For Chief Executive

BUSINESS

Public Session

1. Apologies for Absence

2. Declarations of Interest - Members should declare any financial and non-financial interests they have in the items of business for consideration at the meeting, identifying the relevant agenda item and the nature of their interest.

3. Order of Business, including notice of urgent business and declarations of interest in any urgent business

4. Confirm Draft Minute of Meeting of Partnership and Resources Policy Development and Scrutiny Panel held on Friday 16 June 2017 (herewith)

5. RIPSA Policy - Report by Governance Manager (herewith)

6. Review of People Strategy 2013/2017 - Report by Head of Corporate Services (herewith)

7. ICT Strategy 2015/17 Review - Report by Head of Corporate Services (herewith)

8. Scottish Government Consultation on the Socio Economic Duty - Report by Head of Corporate Services (herewith)

9. Self Assessment 2017/20 - Report by Head of Corporate Services (herewith)

10. Advice Shop Contribution to Mitigating the Effects of Poverty - Report by Head of Finance and Property Services (herewith)

11. Local Government Spatial Hub - Report by Head of Corporate Services (herewith)

12. Workplan (herewith)

NOTE **For further information contact Anne Higgins, Tel: 01506 281601 or email: anne.higgins@westlothian.gov.uk**

MINUTE of MEETING of the PARTNERSHIP AND RESOURCES POLICY DEVELOPMENT AND SCRUTINY PANEL of WEST LOTHIAN COUNCIL held within COUNCIL CHAMBERS, CIVIC CENTRE, LIVINGSTON, on 16 JUNE 2017.

Present – Councillors Lawrence Fitzpatrick (Chair), Kirsteen Sullivan (Vice-Chair), Chris Horne, Dave King, George Paul, Moira Shemilt (substitute for Peter Johnston),Damian Timson

Apologies – Councillor Peter Johnston

In Attendance – James Proctor, West Lothian Voluntary Sector Gateway

1. DECLARATIONS OF INTEREST

There were no declarations of interest made.

2. MINUTE

The Partnership and Resources Policy Development and Scrutiny Panel approved the minute of its meeting held on 28 April 2017. The minute was then signed by the Chair.

3. IMPACT OF EU EXIT AND HORIZON SCAN - JUNE 2017

A report had been circulated by the Head of Finance and Property Services and Head of Planning, Economic Development and Regeneration providing the Panel with an update on potential implications following the UK referendum vote to leave the European Union (EU) and to present a summary of the latest UK economic indicators and announcements.

The Head of Finance and Property Services informed the Panel of the process for leaving the EU, noting that on 29 March 2017 the UK formally triggered Article 50, giving two years notice of the UK's withdrawal from the EU. Negotiations were expected to start following the results of the general election in June 2017 and end in Autumn 2018.

The report went on to examine UK economic implications in relation to:-

Debt and Borrowing
Economic Growth
Exports and Inward Investment
Inflation
Interest Rates

The Panel was informed that the Scottish economy was likely to be affected by Brexit in a similar way to that of the UK in general terms, however changes to the Scottish rate of income tax taking effect from

April 2017 would mean that Scotland's own economic performance would have a more direct impact on the Scottish Budget.

In relation to the impact on West Lothian, the Panel noted that in the 2011 Census the total number of West Lothian residents from other EU countries was 5,112 with 85 per cent of the total EU group of working age. Within West Lothian, social care services were supported considerably by a large EU migrant workforce.

The report examined the impact on employment and business in West Lothian. The report also examined borrowing and the immediate impact on West Lothian Council, together with the medium to long term impact.

The Head of Finance and Property Services advised that the outcome of the negotiations and the latest economic indicators would continue to be monitored on a regular basis, as part of the horizon scanning of factors that could have an impact on the council's medium term financial strategy.

The Panel was asked to note:-

1. the latest potential economic and financial position of the UK following the referendum decision to leave the EU.

2. the potential financial implications for the council's future financial planning.

3. the potential direct funding consequences on Planning, Economic Development and Regeneration resources, as a likely implication of EU funding programmes ceasing after 2019.

4. the other potential implications for businesses and employability within West Lothian.

Decision

To note the terms of the report.

4. KEEPING WARM IN WINTER

A report had been circulated by the Head of Finance and Property Services informing the Panel of the recent activity undertaken by the West Lothian Advice Network to ensure West Lothian residents had access to advice and support to keep warm in winter.

The report provided an appendix showing fuel poverty by data zone in West Lothian and, although West Lothian had the lowest rate of extreme fuel poverty in Scotland, 29% (21,460) of all households in West Lothian were in fuel poverty.

The Panel was informed that during the winter months of 2016/17, partners worked collaboratively to promote the benefits of energy advice through the 'Keep Warm in Winter' campaign. While some partners were unable to secure continued funding to retain an energy advisor, from

October to December 2016 the Advice Shop had offered energy advice to 699 customers, which resulted in fuel savings of £64,226. Other partners also continued to offer energy advice which secured annual savings of £12,644 comprising of £8,602 from fuel billing advice and £4,042 from energy savings. Other targeted winter energy provision included:

- Warm Home Discount scheme campaign
- Energy Advice Forum activity

The report went on to provide details of the West Lothian Advice Network. The network recognised that, with limited resources, there was a need for services to be able to respond flexibly in order to cope with shifting demand. One of the key aims of the network was to target resources to help people living in the most disadvantages life circumstances. The network had developed a targeted winter campaign using the information contained in appendix one to help tackle fuel poverty.

The Panel noted that the Advice Shop had supported the delivery of the HEEPS: Area Based Scheme through the provision of energy advice and income maximisation checks.

The Head of Finance and Property Services concluded that, through working collaboratively, partners had ensured that over 700 households had been supported to be better off in relation to keeping their homes warm. The success of the HEEPS scheme continued to make a significant impact in supporting householders to reduce fuel bills over the longer term, and the addition of specific fuel poverty questions on the existing questionnaire would help identify those who needed further or more in-depth support with their fuel costs.

The Panel then heard advice by the Chief Executive in relation to a review of certain domestic and non-domestic properties to identify wall cavity types and fire safety issues.

It was recommended that the Panel note:

1. a continuing improving picture in West Lothian in relation to extreme fuel poverty;
2. that customers were helped to maximise their income to a value of £76,870 and 278 homes were insulated through the Home Energy Efficiency Programme;
3. the reduction in partners ability to offer fuel advice due to withdrawal of external funding, and
4. the intention to build on the success of the Keep Warm in Winter campaign.

<u>Decision</u>

To note the term of the report.

5. FUNERAL POVERTY

A report had been circulated by the Head of Finance and Property Services providing an update on the actions taken by the Anti-Poverty Development Group to mitigate the effects of funeral poverty.

The Panel was informed that that in January 2016, Citizens Advice Scotland had published 'Funeral Poverty: A Review for Scottish Government.' The report highlighted that many bereaved families found it hard to pay the costs of burying their loved ones.

Funeral Poverty was a generic term used to encompass a range of issues around the difficulties experience by people with insufficient funds faced with paying the cost of a funeral.

For those families which fell into Funeral Poverty, after the options of benefits/finance had been explored and they were still unable to afford the funeral, they might be eligible for a National Assistance Funeral paid for by West Lothian Council.

The report provided details on the costs associated with funerals and noted that people were increasingly taking on unmanageable debt to pay for funerals. The nature of a funeral was that it was often an unexpected purchase because the death was unexpected, but also because the cost was unexpected. Factors such as welfare reform, reduction in the availability of credit and the freezing of wages had impacted on people's available resources to meet such sudden and unexpected expenditure.

In West Lothian in 2015, there had been 13 National Assistance Funerals which had increased by 53% from 2006 when there had been six National Assistance Funerals. By contrast, Edinburgh council averaged 138 per year.

In November 2016, a short life working group was set up to explore how to mitigate the effects of funeral poverty. Participants included: West Lothian Council Advice Shop, Cemeteries and Registration services alongside Citizens Advice Bureau, West Lothian Credit Union, NHS Bereavement Co-ordinator and the Chair of the National Funeral Directors Association.

The Panel was informed of the development of a leaflet to be distributed to partners and provided to the public. This was attached as Appendix 1 to the report. The leaflet would be widely available to Funeral Directors, hospitals, health centres, Carers of West Lothian, Council offices and other local partners, and would be provided by registrations staff when customers were registering a death.

During discussion, officers undertook to consider removing two phrases from the leaflet as suggested by the Chief Executive.

The Panel was invited to note:

1. the national and local context of funeral poverty and

2. the actions taken by the Anti-Poverty Development group to raise awareness and mitigate the impact of Funeral Poverty.

Decision

To note the terms of the report and the leaflet attached as Appendix 1 to the report.

6. MITIGATING THE IMPACT OF THE LOWER BENEFIT CAP

A report had been circulated by the Head of Finance and Property Services informing the Panel of the work undertaken to mitigate the impact of the lowered benefit cap which came into effect on 7 November 2016.

The Panel was informed that the Welfare Reform and Work Act 2016 had introduced a new, lower overall benefit cap. The cap applied to certain working age benefits including Income Support, Employment and Support Allowance, Jobseekers Allowance, Child Benefit, Child Tax Credit and Housing Benefit. The new lower benefit cap reduced the overall level of benefit income from £500 per week for couples and claimants with children to £384.62 per week. Single claimants with no dependent children had the cap reduced from £350.0 to £257.69 per week.

The benefit cap campaign in West Lothian was a joint project involving a range of council services and external partners with the aim of engaging families affected to support them to manage the reduction in their Housing Benefit award and, in turn, to manage payments to their rent account to sustain their tenancy and avoid eviction.

The campaign included advice to all households identified as red, amber or green depending on assessed level of vulnerability. The advice was tailored to their individual household circumstance. This advice was then followed up by referrals to specialised advice providers, where appropriate, to assist them to successfully manage the reduction in their income.

A recent visit had been carried out to a neighbouring local authority to discuss approaches to supporting households affected by the benefit cap. The visit highlighted that the approach of offering tailored advice to individual households, using methods of direct contact for those considered vulnerable, was regarded as good practice.

The Head of Finance and Property Services concluded that households affected by the lower benefit cap in West Lothian were likely to be comprised of large families, many with lone parents and high housing costs. The benefit cap campaign had successfully engaged with 81% of households in West Lothian assessed as being at the highest risk of financial and social exclusion as a result of the application of the flower cap.

In order to ensure that those impacted had the ability to adjust to the cap

in the longer term, continued partnership work was required to ensure that customers had access to appropriate support to maximise income, sustain their tenancy and meet longer term employability goals.

Finally, it was noted that it was expected that particular effort would need to be made to engage households between January and March 2018, when they were likely to accept potential shortfall in income and therefore want support.

It was recommended that the Panel note the impact of the lowered overall benefit cap and the actions which the council had taken to mitigate this impact on affected households in West Lothian.

Questions raised by Panel members were then dealt with by the Head of Finance and Property Services and the Anti-Poverty and Welfare Advice Manager.

Decision

To note the terms of the report.

7. WELFARE REFORM: QUARTERLY UPDATE REPORT

A report had been circulated by the Head of Finance and Property Services informing the Panel of the recent developments in, and the continuing implications of, the ongoing programme of welfare changes.

The Panel was informed that in relation to Discretionary Housing Payment Fund (DHP), the council awarded £2,193,463 in 2016/17. The DHP was no longer provided by the department for Work and Pensions but had transferred from April 2017 to the Scottish Government. The Scottish Government would reimburse councils for mitigating the impact of the spare room subsidy. All applicants affected by the removal of the spare room subsidy or bedroom tax, and the benefit cap who were entitled to Housing Benefit, would continue to be awarded full DHP to cover the shortfall in 2017/18.

The report provided details of the 2017/18 Scottish Welfare Fund spend to 30 April 2017.

In relation to Universal Credit, it was noted that as previously reported, in addition to the “Live System” which dealt with simple claims there was a second, developing, more sophisticated “Full Digital Service”. This would deal with all UC claims including the more complex cases and cases involving families. Currently only a small number of Job Centres throughout Britain operated the “Full Service.”

The Panel was informed that the Scottish Government had written to the UK Government in March 2017 requesting an immediate halt to the roll-out of the Full Service of Universal credit until problems with its implementation were fully resolved.

The report went on to examine further welfare changes, including

Reductions to Universal Credit from April 2017, Benefit/Credit Freeze, Reduction in the Household Benefit Cap, Housing Support for 18 to 21 year olds and the Two Child Limit.

In relation to the Scotland Act 2016 and the Devolution of Welfare, the report provided a table providing an overview of responsibility for social security powers.

The Head of Finance and Property Services considered that, as the welfare changes were rolled out, and as further changes took effect, officers would assess the cumulative effects of these challenges in order to develop and shape work going forward. This would include further analysis of the measures in the Scotland Act and engagement with the Social Security Committee of the Scottish Parliament and with COSLA, and the IRRV, as the practicalities of the proposed changes were considered. The results of their work would continue to be reported to elected members via the PDSP process and relevant action would be proposed by the council and community planning partners to pro-actively address issues arising.

The Panel was asked to note the impacts of the welfare changes in West Lothian and the actions which the council and community planning partners were taking in response.

Decision

To note the terms of the report.

8. SICKNESS ABSENCE (1 APRIL 2016 - 31 MARCH 2017)

A report had been circulated by the Head of Corporate Services examining sickness absence rates for the 12 month period from 1 April 2016 to 31 March 2017 and providing an update on the ongoing application of the council's Policy and Procedure on Managing Sickness Absence.

The sickness absence SPI for the full council for the period 1 April 2016 to 31 March 2017 was set out at Appendix 1 to the report, together with the SPI performance indicators for the full years (2013/14, 2014/15 and 2015/16).

The sickness absence SPI for each individual service area for the period 1 April 2016 to 31 December 2012 was set out at Appendix 2.

The Panel was informed that of the seven council service areas, five had reported sickness absence rates above the council target of 3.6%. Only Corporate Services and Education Services had reported below the Council target of 3.6%.

The report went on to provide details of Long-Term Absence and Disregarded Absences. It also provided an analysis of categories of Absence, highlighting that the most common reason for long term across

the council fell within the category of Mental and Behavioural.

The Head of Corporate Services advised that the absence management team with HR Services had continued to work closely with managers across the council, providing advance and guidance on the management of sickness absence and monitoring the application of the Policy and Procedure on Managing Sickness Absence.

The report provided commentary in relation to the Occupational Health Tender, Mentally Healthy Workplace Training, HR Adviser Input and Employee Health and Wellbeing.

The Head of Corporate Services concluded that 2016/17 had seen an increase in sickness absence rates which was indicative of a rising trend over the previous 3 years although absent rates had been slower to increase and were similar to 2015/16 levels.

The council was applying a more targeted strategy for managing absence over the coming months, tailored to individual services and supported by ongoing robust application of the current Policy and Procedure on Managing Sickness Absence.

The Panel was asked to note the content of the report.

Decision

To note the terms of the report.

9. PERFORMANCE REPORT FROM THE CORPORATE PERFORMANCE MANAGEMENT SYSTEM

A report had been circulated by the depute Chief Executive examining current levels of performance for all indicators that supported the council's Corporate Plan and were the responsibility of the Partnership and Resources Policy Development and Scrutiny Panel.

The Panel was informed that of the 37 performance indicators, 33 were categorised as green, 1 as amber and 3 as red.

The Panel noted that in the appendix to the report, an explanation was provided for each indicator from the services on the performance levels.

The report concluded that the majority of performance indicators were within target. The information contained in the appendix allowed the Panel to focus on the issues that services currently faced and highlighted where service performance was currently below target. The information allowed the Panel to function in accordance with the council's Code of Corporate Governance and the principles of Best Value.

Decision

To note the terms of the report.

10. LOTHIAN VALUATION JOINT BOARD

A report had been circulated by the Chief Executive attached the minutes of the meeting of the Lothian Valuation Joint Board held on 6 February 2017.

It was noted that, in accordance with the decision of the Council Executive on 29 June 2010, the business of Lothian Valuation Joint Board was to be reported to the Panel by the production of its minutes and annual report.

The report ensured that members were kept appraised of the activities of Lothian Valuation Joint Board as part of the council's Code of Corporate Governance.

The Panel was asked to note the terms of the minutes of the meeting held on 6 February 2017 of the Lothian Valuation Joint Board.

Decision

To note the terms of the report.

11. WORKPLAN

A copy of the Workplan had been circulated for information.

Decision

To note the Workplan.

DATA LABEL: PUBLIC

West Lothian Council

PARTNERSHIP & RESOURCES POLICY DEVELOPMENT & SCRUTINY PANEL

RIPSA POLICY

REPORT BY GOVERNANCE MANAGER

A. PURPOSE OF REPORT

To consider a revised and updated policy in relation to the council's use of and responsibilities in relation to the regulation of investigatory powers.

B. RECOMMENDATIONS

1. To note and consider the draft policy in the appendix to the report which is intended to be submitted to the Council Executive for approval

2. To note that following approval of revised policy, updated procedures and management guidelines shall be put in place to support and implement the policy

C. SUMMARY OF IMPLICATIONS

I	**Council Values**	Focusing on our customers' needs; being honest, open and accountable
II	**Policy and Legal (including Strategic Environmental Assessment, Equality Issues, Health or Risk Assessment)**	Regulation of Investigatory Powers (Scotland) Act 2000, Regulation of Investigatory Powers Act 2000, statutory Codes of Practice
III	**Implications for Scheme of Delegations to Officers**	The Scheme will be amended to reflect the appointment of the Senior Responsible Officer and Authorising Officers
IV	**Impact on performance and performance Indicators**	None
V	**Relevance to Single Outcome Agreement**	N/A
VI	**Resources - (Financial, Staffing and Property)**	None
VII	**Consideration at PDSP**	Ongoing
VIII	**Other consultations**	Legal Services; Governance & Risk Board

D. TERMS OF REPORT

1 Background and terminology

1.1 The council has duties and responsibilities in undertaking certain types of surveillance in relation to its own functions concerning the detection of crime and protection of public health. This report concerns "directed covert surveillance" carried out for one of three legal purposes. If it is not directed covert surveillance then no RIPSA authorisation is needed:-

- Surveillance means any form of observation activity, gathering information and recording information obtained.
- Surveillance is covert surveillance if it is designed be done without the subject being aware of it and leads to information being gathered and used without the subject knowing.
- Covert surveillance is directed covert surveillance if it is planned to gather private information as part of a specific investigation or a specific operation.
- The three legal purposes are preventing or detecting crime or the prevention of disorder; in the interests of public safety; and protecting public health. If one of these three purposes does not apply then no authorisation is needed.

1.2 No authorisation is needed for:-

- overt surveillance (no attempt to hide the operation); gathering information in an open, transparent and unhidden way (for example, observations from a clearly marked vehicle in a public place)
- *ad hoc* surveillance – a one-off instance of information-gathering through undirected means with no systematic observation planned or carried out (for example, an initial check on a website or social media page)
- unplanned surveillance – the observation of events as an immediate response to events without planning or forward thinking (for example, coming across information by chance in a public place)
- surveillance purely internal to the council in its role as employer rather than as a public body (for example, disciplinary investigations, where information is gathered on council premises or property, although carrying out surveillance of an employee in relation to potentially criminal activity in a public place may mean that authorisation is needed)

1.3 If officers act without an authorisation when one should have been granted then evidence gathered may be inadmissible, enforcement action may fail, and the council may suffer reputational damage. A RIPSA authorisation does not confer additional or wider powers on the council that it does not otherwise possess. It regulates and controls the way in which existing powers are used.

2 Council RIPSA activity

2.1 Very small numbers of authorisations are given each year for the use of covert surveillance by officers. They are relevant to council services which operate in areas such as noise and criminal antisocial behaviour, trading standards, environmental health and counter fraud investigations. The authorisations requested and granted in the last five years are as follows.

2.2

YEAR	REQUESTED	GRANTED
2012/13	1	1
2013/14	2	1
2014/15	1	1
2015/16	2	1
2016/17	3	0

2.3 There has been one authorisation requested in the current year, which was granted.

3 Compliance

3.1 The first step in ensuring compliance is adopting an overarching policy. The policy sets out the principles which will guide the detailed procedures and officers' actions, and assigns the main responsibilities for compliance.

3.2 The council has had a policy in place since 2003 but it is no longer fit for purpose and requires to be replaced. An amended version has been drafted and is attached for consideration prior to submission to Council Executive for approval.

3.3 It covers the requirements of the relevant legislation, the statutory Codes of Practice and recognised good practice. It is in the appendix to the report. Once approved it will take immediate effect.

3.4 Below the policy will be detailed guidance and procedures which will assist on a day-to-day basis with compliance, whilst also allowing the effective use of the council's powers. Those are in the course of preparation and will be ready to be implemented when the revised policy is approved. They are not reported to members for approval since they are management procedures and guidance.

4 Roles and responsibilities

4.1 The policy lists the roles and responsibilities of all officers engaged in RIPSA activity. Particular responsibilities and powers will be delegated and will be reflected in the Scheme of Delegations to Officers.

4.2 The Senior Responsible Officer shall be the Depute Chief Executive (Corporate, Housing & Operational Services).

4.3 The Authorising Officers shall be the Governance Manager and the Chief Solicitor.

5 Monitoring, reporting and review

5.1 The Authorising Officers will deal with applications for authorisation and shall maintain the central register of applications and authorisations. They will report on activity to the Senior Responsible Officer.

5.2 The Senior Responsible Officer shall report annually to Partnership & Resources PDSP on RIPSA activity. The review of the procedure shall be carried out at the same time by him and through the Governance & Risk Board.

5.3 The Senior Responsible Officer shall sign an annual compliance certificate in relation to RIPSA activity during the year. That is submitted with other compliance statements as part of the annual report on the local code of corporate governance.

5.4 The Senior Responsible Officer shall report as required on activity to the Office of Surveillance Commissioner (OSC), the RIPSA regulatory body.

5.5 The policy will be formally reviewed every three years and reported to members for information or for approval to proposed changes.

6 OSC inspection

6.1 The council had its triannual inspection by the OSC in 2016/17. The Inspector made five specific recommendations:-

- review of Policy and Guidance documents
- authorisations to be more specific on exactly what was being authorised
- appointment of a Senior Responsible Officer as well as Authorising Officer(s)
- report RIPSA policy to elected members
- amendment of cancellation forms

6.2 The changes described in this report are designed to meet those recommendations.

E. CONCLUSION

Approval of the revised policy will put in place up-to-date guiding principles to ensure statutory compliance, and will allow detailed procedures and guidance to be revised and implemented to secure legal compliance and the efficient and lawful discharge of the council's statutory powers.

F. BACKGROUND REFERENCES

The Regulation of Investigatory Powers (Scotland) Act 2000 (RIPSA)

Regulation of Investigatory Powers Act 2000 (RIPA)

Code of Practice on Covert Surveillance and Property Interference (Scottish Government, 2014)

Code of Practice on Covert Human Intelligence Sources (Scottish Government, 2014)

Appendices/Attachments: Appendix - Draft policy

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Date of meeting: 23 August 2017

APPENDIX 1

REGULATION OF INVESTIGATORY POWERS (SCOTLAND) ACT 2000 etc.

DRAFT POLICY (2017)

1 Aims and objectives

1.1 In carrying out regulatory or enforcement functions the council may have to gather information through observation without the knowledge of the person involved. Activities like that may involve encroaching on human rights to respect for private life, home and possessions. Doing so can be justified in human rights terms. It must be accordance with law, it must be necessary in the pursuit of a legitimate public aim, and it must be proportionate. To ensure that is the case the council has to follow UK and Scottish legislation (RIPA and RIPSA), Codes of Practice and statutory guidance.

1.2 To meet those requirements the council must have a policy, procedure and guidance; a clear allocation of responsibilities for compliance and internal monitoring; and public reporting arrangements.

1.3 This policy is designed to provide the framework of principles and guidance which the council and its officers must apply when gathering information in certain circumstances using their statutory powers. It provides the basis for procedural rules and guidelines to be followed in the performance of those functions.

1.4 Council officers may be able and permitted to carry out this type of activity. Before doing so they must be authorised properly. As well as complying with legal rules, they must abide by this policy and use correct procedures. That will ensure respect for human rights, public accountability and that information gathered can be used lawfully.

1.5 The policy aims are:-

- to ensure the council acts lawfully in gathering information to the protect the public, safeguard public health or detecting crime
- to protect the legitimate interests of anyone who is being investigated
- to provide a balance between using investigatory powers to serve the community of West Lothian and safeguarding the public against unjustified and unlawful intrusion into their affairs
- to provide the framework for procedural rules and controls
- to make adequate internal monitoring and public reporting arrangements

1.6 The terminology used is explained in section 8.

2 Roles and responsibilities

2.1 The council will designate a member of its Corporate Management Team to be the Senior Responsible Officer (SRO) who is responsible for:-

- ensuring the council complies with the law, Codes of Practice and other statutory guidance
- maintaining and reviewing the policy
- ensuring officers comply with this policy and related procedures and guidelines
- establishing and reviewing internal procedures and guidance
- providing training
- dealing with the Office of the Surveillance Commissioner (OSC) in relation to

oversight and inspection and actions arising
- notifying the Monitoring Officer of any unauthorised surveillance activity
- reporting to PDSP and/or committee on activity under the policy
- completing a certificate of compliance as part of the annual report on the Local Code of Corporate Governance
- appointing a depute to act when the SRO is unable to do so

2.2 The council will designate at least one officer to be the Authorising Officer (AO) who is responsible for:-

- giving, reviewing, renewing and cancelling authorisations
- maintaining a register of authorisations
- notifying the SRO and the Monitoring Officer of any unauthorised surveillance activity
- assisting and supporting the SRO
- providing or arranging the provision of training

2.3 The Chief Solicitor, personally or through nominated solicitors, is responsible for:-

- providing legal advice to the SRO, the AO and other council officers
- assisting and supporting the SRO and AO
- acting as AO when the AO is unable to do so
- notifying the SRO, the AO and the Monitoring Officer of any unauthorised surveillance activity

2.4 The delegation of those powers to officers shall be recorded in the Scheme of Delegations to Officers.

2.5 Heads of Service are responsible for:-

- raising awareness of the policy and procedures and ensuring officers undertake adequate training
- designating and authorising officers to apply for authorisations and carry out and supervise the surveillance as authorised
- informing the AO of the officers designated to apply for authorisations and carry out and supervise the surveillance as authorised
- ensuring compliance with the policy and procedures and any authorisations issued
- notifying the SRO and the AO of any unauthorised surveillance
- assisting and supporting the SRO

2.6 All council officers engaged in surveillance or with responsibilities under this procedure are responsible for:-

- being familiar with the policy and procedure
- complying with the policy and procedure and authorisations issued
- undertaking appropriate training

2.7 The OSC oversees all public bodies engaged in covert surveillance. Part of their role is to periodically examine and audit records and procedures. All council officers engaged in the process must be prepared to justify their actions when called upon to do so. During periods of inspection, all officers must make themselves available for interview and otherwise cooperate with the visiting representative of the OSC.

3 Scope

3.1 The policy applies to council officers who are engaged in:-

- covert surveillance which is directed surveillance
- the use of a covert human intelligence source (CHIS)

3.2 In certain circumstances, those functions may include:-

- the use of CCTV (for example, where deliberate use of those cameras is part of a planned surveillance operation)
- the use of the internet and social media for the purpose of gathering information (for example, where monitoring of a website or social media page is undertaken systematically and over a period of time to gather information)
- test purchasing (for example, where young people are engaged to attempt to make what would be illegal purchases of alcohol or tobacco)

3.3 The policy does not apply to:-

- overt surveillance
- *ad hoc* surveillance
- unplanned surveillance
- purely internal observation in the council's role as employer where there is no surveillance in public place (for example, disciplinary investigations where ICO guidelines will apply)

3.4 The policy does not permit intrusive surveillance. Council officers must not engage in that activity.

4 Procedures

4.1 The SRO will put in place appropriate procedures and guidance to ensure that officers act lawfully and in accordance with the policy. Those procedures will be reviewed at least annually.

4.2 The procedure and guidance shall be designed to ensure that officers consider and satisfy the AO that:-

- the authorisation is legally possible (the council cannot authorise intrusive surveillance)
- the authorisation is legally required - not all observation activity will come within the definition of surveillance requiring an authorisation (for example, overt surveillance)
- the type of information to be gathered has been identified (for example, the involvement of private information and/or confidential information)
- there is a lawful purpose (that is, preventing or detecting crime or disorder; public safety; or protecting public health)
- the surveillance is necessary (it is a reasonable way to gather the information, with alternatives having been considered)
- the risk of collateral intrusion has been assessed and mitigating measures put in place
- the proposed surveillance will be effective
- the activity has been planned to avoid damage to property and harassment or intimidation of individuals

- the surveillance activities proposed are proportionate to the conduct being investigated
- competent officers are identified and available to carry out and supervise the surveillance

4.3 The procedures shall ensure that:-

- applications, authorisations and related documents and records are normally in writing
- the circumstances in which oral applications and authorisations can be used are clearly defined
- the ability to use social media and other online activity for gathering information is clearly explained
- forms are in place to ensure that the legal requirements and all relevant factual information is considered throughout the process
- authorisations are reviewed, renewed or terminated as required by the circumstances of the case
- a register is kept in compliance with legal requirements
- records are retained and destroyed in accordance with the council's Records Management Policy and Retentions Schedules

5 Covert Human Intelligence Source (CHIS)

5.1 The use of a covert human intelligence source will be authorised only in exceptional circumstances.

5.2 The procedures to be established in support of the policy will contain additional safeguards:-

- to ensure that any risk of activity falling into that category is identified and avoided
- to ensure that authority is only sought with the express approval of the relevant Head of Service
- to ensure that authorisation is not given until full discussion has taken place amongst the SRO, the AO, the Head of Service and the officer requesting the authorisation

6 Complaints

6.1 Any person aggrieved by the granting of an authorisation or by surveillance activity may lodge a complaint to the council under its Corporate Complaints Procedure.

6.2 Any person aggrieved by the conduct of any covert surveillance also has a right to complain to the Investigatory Powers Tribunal. This independent tribunal has full powers to investigate and decide cases within the United Kingdom, including complaints about activities carried out under Scottish legislation.

7 Review and reporting

7.1 This policy shall be reviewed at least once every three years. The outcome of the

review shall be reported to PDSP. In the event that any changes are required, those changes shall be reported to Council Executive for approval.

7.2 Minor changes required for administrative reasons may be made by the SRO (for example, to reflect changes in the council's management structure and responsibilities, or changes in terminology).

7.3 The procedures and guidance shall be reviewed annually by the SRO.

7.4 Regular periodic reports will be made by the SRO to PDSP on all activity under the policy and in relation to inspection reports.

7.5 The SRO shall provide a compliance statement to the Monitoring Officer as part of the annual report on the Local Code of Corporate Governance, detailing the extent of surveillance activity during the year and identifying any areas of weakness or concern and non-compliance.

8 Terminology

1	*Ad hoc* surveillance	A one-off instance of information-gathering through undirected means with no systematic observation planned or carried out (for example, an initial check on a website or social media page)
2	Codes of Practice[1]	Covert Surveillance and property Interference (2015); Covert Human Intelligence Sources (2015); Interception of Communications (2016)
3	Collateral intrusion	Through the authorised surveillance activity, obtaining information about other persons who are not the subject of the surveillance
4	Council Executive	The council's main decision-making forum for non-education business established under the council's Standing Orders for the Regulation of Meetings and Scheme of Administration
5	Covert Human Intelligence Source (CHIS)[2]	A person:- (a) establishes or maintains a personal or other relationship with another person for the covert purpose of facilitating the doing of anything falling within paragraph (b) or (c) below; (b) covertly uses such a relationship to obtain information or to provide access to any information to another person; or (c) covertly discloses information obtained by the use of such a relationship or as a consequence of the existence of such a relationship

[1] RIPSA, sections 24 - 26
[2] RIPSA, section 1(7) and section 31(5)

6	Covert surveillance[3]	Surveillance that:- (a) if, and only if, is carried out in manner that is calculated to ensure that persons who are subject to the surveillance are unaware that it is or may be taking place; (b) is for a covert purpose, that is, in relation to the establishment or maintenance of a personal or other relationship, if and only if the relationship is conducted in manner that is calculated to ensure that one of the parties to the relationship is unaware of the purpose; and (c) if and only if leads to information used or, as the case may be, disclosed in a manner that is calculated to ensure that one of the parties to the relationship is unaware of the use or disclosure in question
7	Directed surveillance[4]	Covert surveillance which is not intrusive and is undertaken:- (a) for the purposes of a specific investigation or a specific operation; (b) in such a manner as is likely to result in the obtaining of private information about a person (whether or not one specifically identified for the purposes of the investigation or operation); and (c) otherwise than by way of an immediate response to events or circumstances the nature of which is such that it would not be reasonably practicable for an authorisation under this Act to be sought for the carrying out of the surveillance
8	Intrusive surveillance[5]	Covert surveillance that:- (a) is carried out in relation to anything taking place on any residential premises or in any private vehicle; and (b) involves the presence of an individual on the premises or in the vehicle or is carried out by means of a surveillance device
9	Investigatory Powers Tribunal	PO Box 33220, London, SW1H 9ZQ Tel: 0207 035 3711 Email: info@ipt-uk.com
10	Lawful surveillance	Surveillance if:-

[3] RIPSA, section 1(8)
[4] RIPSA, section 1(2)
[5] RIPSA, section 1(3), and subject to conditions and exclusions in section 1(4) and (5)

		(a) an authorisation under this Act confers an entitlement to engage in that conduct on the person whose conduct it is; and (b) that person's conduct is in accordance with the authorisation
11	Officers	Council employees or others authorised by the council to carry out functions or provide services on its behalf and under the direction of the Chief Executive
12	Overt surveillance	Gathering information in an open, transparent and unhidden way (for example, observations from a clearly marked vehicle in a public place)
13	OSC	Office of Surveillance Commissioners, PO Box 29105, London, SW1V 1ZU
14	PDSP	The Partnership & Resources Policy Development & Scrutiny Panel established under the council's Standing Orders for the Regulation of Meetings and Scheme of Administration
15	Private information[6]	In relation to a person, it includes any information relating to the person's private or family life.
16	RIPA	Regulation of Investigatory Powers Act 2000
17	RIPSA	Regulation of Investigatory Powers (Scotland) Act 2000
18	Scheme of Delegations	The council's record of the powers and responsibilities delegated to and exercisable by officers
19	Surveillance[7]	Surveillance includes:- (a) monitoring, observing or listening to persons, their movements, their conversations or their other activities or communications; (b) recording anything monitored, observed or listened to in the course of surveillance; and (c) surveillance by or with the assistance of a surveillance device
20	Unplanned surveillance	The observation of events as an immediate response to events without planning or forward thinking (for example, coming across information by chance in a public place)

[6] RIPSA, section 1(9)
[7] RIPSA, section 31(2) and subject to the exclusions in section 31(3)

F CONTACTS

1 The Senior Responsible Officer is Graeme Struthers, Depute Chief Executive, 01506 281776, graeme.struthers@westlothian.gov.uk. He has an oversight role and is not involved in the authorisation procedure.

2 The Authorising Officers are:-

- James Millar, Governance Manager, 01506 281613, 078670466449, james.millar@westlothian.gov.uk
- Carol Johnston, Chief Solicitor, 01506 281605, 07970 478897, carol.johnston@westlothian.gov.uk (or her nominated deputy)

DATA LABEL: PUBLIC

West Lothian Council

PARTNERSHIP AND RESOURCES POLICY DEVELOPMENT AND SCRUTINY PANEL

REVIEW OF PEOPLE STRATEGY 2013/2017

REPORT BY HEAD OF CORPORATE SERVICES

A. PURPOSE OF REPORT

To present to the Panel a review of the People Strategy 2013/17

B. RECOMMENDATION

The Panel is asked to note the content of the report.

C. SUMMARY OF IMPLICATIONS

I	**Council Values**	• Being honest, open and accountable • Making best use of our resources
II	**Policy and Legal (including Strategic Environmental Assessment, Equality Issues, Health or Risk Assessment)**	None
III	**Implications for Scheme of Delegations to Officers**	None
IV	**Impact on performance and performance Indicators**	The People Strategy is designed to support the improvement of services by recognising that achievement of this is dependent on the skills and commitment of employees. Progress in achieving the outcomes is monitored using a range of performance indicators.
V	**Relevance to Single Outcome Agreement**	Supporting the delivery of outcomes at a local, council wide and partnership level.
VI	**Resources - (Financial, Staffing and Property)**	None.
VII	**Consideration at PDSP**	Yes
VIII	**Other consultations**	Regular consultation takes place with the Trade Unions on progressing the key activities and actions set out in the People Strategy action

plan.

D. TERMS OF REPORT

D.1 Background

The People Strategy 2013/17 is designed to support the council's key aim of improving the quality and value of the services it provides to the people of West Lothian. The strategy acknowledges the critical role that a skilled, motivated and capable workforce plays in every aspect of service delivery and continuous improvement and sets out a plan for key activities and actions which support and drive the development and leadership of employees.

The Strategy provides a framework and related action plan for delivering on the following five strategic outcomes:

- Engaging and motivating our employees
- Recognised as a good employer
- Helping our employees to succeed
- Ensuring equality for all
- Ensuring a healthy and safe workforce

D.2 Performance Indicators

There are nineteen performance indicators used to monitor progress of the People Strategy outcomes. Of these indicators, sixteen are green, one is amber and two are red. Detail of performance against target is contained in the People Strategy Scorecard which is attached as Appendix 1.

Actions in place to increase performance for those reported as amber or red are detailed below.

Outcome 1 – Engaging and Motivating our Employees

Percentage of responders to the annual employee survey	**Status**	**Red**
	2013	49%
	2014	47%
	2015	65%
	2016	50%

Participation in the 2016 survey decreased on the previous year and returned to a level similar to 2013 and 2014.

It has been agreed that there will be a revised set of survey questions issued to all employees during 2017. The results of the survey will be available in September 2017.

Outcome 2 - Recognised as a Good Employer

Percentage of annual employee reviews completed	**Status**	**Red**
	2013	N/A
	2014	N/A
	2015	N/A
	2016	22%
	2017	85%

The ADR process has a set annual structure that operates on a cascade basis that commences following completion of the management planning process. As this is the first year of roll out across all employees, some of the larger service areas have not concluded all reviews within the 12 month period.

HR Services are gathering feedback on the functionality of the review process for larger front line areas and will consider options to adapt arrangements if required.

Outcome 4 – Ensuring Equality for All

Percentage of employees who have completed equality and diversity training	**Status**	**Amber**
	2013	N/A
	2014	N/A
	2015	11%
	2016	91%

A programme of equality and diversity training has been developed and is currently being delivered to employees in all council services. The training programme was scheduled to be completed by 31 March 2017 but the timescale has been extended to 31 August 2017.

D.3 Implementation of Action Plan Activities

There were nine key activities agreed as part of the People Strategy Action Plan and all are now complete. Details of these are included in Appendix 2.

D.4 Future Strategy

During the time of the current Strategy, we have developed a wide range of tools to support good management practice. The revised Strategy for the period 2018-22 should focus on deployment of these and reinforce the requirement to embed the arrangements into everyday practice. Areas of future focus are set out below:

1. Strengthen and make increasingly explicit the linkage between business, financial and workforce planning.
2. Ensure that the council's status as an 'employer of choice' is enhanced and that the principles and spirit of equal opportunities are evident in all aspects of the council's employment processes.
3. Maximise the effectiveness of our employee engagement strategy – striving for positive industrial and employee relations.
4. Further embed a culture of high performance across the authority through robust selection processes and tailored development programmes

E. CONCLUSION

The People Strategy 2013/17 was designed to support the council's key aim of improving the quality and value of the services it provides to the people of West Lothian, focusing on building capacity through the effective deployment, development and management of employees.

All actions to implement the nine key activities agreed in the People Strategy are now complete. Work continues to review the strategies and processes implemented to ensure their effective deployment. This will be a feature of the revised People Strategy 2018-2022

F. BACKGROUND REFERENCES

- The People Strategy 2013/17

Appendices/Attachments:	Appendix 1	People Strategy Scorecard
	Appendix 2	People Strategy Action Plan Update

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Tel: 01506 281408

Julie Whitelaw
Head of Corporate Services
23 August 2017

Corporate Strategy - People Strategy 2013-17(Summary)

Corporate Strategy - People 2013-17(Linked SC)

(a) Outcome 1 - Engaging and motivating our employees

Status	Performance Indicator	Last Update	Current Value	2017 Target	Lead officer(s) for Performance Monitoring
	corw 005_7a.5 Percentage of employees who agree or strongly agree there is effective teamwork in the council	2016/17	85%	75%	.Head of Corporate Services(J Whitelaw)
	corw 007_7b.3 Percentage of responders to annual employee survey	2016/17	50%	60%	.Head of Corporate Services(J Whitelaw)
	corw 010_9b.1c Percentage of managers who participated in corporate learning and development events	2016/17	100%	100%	.Head of Corporate Services(J Whitelaw)
	HRS401_6a.8 Percentage of attendees at training courses who said their personal learning objectives were fully met	Q4 2016/17	88%	90%	.Head of Corporate Services(J Whitelaw)

(b) Outcome 2 - Recognised as a good employer

Status	Performance Indicator	Last Update	Current Value	2017 Target	Lead officer(s)
	corw 006_7a.2 Percentage of respondents who agree or strongly agree there is reward and recognition for employees	2016/17	75%	75%	.Head of Corporate Services(J Whitelaw)
	PIS221_9b.1c Percentage of services compliant against Investors in People (IiP) Framework.	2016/17	100%	100%	.Head of Corporate Services(J Whitelaw)
	corw 013_9b.1c Percentage of annual employee reviews completed.	2016/17	85%	100%	.Head of Corporate Services(J Whitelaw)

(c) Outcome 3 - Helping our employees to succeed

Status	Performance Indicator	Last Update	Current Value	2017 Target	Lead officer(s)
	corw 009 Percentage of services who have a targeted employee development plan	2016/17	100%	100%	.Head of Corporate Services(J Whitelaw)
	corw 011_9b.1c Number of successful outcomes for displaced employees	2016/17	100%	100%	.Head of Corporate Services(J Whitelaw)

	corw 012_9b.1c Percentage of human resources policies reviewed	2016/17	95%	100%	.Head of Corporate Services(J Whitelaw)
	HRS215_9b.1c Number of days to recruit to a vacancy	April 2017	18	25	.Head of Corporate Services(J Whitelaw)

(d) Outcome 4 - Ensuring equality for all

Status	Performance Indicator	Last Update	Current Value	2017 Target	Lead officer(s)
	corEO007_9b.1c Council's Score against the Stonewall Workplace Equality Index maximum of 200 points	2016/17	75	140	.Head of Corporate Services(J Whitelaw)
	corEO008_9b.1c Percentage of targeted employees who have completed equality and diversity training in the last 3 years.	2016/17	91%	100%	Head of Corporate Services (J Whitelaw)
	corEO014 Percentage of services who have procedures in place for equality impact assessment.	2016/17	100%	100%	.Head of Corporate Services(J Whitelaw)
	corw 008_7a.7 Percentage of respondents who agree or strongly agree the organisation effectively manages equality and diversity.	2016/17	89%	75%	.Head of Corporate Services(J Whitelaw)

(e) Outcome 5 - Ensuring a healthy and safe workforce

Status	Performance Indicator	Last Update	Current Value	2017 Target	Lead officer(s)
	HRS104_9b.2 Percentage of incidents not reportable to the Health and Safety Executive.	2016/17	98%	100%	.Head of Corporate Services(J Whitelaw)
	HRS305_9b.1c Percentage of employees returning to normal monitoring under sickness absence	Q4 2016/17	84%	70%	.Head of Corporate Services(J Whitelaw)
	HRS403_9b Percentage of employees who engaged with employee health wellbeing activities	2016/17	20%	20%	.Head of Corporate Services(J Whitelaw)
	Percentage of properties compliant with property related health and safety legislation (PI narrative updated to reflect areas where a record of compliance is centrally recorded)	2016/17	100%	100%	Head of Housing Finance and Property Services (D Forrest)

People Strategy 2013/17 – Action Plan Update

Action Plan						
Action	Description	Planned Outcome	Owner	Start	End	Status (Planned, Active, Complete)
Produce an updated Workforce Plan each financial year as a baseline for managing resource issues.	Identify current and future staffing requirements to produce a Workforce Plan at the start of each financial year providing a summary within the annual Management Plan and aligned with activity based budgets.	Services have a detailed understanding of workforce profile and develop appropriate strategies to address issues arising from workforce audits	Heads of Service	01/04/14	Annually	Complete
Develop and implement a standardised process for conducting service reviews.	To implement a Service Restructure Process that ensures service reviews are consistently conducted and that appropriate governance is part of the process.	Service reviews will be carried out consistently and in accordance with recognised best practice and council policy	HR Services Manager	01/04/13	31/03/14	Complete
Undertaken annual employee survey	Conduct employee survey to obtain the views of employees. Produce an action plan to be included in Employee Communication & Engagement Strategy	Improved employee morale which results in improved service performance	Head of Corporate Services	01/04/13	Annually	Complete
Publish an annual Employee Communication and Engagement Strategy.	Produce an Employee Communication & Engagement Strategy in line with the management planning process. This should incorporate an analysis of the employee survey results	Improved employee morale which results in improved service performance	Heads of Service	01/04/14	Annually	Complete

Action Plan

Action	Description	Planned Outcome	Owner	Start	End	Status (Planned, Active, Complete)
Develop and implement a new framework for performance review.	Develop new framework for identifying and managing employee performance.	Employee performance is reviewed annually against service delivery.	Head of Corporate Services	01/04/13	31/03/14	Complete
All employees have an annual performance review and that learning and development activities are identified to address competency gaps.	Services have an established process managing employee performance and identifying learning and development needs. A collective Learning and Development Plan should also be produced for prioritising needs and training budgets.	Individuals receive constructive and honest feedback on their performance. The process records performance, health and safety and development needs.	Heads of Service	01/04/14	Annually	Complete
Develop and implement framework for equality outcomes.	Provide guidance and agree action plans and monitoring arrangements for agreed equality outcomes.	Progress is made in achieving equality outcomes.	Head of Corporate Services	01/04/13	31/03/14	Complete
Monitor progress of actions and arrangements for equality outcomes.	Progress action plans and for agreed equality outcomes.	Progress is made in achieving equality outcomes.	Heads of Service	01/04/14	Annually	Complete
Review health and safety policies, procedures and arrangements and provide an annual plan.	Services will produce a Health and Safety Action Plan as part of the annual management planning and budgeting process.	Plans are established to progress health and safety issues within the services.	Heads of service	01/04/14	Annually	Complete

West Lothian Council

PARTNERSHIP AND RESOURCES POLICTY DEVELOPMENT AND SCRUTINY PANEL

ICT STRATEGY 2015/17 REVIEW

REPORT BY HEAD OF CORPORATE SERVICES

A **PURPOSE OF REPORT**

To present to the Panel the outcome of a review of the ICT Strategy 2015-17 for the period 2016/2017.

B **RECOMMENDATION**

It is recommended that the Panel note the terms of the report.

C. SUMMARY OF IMPLICATIONS

I.	Council Values	Focusing on customers' needs Making best use of our resources
II.	Policy and Legal (including Strategic Environmental Assessment, Equality Issues, Health or Risk Assessment)	The Equality Impact Assessment has been reviewed and there is no adverse effect expected from any activity or outcome.
III.	Implications for Scheme of Delegations to Officers	None
IV.	Impact on performance and performance indicators	The ICT Strategy aims to maximise the use of technology to support the delivery of efficient services for our customers.
V.	Relevance to Single Outcome Agreement	Supporting the delivery of outcomes at a local, council wide and partnership level.
VI.	Resources (Financial, Staffing and Property)	From existing capital and revenue budgets.
VII.	Consideration at PDSP	Partnership and Resources PDSP 23 August 2017.
VIII.	Other Consultations	The report has been presented to the ICT Programme Board on 22 May 2017.

D TERMS OF REFERENCE

D1 Background

The ICT Strategy 2015/17 was approved by Council Executive on 23 January 2015. The Strategy recognised council priorities, financial constraints and technologies that provide the council and customers with new engagement channels at reduced cost. The Strategy was underpinned by a Technical Framework that set out the infrastructure, systems, data management and security required to support the delivery of council services.

The Strategy was developed recognising the influence of external and internal factors, many of which either remain unchanged or have been further developed to reflect changing priorities at national, local government and council level.

The annual review for 2016/2017 was completed in May 2017 via the ICT Programme Board representatives and all Heads of Service to ensure that the Strategy remains aligned to council priorities and service objectives.

D2 External Factors

There were five reports on technology in the public sector that influenced the council's thinking on the delivery of ICT and were factored into the ICT Strategy 2015/17:

1. Scotland's Digital Future – Delivery of Public Services" published March 2011
2. Local Government ICT Strategy – Delivering Better Services for Communities published January 2013
3. Open Data Consultancy Report commissioned by the Scottish Government in November 2013
4. Scotland's Digital Future: Data Hosting and Data Centre Strategy for the Scottish Public Sector (published April 2014)
5. Scottish Government's Climate Change (Scotland) Act 2009

Three of these strategic reports have been updated since the ICT strategy was approved:

1 The national strategy, "**Scotland's Digital Future – Delivery of Public Services**" has been updated and now reflects the Scottish Government's vision for Scotland to be a world-class digital nation by 2020. The four key objectives are digital connectivity, digital economy, digital participation and digital public services. These aims have been endorsed by all parts of the Scottish public sector. The digital public services strategy positions digital transformation as a key enabler for public service reform**. A Digital Strategy for Scotland**, published March 2017, sets out a series of actions to Transform the Public Sector and Build a Digital Government. Annex A of the Digital Strategy sets out the government's Measurement Framework.

2 The **Open Data Consultancy Report** was developed into an **Open Data Strategy** in February 2015 and remains as published. This strategy seeks to create a Scotland where non-personal and non-commercially sensitive data from public

services is recognised as a resource for wider societal use and as such is made open in an intelligent manner and available for reuse by others. Scottish public services are expected to release data in a way which aligns to the G8 Open Data Principles. The strategy anticipates this being achieved to a 3 star standard by 2017.

3 **Scotland's Digital Future: Data Hosting and Data Centre Strategy for the Scottish Public Sector** which promoted using appropriate cloud technology was updated in February 2015 (and remains as published) to include Virtualisation and Colocation both of which were already included in the ICT Strategy.

D3 Internal factors

The ICT Strategy recognised the opportunities arising from internal factors that could facilitate the modernisation of council services. These included:

- Legacy systems
- ICT infrastructure model
- Increased demand for mobile devices
- Council's programme to modernise services
- Council's priorities in the current Corporate Plan

D4 Council Strategies

The ICT Strategy continues to support the delivery of the following corporate strategies including:

Financial Strategy	Corporate Asset Management Strategy
Audit & Risk Management Strategy	Corporate Procurement Strategy
Customer Services Strategy	Information Strategy
Improvement Strategy	

D5 Outcomes

The ICT Strategy has five key Outcomes driving the Strategy and these all remain relevant:

1. Improve access to digital services for customers and employees.
2. Employ technology solutions to improve efficiency and effectiveness.
3. Reduce carbon emissions and make savings through using smart technologies.
4. Consolidate and share systems to achieve a more integrated customer focused approach.
5. Provide high performance network connectivity.

A detailed update on progress against each of the Outcomes is attached at Appendix 1.

Outcome 1: Improving access to digital services for customers and employees

The purpose of this Outcome is to support improved access to information for employees and customers' shared data, integrated systems with real or near-time interfaces and embracing the "Open" data concept.

Progress continues to be made on Outcome 1 with the successful implementation of Online School Payments, Property Assets, Lone Worker technology, Mobile devices and online Employee Expenses.

Status	Red	Amber	Green	No status
KPI	1	2	15	1
Actions			2	

There is one red Performance Indicator:

% of customers achieving end-to-end council transactions on the website
When the website was launched, the council originally set an ambitious and aspirational corporate target of moving 25% of its end to end transactions online by 2017.

The launch of the website in July 2014 and the ongoing development within services to move activities online resulted in an improvement in performance in 2015/16. In 2015/16 the percentage of end to end transactions was 3.6%.

In 2016/17 performance increased to 4.4% with the availability of a wider range of transactional activity through the development of web forms, for example for bulky uplift applications.

It is expected that the performance will improve significantly in 2017/18 as a result of further software development. In 2017/18 school payment data will also be available and will be included in this indicator. This should significantly improve performance.

The target has been reduced to 10% in 2017/18 to reflect a more achievable target.

There are two amber Performance Indicators:

% of pupil placement applications submitted on-line

Performance in 2016/17 has been 23% of applications submitted online (as a percentage of those application processes where on-line application was an option).

The ability to submit online applications was introduced in 2016/17 for Early Learning and Childcare Applications, Wraparound Care Applications, and Secondary School Applications. As the on-line facility was new, paper based application forms were still made widely available. It is planned to reduce this availability in future years, in response to growing demand for electronic applications.

Performance can be broken down as follows:-

- Early Learning and Childcare - 355 of 1986 forms received electronically (18%)
- Wraparound Care - 169 of 270 forms received electronically (63%)
- S1 Applications - 415 of 1813 forms received electronically (23%)

The target for 2017/18 is 40%, based on expected growing demand when the availability of e-forms is better publicised. This target will be reviewed as development of e-forms progresses.

% of Lone Workers with access to a Lone Worker Device, Housing Customer and Building Services

There are a total of 240 members of staff in Housing Customer and Building Services identified as Lone Workers. 91.67% have access to a Lone Worker Device.

- 57 Customer Services – all CS staff are trained and have access to a device - 100%
- 123 Housing Services – all HS staff are trained and have access to a device – 100%
- 60 Building Services – 40 staff have been trained and have access to a device - 67%

Out of the 60 standby operatives for Building Services, 40 have been trained and issued with a device. There are 20 operatives who are new to the out of hours process. The devices for these staff are being held until training is completed in August 2017.

Outcome 2: Employ Technology Solutions to Improve Efficiency and Effectiveness

The purpose of this Outcome is to make the best use of the technology solutions available that, combined with other strategic outcomes, can aid the work stream projects in the achievement of their objectives and improve performance.

Progress continues with Management Information systems and the Electronic Data Records System.

Development of the council website increased site visits by 20% in 2016/17 and increased levels of payment online. Self service levels have also increased as a result of new online forms including Free School Transport Applications, pre-planning enquiry and booking a registrar.

Status	**Red**	**Amber**	**Green**	**No status**
KPI	2	1	15	5
Actions			2	

There are two red Performance Indicators:

% reduction in business mileage by Finance and Property Services.

In 2016/17 the Chief Executive Office and Finance and Property had a total business mileage of 78,977 compared to a total business mileage of 83,782 in 2015/16. This is a reduction of 4,805 miles (5.73%).

The service units that form Finance and Property Services changed from April 2016 as a result of the council restructuring. The Corporate Procurement Unit are no longer part of Finance and Property Services and the Advice Shop and Construction Services have joined Finance and Property Services. Due to the nature of the service now delivered by Finance and Property Services, there has been an increase in the mileage figure from that reported by Finance and Estates in 2015/16, 2014/15 and 2013/14). The 2016/17 mileage for Finance and Property has however still reduced from the rebased 2015/16 figure (83,782) for the service.

% reduction in business mileage by Planning, Economic Development and Regeneration

In 2016/17 Planning, Economic Development and Regeneration Services had a total business mileage of 115,872. This is an increase of 6.93%. The service units which form Planning, Economic Development and Regeneration changed in April 2016 as a result of restructuring. The Service was joined by the Community Regeneration, Access to Employment and Positive Destinations teams.

There is one amber Performance Indicator:

% of staff completing online training in Records Management in Social Policy
There are 929 members of staff in Social Policy who have a network account. 53 have still to complete the mandatory online records management training module. The accounts of these staff have been suspended pending successful completion of the training.

Outcome 3: Reduce Carbon Emissions and make Savings through using smart technologies.

The purpose of the Outcome is to continue to implement Cloud based solutions that require less power and produce less heat thereby reducing the council's carbon footprint.

The measurement of power consumption is an ongoing action involving Finance & Property Services and third-party providers.

Status	Red	Amber	Green	No Status
KPI	2	1	6	4
Actions			2	

There are two red Performance Indicators:

% reduction in CO2 delivered from reduced business mileage, Finance and Property Services

In 2016/17 Finance and Property Services had a carbon output of 23,694Kg compared to a carbon output in 2015/16 of 25,222Kg. This is a decrease of 1,528Kg (6.06%).

The service units that form Finance and Property Services changed from April 2016 as a result of the council restructuring. The Corporate Procurement Unit are no longer part of Finance and Property Services and the Advice Shop and Construction Services have joined Finance and Property Services. Due to the nature of the service now delivered by Finance and Property Services, there has been an increase the carbon output figure from that reported by Finance and Estates in 2015/16, 2014/15 and 2013/14). The 2016/17 carbon output for Finance and Property has however still reduced from the rebased 2015/16 figure (25,222Kg) for the service.

% reduction in CO2 delivered from reduced business mileage, Planning , Economic Development and Regeneration.

In 2016/17, Planning Economic Development and Regeneration Services' mileage carbon output movement increased by 6.73%. The carbon reduction figure is 2330 kg, or 2.3 tonnes. The service units which form Planning, Economic Development and Regeneration changed in April 2016 as a result of restructuring. The Service was joined by the Community Regeneration, Access to Employment and Positive Destinations teams.

There is one amber Performance Indicator:

% reduction in CO2 delivered from reduced business mileage, Housing, Customer and Building Services

In 2016/17, HCBS mileage carbon output movement reduced by 6.10% on the previous year. This is due to a decrease of 3,919kg of carbon on the previous year.

Outcome 4: Consolidate and share systems to achieve a more integrated customer focussed approach.

The purpose of this Outcome is to provide the council with options that identify the opportunities to share systems and to access up-to-date web enabled or hosted systems at a reduced cost or improved service.

The council continues to use shared services for Education systems and business continuity for the council.

IT Services in conjunction with Finance and Property Services and the Corporate Procurement Unit review all new Project Briefs to ascertain if an existing system can be shared and re-used to meet requirements.

Status	Red	Amber	Green	No Status

KPI	5	0	15	3
Actions			2	

There are five red Performance Indicators:

% of pupils using GLOW who have logged in more than one occasion.

In 2016/17, 60% of pupils using Glow in P4-S6 have logged onto Glow on more than one occasion. This is an increase of 12% from 2015/16 and an increase of 48% from 2014/15, but is below the target of 75%.

% of new IT projects that proposed reusing or sharing systems , **Corporate Services**

In 2016/17, three of six projects owned by Corporate Services proposed re-using or sharing systems. The other three projects related to internal communication/security software where reuse/sharing was not appropriate.

% of new IT projects that proposed reusing or sharing systems , Finance and Property Services

Finance and Property Services submitted four new IT project briefs to the ICT Programme Board during 2016/17. Two of the briefs proposed sharing / re-using existing council systems (P319 Cedar e5 Upgrade to V5.5 and P327 Scottish Welfare Fund). The other two IT project briefs could not share or re-use an existing system (P325 Hybrid Mail - new solution introduced as part of a pilot to reduce staff time and mailing costs for the council, and P323 Property Asset Management System - required the feasibility study for a solution to enable management of property assets).

% of new IT projects that proposed reusing or sharing systems , Housing, Customer and Building and Planning, Economic Development and Regeneration Services

During 2016/17 HCBS and Planning and Economic Development had no new IT projects that proposed reusing or sharing systems.

Outcome 5: Provide high performance network connectivity

The purpose of this Outcome is to provide the council's services with a secure data and voice network to link and interface their systems, communicate with each other and their customers.

The rollout of the Scottish Wide Area Network (SWAN), Local Area Network (LAN) upgrade and Next Generation Broadband (NGB) continues across council and

business properties. The council has also maintained its Public Sector Network (PSN) compliance and successful online training during 2016/17.

Status	Red	Amber	Green	Unknown
KPI	0	0	9	1
Actions			1	

E. CONCLUSION

The ICT Strategy and five outcomes remain relevant to the Council and aligned to the council's and service objectives. Progress and performance is positive and continues to be actively monitored through the ICT Programme Board.

F. BACKGROUND REFERENCES

1. **ICT Strategy 2015/17**

Appendices / Attachments
Appendix 1: Covalent Scorecard for Actions and Performance

Contact Person: Ian Forrest
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Julie Whitelaw
Head of Corporate Services

Date: 23 August 2017

Corporate Strategy - ICT Strategy 2015/17

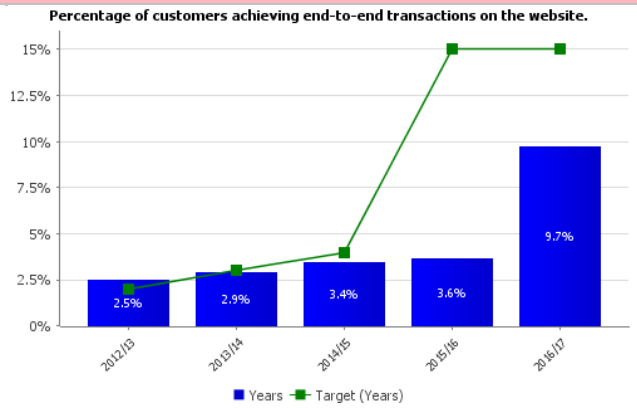
Data Label : OFFICIAL

Report Author: Ian Forrest
Generated on: 11 August 2017 14:57

Corporate Strategy - ICT 2015/17(Linked SC)

(a) Outcome 1 - Improving access to digital services for customers and employees

1.1 % of customers achieving end-to-end council transactions on the website (All, Web Services Mgr)

Status	Performance Indicator	Lead officer(s)	Performance Data Trend Chart	Trend Chart Commentary
	CP:CC084_6b.5 Percentage of customers achieving end-to-end transactions on the website.	.Head of Corporate Services (J Whitelaw)		**Trend Chart Commentary** When the website was launched, the council originally set an ambitious and aspirational corporate target of moving 25% of its end to end transactions online by 2017. The launch of the website in July 2014 and the ongoing development within services to move activities online resulted in an improvement in performance in 2015/16. In 2015/16 the percentage of end to end transactions was 3.6%. Progress has initially slow however there an improvement with 3.4% transaction completed online during 2014/15, the year the new website was launched.

Figures for 2015/16 still only relate to two metrics (Operational Services Forms and Online Payments). This will begin to change with the availability of a wider range of transactional activity through the development of web forms. In 2016/17 performance increased to 4.4% from 3.6% due to ongoing web development.

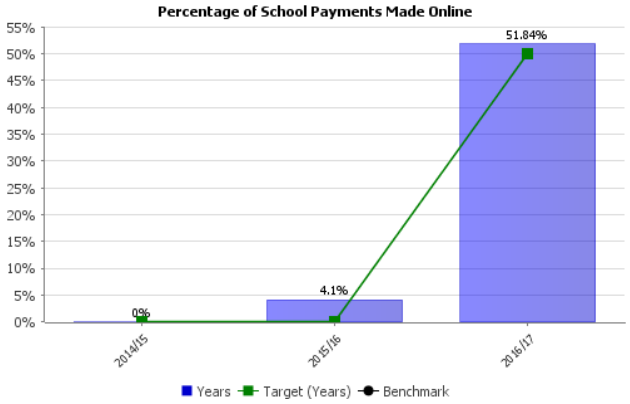
It is expected that the performance will improve significantly in 2017/18 as a result of further software development. In 2017/18 school payment data will also be available and will be included in this indicator. This should significantly improve performance.

However it is acknowledged that the target of 25% was not achievable with existing resources and within current timescales.

The target has been reduced to 10% in 2017/18 to reflect a more achievable target, which is inline with service targets.

1.2 % of School Payments made online (Education, Strategic Resource Manager)

Status	Performance Indicator	Lead officer(s)	Performance Data Trend Chart	Trend Chart Commentary

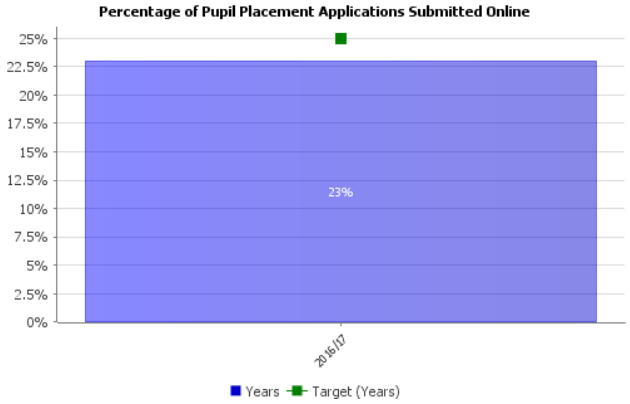
	EDSRPP103_9b.1b Percentage of School Payments Made Online	.Head of Education (Curriculum, Quality Improvement and Performance – D McMaster)		**Trend Chart Commentary:-** Performance in 2016/17 is 51.84% The system is in use in 100% of schools. Performance in 2015/16 is 4.1%. This is based on part year operation of the system (6 weeks) in 11 secondary schools. Initial training took place in January/ February 2016. Secondary Schools started using the system on 21 February 2016. Primary schools came on-line in May 2016. Target for 2017/18 is 60%, as roll out will continue throughout this year. It is expected that the percentage of payments made online will continue to rise as parents become more used to this option.

1.3 % of pupil placement applications submitted on-line (Education Services, Head of Service)

Status	Performance Indicator	Lead officer(s)	Performance Data Trend Chart	Trend Chart Commentary

EDSRPP215_9b.1b Percentage of Pupil Placement Applications Submitted Online

.Head of Education (Curriculum, Quality Improvement and Performance – D McMaster)



Trend Chart Commentary:-

Performance in 2016/17 has been 23% of applications subbmitted online (as a percentage of those application processes where on-line application was an option.

The ability to submit online applications was introduced in 2016/17 for Early Learning and Childcare Applications, Wraparound Care Applications, and Secondary School Applications. As the on-line facility was new, paper based application forms were still made widely available. It is planned to reduce this availability in future years, in response to growing demand for electronic applications. The reduction in automatic availability of a paper form will increase the number of forms submitted on-line. This percentage is expected to rise over time as parents become more familiar with the option, and its availability.

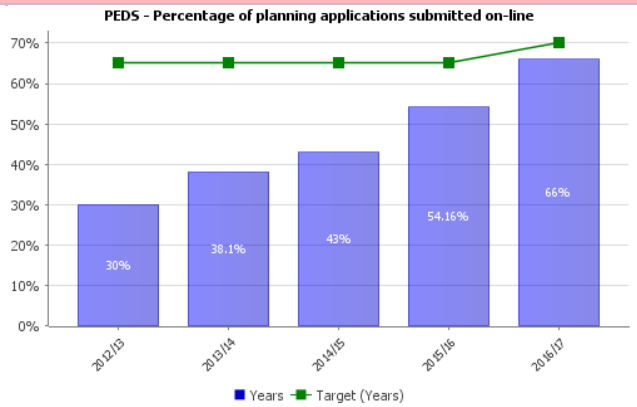
Performance can be broken down as follows:-

Early Learning and Childcare – 355 of 1986 forms received electronically (18%)
Wraparound Care – 169 of 270 forms received electronically (63%)
S1 Applications – 415 of 1813 forms received electronically (23%)

The target for 2017/18 is 40%, based on expected growing demand when the availability

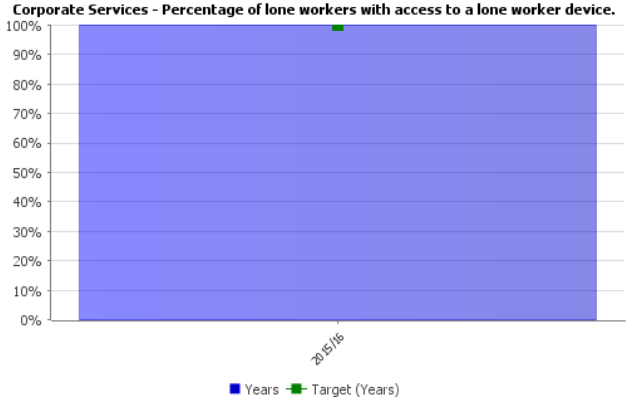
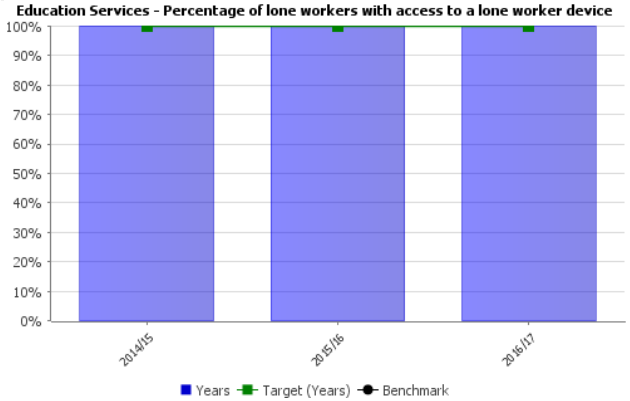
of e-forms is better publicised. This target will be reviewed as development of e-forms progresses.

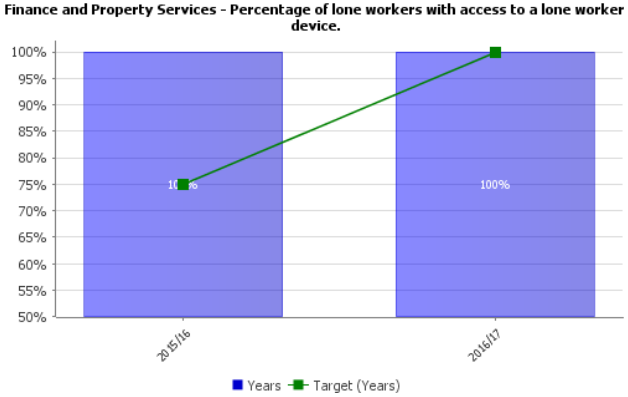
1.4 % of planning applications submitted on-line (Planning and Economic Development, Head of Service)

Status	Performance Indicator	Lead officer(s)	Performance Data Trend Chart	Trend Chart Commentary
	PEDS013_6b.6 PEDS - Percentage of planning applications submitted on-line	.Head of Planning, Economic Development and Regeneration (C McCorriston)		This performance indicator was introduced in 2014/15 as part of the Information, Communication and Technology (ICT) Strategy 2015-17. In 2016/17 66.0% of applications were submitted electronically to the council. This is a further improvement on the previous years figure of 54.16% and continues the year on year improvement. Target for 2017/18 will remain at 70%.

1.5 % of Lone Workers with access to a Lone Worker Device (All, Heads of Service)

Status	Performance Indicator	Lead officer(s)	Performance Data Trend Chart	Trend Chart Commentary

	COR001_8b Corporate Services – Percentage of lone workers with access to a lone worker device.	.Head of Corporate Services (J Whitelaw)		**Trend Chart Commentary:** In 2016/17, no Corporate Services employees have been assessed as lone workers. The target for 2016/17 is set at 100 percent.
	ED001_8b Education Services – Percentage of lone workers with access to a lone worker device	.Head of Education (Curriculum, Quality Improvement and Performance – D McMaster)		Three workers within the service have been identified as lone workers with a need for a lone worker device and have been provided with a lone worker device. The service will continue to assess need for lone worker devices across all staff as required. Target for 2017/18 will remain 100%.

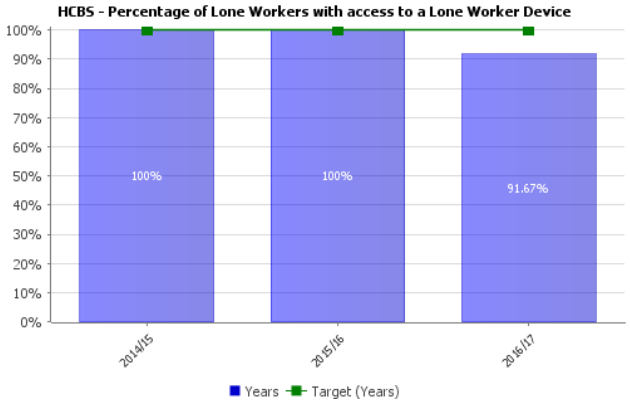
	FE001_8b Finance and Property Services – Percentage of lone workers with access to a lone worker device.	.Head of Finance and Property Services (D Forrest)	

Trend Chart Commentary:

This performance indicator was introduced in 2015/16 as part of the council's Information, Communication and Technology (ICT) Strategy 2015-17.

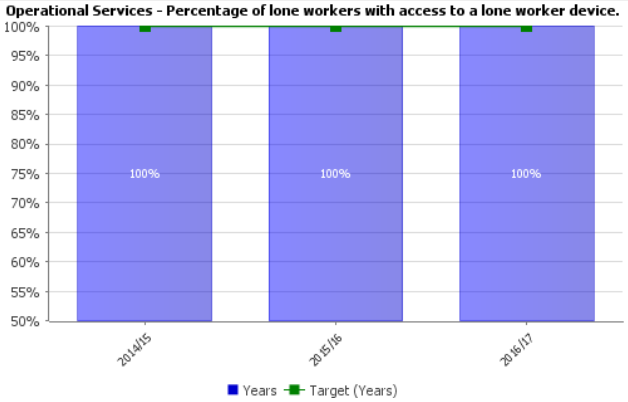
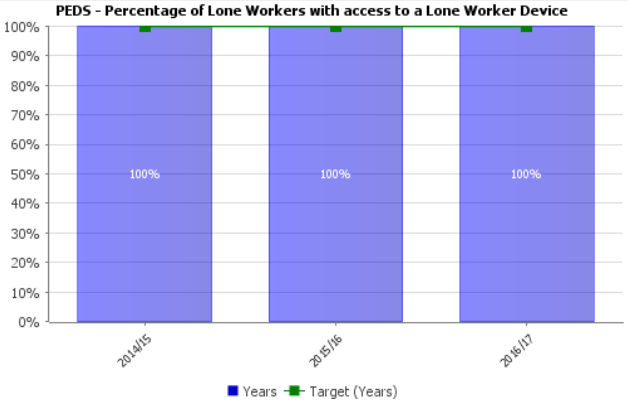
2016/17: Within Finance and Property Services there are a total of 71 lone workers and all have access to lone worker devices. There are 18 lone workers in the Revenues Unit, 18 in Property Management and Development and 35 in The Advice Shop.

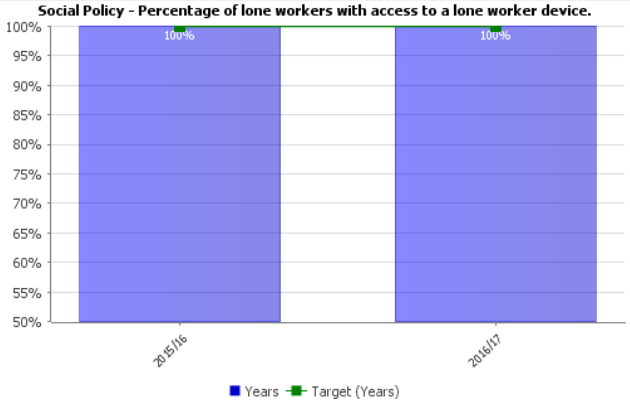
2015/16: Training was delivered to all relevant staff during March 2015 as a requirement prior to the issue and use of a lone worker device. Following completion of the training the devices were allocated to staff for use from 2015/16. Within Finance and Estates Services there are a total of 36 lone workers and all have access to lone worker devices. There are 18 lone workers in the Revenues Unit and 18 lone workers in Property Management and Development.

HQSICT001_8b HCBS – Percentage of Lone Workers with access to a Lone Worker Device	.Head of Housing, Customer and Building Services (A Shaw)		Risk assessments were carried out on all roles in HCBS to identify lone workers, and those at highest risk. Trackers have been installed in Building Services' vehicles to provide an extra level of protection to workers. It was therefore decided that those at the highest level of risk as lone workers in Building Services were stand-by staff. <u>2016/17</u> There are a total of 240 member of staff in Housing Customer and Building Services identified as Lone Workers. 91.67% have access to a Lone Worker Device. 57 Customer Services – all CS staff trained and have access to a device – 100% 123 Housing Services – all HS staff trained and have access to a device – 100% 60 Building Services – 40 have been trained and have access to a device – 67% Out of the 60 standby operatives for Building Services, 40 have been trained and issued with a device. There are 20 outstanding operatives who are new to the out of hours process. The devices are being held and training will be complete by August 2017. In April 2017, train the trainer was completed for the council and each service has their own trainer. Also, all lone workers have updated their

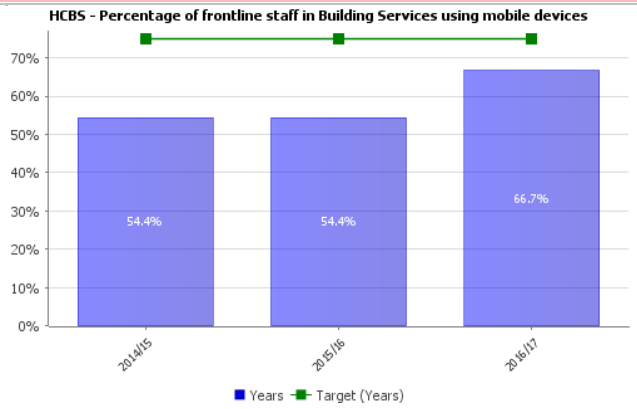
registration within the last 8 months with the provider of the devices.

The target has been set based on the ICT Strategy 2017 Target.

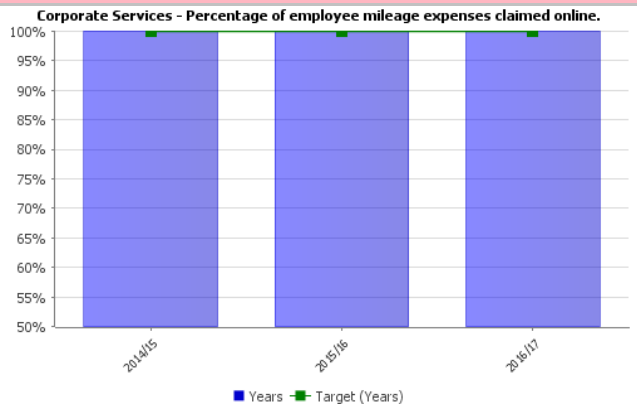
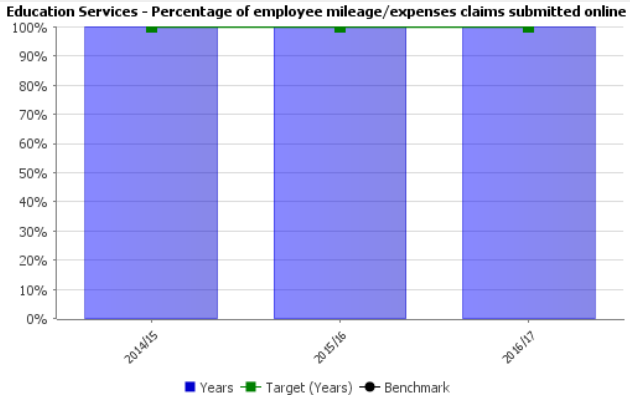
	OPSHQ005_8b Operational Services – Percentage of lone workers with access to a lone worker device.	.Head of Operational Services (J Jack)		**<u>Trend Chart Commentary:</u>** No new lone workers were identified in 2016/17 or 2015/16. The IT project in 2014/15 identified three lone workers in Operational Services who required lone worker devices based on their level of risk (two enforcement officers and one assistant arborist). These have all received devices and completed training in March 2015.
	PEDS014_8b PEDS – Percentage of Lone Workers with access to a Lone Worker Device	.Head of Planning, Economic Development and Regeneration (C McCorriston)		This performance indicator was introduced in 2014/15 as part of the Information, Communication and Technology (ICT) Strategy 2015-17. Lone worker devices have been allocated to Planning Economic Development and Regeneration as an outcome of the IT project carried out in 2014/15. 15 officers identified as a lone worker (on occasions) and all have access to lone worker device during the time that they are lone working.

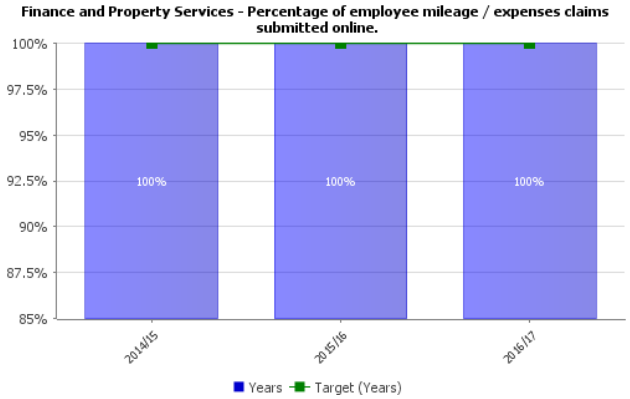
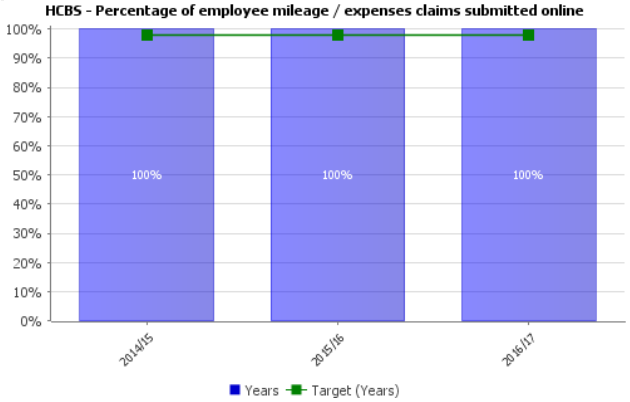
				Target for 2017/18 will remain at 100%.
	SP001_8b Social Policy – Percentage of lone workers with access to a lone worker device.	.Head of Social Policy (J Kellock)		**Trend Chart Commentary:** All members of staff in Social Policy (currently 253) who have been identified as at risk through lone working have been issued with a lone working device.

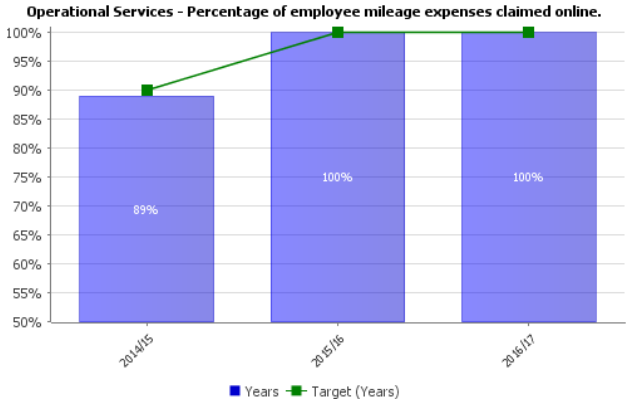
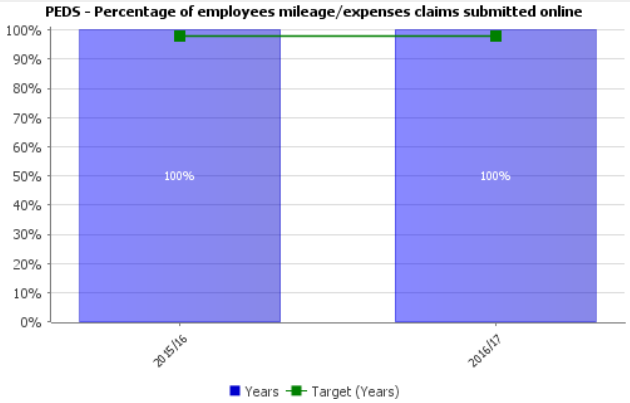
1.6 % of frontline staff in Building Services using mobile devices (HCBS, Head of Service)

Status	Performance Indicator	Lead officer(s)	Performance Data Trend Chart	Trend Chart Commentary
	HQSICT002_8b HCBS – Percentage of frontline staff in Building Services using mobile devices	.Head of Housing, Customer and Building Services (A Shaw)		In 2016/17, there are 192 frontline staff in Building Services, with 128 using mobile devices (66.7%). It is projected that this percentage will increase in the next 12 months (2017/18) with Phase 2 of the mobile system being implemented. This compares to 2014/15 and 2015/16, when there were 180 frontline staff in Building Services and 98 have mobile devices (54.4%). The target has been set based on the ICT Strategy 2017 Target.

1.7 % of employee mileage / expenses claims submitted online (All, Heads of Service)

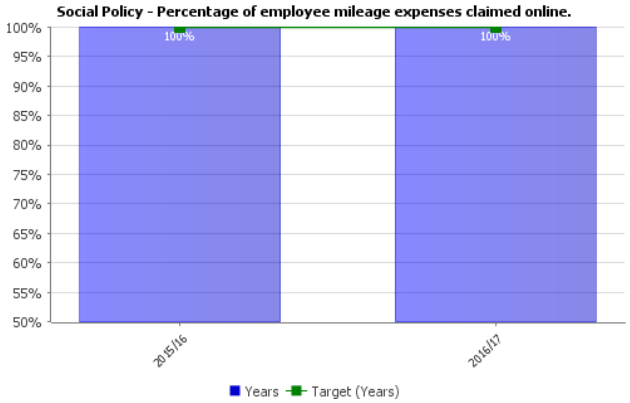
Status	Performance Indicator	Lead officer(s)	Performance Data Trend Chart	Trend Chart Commentary
	COR002_8b Corporate Services – Percentage of employee mileage expenses claimed online.	.Head of Corporate Services (J Whitelaw)		**Trend Chart Commentary:** Between 2014/15 and 2016/17, all Corporate Services members of staff claimed mileage either via the council's Impensa or HR21systems. The 2017/18 target will remain at 100%
	ED002_8b Education Services – Percentage of employee mileage/expenses claims submitted online	.Head of Education (Curriculum, Quality Improvement and Performance – D McMaster)		Performance in both 2014/15 and 2015/16 was 100%. All expenses claims are submitted online. Target for 2016/17 will be 100%.

	FE002_8b Finance and Property Services – Percentage of employee mileage / expenses claims submitted online.	.Head of Finance and Property Services (D Forrest)		**Trend Chart Commentary:** This performance indicator was introduced as part of the council's Information, Communication and Technology (ICT) Strategy 2015-17. During 2016/17 Finance and Property submitted 100 percent of mileage / expenses claims online. Such claims have been submitted online since 2014/15. Paper claims are no longer accepted.
	HQSICT003_8b HCBS – Percentage of employee mileage / expenses claims submitted online	.Head of Housing, Customer and Building Services (A Shaw)		For 2014/15 through 2016/17, 100% of HCBS staff mileage / expenses claims are submitted online. The only exception to claiming online are from apprentices, who use a manual system. This is due to claiming limits on the system i.e. apprentices claim a different rate per mile for college/training at 12.6p. The target has been set based on the ICT Strategy 2017 target.

	OPSHQ006_8b Operational Services – Percentage of employee mileage expenses claimed online.	.Head of Operational Services (J Jack)		**Trend Chart Commentary:** Since April 2015 all mileage is now claimed via HR21 or excel spreadsheets (non pc users) In 2014/15, 91 staff claimed either via Impensa, HR21 & spreadsheet. However some staff used both methods if they were on supply hours then got a temp contract. 81 claimed via Impensa or HR21 10 claimed via Spreadsheet 3 claimed via both methods 89% claimed online.
	PEDS015_8b PEDS – Percentage of employees mileage/expenses claims submitted online	.Head of Planning, Economic Development and Regeneration (C McCorriston)		This performance indicator was introduced in 2014/15 as part of the Information, Communication and Technology (ICT) Strategy 2015-17. Performance in 2016/17 was 100% – all expenses claims are submitted online Performance in 2015/16 was 100% – all expenses claims are submitted online Target for 2017/18 will remain at 98%.

SP002_8b Social Policy – Percentage of employee mileage expenses claimed online.

.Head of Social Policy (J Kellock)



Trend Chart Commentary:

In both 2014/15 and 2015/16, all Social Policy members of staff claimed mileage either via the council's Impensa or HR21systems.

Status	Action Title	Code	Assigned To	Progress Bar	Latest Update
	Development of IT Service Catalogue	ITS13001_A	Jennifer Ballantyne; Ian Forrest	100%	17-May-2016 The development of the IT Service Catalogue is being delivered in 2 stages. The first stage included the prerequisite training in the new IT Service Management software solution. The training for IT Services project team commenced 23 – 26 April 2013 and provides the core information to plan the configuration of the online service catalogue. A verbal update was provided to the ICT Programme Board on 24 April 2013 and a presentation including the communication plan was delivered to the next ICT Programme Board on 5 June 2013. Development of the new system continues and a live demonstration of the West Lothian Council branded system was delivered to the ICT Programme Board on 23 July 2013 and Corporate Management Team on 28 August 2013, with go-live successfully achieved on 7 October 2013. The review of initial implementation is underway and planning for future development commenced in November 2013. The performance reporting aspects of the new system has caused some issues in providing data and resolution including definition of new

				performance reports remains in progress and priority has been assigned to resolution in the current stage. IT Services have implemented the new processes to support Information Liaison Officers with permission changes/security groups. A new process for new and existing GCSX/PSN users. The stage closure report was approved to the ICT Programme Board on 18 November 2014 and due date for Stage 5 extended on this action accordingly. The analysis of further processes was completed in January 2015 and a further 9 processes to add to the service catalogue are being developed from customer demand and streamlining IT processes. The procurement service offerings were completed and went live from 20 April 2015. Work on Service Catalogue continues with implementing telephone processes and working on the Configuration Management Data base and a planned update was provided ICT Programme Board on this work on 23 September 2015. The implementation of the Configuration Management and self service portal upgrade was successfully completed over 24/25 October 2015. This upgrade introduced the service catalogue approach and will support business service reporting and performance visibility. Phase 2 was completed by end of January 2016 and a revised support model was implemented on 1 February 2016. The revised support model and implementation of configuration management database has been completed and project closure report has been submitted to the ICT Programme Board in May 2016. The ongoing development will continue as part of IT Services Continuous Service Improvement.
	Open Data	ITS15001_A Ian Forrest	95%	10-Jul-2017 The Scottish Government published their Open Data

Strategy in February 2015, its purpose is to achieve the data vision for Scotland.
IT Services on behalf the council has reviewed the Scottish Government Strategy and the IT Solutions Architecture Manager delivered a presentation for the ICT Programme Board on 20 May 2015.
The ICT Programme Board noted the presentation and concluded that the council should maintain a watching brief on Open Data and review progress by the end of the financial year.
The ICT Programme Board received an update presentation on 25 January 2016 and a further update was made on 23 May 2016. The due date was updated to March 2017 align with the Information Management Working Group (IMWG) consideration of the options to progress.
A verbal update from IMWG was be presented to the ICT Programme Board on 24 November 2016 and also on 26 January 2017. The ICT Programme Board requested the Head of Corporate Services to report back with the governance arrangements on managing open data and spacial data following a report to CMT. End date extended to end of August 2017.

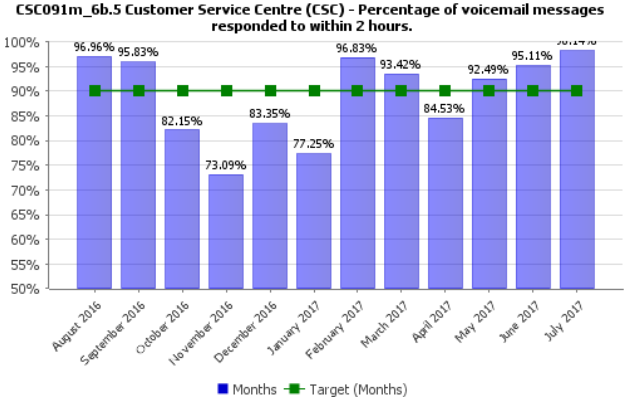
(b) Outcome 2 - Employ Technology Solutions to Improve Efficiency and Effectiveness

2.1 % increased response rate to email by the Customer Contact Centre within 4 hours.(Area Services,Customer Services Centre Co-ordinator)

Status	Performance Indicator	Lead officer(s)	Performance Data Trend Chart	Trend Chart Commentary

CSC091m_6b.5 Customer Service Centre (CSC) – Percentage of voicemail messages responded to within 2 hours.

.Head of Housing, Customer and Building Services (A Shaw)



Trend Chart Commentary:

Voicemail is an option for customers to choose to leave a message for a call back. After review in October 2016 this performance measurement was reduced to a 2 hour response rate from 4 hour, which will improve response times to returning customer calls and is deemed achievable from previous data. This performance indicator has fluctuated between 73.09% and 98.14%. Through October 2016 to January 2017 performance this decreased due to a high number of calls coming into the contact centre, seasonal weather related issues, technical difficulties and service changes. February 2017 performance improved, then decreased March and April 2017 and then increased from May to July 2017 to reach 98.14%.

2017/18

July 2017, 98.14% voicemails responded to within 2 hours.

June 2017, 95.11% voicemails responded to within 2 hours

May 2017, 92.49% voicemails responded to within 2 hours.

April 2017, 94.53% voicemails responded to within 2 hours.

2016/17

March 2017– 93.42% voicemails responded to

within 2 hours.
February 2017– 96.83% voicemails responded to within 2 hours.
January 2017– 77.25%voicemails responded to within 2 hours.
December 2016– 83.35% voicemails responded to within 2 hours.
November 2016 – 73.09% voicemails responded to within 2 hours.
October 2016– 82.15% voicemails responded to within 2 hours.
September 2016– 95.83% voicemails responded to within 4hours.
August 2016– 96.96% voicemails responded to within 4 hours.

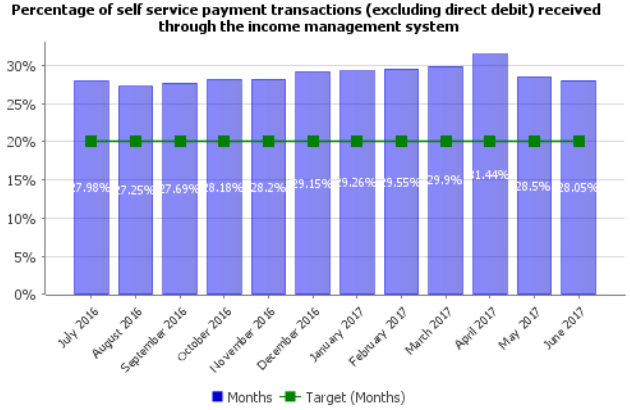
Following review of performance in 2017/18 the target remains at 90%.

2.2 % of self-service payment transactions (excluding direct debit) received through income management system (Finance & Estates, Revenues Manager)

Status	Performance Indicator	Lead officer(s)	Performance Data Trend Chart	Trend Chart Commentary

REV125_9b Percentage of self service payment transactions (excluding direct debit) received through the income management system

.Head of Finance and Property Services (D Forrest)



Trend Chart Commentary:

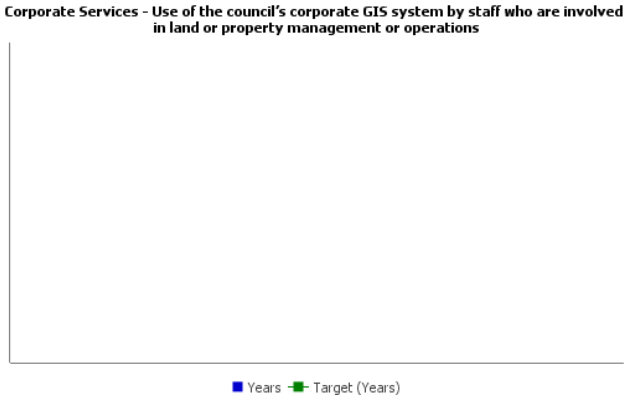
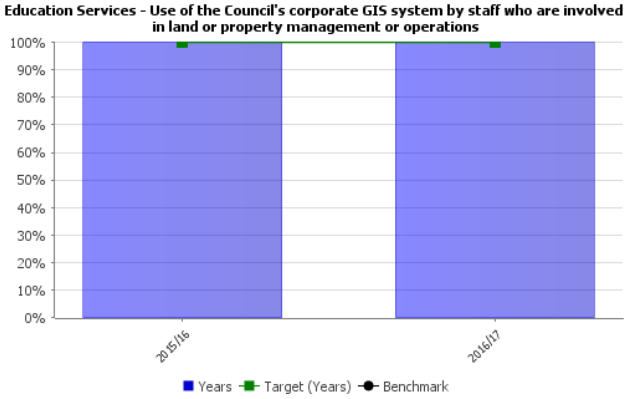
This indicator shows the percentage of self service payment transactions (excluding direct debit) received through the income management system on a monthly basis for the current year.

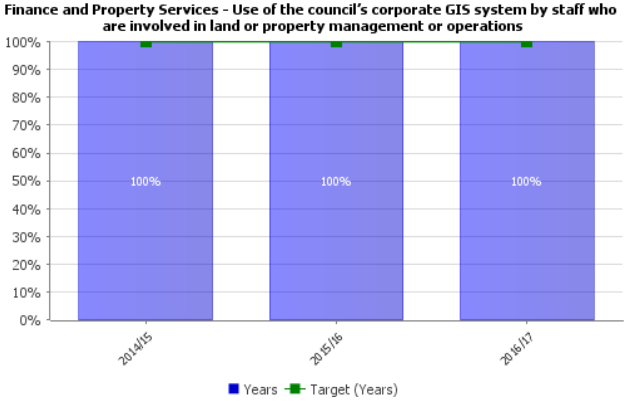
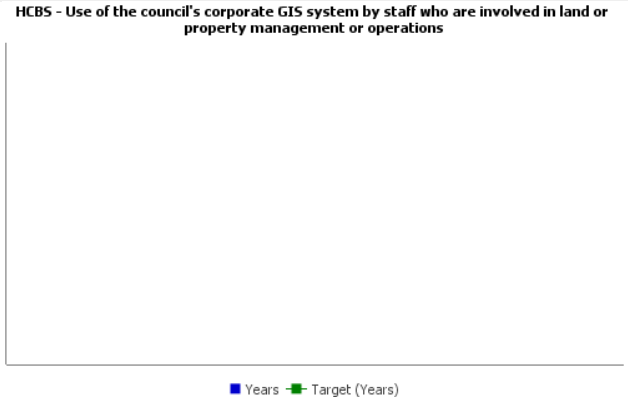
June 2017: There has been a total of 306,403 payments to date of which 184,507 were direct debit transactions. Of the remaining 121,896 42,615 were self-service.
May 2017: There has been a total of 219,301 payments to date of which 121,068 were direct debit transactions. Of the remaining 98,233 27,999 were self-service.
April 2017: There has been a total of 102,461 payments to date of which 59,285 were direct debit transactions. Of the remaining 43,176 13,575 were self-service.
March 2017: There has been a total of 1,134,356 payments to date of which 666,707 were direct debit transactions. Of the remaining 467,649 139,905 were self-service
February 2017: There has been a total of 1.069,153 payments to date of which 632,915 were direct debit transactions. Of the remaining 436,238 128,930 were self-service
January 2017: There has been a total of 1.004,386 payments to date of which 597,600 were direct debit transactions. Of the remaining 406,786 119,044 were self-service
December 2016: There has been a total of 902,963 payments to date of which 537,271

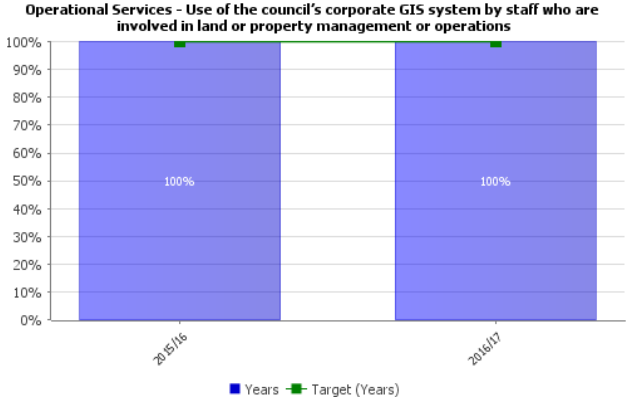
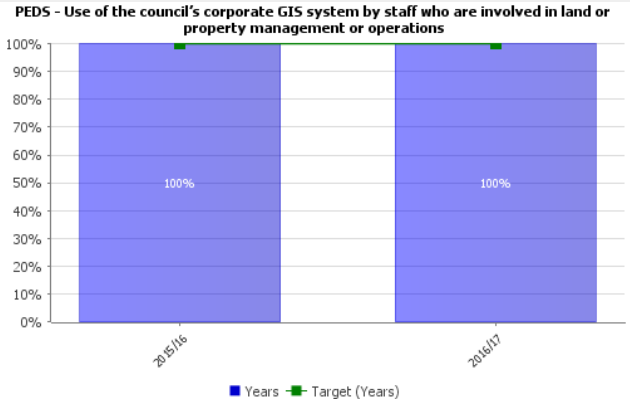
				were direct debit transactions. Of the remaining 365,692 106,611 were self-service. November 2016: There has been a total of 807,598 payments to date of which 472,615 were direct debit transactions. Of the remaining 334,983 94,494 were self-service. October 2016: There has been a total of 712,690 payments to date of which 419,595 were direct debit transactions. Of the remaining 293,095 82,614 were self-service September 2016: There has been a total of 611,726 payments to date of which 359,027 were direct debit transactions. Of the remaining 252,699 69,987 were self-service. August 2016: There has been a total of 506,921 payments to date of which 297,670 were direct debit transactions. Of the remaining 209,251 57,023 were self-service. July 2016: There has been a total of 405,508 payments to date of which 240,369 were direct debit transactions. Of the remaining 165,139 46,218 were self service.

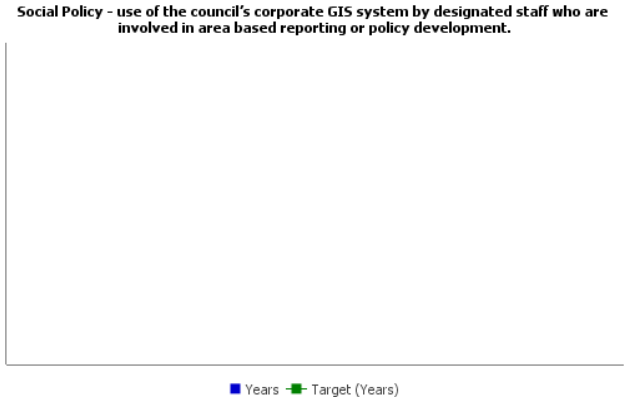
2.3 Use of the council's corporate GIS system by staff who are involved in land or property management or operations(All, Heads of Service)

Status	Performance Indicator	Lead officer(s)	Performance Data Trend Chart	Trend Chart Commentary

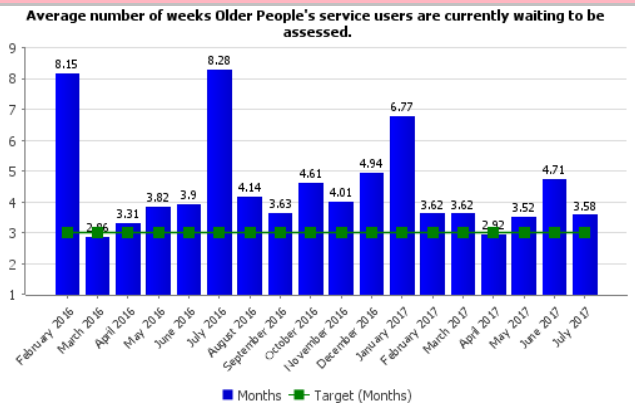
?	COR003_8b Corporate Services – Use of the council's corporate GIS system by staff who are involved in land or property management or operations	.Head of Corporate Services (J Whitelaw)		<u>Trend Chart Commentary:</u> This performance indicator was introduced in 2014/15 as part of the Information, Communication and Technology (ICT) Strategy 2015-17. In both 2015/16 and 2016/17, there are no areas of business within Corporate Services which require staff to access GIS. GIS information for property transactions and licensing purposes is obtained from colleagues in other services. Where there are no requirements for staff to access the GIS system, the chart shall remain blank.
✓	ED003_8b Education Services – Use of the Council's corporate GIS system by staff who are involved in land or property management or operations	.Head of Education (Curriculum, Quality Improvement and Performance – D McMaster)		In 2016/17 one member of staff required access to the Council's corporate GIS system in order to calculate home to school distances and routes, map catchment areas and locate properties. In 2015/16 one member of staff required access to the Council's corporate GIS system in order to calculate home to school distances and routes, map catchment areas and locate properties. The Corporate GIS was not used within Education Services in 2014/15. Target for 2017/18 will be 100% as this requirement is not expected to change.

	FE004_8b Finance and Property Services – Use of the council's corporate GIS system by staff who are involved in land or property management or operations	.Head of Finance and Property Services (D Forrest)		**Trend Chart Commentary:** This performance indicator was introduced as part of the council's Information, Communication and Technology (ICT) Strategy 2015-17. All officers within the Service who require access to the GIS are given such access. The target for 2017/18 will remain at 100%.
	HQSICT004_8b HCBS – Use of the council's corporate GIS system by staff who are involved in land or property management or operations	.Head of Housing, Customer and Building Services (A Shaw)		The service does not utilise GIS as there is no requirement for this facility within the service

	OPSHQ007_8b Operational Services – Use of the council's corporate GIS system by staff who are involved in land or property management or operations	.Head of Operational Services (J Jack)		**Trend Chart Commentary:** Discussions with services have shown that all staff that require access to GIS have the access they need. Many operatives within Operational Services are involved in land or property management or operations, but as they do not use PCs or require GIS they have not been included in this return.
	PEDS016_8b PEDS – Use of the council's corporate GIS system by staff who are involved in land or property management or operations	.Head of Planning, Economic Development and Regeneration (C McCorriston)		This performance indicator was introduced in 2014/15 as part of the Information, Communication and Technology (ICT) Strategy 2015-17. In 2016/17 all officers within the Service who required access to GIS were given such access. In 2015/16 all officers within the Service who required access to GIS were given such access. The target for 2017/18 will remain at 100%.

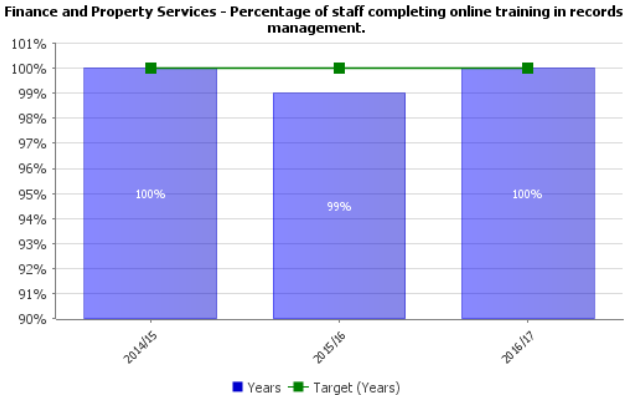
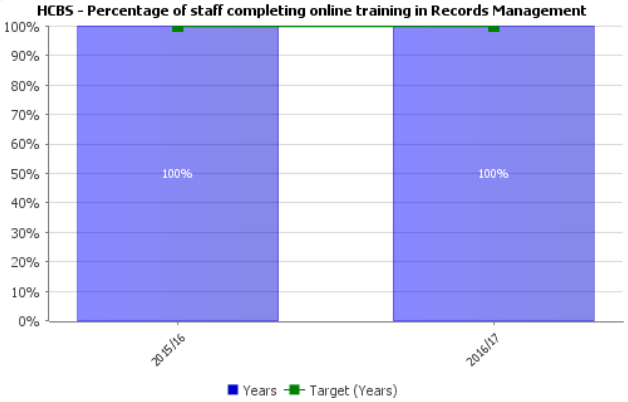
?	SP003_8b Social Policy – use of the council's corporate GIS system by designated staff who are involved in area based reporting or policy development.	.Head of Social Policy (J Kellock)		**Trend Chart Commentary:** GIS has not yet been deployed for staff in Social Policy. Discussions are ongoing in respect of the potential deployment.

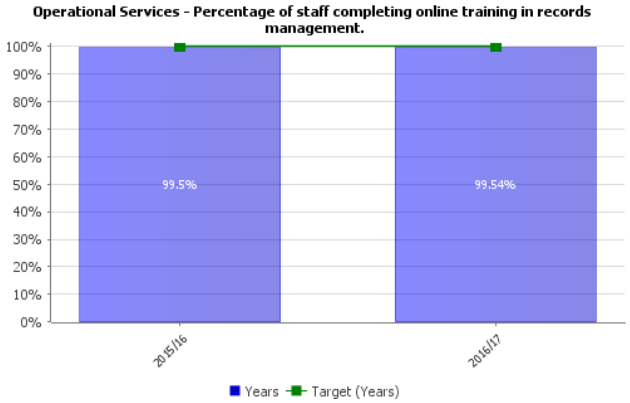
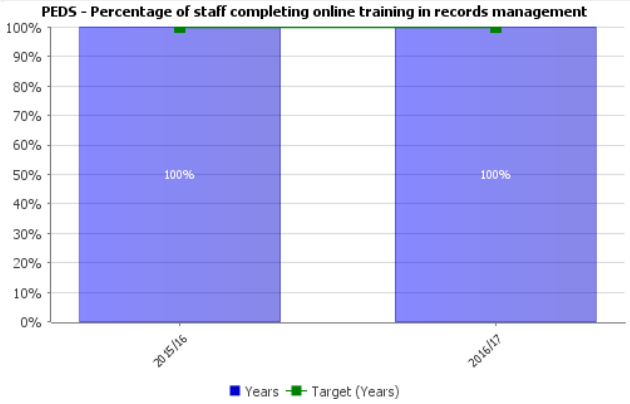
2.4 Average number of weeks Older People's service users are waiting to be assessed(Social Policy, Head of Social Policy)

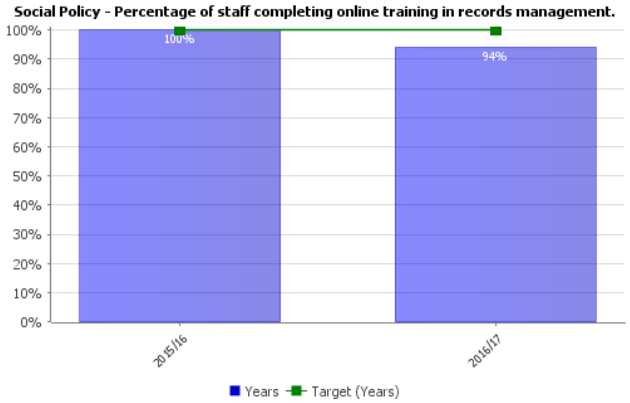
Status	Performance Indicator	Lead officer(s)	Performance Data Trend Chart	Trend Chart Commentary
	P:SPCC018_6b.5 Average number of weeks Older People's service users are currently waiting to be assessed.	.Head of Social Policy (J Kellock)		**Trend Chart Commentary:** This is a high volume service which is very vulnerable to fluctuations in demand and capacity as is seen in January 2017 and in February 2016 and July 2016. Capacity is affected by a number of factors such as a high volume of staff leave or unavoidable delays in recruitment to vacancies. However, a robust approach to screening each referral ensures that those in greatest need are prioritised for assessment. Performance will continue to be closely monitored and the target will remain at three weeks to reflect the service commitment to improving responsiveness.

2.5 % of staff completing online training in Records Management(All, Heads of Service)

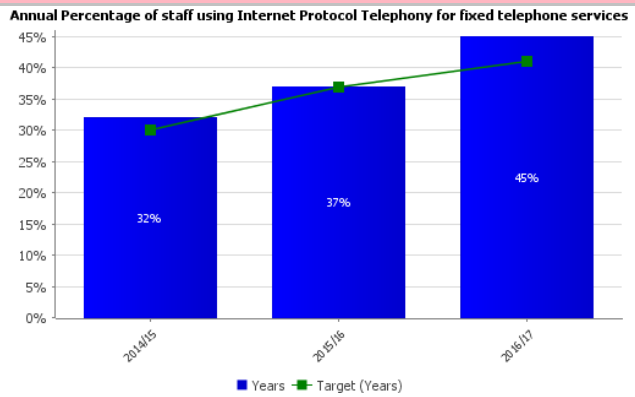
Status	Performance Indicator	Lead officer(s)	Performance Data Trend Chart	Trend Chart Commentary
	COR004_8b.6 Corporate Services – Percentage of staff completing online training in records management.	.Head of Corporate Services (J Whitelaw)		**Trend Chart Commentary:** In both 2015/16 and 2016/17, all employees within Corporate Services completed the online training in records management. The target for 2017/18 will remain at 100%
	ED004_8b.6 Education Services – Percentage of staff completing online training in records management	.Head of Education (Curriculum, Quality Improvement and Performance – D McMaster)		Performance in 2016/17 is 100%. Performance in 2015/16 was 100%. This PI is measured by exception reporting. The service receives a report from the IT service desk when training is not complete, and IT accounts are disabled. Target for 2017/18 will be 100%.

	FE003_8b.6 Finance and Property Services – Percentage of staff completing online training in records management.	.Head of Finance and Property Services (D Forrest)		<u>Trend Chart Commentary:</u> This performance indicator was introduced as part of the council's Information, Communication and Technology (ICT) Strategy 2015-17. IT Services have advised that all 294 Finance and Property staff members have completed the online Records Management training course for 2016/17. During 2015/16, 190 out of 192 members of staff had completed Records Management training. There is no Records Management training data for 2014/15 as the system recording training completion does not hold historical data. The target for 2017/18 will remain at 100%.
	HQSICT005_8b.6 HCBS – Percentage of staff completing online training in Records Management	.Head of Housing, Customer and Building Services (A Shaw)		In 2016/17, 100% of staff completed training in records management. This is enforced by line managers and they ensure all staff comply.

	OPSHQ008_8b.6 Operational Services – Percentage of staff completing online training in records management.	.Head of Operational Services (J Jack)		**Trend Chart Commentary:** In 2015/16 99.5% of staff (367 out of 369) and in 2016/17 99.54% of staff (432 users out of 430) have completed the online training in records management. We will endeavour to keep this high rate and ensure the outstanding accounts carry out their training.
	PEDS017_8b.6 PEDS – Percentage of staff completing online training in records management	.Head of Planning, Economic Development and Regeneration (C McCorriston)		This performance indicator was introduced in 2014/15 as part of the Information, Communication and Technology (ICT) Strategy 2015-17. Performance in 2016/17 is 100%. Performance in 2015/16 is 100%. The service receives a report from the IT service desk when training is not complete, and IT accounts are disabled. Target for 2017/18 will remain at 100%.

	SP004_8b.6 Social Policy – Percentage of staff completing online training in records management.	.Head of Social Policy (J Kellock)		**Trend Chart Commentary:** There are 929 members of staff in Social Policy who have a network account. 53 have still to complete the mandatory training online records management training module. These staff have been given an ultimatum to complete by 23 May 2017 otherwise their accounts will be suspended. The target for 2017/18 will remain at 100%.

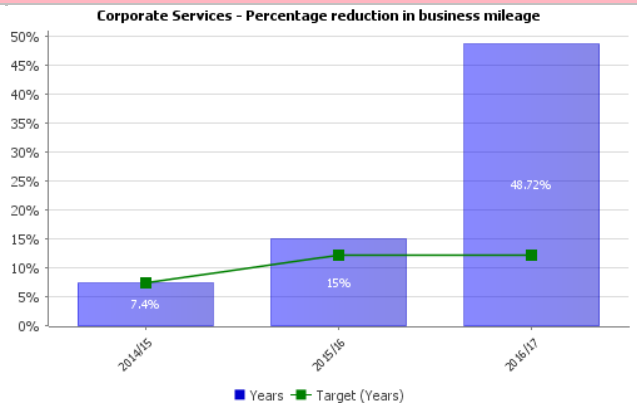
2.6 % of staff using Internet Protocol Telephony for fixed telephone services(Corporate Services, IT Manager)

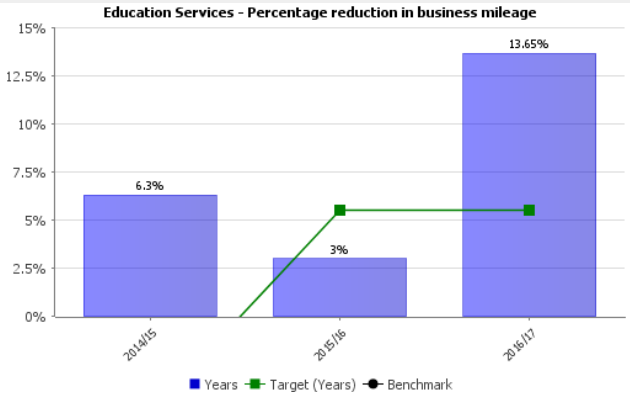
Status	Performance Indicator	Lead officer(s)	Performance Data Trend Chart	Trend Chart Commentary
	CP:ITS077_9a.2a Annual Percentage of staff using Internet Protocol Telephony for fixed telephone services	.Head of Corporate Services (J Whitelaw)		**Trend Chart Commentary:** The trend chart demonstrates and increasing trend in performance as migrations commenced in IP Telephony migrations in 2014/15. 2014/15 performance was positive with the migration from legacy telephony system for St David House and Lomond House. Performance in 2015/16 achieved 37% and target based on the planned migrations in line with the property strategy including Bathgate Social Work Office, Kirkton Service Centre, Lowport Outdoor Centre, Linlithgow Library. Performance in 2016/17 achieved 45% based on planned migrations and associated property

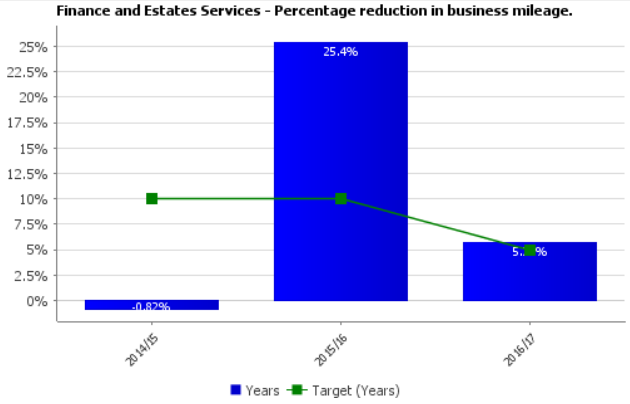
timetables including
Arrochar House and maximising property utilisation by migrating staff into existing sites that are already supplied with IP telephony. Migrations also included Southdale Primary school, Burnhouse Special Unit, Beecraigs Visitors Centre and Blackburn Homeless Unit.

The target for 2017/18 based on property timetables for Strathbrock Partnership Centre, Whitehill Service Centre and partnership centres in Armadale, Blackburn and East Calder is 51%.

2.7 % reduction in business mileage(All, Head of Operational Services)

Status	Performance Indicator	Lead officer(s)	Performance Data Trend Chart	Trend Chart Commentary
	COR016_8b.2 Corporate Services – Percentage reduction in business mileage	.Head of Corporate Services (J Whitelaw)		**Trend Chart Commentary:** This performance indicator was introduced as part of the council's Information, Communication and Technology (ICT) Strategy 2015-17. In 2016/17 Corporate Services had a total business mileage of 31,103 compared to a total business mileage of 60,658 in 2015/16. This is an decrease of 29,554 miles. The target reduction for 2016/17 was set at 8,575 miles which equates to a target of 12.2% In 2015/16 Corporate Services had a total business mileage of 60,658 compared to a total

				business mileage of 71,193 in 2014/15. This is an decrease of 10,535 miles. The target reduction for 2015/16 was set at 8,575 miles which equates to a target of 12.2% In 2014/15 Corporate Services had a total business mileage of 71,193 compared to a total business mileage of 75,605 in 2013/14. This is an decrease of 4,412 miles. The target reduction for 2014/15 was set at 5,577 miles which equates to a target of 7.4% The target for 2016/17 is set at 12.2%
	ED005_8b.2 Education Services – Percentage reduction in business mileage	.Head of Education (Curriculum, Quality Improvement and Performance – D McMaster)		Following the Council re-structure in April 2016, a number of staff transferred from the former Area Services into Education Services and as a consequence proportion of the target mileage/usage also transferred. However, business mileage has continued to reduce in 2016/17 against the new target with mileage reducing by 13.65% – 15/16 – 208,432 16/17 – 179,988. Prior performance outlined below: In 2015/16 business mileage increased to 184,116 miles from 178,642 miles in 2014/15, an increase of 3%. The target for 2015/16 was 168,853 miles, a reduction of 5.5%. In 2014/15 a 6.3% reduction in business

				mileage was achieved. The target for 2017/18 will be a reduction of 5.5%, subject to any new corporate target.
	FE012_8b.2 Finance and Estates Services – Percentage reduction in business mileage.	.Head of Finance and Property Services (D Forrest)		<u>Trend Chart Commentary:</u> This performance indicator was introduced in as part of the council's Information, Communication and Technology (ICT) Strategy 2015-17. The ICT Strategy has a target of reducing mileage by 30% from a baseline in 2013/14 to 2016/17. In 2016/17 the Chief Executive Office and Finance and Property had a total business mileage of 78,977 compared to a total business mileage of 83,782 in 2015/16. This is an decrease of 4,805 miles (5.73%). (Note that the service units that form Finance and Property Services changed from April 2016 as a result of the council restructuring. The Corporate Procurement Unit are no longer part of Finance and Property Services and the Advice Shop and Construction Services have joined Finance and Property Services. Due to the nature of the service now delivered by Finance and Property Services, there has been an increase the mileage figure from that reported by Finance and Estates in 2015/16, 2014/15 and 2013/14). The 2016/17 mileage for Finance and Property has however still reduced from the rebased

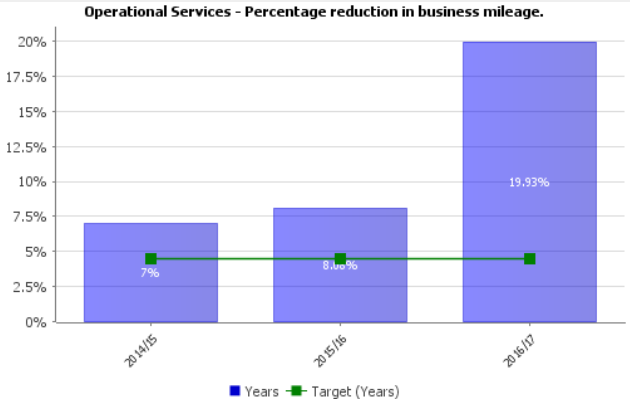
2015/16 figure (83,782) for the service.

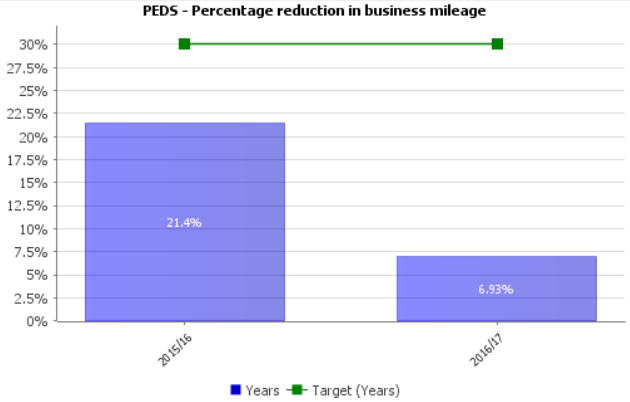
In 2015/16 the Chief Executive Office and Finance and Estates Services conducted 23,033 business miles compared to a business mileage in 2014/15 of 30,883. This is a reduction in 2015/16 of 7,850 miles (25.4%).

In 2014/15 the Chief Executive Office and Finance and Estates Services conducted 30,883 business miles compared to a business mileage in 2013/14 of 30,632. This was an increase in 2014/15 of 251 miles (-0.82%).

Cumulatively, Finance and Property have reduced mileage by 30.31% from 2013/14 to 2016/17.

The Finance and Property target for 2017/18 is a further 5% reduction.

	OPSHQ015_8b.2 Operational Services – Percentage reduction in business mileage.	.Head of Operational Services (J Jack)		**Trend Chart Commentary:** The percentage reduction in business miles by staff within Operational Services between between 2015/16 and 2016/17 was 19.93%, with a reduction in miles travelled of 105,382. Between 2014/15 and 2015/16 it was 8.08%, and between 2013/14 and 2014/15 was 7.00%. The council's carbon management plan includes

				a target of 33% reduction in fleet mileage from a baseline in 2010/11 to 2017/18. Our target is to reduce by 4.5% per annum to achieve this, and we are currently on target.
	PEDS023_8b.2 PEDS – Percentage reduction in business mileage	.Head of Planning, Economic Development and Regeneration (C McCorriston)		This performance indicator was introduced in 2015/16 as part of the council's Information, Communication and Technology (ICT) Strategy 2015-17. In 2016/17 Planning & Economic Development Services had a total business mileage of 115,872. This is an increase of 6.93%. Service awaits in depth analysis of the data to establish the reason behind the increase. In 2015/16 Planning & Economic Development Services had a total business mileage of 97,486 compared to a total business mileage of 124,024 in 2014/15. This is a decrease of 26,536 miles which equates to a total of 21.40%. For benchmarking information the service was the 3rd highest in reducing the total mileage usage after Area Services (35.69%) and Chief Executive Office/ Finance and Estates (26.09%). Council average – 18.73%. The service provisional target for 2017/18 is set at the same level as the corporate target of 30%

Status	Action Title	Code	Assigned To	Progress Bar	Latest Update
					and will be reviewed in the next financial year to take under consideration any emerging trends.
	Replacement of Featurenet Telephony solution with IP Telephony	ITS10006_A	Ian Forrest	65%	10-Jul-2017 The IPT contract commenced on 1 February 2014. Preferred supplier for IPT services required significant work contractual terms, this complexity extended the timescales to reach formal contract award. The ICT Programme Board were updated on 20 November 2013 and contract was awarded in January 2014. A draft paper on the potential IPT deployment plan has been prepared for EMT. Following the meeting with Depute Chief Executive on 29 April 2014 to report was presented to ICT Programme Board on 22 May 2014. The ICT Programme Board was requested to feedback any comments or concerns on the proposed rollout by 30 May 2014, as no feedback or concern was raised the rollout is proceeding as planned and work is progressing to timescale for St David House. The IP Telephony system for St David House was received, system build completed and Revenues contact centre user testing was completed in October 2014. The building programme has 2 weeks slippage so building handover was expected on 14 November, thereafter the IP Telephony and network installation commenced w/c 17 November with staff migration started 11 December 2014 and was completed in January 2015. The ceasation of Featurenet lines for St David House/Lomond House was completed in January 2015 and delivered the expected savings by the end of March 2015. The detailed design for IPT to support Lister Road property was completed by end of April 2015 and IPT equipment orders were placed in May 2015. IPT equipment is expected to be delivered by 10 July 2015. Requirements gathering for Bathgate Social Work Office commenced at a meeting on 19 May 2015 and were completed by the end of July

				2015. The high level design completed by 15 September 2015 to enable implementation. Migration completed by 30 November 2015 so saving is on target to be delivered following line termination in March 2016. ICT Programme Board approved the stage closure report and new stage brief for Stage 4 on 25 January 2016. Design and implementation for Arrochar House were completed enabling migration from New Cheviot House, West Lothian Connected to complete in April and May 2016. Planning for telephony migration of Strathbrock Partnership Centre is aligned to the building refurbishment work and IT Services have received confirmation from CHCP on NHS/GP arrangements being transferred to NHS IT/Telecoms. The IPT system upgrade has been ordered and detailed design work commenced in October 2016 and workshop to complete design was completed. The initial equipment to facilitate the major upgrade was receipted at the end of March 2017. Installation of the core system is in progress and planning for Strathbrock and Whitehill Service Centre migrations are underway.
	Secure email	ITS15002_A Ian Forrest	100%	17-Sep-2015 The ICT Programme Board was provided with an options appraisal and presentation on 18 March 2015. The board agreed that the option to implement an improved design that is compliant with Cabinet Office Public Sector Network email recommendations. The new design was successfully commissioned and tested on 16 May 2015. The project closure report has been drafted and was submitted to the ICT Programme Board and approved on 24 August 2015.

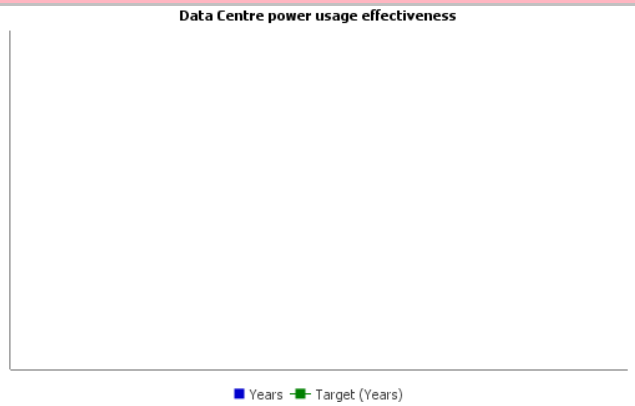
(c) Outcome 3 - Reduce Carbon Emissions and make Savings through using smart technologies

3.1 Data Centre Infrastructure Efficiency (Corporate Services, IT Manager)

Status	Performance Indicator	Lead officer(s)	Performance Data Trend Chart	Trend Chart Commentary
	ITS079_8b.1 Data Centre Infrastructure Efficiency	.Head of Corporate Services (J Whitelaw)		**Trend Chart Commentary:** This performance indicator commenced development in 2015/16 however the single electrical meter can not provide the detailed breakdown for this indicator and provide the efficiency level. IT Services continue the review of ICT Assets in the data centre and deploy virtual servers to minimise the energy consumed. The baselined energy consumption requires the installation of dedicated electricity meters in the council data centre to calculate the efficiency and identify potential improvements. The planning of the dedicated electricity meters was initially investigated by the Head of Finance and Estates as responsible officer for the Civic Centre, however further analysis and design work is required to establish the extent of electrical works required and provide the granular information on electricity consumption for the related key performance indicators. A request was submitted to Property Management to scope and cost the works and

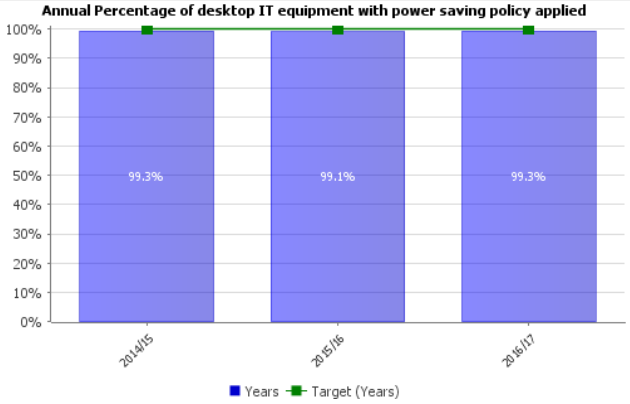
following extensive work a system was procured and installed in 2016/17. The system is in final testing and will be collating data from the end of June 2017 and data will be available in 2017/18.

3.2 Power Usage Effectiveness (Corporate Services, IT Manager)

Status	Performance Indicator	Lead officer(s)	Performance Data Trend Chart	Trend Chart Commentary
	ITS078_9b Data Centre power usage effectiveness	.Head of Corporate Services (J Whitelaw)		**Trend Chart Commentary:** This performance indicator commenced development in 2015/16 however the single electrical meter can not provide the detailed breakdown for this indicator. IT Services continue the review of ICT Assets in the data centre and deploy virtual servers to minimise the energy consumed. The baselined energy consumption requires the installation of dedicated electricity meters in the council data centre to calculate the efficiency and identify potential improvements. The planning of the dedicated electricity meters was initially investigated by the Head of Finance and Estates as responsible officer for the Civic Centre, however further analysis and design work is required to establish the extent of electrical works required and provide the

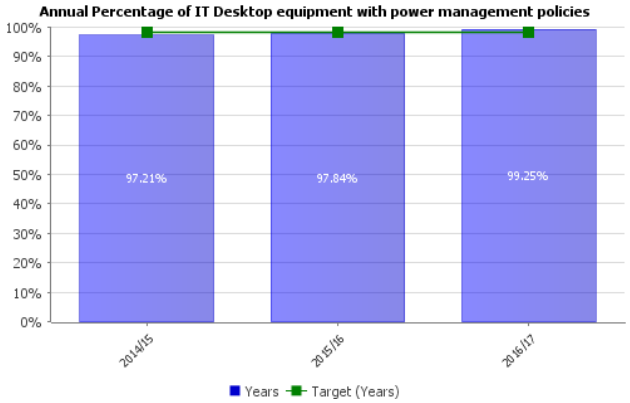
granular information on electricity consumption for the related key performance indicators.

A request was submitted to Property Management to scope and cost the works and following extensive work a system was procured and installed in 2016/17. The system is in final testing and will be collating data from the end of June 2017 and data will be available in 2017/18.

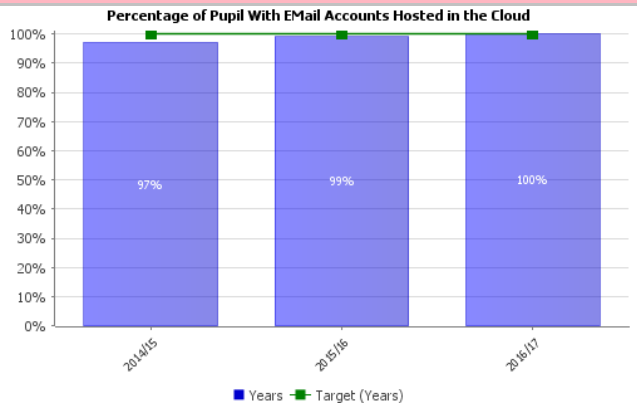
	ITS080_8b Annual Percentage of desktop IT equipment with power saving policy applied	.Head of Corporate Services (J Whitelaw)		**Trend Chart Commentary:** The trend chart shows performance in this indicator with more than 99% of devices with the power management settings applied. The balance of devices can not have the settings applied due to application and operational constraints. The target remains at 100% for 2017/18 although it is recognised that a small percentage of devices can not have the settings applied due to operational constraints.

3.3 Power Management in Desktops & Laptops (Corporate Services, IT Manager)

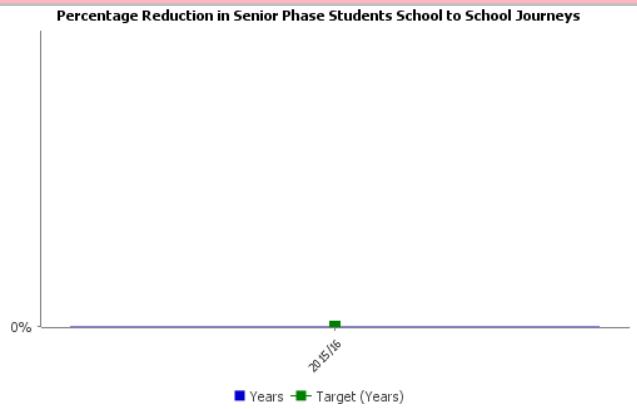
Status	Performance Indicator	Lead officer(s)	Performance Data Trend Chart	Trend Chart Commentary

	ITS082_8b Annual Percentage of IT Desktop equipment with power management policies	.Head of Corporate Services (J Whitelaw)		**Trend Chart Commentary:** The trend chart shows demonstrates that there is an increase in the volume of desktop devices that are active and have policy based power management settings applied. The target for 2017/18 is 99.3%.

3.4 % of pupils with email accounts hosted in the cloud(Education Services, Head of Service)

Status	Performance Indicator	Lead officer(s)	Performance Data Trend Chart	Trend Chart Commentary
	EDQIT030_9b.1b Percentage of Pupil With EMail Accounts Hosted in the Cloud	.Head of Education (Curriculum, Quality Improvement and Performance - D McMaster)		**Trend Chart Commentary:** In 2016/17, 100% of pupils have an e-mail account hosted in the cloud. This has been a steady increase to meet target over the past three years. With the infrastructure in place, all pupils when enrolled into school will be provided with an email account hosted in the cloud. Given the infrastructures in place, developments in technology and the team's activity plan, this PI is recommended for review as part of the ICT Strategy Plan Review in 2017.

3.5 % reduction in senior phase student school to school journeys(Education Services, Head of Service)

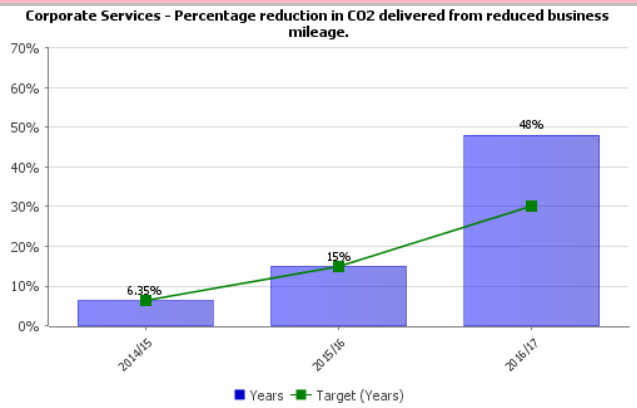
Status	Performance Indicator	Lead officer(s)	Performance Data Trend Chart	Trend Chart Commentary
	EDSCH018_9b.1b Percentage Reduction in Senior Phase Students School to School Journeys	.Head of Education (Learning, Policy and Resources – J Cameron)		Prior to this Performance Indicator being established, 106 pupils were enrolled and timetabled to travel between schools within the virtual campus in Session 2015/16. As a result, the target set for Session 2015/2016 is zero, since these pupils are now involved in courses which are running. The target reduction in travel for Session 2016/2017 is 20%, a reduction of 21 pupils travelling. Historical information for 2014/15 is not available for this indicator The means of achieving this reduction will be to offer a number of courses on a distance learning/information technology based basis. Pupils will access their course via IT and will work on this within their own learning establishments, at home or at a place of their choosing. They will, however, have a 'face-to-face' tutorial with their distance learning tutor in the tutor's home school on a regular basis, initially once every 3 weeks, to ensure progress and deal with any outstanding issues. A working group from the Depute Head Teachers Curriculum, Learning and Teaching has been established to progress plans for the first phase of this initiative and the Head of Service/Depute Chief Executive, the Education

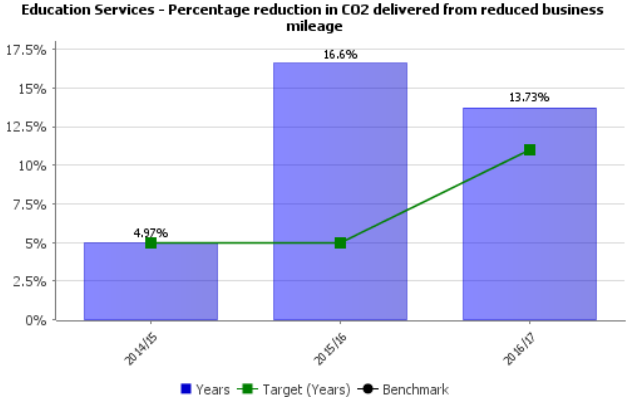
ICT Development Manager and the Senior Phase Development Officer have arranged to visit the University of the Highlands and Islands Inverness College to view a scheme currently operational re distance learning which is considered to be sector leading.

The number of students travelling from school to school will not necessarily equate to the number of contracted vehicles making the journey, as the opportunity to share transport may change due to the distribution of students and course choices.

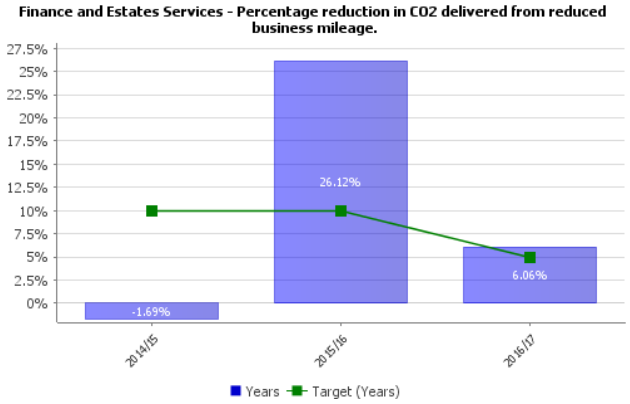
Performance information for 2016/17 will be available in September 2017.

3.6 % reduction in CO2 delivered from reduced business mileage(All, Heads of Service)

Status	Performance Indicator	Lead officer(s)	Performance Data Trend Chart	Trend Chart Commentary
	COR005_8b.1 Corporate Services – Percentage reduction in CO2 delivered from reduced business mileage.	.Head of Corporate Services (J Whitelaw)		**Trend Chart Commentary:** The trend shows between 2014/15 and 2015/16 Corporate Services have managed to achieve a reduction in CO2 from reduced business mileage. Corporate Services carbon reduced from 18121 in 2015/16 to 9302 in 2016/17. Corporate Services carbon reduced from 20922 in 2014/15 to 18121 in 2015/16. Corporate Services carbon reduced from 22349

				in 2013/14 to 20922 in 2014/15. Target for 2016/17 is set at 30%
	ED006_8b.1 Education Services – Percentage reduction in CO2 delivered from reduced business mileage	.Head of Education (Curriculum, Quality Improvement and Performance – D McMaster)		This performance indicator was introduced in 2014/15 as part of the Information, Communication and Technology (ICT) Strategy 2015-17. In 2016/17 the service achieved a reduction of 8,812kg or 13.73%. In 2015/16 the service achieved a reduction of 11,486kg or 16.6%. In 2014/15 the service achieved a reduction of 2, 903kg or 4.97%. The council's carbon management plan includes a target of 33% reduction in fleet mileage from a baseline in 2010/11 to 2017/18, with a new target to be set to 2020/21. The target for 2017/18 will be a further reduction of 11%, subject to any corporate target being determined.

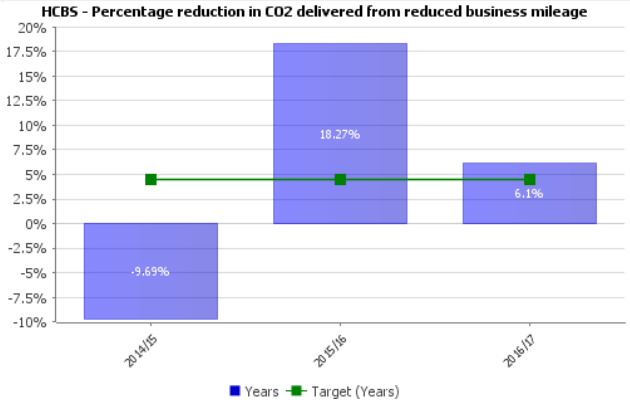
	FE005_8b.1 Finance and Estates Services – Percentage reduction in CO2 delivered from reduced business mileage.	.Head of Finance and Property Services (D Forrest)	

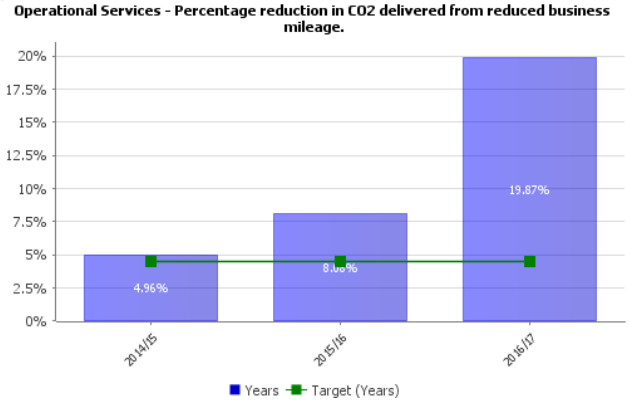


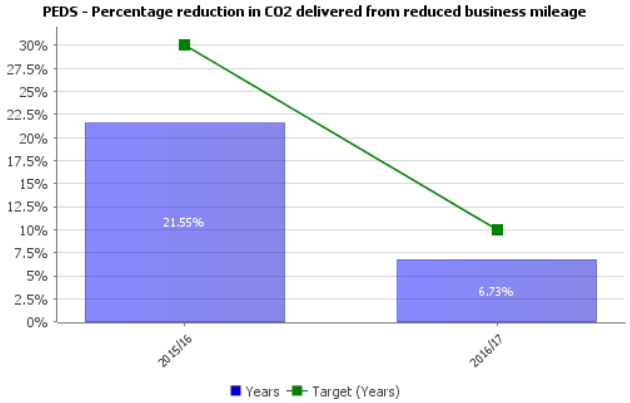
Trend Chart Commentary:

This performance indicator was introduced in as part of the council's Information, Communication and Technology (ICT) Strategy 2015-17. The ICT Strategy has a target of reducing CO2 by 30% through reduced business mileage by council staff from a baseline in 2013/14 to 2016/17. Cumulatively, Finance and Property have reduced mileage by 30.49% from 2013/14 to 2016/17.

In 2016/17 the Chief Executive Office and Finance and Property Services had a carbon output of 23,694Kg compared to a carbon output in 2015/16 of 25,222Kg. This is a decrease of 1,528Kg (6.06%).
(Note that the service units that form Finance and Property Services changed from April 2016 as a result of the council restructuring. The Corporate Procurement Unit are no longer part of Finance and Property Services and the Advice Shop and Construction Services have joined Finance and Property Services. Due to the nature of the service now delivered by Finance and Property Services, there has been an increase the carbon output figure from that reported by Finance and Estates in 2015/16, 2014/15 and 2013/14).
The 2016/17 carbon output for Finance and Property has however still reduced from the rebased 2015/16 figure (25,222Kg) for the service.

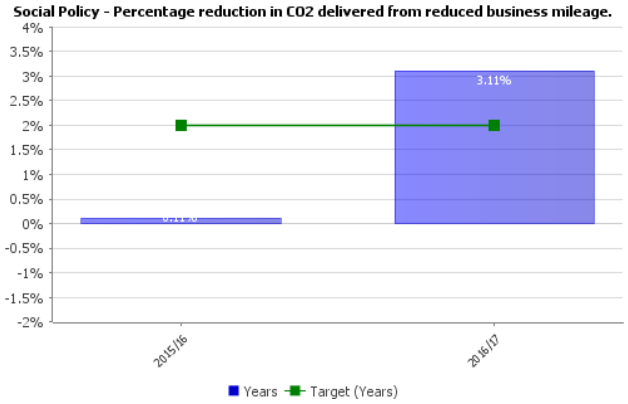
				In 2015/16 the Chief Executive Office and Finance and Estates Services had a carbon output of 8,158Kg compared to a carbon out in 2014/15 of 11,042Kg. This is a reduction in 2015/16 of 2,866Kg (26.12%). In 2014/15 the Chief Executive Office and Finance and Estates Services had a carbon output of 11,042Kg compared to a carbon out in 2013/14 of 10,858Kg. This is an increase in 2014/15 of 184Kg (-1.69%). The Finance and Property target for 2017/18 is a further 5% reduction.
	HQSICT006_8b.2 HCBS - Percentage reduction in CO2 delivered from reduced business mileage	.Head of Housing, Customer and Building Services (A Shaw)		This performance indicator was introduced in 2014/15 as part of the Information, Communication and Technology (ICT) Strategy 2015-17. In 2016/17, HCBS' mileage carbon output movement reduced by 6.10% on the previous year. This is due to a decrease of 3,919kg of carbon on the previous year. In 2015/16, HCBS' mileage carbon output movement reduced by 18.27% on the previous year. This is due to a decrease of 15,740kg of carbon on the previous year. In 2014/15, HCBS' mileage carbon output

				movement increased by 9.69%. This is due to an increase of 8,348kg of carbon between 2013/14 and 2014/15. The council's carbon management plan includes a target of 33% reduction in fleet mileage from a baseline in 2010/11 to 2017/18. Our target is to reduce by 4.5% per year to achieve this.
	OPSHQ010_8b.1 Operational Services – Percentage reduction in CO2 delivered from reduced business mileage.	.Head of Operational Services (J Jack)		<u>Trend Chart Commentary:</u> The percentage reduction in CO2 from a reduction in business mileage between 2015/16 and 2016/17 was 19.87%. This followed on from a reduction between 2014/15 and 2015/16 of 8.08%. The council's carbon management plan includes a target of 33% reduction in fleet mileage from a baseline in 2010/11 to 2017/18. Our target is to reduce by 4.5% per annum to achieve this, and we are currently on target.

PEDS018_8b.1 PEDS – Percentage reduction in CO2 delivered from reduced business mileage	.Head of Planning, Economic Development and Regeneration (C McCorriston)		This performance indicator was introduced in 2014/15 as part of the Information, Communication and Technology (ICT) Strategy 2015-17. In 2016/17, Planning and Economic Development Services' mileage carbon output movement increased by 6.73%. The carbon reduction figure is 2330 kg, or 2.3 tonnes. Service awaits in depth analysis which will help to establish the reason for the increase. In 2015/16, Planning and Economic Development Services' mileage carbon output movement decreased by 21.55% – a significant improvement on the 14/15 figure of 21.55%. The carbon reduction figure is 8,001kg, or 8 tonnes. The total reduction in carbon since 2013/14 now stands at 12,839g or 12.8 tonnes. This is a reduction of just over 30% The council's carbon management plan includes a target of 33% reduction in fleet mileage from a baseline in 2010/11 to 2017/18, with a new target to be set to 2020/21. Target for 2017/18 will remain at 10%.

SP005_8b.1 Social Policy – Percentage reduction in CO2 delivered from reduced business mileage.

.Head of Social Policy (J Kellock)



Trend Chart Commentary:

The council's carbon management plan includes a target of 33% reduction in fleet mileage from a baseline in 2010/11 to 2017/18.

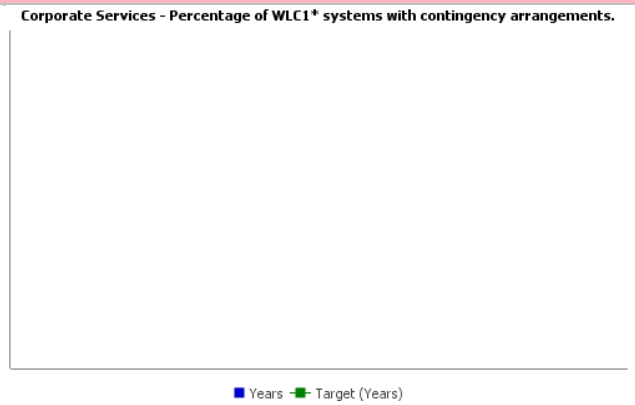
The percentage reduction in CO2 from a reduction in business mileage in Social Policy was -0.11%. The Green Travel plan is currently under review in Social Policy and it is expected that this revised plan along with location changes and process changes related to the new client database system will see performance to target by 2016/17.

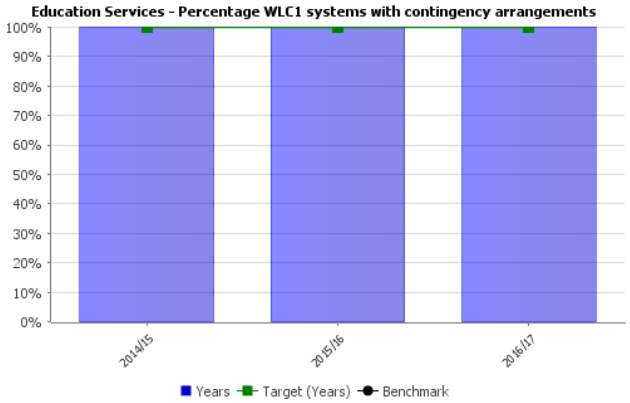
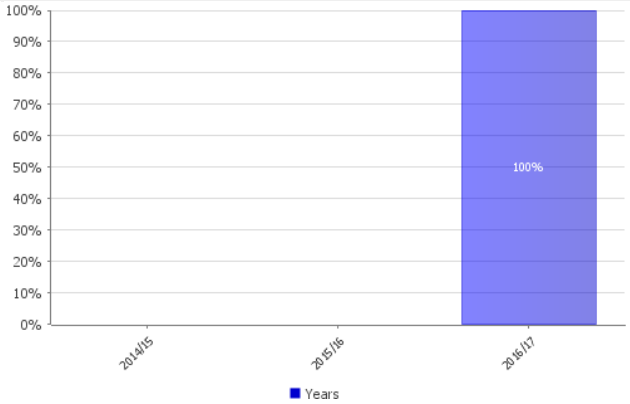
Status	Action Title	Code	Assigned To	Progress Bar	Latest Update
	Cloud mail	ITS15004_A	Ian Forrest	100%	22-Oct-2015 IT Services have investigated completed high level investigations on whether a cloud based (externally hosted) email service may be beneficial for the council corporate email users. A presentation is on the options and factors to be considered was delivered to the ICT Programme Board on 20 May 2015. The ICT Programme Board approved the recommendation to complete further data gathering on costs and an update was provided to the ICT Programme Board meeting on 23 September 2015. The ICT Programme Board concluded that due to the costs involved the Council would proceed with an upgrade to the inhouse Exchange email system to provide a solution until 2020. This decision would allow legacy application dependencies to be progressed in time for consideration as part of 2018/2022 Capital programme. This action is now complete.
	Cloud Technology	ITS15005_A	Ian Forrest	45%	10-Jul-2017 The council migrated the Education (teachers) email users to cloud based GLOW mail service in January 2015. This migration allowed the exit of 4 physical servers and associated

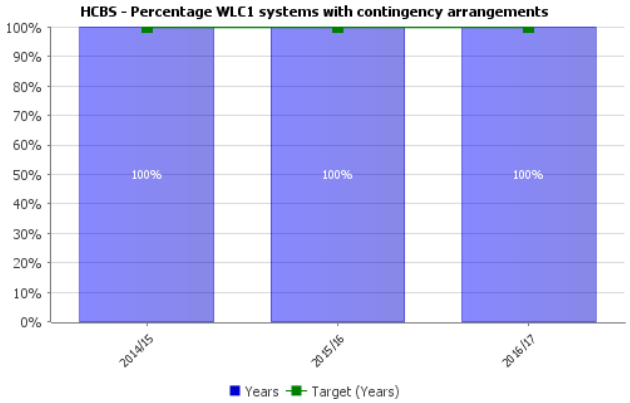
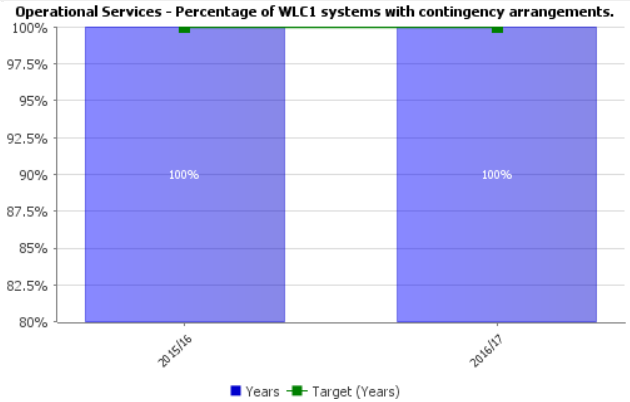
storage.
The project on Education Secure Data Sharing submitted an exception report to the ICT Programme Board as there have been developments to progress with secure email and data sharing using GLOW mail. A proof of concept using GLOW mail was initiated in June and decision will be made at IT project board on 19 July 2017.

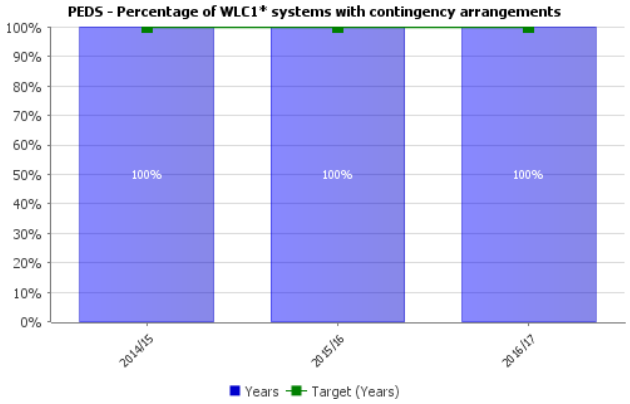
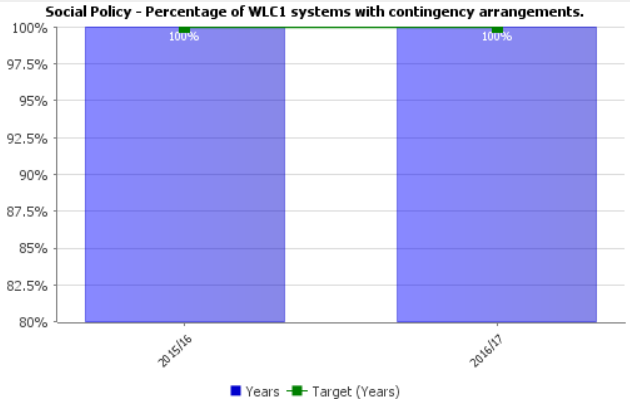
(d) Outcome 4 - Consolidate and share systems to achieve a more integrated customer focused approach

4.1 % WLC1 systems with contingency arrangements(All, Heads of Service)

Status	Performance Indicator	Lead officer(s)	Performance Data Trend Chart	Trend Chart Commentary
?	COR006_8b.6 Corporate Services – Percentage of WLC1* systems with contingency arrangements.	.Head of Corporate Services (J Whitelaw)		**Trend Chart Commentary:** This performance indicator was introduced in 2014/15 as part of the Information, Communication and Technology (ICT) Strategy 2015-17. Between 2014/15 and 2016/17, Corporate Services did not have any WLC1 systems with arrangements therefore this is noted as not applicable.

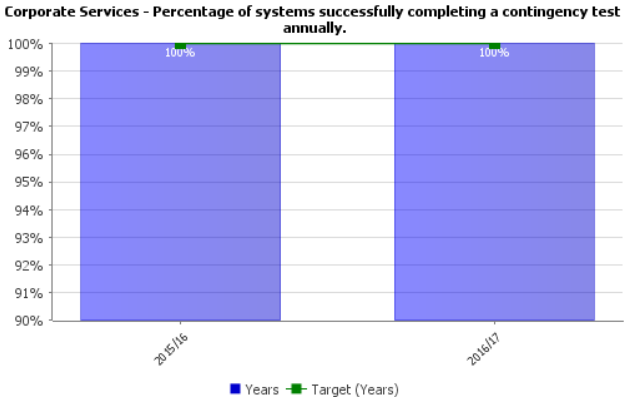
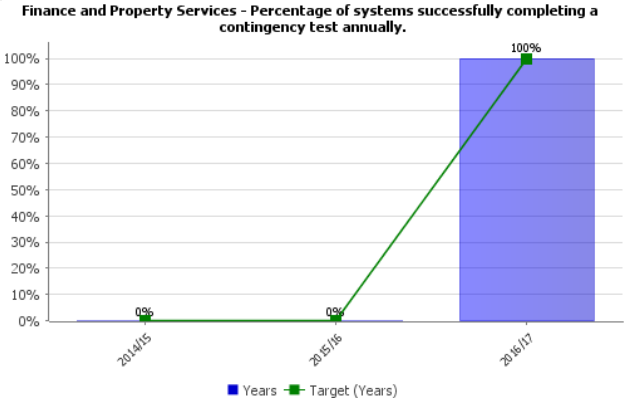
	ED007_8b.6 Education Services – Percentage WLC1 systems with contingency arrangements	.Head of Education (Learning, Policy and Resources – J Cameron)		Performance remains as in previous years 100%. The service has one WLC1 system (SEEMIS/groupcall) which as a web based system has robust contingency arrangements. The business continuity was tested by Internal Audit in September 2014 with positive results and is due for re-test again in 2017 (date tbc). Target for 2017/18 will be 100%.
	FE006_8b.6 Finance and Property Services – Percentage of WLC1 systems with contingency arrangements.	.Head of Finance and Property Services (D Forrest)		<u>Trend Chart Commentary:</u> This performance indicator was introduced as part of the council's Information, Communication and Technology (ICT) Strategy 2015-17. Finance and Estates Services did not have responsibility for any WLC1 systems during 2014/15 or 2015/16. However, with the restructure of the council and the relocation of Construction Services to form Finance and Property Services, the service does now have responsibility for one WLC1 system and the Non-housing Emergency Repairs have been included within the revised business continuity plan which has been updated for 2016/17.

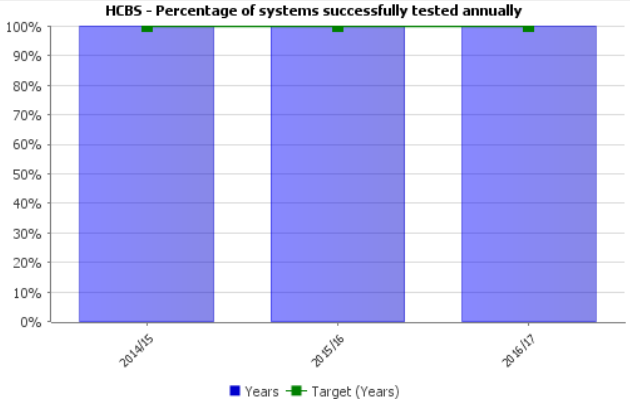
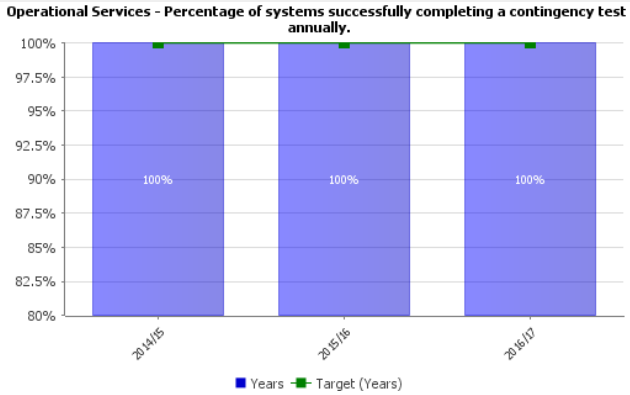
	HQSICT007_8b.6 HCBS – Percentage WLC1 systems with contingency arrangements	.Head of Housing, Customer and Building Services (A Shaw)		In 2015/16, 100% of Housing, Customer and Building Services WLC1 systems have contingency arrangements. The target is set based on ICT Strategy 2017 target.
	OPSHQ011_8b.6 Operational Services – Percentage of WLC1 systems with contingency arrangements.	.Head of Operational Services (J Jack)		**<u>Trend Chart Commentary:</u>** All seven WLC 1 systems in Operational Services have up to date business continuity plans

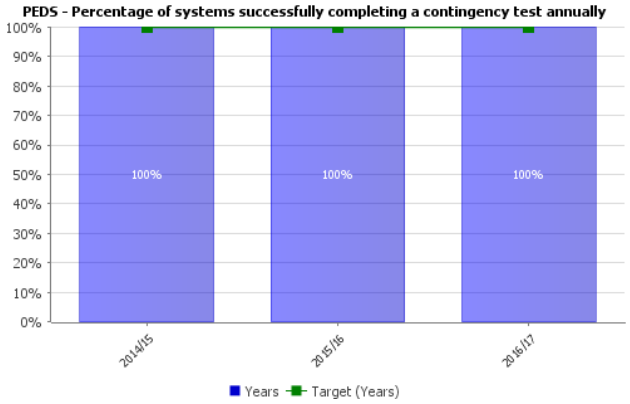
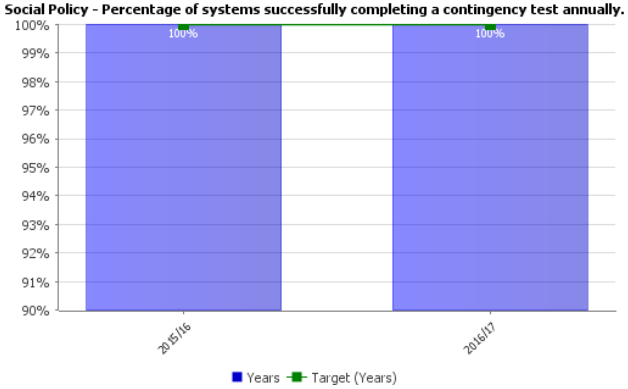
	PEDS019_8b.6 PEDS – Percentage of WLC1* systems with contingency arrangements	.Head of Planning, Economic Development and Regeneration (C McCorriston)		Planning & Economic Development have two activities identified as WLC1. Both activities have contingency arrangements in place which are set out in the Service Business Continuity Plan(BCP). The BCP was tested in 2015/16 and the arrangements in place were confirmed as workable and appropriate. This performance indicator was introduced in 2014/15 as part of the Information, Communication and Technology (ICT) Strategy 2015-17. Target for 2017/18 will remain at 100%.
	SP006_8b.6 Social Policy – Percentage of WLC1 systems with contingency arrangements.	.Head of Social Policy (J Kellock)		<u>Trend Chart Commentary:</u> The service Business Continuity Plan addresses the risk associated with loss of access to SWIFT. This is the only IT system that has relevance for the WLC1 risks within the service.

4.2 % of systems successfully tested annually(All, Heads of Service)

Status	Performance Indicator	Lead officer(s)	Performance Data Trend Chart	Trend Chart Commentary

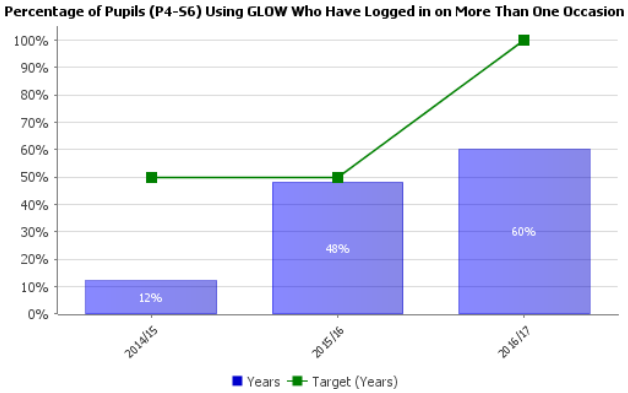
	COR007_8b.6 Corporate Services – Percentage of systems successfully completing a contingency test annually.	.Head of Corporate Services (J Whitelaw)		**Trend Chart Commentary:** In 2015/16 and 2016/17, all systems successfully completed within Corporate Services a contingency test. The target for 2017/18 remains at 100%
	FE007_8b.6 Finance and Property Services – Percentage of systems successfully completing a contingency test annually.	.Head of Finance and Property Services (D Forrest)		**Trend Chart Commentary:** This performance indicator was introduced in 2015/16 as part of the council's Information, Communication and Technology (ICT) Strategy 2015-17. Following the council's restructure in April 2016, Finance and Property Services now includes the Construction Services Unit. As a result, Finance and Property Services now has one WLC1 activity: Non-Housing Emergency Repairs. The critical IT application linked to the WLC1 activity is the Asbestos Database used by Construction Services. The database is held on the council's San Server and as such is subject to daily backup as part of the IT Services backup process. Prior to 2016/17, Finance and Estates Services did not have any WLC1 activities or critical IT applications and as such had no requirement to

				perform annual contingency testing.
	HQSICT008_8b.6 HCBS – Percentage of systems successfully tested annually	.Head of Housing, Customer and Building Services (A Shaw)		Testing takes place when systems are updated and this ensures compliance. 100% of systems were successfully tested in 2016/17. HCBS tested version 14 on the Open Housing system in September to November 2016. This went live with latest version in mid November 2016.
	OPSHQ012_8b.6 Operational Services – Percentage of systems successfully completing a contingency test annually.	.Head of Operational Services (J Jack)		<u>Trend Chart Commentary:</u> New testing programme requires all WLC1 systems to be desk top tested every three years. First tranche tested in 2016/17 were Roads Emergency Service Emergency traffic signal maintenance Emergency Street light maintenance All tests completed and all systems passed. All Operational Services WLC1 systems were desk top tested late 2015 and early 2016.

	PEDS020_8b.6 PEDS – Percentage of systems successfully completing a contingency test annually	.Head of Planning, Economic Development and Regeneration (C McCorriston)		Planning & Economic Development have two activities identified as WLC1. Both activities have contingency arrangements in place which are set out in the Service Business Continuity Plan(BCP). The BCP was tested in 2015 and the arrangements in place were confirmed as workable and appropriate. A further review of arrangements was carried out in March 2017. This performance indicator was introduced in 2014/15 as part of the Information, Communication and Technology (ICT) Strategy 2015-17. Target for 2017/18 will remain at 100%.
	SP007_8b.6 Social Policy – Percentage of systems successfully completing a contingency test annually.	.Head of Social Policy (J Kellock)		<u>Trend Chart Commentary:</u> Social Policy contingency arrangements are set out in the Service Business Continuity Plan(BCP). In respect of IT systems the BCP references the dependency on the client database system, SWIFT. The BCP was tested in 2015 and the arrangements in place were confirmed as workable and appropriate.

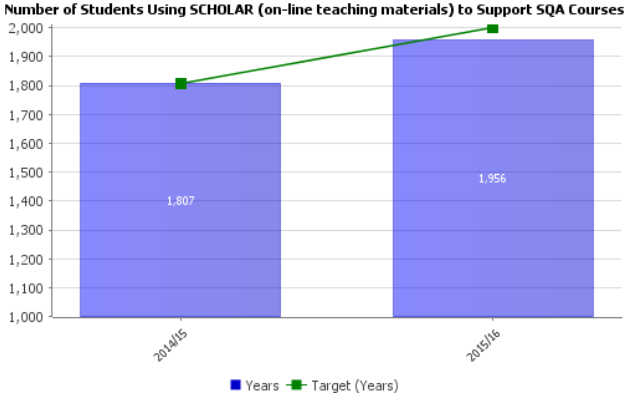
4.3 % of pupils (P4-S6) using GLOW who have logged on more than once each term (Education Services, Head of Service)

Status	Performance Indicator	Lead officer(s)	Performance Data Trend Chart	Trend Chart Commentary

	EDQIT031_9b.1b Percentage of Pupils (P4-S6) Using GLOW Who Have Logged in on More Than One Occasion	.Head of Education (Curriculum, Quality Improvement and Performance - D McMaster)		**Trend Chart Commentary:** In 2016/17, 60% of pupils using Glow in P4-S6 have logged onto Glow on more than one occasion. This is an increase of 12% from 2015/16 and an increase of 48% from 2014/15, but is below the target of 100%. Delays with the roll out of Glow services by Scottish Government had significant impact on user confidence which is reflected in the pupil login numbers. This resulted in teachers using alternative digital tools to support learners. Reporting of this indicator relies on data provided by Scottish Government. In the last academic year 2016/17, increasing numbers of students are accessing Glow via apps on personal mobile devices. The data provided to authorities by Scottish Government only reports on access directly via a web browser and cannot currently report on access via an app. This means that the data is not necessarily reflective of actual practice. Target for 2017/18 is currently under review given the challenges in capturing reliable and accurate information.

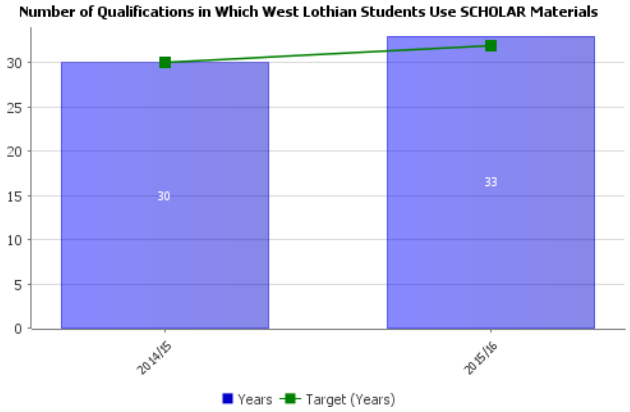
4.4 Number of Students using SCHOLAR (on-line teaching materials) to support SQA courses (Education Services, Head of Service)

Status	Performance Indicator	Lead officer(s)	Performance Data Trend Chart	Trend Chart Commentary

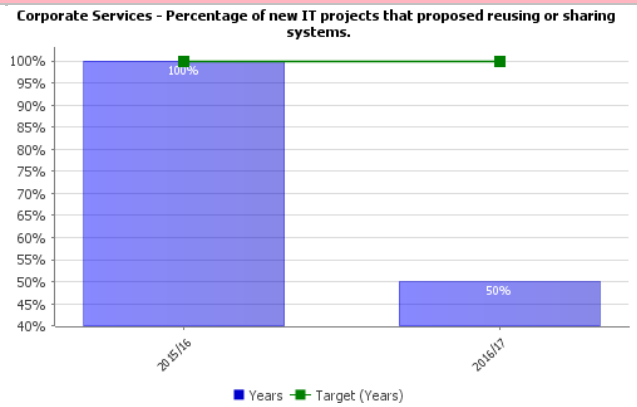
	EDQIT032_9b.1b Number of Students Using SCHOLAR (on-line teaching materials) to Support SQA Courses	.Head of Education (Curriculum, Quality Improvement and Performance - D McMaster)		**Trend Chart Commentary:** In 2015/16, 1956 SCHOLAR course materials were accessed by students, which was an increase of 149 from 2014/15, and slightly below the target of 2000. The increase is due to schools proactively promoting the materials with all students. The Council is currently engaging with SCHOLAR to shape future benchmarking information and the impact that the materials have on student pass rates. The target for 2016/17 is 2500 and performance information for the school academic year will be be available in September 2017.

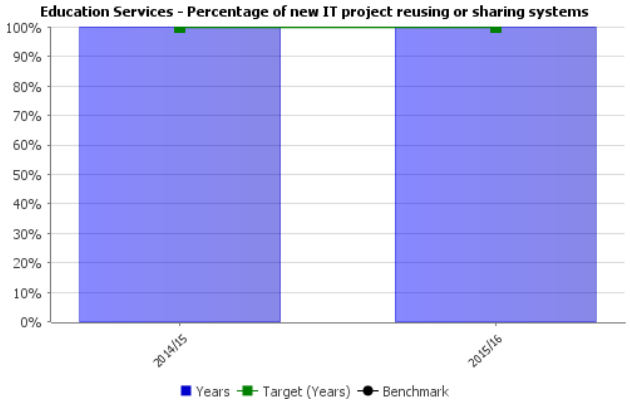
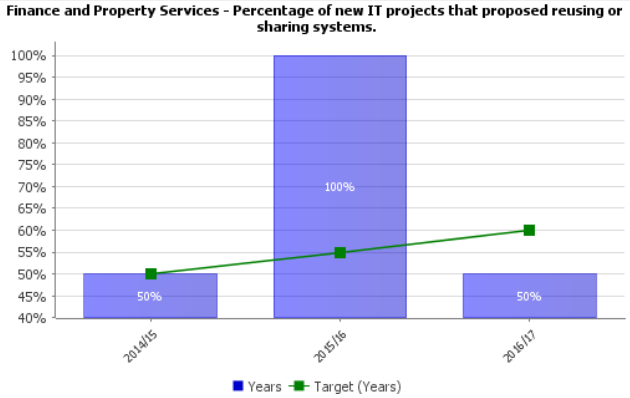
4.5 Number of qualifications in which West Lothian students use SCHOLAR materials(Education Services, Head of Service)

Status	Performance Indicator	Lead officer(s)	Performance Data Trend Chart	Trend Chart Commentary

	EDQIT033_9b.1b Number of Qualifications in Which West Lothian Students Use SCHOLAR Materials	.Head of Education (Curriculum, Quality Improvement and Performance – D McMaster)		**Trend Chart Commentary:** In 2015/16, 33 different SQA course materials were accessed by West Lothian students, which was an increase from 30 courses the previous school session. This is due to proactive engagement with the SCHOLAR materials with school leaders and staff. Target for 2016/17 is 35 based on increasing materials being available to schools and performance information will be available in September 2017.

4.6 % of new IT projects that proposed reusing or sharing systems(All, Heads of Service)

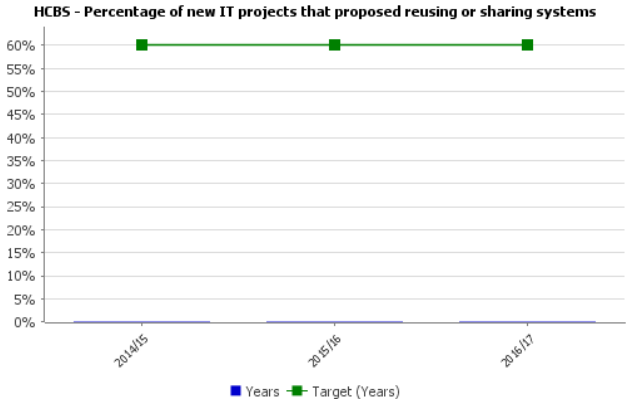
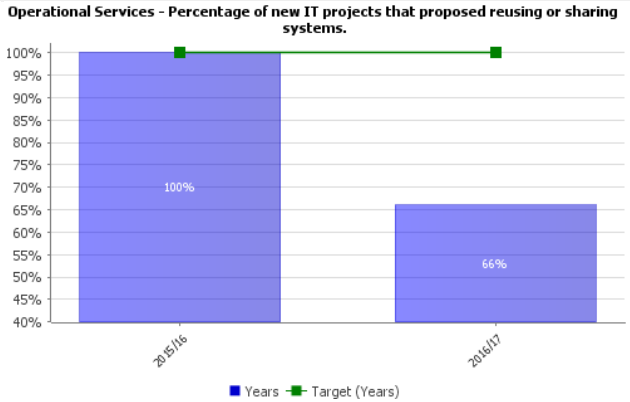
Status	Performance Indicator	Lead officer(s)	Performance Data Trend Chart	Trend Chart Commentary
	COR008_8b.6 Corporate Services – Percentage of new IT projects that proposed reusing or sharing systems.	.Head of Corporate Services (J Whitelaw)		**Trend Chart Commentary:** This performance indicator was introduced in 2015 as part of the Information, Communication and Technology (ICT) Strategy 2015-17. In 2015/16, a total six out of six projects owned by Corporate Services proposed reusing or sharing systems. In 2016/17, a total of three of six projects owned by Corporate Services proposed re-using or sharing systems. The target for 2017/18 remains at 100%

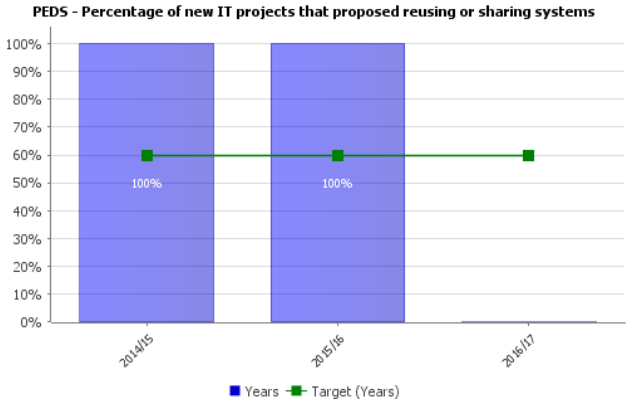
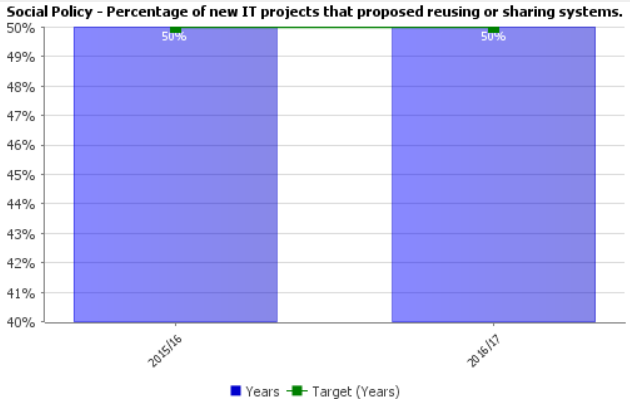
	ED009_8b.6 Education Services – Percentage of new IT project reusing or sharing systems	.Head of Education (Learning, Policy and Resources – J Cameron)		In 2016/17 Education Services have not submitted any project briefs to the ICT Programme Board. Hence no data displayed o chart for that period. Performance in 2015/16 was 100%. Education services had one new IT project during the year (online payments). This system is shared with Councils across Scotland. The Service also continued to roll out SEEMIS modules shared with other Councils Performance in 2014/15 was 100% based on the roll out of SEEMNIS modules used by other Councils. Target for 2017/18 will be 50%. This target will be kept under review as information about potential IT projects becomes known. At present it is not known whether systems will be reused or shared or not.
	FE008_8b.6 Finance and Property Services – Percentage of new IT projects that proposed reusing or sharing systems.	.Head of Finance and Property Services (D Forrest)		<u>Trend Chart Commentary:</u> This performance indicator was introduced in 2015/16 as part of the council's Information, Communication and Technology (ICT) Strategy 2015-17. Finance and Property Services submitted four new IT project briefs to the ICT Programme Board during 2016/17. Two of the briefs proposed sharing / re-using existing council

systems (P319 Cedar e5 Upgrade to V5.5 and P327 Scottish Welfare Fund). The other two IT project briefs could not share or re-use an existing system (P325 Hybrid Mail - new solution introduced as part of a pilot to reduce staff time and mailing costs for the council, and P323 Property Asset Management System - required the feasibility study for a solution to enable management of property assets).

During 2015-16, Finance and Estates Services did not introduce any new IT Systems through the IT Project Brief submission to the ICT Programme Board.

Finance and Estates submitted four new IT project briefs to the ICT Programme Board during 2014/15. Two of the briefs proposed sharing / re-using existing council systems (P296 Contracted Supplier Lookup Facility and P285 Corporate Arrears Recovery System Upgrade).

	HQSICT009_8b.6 HCBS – Percentage of new IT projects that proposed reusing or sharing systems	.Head of Housing, Customer and Building Services (A Shaw)		During 2015/16, HCBS have no new IT projects that proposed reusing or sharing systems. HCBS Opening Housing system is classified as bespoke to the service. The target is set based on the ICT Strategy 2017 target.
	OPSHQ013_8b.6 Operational Services – Percentage of new IT projects that proposed reusing or sharing systems.	.Head of Operational Services (J Jack)		<u>Trend Chart Commentary:</u> Two of the three projects due to start, or live in, approved for 2016/17 proposed reusing or sharing systems.

	PEDS021_8b.6 PEDS – Percentage of new IT projects that proposed reusing or sharing systems	.Head of Planning, Economic Development and Regeneration (C McCorriston)		This performance indicator was introduced in 2015/16 as part of the Information, Communication and Technology (ICT) Strategy 2015/17. During 2015/16 the Service introduced one new IT Systems for education planning. This system was not already in use elsewhere in the council resulting in a performance of 0%. Target for 2017/18 will remain at 60%.
	SP008_8b.6 Social Policy – Percentage of new IT projects that proposed reusing or sharing systems.	.Head of Social Policy (J Kellock)		**Trend Chart Commentary:** Performance in 2015/16 was 50%. Social Policy had two new IT projects during the year. One of the projects (Reablement Project) required a new system due to integration with West Lothian Social Care system. The other project (Channel Shift) was expected to re-use systems in the Customer Service Centre.

Status	Action Title	Code	Assigned To	Progress Bar	Latest Update
	Implementation of agreed Shared IT Services model	ITS13005_A	Ian Forrest	100%	19-Nov-2015 West Lothian College IT Manager and Council IT Manager commenced initial data gathering and knowledge sharing and presented an options appraisal to the Head of Corporate Services and Assistant Principal on 4 April 2013. The Senior Management Team in West Lothian College met the end of April 2013 to conclude on the approach and timescales. West Lothian College IT Manager and Council IT Manager were requested to submit a draft timeline for progression of proposal by

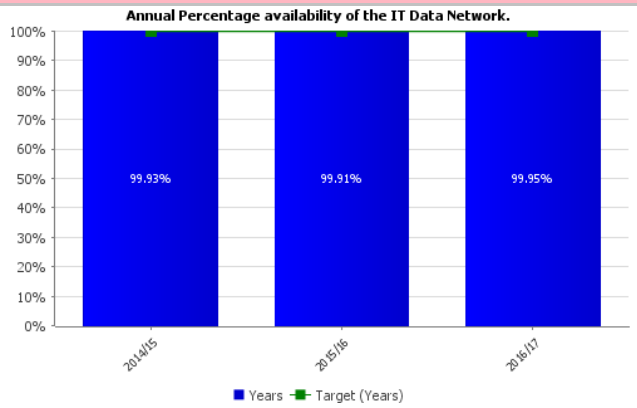
23 May 2013 and this was completed.
A project brief was developed for IT resource planning purposes and submitted to ICT Programme Board on 5 June 2013 for consideration. The ICT Programme Board approved on the basis that any resource costs would be funded by West Lothian College.
West Lothian College partially approved costs for network connection on 11 June 2013 and order has been placed with Vodafone, however there is a maximum 3 month lead time.
The project plan was presented to Depute Chief Executive and Assistant Principal on 17 June 2013 and highlighted that shared service would not be operational from August 2013. Project governance/reporting arrangements are with the college for consideration and approval.
An project issue arose relating to a procurement matter within West Lothian Council and the project board agreed to halt any discussions on network aspects until mid November 2013. The background was outlined to the ICT Programme Board on 23 July 2013. The project plan and timeline for the project will be revised and and initial discussions with the network provider commenced on 19 November 2013.
Planning and migration of data centre is ongoing and final dependencies for firewall implementation are expected to be completed by mid/late March 2014. The migration can not proceed until the Service Level Agreement and joint West Lothian College and Council board have authorise the proposal. The IT project will be suspended until agreement is reached and exception report presented to ICT Programme Board. The project end date has been extended until end of June 2014 to await decision.
A meeting was held with the College on 15 April 2014 to ensure their IT requirements for the schedule agreement were clarified. The revised target date for migration is dependent on college providing final scope and pre-requisites so migration planning re-

started in June. The target date was provisionally set for 19 August 2014, however the college have not met the pre-requisite tasks so replanning for 20/21 October was progressed. The college failed to achieve their pre-requisite tasks to allow 20/21 October migration to progress, so an exception report will be presented to ICT Programme Board when re-planning will be complete.
The service schedule for IT service has been drafted and sent to the college for review on 17 October 2014 with a followup meeting held on 13 November 2014.
A joint meeting was held on 15 December 2014 as the College have not as yet completed the work required to address their system vulnerabilities and this is required to agree a migration timescale. A new target date for the college to complete this work was agreed as 16 January 2015. The College have not yet completed the pre-requisites, however expect to complete the remaining tasks by the mid February 2015. The data centre migration date will be set following the results of the external security penetration testing were received by the end of February. The initial migration date of 14/15 March 2015 was not achieved as the college had failed to arrange the pre-requisite equipment maintenance, however this issue was addressed and revised migration date agreed as 28/29 March 2015.
The data centre migration was successfully achieved 28/29 March and handover to normal Service Delivery was implemented on 1 May 2015, the service schedule (service level agreement) was signed off at the meeting on 20 May 2015.
The project closure report was expected to be submitted to ICT Programme Board at the resource meeting on 24 August 2015, however final consultation with College necessitated presentation of the closure report to the ICT Programme Board on 18 November 2015. The closure report was approved and the project is closed.

	West Lothian College	ITS15008_A	Ian Forrest	98%	10-Jul-2017 The migration of West Lothian College IT servers was successfully achieved 28/29 March 2015 and handover to normal Service Delivery was completed following agreement of the service schedule (service level agreement). The project closure report was submitted and approved by the ICT Programme Board. The closure report allowed completion of the previous Action ref ITS13005_A. The service review meetings are in place to review the service provided to the college, however the college has resource issues resulting in an inability to attend service review meetings and complete their responsibilities on addressing application vulnerabilities. IT Services are assisting the college with some additional resource. The Vice Principal of the college requested a scoping meeting with IT Manager and Solutions Architecture Manager on 3 June 2016 on a potential requirement to increase the college's resilience, Business Continuity and Disaster Recovery. IT Services are providing a high level overview for consideration by the college. If the college wish to proceed then they will submit a project brief for consideration by the ICT Programme Board. The college requested a resilient network connection on 28 March 2017 and the order has been placed with our supplier. The college approved the excess construction charges on 1 June 2017 and the SWAN supplier are progressing installation. The estimated completion date is by end of July assuming no external construction issues are experienced.

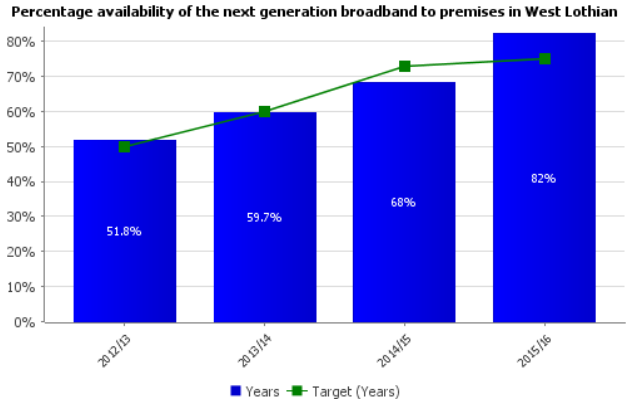
(e) Outcome 5 - Provide high performance network connectivity

5.1 % availability of the data network. (Corporate Services, IT Manager)

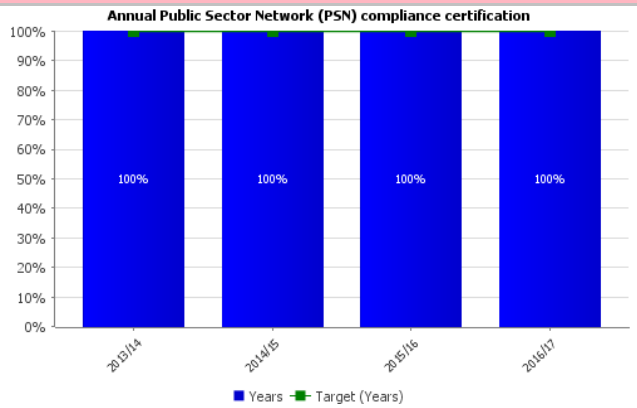
Status	Performance Indicator	Lead officer(s)	Performance Data Trend Chart	Trend Chart Commentary
	CP:ITS074_9b.1c Annual Percentage availability of the IT Data Network.	.Head of Corporate Services (J Whitelaw)		**Trend Chart Commentary:** This trend chart demonstrates performance by our Wide Area Network managed service and influences IT Services performance in respect of fault resolution and resource availability. Performance in 2014/15 exceeded 99.9% although minor impact in April 2014 and August 2014 related to external power issues. Performance in 2015/16 exceeded 99.9% although performance was impacted by external power issues and a copper cable fault that impacted Seafield Community Education Centre in April 2015 and a complex wireless fault at St Nicholas Primary School in June 2015. Performance in 2016/17 achieved 99.95% and was impacted by external power issues and telecommunication provider experienced issues at two local telephone exchanges. The target for 2017/18 is 99.95%

5.2 Availability of next generation broadband to premises in West Lothian(Corporate Services, IT Manager)

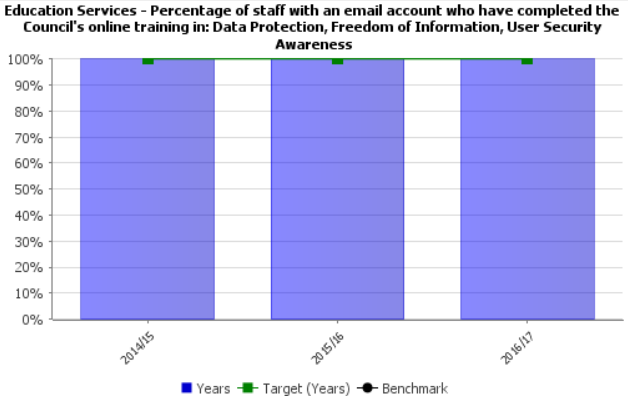
Status	Performance Indicator	Lead officer(s)	Performance Data Trend Chart	Trend Chart Commentary

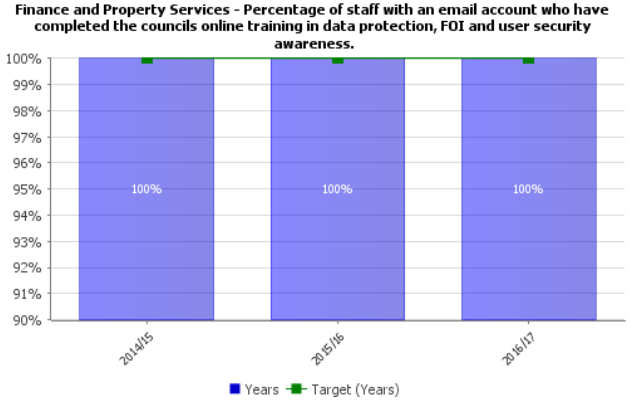
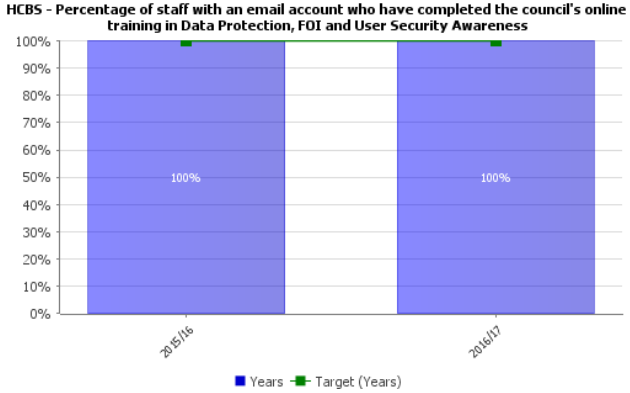
	CP:ITS075_9b.1c Percentage availability of the next generation broadband to premises in West Lothian	.Head of Corporate Services (J Whitelaw)		**Trend Chart Commentary:** The trend chart demonstrated an improving trend over the period. The performance in 2014/15 reflects a lower than expected commercial delivery outwith the council funded programme. The council funded programme commenced in 2015/16. Performance in 2015/16 exceeded the agreed target with increased delivery across West Lothian as a result of ongoing commercial and council funded programme. An increased target of 89% has been set for 2016/17. 2016/17 Performance will be provided by OFCOM in December 2017.

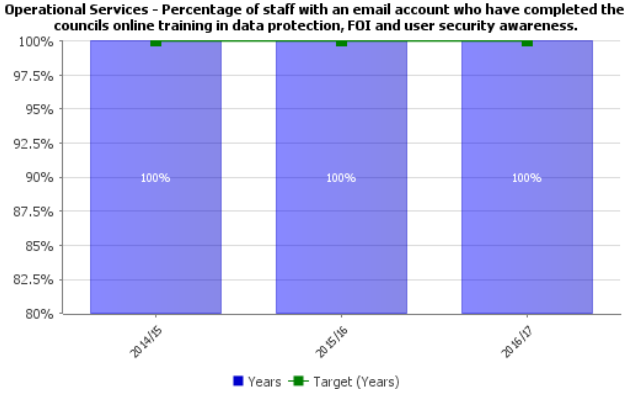
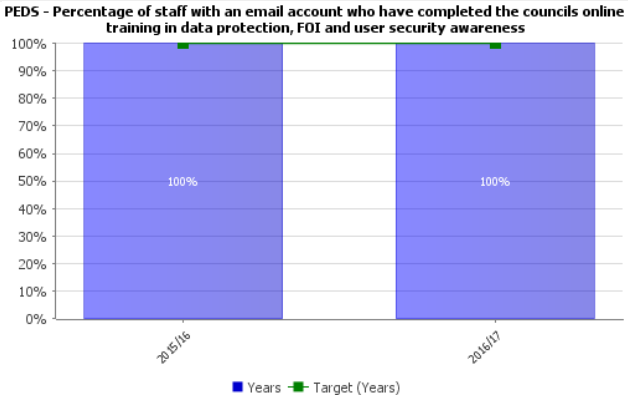
5.3 Annual PSN compliance certification(Corporate Services, IT Manager)

Status	Performance Indicator	Lead officer(s)	Performance Data Trend Chart	Trend Chart Commentary
	CP:ITS076_9b.1c Annual Public Sector Network (PSN) compliance certification	.Head of Corporate Services (J Whitelaw)		**Trend Chart Commentary:** The trend chart demonstrates that the Council has successfully achieved the accreditation and certification level for Public Sector Network compliance. The receipt of the certificate demonstrates the Council has achieved 100% over the period in the chart. The target for 2017/18 will remain at 100%

5.4 % of staff with an email account who have completed the council's online training in : Data Protection, Freedom of Information, User Security Awareness (All, Heads of Service)

Status	Performance Indicator	Lead officer(s)	Performance Data Trend Chart	Trend Chart Commentary
	COR009_8b.6 Corporate Services – Percentage of staff with an email account who have completed the councils online training in data protection, FOI and user security awareness.	.Head of Corporate Services (J Whitelaw)		**Trend Chart Commentary:** In 2015/16, all Corporate Services staff with an email account have completed the councils online training in data protection, FOI and user security awareness. The target for 2016/17 will remain at 100%
	ED010_8b.6 Education Services – Percentage of staff with an email account who have completed the Council's online training in: Data Protection, Freedom of Information, User Security Awareness	.Head of Education (Curriculum, Quality Improvement and Performance – D McMaster)		Performance in 2014/15, 2015/16 and 2016/17 is 100%. This is measured by exception reporting. The service receives a report from the IT service desk when training is not complete, and IT accounts are disabled. Target for 2017/18 will be 100%.

	FE009_8b.6 Finance and Property Services – Percentage of staff with an email account who have completed the councils online training in data protection, FOI and user security awareness.	.Head of Finance and Property Services (D Forrest)		**Trend Chart Commentary:** This performance indicator was introduced in 2015/16 as part of the council's Information, Communication and Technology (ICT) Strategy 2015-17. 2016/17 – All staff within Finance and Property Services staff complete the required Data Protection, Freedom of Information and User Security Awareness training modules on an annual basis.
	HQSICT010_8b.6 HCBS – Percentage of staff with an email account who have completed the council's online training in Data Protection, FOI and User Security Awareness	.Head of Housing, Customer and Building Services (A Shaw)		In 2016/17, 100% of staff completed these online training courses. This is enforced by line managers to ensure all staff comply.

	OPSHQ014_8b.6 Operational Services – Percentage of staff with an email account who have completed the councils online training in data protection, FOI and user security awareness.	.Head of Operational Services (J Jack)		**Trend Chart Commentary:** All email accounts are suspended once training requirements lapse. Only staff with up to date records have live email accounts
	PEDS022_8b.6 PEDS – Percentage of staff with an email account who have completed the councils online training in data protection, FOI and user security awareness	.Head of Planning, Economic Development and Regeneration (C McCorriston)		This performance indicator was introduced in 2015/16 as part of the council's Information, Communication and Technology (ICT) Strategy 2015-17. All staff within Planning and Economic Development Services staff have completed the required Data Protection, Freedom of Information and User Security Awareness training modules in 2016-17. Target for 2017/18 will remain at 100%.

SP009_8b.6 Social Policy – Percentage of staff with an email account who have completed the councils online training in data protection, FOI and user security awareness.

.Head of Social Policy (J Kellock)

Trend Chart Commentary:

There are *** members of staff in Social Policy who have a network account. All have completed the mandatory training in data protection, FOI and user security awareness.

Status	Action Title	Code	Assigned To	Progress Bar	Latest Update
	Scottish Wide Area Network	ITS15006_A	Ian Forrest	100%	10-Jul-2017 West Lothian Council joined as a SWAN member in July 2014. IT Services in partnership with the supplier have completed high level and low level network designs to complete the migration across the 185 council sites over the period May – November 2015. A presentation on progress and migration was delivered to the ICT Programme Board on 20 May 2015. Migration commenced on 29 May 2015 with St Margaret's Academy. Migration has progressed in June 2015 with Peel Primary School, Broxburn Primary School, Williamston Primary School and West Lothian Connected. Migration continued in July 2015 and August 2015 prioritising schools during the holiday period to minimise any service disruption during migration. A contractual issue regarding SWAN/Capita testing approach has result in consultation with NHS as the contracting Authority and West Lothian Council. Head of Corporate Services, Head of Education and Depute Chief Executive for Education met on 18/8/15 to discuss the legal advice provided and risk, and concluded that Service Readiness Certificates from SWAN/Capita

would be rejected while the consultation at NHS continued.
Consultation is ongoing with SWAN/NSS/Capita during September via meeting on 3 September 2015 and feedback on a revised proposal is expected prior to SWAN Management Board meeting on 30 October 2015. An exception report was drafted for the ICT Programme Board on 18 November 2015 as migration is not expected to complete by the end of December 2015. The exception report was approved by the ICT Programme Board and end date extended to 30 June 2016 align with the report.
Transition to the SWAN network continues however progress is slow due to a number of technical issues and failure of the supplier to manage their key subcontractor (BT Openreach). This is an industry wide issue and has led to an OFCOM complaint.
Depute Chief Executive and IT Manager have monthly escalation meetings with supplier Managing Director and Transition Director to apply pressure and IT Manager has also escalated to the SWAN Management Board and NHS as overall contract authority for the public sector.
Migration as at 18 May 2015 have achieved 81.32% with 148 of 182 sites completed, however the risk of slippage beyond June 2016 has resulted in an exception report being presented to the ICT Programme Board on 23 May 2016 with a recommendation to extend the end date to 30 September 2016.
Migration continued however slippage due to the suppliers management of their key subcontractor (BT Openreach) continues and an exception report was approved to extend the date to 31 December 2016. This is an industry wide issue and has led to an OFCOM complaint and escalation meetings have been held monthly with Council Depute Chief Executive and the Managing Director from the supplier. 97% of council locations have been completed and remaining sites are scheduled with an expected completion date of 31 December 2016.

	Migration on remaining 7 sites was not completed in December 2016, a further escalation meeting was held with Depute Chief executive, IT Manager and Managing Director of supplier in January 2017 with exception report approved by ICT Programme Board on 20 February 2017 and end date extended to June 2017. The final site St Nicholas Primary School was completed by 23 June 2017. Project closure and remaining invoicing issues are progressing and closure report will be submitted to ICT programme Board in August 2017.

DATA LABEL: PUBLIC

West Lothian Council

PARTNERSHIP AND RESOURCES POLICY DEVELOPMENT AND SCRUTINY PANEL

SCOTTISH GOVERNMENT CONSULTATION ON THE SOCIO ECONOMIC DUTY

REPORT BY HEAD OF CORPORATE SERVICES

A. PURPOSE OF REPORT

The purpose of this report is to advise the Panel aware of the Scottish Government's public consultation on the Socio Economic Duty and to note the terms of the council's formal response to that consultation.

B. RECOMMENDATION

It is recommended that the Panel:

1. Notes the Scottish Government's consultation on the Socio Economic Duty.
2. Notes that Appendix 1 of this report shall form the council's formal response to that consultation.
3. Notes the intention to present the proposals contained in this report for approval by Council Executive.

C. SUMMARY OF IMPLICATIONS

I	**Council Values**	Being honest, open and accountable; providing equality of opportunities; making best use of our resources; working in partnership
II	**Policy and Legal (including Strategic Environmental Assessment, Equality Issues, Health or Risk Assessment)**	Socio Economic duty was included as section 1 of the Equality Act 2010 but has not been introduced.
III	**Implications for Scheme of Delegations to Officers**	None
IV	**Impact on performance and performance Indicators**	None
V	**Relevance to Single Outcome Agreement**	
VI	**Resources - (Financial, Staffing and Property)**	None
VII	**Consideration at PDSP**	Policy and Resources PDSP 25 August 2017

VIII Other consultations All Council Services.

D. TERMS OF REPORT

D.1 Introduction

Section 1 of the Equality Act 2010 introduces the public sector duty regarding socio-economic inequalities. This provides that, when a public authority is making decisions of a strategic nature about how to exercise its functions, it must have due regard to the desirability of exercising them in a way that is designed to reduce the inequalities of outcome which result from socio-economic disadvantage.

Although the protected characteristics elements of the equality duties have been enacted, the socio economic duties have not become law. The Scottish Government now plans to introduce the Socio Economic duty and is consulting on the way in which the duty should be introduced.

The Consultation asks for views on

- Whether you agree with definitions of key terms. The key terms are "socio economic disadvantage", "inequalities of outcome", "decisions of a strategic nature" and "due regard".
- Which public authorities the duty should apply to.
- What public authorities could do to show they are meeting the duty, and
- How public authorities could sensibly approach the links between different duties with a socio-economic focus

A draft response to the consultation has been prepared, in consultation with all Council Services, and is attached at Appendix 1. The response recognises that the socio economic duty will complement and strengthen the current public sector equality duties.

E. CONCLUSION

The Council's response to the Scottish Government Consultation is set out at Appendix 1 to this report.

F. BACKGROUND REFERENCES

Equality Act 2010.

Appendices/Attachments: 1.

Response to Scottish Government Consultation on the Socio Economic Duty http://www.gov.scot/Resource/0052/00522478.pdf

Contact Person: Maggie Archibald, HR Adviser (Equality & Diversity)

Julie Whitelaw

Head of Corporate Services

Date of meeting: 23 August 2017

The Socio-Economic Duty Consultation
West Lothian Council Response

SECTION 1 – DEFINING THE KEY TERMS OF THE DUTY
QUESTION 1 – The key terms defined in this section are: • **Socio economic disadvantage** • **Inequalities of outcome** • **Decisions of a strategic nature** • **Due regard** **Do you agree that the definitions of these are reasonable and should be included within the Scottish Government's forthcoming guidance on the socio-economic duty?**
It is useful to set out these key terms and in general these terms seem comprehensive. The provision of examples in Plain English in relation to these terms would help understanding within workforces and across the communities we serve. The Council agrees that socio-economic disadvantage should be defined in a wide sense and not restricted to area-based deprivation. It must be recognised that those in poverty do not always live in the most deprived areas. It is important to strike a balance and identify those other groups experiencing disadvantage and inequalities of outcome out-with these areas of deprivation, in order to target interventions appropriately. The Council also agrees with the importance of recognising the mutually reinforcing nature of socio-economic disadvantage and inequalities of outcome. In terms of 'inequalities of outcome', the consultation documents states that "In carrying out this duty, we would expect public authorities to tackle the range of inequalities of outcome they observe in their area". This could be strengthened by adding wording which shows that there has been an in-depth analysis of data which can be broken down from various sources to a local authority area. Within the definition of 'decisions of a strategic nature' on page 11, the document states that "… many of these decisions may be made in the context of reform and improving outcomes for service users". It would be helpful if "budget constraints" was added to this sentence. There is a focus on strategic level decision making within the duty; however it should also be recognised that operational activity will also be in place and that in practice, operational actions will be key to delivery of practical actions.
SECTION 2 – THE PUBLIC AUTHORITIES COVERED BY THE DUTY
QUESTION 2A – Do you agree that the socio-economic duty should apply to the Scottish public authorities named here? If not, please specify which you do not think it should apply to and why?
The Council agrees with the list of public authorities but suggests that this list could be more comprehensive (see comments in 2b).
QUESTION 2B – Do you think the duty should apply to any other public authorities, similar to those listed in the Equality Act 2010? If so, please name them and explain why you think the duty should apply.

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Scottish Fire and Rescue as they are integral partner in terms of community planning and community safety.

The duty should also apply to any organisation which exercises a public function and should therefore include private and third sector organisations where and when they have such a role for example - consideration should be given to including Leisure and Cultural Trusts due to the direct links between physical and mental health and wellbeing and poverty.

SECTION 3 – MEETING THE REQUIREMENTS OF THE DUTY

QUESTION 3A – Do you have any comments on the steps set out in SECTION 3?

The steps suggested are reasonable and logical and take cognisance of the need for change to internal processes and procedures within public bodies to ensure compliance with the duty. A number of specific points have been considered in relation to these steps:

Step 1: Defining what decisions are within scope should be consistent across local authorities.

Step 2: Development of a Poverty/Fairness Commission was considered in West Lothian; however it was felt that the existing Anti-Poverty Strategy and governance arrangements sufficiently strengthened strategic approaches to mitigating the effects of poverty on West Lothian's communities. In terms of gathering local data to build awareness of inequalities of outcome, the Council in partnership with the Community Planning Partnership (CPP) maintains a Poverty Profile in order to review the changes in key indicators that help to map the nature and scale of poverty in the local area. This is a useful starting point to identify inequalities of outcome. It might be useful to commit to publish an annual Poverty Profile which would give partners and the public access to data and analysis to support informed decisions about resource allocation.

In terms of involving communities themselves, there should be a commitment to adhering to the National Standards for Community Engagement and to publish the evaluation findings of any community engagement.

Step 3: A clear audit trail is important and all assessments carried out by public bodies should be published. If public authorities are to show a clear audit trail for all decisions of a strategic nature it would be best to include this as a core component of the decision making process in order that there is a clear, transparent and accountable record of those involved and the reasons why decisions were made.

The Council already recognises the importance of tackling socio-economic disadvantage and reducing inequalities of outcomes and has already undertaken a significant amount of work to ensure this is considered at a strategic and operational level. The Council has previously used the Equality Impact Assessment process to assess our strategies/plans and will continue to do so for future strategies/plans.

The duty will strengthen the activities the Council is already carrying out.

QUESTION 3B - What other actions could public authorities take to demonstrate that they are meeting the duty?

Existing Equality Impact Assessments (EQIA) should be revised to ensure a clear audit trail,

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for example include a socio-economic section within the wider EQIA process. It would also be useful for individual community planning partners to share their assessment models and to ensure consistency where relevant.

The Council report template already includes a section that demonstrates that we have thought about the impact that the proposal/plan/strategy/activity will have on tackling inequalities. This could be widened out to include 'consideration of socio-economic disadvantage and tackling inequalities'. Consideration of socio-economic disadvantage could also be added in to Council Committee reports. The socio-economic duty should also be transparently and explicitly incorporated into all public consultations and engagement activity relating to strategic decision making (e.g. investment, service planning, service redesign).

It will be important to ensure that officers across public authorities are aware of the new duty and what this means for them in terms of strategic planning. Appropriate training will be essential to rolling out any new assessment process. It is important that this assessment process remains meaningful and does not simply become a tick-box exercise.

QUESTION 3C – Could you offer suggestions as to how public authorities could improve budgetary analysis and reporting so as to take better account of inequalities related to socio-economic disadvantage?

Consistency in how public authorities conduct Equality Impact Assessments would provide a clearer and more auditable path from the inception of an EQIA to the sign off by decision-makers. The standardisation of the process across public authorities would create a more consistent, open transparent and accountable process which would increase public confidence.

More case studies, centralised support from the Scottish Government to provide advice.

By establishing clear links between strategic commissioning and expenditure and the development of meaningful and measurable monitoring outcomes the impact of expenditure in relation to socio economic issues will be evident.

QUESTION 3D – Can you offer examples of how public authorities and others have made best use of the expertise of people with direct experience of poverty?

The Council acknowledges the importance of involving the community in decisions which affect them and gathering expertise from people with direct experience of poverty.

In 2012 and 2014 the Council undertook a public consultation under the Delivering Better Outcomes programme which defined the Council's priorities for the period to 2017. The consultation sought views from persons within underrepresented groups and those from different socio-economic backgrounds.

The Council's Anti-Poverty Strategy was informed by community engagement with a wide range of individuals and groups, including those directly affected by poverty. The upcoming refresh of the Strategy provides an opportunity to gather further evidence from those experiencing poverty, particularly to gather the experience and stories of those hardest to reach. Work will also be undertaken to consider how the Anti-Poverty Strategy will align to the CPP's locality plans, which are being developed in the eight most deprived areas in West Lothian. These plans are being developed with significant community involvement and will eventually become community-led.

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The Council undertook public consultation with local equality groups and the wider communities of West Lothian when setting our equality outcomes for 2017-2021.

QUESTION 3E - What kind of guidance and support on meeting the duty would be most useful for public authorities?

The consultation outlines the need to identify inequalities of outcome caused by socio-economic disadvantage through access to a wide range of qualitative data and other evidence. The Council makes use of the local data it has access to; however some poverty-related data is not available at a local authority level. Further support to gather, access and analyse more local data sets may be helpful.

There should be opportunities to share practice and to support public authorities to gain insight on how this will be rolled out practically. Clear guidelines on what evidence public authorities will be required to report in order to demonstrate they have given due regard to the duty would also be helpful.

Clear Plain English guidance with examples to promote increased understanding across the whole workforce and to the wider community would be helpful.

QUESTION 3F – Do you have a view on whether public authorities should use existing monitoring frameworks to track whether the socio-economic duty is making a difference to outcomes over the long term?

There are a number of reporting frameworks already being used by public authorities. Given the constraint on resources, and to simplify the process, it would be best to utilise existing frameworks. However; the Scottish Government's National Performance Framework includes poverty related PIs where data is not always available at a local authority level. It would be useful if efforts were made at a national level to address this. There is also a need to be realistic about what can be achieved in addressing socio-economic disadvantage against an uncertain and challenging global economic environment post-Brexit, etc.

SECTION 4 – LINKS BETWEEN THIS AND OTHER DUTIES

QUESTION 4A - Once the socio-economic duty is introduced, the Scottish Government is keen for public authorities to look strategically across all planning processes in place to maximise their impact. What could public authorities and the Scottish Government do to make sure that the links between the different duties are managed effectively within organisations?

It will be important to ensure that key services have a robust and standardised approach to EQIA which integrates it effectively to the reporting and decision making processes.

Through the Community Empowerment Act, named public authorities now have duties around Participation Requests and Asset Transfer. Any new processes developed should take into consideration the socio-economic duty, for example in the Participation Request application and decision-making processes.

In terms of reporting on how public authorities have met the socio-economic duty, existing processes could be used. For example, Local Outcomes Improvement Plan (LOIP) and Locality Plan annual reports. The Anti-Poverty Strategy annual report will also provide a more detailed assessment of how the impact of poverty is being mitigated at an operational

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level, as will the local child poverty plans to be prepared under the Child Poverty Bill. There may be no need to develop additional reporting mechanisms.

Public authorities – effective interface between councils, integrated joint boards, health boards and other key stakeholders as part of community planning partnerships when developing strategic plans / development activity.

Scottish Government – ensuring the range of associated new and existing legislation / duties is compatible with the socio – economic duty and not presenting conflicting duties.

QUESTION 4B – Can you offer examples of good practice in taking an integrated approach to issues such as poverty, equality, and human rights?

The West Lothian Anti-Poverty Strategy is a CPP-wide strategy which aims to minimise the impact of poverty on the people of West Lothian and tackle inequalities.

Prevention, Intervention and Money Advice Project which is run by Citizens Advice West Lothian targets women who are pregnant to access money advice, income maximisation and signposts to other support services. The project is a result of a 'test of change' pilot carried out with NHS Lothian and CAB which aims to ensure that those who are at a significant life stage have the information, advice and support through a trusted professional to ensure that they are enabled to make good financial decisions.

West Lothian, Falkirk and Fife Councils have collectively procured a community development finance provider to ensure that those who are on the lowest incomes, financially excluded and paying a 'poverty premium' for goods and services are given access to affordable credit.

https://www.westlothian.gov.uk/article/9391/Better-Off-West-Lothian-Anti-Poverty-Strategy

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Data Label: OFFICIAL

West Lothian Council

PARTNERSHIP AND RESOURCES POLICY DEVELOPMENT AND SCRUTINY PANEL

SELF ASSESSMENT 2017/20

REPORT BY HEAD OF CORPORATE SERVICES

A. PURPOSE OF REPORT

The report provides a summary of the output from the assessment activity undertaken in West Lothian Assessment Model programme from 2014 to 2017.

The report also provides a review of the approach to self-assessment and improvement planning in the council.

B. RECOMMENDATION

That the Panel notes:

1. The summary position for the 2014/17 programme;
2. The evaluation of the self-assessment approach undertaken by the council to date;
3. The proposed self-assessment approach for the period 2017/18 to 2019/20.

C. SUMMARY OF IMPLICATIONS

I	**Council Values**	• Focusing on our customers' needs • Being honest, open and accountable • Providing equality of opportunity • Developing employees • Making best use of our resources • Working with other organisations
II	**Policy and Legal (including Strategic Environmental Assessment, Equality Issues, Health or Risk Assessment)**	None
III	**Implications for Scheme of Delegations to Officers**	None
IV	**Impact on performance and performance Indicators**	The council adopted an EFQM-based approach to performance management. This is reflected in the type of indicators used and the management of performance.

V	**Relevance to Single Outcome Agreement**	The council has adopted an EFQM-based approach to performance management. This is reflected in the type of indicators used, including council indicators in the SOA.
VI	**Resources - (Financial, Staffing and Property)**	None
VII	**Consideration at PDSP**	N/A
VIII	**Consultations**	Executive Management Team

D. TERMS OF REPORT

D.1 Background

Self-assessment is an important part of the council's Improvement Strategy, encouraging innovation from within and positively engaging employees in service planning and improvement.

Self-assessment processes also contribute to the council's Best Value Framework, ensuring that there is rigorous challenge of performance and continuous improvement is embedded at all levels of the organisation.

Following completion in 2016/17 of the three year programme of assessment in council services (excluding schools), this report provides an overview of the findings from the process. It also sets out a review of the approaches to self-assessment that have been used in the council and how the next corporate self-assessment programme will change.

D.2 West Lothian Assessment Model – Self Assessment Process

The council uses the West Lothian Assessment Model (WLAM) to assess the quality and cost effectiveness of council services provided to the community. The WLAM is based on the European Foundation for Quality Management (EFQM) Excellence Model and provides a consistent structure around which performance and improvement in council services can be supported. As well as embedding the principles of continuous improvement and involving staff in improvement, the framework has been utilised to standardise or reinforce corporate approaches in performance management, service standards, customer consultation and complaint handling.

Over a three-year cycle every service will complete at least one assessment and attend the Review Panel – a panel chaired by the Chief Executive, a member of the Corporate Management Team and a peer (service manager). The panel will assess the performance of the service, the level risk presented and future scrutiny.

West Lothian schools, in collaboration with the inspection body Education Scotland, use a combination of validated self-evaluation (VSE) and self-evaluation with How Good Is Our School (HGIOS). The programme for VSE ensures that over a three or four year cycle every Education establishment will undergo an independent evaluation and validation of its work.

D.3 WLAM Programme 2014 – 2017

A total of 37 WLAM assessments were undertaken during the period with an average score of 468 out 1,000 for council services. The average scores achieved by council services in the WLAM process are outlined for the last four improvement cycles in table 1.

Table 1: WLC Average WLAM Scores 2014/17

2006/07	2008/10	2011/13	2014/17
316	385	411	468

The scores show consistent improvement in the council average across the four cycles, with considerable increases in Customer, People and Community Results as services developed better, more balanced performance results to track success and achievement.

A critical function of the WLAM programme is to support the council's Improvement Strategy and culture of continuous improvement. WLAM scores are used to track and monitor service improvement over time and ensure sufficient pace and direction of change in the service. Appendix 1 provides a scoring comparison for council services in the programme and details improvement during the period.

Review Panel Outcomes 2014 – 2017

At the end of the assessment process services/units will attend a Review Panel to determine the level of scrutiny that the service will be subject to throughout the cycle – based on WLAM scores and performance results. The Review Panel in the WLAM programme 2014/17 has three possible outcomes:

Table 2: Review Panel Outcome 2014-17

Cycle		No. of Services
1	Return to the panel within three years	14
2	Return a report to the Panel within 12 months, who will determine if the service are to move to Cycle 1 or 3	14
3	Return to the Review Panel no later than one year (12 months) from the date of the last report	9

Services can be placed on cycles 2 or 3 should the Panel determine that there is risk of performance declining (due to internal or external factors) or concern about the pace of improvement in the service. Those services on cycles 2 and 3 will also receive additional support from the corporate Performance and Improvement Service to improve overall performance and compliance with corporate standards.

Summary

All services improved performance in the WLAM framework (where there was comparable data). Improved scores demonstrate that:

- Corporate strategies, approaches and processes are established and delivering key objectives;
- Services are implementing council policy and procedure effectively;
- Services are designed to meet customer needs and preferences, though effectiveness of review processes has resulted in a dip in some areas;
- Performance management approach and key business results are improving;

While some services achieved significant improvement from past years in WLAM scores, others have seen more incremental positive change. Some services would benefit from increasing the pace of improvement and by addressing the focus areas/recommendations emerging from the Review Panel process more swiftly.

D.4 Continuous Improvement and Self-Assessment

The council was one of the earliest adopters of self-assessment in Scottish local government. The approach to self-assessment taken by the council was recognised in the sector as best practice and variations of the framework developed by the council, the West Lothian Assessment Model (WLAM), have since been implemented in over 30 public services and third sector organisations in Scotland and Northern Ireland.

Many council services have been routinely self-assessing since 2003/04. A corporate programme was established for self-assessment in all services in 2006/07 and has been managed through three-year cyclical programmes thereafter. Regular, programmed self-assessment is also an integral part of school's improvement planning and preparation for external inspection.

Across the years, self-assessment has provided the council with a clear sense of the relative strengths and areas for improvement in the organisation. This has been achieved through structured evaluation of the performance, progress and by assessing the capacity for improvement at service/school, organisational and partnership levels.

Table 3 sets out the different levels at which self-assessment has been utilised:

Table 3: Self-Assessment in West Lothian Council

	Assessment area	Description	Framework
1.	Council services	A risk-based programme of self-assessment for council services, ensuring each service completes a self-assessment within a three-year cycle	WLAM – full framework
2.	Schools	A risk-based programme of self-assessment for schools and validated self-evaluation with the education inspectorate.	How Good Is Our School (HGIOS)
3.	Corporate	Periodic self-assessment carried out by the Corporate Management Team to evaluate council-wide performance and the effectiveness of corporate strategies, policies and processes.	WLAM (corporate framework)
4.	CPP Thematic	Periodic self-assessment by governance groups within the CPP to test the partnership's resilience, self-awareness and performance in outcomes	WLAM (thematic framework)

The self-assessment approach in the council itself is regularly challenged through external validation and accreditation programmes in the:

- Customer Service Excellence (CSE) standard;
- Investors in People (IIP) framework;
- EFQM Recognised for Excellence and the EFQM European Excellence Award.

Self-assessment also forms part of the council's Best Value Framework. The systematic, risk-based approach to self-assessment provides the internal challenge and scrutiny that is essential to assure the overall quality of service provision and progress and achievement in the council's long-term outcomes and priorities.

The self-assessment frameworks used by the council in services and schools also assess the effectiveness of the council's management of processes and resources and the capacity to improve and/or sustain results. These are key characteristics for public services under Best Value.

D.5 Self-Assessment Methods in Services and Schools

The performance and practice of services and schools are challenged using two separately adapted versions of the EFQM Excellence Model. The overall approach and structure are consistent, but parts of the model have been adapted to fit the language and environment of local government. While for schools the framework has been adapted to meet the specific requirements of the education sector and the inspectorate.

The self-assessment processes are completed by a team of staff who evaluate evidence, performance information and feedback from customers, against a set of statements (criteria in WLAM or quality indicators in HGIOS). Statements are based on best in class practices and offer a clear and consistent structure for improvement and encourage stretch target setting and benchmarking with best in class performers.

While there are some differences between the two self-assessment frameworks and processes these are outweighed by the common structure and over-arching principle of promoting a culture of continuous improvement and excellence. The same basic themes are embedded in each framework, asking each service or school to consider:

- Where the service/school can demonstrate strength or good practice
- Where the service/school can improve
- How customers, employees, partners and stakeholders feel about the service/school
- How the service/school performs and how this performance compares to others
- Whether the service/school can sustain improvement

In summary, there is a consistent approach to self-assessment in all services and schools and in the outcome from these processes, with each stimulating and tracking measurable improvement. Collectively they ensure that there is regular and rigorous challenge of the culture, practices and behaviours in the council and compliance with policy and procedure in services/schools. Also, that progress and performance is monitored and managed effectively and improved.

Appendix 2 provides an overview of the two programmes of self-assessment, Validated Self Evaluation for schools and the WLAM for all council services.

D.6 Review of Self-Assessment

The council has a rigorous approach to self-assessment through both the corporate and schools programmes. This is supporting improvement in performance and has increased the quality of management information available about the progress in services and schools. The process outputs, such as scoring and review panel outcomes, provide the council with management information that allow the pace of improvement to be monitored and resources to be targeted to those services requiring additional support and internal scrutiny.

This commitment to self-assessment has supported the council's Best Value Framework and has also contributed towards maintenance of a number of external standards and accreditations, such as CSE, IIP and EFQM Recognised for Excellence, that enhance the reputation of the organisation as a high performing, high achieving organisation.

An improvement may be to increase the opportunities for shared learning across the two distinct programmes of self-assessment in the council. Both have been externally recognised as robust and challenging for the areas of assessment and have enough shared characteristics to allow for a greater level of co-operation.

Over the next year a new corporate plan, financial and attainment strategies will emerge that will influence the scale of change and ambition in the council for future years. A long-held commitment to excellence and striving to improve the overall quality and efficiency of council services is likely to continue and this will need to be supported by renewed and appropriate internal challenge and scrutiny processes.

D.7 Self-Assessment 2017-20

Over the years the council has been able to increase the level and quality of internal scrutiny against the national trend of moving towards a "checklist" self-assessment approach in council services. Following conclusion of the last three-year programme in March 2017, it is appropriate to consider the options for self-assessment that are open to the council at this stage.

In evaluating the options some assumptions have been made regarding the future of self-assessment activity in council services – based on the support it provides the council in meeting the requirements of Best Value characteristics. Firstly, that the council will continue to use self-assessment as an improvement and management tool. Also, that the council will continue to operate a risk-based programme which will cover all council services over a three-year period.

The process of self-assessment is built around the framework, model or standard that is used, as this will determine the level and type of resource commitment required from the service (assessing) and the central support service. Across local government, councils generally use one of the following self-assessment tools:

1. The WLAM/Public Service Improvement Framework (PSIF) Framework
2. The PSIF checklist
3. EFQM Excellence Model
4. How Good is Our Council

An evaluation of the options open to the council for the self-assessment programme is set out for consideration.

Option 1: Adopt the new version of WLAM / PSIF

The council could implement the new version of the WLAM/Public Service Improvement Framework (PSIF) Framework developed by the Improvement Service.

This was reviewed by the Improvement Service through consultation with users and a new framework published in January 2017. A key factor in the revised PSIF offering is to make self-assessment a quicker process for participating organisations. The new framework has reduced the number of statements to 61 from 73 in last version and this is intended to 'remove duplication' from the framework. However this reduction has had a negative impact upon the links to the EFQM and Investors in People frameworks and the Customer Service Excellence standard. Principally as few PSIF organisations are pursuing external accreditation and prefer a slim line process that meets the sector's immediate needs.

Option 2: Adopt the PSIF Checklist

The council could adopt the checklist approach to self-assessment that is promoted by the Improvement Service and now used by most organisations in the PSIF network.

This is a survey-based approach to self-assessment, which services can complete more quickly than an evidence-based framework with matrix scoring. It is estimated that the process can be completed in one day. Although it is promoted as a replacement for the full framework, a checklist does not instil the same level of challenge nor support continuous improvement in the same way as it does not place the same emphasis on providing evidence and results to support the evaluation. This would offer the council a more streamline but less rigorous process.

Option 3: Adopt EFQM Excellence Model

The council could revert back to using the standard EFQM Excellence Model. This forms the basis of the WLAM framework and has the same structure, scoring and a large proportion of content.

The council originally adapted the EFQM Excellence Model to better fit the local government context, however has latterly used it for corporate external assessment. NHS West Lothian currently uses EFQM for self-assessment activity, as do West Lothian Leisure.

Option 4: Adopt another framework

The council could conduct a review of the available self-assessment tools outside of EFQM and PSIF. This would include How Good Is Our Council, which was developed by Perth and Kinross and is also used by East Lothian Council.

Proposed Self-Assessment Approach 2017-20

Following evaluation of the available options it is proposed that the council will revert to using the EFQM Excellence Model for self-assessment. This will allow the council to continue to build on existing improvement approaches and by using a wide-reaching framework, to benchmark council practice and performance across all sectors, including high performing organisations throughout Europe.

The council has used an EFQM-based improvement framework with success for over ten years and has built expertise in this area within the workforce. Efforts to streamline the PSIF have reduced the linkages with best practice frameworks and lessened compatibility with the self-assessment approaches in the education sector and those adopted by some of the council's community planning partners.

E. CONCLUSION

Self-assessment is an important part of the council's Improvement Strategy, encouraging innovation from within and positively engaging employees in service planning and improvement.

The overall service scores have improved, with some services having achieved significant improvement from past years in WLAM scores, whilst others have seen more incremental positive change. The amendments to the WLAM unit groupings for the 2014/17 programme have addressed concerns of units being either too small or large.

The WLAM/Public Service Improvement Framework (PSIF) Framework has been revised by the Improvement Service through consultation with users of the PSIF. However the revised PSIF offering will impact on the links to EFQM, Customer Service Excellence and the Investors in People framework and is considered to offer a diminished framework.

F. BACKGROUND REFERENCES

None

Appendices/Attachments: 2
Appendix 1 – WLAM Unit Scoring Comparison
Appendix 2 – Process Overview – Validated Self-Evaluation and West Lothian Assessment Model

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Julie Whitelaw
Head of Corporate Services
23 August 2017

APPENDIX 1

West Lothian Council

WLAM Unit Scoring Comparison | 2011/13 to 2014/17

West Lothian Council Average	WLAM Units 2014/17	WLAM Assessments Completed (to date) 2014/17	Average Total Score 2014/17
	37	**37** (100%)	**468**

1. WLAM SCORING COMPARISON: 2006/07 – 2014/17

The average scores achieved by council services in the WLAM process in each criterion are outlined in the table for reference. There will be slight variation between sub-criteria, criteria and total scores due to calculations and weighting factors applied to determine the total scores. The criteria scores show consistent improvement in the council average across the four cycles, with significant improvement in Customer, People and Community Results as services have developed a more balanced suite of performance results to track success and achievement.

TABLE 1: WLC AVERAGE WLAM SCORES

	Cycle	Total Score	1 Leadership	2 Service Planning	3 People Resources	4 Partners and Other Resources	5 Service Processes	6 Customer Results	7 People Results	8 Community Results	9 Key Results
West Lothian Council Average	2006/07	316	48	42	43	45	42	22	17	13	45
	2008/10	385	54	39	44	47	70	55	16	7	54
	2011/13	411	58	56	54	57	57	46	21	20	42
	2014/17	468	63	58	55	58	54	53	35	40	51
	Change	+152	+15	+16	+12	+13	+12	+31	+18	+27	+6

2.1 WLAM SCORE – RANKING

West Lothian Council has 37 distinct WLAM units in 2014/17 cycle. The total was revised following changes in the WLAM unit structure due to organisational change in Education Services. For the purpose of this analysis, the WLAM units in Education Services are those used for the Review Panel process (previously assessed as one unit).

Table 2.1 provides a summary of the WLAM unit rankings to date based on the score achieved in the WLAM self-assessment process.

TABLE 2.1: WLAM UNIT RANKING BY QUARTILE (WLAM SCORE 2014/17)

Quartile 1 WLAM Units – Scores	Quartile 2 WLAM Units – Scores	Quartile 3 WLAM Units – Scores	Quartile 4 WLAM Units – Scores
1. Financial Management (542)	10. Criminal and Youth Justice (488)	19. Building Services (471)	29. Public Transport (441)
2. Customer and Communities Services (524)	11. IT Services (487)	20. Fleet and Community Transport (469)	30. Corporate Communications (440)
3. Housing Operations (518)	12. Revenues and Benefits (485)	21. Active Schools and Instrumental Music (468)	31. Communities (435)
4. Legal Services (503)	13. Children and Families (482)	= Community Youth Services (468)	= Waste Services (435)
5. Economic Development (502)	14. Construction Services (483)	= Quality Improvement Team (468)	33. Facilities Management Services (423)
6. Audit, Risk and Counter Fraud (501)	15. Strategic Resources and Policy and Performance (481)	= Educational Psychology Services and ASN (468)	34. HR Services (420)
7. Property Management and Development (494)	16. Housing Need (477)	25. Environmental Health and Trading Standards (464)	35. Roads and Transportation (411)
8. Planning Services (493)	17. Advice Shop (476)	26. Community Arts (460)	36. NETs, Land and Countryside Services (403)
9. CSC (491)	18. Corporate Procurement (475)	27. Community Care Services (456)	37. Civic Centre Admin (378)
		Performance and Improvement Services (456)	

2.2 WLAM SCORE – IMPROVEMENT

A critical function of the WLAM programme is to support the council's Improvement Strategy and culture of continuous improvement. WLAM scores are used to track and monitor service improvement over time and ensure sufficient pace and direction of change in the service. Table 2.2 assigns services to a quartile, based on the change in WLAM score between 2011/13 and 2014/17 cycles. All services in the council increased their overall WLAM score from 2011/13.

TABLE 2.2: WLAM UNIT IMPROVEMENT BY QUARTILE (IMPROVEMENT ACHIEVED IN WLAM SCORE FROM 2011/13)

Quartile 1 WLAM Units – Improvement	Quartile 2 WLAM Units – Improvement	Quartile 3 WLAM Units – Improvement	Quartile 4 WLAM Units – Improvement
1. Customer and Communities Services (117)	9. Housing Need (76)	18. Property Management and Development (56)	24. Educational Psychology Services and ASN (35)
2. Planning Services (93)	10. Building Services (70)	= CSC (56)	= Active Schools and Instrumental Music (35)
3. Economic Development (91)	11. Corporate Procurement (69)	20. Strategic Resources and Policy and	= Community Youth Services (35)
= Construction Services (91)	= Housing Operations (69)	Performance (48)	= Quality Improvement Team (35)
5. Community Care Services (89)	13. Legal Services (66)	21. Fleet and Community Transport (43)	28. Audit, Risk and Counter Fraud (33)
6. Communities (88)	14. Environmental Health and Trading Standards (62)	22. Advice Shop (41)	29. Criminal and Youth Justice (25)
7. Children and Families (87)	15. Waste Services (60)	23. Roads and Transportation (38)	30. Facilities Management Services (24)
8. Community Arts (79)	16. IT Services (59)		31. NETs, Land and Countryside Services (20)
	= Revenues and Benefits (59)		32. Financial Management (19)
			33. HR Services (19)

Four services do not have comparative data from 2011/13 and these are: Civic Centre Admin, Corporate Communications, Performance and Improvement and Public Transport.

2.3 REVIEW PANEL – CYCLES

At the end of the assessment process services/units attend a Review Panel to determine the level of scrutiny that the service will be subject to throughout the cycle – based on WLAM scores and performance results. The Review Panel in the WLAM programme 2014/17 has three possible outcomes:

- Cycle 1: return to the panel within three years
- Cycle 2: the Performance and Improvement will return a report to the Panel within 12 months, who will determine if the service are to move to Cycle 1 or 3
- Cycle 3: the service must return to the Review Panel no later than one year (12 months) from the date of the last report

Table 2.3 identifies the services on each cycle and also details the current WLAM score achieved by the service. Higher scoring services can be placed on cycles 2 or 3, should the Panel determine that there is some risk of performance declining (due to internal or external factors) or concern about the pace of improvement in the service.

TABLE 2.3: WLAM UNIT IMPROVEMENT BY CYCLE (WLAM SCORE 2014/17)

Cycle 1 WLAM Units	Cycle 2 WLAM Units	Cycle 3 WLAM Units
1. Financial Management (542)	1. Housing Operations (518)	1. Strategic Resources and Policy and Performance (481)
2. Customer and Communities Services (524)	2. Legal Services (503)	2. Fleet and Community Transport (469)
3. Economic Development (502)	3. Planning Services (493)	3. Educational Psychology Services and ASN (468)
4. Audit, Risk and Counter Fraud (501)	4. CSC (491)	4. Active Schools and Instrumental Music (468)
5. Property Management and Development (494)	5. Children and Families (482)	5. Community Youth Services (468)
6. Criminal and Youth Justice (488)	6. Housing Need (477)	6. Quality Improvement Team (468)
7. IT Services (487)	7. Corporate Procurement (475)	7. Public Transport (441)
8. Revenues and Benefits (485)	8. Building Services (471)	8. Roads and Transportation (411)
9. Construction Services (483)	9. Environmental Health and Trading Standards (464)	9. Civic Centre Admin (378)
10. Advice Shop (476)	10. Community Arts (460)	
11. Performance and Improvement Services (456)	11. Community Care Services (456)	
12. Facilities Management Services (423)	12. Corporate Communications (440)	
13. HR Services (420)	13. Waste Services (435)	
14. NETs, Land and Countryside Services (403)	14. Communities (435)	

3.1 WLAM SCORES: WEST LOTHIAN COUNCIL AVERAGE

It is estimated that the majority of council services will fall within the scoring range 450-500 in the 2014/17 cycle, with a small proportion (target of 10% of units) expected to score over 500. A score of over 500 represents a service with effective service plans, policies and processes and a mature set of performance results. The council target is to have no service scoring below 400. However one unit at the beginning of the cycle achieved a score of 378.

TABLE 3.1: AVERAGE WLAM SUB-CRITERIA SCORE CHANGE

	Cycle	WLAM Score	1a	1b	1c	2a	2b	2c	2d	3a	3b	3c	3d	3e	4a	4b	4c	4d	5a	5b	5c	6a	6b	7a	7b	8a	8b	9a	9b
West Lothian Council Average	2011/13	411	58	57	60	58	53	59	54	57	55	58	55	47	58	61	55	53	58	60	54	33	25	23	18	20	20	23	32
	2014/17	468	65	62	63	61	59	56		58	53	56	55	56	58	60	57	56	56	54	54	36	34	36	30	40	40	34	34
	Change	+57	+7	+5	+3	+3	+6	-3		+1	-2	-2	0	+9	0	-1	+2	+3	-2	-6	0	+3	+9	+13	+12	+20	+20	+11	+2

3.2 ENABLER SCORING ANALYSIS

The enabler criteria in the WLAM are scored by evaluating the approaches (plans, policies and processes) the service has developed, how effectively they are implemented and how they are improved through measurement of success and through learning and innovation.

TABLE 3.2: AVERAGE ENABLER SUB-CRITERIA SCORE AND ANALYSIS 2014/17

Criteria	Sub-criteria	2014/17 Average	Highest Score 2014/17	Lowest Score 2014/17	Highest Scoring Service	Comment
1 Leadership	1a Planning for the future	64	80	55	Housing Need & Legal Services (75)	In all but one cycle (2008/10) Leadership has been the highest scoring WLAM criteria for the council. This remains the case in the 2014/17 cycle, with average scores to date achieving an incremental increase in each sub-criterion, with the largest improvement in Leadership achieved in sub-criterion 1a, which focuses on future planning and strategy.
	1b Creating a positive culture	61	75	50		
	1c Engaging customers, partners and other stakeholders	62	75	50		
2 Service Planning	2a Strategy and plans	60	75	43	Housing Operations (68)	There has been a decline in the average score for section 2c performance management. This is due to ongoing corrective work on service standards and improving the quality of benchmarking, though generally services have still to refine the way they collate data and measure, monitor and report performance information.
	2b Communicating and consulting with customers, partners and stakeholders	58	70	45		
	2c Performance management	54	75	30		
3 People	3a Planning and managing people	57	65	35	Advice Shop, Housing Operations & Legal Services (63)	Three out of five sub-criteria saw an incremental decline in the average scores, with some services highlighting issues with staff development, engagement and communication. People also appear to feel less empowered and have less opportunity to get involved in service improvement. There has been an increase in 3e which focuses on reward, recognition and welfare in the workplace.
	3b Developing people	53	65	30		
	3c Involving people	56	65	35		
	3d Communicating with people	54	60	40		
	3e Recognising and caring for people	55	65	40		
4 Partnerships and Resources	4a Managing partnerships	58	70	45	Customer and Communities Services (70)	For the management of resources, two out of the four sub-criteria, 4a partnership working and 4c management of information resources, have achieved the same average score. There has been a dip in 4b for management of financial resources but, conversely, there is an improvement in the average score for asset management.
	4b Managing financial resources	59	75	50		
	4c Managing information resources	54	70	40		
	4d Managing assets and other resources	54	70	45		
5 Services and Processes	5a Managing customer needs and expectations	54	65	35	Customer and Communities Services (68)	The average scores in Services and Processes have dipped so far in this cycle. The focus of this section is how service design, deliver and improve services to meet customer needs efficiently. The largest shift has been in 5b which assesses; resolution of enquiries, access to services and improving the customer journey.
	5b Developing services around customer needs	53	60	30		
	5c Reviewing and improving service delivery	52	65	35		

3.3 RESULTS SCORING ANALYSIS

The results criteria in the WLAM are mainly scored using the performance indicators held in Covalent, the council's performance management system (other credible sources can be considered).

Achievement is assessed against service/statutory targets and, for key measures, against comparators' performance. Important factors are whether the service can demonstrate sustained good performance *and* a capacity to improve performance. The relevance of the measures established by the service and integrity of data used are also assessed as part of the overall score for each sub-criteria.

TABLE 3.3: AVERAGE RESULTS SUB-CRITERIA SCORE AND ANALYSIS

Criteria	Sub-criteria	2014/17 Average	Highest Score 2014/17	Lowest Score 2014/17	Highest Scoring Service Overall	Comment
6 Customer Results	6a Perceptions	35	46	28	Revenues (68)	The sub-criteria scores increased in this cycle as service data improved, providing more credible results and therefore a higher score. A step change will be targeted in the next cycle for 6a results as the number of services with 3-4 years of satisfaction data will have increased significantly.
	6b Internal Measures	33	50	22		
7 People Results	7a Perceptions	36	50	26	Financial Management (46)	The sub-criteria scores increased in this cycle as service data improved, proving more credible results and therefore a higher score. Sub-section 7b has the lowest scoring results overall as the range of indicators has not sufficiently developed across the council, beyond absence management information.
	7b Internal Measures	30	39	19		
8 Community Results	8a Perceptions	40	n/a	n/a	n/a	This section is scored corporately. The significant increase is due to improved information in relation to societal results such as; energy efficiency, business mileage, print levels and compliance with statutory matters such as PSN, FOI, EIR and subject access requests.
	8b Internal Measures	40	n/a	n/a		
9 Key Results	9a Efficiency	33	49	24	Financial Management (76)	The sub-criteria scores increased in this cycle as service data improved, proving more credible results and therefore a higher score. A step change will be targeted in the next cycle for 9b results as the number of services with 3-4 years of performance data for key services/processes will have increased significantly.
	9b Effectiveness	34	52	24		

4 WLAM OUTCOMES BY SERVICE AREA

Service	WLAM Units	Assessments Completed	Average WLAM Score	Cycle 1 WLAM Units	Cycle 2 WLAM Units	Cycle 3 WLAM Units
Corporate Services	7	7 (100%)	451	3	3	1
Housing, Customer and Building Services	5	5 (100%)	496	1	4	-
Operational Services	6	6 (100%)	430	2	2	2
Finance and Property Services	6	6 (100%)	497	6	-	-
Education Services	6	6 (100%)	470	-	1	5
Planning and Economic Development	4	4 (100%)	474	1	3	-
Social Policy	3	3 (100%)	475	1	2	-

APPENDIX 2

PROCESS OVERVIEW - VALIDATED SELF EVALUATION

VSE Process
VSE aims to build the capacity of schools to evaluate their own performance and improve the quality of outcomes for learners and families. It is:

- Focused on outcomes
- Proportionate to need
- Flexible, with scope to recognise differences in school contexts
- Rigorous and transparent

VSE Process in West Lothian Council			
Stage 1	Stage 2	Stage 3	Stage 4
Annual VSE programme agreed and school informed. Initial meeting to agree scope of VSE and membership of team with Head Teacher. Head Teacher plans a 2 hour scoping meeting where all members of the core team agree activities and responsibilities to develop the timetable of activity for the week.	VSE week takes place at the end of which the core team summarises strengths and areas for development to enable the school Self Evaluation Summary to be affirmed and/or strengthened.	School Improvement Plan reflects the findings to enable the school to move forward in learning. The Education Officer writes a committee report based on the findings for the Education Quality Assurance Committee (EQAC).	Committee agrees on one of two possible outcomes: 1. The school is judged to have a strong capacity for self-improvement and continues within the rolling programme of VSEs. 2. The school is judged to require further support and a report to EQAC will update on progress within an agreed timescale and within one year of the original report.

In the lead up to the VSE process, the school head teacher will be informed that they are on the WLC VSE programme and a preliminary meeting is held between the head teacher and an education officer to ensure that the head teachers is fully briefed on the process. From there a date for a scoping meeting is decided and the full team is invited and briefed by the head teacher (2 hours). A date for the VSE is agreed and this takes place over a period of one week.

Resource
Although led by the school, VSE has collaboration between the school leadership team and staff and the Quality Improvement Partners and Education Officers (EOs). This supports challenge and enhances the school's self-evaluation process.

The number of people participating will vary according to the size of the establishment and the scope of the VSE. The core team is usually between 4 and 6 members and will include the head teacher, education officer, and one or two head teacher colleagues (peers), Educational Psychologist and nominated school staff. This team can be extended to other partners who can participate in evaluation activities and report findings to the core team.

The collaborative approach taken to VSE was highlighted in the EFQM European Excellence Award Assessment preliminary feedback as an organisational strength, with assessors suggesting that these methods may offer learning opportunities for other sectors.

Process Outputs
The self-assessment process will provide the following outcomes:

1. Assessment of relative strengths and weakness of the school against a consistent good practice quality framework;

2. Ratings that can be used to compare the performance and progress of the school over time and benchmark practice with comparator schools;
3. An improvement plan;
4. An internal assessment of risk (in regard to performance) and recommendations for improvement and future scrutiny;
5. Management information that can be used by the central support team and chief officers to track, monitor and improve education performance issues.

Framework
VSE teams use How Good is Our School 4th Edition (HGIOS4), How Good is Our Early Learning and Childcare (HGIOELC), the National Care Standards and the National Improvement Framework. VSE is structured around the three high level questions from HGIOS4 that asks schools to consider:

- How good is our leadership and approach to improvement?
- How good is the quality of the care and education we offer?
- How good are we at ensuring the best possible outcomes for all our learners?

Reporting
Head teachers are required to report outcome and improvements from the VSE process to the Education Quality Assurance Committee (EQAC). The committee is attended by the Head of Service and the head teacher and is used to provide additional challenge and scrutiny of school performance.

A version of the Review Panel scrutiny process from the WLAM programme is also being used for schools to ensure sufficient internal scrutiny for school progress and improvement. To date, three secondary schools, three primary schools and one special school has brought a report to a panel of the Chief Executive and two of the Depute Chief Executives.

PROCESS OVERVIEW - WEST LOTHIAN ASSESSMENT MODEL

WLAM process
The WLAM self-assessment process is categorised in four stages, with support for the service at each one from the Performance and Improvement Service.

WLAM Process in West Lothian Council			
Stage 1	Stage 2	Stage 3	Stage 4
WLAM programme (3 years) and timescales cascaded to service managers. Service manager selects assessment team. Self-assessment team (1 hour) meet for a briefing with the facilitator and to assign pre-work and agree timescales.	Pre-work: the self-assessment team provide evidence and justification for the framework criteria and identify the areas for improvement.	Consensus: the self-assessment team meet for a facilitated* consensus session to finalise assessment and score. Improvements identified in the process will be prioritised and agreed as improvement actions for the service.	Service manager attends a panel of senior officers to present WLAM results and overall service performance. Outcome of the panel will determine the improvement cycle (1 or 3 years). Manager and Head of Service to report to the Performance Committee.

** Consensus or assessment day is facilitated by a qualified EFQM assessor to support the team and validate the assessment findings.*

Stages 1 to 3 of the process should be completed within 4-6 weeks and the service will attend the Review Panel (stage 4) within two months of completing the assessment.

The appropriate level of assessment within the organisational structure is an important factor in the effectiveness of the process. WLAM units that are too small or large will find the process equally challenging in terms of identifying relevant evidence and areas for improvement. General characteristics for a WLAM unit is a recognised service area (by enabler services HR, Financial Management and Performance and Improvement), with:

- Distinct service area identified within a Management Plan and activity budget;
- Service manager (tier 3) responsible for the service activity.

There are exceptions to these general WLAM unit characteristics, with some services being assessed jointly due to overlapping priorities, activities and resources.

Resources
The WLAM programme is managed and the process is fully facilitated and validated by EFQM accredited assessors from Corporate Services.

The service manager will select the self-assessment team, representative of the different teams, tiers and occupations within the service. The team will have around 10 members, who will be released from regular duties to attend the training, complete the pre-work and attend the consensus day.

Process Outputs
The self-assessment process will provide the following outcomes:

1. Assessment of relative strengths and weakness of the service against a consistent good practice quality framework;
2. Scores that can be used to compare the performance and progress of the service over time and benchmark practice with other services in the council and outside the council;
3. An improvement plan;

4. An internal assessment of risk (in regard to performance) and recommendations for improvement and future scrutiny;
5. Management information that can be used by the central support team and chief officers to track, monitor and improve corporate performance issues.

Framework
The WLAM framework has nine criteria that are clustered under two groupings. The first (results) assesses what the service has achieved and the second (approach) assesses how it was achieved. This establishes the overall impact of the service and importantly, whether this level of performance can be sustained along with the capacity in the service for improvement.

The approaches used by the service, including the development and implementation of plans, strategies, policies and procedures to achieve outcomes and priorities, are all assessed against the five WLAM criteria. This evaluates the effectiveness of; (1) leadership; (2) service planning; (3) people strategies and management; (4) the management and use of resources; (5) the design, delivery and improvement of service processes.

The results achieved by the service represent 50 percent of the total WLAM assessment score. Performance is evaluated in four results criteria: (6) Customer Results; (7) People Results; (8) Community Results and (9) Key Results and each demonstrates distinct types of achievement. Thus, a balanced view of performance is assessed, including; the overall satisfaction of their customers and the quality of service customers have received, the implementation and success of people strategies and finally, the efficient and effective use of resources in delivering the key processes, outcomes and priorities.

The scoring matrix used in WLAM requires services to demonstrate benchmarking information against results, validating and encouraging improvement in service performance with relevant comparators.

Reporting
Services are required to attend a performance review panel, chaired by the Chief Executive, on a scheduled and proportionate basis. The panel is attended by the relevant Head of Service and the service manager and is used to scrutinise performance, progress and the management of the service and determine the level of internal scrutiny that the service will be subjected to in future years.

Services are also required to attend a Performance Committee, chaired by and comprising elected members, on a scheduled basis. The committee is attended by the relevant Head of Service and the service manager and is used to provide additional challenge and scrutiny of service performance.

DATA LABEL: PUBLIC

West Lothian Council

PARTNERSHIP AND RESOURCES POLICY DEVELOPMENT AND SCRUTINY PANEL

ADVICE SHOP CONTRIBUTION TO MITIGATING THE EFFECTS OF POVERTY

REPORT BY HEAD OF FINANCE AND PROPERTY SERVICES

A. PURPOSE OF REPORT

The Advice Shop has the lead responsibility for co-ordinating and developing the Anti-Poverty Development Group's annual action plan which contributes to the outcomes of the Community Planning Partnership's *Better Off: West Lothian Anti-Poverty Strategy 2014-17.*

The purpose of the report is to inform the panel of the work undertaken by the Advice Shop from April 2016 to March 2017 which evidences the contribution and impact it makes in supporting West Lothian residents to maximise their income, keep warm, remain in their homes, manage debt, become financially included and to be 'better off'.

B. RECOMMENDATION

It is recommended that the Panel notes the positive achievements of the Advice Shop in relation to actions to implement the agreed anti-poverty strategy.

C. SUMMARY OF IMPLICATIONS

I	**Council Values**	Focusing on our customers' needs; being honest, open and accountable; providing equality of opportunities; making best use of our resources; working in partnership
II	**Policy and Legal (including Strategic Environmental Assessment, Equality Issues, Health or Risk Assessment)**	None.
III	**Implications for Scheme of Delegations to Officers**	None.
IV	**Impact on performance and performance Indicators**	Performance is measured via a range of indicators in covalent.
V	**Relevance to Single Outcome Agreement**	Outcome 6 – We live longer healthier lives. Outcome 7 – We have tackled significant inequalities in West Lothian society. Outcome 8 – We have improved the life chances for people at risk. Outcome 13 – We take a pride in a strong, fair and inclusive society.

VI	**Resources - (Financial, Staffing and Property)**	None.
VII	**Consideration at PDSP**	None.
VIII	**Other consultations**	None.

D. TERMS OF REPORT

The Advice Shop's Annual Report covering the period April 2016 to March 2017 (appendix 1) highlights a range of projects and initiatives but does not cover all the activity the Advice Shop undertakes.

The Anti-Poverty Strategy is clear about the need to reduce the inequalities gap and tackle the causes of inequality. The Advice Shop has continued to identify gaps in provision, raise awareness of entitlement, develop campaigns and ensure that those seeking advice have their needs met, where possible, at first point of contact. Consequently, the Advice Shop has improved the financial circumstances of West Lothian residents by almost £28million. Income has been maximised through detailed benefits work to reduce the levels of financial hardship, stress and isolation. Importantly, customers indicate that as a result of seeking advice they feel less stressed and anxious, are more aware of their situation and feel confident they can make decisions to manage their finances.

The Anti-Poverty Strategy aims to ensure that people are equipped to cope with the challenges they currently face and that West Lothian adults are empowered to make responsible financial decisions. The Advice Shop has advised, educated and empowered customers to access financial and other support by increasing access to the service. There are 23 pop up sessions across the county, a range of self-help guides have been produced, potential customers and front-line staff have been encouraged to telephone for advice, work has been undertaken to improve information on the council's website, and there is increasing use of the on-line referral form. A core aim of the service is to empower people to help themselves. With over 60,000 enquiries last year, advisors worked with customers to help them understand the options and be clear that the decisions made as to which option is best, is for the customer to make. Thereafter, the advisor will outline what the service can do to help and what the customer needs to take responsibility for. Advisors and customers work together and build up a relationship built on trust, responsibility and respect.

For some of the most vulnerable customers, it is important the Advice Shop works with trusted professionals to support engagement. Work has been undertaken with Alzheimer Scotland, Carers West Lothian, HMP Addiewell, NHS Lothian and West Lothian Food Bank, along with council services to build understanding, knowledge and confidence in referring to the service. Where appropriate, sessions are undertaken at the partner's premises and there is on-going dialogue with partners to ensure that all circumstances are taken into account to support a positive outcome. For those customers who are experiencing long term, enduring poor mental health, issues around trust and relationships can be complex. With funding through the European Social Fund, a one-2-one project commenced in October 2016. This project offers tailored, on-going advice with a named advisor to support customers to stabilise their financial position. To date, there have been very positive outcomes associated with this project and health care professionals are making good use of the resource.

The Advice Shop also supports work around rent arrears. Working alongside colleagues, the service has engaged with customers to support individuals to manage their debt and begin to pay their arrears. In total, the service supported 655 families to remain in their homes. It has helped customers manage £8 million of debt; over a third of which is managed through formal Scottish Government debt schemes. Many low income households have increasing amounts of high cost credit which makes it difficult to manage and sustain repayment. West Lothian along with Fife and Falkirk councils have procured the services of Conduit Scotland, which is a not-for-profit Community Development Finance Institution, to provide fair and affordable loans. The Advice Shop will work in partnership with Conduit Scotland to provide a range of advice, advocacy and money advice to all customers.

With the on-going welfare changes, there continues to be an increase in the number of appeals against decisions made by the Department of Work and Pensions which customers think are wrong. HM Courts and Tribunal service has indicated it anticipates a 60% increase for the forthcoming year. The Advice Shop has shared practice with Falkirk, Perth and Kinross and Edinburgh Councils to make improvements to delivery and has invested in a range of on-going training, coaching and mentoring to build on staff skills. Over the reporting period, the Advice Shop has won 75% of appeals which compares well to benchmarks with other councils and the Department of Work and Pensions.

The Advice Shop provides additional support to the most vulnerable clients through the work of our volunteers. Over the year, the service has recruited, trained and worked with 37 volunteers and offered volunteer placements including: support to attend a medical appointment, IT buddies, communication assistants to support the Polish session, support to complete Personal Independent Payment and Disability Living Allowance forms, and Macmillan Cancer Support information. Volunteer opportunities are marketed through multi-media channels, recruited in line with the Volunteer Standards and, there is a considerable training commitment. Volunteers add considerable value through one-to-one support, providing a listening ear and assisted 862 customers to continue to engage with services.

E. CONCLUSION

The attached Annual Report demonstrates the wide range of activities and projects undertaken which is clearly linked to the Anti-Poverty Strategy and, the impact on customers, shows the difference this makes to individuals, families and communities.

F. BACKGROUND REFERENCES

Better Off: West Lothian Anti-Poverty Strategy

Appendices/Attachments: Appendix One: Advice Shop Annual Report 2016-17

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Donald Forrest
Head of Finance and Property Services

23 August 2017

Advice shop

Annual Report 2016-17

Better off
West Lothian

West Lothian Council

What we do

The Advice Shop is a free, impartial and confidential service to help the people of West Lothian with a focus to alleviate poverty and to promote inclusion and equality through advice, assistance and advocacy.

Our aim is to ensure that everyone in West Lothian has access to a free, quality advice service. The service supports local people to access information, advice, advocacy and representation. By helping households to: increase their disposable income, access fuel advice, manage their debt, remain in their homes, improve their budgeting skills, and appeal benefit decisions made by the Department for Work and Pensions, the Advice Shop helps people to get the support they need to resolve their problems.

The service treats everyone as an individual, ensuring they are able to get help in the way that works for them and meets their needs. We do this by:

- Treating all our customers with dignity, respect and courtesy.
- No one having to wait more than 45 minutes to be seen face to face by an advisor.
- Responding to telephone calls within twenty four hours and answering written or email correspondence within two working days.
- Assessing the enquiry and providing accurate and impartial advice offering options to resolve the issue.
- Keeping customers up-to-date on the progress of their enquiry; advising them of what will happen at the next stage and any action to be taken by both advisor and customer.
- If we are unable to get in touch we will make three attempts to contact the customer before closing the case.
- We hope customers will tell us the outcome of the enquiry, if not we will aim to contact them to discuss the result and to offer appropriate follow up advice.

99.8% customers rated the overall quality of service as excellent or good

99.8% of customers rated the attitude of staff as excellent or good

98.6% of customers rated the timeliness of the service as excellent or good

(Based on result of customer surveys conducted during 2016/17)

Improving access to advice

Customers encounter challenges and problems that they do not know how to deal with and they need help to overcome. Sometimes these issues can be quickly resolved. Other times it is not that simple. More complex situations rarely come neatly packaged up as a single problem and may require more in-depth support from our service. The Advice Shop provides both generalist and specialist advice and understands the way people's problems can interact and overlap. Getting good advice, quickly and easily can help customers to make informed decisions to stop the problems escalating.

Over the past year, the service has worked with customers and partners to increase access to advice in a variety of ways.

23 pop up sessions available across the county

- Drop in, no appointment needed at the Advice Shop in Bathgate
  8.30am – 5pm Monday – Thursday
  8.30pm – 4pm Friday
- Over the telephone for either customers or professionals looking for information and advice.
- Lots of information, advice, handy hints and links to other organisations is available through our website pages.
- Email with your enquiry by completing the on-line referral form and, depending on your enquiry; we will either respond by email or telephone you.
- Appointments to discuss more complex issues.
- Self-help guides.

Helping people to help themselves:

At the heart of our approach is the belief that the best way to help people in financial difficulty is to empower them to help themselves. Our information booklets support customers to understand their options and give them the confidence to take the next steps. This self-help approach allows people to manage their own situation.

Responded to over 1600 on-line referrals

Received 39,915 hits to our website pages which provides up-to-date information and advice

Answered 32,763 telephone calls

Improving Financial Capability

Financial capability means improving people's ability to manage money well, both day to day and through significant life events, and their ability to handle periods of financial difficulty. It supports people to develop financial skills and knowledge, and gain access to financial services. The Advice Shop helps through:

Council New Build Project

Tenants are invited to have a benefit check prior to taking up a new build tenancy. We want to make sure that prospective tenants understand their income and outgoings, maximise their income through take up of entitlements and consider their options regarding an increase in rent and potential expenditure on a new home. In the last year, there were 149 referrals; 95% engaged with the project. Customers all received a benefit check and, where appropriate, support to complete claims along with the offer of budgeting advice. The average increase in benefit was £2969.

Budgeting Support Project

With the introduction of Universal Credit, there has been a significant change in how customers receive their benefit payments. To help people through this change and to improve their budgeting skills, an advisor works with them over a period of time offering one-to-one meetings, workshops on specific topics and self-help packs.

The advisor works with the customer to: establish income and expenditure, review direct debits and regular payments, support clients to prioritise their outgoings, help clients to switch & save with utility suppliers and insurance providers and, request Alternative Payment Arrangements from the Department for Work and Pensions. Building up a trusted relationship has been a pivotal part of this project as the advisor has found people have presented with rent and council tax arrears, fuel supplier issues as well as many other debts after initially discussing budgeting.

Financial capability workshops were held as part of the Home Start monthly family group sessions. At the end of the workshops participants found they had learned simple ideas to save money, the benefits of price comparison sites, finding out more about who is out there to help and information on affordable credit.

> *They were all so positive in their evaluations and sitting in on the sessions there was a good feeling. They were all very open and happy to discuss - this is fab because they often feel like they're the only one who is going though whatever they're struggling with".* ***Home Start Worker***

Young Parents project

Many young people struggle to manage their money and, often when they have become parents, there is a significant added pressure of providing for their family. In partnership with Children 1st, a family support worker and money advisor worked together to target vulnerable young parents with children aged 0-8 years. The advisor and support worker looked at the whole family, building up a trusting and secure relationship. Over time, parents learned what to do to manage their budget, borrow responsibly and manage their household income – for many it was the first time they had been in control of their finances. Importantly, parents have been able to build lasting and effective connections between quality advice providers and trusted sources of support.

Peter

Peter was 22; it was evident his life was very chaotic and he was fighting for custody of his six year old son. Peter had accrued massive debts, owing the local authority over £8000 in rent and council tax arrears. Peter was already engaged in court action for rent arrears. The family support worker and money advisor began to work closely with Peter to ensure his income was in place. The money advisor applied for housing benefit to cover his weekly rent charge. The advisor referred him to the Court Advice project to represent him at court. This helped him to secure his tenancy and would help him to have a home for his son should he gain custody. It took several appointments, home visits, calls and letters to get Peter to look seriously at his options going forward. As the advisors gained the trust of Peter and he felt more secure, he disclosed that he had had an addiction problem from a young age. A referral was made, with his consent, to the Social Work Addictions team.

He was awarded full custody of his son and became his sole guardian. This allowed the money advisor to apply for further benefits. The support worker committed many hours each week to help Peter find some part time work; he was successful in gaining a temporary contract spraying cars. This built his confidence and allowed the money advisor to revisit the whole financial situation with him again. Through intense multiagency assistance, he completed a successful minimal asset bankruptcy.

Peter is now debt free, has a part time job, a secure tenancy with no threat of eviction, addiction free and continues to attend the project for support and to meet other young dads.

We have:

Worked with **14,463** customers

52% are council tenants

77% are working age

Dealt with **60,320** enquiries

Resolved **16** complaints down from **17** last year

Provided support and advice:

Delivered over **100** workshops, presentations and briefings to help front line staff and customers understand better what they are entitled to

Offered **2500** appointments to provide tailored advice

Sent **3073** texts to remind clients of appointments, paperwork and key dates

Made a difference:

Gained **£27.9m** of income for customers

Helped customers to manage **£8m** of debt

36% of money advice customers were supported to enter into a Scottish Government debt scheme including bankruptcy and sequestration

Won **75%** of all appeals which meant customers received over **£1m** of benefits

Supported **655** households to remain in their home through preventative work

Assisted customers to make **£77,467** in fuel savings

Impact on customers:

99% of customers stated they had a better understanding of their situation

93% of customers indicated they feel less stressed and anxious about their finances

96% of customers stated they were more confident in making decisions to improve their situation

92% of customers felt they were more aware of how to manage their finances

(Based on results of customer surveys conducted during 2016/17)

Provide additional support

Volunteering gives me a purpose in life.
Volunteering brings out the potential you didn't know you had.
Volunteering allows you to grow and develop and take on new challenges.
Volunteering can help build your CV and to eventual employment".

Macmillan @ West Lothian cancer information and support service

2016 saw the opening of the Macmillan @ West Lothian Cancer Information and Support Service. Funded by Macmillan Cancer Support and delivered through the Advice Shop, the new service aims to ensure that no-one in West Lothian faces cancer alone. A network of information and support hubs will be available across the county, providing time to talk, a listening ear, access to high quality information on the non - clinical aspects of living with cancer and referrals to local services such as benefits advice and counselling. The first drop in hub opened in Bathgate Partnership Centre in May 2016, followed by Strathbrock Partnership Centre in January 2017. Three further hubs will be established in 2017/18. Although 3 members of staff are employed by the project, volunteers are responsible for the day to day running of the service. 14 committed volunteers are involved in the project.

I learn new skills, meet new people and help others every time I volunteer".
Mary Reynolds, Macmillan Information & Support Volunteer

Elaine

My husband and I walked down to the Macmillan drop-in and, after a chat and a cup of tea, the volunteers made a referral to the benefits team as most of my benefits including disability benefits had been affected. You can tell the volunteers what you can't sit and talk to family about as you don't want to worry your family and it is all private. My benefit issues have all been sorted with a great outcome and I am now more positive and worry less.

My family has also been supported and the information provided in the form of leaflets, books and website information has allowed them feel less anxious and, as a result, we are a lot closer than we've ever been. We are now as a family able to talk about my cancer openly. If I was to sum up the service it would be "Lifesaving".

Advice Shop Volunteers

The Advice Shop works with an additional 23 volunteers who support customers as:

Disability Benefit Volunteers **–** Assisting customers to complete disability claim forms at pre-arranged appointment sessions.

Volunteering for the Advice Shop has enabled me to help people with various medical conditions. I fill out forms for them as these forms are difficult and awkward for them to do so. I am happy I trained within the Advice Shop as I have learned a lot about medical conditions and mental health issues". ***Janet Cooper, Disability Benefit Volunteer***

Customer Impact

"Perfect help, so glad I made this appointment"

"Appointment couldn't have been handled any better in an understanding and sensitive manner. Volunteer had the ability to empathise with daily struggle"

Disability Buddies – support individual customers who have to attend disability benefit medical assessments in Edinburgh and other areas as part of their claim for benefits.

Volunteering can give you a real sense of purpose; the opportunity to meet other people and also to access relevant training that is hugely beneficial from a personal perspective but also for future job prospects ".
Claire Watt, Disability Benefit Volunteer

Garry

I had a Buddy for my last Employment Support Allowance assessment. I went alone to previous assessments, and I felt more confident and less stressed having my Buddy, Claire, with me. We had a meeting a few days before the assessment and that was a big help because I knew who was going with me. She met me in Edinburgh and stayed with me during the assessment. At the assessment, my mind went completely blank once or twice. Claire reminded me about the things I forgot to say.

The service was great, very supportive and lots of people would benefit from it".

Advice Shop Volunteers *continues*

Communication Volunteers – assist customers who are not confident in speaking English to communicate with Advice Shop Advisors at regular Polish session appointment slots.

IT Buddies – support members of the public to get online and use IT. This could be in local libraries, groups or in Access2employment Work Clubs. IT Buddies have worked with a number of partners including Bield Housing, Braid House, West Lothian 50+ Network, and Rosemount Gardens to make computers and the internet more accessible.

IT Buddies have assisted customers to get to grips with new technology and gain confidence in their ability to use their own devices; become better connected with others using email, Skype and social media and access online services such as Universal Jobmatch or online shopping.

Volunteers contributed a total of 1923 hours of support

Recruited, trained and supported 37 volunteers to better support some of our more vulnerable customers

Provided 862 customers with extra support through our volunteers

100% of volunteers who participated in our annual Volunteer Survey agreed or strongly agreed that volunteers are valued and are happy with the way their volunteering is managed and organised.

Targeting those most in need

With the on-going changes to the benefits system, some of the most vulnerable people in our community have been adversely affected. For many, these changes have had a big impact and people can often feel isolated or that things are out of control.

This makes it hard to think clearly and to take action. The service has worked with trusted professionals and partners to develop new ways of delivery, creating a more holistic and sustainable solution to help people more effectively.

Alzheimer Scotland

The on-going changes individuals and their families face as a result of a dementia diagnosis can be overwhelming; part of that is the worry about their changing financial situation. Working with Alzheimer Scotland, a referral pathway has been developed for professionals working with clients with memory problems, a Dementia or Alzheimer diagnosis.

We have allocated an advisor to this partnership. The advisor has undergone specific training, built up knowledge of the type of enquiries and issues. A key element has been to become 'the kent face' to help build trust with customers and their families. As a trusted partner, the advisor attends a monthly advice session at Alzheimer Scotland's premises, pops into all of the dementia café sessions in the community and champions awareness of the specific needs of this customer group. As a result, all of the Advice Shop advisors have participated in training and are recognised as 'dementia friendly'.

As part of the service's drive to raise awareness of the financial help and support on offer, £172 was raised through a recently hosted "Tea and a Blether" party.

Worked with 150 new customers

Increased income by £297,614

Dealt with 450 enquiries

Families Included

The Families Included Service supports families by focusing on early intervention to prevent potential issues from escalating. This service targets the most vulnerable families in West Lothian and provides a holistic service with the aim to improve life chances and choices by removing barriers and creating opportunities.

A key component of the help on offer is to support families to access entitlements, manage their debts and work with their housing providers to help them keep their home. Often these are complex issues requiring longer term support. In the last year we have worked with 86 families and provided a weekly session to help maintain contact and support. The advisor works in partnership with other services to provide positive outcomes to families whilst minimising substantial stress and pressures.

Capability Scotland

As part of the advice offer, the Advice Shop attends the Ability Centre and works with Capability Scotland to support those with complex needs; physical, neurological, and brain injuries. Appointments are managed by Capability Scotland to ensure that customers get one to one support tailored to their circumstances giving them the time and space to discuss complex and personal needs. We worked with 91 customers in the last year.

Court Advice Project

For those households who are at the doors of court and potentially facing eviction, we operate a drop in advice session and offer court representation. We advocate on customers behalf, work with their housing provider, look at the circumstances surrounding arrears and assist with income maximisation, and backdate requests to help people stay in their home. A key focus of the work is on preventative measures which should, in future, stop households arriving at the doors of court. We dealt with 573 court enquiries and prevented 655 evictions in the last year.

Macmillan Cancer Support

Advisors offer support to anyone who has a cancer diagnosis living in West Lothian, attending the Western General Hospital or St John's Hospital in Livingston. Over the last year, we have dealt with 850 benefit enquiries, completed ward visits with in-patients and their families, attended chemotherapy ward appointments and offered a drop in facility. The service works closely with Macmillan staff in Mid and East Lothian, Edinburgh, Fife and the Borders to create a seamless pathway between agencies. As well as maximising income, advisors completed Macmillan Grants, helped with disabled parking badge applications, and referred customers for Social Work care assessments, counselling and complementary therapies.

Pensioner Income Maximisation Service (PIMS)

Working closely with Community Care Assistants, Occupational Therapists both in the community and hospital, NHS health professionals, and Social Policy's Older Peoples Team, we provide a holistic service to vulnerable older people and people with other long term conditions to ensure they are receiving everything they are entitled to.

Over the last year we have provided a pop up session at Carers of West Lothian's office to help carers access help in a location where they are comfortable and secure.

One2One Project

For some of our customers their long term, enduring poor mental health means that engaging with services and trusting professionals are difficult issues. Customers are referred into the project and will be allocated a named advisor who will work with the customer over period of time to help stabilise their financial position. Advisors will visit customers at home, if appropriate, liaise with other partners and professionals and support customers to attend appointments. The project started in October 2016 and is working with 63 customers. In the short time that the project has been running a total of £141,000 income has been generated.

John

John was referred to the One2One project by his psychiatric nurse. His initial enquiry was about his inability to pay his council tax and he was relying on help from family. Talking with the advisor, it was quickly identified that the customer suffers from severe anxiety, depression and paranoia and had been admitted to hospital due to suicide attempts. John was visited in the hospital by his advisor and who learned that John lived with his father, had no income for 28 years and his father had been supporting him financially. Due to the severity of John's mental health he was not engaging with any services and therefore was not known to anyone.

The advisor identified that John was entitled to Employment and Support Allowance and Personal Independent Payment. However, providing his identification was challenging as he did not seem to know or be able to locate his bank details or National Insurance number. Eventually after working closely with John's father this information was obtained and benefit claims submitted.

As a result of the intervention by the One2One project John is now receiving his Employment and Support Allowance payment of £125 per week. Not only does John now have an income after 28 years, this has also helped rebuild his relationship with his father.

John's Personal Independent Payment claim is still pending and the advisor is still working with him.

Anti poverty

'Better Off' is the Community Planning Partnership's approach to tackling poverty in West Lothian. The strategy was developed in 2012 in consultation with partners and local community groups and individuals. The Advice Shop takes the lead in co-ordinating the Anti-Poverty Strategy and Annual Action Plan.

In 2016/17 the anti-poverty strategy focused on significant issues including;

- Child poverty
- Financial capability
- Food poverty
- Fuel poverty

The Advice Shop was responsible for several actions in these areas and delivered targeted activity to help support people experiencing poverty.

Financial Capability – Affordable Credit

Working with Fife and Falkirk Councils, a project has been agreed to support local people who are on a low income or finding it difficult to manage their budgets and to access affordable credit. Targeting people who are likely to have incomes of lower than £15,000 with no record of savings and who have an extremely poor or no credit rating, advisors will help adults and families to build financial resilience, access and use mainstream banking options and build the capability to manage their money on a day-to-day basis.

The councils have procured the services of Conduit Scotland, who are a not-for-profit Community Development Financial Institution (CFDI) and, will provide fair and affordable loans. Customers will be able to apply on-line at www.conduitscotland.com, by telephone on 0300 111 0556 or by applying at the branch in 79 South Bridge Street, Bathgate.

Along with affordable loans Conduit Scotland will work in partnership with the Advice Shop to offer:

- Money and Budgeting Advice
- Debt Management
- Income Maximisation
- Support to access other financial services, for example bank and savings accounts and credit union accounts
- Referrals to other support services

Food Poverty

At times of extreme hardship, when households have no money, they can turn to the Foodbank to receive a three day emergency food parcel. The reasons for households needing to turn to Foodbanks are varied and multi-faceted. As trusted partners, the Advice Shop is not only a distributor of vouchers but also holds emergency food parcels for dispersal. For those who face persistent food poverty the project looks to work with individuals who find themselves requiring to use a foodbank three or more times in a six month period. One to one support is provided by a dedicated advisor looking at the individual's income and expenditure as well as looking at their debt and budgeting skills,

In 2016/17, 33 individuals engaged in further advice and support after exceeding their three or more voucher limit. With support from their advisor they were able to make ends meet and have not found themselves requiring food bank vouchers in the last six months.

Child Poverty

Working in partnership with West Lothian Council Registration Services, new parents are offered a referral to the Advice Shop for advice about entitlement to benefits and tax credits and a full financial health check. Between April 2016 to March 2017, 74 new parents engaged with the Advice Shop through this campaign resulting in £111,284 extra income gained.

Families affected by the new lower benefit cap have been contacted and offered tailored advice and support to deal with the impact of the cap on their household income. We worked with 36 affected households to check entitlement to and make claims for benefits and tax credits resulting in £24,784 extra income gained. Those affected have also been supported with advice regarding housing, debt and money management.

Fuel Poverty

During the winter months of 2016/17, the Advice Shop delivered a Keep Warm in winter campaign which offered specialist energy advice and help to access financial support towards energy costs. Over winter, 699 customers received help resulting in fuel savings of £64,226. We also supported 197 customers to make applications for Warm Home Discount, a one off payment of £140 for vulnerable people with a low income to help towards high winter fuel bills. If successful, these applications would increase income for customers by a total of £41,300.

How to contact us:

Telephone: 01506 283000
Email: advice.shop@westlothian.gov.uk
Website: www.westlothian.gov.uk/adviceshop
Address:
The Advice Shop,
Bathgate Partnership Centre,
South Bridge Street,
Bathgate,
EH48 1TS

Opening Hours:
Monday-Thursday 8.30 – 5pm
Friday 8.30 – 4 pm

See our website for up-to-date information on all of our outreach sessions.

Advice shop

Information is available in Braille, tape, large print and community languages. Please contact the interpretation and translation service on 01506 280000.

Text phones offer the opportunity for people with a hearing impairment to access the council. The text phone number is 01506 591652. A loop system is also available in all offices.

West Lothian Council

PARTNERSHIP AND RESOURCES POLICY DEVELOPMENT AND SCRUTINY PANEL

LOCAL GOVERNMENT SPATIAL HUB

REPORT BY HEAD OF CORPORATE SERVICES

A. PURPOSE OF REPORT

To update the Panel on proposals by the Improvement Service to develop a Local Government Spatial Information Hub, to provide a single point of access to quality assured Scottish local authority data in consistent form.

B. RECOMMENDATIONS

It is recommended that the Panel:

1. Note the proposals by the Improvement Service to develop a Spatial Information Hub, and
2. Recommend to Council Executive that the Council should enter into the Partnership agreement to work with the Improvement Service and the other local authorities to develop a resource which provides a single point of access to quality assured Scottish local authority spatial data in consistent form.

C. SUMMARY OF IMPLICATIONS

I.	Policy and Legal	The Inspire (Scotland) Regulations 2006 require the Council to publish spatial data and to create services for accessing those datasets.
II.	Implications for Scheme of Delegations to Officers	None
III.	Impact on performance and performance indicators	None
IV.	Relevance to Single Outcome Agreement	None
V.	Resources (Financial, Staffing and Property)	The Improvement Service intend to exploit opportunities for income generation and have stated that they expect to make a payment to local authorities in the order of £400,000 – £600,000 for 2017/18 and for this to increase annually over the next three to five years.

VII.	Details of consultations	Planning, Economic Development and Regeneration Services

D. TERMS OF REPORT

D.1 Background

The INSPIRE (Scotland) Regulations 2009 require the Council to make available spatial datasets and to create services for accessing those datasets. The aim of the Regulations is to create a network of datasets which can be accessed and shared across Europe. Spatial data is any data with a direct or indirect reference to a specific location or geographical area.

The Scottish Government Open Data Strategy seeks to make local authority data which is non-personal and non-commercially sensitive available publicly in an “open” format. “Open” data is data which is available in an electronic format which supports re-use, e.g. excel or csv file. It is not intended that local authorities should charge for the re-use of open data, except where the payment is for the provision of an additional service which adds value to the data.

D.2 The Spatial Hub

The Council currently provides datasets to the Improvement Service who have supported the creation of the One Scotland Gazetteer and the One Scotland Mapping Agreement. The Improvement Service is now looking to exploit the intellectual property rights which Councils hold in terms of spatial data by establishing a Spatial Hub Partnership to develop a resource which provides a single point of access to quality assured Scottish local authority spatial data in consistent form. It is proposed that the Spatial Hub is developed, operated and managed by the Spatial Information Service within the Scottish Government Improvement Service.

The Improvement Service has conducted market research and believes that income can be generated by marketing the Scottish local authority data. They have stated that they expect to make a payment to local authorities in the order of £400,000 – £600,000 for 2017/18 and for this to increase annually over the next three to five years.

Once the Improvement Service’s operational costs have been recovered, revenue will be returned to Scottish local authorities in the form of a dividend against the local costs of the One Scotland Mapping Agreement.

D.3 Partnership Agreement

The Improvement Service are proposing to enter into a Partnership Agreement with all 32 Scottish local authorities which they are indicating will not be a contractual arrangement but will be an agreement “to work together in the true spirit of partnership to ensure the collective benefits are secured and maximised”. A copy of the draft Partnership Agreement is attached, for information, as Appendix 1.

D.4 Benefits for the Council

The Spatial Hub provides several benefits to the Council:

- Reduces the need for the council to provide the data on its own web site - a link to The Spatial Hub would suffice.
- Supports the council's achievement of the EU INSPIRE objectives.
- Supports the council's achievement of the Scottish government Open Data Strategy published in February 2015.
- The council will need to maintain their Ordnance Survey licence through the One Scotland Mapping Agreement but the administrative burden related to publishing data becomes an issue for the Improvement Service and not for the council.
- Improvement Service will ensure that datasets provided by Scottish local authorities are published in a consistent form, thereby removing the need for the council to undertake such work.
- Having spatial data available on the web could reduce the time and effort involved in responding to Freedom of Information requests.
- Whilst the projected income figures seem quite ambitious, if achieved, even over a longer timeframe, this would provide income from the private sector for data that the council already gathers and is obliged to publish.

It is recommended that the Council should enter into the Partnership Agreement and include the development of spatial data in our Open Data Strategy.

E. CONCLUSION

The Spatial Hub will support the Council's requirements under the INSPIRE (Scotland) Regulations 2009 and the Scottish Government Open Data Strategy and has the potential to generate income from the private sector.

F. BACKGROUND REFERENCES

Appendices/Attachments: Partnership Agreement, Local Government Spatial Hub

Contact Person: Julie Whitelaw
Email: julie.whitelaw@westlothian.gov.uk

Julie Whitelaw, Head of Corporate Services

23 August 2017

Partnership Agreement

Local Government Spatial Hub

Scope and Purpose

This document describes the agreement between the Improvement Service and Scottish local government to enable the Improvement Service to manage spatial information collectively on behalf of Scottish local government. It details what the Improvement Service will do on behalf of local government and what is required from individual councils to enable the approach to operate successfully. The agreement will be between the Improvement Service and each of the 32 councils. No contractual relationship is created between signatories to this agreement. By signing, all parties agree to work together in the true spirit of partnership to ensure the collective benefits are secured and maximised.

Agreement Benefits

The benefits of this agreement are to:

- centralise the efforts and costs associated with the improvement of spatial information management across local government resulting in long term efficiency gains and cost savings
- realise monetary value from local government's Intellectual Property in its spatial information and return this as a dividend to contributing authorities
- support Scottish Local Government to achieve compliance with Scottish, UK and EU legislation and regulation, including INSPIRE

Obligations

The Improvement Service:

a. We will act on behalf of Scottish local government in the management arrangements for the One Scotland Mapping Agreement with Ordnance Survey and the Public Sector Licence for PAF with Royal Mail to ensure that products and services provide the best value for the funding available.
b. We will provide the One Scotland Gazetteer Custodian Service including the management of the infrastructure and portal application, quality assurance and customer management.
c. At a point to be agreed in the future, we will extend the Custodian Service to include local Street Gazetteers.
d. We will manage and develop the Spatial Hub on behalf of local government (but may in future spread operational costs by opening it up to other parts of the Scottish public sector).
e. Subject to final agreement with DeFRA, Scottish Government and the Scottish Information Commissioner, Scottish local authorities will be able to meet their Inspire obligations by following the upload process defined by the Improvement Service.
f. We work with the Ordnance Survey, as required, to ensure that appropriate licensing arrangements are in place for all datasets and where necessary the Improvement Service will be able to act on behalf of individual councils.
g. This will include data management plans for each dataset, as well as providing the discovery, view and download services as required by Inspire.

h. We will also support for all aspects of Spatial Information including advice on technical issues, emerging technologies, licensing, compliance and general best practice. This may in certain circumstance include practical support.
i. Where appropriate within current legislation the Improvement Service will work towards recouping the costs on maintaining the datasets involved by establishing financial arrangements for access to data for commercial enterprise.
j. Once the Improvement Service's operational costs have been recovered, revenue will be returned to Scottish local authorities in the form of a dividend against the local costs of the One Scotland Mapping Agreement.

The XXX Council:

a. Adequate resources are made available to maintain local Corporate Address Gazetteers and Street Gazetteers to quality standards and update schedules agreed and reviewed at national levels.
b. Spatial datasets are updated onto the Spatial Hub as requested by the Improvement Service. If this is not possible for any reason, it will be discussed with the Improvement Service and agreement put in place on timescales for upload.
c. Each local authority will grant the Improvement Service an express permission to publish local datasets derived from Ordnance Survey background products on OGL terms, where such data has not already been published by the local authority on OGL terms. Any data that is published on OGL terms must fall under Presumption to Publish.
d. Each local authority will have the responsibility to ensure that the Scottish Spatial Data Infrastructure metadata service records pertaining to its datasets are kept up to date. This is the minimum requirement for Presumption to Publish and Inspire compliance. Some assistance may be available as part of the technical resource for the Improvement Service.
e. Data Management Plans will be agreed, which define as a minimum the source and update cycles, for the required spatial datasets.
f. Where appropriate, local authority staff involved in the development and management of spatial data, including Corporate Address Gazetteers will be expected to contribute to the various groups and communities involved in their ongoing development.

Timescales

This agreement shall commence on 1st XXX 2017 and shall continue for a period of X years. This agreement may be terminated by either party giving the other party 12 months' notice in writing.

Governance

To accomplish the purpose and objectives set out in the agreement, the following arrangements are agreed:

The IS Board is accountable for the outcomes and management of this agreement on behalf of member councils. The Board meets at least quarterly.

The Improvement Service will establish operational delivery groups and boards as required.

The spatial information service team will monitor and report on the programme of work and escalate non-compliance to the key contact within individual councils and to the IS Board as necessary.

The IS Board will determine if a failure to provide data results in any dividends to those individual authorities being reduced to reflect this.

Financial Considerations and Resources

The parties will endeavor to have secured any resourcing necessary to fulfill their individual commitments to the partnership. The Improvement Service will provide an annual statement of costs and income. The IS Board will seek to maximize the ‘dividend’ to be returned to councils. The dividend will be distributed on an annual basis.

PARTNERSHIP AND RESOURCES POLICY DEVELOPMENT AND SCRUTINY PANEL WORKPLAN TO 22 SEPTEMBER 2017

	Agenda Item	Lead Officer	P&R PDSP Date / Month
1.	Lothian Valuation Joint Board Annual Report	Chief Executive	Annually 16 March 2018
2.	Code of Conduct Annual Report	Chief Executive	Annually 19 January 2018
3.	West Lothian Development Trust Annual Report	Head of Planning, Economic Development & Regeneration	Annually 19 January 2018
4.	Annual Complaints Report	Depute Chief Executive, Corporate, Operational and Housing Services	Annually 22 September 2017
5.	Quarterly Performance Report	Depute Chief Executive, Corporate, Operational and Housing Services	Quarterly 22 September 2017 19 January 2018 16 March 2018 1 June 2018
6.	Quarterly Welfare Reform update	Head of Finance and Property Services	Quarterly 22 September 2017 19 January 2018 16 March 2018 1 June 2018
7.	Quarterly Sickness Absence Update	Head of Corporate Services	Quarterly 22 September 2017 19 January 2018 16 March 2018 1 June 2018
8.	Partnership Agreement - Local Government Spatial Hub	Head of Corporate Services	22 September 2017
9.	Horizon Scan Report	Head of Finance and Property Services	22 September 2017
10.	Electrical Safety Management Policy	Head of Finance and Property Services	22 September 2017
11.	Surplus Property Procedures	Head of Finance and Property Services	22 September 2017
12.	Tenanted Non-Residential Property Portfolio Strategy & Performance	Head of Finance and Property Services	22 September 2017
13.	Community Asset Transfer Policy and Procedures	Head of Finance and Property Services	22 September 2017
14.	Property Asset Management Performance	Head of Finance and Property Services	3 November 2017
15.	Horizon Scan Report	Head of Finance and	19 January 2018

DATA LABEL: PUBLIC

	Agenda Item	Lead Officer	P&R PDSP Date / Month
		Property Services	
16.	Horizon Scan Report	Head of Finance and Property Services	1 June 2018
17.	Minutes of Scotland Excel Meetings	Head of Corporate Services	As available
18.	Lothian Valuation Joint Board minutes	Chief Executive	As available

Graham Hope
Chief Executive

DATA LABEL: PUBLIC