



West Lothian  
Council

## ***Performance Committee***

West Lothian Civic Centre  
Howden South Road  
LIVINGSTON  
EH54 6FF

4 October 2017

A meeting of the **Performance Committee** of West Lothian Council will be held within the **Conference Room 3, West Lothian Civic Centre** on **Monday 9 October 2017** at **2:00pm**.

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 Performance Committee held on Monday 21 August 2017 (herewith).
5. Planning Services - Report by Head of Planning, Economic Development and Regeneration (herewith).
6. Self-Assessment 2017-20 - Report by Depute Chief Executive (herewith).
7. Complaint Performance Report Quarter 1 2017/18 - Report by Depute Chief Executive (herewith).

DATA LABEL: Public

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NOTE     **For further information please contact Eileen Rollo on 01506 281621  
or email [eileen.rollo@westlothian.gov.uk](mailto:eileen.rollo@westlothian.gov.uk)**

MINUTE of MEETING of the PERFORMANCE COMMITTEE of WEST LoTHIAN COUNCIL held within COUNCIL CHAMBERS, WEST LoTHIAN CIVIC CENTRE, on 21 AUGUST 2017.

Present – Councillors Stuart Borrowman (Chair), Charles Kennedy, Dave King, Dom McGuire substituted for Andrew McGuire

Apologies – Councillor Andrew McGuire

1. DECLARATIONS OF INTEREST

There were no declarations of interest made.

2. MINUTE

The Committee confirmed the Minute of its meeting held on 12 June 2017 as a correct record. The Minute was thereafter signed by the Chair.

3. LEGAL SERVICES PERFORMANCE

The committee considered a report (copies of which had been circulated) by the Head of Corporate Services providing an overview of Legal Services along with details of service performance.

The report advised that Legal Services provided a range of advice, support and representation to all council services. The service also provided committee administration and the administration of Civic Government/Hire Car Licensing regimes, legal advice and clerking to the Licensing Board, St John's Hospital Stakeholder Group, Integration Joint Board (IJB), IJB Audit, Risk and Governance Committee and IJB Strategic Planning Group.

The service has a total complement of 31.8 FTE staff and an annual net revenue budget of £996,154.00. The service actively engaged with a number of partners including the Scottish Courts Service, Police Scotland, Scottish Children's Reporters Administration, Licensing Forum, Community Councils, the Licensed Trade and Civic Centre Partners.

The report and appendix provided details of activities and a sample of the service performance indicators including trend charts and associated commentary.

Legal Services performance was regularly measured through a suite of performance indicators in line with the council's performance management framework using the covalent system. These indicators were representative of a range of activities delivered by the service and include statutory, public performance reporting and management indicators, including measures of customer and staff perception.

Performance was regularly reviewed within the service at management team, individual tem and full service meetings and monitored 1-2-1 meetings with employees where appropriate. All employees within the service were actively engaged in reviewing relevance of performance indicators.

Legal Services achieved a score of 503 in the WLAM process and was subject to WLAM assessment in February 2017. The service was placed on Cycle 2, requiring a return to the review panel in one year.

In conclusion the report advised that the report and appendix summarised the activities and performance of Legal Services.

The report recommended that the Performance Committee:-

1. Note the contents of the report and appendix;
2. Provide feedback on service performance;
3. Identify any recommendations for performance improvement.

There then followed a number of questions in relation to recruitment challenges, benchmarking, workforce planning, staff results and issues around procession orders.

#### Decision

1. To note the terms of the report.

#### 4. LOCAL GOVERNMENT BENCHMARKING FRAMEWORK

The committee considered a report (copies of which had been circulated) by the Depute Chief Executive providing information on the council's participation in the Local Government Benchmarking Framework (LGBF) comparing performance on a number of performance indicators. The data was collated and analysed by the Improvement Service and published in an annual report.

The report provided a summary comparative analysis of the council's 2015/16 performance against the previous years and other local authorities.

The report advised that the Local Government Benchmarking Framework focused on providing a consistent approach to benchmarking local authority performance, with a standard data set reported each year to the public.

The comparative performance of the 32 Scottish local authorities was published in an annual report that identified national trends across eight thematic categories of council activity. The report also highlighted local challenges and priorities, how this varied across councils and the

subsequent impact on performance.

The overview report 2015/16 was published by the Improvement Service and compared councils' performance across 81 performance indicators and were grouped under the following eight categories:-

- Adult Social Care
- Children's Services
- Corporate Services
- Corporate Assets
- Culture & Leisure
- Environmental Services
- Housing Services
- Economic Development

The information across the categories generally focused on how much council's spend on particular services, the service performance and how satisfied people were with the major services provided by the councils. Tables 1 to 7 provided a breakdown of the categories and comparative analysis.

The report went on to advise that the overall average ranking of West Lothian Council in Scotland in 2015/16 was fifth, which was a change from second in 2014/15.

The Depute Chief Executive explained that the council must comply with requirements to publish the LGBF data set and comparative analysis.

In conclusion the report advised that the LGBF national benchmarking report provided the public with comparative analysis of Scottish local authorities' performance in 2014/15 and that the council was in the top quartile for six out of eight categories and had an average ranking of fifth overall.

The LGBF was intended to support councils to improve performance in key activities and the development formed a critical part of the sector's response to requirements for public performance reporting and benchmarking.

The report recommended that the committee note not the contents of the report.

### Decision

To note the contents of the report.

5. WEST LOTHIAN ASSESSMENT MODEL - END OF PROGRAMME REPORT 2014/17

The committee considered a report (copies of which had been circulated) by the Depute Chief Executive providing a summary of the output from the assessment activity undertaken in the West Lothian Assessment Model programme from 201 to 2017.

The Depute Chief Executive explained that the council used the West Lothian Assessment Model (WLAM) to internally assess the quality and cost effectiveness of the services provided to the community. As part of a scheduled programme, services completed an evidence-based self-assessment every three years. WLAM promoted self-awareness in the council by helping to identify strengths and weaknesses of services and it provided a structure for improvement based on a European best practice framework and scoring matrix.

The report went on to advise that WLAM was based on the European Foundation for Quality Management Excellence Model and provided a consistent structure around which performance and improvement could be supported. As well as embedding the principles of continuous improvement and involving staff in improvement, the framework had been utilised to standardise or reinforce corporate approaches in performance management, service standards, customer consultation and complaint handling.

The report further advised that over a three year cycle every service would complete at least one assessment and attend the Review Panel which comprised of the Chief Executive, a member of the Corporate Management Team and a peer (service manager). Services would also report on the outcome and findings from the WLAM process to be Performance Committee.

The report went on to provide details of the WLAM Programme 2014 – 2017 in a series of tables. Following the conclusion of this programme in March 2017, it was deemed appropriate to consider the options for self-assessment that were open to the council at this stage and how the process may be improved.

A review of the available options was underway with a report to be taken to the Partnership and Resources Policy Development and Scrutiny Panel and the Performance Committee to outline the proposals for the council's programme.

The report concluded that self-assessment was an important part of the council's Improvement Strategy, encouraging innovation from within and positively engaging employees in service planning and improvement.

The report recommended that the committee note the summary position for the 2014/17 programme.

Decision

To note the contents of the report.

6. PERFORMANCE COMMITTEE WORKPLAN

The Panel considered a list of items that would form the basis of the committee's work over the coming months.

Decision

To note the workplan







**West Lothian  
Council**

## **PERFORMANCE COMMITTEE**

### **PLANNING SERVICES**

#### **REPORT BY HEAD OF PLANNING, ECONOMIC DEVELOPMENT & REGENERATION**

##### **A. PURPOSE OF REPORT**

The purpose of this report is to provide the Performance Committee with an overview of Planning Services along with details of service performance.

##### **B. RECOMMENDATION**

It is recommended that Performance Committee:

1. Notes the contents of this report and Appendix;
2. Provides feedback on service performance; and
3. Identifies any recommendations for performance improvement.

##### **C. SUMMARY OF IMPLICATIONS**

<b>I Council Values</b>	<ul style="list-style-type: none"><li>• Focusing on our customers' needs</li><li>• Being honest, open and accountable</li><li>• Making best use of resources</li><li>• Working in partnership</li></ul>
<b>II Policy and Legal (including Strategic Environmental Assessment, Equality Issues, Health or Risk Assessment)</b>	Reporting to Performance Committee is consistent with the corporate plan undertaking to "continue to develop a performance management system that helps us to improve." Many elements of the work of the service are subject of Strategic Environmental Assessment (SEA) and equally health and risk assessments generally feature as elements of the work.
<b>III Implications for Scheme of Delegations to Officers</b>	None
<b>IV Impact on performance and performance Indicators</b>	Appendix 1 details a selection of performance indicators and results currently reported for the service.
<b>V Relevance to Single Outcome Agreement</b>	Outcome 8 - We make the most efficient and effective use of resources by minimising our impact on the built and natural environment.

<b>VI</b>	<b>Resources - (Financial, Staffing and Property)</b>	None
<b>VII</b>	<b>Consideration at PDSP</b>	Performance is reported quarterly to Development & Transport PDSP.
<b>VIII</b>	<b>Other consultations</b>	None

## **D. TERMS OF REPORT**

### **D.1 Service Overview**

The principal purpose of Planning Services is to carry out the statutory planning and building standards functions of the council and ensuring that sufficient education capacity exists for predicted levels of demand in nurseries and schools. The service also leads on delivering the council's duties and responsibilities in responding to climate change.

Planning Services consists of the following teams:

- Building Standards
- Development Management
- Development Planning and Environment
- Technical Support Services

The service has a total complement of staff of 39.2 FTE and annual net revenue budget of £591,890. In addition, the service has an income generation target of £1,783,010 annually.

The service actively engages with a number of partners, key amongst who are: Scottish Government, SESplan, other key Government agencies including the Scottish Environment Protection Agency (SEPA), Scottish Natural Heritage (SNH) and Historic Environment Scotland (HES).

### **D.2 Service Activities**

The main activities of the service in 2016/17 were:

- Finalising the preparation of the local development plan
- Assisting in the preparation and delivery of Strategic Development Plan 2 for Edinburgh and South East Scotland
- Implementing, monitoring and reviewing the climate change strategy, carbon management plan and adaptation action plan
- Preparing, monitoring and reviewing supplementary planning guidance.
- Implementing, monitoring and reviewing the Contaminated Land Inspection Strategy
- Verifying applications for building warrants (1,481 in 2016/17) and completion certificate submissions (2,929 in 2016/17) As each property gets an individual completion certificate multi plot developments account for the apparent difference in the above figures.
- Enforcement of Building (Scotland) Act 2003 in relation to dangerous buildings and unauthorised works
- Processing planning and related applications
- Processing appeals and participating in local reviews against decisions on planning applications

- Enforcement of planning control
- Preparing school roll projections

The main activities of the service in the current financial year will be broadly similar to those in 2016/17 however, in addition the service will:

- Actively engage in the Scottish Government Review of the Planning Service in Scotland
- Respond to any changes to procedures following the Edinburgh Schools inquiry and the Grenfell incident in London
- Work actively to secure the benefits of the City Region Deal in parliament to supporting delivery of development in Winchburgh, Calderwood and other key sites in West Lothian.

### **D.3 Performance Measurement**

Planning Services performance is regularly measured through a suite of performance indicators in line with the council's performance management framework, using the covalent system.

Planning Services Performance Indicators are representative of a range of activities delivered by the service and include statutory, public performance reporting and management indicators, including measures of customer and staff perception.

Performance is regularly reviewed within the service at management team, performance reviews with the service managers and the Head of Service, individual team meetings and monitored via 1-2-1 meetings with employees where appropriate.

All employees within the service are actively engaged in reviewing relevance of performance indicators and their targets.

### **D.4 West Lothian Assessment Model (WLAM) and Review Panel**

In January 2017 the service completed a WLAM assessment. The overall score for the service improved from 400 in the 2011-13 cycle to 493 in 2014-17.

The service approach to performance management has continued to mature and the service was able to present a good spread of indicators across the major domains at Review Panel in March 2017. The overall feedback was positive and recognised the progress made to date.

The service was placed on Cycle 2 with the expectation that service's PIs will be presented to the Chief Executive next year.

The service will continue to refine its performance management approach and key areas recommended by the Review Panel for improvement include:

- The service should continue to develop indicators e.g. enforcement cases
- The service should provide an update of the service structure for Planning Services
- The service should review processes for levels of customer engagement and customer perceptions. Response levels to be noted within Trend Chart Commentary
- The service should continue to monitor performance especially where long-term trends are reducing

- The service should review all static targets, especially where performance is consistently above or below target
- The service should continue to develop benchmarking activities e.g. transactional measures

## **D.5 External Performance Frameworks**

The service also submits two performance frameworks to the Scottish Government on an annual basis – one covering Building Standards and the other covering Planning. The frameworks both received positive comments from the Scottish Government.: They can be viewed at:

[Planning Performance Framework 6](#)  
[Building Standards Verification Performance Report](#)

Earlier this year the Scottish Government reappointed all Scottish Local Authorities as sole verifiers of building warrant applications and completion certificate submissions. However, the length of re – verification was a one, three or six years basis depending on performance. West Lothian Council was re-appointed for six years.

Appendix 1 offers a representative sample of performance indicators covering the key themes of:

- Customer Results
- People Results
- Service Results
- Efficiency Measures
- Effectiveness Measures

## **E. CONCLUSION**

The report and attached appendix summarise the work and the performance of the Planning Services.

The Performance Committee is asked to consider the report, consider any performance measures they would like to explore further and provide any recommendations on performance improvement.

## **F. BACKGROUND REFERENCES**

None

Appendix 1: Planning Services Performance Report

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 (Acting)

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**Craig McCorriston**

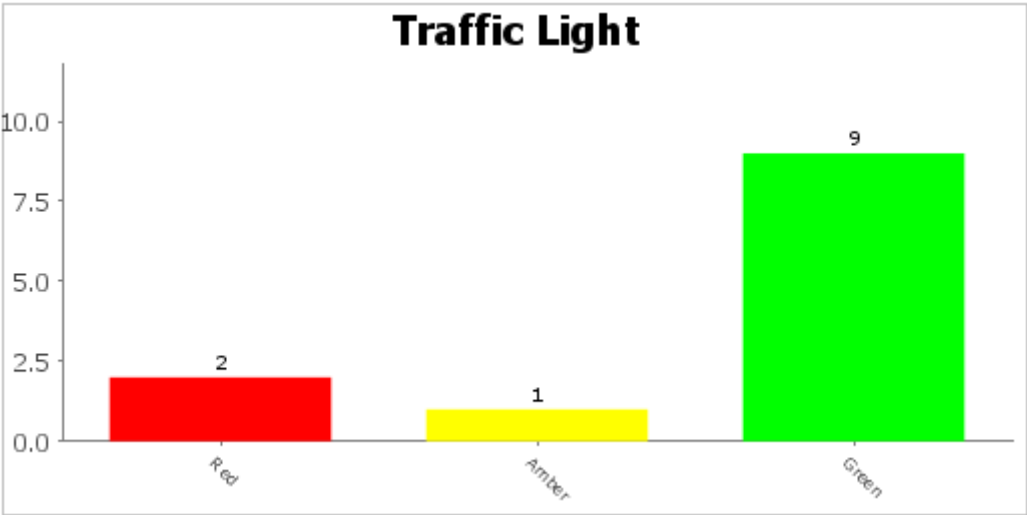
**Head of Planning, Economic Development and Regeneration Services**


**9 October 2017**

# Performance Committee - Planning Services PI Report

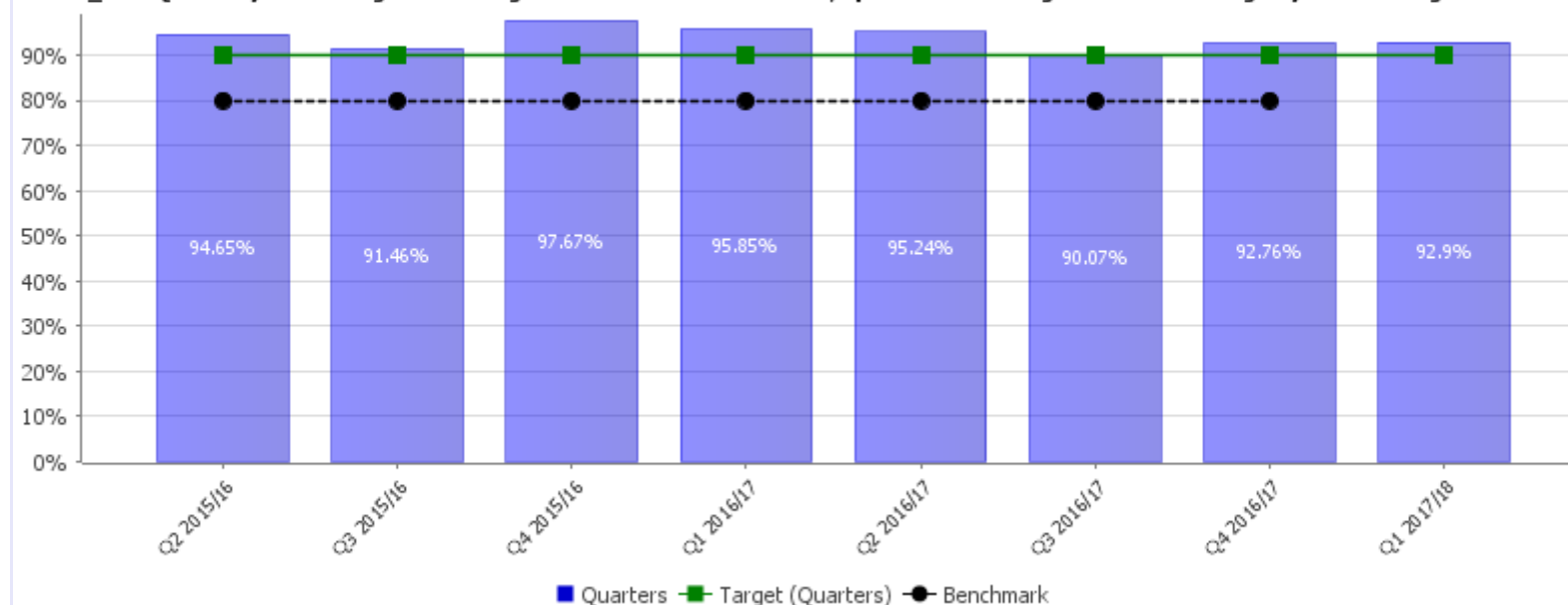
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Report Author: Gosia Lawes  
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<b>PI Code &amp; Short Name</b>	<b>BS038_6b.5 Quarterly Percentage of building warrants issued or refused, up to and including the sixth working day of receiving information.</b>	<b>PI Owner</b>	zBS_PIAAdmin; Jim McGinley
<b>Description</b>	<p>This performance indicator measures the percentage of building warrants issued or refused, up to and including the sixth working day, from receipt of all necessary information from the applicant or their agent. The applicant or agent will previously have been advised of the information or amendments required.</p> <p>The approval of building warrants to allow building work to progress on site is one of the key regulatory activities of building standards and relates to council key outcomes of protecting the built and natural environment and improving the economic situation of West Lothian.</p> <p>This indicator is based on data collected at the end of a calendar quarter.</p>	<b>Traffic Light Icon</b>	
		<b>Current Value</b>	92.9%
		<b>Current Target</b>	90%

**BS038\_6b.5 Quarterly Percentage of building warrants issued or refused, up to and including the sixth working day of receiving information.**



**Trend Chart Commentary:**

The trend shows that the reported performance for Q1 2017/18 of 92.90% was an improvement on the Q4 2016/17 performance of 92.76%.


There are variations over the eight quarter periods of the chart from a low of 90.07% to a high of 97.67%. These variations are as a result of the total number of applications decided each quarter varying and officers prioritising their workload to other aspects of the service. A workflow management system with a possible means of tracking incoming mail has been identified and procured.

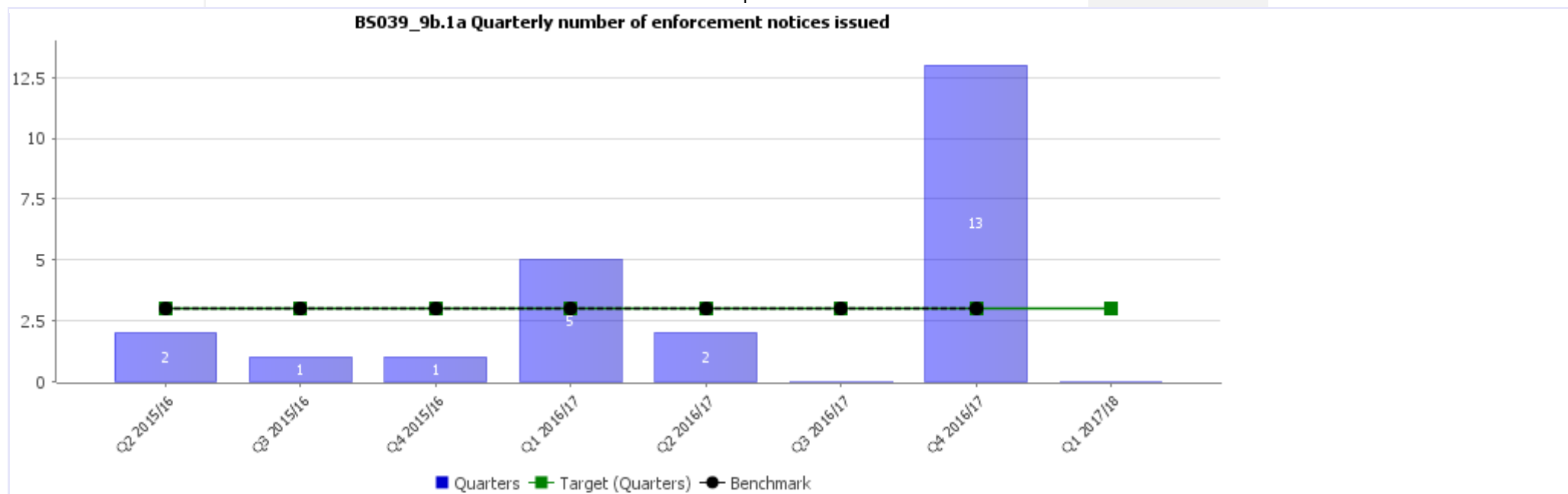
We have benchmarked our performance against both Aberdeenshire Council's reported 2015/16 annual performance of 91% and Renfrewshire Council's reported 2015/16 annual performance of 66% along with the accounts commission previous statutory indicator target of 80% which is shown on the chart.

For information the number of building warrant applications issued or refused in each quarter of the financial year was:

Q1 2017/18 288 out of 310  
Q4 2016/17 282 out of 304  
Q3 2016/17 254 out of 282  
Q2 2016/17 300 out of 315  
Q1 2016/17 277 out of 289  
Q4 2015/16 210 out of 215  
Q3 2015/16 300 out of 328  
Q2 2015/16 283 out of 299

Although performance has been above target for 2016/17, an increase in the number and complexity of applications being received as a result of the economic recovery will make achieving this performance more challenging in the year ahead. Given this, the performance target of 90% will be retained for 2017/18 and will be reviewed for financial year 2018/19.

PI Code & Short Name	BS039_9b.1a Quarterly number of enforcement notices issued	PI Owner	zBS_PIAAdmin; Jim McGinley
Description	This performance indicator measures the number of enforcement notices issued by building standards under the Building (Scotland) Act 2003 in a calendar quarter.	Traffic Light Icon	
	West Lothian Council enter ongoing dialogue with owners to try and resolve issues without the requirement of issuing a formal enforcement notice, as such this indicator aims to minimise the number of formal notices issued.	Current Value	0
	The enforcement of the Building (Scotland) Act is one of the key regulatory activities of building standards and relates to council key outcomes of protecting the built and natural environment and improving the economic situation of West Lothian.	Current Target	3
	This indicator is based on data collected at the end of a calendar quarter.		



**Trend Chart Commentary:**

The trend shows that the reported performance for Q1 2017/18 of 0 enforcement notices was lower than the performance as reported in the previous quarter.

This increase in Q4 2016/17 occurred as a result of 2 incidents at blocks of flats which required multiple notices being served.



There are variations over the eight quarter periods of the chart from a high of 13 enforcement notices to a low of 0 enforcement notices.

We benchmark our performance against the Scottish Government 2014/15 national total divided by 32 to get an average local authority total and then divided by 4 to give a quarterly average.


This is an aim to minimise indicator and the current target is 3 enforcement notices a quarter and although the target is being exceeded, the unknown nature of enforcement means that achieving this level of performance is challenging.

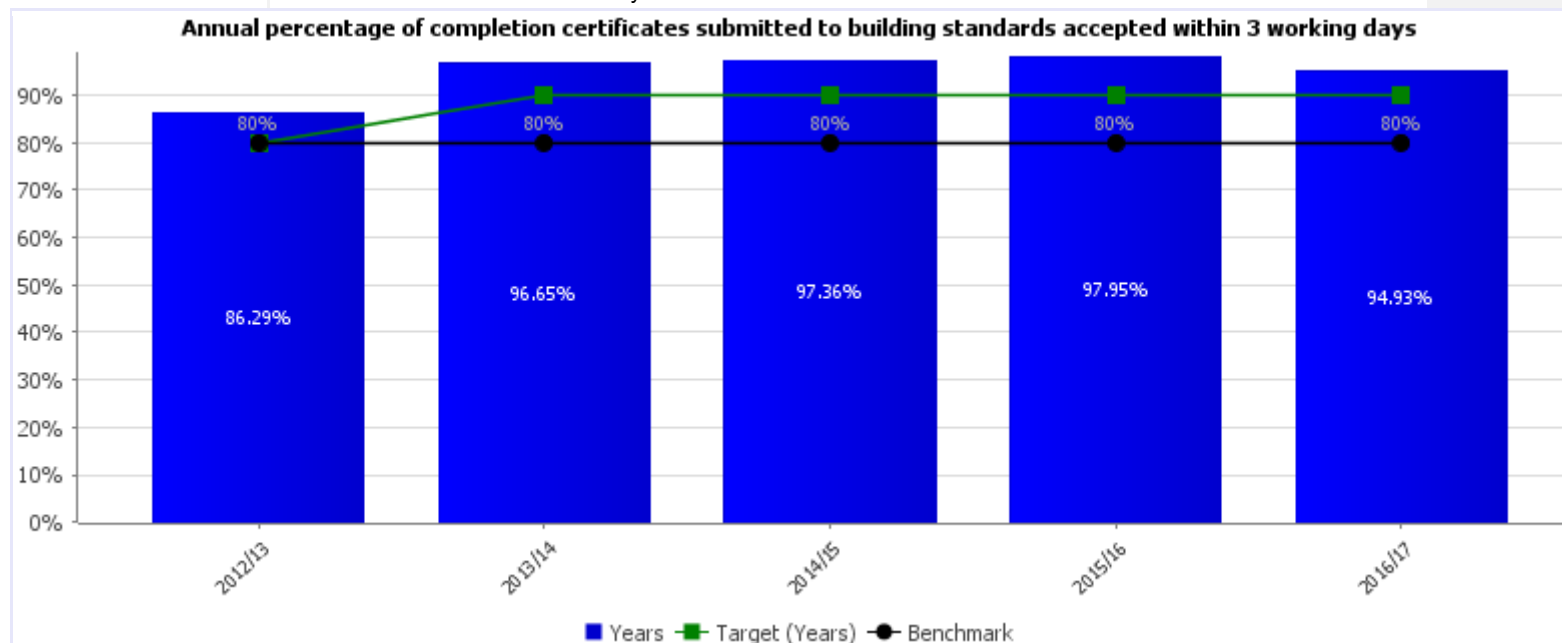
In addition for multi-occupied or owned properties, legally, there is one notice per individual property which can easily result in the target being exceeded.

For information the number of enforcement notices served in each quarter of the financial year was:

Q1 2017/18 0  
Q4 2016/17 13  
Q3 2016/17 0  
Q2 2016/17 2  
Q1 2016/17 5  
Q4 2015/16 1  
Q3 2015/16 1  
Q2 2015/16 2

Although performance, with the exceptions of Q1 and Q4, in 2016/17 was within the performance target of 3 enforcement notices, as a result of the unknown nature of this work the target has been retained for 2017/18 and will be reviewed for financial year 2018/19.

<b>PI Code &amp; Short Name</b>	<b>P:BS040_9a.2b Annual percentage of completion certificates submitted to building standards accepted within 3 working days</b>	<b>PI Owner</b>	zBS_PIAAdmin; Jim McGinley
<b>Description</b>	<p>This performance indicator measures the percentage of completion certificates submitted by applicants to building standards, after the completion of building works on site, which are then accepted by building standards within 3 working days. That is 3 working days between the date that building standards verify, by reasonable enquiry, that the completed works on site appear to comply with the approved building warrant and the date that the completion certificate acceptance is posted out to the applicant.</p> <p>The acceptance of completion certificates after building works have been completed on site is one of the key regulatory activities of building standards and this indicator relates to council key outcomes of protecting the built and natural environment and improving the economic situation of West Lothian.</p> <p>All dates are held within the database that building standards use and this indicator is based on data collected at the end of a financial year.</p>	<b>Traffic Light Icon</b>	
		<b>Current Value</b>	94.93%
		<b>Current Target</b>	90%



**Trend Chart Commentary:**

The trend shows that the 2016/17 performance of 94.93% was lower than the 2015/16 performance of 97.95%.

This reduction occurred as a result of a large number of completion submissions being received for external wall insulation upgrade programmes where every property required an individual completion submission.

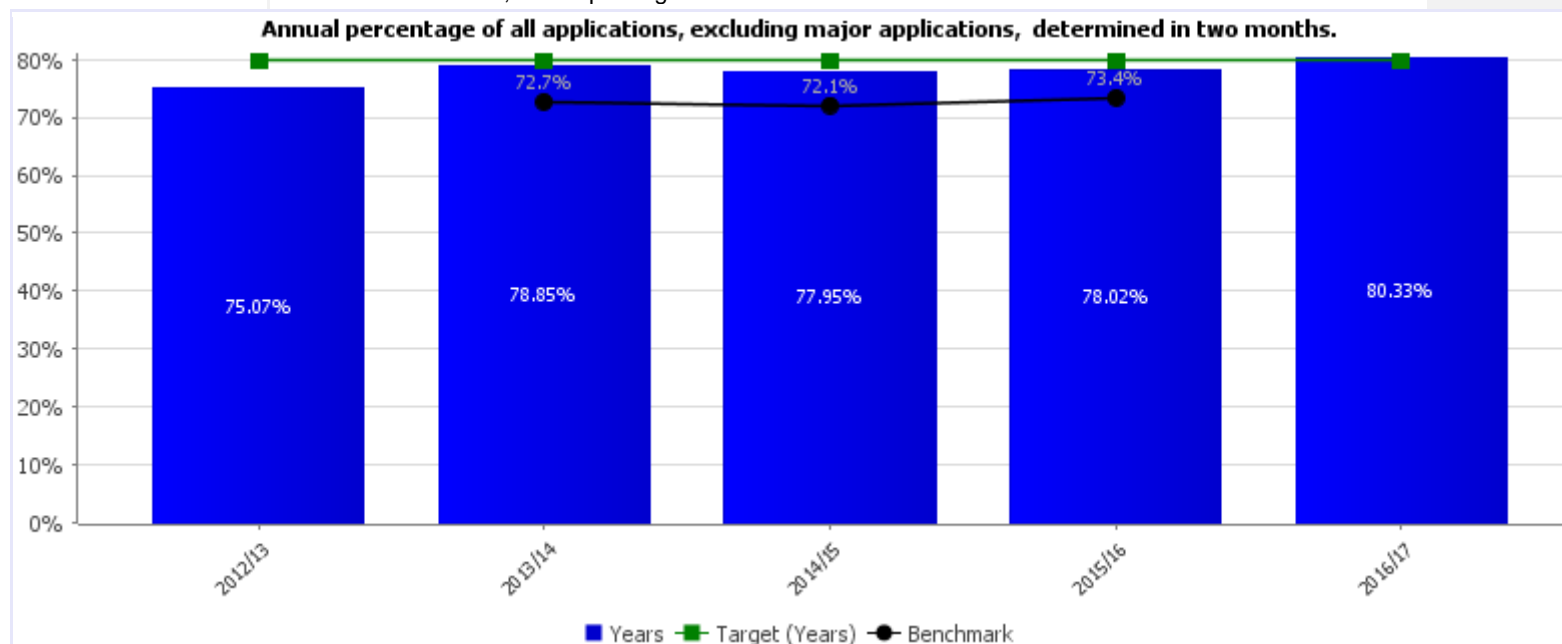
In 2013/14 the target was raised to 90% as prior to this the trend showed that the service had maintained a level of performance exceeding the original target of 80% of completion of certificates accepted within three days. The 80% of completion of certificates accepted within three days is the former accounts commission national target and is used for benchmarking purposes. We also benchmark against Renfrewshire council's target of 95%.

For information, the number of completion certificate submissions accepted each financial year was as follows:

2016/17 1891 out of 1992  
2015/16 1480 out of 1511  
2014/15 1585 out of 1628  
2013/14 1270 out of 1314  
2012/13 1051 out of 1218

Although performance has exceed the target, an increase in the number and complexity of applications being received as a result of economic recovery will make achieving this level of performance more challenging in the coming year. Notwithstanding this the target will be raised to 95% for 2017/18 and will be reviewed for financial year 2018/19.

<b>PI Code &amp; Short Name</b>	<b>P:DM033_9b.1a Annual percentage of all applications, excluding major applications, determined in two months.</b>	<b>PI Owner</b>	zDM_PIAAdmin; Ross Burton
<b>Description</b>	<p>This performance indicator measures the percentage of all local planning and other applications determined (fully assessed and decision has been issued) within 2 months by the council. It includes householder planning applications.</p> <p>This category excludes major applications. Major applications are generally for the large development proposals including housing sites for 50 or more units and developments on sites of greater than 2 Ha.</p> <p>The assessment of a planning application relates to the council's key outcomes for protecting the natural and built environment, and improving the economic situation of West Lothian.</p>	<b>Traffic Light Icon</b>	
		<b>Current Value</b>	80.33%
		<b>Current Target</b>	80%



#### **Trend Chart Commentary:**

The council's performance in 2016/17 at 80.33% (588 out of 732 applications determined) is an improvement on the previous year's performance of 78.02% (614 of 787 applications determined) and is the highest reported performance against this indicator in recent years. It is the first time that performance has exceeded the council's 80% target for this indicator.

There has been a steady improvement in performance against this indicator over the last 5 years. There has also been a new management structure in place since October 2016 which has

overseen the introduction of more regular weekly performance monitoring. Performance for this indicator has improved to the extent that over 80% performance has been achieved in each of the last six months.


For the purposes of benchmarking and from figures available in the council's latest Planning Performance Framework submission for 2015/16, in a national context the council's performance for this indicator is above the 2015/16 annual Scottish average of 73.4%. Comparative national figures for 2016/17 will not be available until August 2017. The data will be updated at that time.

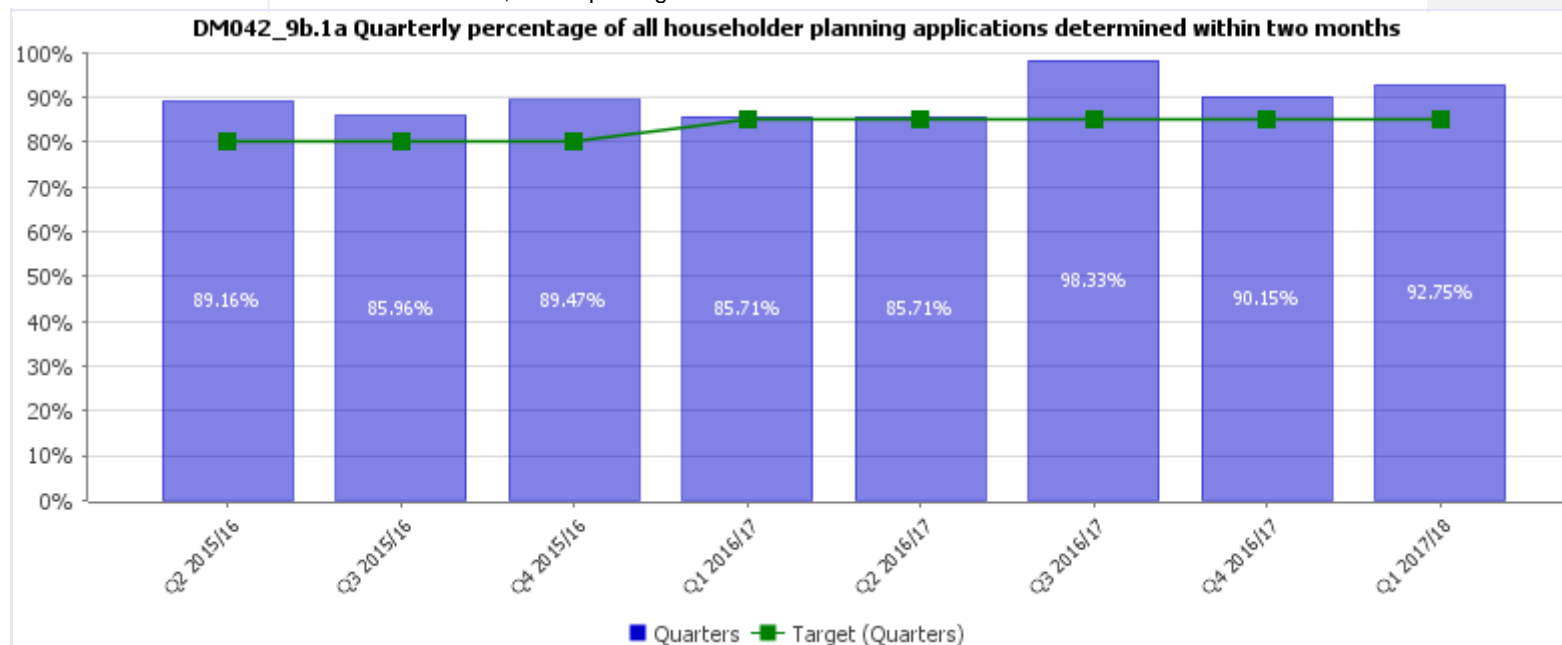
West Lothian Council, in a Scottish context, had the fourth highest proportion of local planning applications of the 32 authorities that were subject to a legal agreement in 2015/16 and this will inevitably extend the time period for determination of this category of planning application.

Over the last five years the number of all non-major applications determined in 2 months, out of the total number of all such applications, is as follows:

2016/17 588 out of 732  
2015/16 614 out of 787  
2014/15 548 out of 703  
2013/14 578 out of 733  
2012/13 542 out of 722

The target has been reviewed and will remain at 80%, which is the statutory target for 2017/18. This target will, however, be reviewed during 2017/18 if month on month performance remains above the 80% target.

<b>PI Code &amp; Short Name</b>	<b>DM042_9b.1a Quarterly percentage of all householder planning applications determined within two months</b>	<b>PI Owner</b>	zDM_PIAAdmin; Ross Burton
<b>Description</b>	<p>This performance indicator measures on a quarterly basis the percentage of all householder planning applications determined (fully assessed and decision has been issued) within 2 months.</p> <p>Householder applications are those applications which are for works to existing houses and flats. The 2 month target is a statutory target.</p> <p>The assessment of a planning application relates to the council's key outcomes for protecting the natural and built environment, and improving the economic situation of West Lothian.</p>	<b>Traffic Light Icon</b>	
		<b>Current Value</b>	92.75%
		<b>Current Target</b>	85%



**Trend Chart Commentary:**

The figure for Q1 2017/18 better the target of 85% and is an improvement on the previous quarter's figure of 90.15%. From a total of 69 applications determined during this period, five were delayed, because of applications being called to committee and agents failing to respond timeously to requests for amended drawings, following negotiations to improve the proposal to make it acceptable.

Improvements negotiated to householder applications are now recorded; the most recently audited figures suggest that 30% of householder applications have been improved by the case officer, while continuing to meet high targets.

The performance data shows the number of all householder applications determined in 2 months, out of the total number of all such applications, is as follows:

Q1 2017/18 64 out of 69

Q4 2016/17 55 out of 61

Q3 2016/17 59 out of 60

Q2 2016/17 78 out of 91


Q1 2016/17 78 out of 91

Q4 2015/16 51 out of 57

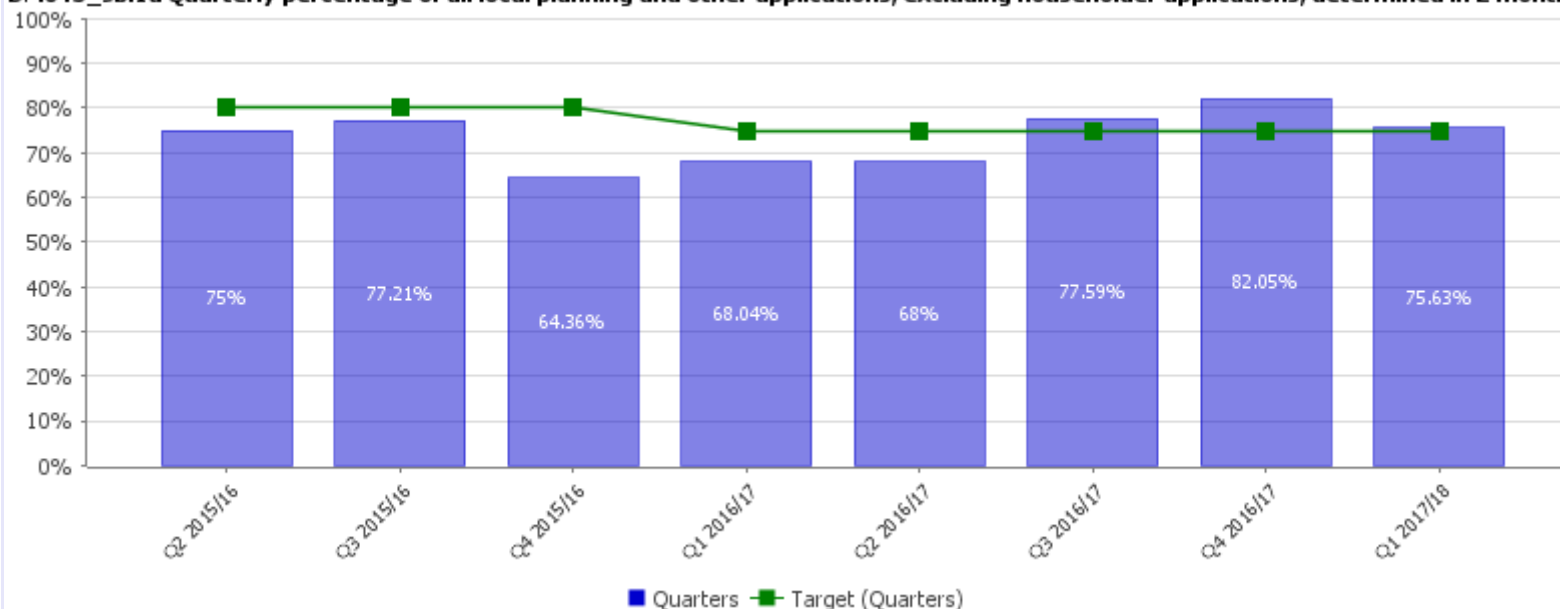
Q3 2015/16 49 out of 57

Q2 2015/16 74 out of 83

Performance has been above target for the last five years and given that 85% has been achieved in the past this will be set as the target for 2017/18, to be reviewed following any changes to the process of determination which come from any review of delegated procedures.

<b>PI Code &amp; Short Name</b>	<b>DM043_9b.1a Quarterly percentage of all local planning and other applications, excluding householder applications, determined in 2 months</b>	<b>PI Owner</b>	zDM_PIAAdmin; Ross Burton
<b>Description</b>	<p>This performance indicator measures the percentage of all local planning and other applications determined (fully assessed and decision has been issued) on a quarterly basis by the council. It includes householder planning applications.</p> <p>This category excludes major applications. Major applications are generally for the large development proposals including housing sites for 50 or more units and developments on sites of greater than 2 Ha.</p> <p>The assessment of a planning application relates to the council's key outcomes for protecting the natural and built environment, and improving the economic situation of West Lothian.</p>	<b>Traffic Light Icon</b>	
		<b>Current Value</b>	75.63%
		<b>Current Target</b>	75%

**DM043\_9b.1a Quarterly percentage of all local planning and other applications, excluding householder applications, determined in 2 months**



**Trend Chart Commentary:**

Performance in Q1 of 2017/18 exceeded the target for the third consecutive quarter. This represents a continuity of performance, which has been overseen by regular weekly performance monitoring which was introduced when a new management structure was introduced in October 2016.

During this quarter 119 applications were determined, out of which 29 did not meet the target. Seven applications had legal agreements or listed building/conservation area issues; the remainder were delayed because of continuation at committee, late consultee responses or because of negotiations to make proposals acceptable in planning terms or to overcome an



objection.

The exclusion of householder applications, which are also statutorily defined as 'local' applications, reduces the overall percentage of all applications determined in two months, given the fact that householder applications do not normally require consultations or legal agreements and are therefore able to be determined more quickly than other local applications.

For benchmarking purposes and from the most recent figures available from the Scottish Government, West Lothian Council, in a Scottish context, had the fourth highest proportion of local planning applications that were subject to a legal agreement, and this will inevitably extend the time period for determination of this category of planning application.

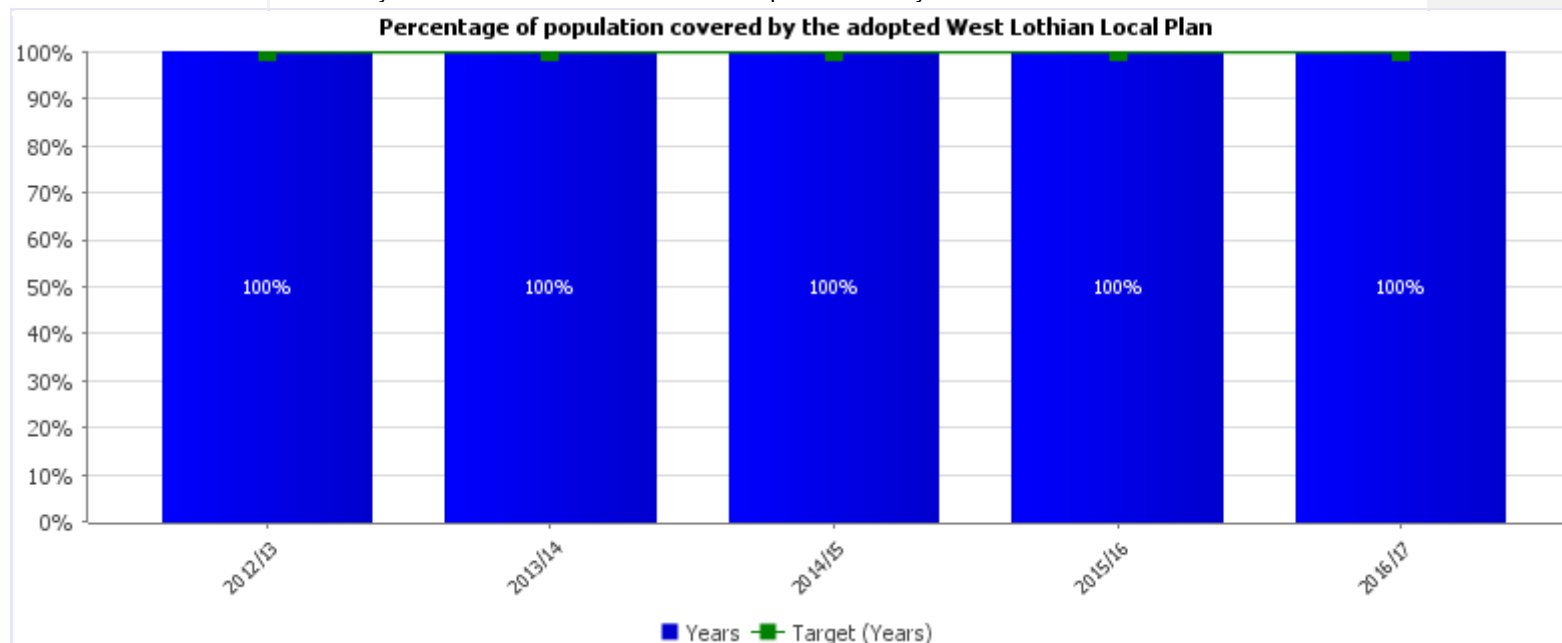
The council has the 4th highest proportion of local applications in the country with legal agreements, but determined them faster than the three local authorities with more of this category of application.

The performance data shows the number of all local planning and other applications determined in 2 months, out of the total number of all such applications, and is as follows:

Q1 2017/18 90 out of 119  
Q4 2016/17 96 out of 117  
Q3 2016/17 90 out of 116  
Q2 2016/17 68 out of 100  
Q1 2016/17 66 out of 97  
Q4 2015/16 65 out of 101  
Q3 2015/16 105 out of 136  
Q2 2015/16 99 out of 132

The performance target for 2016/17 has been set at 75%, to reflect the fact that householder applications, which are less complex and require fewer consultations and no legal agreements, are excluded from the calculations. This target will be reviewed in 2017/18, following the forthcoming changes to Development Management's delegated procedures.

<b>PI Code &amp; Short Name</b>	<b>CP:DP001_9b.1b Percentage of population covered by the adopted West Lothian Local Plan</b>	<b>PI Owner</b>	zDP_PIAAdmin; Fiona McBrierty
<b>Description</b>	<p>This performance indicator measures the percentage of the population covered by the West Lothian Local Plan. The West Lothian Local Plan sets out the development strategy for West Lothian over a 5-10 year period and provides communities and the development industry with details of future development sites and proposals across the area. The preparation of local plans is a statutory requirement. Local plans are required by Scottish Government to be updated and replaced every five years.</p> <p>Data to inform the local plan is sourced from a variety of areas including Scottish Government policy, community council involvement and the development industry.</p>	<b>Traffic Light Icon</b>	
		<b>Current Value</b>	100%
		<b>Current Target</b>	100%




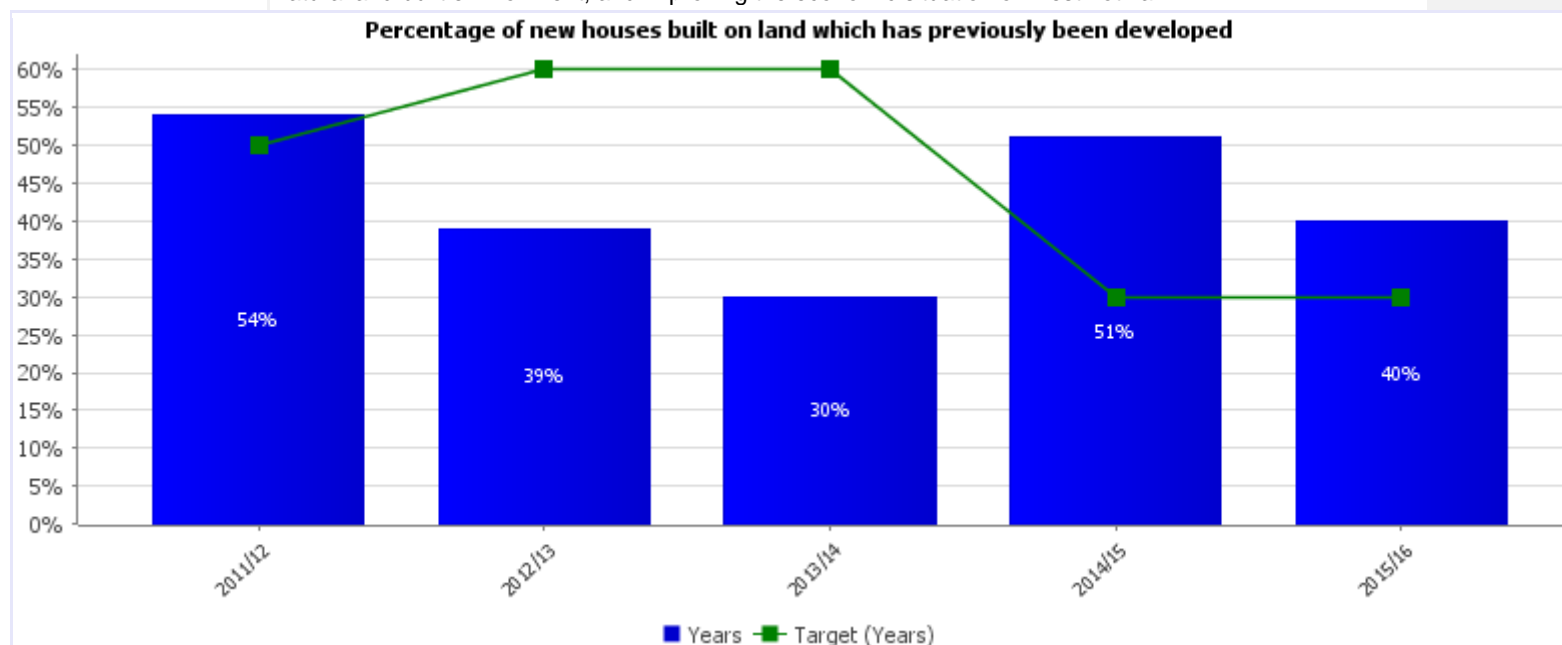
#### Trend Chart Commentary:

Over the period between 2012/13 to 2016/17 the percentage of population covered by the West Lothian Local Plan has consistently remained at 100%. This reflects the fact that the plan continues to form part of the development plan for West Lothian and will continue to do so until it is replaced.

The preparation of a development plan is a statutory requirement. All parts of West Lothian are required to have an up to date development plan in place. Work on a replacement plan has commenced.

The target for 2017/18 will remain at 100%. It is anticipated, however, that by late 2017 the West Lothian Local Plan will have been replaced by the West Lothian Local Development Plan. 100 % of the population of West Lothian would be covered by the adopted West Lothian Local Development Plan.

<b>PI Code &amp; Short Name</b>	<b>CP:DP009_9b.1a Percentage of new houses built on land which has previously been developed</b>	<b>PI Owner</b>	zDP_PIAAdmin; Fiona McBrierty
<b>Description</b>	<p>This performance indicator measures the percentage of new houses built on land which has previously been developed, otherwise known as 'brownfield' land.</p> <p>Planning authorities are required by statute to promote the efficient use of land and buildings, direct development towards sites within existing settlements where possible, make effective use of existing infrastructure and to reduce energy consumption.</p> <p>Development on 'brownfield' land, provides an indication of how much development is taking place and assists in monitoring the amount of vacant and derelict land. It can be used as a measure of how successful planning policies are in helping to make the best use of scarce land resources.</p> <p>The assessment of development on brownfield land relates to the council's key outcomes for protecting the natural and built environment, and improving the economic situation of West Lothian.</p>	<b>Traffic Light Icon</b>	
		<b>Current Value</b>	40%
		<b>Current Target</b>	30%



**Trend Chart Commentary:**

House completion figures for 2015/16 were 895 house completions, 40% of these were on brownfield land.

The percentage of completions on brownfield land in 2015/16 is a decrease on the percentage of completions on brownfield land in the previous year when, during 2014/15 the percentage of brownfield land developed was 51%. However, both the 2014/15 and 2015/16 returns show an increase on 2013/14 when the percentage of brownfield land developed was 30% and on 2012/13 when the percentage of brownfield land developed was 39%.

Targets for new houses built on land which has previously been developed (brownfield land) are influenced to an extent by the allocation of land for development in the West Lothian Local Plan and the West Lothian Local Development Plan. As sites are developed the supply of brownfield land may well reduce unless other sites come forward. To reflect the increase in the number of new houses built on land which has been previously been developed during 2015/16, and having regard to the level of house completions on such land in previous years, an average number of completions over the years 2011/12 to 2015/16 can be identified at 54%.


Housing completion figures for 2016/17 will only become available upon completion of the 2017 Housing Land Audit.

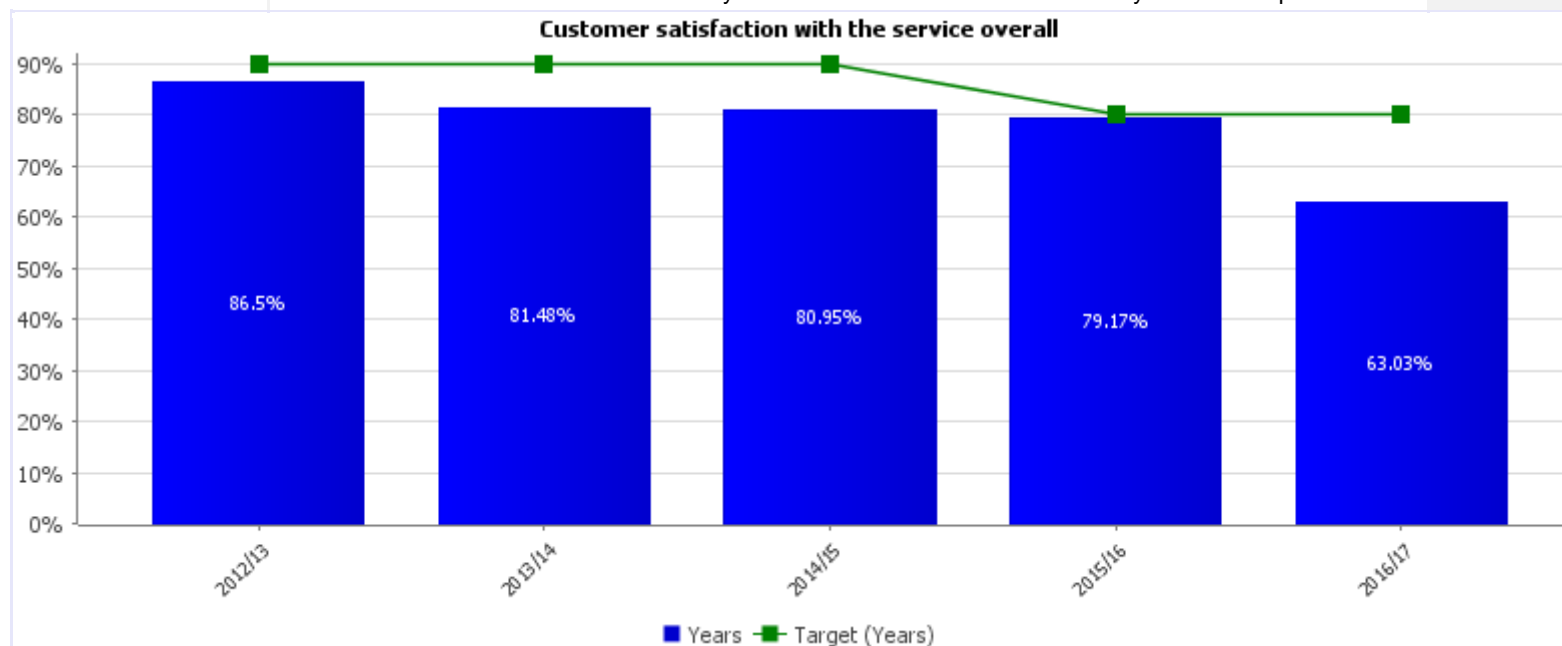
Performance data over the period 2012/13 to 2015/16 for the number of housing completions on brownfield land against the total number of housing completions is as follows:

2015/16 340 out of 895  
2014/15 373 out of 775  
2013/14 184 out of 615  
2012/13 202 out of 523  
2011/12 123 out of 229

The target decrease from 50% in 2011/12 to 60% in 2012/13 and 2013/14 was reflective of the council agreeing to relax the level of financial contributions from developers associated with new residential development. This was to help reduce overall development costs and improve the viability of the remaining 'brownfield' sites.

The target was revised to 30% for 2014/15 to reflect the total number of housing units on brownfield land proposed for development in the emerging West Lothian Local Development Plan. However, this target was exceeded principally due to development moving forward on two large brownfield development sites – Wester Inch and Little Boghead, Bathgate. The target for 2015/16 was amended to reflect this and will be further reviewed for 2016/17 having been informed by housing completion figures from the agreed 2016 Housing Land Audit. A further review of the target will be undertaken for 2017/18 having been informed by the agreed target for 2016/17, the 2017 Housing Land Audit and the site allocations in the West Lothian Local Development Plan as it moves forward to adoption.

<b>PI Code &amp; Short Name</b>	<b>P:STP005_6a.7 Customer satisfaction with the service overall</b>	<b>PI Owner</b>	zSTP_PIAAdmin; Jim McGinley
<b>Description</b>	<p>This performance indicator measures the percentage of customers who rated the overall quality of service provided by Planning Services as good or excellent.</p> <p>Customer feedback is sought via customer survey and customers are asked to rate the overall quality of the audit service provided as; excellent, good, adequate, poor or very poor. All responses ranked as either 'Excellent' or 'Good' are recorded as positive responses. Number of positive responses are divided by the total number of responses to determine a percentage.</p> <p>The results of customer feedback are analysed on annual basis in order to identify areas for improvement.</p>	<b>Traffic Light Icon</b>	
		<b>Current Value</b>	63.03%
		<b>Current Target</b>	80%



**Trend Chart Commentary:**

The trend chart shows that the reported performance of 63.03% for 2016/17 was lower than the reported performance of 79.17% for 2015/16.

The customer comments received are currently being analysed and service managers will identify areas for improvement from these. These areas for improvement will be included in an action plan for 2017/18 and upon satisfactory conclusion will be included in a service “You Said, We Did” communication to customers.

The trend chart shows that the levels have dropped over the chart period from a high of 86.5% in 2012/13 to a low of 63.03% in 2016/17.

The drop in customer satisfaction between 2012/13 and 2013/14 occurred at a time when there was a significant change in the way the service deals with customer contact, with customers being directed to the Customer Service Centre and to an on-line service delivery. Further changes occurred at the start of 2014/15 when the duty service which had allowed customers to obtain advice from a duty officer was removed.

During 2015/16 a service restructure was completed and further associated channel shift changes to service delivery were introduced to the service. This on-going change contributed to a further drop in customer satisfaction to 79.17% for 2015/16 and as a result the customer satisfaction target was reduced to 80% for 2015/16 to allow these changes to operating procedures to bed in and become the norm for customers.

For information the number of customer surveys responded to in each financial year was as follows:

2016/17 104 out of 165

2015/16 55 out of 73


2014/15 34 out of 42

2013/14 88 out of 108

2012/13 64 out of 74

The 80% target was reassessed and retained for 2016/17 to allow the changes to service delivery to become embedded within both the service and in our customers' experience however given the reported performance for 2016/17 is 63.03% this may have been too challenging given the ongoing channel shift initiatives.

This target had been reassessed for 2017/18 and will be 75% to allow changes to operating procedures to bed in and become the norm for customers and will be reassessed for 2018/19.

<b>PI Code &amp; Short Name</b>	<b>STP012_6a.2 Customer satisfaction with the service delivered</b>	<b>PI Owner</b>	zSTP_PIAAdmin; Jim McGinley
<b>Description</b>	<p>This performance indicator measures the percentage of customers who rated the service delivered by Planning Services as good or excellent. Customer feedback is sought via customer survey and customers are asked to rate the service delivered as: excellent, good, adequate, poor or very poor. All responses ranked as either 'Excellent' or 'Good' are recorded as a positive response.</p> <p>Number of positive responses are divided by the total number of responses to determine a percentage.</p> <p>The results of customer feedback are analysed on annual basis in order to identify areas for improvement.</p>	<b>Traffic Light Icon</b>	
		<b>Current Value</b>	61.68%
		<b>Current Target</b>	75%



**Trend Chart Commentary:**

The trend chart shows that the reported performance 61.88% for 2016/17 was lower than the reported performance of 70.83% for 2015/16.

The customer comments received are currently being analysed and service managers will identify areas for improvement from these. These areas for improvement will be included in an action plan for 2017/18 and upon satisfactory conclusion will be included in a service "You Said, We Did" communication to customers.

The trend chart shows that the levels have fluctuated over the chart period from a high of 85% in 2011/12 to a low of 61.88% in 2016/17.

The reported performance of 61.88% in 2016/17 is the lowest level achieved over the chart period.



The reduction in satisfaction between 2012/13 and 2014/15 had occurred at a time when there was a significant change in the way the service deals with customer contact with customers being directed to the Customer Service Centre and to on-line service delivery along with the removal of duty service which had allowed customers to obtain advice from a duty officer without an appointment.

Following on from these changes a service restructure and further associated channel shift changes to work practices occurred in 2015/16 and 2016/17 which has contributed to a further reduction in reported performance.

For information the number of customer surveys responded to in each financial year was as follows:

2016/17 103 out of 167


2015/16 54 out of 72

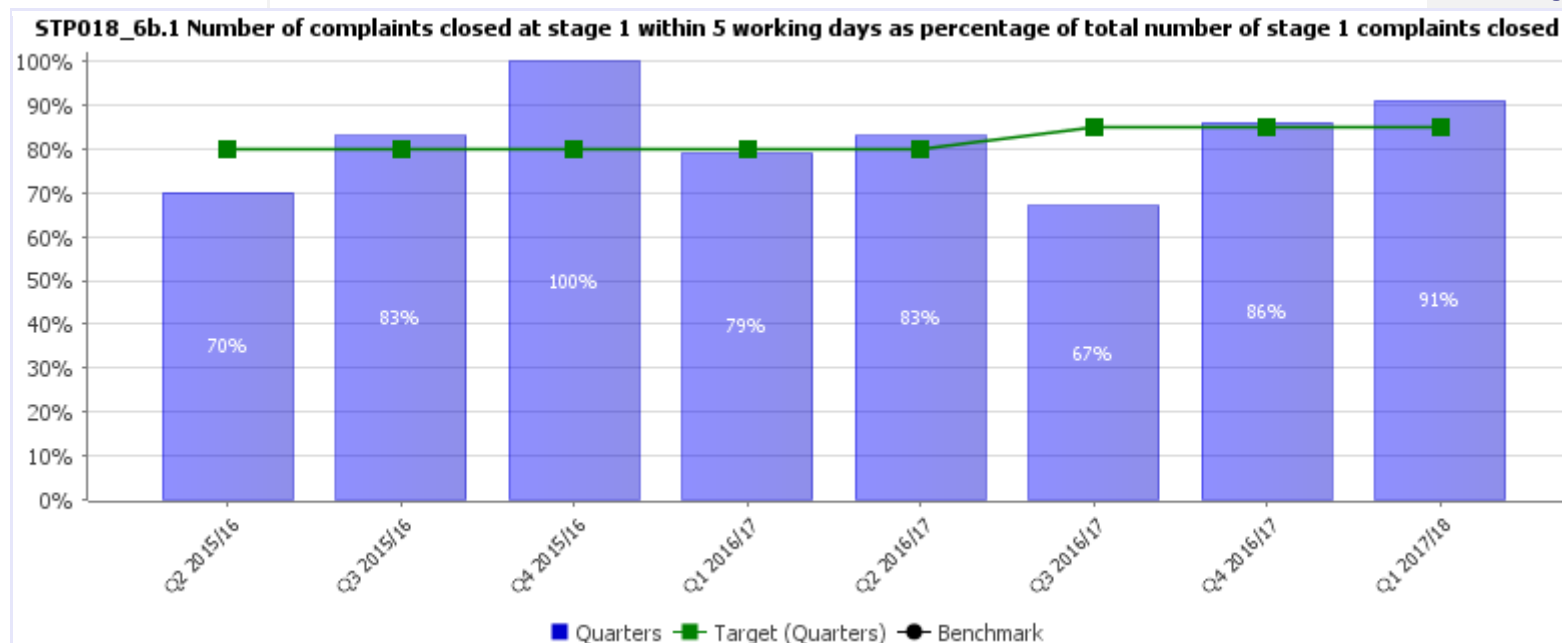
2014/15 33 out of 42

2013/14 89 out of 108

2012/13 61 out of 76

The target for 2017/18 has been set at 75% to allow these changes to operating procedures to become embedded within both the service and in our customers' experience. This target will be reassessed for 2018/19.

<b>PI Code &amp; Short Name</b>	<b>STP018_6b.1 Number of complaints closed at stage 1 within 5 working days as percentage of total number of stage 1 complaints closed</b>	<b>PI Owner</b>	zSTP_PIAAdmin; Ross Burton
<b>Description</b>	This indicator measures the total number of stage one complaints (complaints that the council aims to deal with within 5 working days) which are closed within 5 working days as a percentage of the total number of stage one complaints closed by Planning Services.	<b>Traffic Light Icon</b>	
		<b>Current Value</b>	91%
		<b>Current Target</b>	85%



#### **Trend Chart Commentary:**


In Q1 2017/18 10 out of 11 complaints were responded to within the Service Level Agreement, giving a figure of 91%, above the target of 85% and above the council average of 86.2%. The figure of 91% is the highest since Q4 2015/16 and shows a continuous improvement in performance over the past three quarters.

The complaint which was not responded to within the service level agreement was to do with an enforcement complaint, for which the investigative site visit was delayed because of a backlog of enforcement cases. A new tracking system for responses to enforcement complaints has been introduced which should ensure that complainants are updated within the SLA if there is a delay in visiting the site of an enforcement complaint.

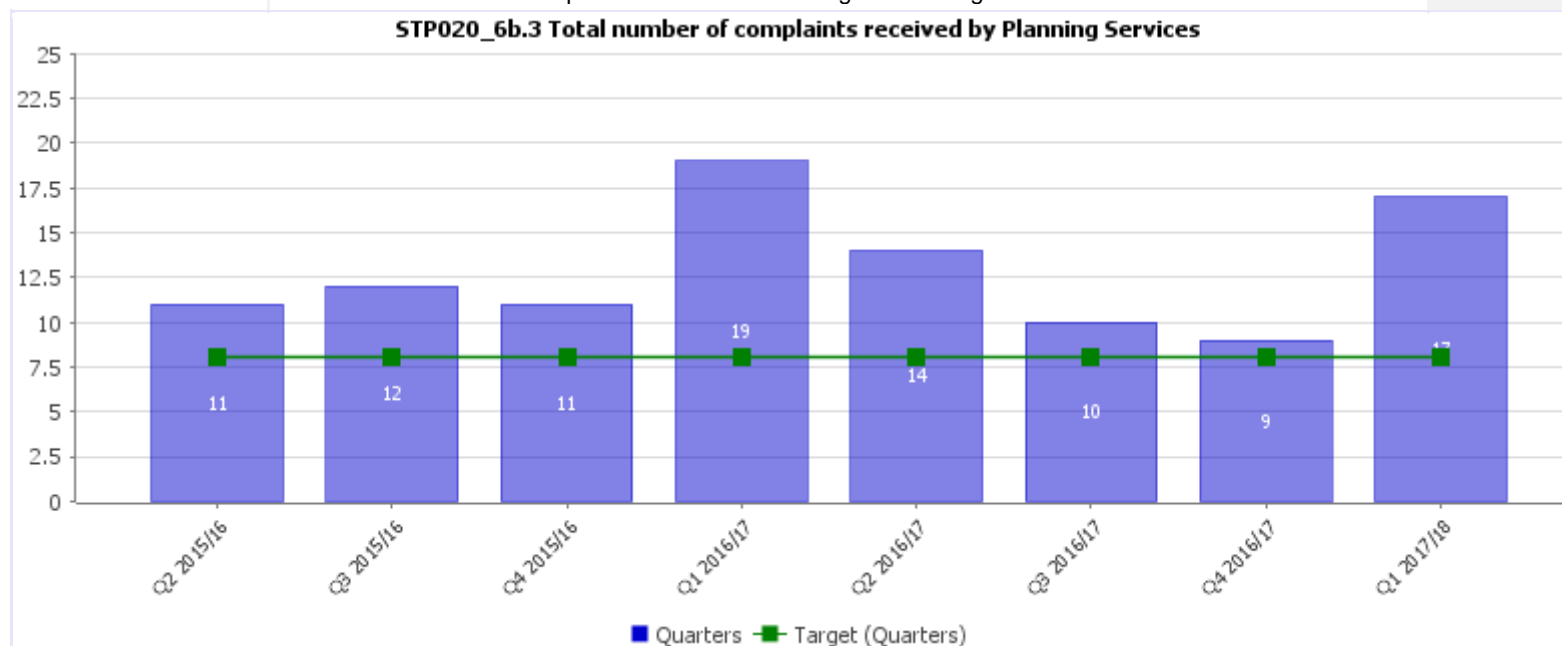
This performance indicator has only been recorded since the start of 2014/15. The short term trend is one of increasing performance. This has been achieved as a result of a more robust complaint tracking process being implemented.

Q1 2017/18 10 out of 11 complaints responded to within 5 days. Council wide average 86.2%  
Q4 2016/17 6 out of 7 complaints responded to within 5 days. Council wide average: 86%  
Q3 2016/17 4 out of 6 complaints responded to within 5 working days. Council wide average: 85.5%  
Q2 2016/17 10 out of 12 complaints responded to within 5 working days. Council wide average: 83.1%  
Q1 2016/17 11 out of 14 complaints responded to within 5 working days. Council wide average: 85.3%  
Q4 2015/16 7 out of 7 complaints responded to within 5 working days. Council wide average: 84.4%  
Q3 2015/16 10 out of 12 complaints responded within 5 working days. Council wide average: 89.5%  
Q2 2015/16 7 out of 10 complaints responded within 5 working days. Council wide average: 83.4%

Target for 2016/17 was originally set at 80% however a corporate decision was made to increase it to 85% for the remainder of the year.  
Target for 2017/18 will remain at corporate level.

<b>PI Code &amp; Short Name</b>	<b>STP020_6b.3 Total number of complaints received by Planning Services</b>	<b>PI Owner</b>	zSTP_PIAAdmin; Ross Burton
<b>Description</b>	This indicator measures the total number of complaints received by Planning Services. It is the total number of complaints received by Planning Services at stage one (complaints that the council aims to deal with within 5 working days) and those received directly at stage two (more complex complaints that the council aims to deal with within 20 working days).	<b>Traffic Light Icon</b>	
		<b>Current Value</b>	17
		<b>Current Target</b>	8

Note: This is to ensure complaints escalated from stage 1 and stage 2 are not double counted.



#### Trend Chart Commentary:

In Q1 2017/18 the Service received total of 17 complaints, the highest number since Q1 2016/17. Of that figure, 9 complaints related to standard of service (8 not upheld, 1 part upheld); 3 related to poor communication (2 upheld); 3 related to waiting time (1 upheld, 1 part upheld); 1 related to employee attitude (part upheld); and 1 was policy related (part upheld).

Analysis of the complaints about standards of service show that some were to do with lack of a duty officer service, which has been implemented because of the 'Channel Shift' council-wide policy which reduces direct contact between council officers and the public and a move towards online contact. The complaint in this category which was part upheld was to do with neighbour notification and has resulted in improved processes to double check on notification requirements being put in place. The complaints about poor communication in relation to an enforcement case have resulted in an improved traffic light reminder system being designed by enforcement staff and introduced. Other complaints have resulted in discussions at team meetings and reminders to staff about the importance of responding within set timescales.

The target going forward will be to reduce the level of complaints to that being received prior to service standard changes being implemented. The target is therefore set at 8 complaints per quarter for 2017/18.





## **PERFORMANCE COMMITTEE**

### **SELF-ASSESSMENT 2017-20**

#### **REPORT BY DEPUTE CHIEF EXECUTIVE**

##### **A. PURPOSE OF REPORT**

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

##### **B. RECOMMENDATION**

That the Committee notes:

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

##### **C. SUMMARY OF IMPLICATIONS**

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

<b>VI Resources - (Financial, Staffing and Property)</b>	None
<b>VII Consideration at PDSP</b>	N/A
<b>VIII Consultations</b>	<ul style="list-style-type: none"> <li>• Executive Management Team</li> <li>• Partnership and Resources Policy and Development Scrutiny Panel</li> </ul>

## **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. Regular, programmed self-assessment is also an integral part of improvement planning and preparation for external inspection.

Following completion in 2016/17 of the three year programme of assessment in council services (excluding schools), this report sets out findings from a review of the approach to self-assessment and details how the next corporate self-assessment programme will change.

### **D.2 Self-Assessment in West Lothian Council**

Self-assessment is an improvement process that requires systematic and regular review of a service or organisation's activities and results against a standard model of business excellence. Used effectively, it can drive performance improvement and provide the organisation with detailed management information of the relative strengths and capacity for delivering or improving performance in strategic outcomes.

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.

The council has two programmes of self-assessment; one for services and a separate process for schools.

#### Self-assessment in West Lothian Schools

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.

Outcomes from the VSE process are reported to the Education Quality Assurance Committee.



### **D.3 West Lothian Assessment Model**

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 public services and third sector organisations in Scotland and Northern Ireland.

The WLAM is used to assess the quality and cost effectiveness of council services provided to the community. It 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.

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.

Services will also report to Performance Committee on the outcome and findings from the WLAM process. This ensures Elected Members are appropriately engaged in improvement processes and provided with information about service performance and progress in key outcomes on a scheduled basis. It also allows members to influence the direction and pace of improvement in services.

### **D.3 Review of Self-Assessment**

The self-assessment approach in the council is regularly challenged through external validation and accreditation programmes in the Customer Service Excellence (CSE) standard, Investors in People (IIP) framework and EFQM Recognised for Excellence. It will also be evaluated by external auditors as part of the Best Value Audit Review and the annual audit processes.

On completion of the three year programme of self-assessment in council services (excluding schools) in 2016/17, a review of the process and framework was completed to assess if the arrangements would remain fit for purpose.

The council has been found to have a rigorous approach to self-assessment in both the corporate and schools programmes. They are supporting improvement in performance and have increased the quality of management information available about progress in services and schools. The process outputs, such as scoring and Review Panel outcomes, provide information that allows the pace of improvement to be monitored and resources to be targeted to services requiring additional support and/or scrutiny.

Self-assessment has also supported the council's Best Value Framework and contributed towards maintenance of a number of external standards and accreditations, such as CSE, IIP, Investors in Young People (IIYP) 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.

#### **D.4 Self-Assessment 2017-20**

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 will need to be supported by renewed and appropriate internal challenge and scrutiny processes.

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 was appropriate to consider the options for self-assessment that were open to the council.

In evaluating the options some assumptions were 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 would continue to use self-assessment as an improvement and management tool. Also, that the council would 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. How Good is Our Council
4. EFQM Excellence Model

An evaluation of the options for the self-assessment programme that were considered are set out:

##### 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.

Decision: not to adopt the new version of WLAM/PSIF. 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.

#### 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.

Decision: not to adopt the PSIF Checklist. The checklist approach was reviewed and it was assessed that this light touch self-assessment would not support established improvement and performance management processes in the council.

#### Option 3: 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.

Decision: not to adopt another framework. The time and resource required to establish a new approach to self-assessment, and develop the expertise that a large organisation requires to support it, would be prohibitive at this time.

#### Option 4: Adopt EFQM Excellence Model

The council could revert 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 is consistent. NHS West Lothian currently uses EFQM for self-assessment activity, as do West Lothian Leisure.

The council originally adapted the EFQM Excellence Model to better fit the local government context, however has latterly used it for corporate external assessment.

Decision: to adopt the EFQM Excellence Model. This is an established framework used by organisations across all sectors 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. Using EFQM will also support the council to benchmark and learn from best practice of sector leading organisations.

### **D.5 WLAM Process 2017-20**

The adoption of the EFQM Model will mean that the council has a rigorous framework for self-assessment and improvement in place for the next three years.

As the previous framework was based on EFQM, the council has the skills and knowledge already in place to support this process and importantly, past scores and outcomes are still relevant and comparable. The self-assessment process will remain the same and will retain the name the West Lothian Assessment Model (WLAM).

The new three-year WLAM programme will now be developed and initiated, with Performance Committee receiving the first reports from services in early 2018. Assessments will take place in all council services on a phased basis across the remainder of 2017-18, 2018-19 and 2019-20.

## **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 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.

Following the review of the available options the council will revert to using the EFQM Excellence Model for self-assessment. Allowing 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.

## **F. BACKGROUND REFERENCES**

None

### **Appendices/Attachments:**

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Telephone: 01506 281891 email: [rebecca.kelly@westlothian.gov.uk](mailto:rebecca.kelly@westlothian.gov.uk)

**Graeme Struthers**  
**Depute Chief Executive**  
**9 October 2017**







## **PERFORMANCE COMMITTEE**

### **COMPLAINT PERFORMANCE REPORT QUARTER 1 2017/18**

#### **REPORT BY DEPUTE CHIEF EXECUTIVE**

##### **A. PURPOSE OF REPORT**

To report to the Performance Committee the quarterly analysis of closed complaints in Quarter 1: 2017/18.

##### **B. RECOMMENDATIONS**

It is recommended that the Performance Committee:

1. Note the corporate and service complaint performance against the standards outlined in the council's complaint handling procedure.
2. Continue to monitor complaint performance and request additional information from services as required.

##### **C. SUMMARY OF IMPLICATIONS**

I.	Council Values	<ul style="list-style-type: none"><li>• Focusing on customers' needs</li><li>• Being honest, open and accountable</li></ul>
II.	Policy and Legal (including Strategic Environmental Assessment, Equality Issues, Health or Risk Assessment)	The Public Services Reform (Scotland) Act 2010
III.	Implications for Scheme of Delegations to Officers	None
IV.	Impact on performance and performance indicators	Will provide a robust approach to monitoring complaints performance information covering all council services
V.	Relevance to Single Outcome Agreement	Indicators support various outcomes in the SOA
VI.	Resources (Financial, Staffing and Property)	From existing resources
VII.	Consideration at PDSP	None
VIII.	Other consultations	None

## D. TERMS OF REPORT

### D.1 Background

The Scottish Public Services Ombudsman (SPSO) developed and published a model Complaint Handling Procedure (CHP) in 28 March 2012. The model CHP was to ensure a standardised approach in dealing with customer complaints across the local authority sector.

All local authorities were required to adopt the model CHP by 31 March 2013. The SPSO expect that local authorities will make the best use of complaint information to inform service improvement activity.

The SPSO outlined four elements of the model CHP that that should not be amended to ensure a standardised approach across all local authorities. These are:

- The definition of a complaint
- The number of stages
- Timescales at each stage
- The requirement to record, report and publicise complaints information

### D.2 Corporate Complaint Performance

Table 1 breaks down Quarter 1 complaints by complaint category over a 5 year period.

**Table 1** Quarter 1 complaint category covering period 2013/14 – 2017/18

<b>Complaint Category</b>	<b>Q1 13/14</b>	<b>Q1 14/15</b>	<b>Q1 15/16</b>	<b>Q1 16/17</b>	<b>Q1 17/18</b>
Standard of Service	261	227	230	467	384
Policy Related	55	124	78	177	85
Employee Attitude	77	68	91	80	101
Poor Communication	48	60	55	114	81
Waiting Time	25	34	34	152	46
Missed Appointments	5	3	6	5	4
Not Categorised	5	1	-	-	-
<b>Total Complaints</b>	<b>476</b>	<b>517</b>	<b>494</b>	<b>995</b>	<b>701</b>

The current service level of complaint performance varies across the council and is linked to the complexity and quantity of complaints received. Operational Services and Housing, Customer and Building Services (HCBS) are the main complaint generators by service, accounting for 79.5% (557) of all recorded complaints (701) in Quarter 1: 2017/18.

Further information on the main complaint categories is set out below:

- Standard of Service

The increase in Standard of Service complaints have been generated by Operational Services (219) and HCBS (103) which account for 83.9% (322) of all recorded



complaints in the category. The equivalent quarter in 2016/17, Operational Services (285) and HCBS (80) had a combined total of 365 complaints categorised as Standard of Service.

Of the 219 Operational Services Standard of Service complaints, Waste Services received a total of 153 complaints. These complaints ranged from: missed container collections for trade and households and issues relating to bin/bulky pickup and returns.

During Q1 2017/18, Waste Services closed 153 complaints which is a reduction of 49 when compare to the equivalent quarter in 2016/17 (202).

- Policy

A total of 85 Policy related complaints were received by the council. This was a decrease of 92 from the equivalent quarter in the previous year (177). Operational Services (28) and HCBS (35) account for 74.1% of all Policy complaints. Within Operational Services, Waste Services received 16 complaints which is a reduction of 49 when compared to the equivalent quarter in the previous year. Housing Operations (19) and Building Services (10) were the main Policy complaint generators in HCBS.

- Waiting Time

The main Waiting Time complaints generators are HCBS (22) and Operational Services (17) which accounted for 84.8% of all Waiting Time complaints (46). There was a reduction of 106 Waiting Time complaints when compared to the equivalent quarter in the previous year.

- Poor Communication

In Q1 2017/18, 67.9% (55) of all Poor Communication complaints were generated by HCBS (31) and Operational Services (24). The equivalent quarter in the previous year, HCBS and Operational Services received 51 and 35 complaints respectively.

- Employee Attitude

Employee Attitude complaints have been driven by Operational Services (48) and HCBS (27) which account for 74.3% (75) of all recorded complaints in this category. The equivalent quarter in 2016/17, Operational Services (40) and HCBS (28) had a combined total of 68 complaints categorised as Employee Attitude related.

Appendix 1 to the report provides the council wide performance against the SPSO defined measures covering the period Quarter 1: 2017/18 (April 2017 to June 2017).

### **D.3 Summary of Service Complaint Performance**

The Complaint Steering Board identified 4 high level indicators that provided a summary of complaint handling performance.

The 4 indicators are:

1. Total complaints received
2. Complaints closed within 5 working days
3. Complaints closed within 20 working days
4. Complaints part upheld/upheld

Table 2 provides a summary of service performance against these 4 key indicators.

**Table 2** Quarter 1: 2016/17 and 2017/18 service performance summary

Service	Total complaints		Complaints closed within 5 working days		Complaints closed within 20 working days		Complaints part upheld/ upheld	
	Q1 2016/17	Q1 2017/18	Q1 2016/17	Q1 2017/18	Q1 2016/17	Q1 2017/18	Q1 2016/17	Q1 2017/18
Corporate Services	5	5	100%	66.7%	-	50%	40%	60%
Education Service	84	55	81.1%	81%	80.6%	92.3%	29.8%	30.9%
Exec Office	14	2	100%	-	84.6%	100%	21.4%	0%
Finance and Property Services	38	31	93.3%	93.1%	85.7%	100%	31.6%	6.4%
HCBS	263	221	88.6%	94.7%	87.7%	95.5%	61.6%	49.3%
Operational Services	566	336	84.1%	86.4%	95.8%	100%	70.3%	70.2%
PEDR	24	24	78.9%	94.4%	0%	100%	33.3%	41.7%
Social Policy	1	27	100%	33.3%	-	-	100%	62.9%
<b>Total</b>	<b>995</b>	<b>701</b>	<b>85.3%</b>	<b>86.2%</b>	<b>85.9%</b>	<b>95.0%</b>	<b>61.4%</b>	<b>56.2%</b>

From 1 April 2017, all Social Policy complaints are now included in the council's complaint performance figures. The inclusion of all Social Policy complaints in this year's data will negatively affect their year on year comparative performance.

Table 3 provides a service trend summary of upheld/ part upheld complaints as a percentage of complaints received by quarter covering 2016/17 and Q1 2017/18.

**Table 3** 2016/17 and 2017/18 Service upheld/ part-upheld complaint performance

Service	Q2 2016/17	Q3 2016/17	Q4 2016/17	Q1 2016/17	Q1 2017/18
Corporate Services	80%	0%	20%	40%	60%
Education Service	44.3%	46.9%	46.9%	29.8%	30.9%
Exec Office	50%	18.2%	0%	21.4%	0%
Finance and Property Services	26.3%	31.7%	29.5%	31.6%	6.4%
HCBS	54.2%	46.9%	51.4%	61.6%	49.3%
Operational Services	63.8%	66.2%	73.1%	70.3%	70.2%
PEDR	40%	33.3%	55.5%	33.3%	41.7%
Social Policy	-	50%	0%	100%	62.9%
<b>Total</b>	<b>56.7%</b>	<b>55.2%</b>	<b>59.2%</b>	<b>61.4%</b>	<b>56.2%</b>

Appendix 1 contains the complaint analysis covering Q1: 2017/18 by Service.

Table 4 provides indicative ratios for the number of complaints against the specific customer groups for Education Services, Housing, Customer and Building Services and Operation Services.

**Table 4:** Ratio of complaints to customer group (for main generators of complaints)

Service	Base unit (Q1 2017/18)	Q1 complaint volume	Complaint ratio
Education Services	30,000 pupils	55	1 complaint for every 545 pupils
HC&BS	13,169 council houses	221	1 complaint for every 60 council houses
Operational Services	76,659 households	336	1 complaint for every 228 households

A target of 85% is currently set for the percentage of complaints which must be dealt with within timescale. Generally, services achieve or exceed the processing targets for complaints.

Across the council, 56.2% of all complaints received in Q1:2017/18 were upheld/ part upheld. Operational Services and HCBS received the highest number of complaints and also had the highest percentage of complaints that were upheld/ part upheld. It should be noted that both these services have shown a fall in closed complaints when compared to the equivalent quarter in the previous year.

## **E. CONCLUSION**

There has been a reduction in the number of complaints received when compared to the equivalent quarter in 2016/17. The decrease is partly attributable to a 40% reduction in complaints received by Operational Services in Q1: 2017/18. It is expected that this service will continue to show a reduction in closed complaints across 2017/18 from the levels seen in the previous year.

All services will continue to monitor complaints on a regular basis and use this information to develop and improve service delivery.

## **F. BACKGROUND REFERENCES**

1. [WLC Complaints Handling Procedure](#)

## **Appendices/Attachments: 1**

Appendix 1 Corporate Complaint Performance Q1:2017-18

Contact Person: Joe Murray

E mail: [joe.murray@westlothian.gov.uk](mailto:joe.murray@westlothian.gov.uk) Phone 01506 281893

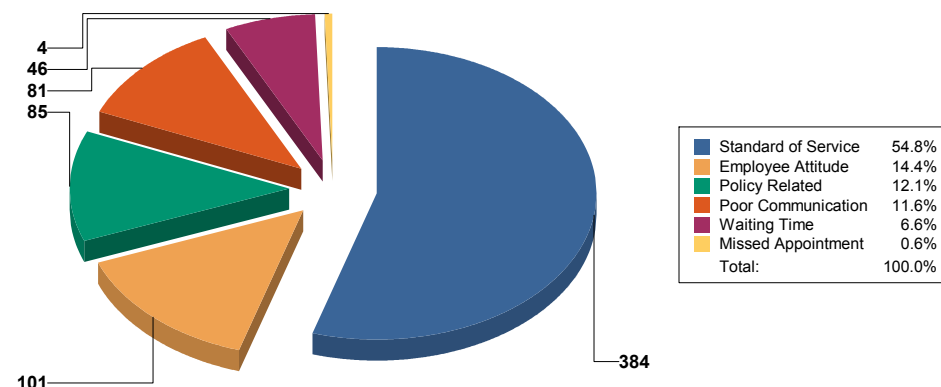
**Graeme Struthers**  
**Depute Chief Executive**  
**9 October 2017**



**Period: 01/04/2017 to 30/06/2017**

This report summarises complaints closed within the period above for all services within Corporate Services. For the purpose of this report all timescales are based on working days and therefore excludes Saturday, Sunday and Public Holidays in the calculations.

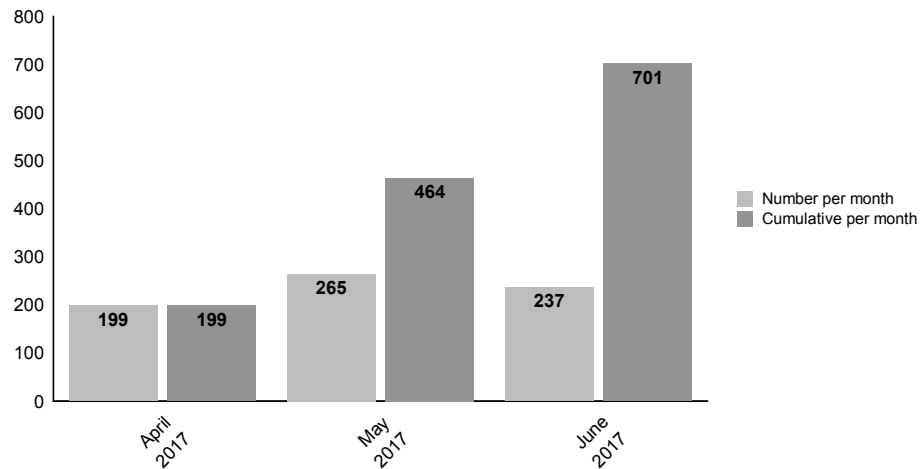
<b>SPSO Performance Indicator</b>		<b>Number</b>	<b>%</b>
<b>1</b>	Total number of complaints	701	
<b>2</b>	Complaints closed at Stage 1	593	84.6%
	Complaints closed at Stage 2	100	14.3%
	Complaints closed at Stage 2 after escalation	8	1.1%
<b>3</b>	Complaints UPHELD at Stage 1	147	24.8%
	Complaints NOT UPHELD at Stage 1	247	41.7%
	Complaints PART UPHELD at Stage 1	199	33.6%
	Complaints UPHELD at Stage 2	19	19.0%
	Complaints NOT UPHELD at Stage 2	55	55.0%
	Complaints PART UPHELD at Stage 2	26	26.0%
	Escalated complaints UPHELD at Stage 2	0	0.0%
	Escalated complaints NOT UPHELD at Stage 2	5	62.5%
	Escalated complaints PART UPHELD at Stage 2	3	37.5%
<b>4</b>	Average working days to respond to a Stage 1 complaint	3.7	Days: 2196
	Average working days to respond to a Stage 2 complaint	12.5	Days: 1250
	Average working days to respond to a Stage 2 after escalation	6.9	Days: 55
<b>5</b>	Complaints closed at Stage 1 within 5 working days	511	86.2%
	Complaints closed at Stage 2 within 20 working days	95	95.0%
	Complaints closed at Stage 2 within 20 working days after escalation	8	100.0%
<b>6</b>	Complaints closed at Stage 1 where an extension has been authorised	9	1.5%
	Complaints closed at Stage 2 where an extension has been authorised	1	1.0%

**Number of Complaints by Reason**


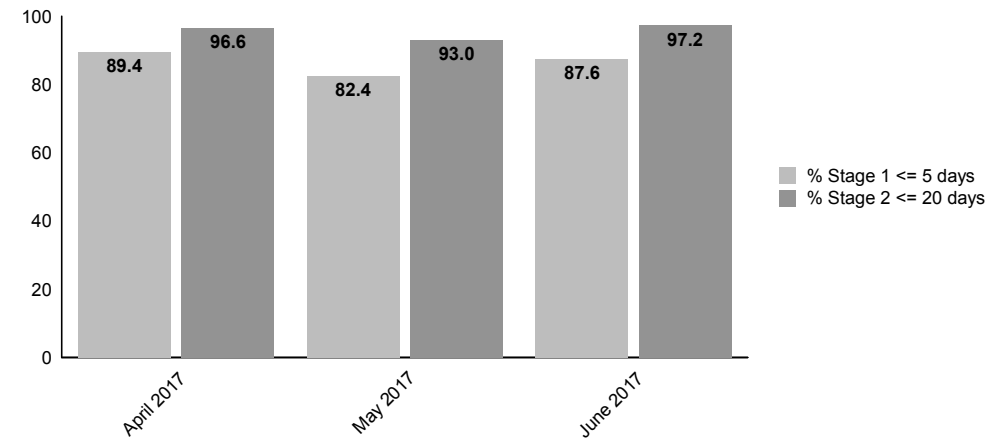
**NB: The totals below include complaints resolved at Stage 1 and Stage 2 as well as complaints closed at Stage 1 then re-opened and handled as Stage 2 (escalated).**

<b>Percentage of all complaints resolved within timeline:</b>	<b>87.6%</b>	<b>(614)</b>
<b>Percentage of all complaints UPHELD:</b>	<b>23.7%</b>	<b>(166)</b>
<b>Percentage of all complaints NOT UPHELD:</b>	<b>43.8%</b>	<b>(307)</b>
<b>Percentage of all complaints PART UPHELD:</b>	<b>32.5%</b>	<b>(228)</b>
<b>Percentage with another or no outcome selected:</b>	<b>0.0%</b>	<b>(0)</b>

**Complaints Closed 2016/2017**  
Number and cumulative per month

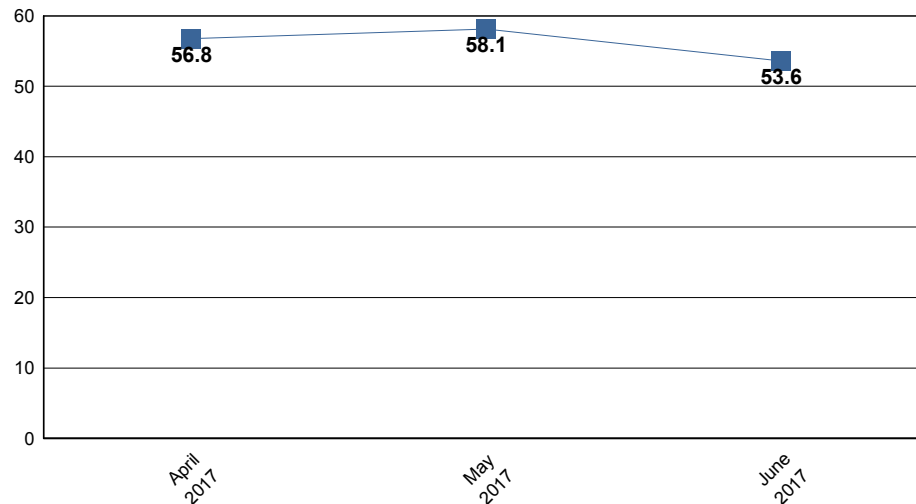


**% Complaints closed within Timeline**  
% Stage 1 within 5 & Stage 2 within 20 working days by month



*Stage 2 figures include complaints escalated from Stage 1 having been closed then re-opened*

**% of Total complaints Upheld & Part Upheld by month 2016/2017**



**Table showing % of complaints closed within SLA at Stage 1 and Stage 2 cumulative by month**

<u>Month/Year</u>	<u>% Stage 1 Closed within 5 Days per month (cumulative)</u>	<u>% Stage 2 Closed within 20 Days per month (cumulative)</u>
April 2017	89.4%	96.6%
May 2017	85.5%	94.4%
June 2017	86.2%	95.4%

*NB - the Stage 2 cumulative figure includes escalated complaints (closed at Stage 1 then reopened as Stage 2).*

**Summary of Secondary Categorisation (Service reason for complaint)**

	<u>Total</u>	<u>STAGE 1</u>			<u>STAGE 2</u>			<u>Escalated</u>		
		<u>Upheld</u>	<u>Part Upheld</u>	<u>Not Upheld</u>	<u>Upheld</u>	<u>Part Upheld</u>	<u>Not Upheld</u>	<u>Upheld</u>	<u>Part Upheld</u>	<u>Not Upheld</u>
<b>Corporate Services</b>	<b>5</b>	<b>1</b>		<b>2</b>		<b>2</b>				
Blue Badge- standard of service	2			1		1				
Inaccurate advice/ information	1					1				
Standard of service general	1	1								
Unprofessional conduct	1			1						
<b>Education</b>	<b>55</b>	<b>10</b>	<b>5</b>	<b>27</b>		<b>2</b>	<b>11</b>			
Bullying - Pupil - Pupil	11		2	8			1			
Bullying - Pupil - Teacher	1			1						
Child Protection	1	1								
Curriculum	6			4		1	1			
Data Protection	2			2						
Discipline	1						1			
Head Teacher	2						2			
Head Teacher & Staff	8	1	1	3			3			
Health & Safety	4	2	1	1						
Office Staff	2		1	1						
Playground Supervisor	1	1								
Pupil Placement	5	1		4						
Road Safety	1						1			
Special Needs	3			1			2			
Standard of Service General	1	1								
Teacher Attitude	6	3		2		1				
<b>Executive Office</b>	<b>2</b>						<b>2</b>			
HCBS	1						1			
Operational Services	1						1			
<b>Finance &amp; Property Service</b>	<b>31</b>	<b>1</b>	<b>1</b>	<b>27</b>			<b>1</b>			<b>1</b>
Claim/information processed incorrectly	8			8						
Delay in processing claim/information	6			5						1
Employee attitude general	4		1	3						
Incorrect or conflicting advice	2	1		1						
Policy related general	2			2						

Data Label: Public

Poor communication general	3		3						
Refusing customer request	1		1						
Standard of service general	5		4		1				
<b>HC&amp;BS</b>	<b>221</b>	<b>41</b>	<b>32</b>	<b>77</b>	<b>16</b>	<b>18</b>	<b>32</b>	<b>2</b>	<b>3</b>
Customer standards not met	30	7	4	13		1	3	1	1
Damages to property	1		1						
Discrimination	1		1						
Driving/ parking issues	3	2	1						
Employee attitude general	20	5	2	10	1	1			1
Failed timescales	1		1						
Failed to reply	1	1							
Failure to reply	1								1
Health & Safety	3		1	1			1		
Inaccurate advice/ information	1		1						
Incorrect or conflicting advice	2		1			1			
Lack of communication	9	2	1	3	3				
Missed appointment general	3	1		2					
No action / Ineffective action taken	12	1		5	1	1	3	1	
Policy related general	30	2		13		4	11		
Poor communication general	14	1	1	4	4	1	3		
Procedure not followed	2	1	1						
Refusing customer request	1					1			
Staff conduct/ attitude	6	1	1	4					
Standard of property/accommodation	8		2	2			4		
Standard of service general	30	9	7	6	1	3	4		
Standard of workmanship	4	1	1	1		1			
Third party supplier	1				1				
Unreasonable delays	3	1			2				
Unresolved repair after visit	5		1			2	2		
Untidy work	4	2	1		1				
Waiting time general	25	4	7	9	2	2	1		
<b>Operational Services</b>	<b>336</b>	<b>80</b>	<b>152</b>	<b>92</b>	<b>3</b>	<b>1</b>	<b>8</b>		
Access Issues	14	1	9	4					
Accessibility Issues	8	1	5	2					
Assisted Bin Collections	6	3	3						
Bin Collection Issues Domestic Data Label: Public	96	14	71	10			1		



Bin Collection Issues Trade	20	5	11	2	2	
Bin Contamination Issues	4		2	2		
Bin Deliveries/ Requests	7	5	1		1	
Bin/ Bulky Pick-Up & Returns	17	3	10	4		
Bin/ Bulky Presentation Issues	3	2		1		
Breach of Policy	1			1		
Bulky Uplift Missed	2	1	1			
Collection Dates/ Routes	2	1	1			
Complaint Handling Procedure	1				1	
Council Policy & Legislation	12		3	7	2	
Damage to Property	10	3	2	4	1	
Discrimination	1	1				
Environmental Concerns	9	4	2	3		
Expectations Not Met	8		5	3		
External 3rd Party	20	1		19		
External Supplier Delays	1			1		
Failed to Reply	2		1	1		
Food Recycling	4	4				
Glass Recycling	1		1			
Grass Left on Paths	5	4		1		
Grass Not Cut/ Missed	8	3	1	4		
Health & Safety	1			1		
Incorrect Conflicting Advice	1		1			
Lack of Communication	4	2	1	1		
Lack of Consultation	4	3			1	
Noise Nuisance	1	1				
Parking Issues	3	1	1		1	
Poor Customer Service	5	1	3	1		
Poor or Agressive Driving	10	2	6	2		
Recycling & Calendars	1		1			
Road Works	4		1	3		
Road/ Path Defects	6	1	2	2	1	
Service Standards	11	2	3	5	1	
Staff Conduct / Attitude	17	8	4	5		
Standard of Workmanship	1	1				

Data Label: Public

Street Lighting Faults	1	1				
Unreasonable Delays	1	1				
Vehicle Breakdown	1		1			
Website Content Missing/Errors	1		1			
Winter Maintenance Policies	1		1			
<b>Planning Econ Dev Regen</b>	<b>24</b>	<b>4</b>	<b>2</b>	<b>12</b>	<b>3</b>	<b>1</b>
Employee attitude general	2			1	1	
Failed timescales	1		1			
Lack of communication	3	2		1		
Policy related general	2			1		
Poor communication general	2	1		1		
Service Level Agreement not met	1	1				
Standard of service general	12			8	1	1
Unreasonable delays	1		1			
<b>Social Policy</b>	<b>27</b>	<b>10</b>	<b>7</b>	<b>10</b>		
Customer standards not met	5	4		1		
Employee attitude general	4	1	1	2		
Lack of communication	2		1	1		
Missed appointment general	1			1		
Policy related general	1			1		
Poor communication general	9	3	4	2		
Standard of service general	3	1	1	1		
Waiting time general	2	1		1		

*NB - the categorisation "Z\_unknown" relates to cases that were completed prior to the inclusion of the secondary category field.*

**Open Complaint Cases by Service**

The table below provides the number of complaint cases open by Service and month/year created (to the end of the reporting period). Note that month/year is based on the Stage 1 or Stage 2 task creation date.

	Total	2017			
		April	May	June	March
Total	25	1	4	19	1
Education	9	0	0	9	0
Executive Office	1	0	0	1	0
Finance & Property Services	2	0	0	2	0
Housing Customer & Building Services	8	1	2	5	0
Operational Services	1	0	0	1	0
Planning Economic Development & Regenerati	2	0	1	1	0
Social Policy	2	0	1	0	1