



Partnership and Resources Policy Development and Scrutiny Panel

West Lothian Civic Centre
Howden South Road
LIVINGSTON
EH54 6FF

10 March 2017

A meeting of the **Partnership and Resources Policy Development and Scrutiny Panel** of West Lothian Council will be held within the **Council Chambers, Civic Centre, Livingston** on **Friday 17 March 2017** at **8:30am**.

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
4. Confirm Draft Minute of Meeting of Partnership and Resources Policy Development and Scrutiny Panel held on Friday 27 January 2017 (herewith)
5. Lothian Valuation Joint Board - Report by Chief Executive (herewith)
6. Performance Report from the Corporate Performance Management System - Report by Depute Chief Executive (herewith)
7. Welfare Reform: Quarterly Update Report - Report by Head of Finance and Property Services (herewith)
8. Sickness Absence (1 April 2016 - 31 December 2016) - Report by Head

of Corporate Services (herewith)

9. Participation Request Process - Report by Head of Planning, Economic Development and Regeneration (herewith)
10. Review of Corporate Procurement Strategy 2013/18 - Report by Head of Corporate Services (herewith)
11. Equality Outcomes and Mainstreaming Reports - Report by Head of Corporate Services (herewith)
12. Social Work Complaints Handling Procedure - Report by Head of Social Policy (herewith)
13. Recording and Broadcasting Council Meetings - Report by Chief Executive (herewith)
14. 2018 Review of UK Parliament Constituencies - Secondary Consultation - Report by Chief Executive (herewith)
15. 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 27 JANUARY 2017.

Present – Councillors John McGinty (Chair), Peter Johnston, Dave King (substitute for Cathy Muldoon), Greg McCarra, Angela Moohan, George Paul

Apologies – Councillor Cathy Muldoon

1. CHAIR'S OPENING REMARKS

The Chair paid tribute to Tam Dalyell (former MP for West Lothian and Linlithgow) who had sadly passed away on 26 January. Those present then observed a minute's silence in his memory.

2. DECLARATIONS OF INTEREST

Lothian Valuation Joint Board (Agenda Item 5)

Councillor McCarra declared a non-financial interest as a council appointee to Lothian Valuation Joint Board.

Councillor King declared a non-financial interest as a council appointee to Lothian Valuation Joint Board.

3. MINUTE

The Partnership and Resources Development and Scrutiny Panel approved the minute of its meeting held on 16 December 2016. The minute was then signed by the Chair.

4. LoTHIAN VALUATION JOINT BOARD

A report had been circulated by the Chief Executive updating the Panel on the business and activities of the Lothian Valuation Joint Board.

The report recalled that the Council Executive had, in June 2010, agreed that the activities of certain outside bodies should be reported within the council to ensure all elected members were aware of the business of those bodies and to help to ensure their activities were more effectively scrutinised.

In accordance with that decision, the business of the Lothian Valuation Joint Board was to be reported to the Panel by the production of its minutes and annual report.

It was recommended that the Panel note the terms of the minutes of the

meeting held on 5 September 2016, copies of which were appended to the report.

Decision

To note the terms of the report.

5. SERVICE CONTRACT PLANS 2017/18

A report had been circulated by the Head of Corporate Services setting out the proposed service contract plans for 2017/18.

The Head of Corporate Services informed the Panel that the Corporate Procurement Strategy for 2013 to 2018 had been agreed by the Council Executive in June 2013. It included an action to develop five year and annual service contract plans.

All council officers with responsibility for creating contracts had been involved in producing the service contract plans. The plans had been reviewed with service managers and the CPU to identify which contracts would be targeted to review the specification of the contract prior to being issued with the invitation to tender. A summary of the service contract plans for 2017/18 was detailed in Appendix 1.

Details of the proposed service contract plans were shown in a table within the report.

The Panel noted that the target for General Fund Procurement Savings for 2017/18 was £487,000. The CPU would work with service areas to identify contracts to target to work towards the savings target.

The service contract plans provided an understanding of the procurement contracts to be delivered in 2017/18, both in terms of renewal of existing contracts and highlighting council spend which was currently not in contract. This had allowed the CPU and services to prioritise requirement for service delivery.

The report went on to inform the Panel of arrangements for a monthly review of plans.

Finally, it was noted that the Community Benefits Procedure had been approved in June 2013. Since then, community benefits had been included in all council contracts above the value of £50,000. This clause had delivered apprenticeships, training and new jobs. In September 2015, Council Executive had approved the consideration of workforce matters in contracts. These included payment of the living wage, mis-use of zero hours contracts, training. This now formed part of tender award criteria and was a scored question in all relevant tenders. This had highlighted the areas where the council needed to target to ensure suppliers paid their staff a fair wage. The Council continued to commit to pay all suppliers who delivered care contracts the living wage. This would assist with a better service delivery for all care contracts.

The Panel was invited to note the proposed service contract plans for 2017/18.

Decision

To note the terms of the report.

6. COUNCILLORS' CODE OF CONDUCT - CONSULTATION RESPONSE

A report had been circulated by the Governance Manager attaching a draft response to a Scottish Government consultation on changes to the Councillors' Code of Conduct.

The Governance Manager informed the Panel that the consultation stemmed from an issue concerning NESTrans. NESTrans had asked the Standards Commission for a dispensation to allow their NESTrans-appointed members to take part in certain regulatory business within their councils. There had been cases where NESTrans had lodged objections from its perspective as regional transport strategy and policy maker. NESTrans members were then prevented from taking part in the decision-making on those planning applications. The Commission had refused the request since it would go directly against the terms of the statutory Code, which was statutory. The consultation covering paper make specific reference to that decision. The consultation paper and a draft proposed response were attached as appendices to the report.

The report went on to examine the arguments put forward by NESTrans and its member councils. It also provided details of two analogous issues that had been dealt with recently by the Standards Commission.

The issues and arguments arising from the proposed changes were examined in the report.

The Governance Manager advised that, on balance, the draft response had been prepared on the basis that (a) change should not be made but that (b) if the changes were to be made, they should apply to all bodies otherwise covered by the specific exclusion, not just "public bodies". That would put a body like West Lothian Leisure on the same footing as SEStran.

The Panel was invited to note and consider the proposed response to the consultation which was intended to be submitted Council Executive for approval and submission.

Questions raised by Panel members were then dealt with by the Governance Manager.

Decision

To note the proposed response to the consultation and that it would be submitted to Council Executive for approval and submission.

7. ANNUAL REVIEW OF INFORMATION STRATEGY 2013/17

A report had been circulated by the Head of Corporate Services presenting the annual review of the Information Strategy 2013/17, including progress against planned actions and an overview of the performance to date.

The Head of Corporate Services explained that the Information Strategy recognised that information created was an important corporate resource and also that the Council was entrusted with citizen data that brought with it inherent responsibilities. The strategy also outlined the council's commitment in managing citizen's information.

The Information Strategy supported the delivery of the council priorities by focussing on four outcomes:-

- Outcome 1: To create a culture which valued information.
- Outcome 2: Improving access to information through technology, processes and tools
- Outcome 3: Ensuring best use of information by developing opportunities for sharing and re-use
- Outcome 4: Compliance with information management legislation, policies, standards, codes of practice and other guidance

The Panel was informed that there had been a number of key actions progressed in 2015/16 which supported the delivery of the Strategy Outcomes. These were examined in the report.

The Head of Corporate Services advised that the strategy scorecard was a reporting tool for monitoring progress against the performance indicators in each strategy outcome. It offered a way of tracking achievement in the key activities and identifying areas for improvement.

The scorecard provided a snapshot of performance to date across the whole strategy and was included in Appendix 1 to the report.

Eight performance indicators had been developed to monitor progress of the Information Strategy outcomes. Current performance by services against these indicators was shown in Appendix 1.

The Panel noted that six of the indicators were at green status. The report provided a commentary on the performance and the action that would be taken to achieve the targets in those indicators where performance in 2015/16 was at amber status.

Finally, the report provided details of 3 additional actions which would support the delivery of the Information Strategy.

The Head of Corporate Services concluded that the Information Strategy 2013/16 outlined what the council would undertake to reduce risk, achieve

compliance and ensure operational efficiencies in support of corporate outcomes. The report brought up to date the strategy's performance and action plan. This demonstrated that the council was making good progress in the targeted outcomes and objectives of the strategy.

The Panel was asked to note the progress in implementing key activities and actions and the performance against the strategy outcomes.

Decision

To note the terms of the report.

8. WORKPLAN

A copy of the Workplan had been circulated for information.

Decision

To note the Workplan.



PARTNERSHIP AND RESOURCES POLICY DEVELOPMENT AND SCRUTINY PANEL

LOTHIAN VALUATION JOINT BOARD

REPORT BY CHIEF EXECUTIVE

A. PURPOSE OF REPORT

To update the Partnership and Resources Policy Development and Scrutiny Panel on the business and activities of the Lothian Valuation Joint Board.

B. RECOMMENDATION

It is recommended that the Panel notes the Audited Financial Statements for the Year Ended 31 March 2016 and the terms of the Minutes of the meeting held on 28 November 2016 of the Lothian Valuation Joint Board.

C. SUMMARY OF IMPLICATIONS

I	Council Values	Focusing on our customers' needs Being honest, open and accountable Working in partnership.
II	Policy and Legal (including Strategic Environmental Assessment, Equality Issues, Health or Risk Assessment)	Council requires the activities of certain outside bodies to be reported to elected members on a regular basis, as part of its Code of Corporate Governance.
III	Implications for Scheme of Delegations to Officers	None
IV	Impact on performance and performance Indicators	None
V	Relevance to Single Outcome Agreement	National outcome 15: Our Public Services are high quality, continually improving, efficient and responsive to local people's needs.
VI	Resources - (Financial, Staffing and Property)	None
VII	Consideration at PDSP	No prior consideration required.

VIII Consultations

None required.

D. TERMS OF REPORT

At its meeting of 29 June 2010, the Council Executive decided that the activities of certain outside bodies should be reported within the council to ensure all elected members are aware of the business of those bodies and to help to ensure their activities are more effectively scrutinised.

In accordance with that decision, the business of the Lothian Valuation Joint Board was to be reported to this meeting by the production of its minutes and annual report.

Appendix 1 provides the Audited Financial Statements for the Year Ended 31 March 2016.

Appendix 2 provides the Minutes of the Lothian Valuation Joint Board meeting held on 28 November 2016.

E. CONCLUSION

This report ensures that members are kept apprised of the activities of Lothian Valuation Joint Board as part of the council's Code of Corporate Governance.

F. BACKGROUND REFERENCES

West Lothian Council Code of Corporate Governance

Council Executive, 29 June 2010

Partnership and Resources PDSP, 1 March 2013, 24 May 2013, 31 January 2014, 25 April 2014, 5 September 2014, 23 January 2015, 24 April 2015, 14 August 2015, 15 January 2016, 1 April 2016, 17 June 2016, 4 November 2016, 27 January 2017

Appendices/Attachments:

Appendix 1 - Audited Financial Statements for the Year Ended 31 March 2016.

Appendix 2 – Minutes of meeting of the Lothian Valuation Joint Board held on 28 November 2016.

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Graham Hope
Chief Executive
17 March 2017

Audited Annual Accounts for the Year Ended 31st March 2016

5th September 2016

1 Purpose of report

The purpose of this report is to present to the Board the audited Annual Accounts for the year ended 31st March, 2016 and to recommend they are approved for signature.

2 Main Report

2.1 The unaudited Annual Accounts were noted by the Lothian Valuation Joint Board at it's' meeting in June 2016.

2.2 The Board's appointed Auditor will present the 2015/16 Annual Audit Report to Members separately on this agenda. This report highlights to the Board that there were no significant issues identified during the course of the audit, although some minor adjustments were made following the audit. The Auditor's opinion also concludes that the financial statements;

- give a true and fair view in accordance with applicable law and the 2015/16 Code of the state of the affairs of the Lothian Valuation Joint Board as at 31 March 2016 and of the income and expenditure of the board for the year then ended;
- have been properly prepared in accordance with IFRSs as adopted by the European Union, as interpreted and adapted by the 2015/16 Code; and
- have been prepared in accordance with the requirements of the Local Government (Scotland) Act 1973, The Local Authority Accounts (Scotland) Regulations 2014, and the Local Government in Scotland Act 2003.

2.3 The Board agreed to fund future liabilities for early staff release measures through the retention of unspent constituent council's requisition. The balance available at 31st March 2015 was £0.596m.

2.4 As reported in the audited Annual Accounts for the year ended 31st March, 2016, the Board's expenditure for 2015/16 was under requisition income by £0.153m.

Reserves Strategy

- 2.5 The Board has the ability to retain a general reserve and it is the responsibility of the Treasurer to advise the Board about the level of reserves that it should hold and to ensure that there are clear protocols for their establishment and use.
- 2.6 Reserves can be held for three main purposes:
- a working balance to help cushion the impact of uneven cash flows;
 - a contingency to cushion the impact of unexpected events or;
 - a means of building up funds often referred to as earmarked reserves, to meet known or predicted liabilities. Earmarked reserves include sums set aside for Voluntary Early Release (VERA) and Redundancy Schemes which were approved by the Board at its meeting on 4th February 2011.
- 2.7 The reserve balance stands at £0.596m at 31st March 2015 (9% of £6.482m approved budget 2016/17). In addition to this, the Board was under budget by £0.153m for Financial Year 2015/16. The general reserve balance would therefore rise to £0.749m (12% of approved budget 2016/17) if the under spend from 2015/16 is retained.
- 2.8 The ongoing financial pressure of IER has been reported to the Board previously. This figures stands at between £0.350-£0.450m. Grant funding has been made available for 2016/17, however funding for future years has not been confirmed at this stage by the Cabinet Office. Pilot schemes seeking to reduce the cost burden introduced by IER are underway and there is an expectation that until these pilots conclude funding for further years shall be provided. Notwithstanding, a risk remains that the Board shall face long term increased costs associated with IER.
- 2.9 The Assessor has previously approached staff under the terms of the Board's Voluntary Early Release Arrangements (VERA) policy. Should however it become necessary to consider VERA being exercised during 2016/17 or beyond the Board may incur significant unbudgeted one-off exit costs. In this case the Reserve would be utilised to fund approved VERA cases. All VERA applications would be subject to business cases based on affordability and service requirements.

Financial Sustainability

- 2.10 The report from Audit Scotland presented separately on this agenda highlights the issue of financial sustainability on pages 12-13. Whilst the Board has taken measures to establish a general reserve to increase its flexibility around use of funding, it currently focuses on a short term annual basis. Longer term financial plans will be required to demonstrate the continuing financial sustainability of the organisation on an ongoing basis.
- 2.11 The provision of funding on an annual basis coupled with meeting the requirements of new legislation, that places additional pressure on already stretched resources, makes the creation of a longer term and meaningful financial planning framework difficult. In addition ongoing uncertainties surrounding the future of key service delivery elements makes the commitment to a forward looking service delivery plan in combination with a supporting financial framework a high risk activity.

The Board's constant aim is to provide a high quality service within the annual budget allocation provided and it shall endeavour to continue to achieve this in both the short and longer term.

- 2.12 Given the uncertainty around future funding for IER and the potential to incur one-off exit costs, in the event that VERA is exercised during 2016/17 or 2017/18, it is recommended that the Board approve the retention of the £0.153m under spend from financial year 2015/16.

3 Conclusions

- 3.1 The Board's expenditure for 2015/16 was under requisition income by £0.153m.
- 3.2 The general reserve balance available to the Board at 31st March 2015 was £0.596m which will rise to £0.749m if the under spend from 2015/16 is retained.
- 3.3 The Assessor and ERO shall in conjunction with the Treasurer consider options that provide an ongoing service delivery framework balanced with budget allocation for 2017/18 and beyond, and report accordingly to the Board at future meetings.

4 Recommendations

- 4.1 That the Board note the Audited Annual Accounts for the year ended 31st March, 2016.
- 4.2 That the Board authorise the Annual Accounts 2015/16 for signature.
- 4.3 Approve the retention of the £0.153m under spend from financial year 2015/16.

**Hugh Dunn,
Treasurer.**

Annual Accounts for the year to 31st March 2016

Audited



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LOTHIAN VALUATION JOINT BOARD

MEMBERS AND OFFICIALS

Members

Convener: Councillor Norman Work, City of Edinburgh Council

Vice-Convener: Councillor Barry Robertson, West Lothian Council

Appointed by The City of Edinburgh Council :
Councillor Nigel Bagshaw
Councillor Karen Doran
Councillor Ricky Henderson
Councillor Alex Lunn
Councillor Karen Keil
Councillor Mark McInnes
Councillor Adam McVey
Councillor Jason Rust
Councillor Norman Work

Appointed by East Lothian Council :
Councillor Jim Gillies
Councillor John McNeil

Appointed by Midlothian Council :
Councillor Jim Bryant
Councillor Margot Russell

Appointed by West Lothian Council :
Councillor Dave King
Councillor Greg McCarra
Councillor Barry Robertson

Officials

Chief Executive Officer (Assessor) : Joan M. Hewton BSc, FRICS

Chief Executive and Clerk : Andrew Kerr

Treasurer : Hugh Dunn, CPFA

Solicitor : Nick Smith

Monitoring Officer : Nick Smith

LOTHIAN VALUATION JOINT BOARD

MANAGEMENT COMMENTARY

Strategic Report

1. Basis of the Accounts

The Annual Accounts present the financial position and performance of the Board, for the year to 31st March 2016. The Annual Accounts have been prepared in accordance with the International Financial Reporting Standards (IFRS) based Code of Practice in the United Kingdom (the Code) and the Service Reporting Code of Practice (SeRCOP). This is to ensure that the Annual Accounts "present a true and fair view" of the financial position and transactions of the Board. The Annual Accounts have been prepared in accordance with the following fundamental accounting principles: relevance, reliability, comparability, understandability and materiality.

The accounting concepts of accruals, going-concern, and primacy of legislation requirements also apply.

All figures in the Annual Accounts are rounded to thousand pounds (£'000) unless stated otherwise.

To show the net position of the Board, adjustments are made to the Comprehensive Income and Expenditure Statement (CIES) to reflect differences in the accounting basis and funding basis under regulations. These adjustments ensure that the actual resources available to the Board are correctly accounted for in the Movement in Reserves Statement. These adjustments are shown in Note 6.

2. Statutory Background

The Lothian Valuation Joint Board was established under the Valuation Joint Boards (Scotland) Order 1995 and provides Valuation Appeals, Lands Valuation, Electoral Registration and Council Tax Valuation services. The Board comprises 16 members appointed from the constituency authorities of whom nine are elected from the City of Edinburgh Council, three from West Lothian and two each from East and Midlothian Councils.

Costs incurred by the Lothian Valuation Joint Board are apportioned in accordance with the non-domestic rateable subjects and dwellings valued for council tax within the area of each constituent authority. This has resulted in expenditure being allocated 61.19% to The City of Edinburgh Council, 9.16% to Midlothian Council, 10.94% to East Lothian Council, and 18.71% to West Lothian Council.

3. The Lothian Valuation Joint Board's strategy and business model

The Lothian Valuation Joint Board is a local authority organisation providing a range of services to and on behalf of City of Edinburgh, West Lothian, Midlothian, and East Lothian Councils. The services provided represent duties embedded in statute and associated case law. Specifically they relate to the creation and maintenance of the Valuation Roll, Council Tax List and Electoral Register. The Board's strategy is to ensure best value while providing equitable, customer focused, high quality, professional valuation and electoral registration services for all its stakeholders. To support this aim Corporate and Service Plans indicate a detailed range of activities and objectives necessary to deliver services. These plans are supported where required with detailed project management plans and associated risk analysis.

4. Principal risks and uncertainties facing the Board.

The principal risks and uncertainties faced by the Board fall into two categories. Firstly, there are uncertainties created by the lack of funding stability. The Board has a range of statutory duties to enact and services to deliver. While every attempt is made to do this within the budget provided, financial restraint and instability may result in a reduction in the quality of service provided and inhibit the improvement process.

The second category relates to changes in legislation that impact on the services to be delivered. This can create pressures from both a financial and organisational perspective. Electoral Registration has recently undergone major legislative overhaul resulting in entirely new methods of service requirement and delivery. The financial impact of these changes remains supported by external funding. Over the coming years the challenge shall be to maintain the new electoral delivery requirements within core budget allocation. Council Tax has recently undergone considerable scrutiny and while changes leave the Board's responsibilities unaltered, considerable uncertainties remain as regards the longer term position. The newly laid Land Reform Act which is due for implementation during 2016 may provide additional service burdens while the recently announced review of The Business Rating System creates uncertainties surrounding the future requirements of the Valuation Roll. This backdrop of uncertainty over future direction and service needs creates a risk environment for the development of longer term strategies and the budget requirement needed to support them.

LOTHIAN VALUATION JOINT BOARD

MANAGEMENT COMMENTARY

5. Review of the Lothian Valuation Joint Board performance 2015/16

5.1 Financial Performance

The Board's expenditure was under requisition income by £0.153m for 2015/16. One-off income was received in respect of legislative electoral registration changes which offset the recorded over spend on supplies and services, resulting in a net under spend of £0.014m. This underspend and savings in premises costs mainly account for the overall underspend.

During 2015/16 the Board reached a high level of performance as defined by its Key Performance Indicators. The principal of these show that 96.46% of all new houses were entered onto the Council Tax List within 3 months following occupation and that 72.11% of all Valuation Roll amendments were made within 3 months following completion. 2015/16 was a major year in terms of commencing preparation for the 2017 Revaluation. This involved a considerable diversion of resources away from annual Valuation Roll activities which has reflected on the KPI outcomes. The Electoral Register is subject to performance monitoring by the Electoral Commission however due to the transition process to Individual Electoral Registration spanning 2014/15 and 2015/16 performance monitoring was temporarily halted. New indicators are now in place for 2016/17 and shall be reported upon in due course.

This review of financial performance is based on management accounting information, rather than the unaudited Annual Accounts, which are stated after adjustments to reflect IFRS based Code of Practice.

The outturn position, split between core Board duties and IER duties is summarised below:

	Core Revenue Budget			Individual Electoral Registration (IER)			Total		
	Budget	Actual	Variance	Budget	Actual	Variance	Budget	Actual	Variance
	2015/16 £'000	2015/16 £'000	2015/16 £'000	2015/16 £'000	2015/16 £'000	2015/16 £'000	2015/16 £'000	2015/16 £'000	2015/16 £'000
• Employees	4,566	4,573	7	0	228	228	4,566	4,801	235
• Property	624	543	(81)	0	0	0	624	543	(81)
• Transport and Plant	103	96	(7)	0	0	0	103	96	(7)
• Supplies and Services	711	1,002	291	0	205	205	711	1,207	496
• Third Party Payments	95	79	(16)	0	0	0	95	79	(16)
• Support services	65	61	(4)	0	0	0	65	61	(4)
Total gross expenditure	6,164	6,354	190	0	433	433	6,164	6,787	623
• Sales, fees & charges	(43)	(386)	(343)	0	0	0	(43)	(386)	(343)
• IER Grant	0	0	0	0	(433)	(433)	0	(433)	(433)
• IORB	(3)	(3)	0	0	0	0	(3)	(3)	0
Total income	(46)	(389)	(343)	0	(433)	(433)	(46)	(822)	(776)
Total net expenditure	6,118	5,965	(153)	0	0	0	6,118	5,965	(153)

For the year ended 31st March 2016, the Board had an under spend against budget on its Comprehensive Income and Expenditure account of £0.153m (Note 16.1 refers). Actual is 97.5% of budget.

The Board recorded income totalling £0.701m in relation to Individual Electoral Registration at 31st March 2016, mainly in relation to specific grant provided by the Cabinet Office. Expenditure against this grant was £0.433m and therefore £0.268m was carried forward in to financial year 2016/17.

The principal reasons for the surplus against the core budget are variances in the following budgets:

• <u>Employees</u>	£'000 7
Additional costs associated with staffing exit costs, overtime and adjusted hours for part-time staff, off-set by savings on staff turnover.	
• <u>Property</u>	(81)
Primarily due to a reduction in the electricity forecast and expenditure on general maintenance. The electricity reduction follows de-energising of meters.	

LOTHIAN VALUATION JOINT BOARD

MANAGEMENT COMMENTARY

5. Review of the Lothian Valuation Joint Board performance 2015/16 (Contd.)

5.1 Financial Performance (Contd.)

The principal reasons for the surplus against the core budget are variances in the following budgets:

	£'000
<ul style="list-style-type: none">• <u>Supplies and Services</u> £0.305m in costs has been reclaimed and is shown within income, specifically relating to electoral registration software development. The £0.014m under spend omitting this item is primarily increased telephone charges and postage costs, off-set by reduced legal fees and ICT expenditure.	291
<ul style="list-style-type: none">• <u>Third Party Payments</u> Reduced activity of the Valuation Appeals Committee resulting in lower costs and lower than anticipated general property maintenance costs.	(16)
<ul style="list-style-type: none">• <u>Income</u> Relates to income in respect of specific software development costs and other general costs associated with electoral registration legislative changes, specifically in respect of lowering the voting age.	(343)

During 2015/16 the Board changed its accounting policy in relation to unspent requisitions. In accordance with paragraph 8 of the Valuation Joint Boards (Scotland) Order 1995, all under spending pertaining to the Board is now retained in the form of a usable reserve. The unaudited usable reserve balance at 31st March 2016 is £0.749m. The £0.153m under spend for financial year 2015/16 has been transferred to the usable reserve pending a decision from the Board on whether or not this should be refunded to constituent councils.

5.2 Overview of performance targets in 2015/16

The Board measures performance in council tax valuation through a number of indicators including the time taken to notify new householders of valuation banding. In 2015/16, 96.46% (2014/15 – 95.73%) of notifications were made within 3 months, exceeding the target of 95%.

For non-domestic properties, a similar indicator is used for notification of changes, with 72.11% of property owners notified within 3 months against a target of 75% (2014/15 : 75.78%). When considering the performance level achieved cognisance must be taken of the additional pressures placed on the staff resource in respect of the preparation requirements for the 2017 Revaluation and the expectation that statistical information on the outcome of the Revaluation shall need to be available to the Scottish Government during mid-term 2016/17.

The transition to Individual Electoral Registration (IER) created a period of fluctuation within Electoral Registers which was exacerbated by the considerable public interest in the Scottish Independence Referendum. The new process of registration under IER means that following the annual canvass many applications to register are still under process and not reflected in the initial electorate figures indicated at the point of Register publication. The following electorate statistics should be viewed with some caution, as at April 2016 650,531; February 2015 660,030; March 2014 639,401.

6. The main trends and factors likely to affect the future development and performance

The main trends and factors likely to affect the development and performance of the Board are those that influence the future direction of service provision. This direction is driven by legislative changes enacted, new case law and following formal reviews. When future direction is subject to scrutiny and review, inevitably uncertainties and risks arise that inhibit the development of forward thinking strategies aimed at improving efficiency and performance. The introduction of IER exemplifies this position. Currently funding for IER is supported by grant funding from central government. This funding shall not be provided for an indefinite period and progress must be made over the coming years to ensure that the electoral service can be provided within core budget provision as allocated by the Board's constituent councils. This scenario of uncertainty is compounded by the budget restraints in place throughout local authorities. The lack of stable budget forecasting in conjunction with considerable financial restraint also impact on the service performance level that can be achieved. There is recognition that a sustainable budget position must be reached which allows for the effective discharge of the statutory requirements of the Boards service functions while acknowledging the considerable pressures that currently exist within the local authority arena.

At its meeting on the 8th February 2016, the Board approved a one year revenue budget for 2016/17. The budget approved for 2016/17 was £6.482m due to be funded through a flat-cash requisition of £6.118m and a maximum drawdown from the usable reserve of £0.364m.

LOTHIAN VALUATION JOINT BOARD

MANAGEMENT COMMENTARY

6. The main trends and factors likely to affect the future development and performance (Contd.)

The budget increased from that approved for 2015/16 (£6.118m) due to a known budgeted increase in expenditure arising from Individual Electoral Registration (IER). The ongoing financial pressure arising from IER has been reported previously to the Board. At the time the 2016/17 budget was approved the Cabinet Office had provided no confirmation that IER funding would be provided for 2016/17. The Cabinet Office has since confirmed an initial IER grant allocation of £0.291m for 2016/17, this is in addition to the £0.268m of IER grant carried forward from 2015/16 detailed in page 3. As a result there would be no requirement to drawdown from the usable reserve 2016/17 based on the level of additional IER spend included in the 2016/17 budget. The allocation provided by the Cabinet Office for 2016/17 does not have the previous caveat that budget provision for Registration must be maintained. This is welcomed and may assist the increasing pressures on other services. The Assessor and ERO and the Treasurer recognise the need to move towards a sustainable budget position for 2017/18, the Assessor and ERO will report to the Board on options to balance the 2017/18 budget in autumn 2016.

The Board faces a number of challenges looking ahead. Potential financial pressures include:

- The ongoing cost of Individual Electoral Registration (IER) - The Cabinet Office has indicated its intention to continue to provide funding in the light of ongoing additional costs created by the introduction of IER. This commitment is coupled with investigations and pilot schemes aimed at identifying amendments to the IER process that shall result in lower costs and eventually over a number of years bring IER into a cost neutral position. It is important the Board is suitably positioned to take advantage of these changes and be best placed to align electoral registration spending pre and post IER. Currently a number of key electoral activities, for example the Household Canvass Team and the Customer Support Group, are in part funded by Cabinet Office funding. The forthcoming challenge shall be to ensure the costs associated with these activities and services can be progressively consolidated within core budget allocations.
- The Scottish Government has recently announced changes to Council Tax which have minimal impact on the Boards Council Tax activities. However a degree of uncertainty remains as regards the longer term future of local domestic taxation in Scotland with a number of alternative proposals under consideration. This uncertainty inhibits the development of longer term service delivery plans and associated budget requirement. The Scottish Government's recent announcement of a Review of the Business Rating System also provides additional uncertainty to the future direction of the Boards service requirement.
- Preparations commenced during 2015/16 for the 2017 Revaluation and progress continues throughout 2016/17. While the 2017 Revaluation Roll takes effect from 1st April 2017 the vast majority of valuations require to be completed by October 2016. Recent case law (Woolway v Mazars) has placed this timetable under considerable pressure as a large number of valuations require to be reconsidered in the light of the decision. While progress continues to be monitored, resource and budget implications may arise during 2016/17 as a result. Looking forward, it can be anticipated that the Revaluation process shall give rise to a considerable level of appeal activity over the 2017/18 to 2019/20 period and again resources and financial implications may arise in order to meet the required legislative appeal disposal timetable.

Notwithstanding the financial pressures, challenges and uncertainties facing the Board in coming years efforts shall continue to be made to modernise and transform service delivery in order for current levels of performance to be maintained.

Chief Executive Officer (Assessor) :

Joan M. Hewton BSc, FRICS

Date: 5th September 2016

Treasurer:

Hugh Dunn, CPFA

Date: 5th September 2016

Convener:

Norman Work

Date: 5th September 2016

LOTHIAN VALUATION JOINT BOARD

STATEMENT OF RESPONSIBILITIES FOR THE ANNUAL ACCOUNTS

The Board's Responsibilities

The Board is required:

- to make arrangements for the proper administration of its financial affairs and to secure that the proper officer of the Board has the responsibility for the administration of those affairs. In this Board, that officer is the Treasurer;
- to manage its affairs to secure economic, efficient and effective use of those resources and safeguard its assets;
- Ensure the Annual Accounts are prepared in accordance with legislation (The Local Authority Accounts (Scotland) Regulations 2014), and so far as is compatible with that legislation, in accordance with proper accounting practices (section 12 of the Local Government in Scotland Act 2003).
- Approve the Annual Accounts for signature.

I confirm that these Annual Accounts were approved for signature by the Lothian Valuation Joint Board at its meeting on the 5th September 2016.

Convener:

Norman Work

Date: 5th September 2016

The Treasurer's Responsibilities

The Treasurer is responsible for the preparation of the Board's Annual Accounts in accordance with proper practices as set out in the CIPFA/LASAAC Code of Practice on Local Authority Accounting in the United Kingdom (the Code of Practice).

In preparing the Annual Accounts, the Treasurer has:

- selected suitable accounting policies and then applied them consistently;
- made judgements and estimates that were reasonable and prudent;
- complied with legislation;
- complied with the Code of Practice, except where stated in the Policies and Notes to the Financial Statements.

The Treasurer has also:

- kept adequate accounting records which are up to date;
- taken reasonable steps for the prevention and detection of fraud and other irregularities.

The Annual Accounts

The Annual Accounts present a true and fair view of the financial position of the Board as at 31st March 2016, and its income and expenditure for the year ended 31st March 2016.

Treasurer:

Hugh Dunn, CPFA

Date: 5th September 2016

LOTHIAN VALUATION JOINT BOARD

MOVEMENT IN RESERVES STATEMENT

This statement shows the movement in the year on different reserves held by the Board, analysed into Usable Reserves (that is, those that can be applied to fund expenditure) and Unusable Reserves. The Surplus or (Deficit) on the Provision of Services line shows the true economic cost of providing the Board's services, more details of which are shown in the Comprehensive Income and Expenditure Statement. These are different from the statutory amounts required to be charged to the General Fund Balance before any discretionary transfers to or from other statutory reserves undertaken by the Board.

	Usable Reserves	Unusable Reserves	Total Board Reserves
2014/15 - Previous Year Comparative	General Fund Balance		
	£'000	£'000	£'000
Opening Balances at 1 April 2014 (restated)	(421)	7,586	7,165
Movement in reserves during 2014/15			
(Surplus) or deficit on provision of services (restated)	326	0	326
Other Comprehensive Expenditure and Income	0	3,250	3,250
Total Comprehensive Expenditure and Income	326	3,250	3,576
Adjustments between accounting basis & funding basis under regulations (Note 6.1)	(501)	501	0
Net (increase)/decrease before transfers to Other Statutory Reserves (restated)	(175)	3,751	3,576
Transfers to/from Other Statutory Reserves	0	0	0
(Increase)/Decrease in 2014/15 (restated)	(175)	3,751	3,576
Balance at 31 March 2015 carried forward (restated)	(596)	11,337	10,741

	Usable Reserves	Unusable Reserves	Total Board Reserves
2015/16 - Current Financial Year	General Fund Balance		
	£'000	£'000	£'000
Opening Balances at 1 April 2015	(596)	11,337	10,741
Movement in reserves during 2015/16			
(Surplus) or deficit on provision of services	624	0	624
Other Comprehensive Expenditure and Income	0	(6,357)	(6,357)
Total Comprehensive Expenditure and Income	624	(6,357)	(5,733)
Adjustments between accounting basis & funding basis under regulations (Note 6.1)	(777)	777	0
Net (increase)/decrease before transfers to Other Statutory Reserves	(153)	(5,580)	(5,733)
Transfers to/from Other Statutory Reserves	0	0	0
(Increase)/Decrease in 2015/16	(153)	(5,580)	(5,733)
Balance at 31 March 2016 carried forward	(749)	5,757	5,008

LOTHIAN VALUATION JOINT BOARD

COMPREHENSIVE INCOME AND EXPENDITURE STATEMENT

This statement shows the accounting cost in the year of providing services in accordance with the generally accepted accounting practices, rather than the amount to be funded from requisitions. The Board receives requisitions to cover expenditure in accordance with regulations; this may be different from the accounting cost.

2014/15				2015/16		
<i>restated</i> Gross Expenditure £'000	<i>restated</i> Gross Income £'000	<i>restated</i> Net Expenditure £'000		Gross Expenditure £'000	Gross Income £'000	Net Expenditure £'000
1,713	(191)	1,522	Registration of Electors	1,795	(759)	1,036
5,140	(572)	4,568	Local Tax Collection	5,385	(61)	5,324
6,853	(763)	6,090	Cost Of Services	7,180	(820)	6,360
			Financing and Investment Income:			
0	(3)	(3)	Interest & Investment income (Note 9.2)	0	(3)	(3)
0	0	0	Pensions interest cost & expected return on pensions assets	0	0	0
1,868	0	1,868	Interest Cost on Defined Benefit Obligation (Note 23.5)	1,705	0	1,705
0	(1,517)	(1,517)	Interest Income on Plan Assets (Note 23.4)	0	(1,320)	(1,320)
1,868	(1,520)	348	Total Financing and Investment Income	1,705	(1,323)	382
			Other operating Expenditure:			
0	0	0	(Gains) / Losses on disposal of Non-Current Assets	0	0	0
0	0	0		0	0	0
			Taxation and Non-Specific Grant Income:			
0	(6,112)	(6,112)	Constituent council requisitions (Note 27)	0	(6,118)	(6,118)
0	(6,112)	(6,112)	Total Taxation and Non-Specific Grant Income	0	(6,118)	(6,118)
8,721	(8,395)	326	(Surplus) or Deficit on Provision of Services (Note 16.1)	8,885	(8,261)	624
			Other Comprehensive Income and Expenditure:			
0	0	0	Surplus or deficit on revaluation of non-current assets	0	0	0
5,701	0	5,701	Change in Financial Assumptions (Note 23.5)	(5,195)	0	(5,195)
2,014	0	2,014	Change in Demographic Assumptions (Note 23.5)	0	0	0
0	(23)	(23)	Other Experience (Note 23.5)	0	(446)	(446)
0	(4,442)	(4,442)	Return on pension assets excl. amounts included in net int. (Note 23.4)	0	(716)	(716)
		0	Actuarial gains / losses on pension assets / liabilities			0
16,436	(12,860)	3,576	Total Comprehensive Income and Expenditure	3,690	(9,423)	(5,733)

LOTHIAN VALUATION JOINT BOARD

BALANCE SHEET

The Balance Sheet shows the value as at the Balance Sheet date of the assets and liabilities recognised by the Board. The net assets of the Board (assets less liabilities) are matched by the reserves held by the Board. Reserves are reported in two categories. The first category of reserves are usable reserves, that is, those reserves that the Board may use to provide services, subject to the need to maintain a prudent level of reserves and any statutory limitations on their use. The second category of reserves are those that the Board is not able to use to provide services. This category of reserves include reserves that hold unrealised gains and losses, where amounts would only become available to provide services if the assets are sold; and reserves that hold timing differences shown in the Movement in Reserves Statement line "Adjustments between accounting basis and funding basis under regulations".

<i>restated</i> 31 March 2015 £'000		Notes	31 March 2016 £'000
564	Property, plant and equipment	7.1	477
65	Intangible assets	8	99
96	Long-term debtors	25	90
725	Long term assets		666
0	Inventories	10	0
164	Short-term debtors	11	286
1,233	Cash and cash equivalents	12	1,302
1,397	Current assets		1,588
(398)	Short-term creditors	13	(463)
(398)	Current liabilities		(463)
(595)	Other long-term liabilities	26	(560)
(11,870)	Other long-term liabilities (Pensions)	23.3	(6,239)
(12,465)	Long-term liabilities		(6,799)
(10,741)	Net liabilities		(5,008)
(596)	Usable reserves	14	(749)
11,337	Unusable reserves	14	5,757
10,741	Total reserves		5,008

The unaudited Annual Accounts were authorised for issue on the 25th May 2016. The audited Annual Accounts were authorised for issue on the 5th September 2016.

Treasurer: _____
Hugh Dunn, CPFA

Date: 5th September 2016

LOTHIAN VALUATION JOINT BOARD

CASH FLOW STATEMENT

The Cash Flow Statement shows the changes in cash and cash equivalents of the Board during the reporting period. The statement shows how the Board generates and uses cash and cash equivalents by classifying cash flows as operating, investing and financing activities. The amount of net cash flow arising from operating activities is a key indicator of the extent to which the operations of the Board are funded by way of requisitions and recipients of services provided by the Board. Investing activities represent the extent to which cash outflows have been made for resources which are intended to contribute to the Board's future service delivery. Cash flows arising from financing activities are useful in predicting claims on future cash flows.

<i>restated</i> 31 March 2015 £'000	<i>restated</i> 31 March 2015 £'000		31 March 2016 £'000	31 March 2016 £'000
OPERATING ACTIVITIES				
(646)		Cash received for goods and services	(604)	
(117)		Other local authorities	(48)	
(3)		Interest received	(3)	
(6,118)		Other operating cash receipts	(6,118)	
	(6,884)	Cash inflows generated from operating activities		(6,773)
4,643		Cash paid to and on behalf of employees	4,786	
1,795		Cash paid to suppliers of goods and services	1,872	
	6,438	Cash outflows generated from operating activities		6,658
	(446)	Net cash flows from operating activities (Note 15.1)		(115)
INVESTING ACTIVITIES				
137		Purchase of property, plant and equipment and intangible assets.	46	
0		Proceeds from sales of property, plant and equipment and intangible assets.	0	
	137	Net cash flows from investing activities		46
	0	Net cash flows from financing activities		0
	(309)	Net (increase)/decrease in cash and cash equivalents (Note 15.2)		(69)
1st April £'000 924	1st April £'000 924	Cash and cash equivalents	1st April £'000 1,233	1st April £'000 1,233
31st March 1,233		Cash and cash equivalents	31st March 1,302	
	1,233			1,302
	(309)	Net (increase)/decrease in cash and cash equivalents (Note 15.2)		(69)

LOTHIAN VALUATION JOINT BOARD

1. STATEMENT OF ACCOUNTING POLICIES

1.1 General

The Annual Accounts have been prepared in accordance with the International Financial Reporting Standards (IFRS) based Code of Practice in the United Kingdom (the Code) and the Service Reporting Code of Practice (SeRCOP). This is to ensure that the Annual Accounts "present a true and fair view" of the financial position and transactions of the Board.

From 1st April 2010, the Board implemented the requirements of International Financial Reporting Standards for the first time and these are used for the purpose of preparing the Annual Accounts for the year ended 31st March 2016.

The Annual Accounts have been prepared on an historic cost basis, modified by the revaluation of certain categories of fixed assets where appropriate.

1.2 Accruals of Expenditure and Income

Activity is accounted for in the year that it takes place and not simply when cash payment is made or received. This means that expenses are recorded when goods or services have been received and income is recorded when goods or services have been provided. This recording is irrespective of whether cash has actually been paid or received in the year.

1.3 Cash and Cash Equivalents

Cash is represented by cash in hand and deposits with financial institutions, repayable without penalty on notice of not more than 24 hours. Cash equivalents are investments maturing in three months or less from the date of acquisition and are readily convertible to known amounts of cash with insignificant risk of change in value.

1.4 Changes in Accounting Policies, Estimates and Errors

Changes in accounting policies are only made when required by proper accounting practices or the change provides more reliable or relevant information about the effect of transactions, or other events or conditions on the Board's financial position or financial performance. Where a change is made, it is applied retrospectively by adjusting opening balances and comparative amounts for the prior period as if the new policy had always been applied. Changes in accounting estimates are accounted for prospectively, that is, in the current and future years affected by the change. Material errors discovered in prior period figures are corrected retrospectively by amending opening balances and comparative amounts for the prior period.

1.5 Revenue Expenditure

Revenue expenditure is that which does not yield benefit beyond the year of account. In broad terms the revenue expenditure of the Board can be divided into two categories:

- employees;
- day-to-day operating expenses, includes costs incurred in respect of furniture and fittings, and equipment.

All revenue expenditure is accounted for on an accruals basis.

Each year net revenue expenditure is met by way of requisitions on the City of Edinburgh, Midlothian, East Lothian and West Lothian Councils.

1.6 Capital Expenditure

Capital expenditure is presented as a fixed asset in the Balance Sheet. Capital expenditure is the expenditure on the acquisition of tangible or intangible assets which adds to and not merely maintains the value of an existing asset provided that it yields benefits to the Board and the services it provides for a period of more than one year. Capital expenditure is subject to a de-minimis level of £6,000.

These fixed assets are matched by a Capital Adjustment Account within the Balance Sheet. This reserve does not represent resources available to the Board.

LOTHIAN VALUATION JOINT BOARD

1. STATEMENT OF ACCOUNTING POLICIES (Contd.)

1.7 Short Term Debtors and Short Term Creditors

The revenue and capital transactions of the Board are recorded on an accruals basis which means that amounts due to or from the Board, but still outstanding at the year end, are included in the accounts. Where there was insufficient information to provide actual figures, estimates have been included.

1.8 Value Added Tax

Value Added Tax is excluded from the Annual Accounts unless it is not recoverable from HM Revenues and Customs.

1.9 Non-Current Assets

a) *Intangible Assets*

Recognition:

- Intangible assets are non-current assets that have no physical substance but are identifiable and controlled by the Board and it can be established that there is an economic benefit or service potential associated with the item which will flow to the Board. This expenditure is mainly in relation to software licenses purchased by the Board. Expenditure on the acquisition, creation or enhancement of intangible assets has been capitalised on an accruals basis.

Depreciation:

- Software licences classified as intangible assets. In most cases intangible assets are depreciated over the period of the licence, however, where the period of the licence is deemed 'infinite' the software will be depreciated based on an assessment of expected useful life. Depreciation charges commence in the year after acquisition.

Measurement:

- Intangible assets are initially measured at cost and included in the Balance Sheet at net historical cost.

b) *Property, Plant and Equipment*

Property, plant and equipment are tangible items held for use by the Board in its provision of service and are expected to be used for more than one financial year. Property, plant and equipment are included in the Balance sheet in the following classes:

- Leasehold improvements;
- Vehicles, plant, furniture and equipment

Recognition:

- Expenditure on the acquisition, creation or enhancement of these non-current assets has been capitalised on an accruals basis, provided that future economic benefits or service potential associated with the item will flow to the Board and the cost of the item can be measured reliably. This expenditure is subject to the application of a de-minimis level of £6,000.

Depreciation:

Depreciation is provided on all property, plant and equipment with a finite useful life (which can be determined at the time of acquisition or revaluation) according to the following policy:

- No depreciation is charged on freehold land;
- Depreciation is not provided in the year of an asset's purchase;
- Depreciation is calculated using the straight-line basis on the opening book value over the remaining useful life of the asset;

LOTHIAN VALUATION JOINT BOARD

1. STATEMENT OF ACCOUNTING POLICIES (Contd.)

1.9 Non-Current Assets (Contd.)

b) Property, Plant and Equipment (Contd.)

Depreciation (Contd.):

- Non-current assets are depreciated as follows:

Asset	Years
Property (Leasehold improvements) Depreciated over remaining life of asset	16
Vehicles, plant and equipment	5

Measurement:

Property, plant and equipment, and leasehold improvements are measured at depreciated historic cost. This does not comply with the Code, however, the difference is not considered material.

De-recognition:

An asset is de-recognised either on its disposal or where no future economic benefits or service potential are expected from its use or disposal. The gain or loss arising from de-recognition of an asset is included in "Surplus or Deficit on the Provision of Service" within the Comprehensive Income and Expenditure Statement when the asset is de-recognised. The gain or loss on de-recognition of property, plant and equipment assets is a reconciling item in the "Movement in Reserves Statement for the General Fund".

Impairment:

Assets are assessed at each year end as to whether there is any indication that an asset may be impaired, that is, that the carrying value of an asset on the Balance sheet exceeds its recoverable amount. Where indications exist and any possible differences are material, the recoverable amount is estimated and an impairment loss is recognised for the shortfall. Impairment losses, if any, are accounted for by debiting any accumulated balance of revaluation gains for the asset held in the Revaluation Reserve or where there is no or insufficient balance in the Revaluation Reserve, by debiting the relevant service line in the Comprehensive Income and Expenditure Statement.

1.10 Overheads and Support Services

The costs of support services are allocated on a basis appropriate to the service provided in order to match costs to service usage. Certain support service costs are provided under a Service Level Agreement between the Board and service provider.

All expenditure and income within the Comprehensive Income and Expenditure Statement is allocated 25% to Registration of Electors and 75% to Local Tax Collection. These figures are broadly in line with the Local Government Finance Settlement allocations. These allocations were applied fully to both income and expenditure during 2014/15. However, for 2015/16 the income pertaining specifically to Individual Electoral Registration was material enough to be allocated 100% to Registration of Electors.

1.11 Charges to Comprehensive Income and Expenditure Statement for use of non-current assets

The Comprehensive Income and Expenditure Statement is charged with the following amounts to record the real cost of holding non-current assets during the year:

- Depreciation attributable to the assets used by the Board;
- Impairment losses, if any, attributable to the clear consumption of economic benefits on property, plant and equipment used by the Board.

The Board is not required to raise requisitions on the constituent councils to cover depreciation or impairment losses. Depreciation and impairment losses are not proper charges under statutory accounting requirements and are therefore a reconciling item in the Movement in Reserves Statement for the General Fund by way of an adjusting transaction with the Capital Adjustment Account.

LOTHIAN VALUATION JOINT BOARD

1. STATEMENT OF ACCOUNTING POLICIES (Contd.)

1.12 Leases

Leases are classified as finance leases where the terms of the lease transfer substantially all the risks and rewards incidental to ownership of property, plant or equipment from the lessor to the lessee. All other leases are classified as operating leases.

a) Finance Leases

Leased-in assets

The Board has not identified any leased-in assets that fall under the definition of finance leases.

Leased-out assets

The Board has not identified any leased-out assets that fall under the definition of finance leases.

b) Operating Leases

Leased-in assets

Rental payments, net of benefits received, under operating leases are charged to the Comprehensive Income and Expenditure statement on a straight line basis over the life of the lease.

Leased-out assets

The Board has not identified any leased-out assets that fall under the definition of operating leases.

1.13 Provisions

Provision is made within the Statement of Accounts when the board has a present legal or constructive obligation as a result of a past event, there is a probability of a transfer of economic benefit and a reliable estimate can be made of the obligation. Provisions are charged to the Comprehensive Income and Expenditure Statement in the year in which the Board becomes aware of the obligation.

1.14 Contingent Liability

A contingent liability is defined as either a possible obligation that arises from past events and whose existence will be confirmed by the occurrence or non-occurrence of one of more uncertain future events, which are not wholly within the control of the Board or a present obligation that arises from past events, but it is not possible that an outflow of resources will be required or the amount of the obligation cannot be measured reliably. If such obligation exist, they are not recognised in the Balance Sheet but are disclosed as a note to the Statement of Accounts.

1.15 Contingent Assets

A contingent asset arises where an event has taken place that gives the Board a possible asset whose existence will only be confirmed by the occurrence or non-occurrence of one or more uncertain future events, which are not wholly within the control of the Board. If such assets exist, they are disclosed as a note to the Statement of Accounts.

1.16 Employee Benefits

Cost of service includes a charge for annual leave to which employees are entitled, but have not taken as at the Balance Sheet date. The Board is not required to raise requisitions on constituent councils to cover the cost of accrued annual leave. These costs are therefore replaced by revenue provision in the Movement in Reserves Statement for the General Fund balance by way of an adjusting transaction with the Accumulated Absences Account.

LOTHIAN VALUATION JOINT BOARD

1. STATEMENT OF ACCOUNTING POLICIES (Contd.)

1.17 Termination Benefits

Termination benefits are amounts payable as a result of a decision by the Board to terminate employees' employment before the normal retirement date or an employee's decision to accept voluntary redundancy. These amounts are charged on an accruals basis to the Comprehensive Income and Expenditure Statement when the Board is demonstrably committed to either terminating the employment of an employee or making an offer to encourage voluntary redundancy.

1.18 Inventories

Inventories are assets in the form of materials or supplies which are consumed, distributed or held for sale in the ordinary course of the Board's operations. The balance of inventories held 2012/13 was deemed to have no realisable value and was written off to the Income and Expenditure during 2013/14.

1.19 Pensions

The Joint Board is an admitted body to the Local Government Pension Scheme (LGPS) which is administered by the Lothian Pension Fund. The LGPS is a defined benefit statutory scheme, administered in accordance with the Local Government Pension Scheme (Scotland) Regulations 1998, as amended.

The Annual Accounts have been prepared including pension costs, as determined under International Accounting standard 19 - Employee Benefits (IAS 19). The cost of service in the Comprehensive Income and Expenditure Statement includes expenditure equivalent to the amounts of retirement benefits the Board has committed to pay during the year. Interest Cost on Defined Pension Obligation and Interest Income on Plan Assets have been included in the "Surplus or Deficit on the Provision of Services" within the Comprehensive Income and Expenditure Statement. Other comprehensive income and expenditure within the statements also now shows the financial effect of changes in financial assumptions, other experience and return on pension assets excluding amounts included in net interest.

The pension costs charged to the Comprehensive Income and Expenditure Statement in respect of employees are not equal to contributions paid to the funded scheme for employees. The amount by which pension costs under IAS19 are different from the contributions due under the pension scheme regulations are disclosed in the Movement in Reserves Statement for the General Fund Balance.

Pension assets have been valued at bid value (purchase price), as required under IAS19.

Further costs arise in respect of certain pensions paid to retired employees on an unfunded basis. Under pension regulations, contribution rates are set to meet 100% of the overall liabilities of the Fund.

1.20 Revenue Contributions

Revenue contributions from constituent councils have been included in the Annual Accounts on an accruals basis.

LOTHIAN VALUATION JOINT BOARD

1. STATEMENT OF ACCOUNTING POLICIES (Contd.)

1.21 Reserves

Reserves held on the Balance Sheet are classified as either usable or unusable. Usable reserves hold monies that can be applied to fund expenditure. Unusable reserves cannot be applied to fund expenditure.

The Board operates the following usable reserves:

a) General Fund

This represents the balance of the surpluses or deficits arising from the Comprehensive Income and Expenditure Statement. The Board changed its accounting policy in relation to unspent requisitions during 2015/16. Further details of this change and the prior period adjustments made can be seen in Note 29.

The Board operates the following unusable reserves:

b) Capital Adjustment Account

This provides a balancing mechanism between the different rates at which assets are depreciated and financed.

c) Pension Reserve

This represents the difference between the monies which the Board requires to meet its pension liability as calculated under International Accounting Standards 19, Employee Benefits (IAS 19) and the amount required to be charged to the General Fund in accordance with statutory requirement governing Local Government Pension Scheme.

d) Accumulated Absences Account

This represents the net monies which the Board requires to meet its short-term compensated absences for employees under IAS19.

1.22 Financial Instruments

a) Financial Liabilities

Financial liabilities are initially measured at fair value and carried at their amortised cost. Annual charges to the Comprehensive Income and Expenditure Statement for interest payable are based on the carrying amount of the liability, multiplied by the effective rate of interest for the instrument. As at 31st March, 2016, the Board had no borrowings.

b) Financial Assets

Loans and receivables are initially measured at fair value and carried at their amortised cost. Annual credits to the Comprehensive Income and Expenditure Statement for interest receivable are based on the carrying amount of the asset multiplied by the effective rate of interest for the instrument. The Board holds its surplus funds with the City of Edinburgh Council in a pooled investment arrangement and does not place external deposits in its own name. These sums are presented in the Balance Sheet as the balance due from the City of Edinburgh Council and interest receivable from this investment is credited to the Comprehensive Income and Expenditure Statement.

Where assets are identified as impaired because of a likelihood arising from a past event that payments due under the contract will not be made, the asset is written down and a charge made to the Comprehensive Income and Expenditure Statement.

Any gains and losses that arise on the de-recognition of the asset are credited/debited to the Comprehensive Income and Expenditure Statement.

LOTHIAN VALUATION JOINT BOARD

1. STATEMENT OF ACCOUNTING POLICIES (Contd.)

1.23 Events After the Balance Sheet Date

Events after the reporting period are those events, both favourable and unfavourable, that occur between the end of the reporting period and the date when the Statement of Accounts is authorised for issue. Two types of event can be identified:

- those that provide evidence of conditions that existed at the end of the reporting period - the Statement of Accounts is adjusted to reflect such items;
- those that are indicative of conditions that arose after the reporting period - the Statement of Accounts is not adjusted to reflect such events, but where a category of events would have a material effect, disclosure is made in the notes of the nature of the events and their estimated financial effect.

Events taking place after the date of authorisation for issue are not reflected in the Annual Accounts.

1.24 Exceptional Items

When items of income and expenditure are material, their nature and amount are disclosed separately, either on the face of the Comprehensive Income and Expenditure Statement or in the notes to the accounts, depending on how significant the items are to an understanding of the Board's financial performance.

1.25 Going Concern

It is appropriate to adopt a going concern basis for the preparation of the Annual Accounts as the constituent authorities have a legal obligation under the 1995 Combined Area Amalgamation Scheme Order to provide the Joint Board with funding to meet all liabilities as they fall due.

LOTHIAN VALUATION JOINT BOARD

2. ACCOUNTING STANDARDS THAT HAVE BEEN ISSUED BUT HAVE NOT YET BEEN ADOPTED

The Code requires the disclosure of information relating to the impact of an accounting change that will be required by a new standard that has been issued but not yet adopted. This applies to the adoption of the following new or amended standards within the 2016/17 Code. For 2015/16 the following accounting policy changes that need to be reported relate to:

- Amendments to IAS 19 Employee Benefits (Defined Benefit Plans: Employee Contributions).
- Annual Improvements to IFRSs 2010 – 2012 Cycle .
- Amendment to IFRS 11 Joint Arrangements (Accounting for Acquisitions of Interests in Joint Operations).
- Amendment to IAS 16 Property, Plant and Equipment and IAS 38 Intangible Assets (Clarification of Acceptable Methods of Depreciation and Amortisation).
- Annual Improvements to IFRSs 2012 – 2014 Cycle.
- Amendment to IAS 1 Presentation of Financial Statements (Disclosure Initiative).
- The changes to the format of the Comprehensive Income and Expenditure Statement, the Movement in Reserves Statement and the introduction of the new Expenditure and Funding Analysis.

The Code does not anticipate that the above amendments will have a material impact on the information provided in the Board's Annual Accounts.

However, in the 2016/17 year the comparator 2015/16 Comprehensive Income and Expenditure Statement and the Movement in Reserves Statement must reflect the new formats and reporting requirements as a result of the Telling the Story review of the presentation of local authority financial statements.

3. CRITICAL JUDGEMENTS IN APPLYING ACCOUNTING POLICIES

In applying the accounting policies set out in Note 1, the Board has had to make certain judgements about complex transactions or those involving uncertainty about future events. The critical judgements made in the Statement of Accounts are:

- There is high degree of uncertainty about future levels of funding for local government, however, the Board has determined that this uncertainty is not yet sufficient to provide an indication that the assets of the Board might be impaired as a result of a need to reduce levels of service provision.

4. ASSUMPTIONS MADE ABOUT THE FUTURE AND OTHER MAJOR SOURCES OF ESTIMATION UNCERTAINTY

The Statement of Accounts contains estimated figures that are based on assumptions made by the Board about the future or events that are otherwise uncertain. Estimates are made taking into account historical experience, current trends and other relevant factors.

4.1 Property, Plant and Equipment

Uncertainties

Assets are depreciated over useful lives that are dependent on assumptions about the level of repairs and maintenance that will be incurred in relations to individual assets. The current economic climate may mean that the Board restricts spending on repairs and maintenance which, in turn, may have an effect on the useful lives of the assets.

Effect if Actual Result Differs from Assumptions

If the useful life of assets is reduced, depreciation increases and the carrying amount of the asset falls. It is estimated that the annual depreciation charge would increase by £0.001m for every year that useful lives had to be reduced.

4.2 Pension Liabilities

Uncertainties

Estimation of the net liability to pay pensions depends on a number of complex judgements relating to the discount rate used, the rate at which salaries are projected to increase, changes in retirement ages, mortality rates and expected returns on pension fund assets. A firm of consulting actuaries is engaged to provide the Board with expert advice about the assumptions to be applied.

LOTHIAN VALUATION JOINT BOARD

4. ASSUMPTIONS MADE ABOUT THE FUTURE AND OTHER MAJOR SOURCES OF ESTIMATION UNCERTAINTY (Contd.)

4.2 Pension Liabilities (Contd.)

Effect if Actual Result Differs from Assumptions

During 2015/16, the Board's actuaries advised that the balance sheet position has improved since last year. This was principally due to an increase in the net discount rate over this period, the positive impact of which has outweighed the likely lower than expected asset returns.

The following table shows the sensitivity of the results to the changes in the assumptions used to measure the scheme liabilities. Approximate percentage changes and monetary values are shown:

	Approximate % increase to Employer Obligations %	Approximate monetary value £000
0.5% decrease in Real Discount Rate	11%	5,665
1 year increase in member life expectancy	3%	1,483
0.5% increase in the Salary Increase Rate	5%	2,262
0.5% increase in the Pension Increase Rate	7%	3,264

5. EVENTS AFTER THE REPORTING PERIOD

There are no events after the reporting period.

LOTHIAN VALUATION JOINT BOARD

6. ADJUSTMENTS BETWEEN ACCOUNTING BASIS AND FUNDING BASIS UNDER REGULATIONS

- 6.1** This note details the adjustments that are made to the total Comprehensive Income and Expenditure Statement recognised by the Board in the year in accordance with proper accounting practice to the resources that are specified by statutory provisions as being available to the Board to meet future capital and revenue expenditure.

2015/16 - Current Financial Year	Usable Reserves	Unusable Reserves			
	General Fund Balance	Capital Adjustment Account	Pension Reserve	Accumulated Absence Account	Movement in Unusable Reserves
	£'000	£'000	£'000	£'000	£'000
Adjustments primarily involving the Capital Adjustment Account					
Reversal of items debited or credited to the Comprehensive Income and Expenditure Statement (CIES)					
Charges for depreciation and impairment of non-current assets	(92)	92	0	0	92
(Gain) / Loss on disposal of non-current assets	0	0	0	0	0
Amortisation of intangible assets	(8)	8	0	0	8
Insertion of items not debited or credited to the CIES					
Capital expenditure charged against General Fund Balance	46	(46)	0	0	(46)
Adjustments primarily involving the Pensions Reserve					
Reversal of items relating to retirement benefits debited or credited to the CIES	(1,563)	0	1,563	0	1,563
Reversal of exceptional items relating to retirement benefits debited or credited to the CIES	0	0	0	0	0
Employer's pension contributions and direct payments to pensioners payable in the year	837	0	(837)	0	(837)
Adjustments primarily involving the Employee Statutory Adjustment Account					
Amount by which officer remuneration charged to the CIES on an accruals basis is different from remuneration chargeable in the year in accordance with statutory requirements	3	0	0	(3)	(3)
Total Adjustments	(777)	54	726	(3)	777

LOTHIAN VALUATION JOINT BOARD

6. ADJUSTMENTS BETWEEN ACCOUNTING BASIS AND FUNDING BASIS UNDER REGULATIONS (Contd.)

- 6.2 This note details the adjustments that are made to the total Comprehensive Income and Expenditure Statement recognised by the Board in the year in accordance with proper accounting practice to the resources that are specified by statutory provisions as being available to the Board to meet future capital and revenue expenditure.

2014/15 - Previous Year Comparative (restated)	Usable Reserves	Unusable Reserves			
	General Fund Balance	Capital Adjustment Account	Pension Reserve	Accumulated Absence Account	Movement in Unusable Reserves
	£'000	£'000	£'000	£'000	£'000
Adjustments primarily involving the Capital Adjustment Account					
Reversal of items debited or credited to the Comprehensive Income and Expenditure Statement (CIES)					
Charges for depreciation and impairment of non-current assets	(73)	73	0	0	73
(Gain) / Loss on disposal of non-current assets	0	0	0	0	0
Amortisation of intangible assets	(10)	10	0	0	10
Insertion of items not debited or credited to the CIES					
Capital expenditure charged against General Fund Balance	137	(137)	0	0	(137)
Adjustments primarily involving the Pensions Reserve					
Reversal of items relating to retirement benefits debited or credited to the CIES	(1,330)	0	1,330	0	1,330
Reversal of exceptional items relating to retirement benefits debited or credited to the CIES	0	0	0	0	0
Employer's pension contributions and direct payments to pensioners payable in the year	782	0	(782)	0	(782)
Adjustments primarily involving the Employee Statutory Adjustment Account					
Amount by which officer remuneration charged to the CIES on an accruals basis is different from remuneration chargeable in the year in accordance with statutory requirements	(7)	0	0	7	7
Total Adjustments	(501)	(54)	548	7	501

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7. PROPERTY PLANT AND EQUIPMENT

Movements on balances:

7.1	Current Year Movements in 2015/16	Leasehold Improvements £000's	Vehicles Plant and Equipment £000's	Total Property Plant and Equipment £000's
	Cost or Valuation			
	At 1st April 2015	432	422	854
	Impairment	0	0	0
	Derecognised assets GBV reversal	0	(39)	(39)
	Additions	0	5	5
	At 31st March 2016	432	388	820
	Accumulated Depreciation			
	At 1st April 2015	(131)	(159)	(290)
	Derecognised assets depreciation reversal	0	39	39
	Depreciation charge	(18)	(74)	(92)
	At 31st March 2016	(149)	(194)	(343)
	Net Book Value at 31st March 2016	283	194	477

7.2	Previous Year Movements in 2014/15	Leasehold Improvements £000's	Vehicles Plant and Equipment £000's	Total Property Plant and Equipment £000's
	Cost or Valuation			
	At 1st April 2014	432	298	730
	Impairment	0	0	0
	Derecognition - disposals	0	0	0
	Additions	0	124	124
	At 31st March 2015	432	422	854
	Accumulated Depreciation			
	At 1st April 2014	(113)	(105)	(218)
	Disposals/Impairment depreciation reversal	0	0	0
	Depreciation charge	(18)	(54)	(72)
	At 31st March 2015	(131)	(159)	(290)
	Net Book Value at 31st March 2015	301	263	564

7.3 Depreciation

The following useful lives have been used in the calculation of depreciation:

- Leasehold improvements (buildings) - 16 years
- Vehicles, plant and equipment - 5 years

LOTHIAN VALUATION JOINT BOARD

7. PROPERTY PLANT AND EQUIPMENT (Contd.)

7.4 Capital Commitments

At 31st March 2016, there were no capital commitments entered into by the Board.

7.5 Revaluations

Property, plant and equipment are shown in the balance sheet at depreciated historic cost. This does not comply with the Code, however, the difference is not considered material.

The significant assumptions applied in estimating the fair values are:

- the property was not inspected - this was neither practical nor considered by the valuer to be necessary for the purpose of the valuation;
- unless stated otherwise, all properties with greater than de-minimus value were assumed to be in reasonable state of repair and have a life expectancy of more than 50 years;
- the valuations were prepared using information from the City of Edinburgh Council's internal records as well as the valuation Roll produced by the Lothian Valuation Joint Board.

	Leasehold Improvements £000's	Vehicles Plant and Equipment £000's	Total Property Plant and Equipment £000's
Carried at historical cost	283	194	477
Valued at fair values as at:			
• 31st March 2015	0	0	0
• 31st March 2014	0	0	0
• 31st March 2013	0	0	0
• 31st March 2012	0	0	0
• 31st March 2011	0	0	0
• 31st March 2010	0	0	0
• 31st March 2009	0	0	0
• 31st March 2008	0	0	0
Total Cost or Valuation	283	194	477

LOTHIAN VALUATION JOINT BOARD

8. INTANGIBLE ASSETS

The Board accounts for its software as intangible assets, to the extent that software is not an integral part of a particular IT system and accounted for as part of the hardware item of Property, Plant and Equipment. The intangible assets include both purchased licences and internally generated software.

All software is given a useful life, based on assessments of the period that the software is expected to be of use to the Board. The useful lives assigned to the major software suites used by the Board are:

- 3 years:
 - Dacoll Limited - Back-up software
- 5 years:
 - Civica UK Ltd - Software to increase robustness
 - Trustmarque Solutions Ltd - Sharepoint software
 - Zerion - Canvass operation software
- 10 years :
 - Dacoll virtual environment - software/licences
 - Microsoft Office licences
 - Document & Data Disposal Module software

The carrying amount of intangible assets is amortised on a straight-line basis. Amortisation of £0.008m was charged to the Comprehensive Income and Expenditure during 2015/16.

The movement on Intangible Assets during the year is as follows:

	2014/15 £'000	2015/16 £'000
Balance at start of year:		
• Gross carrying amounts	77	89
• Accumulated amortisation	(14)	(24)
Net carrying amount at start of year	63	65
Additions	12	42
Impairment of assets	0	0
Derecognition - disposals	0	0
Derecognition - disposals (accum amort adjustment)	0	0
Amortisation for the period	(10)	(8)
Net carrying amount at end of year	65	99
Comprising:		
• Gross carrying amounts	89	131
• Accumulated amortisation	(24)	(32)
	65	99

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9. FINANCIAL INSTRUMENTS

- 9.1 In accordance with IAS 32 Financial Instruments: Presentation; IAS 39 Financial Instruments: Recognition and Measurement; and FRS 7 Financial Instruments : Disclosures; this note details the make up of financial instruments, both assets and liabilities, the key risks the Board is exposed to in its management of its financial instruments, and how these are managed. From 1st April 2012, the Board changed its Accounting Policy in respect of the transfer of assets to comply with amendments to IFRS 7 issued in October 2010. The standard does not have a material impact on the Annual Accounts of the Board.

	Long-term		Current	
	31st March 2015 £'000	31st March 2016 £'000	31st March 2015 £'000	31st March 2016 £'000
Investments				
Loans and receivables	0	0	1,232	1,302
Creditors				
Trade creditors	0	0	(22)	(10)

- 9.2 Income, Expenses, Gains and Losses

The gains and losses recognised in the Comprehensive Income and Expenditure Statement in relation to financial instruments are made up as follows:

	Financial Liabilities measured at amortised cost 31st March 2015 £'000	Financial Liabilities measured at amortised cost 31st March 2016 £'000
Total expense and income in Surplus or Deficit on the Provision of services :		
Interest income	3	3

Fair Values of Assets and Liabilities

The Fair Value of Financial Instruments have been calculated in accordance with IFR 13.

- loans to and from the City of Edinburgh Council are variable rate and repayable on demand. The fair value of these loans has therefore been taken to be their carry value.
- the fair value of trade and other receivables is taken to be the invoiced or billed amount.

The fair values calculated are as follows:

	31 March 2015		31 March 2016	
	Carrying Amount £'000	Fair Value £'000	Carrying Amount £'000	Fair Value £'000
Trade debtors	(22)	(22)	(10)	(10)
Loans and receivables	1,232	1,232	1,302	1,302

LOTHIAN VALUATION JOINT BOARD

10. INVENTORIES

The stock held at 31st of March 2014 was deemed as having no realisable value and was written off to the Comprehensive Income and Expenditure Account during 2013/14. The majority of this stock related to paper and envelopes and the balance is not considered to be material.

11. SHORT TERM DEBTORS

	31st March 2015 £'000	31st March 2016 £'000
Debtors:		
• HM Revenues and Customs - VAT	50	0
• Rent	57	57
• Car leasing	10	0
• Car purchase advances	0	0
• Annual licenses, support or maintenance	25	33
• Insurances	17	17
• Other entities and individuals	5	179
	<u>164</u>	<u>286</u>

12. CASH AND CASH EQUIVALENTS

The balance of cash and cash equivalents is made up of the following elements:

	31st March 2015 £'000	31st March 2016 £'000
Cash held by the Board	1	1
Other local authorities	1,232	1,301
	<u>1,233</u>	<u>1,302</u>

13. SHORT TERM CREDITORS

	31st March 2015 £'000	31st March 2016 £'000
Other local authorities	0	0
Employee costs	(96)	(93)
Valuation Appeals Panel - Secretary's fees	(12)	(11)
IER Grant	(214)	(268)
Other entities and individuals	(76)	(55)
HM Revenues and Customs - VAT	0	(36)
Total	<u>(398)</u>	<u>(463)</u>

LOTHIAN VALUATION JOINT BOARD

14. USABLE AND UNUSABLE RESERVES

<u>USABLE</u>		31st March 2015 £'000	31st March 2016 £'000
14.1	General Fund Balance	(596)	(749)
		<u>(596)</u>	<u>(749)</u>

<u>UNUSABLE</u>		31st March 2015 £'000	31st March 2016 £'000
14.2	Capital Adjustment Account	(629)	(575)
14.3	Pension Reserve	11,870	6,239
14.4	Accumulated Absence Account	96	93
		<u>11,337</u>	<u>5,757</u>

14.1 General Fund Balance

Movements in the Authority's usable reserve are detailed in the Movement in Reserves Statement. The General Fund balance represents the balance of the surpluses or deficits arising from the Comprehensive Income and Expenditure Statement.

The table below details the surplus or deficits arising annually since 2010/11. Prior to 2010/11 all surplus balances were refunded to constituent councils.

	31st March 2015 £'000	31st March 2016 £'000
<u>Year</u>		
2010/11	(228)	(228)
2011/12	(42)	(42)
2012/13	(127)	(127)
2013/14	(24)	(24)
2014/15	(175)	(175)
2015/16	-	(153)
	<u>(596)</u>	<u>(749)</u>

14.2 Capital Adjustment Account

The Capital Adjustment Account absorbs the timing differences arising from the different arrangements for accounting for the consumption of non-current assets and for financing the acquisition, construction or enhancement of those assets under statutory provisions. The Account is debited with the cost of acquisition, construction or enhancement as depreciation, impairment losses and amortisations are charged to the Comprehensive Income and Expenditure Statement (with reconciling postings from the Revaluation Reserve to convert fair value figures to a historical cost basis). The Account is credited with the amounts set aside by the Board as finance for the costs of acquisition, construction and enhancement.

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14. USABLE AND UNUSABLE RESERVES (Contd.)

14.2 Capital Adjustment Account (Contd.)

	2014/15 £'000	2015/16 £'000
Balance at 1st April	(574)	(629)
Reversal of items related to capital expenditure debited or credited to the Comprehensive Income and Expenditure Statement:		
• Charges for depreciation and impairment of non-current assets	72	92
• Revaluation losses on Property, Plant and Equipment	0	0
• Amortisation of intangible assets	10	8
• Amounts of non-current assets written off on gain/loss on disposal to CIES	0	0
Net written out amount of the cost of non-current assets consumed in year	(492)	(529)
Capital financing for the year:		
• Use of capital receipts to finance new capital expenditure	0	0
• Statutory provision for the financing of capital expenditure	(137)	(46)
Balance at 31st March	(629)	(575)

14.3 Pension Reserve

The Pension Reserve absorbs the timing differences arising from the different arrangements for accounting for post employment benefits and for funding benefits in accordance with statutory provisions. The Board accounts for post employment benefits in the Comprehensive Income and Expenditure Statement as the benefits are earned by employees accruing years of service, updating the liabilities recognised to reflect inflation, changing assumptions and investment returns on any resources set aside to meet the costs. However, statutory arrangements require benefits earned to be financed as the Board makes employer's contributions to pension funds or eventually pays any pensions for which it is directly responsible. The debit balance on the Pensions Reserve therefore shows a substantial shortfall in the benefits earned by past and current employees and the resources the Board has set aside to meet them. The statutory arrangements will ensure that funding will have been set aside by the time the benefits come to be paid.

	2014/15 £'000	2015/16 £'000
Balance at 1st April	8,072	11,870
Actuarial gains or losses on pension assets and liabilities	0	0
Remeasurements of the net defined benefit liability / (asset)	3,250	(6,357)
Reversals of items relating to retirement benefits debited or credited to the Surplus or Deficit on the Provision of Services in the Comprehensive Income and Expenditure Statement.	1,330	1,563
Employer's pension contributions and direct payments to pensioners payable in the year.	(782)	(837)
Balance at 31st March	11,870	6,239

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14. USABLE AND UNUSABLE RESERVES (Contd.)

14.4 Accumulated Absences Account

The Accumulated Absences Account absorbs the differences that would otherwise arise on the General Fund Balance from accruing for compensated absences earned but not taken in the year, for example, annual leave entitlement carried forward at 31st March. Statutory arrangements require that the impact on the General Fund balance is neutralised by transfers to or from the Account.

	2014/15 £'000	2014/15 £'000	2015/16 £'000	2015/16 £'000
Balance at 1st April		88		96
Settlement or cancellation of accrual made at the end of the preceding year	(88)		(96)	
Amounts accrued at the end of the current year	96		93	
Amount by which officer remuneration charged to the Comprehensive Income and expenditure Statement on an accruals basis is different from remuneration chargeable in the year in accordance with statutory requirements		8		(3)
Balance at 31st March		96		93

15. CASH FLOW STATEMENT

15.1 Reconciliation between the General Fund Balance and the revenue activities net cash flow.

	2014/15 £'000	2015/16 £'000
Net (increase)/decrease in the General Fund Balance	(175)	(153)
Exclude accumulated absences	7	(2)
Exclude revenue contribution to capital	(137)	(46)
	(305)	(201)
(Decrease)/increase in revenue debtors	(1)	122
(Decrease)/increase in long term debtors	(6)	(6)
(Decrease)/increase in stocks	0	0
Decrease/(increase) in deferred credit	35	35
Decrease/(increase) in revenue creditors	(169)	(65)
Revenue activities net cash flow	(446)	(115)

15.2 Reconciliation of the movement in cash with the related items in the opening and closing balance sheets for the period.

	2014/15 £'000	2015/16 £'000
Due by/(to) the City of Edinburgh Council at 31st March	924	1,233
Due by/(to) the City of Edinburgh Council at 1st April	1,233	1,302
(Increase)/decrease in cash	(309)	(69)

LOTHIAN VALUATION JOINT BOARD

16. AMOUNTS REPORTED FOR RESOURCE ALLOCATION DECISIONS

The analysis of income and expenditure by service on the face of the Comprehensive Income and Expenditure Statement is that specified by the Best Value Accounting Code of Practice. However, decisions about resource allocation are taken by the Board on the basis of budget reports analysed across functions. These reports are prepared on a different basis from the accounting policies used in the Annual Accounts. In particular:

- no charges are made in relation to capital expenditure (whereas depreciation, revaluation and impairment losses in excess of the balance on the Revaluation Reserve and amortisations are charged to services in the Comprehensive Income and Expenditure Statement),
- the cost of retirement benefits is based on cash flows (payments of employer's pensions contributions) rather than current service cost of benefits accrued in the year,

16.1	2015/16 - Current Year	2015/16
	Service Information	£'000
	Fees, charges and other service income	(820)
	Interest and investment income	(3)
	Income from requisitions	(6,118)
	Govt grants and other contributions	0
		<u>(6,941)</u>
	Employee expenses	4,801
	Other operating expenses	1,926
	Support Services	61
		<u>6,788</u>
	Cost of Services	(153)
	Reconciliation to Net Cost of Service in Comprehensive Income and Expenditure Statement	
	Cost of Service in Service Analysis	(153)
	Add: amounts not reported to management	1,275
	Remove: amounts reported to management not included in CIES	5,238
		<u>6,360</u>
	Net Cost of Services in CIES	6,360

	Service Analysis £'000	Not Reported to Mgmt £'000	Not Included in CIES £'000	Allocation of Recharges £'000	Net Cost of Services £'000	Corporate Amounts £'000	(Surplus)/Deficit on Provision of Service £'000
Reconciliation to Subjective Analysis							
Fees, charges and other income	(820)	0	0	0	(820)	0	(820)
Interest and investment income	(3)	0	3	0	0	(3)	(3)
Income from requisitions	(6,118)	0	6,118	0	0	(6,118)	(6,118)
Interest (receipts) / cost	0	0	0	0	0	385	385
Total Income	<u>(6,941)</u>	<u>0</u>	<u>6,121</u>	<u>0</u>	<u>(820)</u>	<u>(5,736)</u>	<u>(6,556)</u>
Employee expenses	4,801	1,175	(837)	24	5,163	0	5,163
Other operating expenses	1,926	0	(46)	37	1,917	0	1,917
Support Services	61	0	0	(61)	0	0	0
Depreciation, amort & impair	0	100	0	0	100	0	100
Interest payments	0	0	0	0	0	0	0
Gain/Loss on disposal of assets	0	0	0	0	0	0	0
Total Expenditure	<u>6,788</u>	<u>1,275</u>	<u>(883)</u>	<u>0</u>	<u>7,180</u>	<u>0</u>	<u>7,180</u>
(Surplus) or Deficit on the Provision of Service	(153)	1,275	5,238	0	6,360	(5,736)	624

LOTHIAN VALUATION JOINT BOARD

16. AMOUNTS REPORTED FOR RESOURCE ALLOCATION DECISIONS (Contd.)

16.2	2014/15 - Comparative figures	2014/15
	Service Information	£'000
	Fees, charges and other service income	(763)
	Interest and investment income	(3)
	Income from requisitions	(6,112)
	Govt grants and other contributions	0
		<u>(6,878)</u>
	Employee expenses	4,708
	Other operating expenses	1,930
	Support Services	65
		<u>6,703</u>
	Cost of Services	(175)
	Reconciliation to Net Cost of Service in Comprehensive Income and Expenditure Statement	
	Cost of Service in Service Analysis	(175)
	Add: amounts not reported to management	1,068
	Remove: amounts reported to management not included in CIES	5,197
		<u>6,090</u>

	Service Analysis £'000	Not Reported to Mgmt £'000	Not Included in CIES £'000	Allocation of Recharges £'000	Net Cost of Services £'000	Corporate Amounts £'000	(Surplus)/ Deficit on Provision of Service £'000
Reconciliation to Subjective Analysis							
Fees, charges and other income	(763)	0	0	0	(763)	0	(763)
Interest and investment income	(3)	0	3	0	0	(3)	(3)
Income from requisitions	(6,112)	0	6,112	0	0	(6,112)	(6,112)
Interest (receipts) / cost	0	0	0	0	0	351	351
Total Income	<u>(6,878)</u>	<u>0</u>	<u>6,115</u>	<u>0</u>	<u>(763)</u>	<u>(5,765)</u>	<u>(6,528)</u>
Employee expenses	4,708	986	(782)	26	4,938	0	4,938
Other operating expenses	1,930	0	(137)	39	1,833	0	1,833
Support Services	65	0	0	(65)	0	0	0
Depreciation, amort & impair	0	82	0	0	82	0	82
Interest payments	0	0	0	0	0	0	0
Gain/Loss on disposal of assets	0	0	0	0	0	0	0
Total Expenditure	<u>6,703</u>	<u>1,068</u>	<u>(919)</u>	<u>0</u>	<u>6,853</u>	<u>0</u>	<u>6,853</u>
(Surplus) or Deficit on the Provision of Service	(175)	1,068	5,196	0	6,090	(5,765)	326

LOTHIAN VALUATION JOINT BOARD

17. MEMBERS ALLOWANCES

The Board paid the following amounts to members during the year. These figures include NI and Pensions.

	2014/15 £000's	2015/16 £000's
Salaries (incl. NI and Pensions)	9	9
Expenses	0	0
Total	9	9

18. EXTERNAL AUDIT COSTS

The Board has incurred the following costs in relation to the audit of the Statement of Accounts:

	2014/15 £000's	2015/16 £000's
External audit services carried out for the year	7	7

19. GRANT INCOME

There was no revenue grant credited to the Comprehensive Income and Expenditure Statement in 2015/16 (2014/15 £0).

20. RELATED PARTIES

The Board is required to disclose material transactions with related parties - bodies or individuals that have the potential to control or influence the Board or to be controlled or influenced by the Board. Disclosure of these transactions allows readers to assess the extent to which the Board might have been constrained in its ability to operate independently or might have secured the ability to limit another party's ability to bargain freely with the Board.

20.1 Scottish Government

The Scottish Government is responsible for providing the statutory framework within which the Board operates. It provides the majority of the Board's funding in the form of grants to the constituent councils, and prescribes the terms of many of the transactions that the Board has with other parties. Constituent councils provide funding to the Board at the start of each financial year. Grants received are set out in the subjective analysis in Note 16, Amounts Reported for Resource Allocation Decisions.

20.2 Members

Members of the Board have direct control over the Board's financial and operating policies. The total of members' allowances paid in 2015/16 shown in Note 17 and the Remuneration Report.

20.3 Other Parties

During the year, the Board entered into the following transactions with related parties:

	2014/15 £000's	2015/16 £000's
• The City of Edinburgh Council:		
Rates	184	188
Rent *	305	305
Central support costs	65	61
Interest on revenue balances	(3)	(3)
Constituent council contribution	(3,740)	(3,744)
Council Tax hearings	0	(3)
Vehicle hires	0	3
Printing	0	4
Trade Waste	0	1
Due from City of Edinburgh Council	1,232	1,302
Long term debtor - lease of office	96	90
Convener remuneration	5	5

LOTHIAN VALUATION JOINT BOARD

20. RELATED PARTIES (Contd.)

20.3 Other Parties (Contd.)

• The Scottish Government		
Referendum costs recovered	(110)	0
Electoral registration costs recovered	0	(345)
• The Cabinet Office		
IER grant received	(806)	(701)
• Midlothian Council		
Constituent council contribution	(556)	(560)
• East Lothian Council		
Constituent council contribution	(674)	(669)
• West Lothian Council		
Constituent council contribution	(1,143)	(1,145)
Vice Convener remuneration	4	4
• Clackmannanshire Council	0	15
• Fife Council	0	2
• Glasgow City Council	0	7
* additional disclosure since audited annual accounts 2014/15.		

21. TERMINATION BENEFITS

There were four employee contracts terminated by the Board during 2015/16. These are shown in the Remuneration Report - Exit Packages (page 47).

22. CAPITAL EXPENDITURE AND CAPITAL FINANCING

The total amount of capital expenditure incurred in the year is shown below, together with the resources that have been used to finance it. Where capital expenditure is to be financed in future years by charges to revenue as assets are used by the Board, the expenditure results in an increase in the Capital Financing Requirement (CFR), a measure of the capital expenditure incurred historically by the Board that has yet to be financed.

	2014/15 £000's	2015/16 £000's
Opening Capital Financing Requirement	0	0
Capital investment		
• Property, Plant and Equipment	124	5
• Intangible assets	13	41
Sources of finance		
• Capital receipts	0	0
• Direct revenue contributions	(137)	(46)
Closing Capital Financing Requirement	0	0

LOTHIAN VALUATION JOINT BOARD

23. DEFINED BENEFIT PENSION SCHEMES

23.1 Participation in Pension Schemes

As part of the terms and conditions of employment of its staff, the Board makes contributions towards the cost of post employment benefits. Although these benefits will not actually be payable until the employees retire, the Board has a commitment to make the payments that needs to be disclosed at the time that employees earn their future entitlement.

The Board participates in the following post employment scheme:

- Local Government Pension Scheme (LGPS) - a funded defined benefit statutory scheme as administered by the City of Edinburgh Council's Lothian Pension Fund. The LGPS is administered in accordance with the Local Government Pension Scheme (Scotland) Regulations 1998, as amended.

The Local Government Pension Scheme (LGPS) changed from a final salary scheme to a career average scheme on the 1 April 2015. All benefits built up in the LGPS for membership after 31 March 2015 are worked out under the rules of the new career average scheme. Before 1 April 2015 benefits were built up based on a final salary scheme. A funded defined benefit scheme, requires the Board and employees pay contributions into a fund, calculated at a level intended to balance the pension liabilities with investment assets.

23.2 Transactions Relating to Post-employment Benefits

The Board recognises the cost of retirement benefits in the reported cost of service when they are earned by employees, rather than when the benefits are eventually paid as pensions. However, the charge we are required to make is based on the cash payable in the year, so the real cost of post employment/retirement benefits is reversed out of the General Fund via the Movement in Reserves Statement. The following transactions have been made in the Comprehensive Income and Expenditure Statement and the General Fund Balance via the Movement in Reserves Statement during the year:

	2014/15 £000	2014/15 £000	2015/16 £000	2015/16 £000
Comprehensive Income and Expenditure Statement				
Cost of services, comprising:				
Current service costs	979		1,146	
Past service costs	<u>0</u>		<u>32</u>	
		979		1,178
Financing and investment income:				
Net interest expense		<u>351</u>		<u>385</u>
Total post employee benefit charged to the surplus on the provision of services		1,330		1,563
Other post-employment benefits charges to the Comprehensive Income / Expenditure Statement				
Remeasurement of the net defined liability, comprising:				
Return on plan assets, excluding the amount incl. in the net interest expense above.	(4,442)		(716)	
Actuarial gains and (losses) arising on changes in financial and demographic assumptions	7,715		(5,195)	
Other experience	<u>(23)</u>		<u>(446)</u>	
		<u>3,250</u>		<u>(6,357)</u>
Total post-employment benefits charged to the Comprehensive Income / Expenditure Statement		<u>4,580</u>		<u>(4,794)</u>
Movement in Reserves Statement				
Reversal of net charges made to the surplus on the provision of services for post-employment benefits in accordance with the Code.		<u>(3,798)</u>		<u>5,631</u>
Actual amount charged against the General Fund				
Balance for pensions in the year:				
Employer's contributions payable to the scheme		703		757
Contributions in respect of unfunded benefits		<u>79</u>		<u>80</u>
		782		837

LOTHIAN VALUATION JOINT BOARD

23. DEFINED BENEFIT PENSION SCHEMES (Contd.)

23.3 Pension Assets and Liabilities Recognised in the Balance Sheet

The amount included in the Balance Sheet arising from the Board's obligations in respect of its defined benefit plan is as follows:

	2014/15	2015/16
	£000	£000
Fair value of employer assets	41,358	43,186
Present value of funded liabilities	(51,352)	(47,721)
Present value of unfunded liabilities	(1,876)	(1,704)
Net liability arising from defined benefit obligation	<u>(11,870)</u>	<u>(6,239)</u>

23.4 Reconciliation of the Movements in the Fair Value of Scheme Assets

	2014/15	2015/16
	£000	£000
Opening fair value of scheme assets	35,206	41,358
Interest income	1,517	1,320
Remeasurement gain / (loss):		
Return on plan assets, excluding the amount included in the net interest expense	4,442	716
Contributions from employer	703	757
Contributions from employees into the scheme	239	243
Contributions in respect of unfunded benefits	79	80
Benefits paid	(749)	(1,208)
Unfunded benefits paid	(79)	(80)
Closing fair value of scheme assets	<u>41,358</u>	<u>43,186</u>

23.5 Reconciliation of Present Value of the Scheme Liabilities

	2014/15	2015/16
	£000	£000
Present value of funded liabilities	(41,610)	(51,352)
Present value of unfunded liabilities	(1,668)	(1,876)
Opening balance at 1 April	<u>(43,278)</u>	<u>(53,228)</u>
Current service cost	(979)	(1,146)
Interest cost	(1,868)	(1,705)
Contributions from employees into the scheme	(239)	(243)
Remeasurement gain / (loss):		
Change in financial assumptions	(5,701)	5,195
Change in demographic assumptions	(2,014)	0
Other experience	23	446
Past service cost	0	(32)
Benefits paid	749	1,208
Unfunded benefits paid	79	80
Closing balance at 31 March	<u>(53,228)</u>	<u>(49,425)</u>

LOTHIAN VALUATION JOINT BOARD

23. DEFINED BENEFIT PENSION SCHEMES (Contd.)

23.6 Fair Value of Employer Assets

The following asset values are at bid value as required under IAS19.

	2014/15 £000	2014/15 %	2015/16 £000	2015/16 %
<u>Equity Securities</u>				
Consumer *	5,800.6	14	6,576.9	15
Manufacturing *	4,864.8	12	5,093.5	12
Energy and Utilities *	4,132.4	10	3,430.4	8
Financial Institutions *	3,407.5	8	3,657.8	8
Health and Care *	2,818.2	7	2,870.7	7
Information Technology *	2,586.5	6	2,587.4	6
Other *	1,852.3	4	2,471.9	6
Sub-total Equity Securities	25,462.3		26,688.6	
<u>Debt Securities:</u>				
UK Government *	2,394.8	6	2,779.1	6
Other *	1,019.9	2	1,092.5	3
Sub-total Debt Securities	3,414.7		3,871.6	
<u>Private Equity</u>				
All *	0.0	0	484.7	1
All	4,795.7	12	1,404.0	3
Sub-total Private Equity	4,795.7		1,888.7	
<u>Real Estate:</u>				
UK Property	2,705.2	7	3,694.0	9
Overseas Property	419.4	1	0.0	0
Sub-total Real Estate	3,124.6		3,694.0	
<u>Investment Funds and Unit Trusts:</u>				
Equities *	448.7	2	0.0	0
Equities	0.0	0	0.0	0
Bonds *	118.8	0	115.9	0
Bonds	0.0	0	234.0	1
Infrastructure *	248.7	1	240.3	1
Infrastructure	0.0	0	2,632.0	6
Commodities *	132.2	0	119.8	0
Other	147.7	0	1,034.7	2
Other *	133.7	0	0.0	0
Sub-total Investment Funds and Unit Trusts	1,229.8		4,376.7	
<u>Derivatives:</u>				
Foreign Exchange *	63.4	0	(2.5)	0
Sub-total Derivatives	63.4		(2.5)	
<u>Cash and Cash Equivalents</u>				
All *	3,267.5	8	2,668.9	6
Sub-total Cash and Cash Equivalents	3,267.5		2,668.9	
Total Fair Value of Employer Assets	41,358.0	100	43,186.0	100

Scheme assets marked with an asterisk (*) have quoted prices in current active markets or were in active markets 2014/15.

LOTHIAN VALUATION JOINT BOARD

23. DEFINED BENEFIT PENSION SCHEMES (Contd.)

23.7 Basis for Estimating Assets and Liabilities

Hymans Robertson, the independent actuaries to Lothian Pension Fund, have advised that the financial assumptions used to calculate the components of the pension expense for the year ended 31 March 2016 were those from the beginning of the year (i.e. 31 March 2015) and have not been changed during the year. The main assumptions in the calculations are:

<u>Expected return on assets</u>		2014/15	2015/16
Equity investments		3.2%	3.5%
Bonds		3.2%	3.5%
Property		3.2%	3.5%
Cash		3.2%	3.5%
<u>Average future life expectancies at age 65:</u>			
Current pensioners	male	22.1 years	22.1 years
Current pensioners	female	23.7 years	23.7 years
Future pensioners	male	24.2 years	24.2 years
Future pensioners	female	26.3 years	26.3 years
<u>Financial assumptions:</u>		2014/15	2015/16
Pension increase rate		2.4%	2.2%
Salary increase rate		4.3%	4.2%
Discount rate		3.2%	3.5%

Estimation of defined benefit obligations is sensitive to the actuarial assumptions set out above. In order to quantify the impact of a change in the financial assumptions used, the Actuary has calculated and compared the value of the scheme liabilities as at 31 March 2016 on varying bases. The approach taken by the Actuary is consistent with that adopted to derive the IAS19 figures.

For example, to quantify the uncertainty around life expectancy, the Actuary has calculated the difference in cost to the Employer of a one year increase in life expectancy. For sensitivity purposes, this is assumed to be an increase in the cost of benefits of broadly 3%. In practice the actual cost of a one year increase in life expectancy will depend on the structure of the revised assumption and changes in some of the assumptions may be interrelated.

<u>Change in assumptions at 31 March 2016</u>	Approximate % increase to Employer	Approximate Monetary Amount
0.5% decrease in Real Discount Rate	11.0%	5,665
1 year increase in member life expectancy	3.0%	1,483
0.5% increase in the Salary Increase Rate	5.0%	2,262
0.5% increase in the Pension Increase Rate	7.0%	3,264

23.8 Analysis of projected amount to be charged to profit or loss for the period to 31 March 2017

	Assets £000	Obligations £000	Net (liability) / asset	
			£000	% of pay
Current service cost	0	(978)	(978)	-28.40%
Total Service Cost	0	(978)	(978)	-28.40%
Interest income on plan assets	1,510	0	1,510	43.90%
Interest cost on defined benefit obligation	0	(1,731)	(1,731)	-50.30%
Total Net Interest Cost	1,510	(1,731)	(221)	-6.40%
Total included in Profit or Loss	1,510	(2,709)	(1,199)	-34.80%

The Board's estimated contribution to Lothian Pension Fund for 2016/17 is £0.722m.

23.9 Impact on the Authority's Cash Flows

The objectives of the scheme are to keep employers' contributions at as constant a rate as possible. The Board has agreed a contribution stability mechanism with the schemes actuary until 31st March 2018.

LOTHIAN VALUATION JOINT BOARD

24. LEASES

Operating Leases

The Board currently occupies land and buildings listed below by entering into the following operating lease:

17a South Gyle Crescent - offices		
	2014/15 £000's	2015/16 £000's
The future minimum lease payments due in future years are:		
• Not later than 1 year	305	305
• Later than 1 year not later than 5 years	1,526	1,526
• Later than 5 years	3,358	3,052
	<u>5,189</u>	<u>4,883</u>

Car Leases

The Board operates an employee car leasing scheme. There were eighteen leases in operation during 2015/16 and employees contributed £0.038m during 2015/16 towards the cost of car leasing. The Board is committed to paying the following sums in future years:

	2014/15 £000's	2015/16 £000's
The future minimum lease payments due in future years are:		
• Not later than 1 year	45	26
• Later than 1 year not later than 5 years	41	14
	<u>86</u>	<u>41</u>

The Board has no finance lease obligations.

25. LONG TERM DEBTORS

The long term debtor is in respect of a cash incentive received by the Board on its relocation of offices to its new premises at 17a South Gyle Crescent (Note 24 Leases refers). The cash incentive is amortised on a straight line basis over the term of the lease. A 25 year lease was entered into in December 2006, the remaining life amounts to 16 years, consequently £5,642 will be written to the Comprehensive Income and Expenditure Statement each year.

	2014/15 £000's	2015/16 £000's
• Cash incentive:		
Balance at 1st April	102	96
Amortised to Comprehensive Income and Expenditure Statement	(6)	(6)
Balance at 31st March	<u>96</u>	<u>90</u>
• Car purchase advances (Balances due more than 12 months)	0	0
Total	<u>96</u>	<u>90</u>

26. OTHER LONG TERM LIABILITIES

The Board relocated to its new offices in December 2006. As part of the agreement, the landlord agreed to pay a cash incentive of £0.400m on date of entry and £0.475m in 2011. This will be amortised on a straight line basis totalling £0.035m per annum over 25 years, the term of the lease.

	2014/15 £000's	2015/16 £000's
Balance at 1st April	(630)	(595)
Amortised to Comprehensive Income and Expenditure Statement	35	35
Balance at 31st March	<u>(595)</u>	<u>(560)</u>

LOTHIAN VALUATION JOINT BOARD

27. CONSTITUENT COUNCIL REQUISITIONS

The net expenditure of the Board is a charge upon the City of Edinburgh Council, West, East and Midlothian Councils. The division of net expenditure borne by the constituent councils is made in accordance with the Valuations Joint Boards (Scotland) Order 1995.

	Amount due for 2015/16 £000's	Amount received 2015/16 £000's	Amount due (to)/from Constituent Councils 2015/16 £000's
City of Edinburgh Council	3,650	3,744	(94)
Midlothian Council	546	560	(14)
East Lothian Council	653	669	(16)
West Lothian Council	1,116	1,145	(29)
	<u>5,965</u>	<u>6,118</u>	<u>(153)</u>

28. NATURE AND EXTENT OF RISKS ARISING FROM FINANCIAL INSTRUMENTS

All Treasury Management is carried out on the Board's behalf by the City of Edinburgh Council. The Council complies with the CIPFA Prudential Code, and has adopted the CIPFA Treasury Management in the Public Services Code of Practice. The City of Edinburgh Council, on behalf of the Board, has overall risk management procedures that focus on the unpredictability of financial markets, and implementing restrictions to minimise these risks.

The Board's activities expose it to a variety of financial risks which have been assessed in order to determine whether or not such risks have, in order to comply with financial instrument accounting requirements, an impact on these Annual Accounts. For all of the financial risks, the impact on Annual Accounts was found to be immaterial. Each risk is detailed below along with an explanation as to why there is no financial effect arising:

- Re-financing risk - the possibility that the Board might be required to renew a financial instrument on maturity at disadvantageous interest rates or terms is considered immaterial because although the Board has powers to obtain loan finance, no such loans were held during the year;
- Market risk - the possibility that financial loss might arise for the Board as a result of changes in such measures as interest rate movements is considered immaterial because the finances of the Board are such that during the year there was no interest payable and interest receivable was immaterial;
- Credit risk - the possibility that other parties might fail to pay amounts due to the Board is considered immaterial on the basis of past experience and the fact that most debt payable to the Board is due from other public bodies;
- Liquidity risk - the possibility that the Board might not have funds available to meet its commitments to make payments is considered immaterial given the statutory responsibility that the Board has to have a balanced budget and that constituent authorities have to fund the activities of the Board.
- Price risk - the possibility that fluctuations in equity prices has a significant impact on the value of financial instruments held by the Board is considered immaterial because the Board does not generally invest in equity shares.
- Foreign exchange risk - the possibility that fluctuations in exchange rates could result in loss to the Board is considered immaterial because there are no financial assets or liabilities held at the year end denominated in foreign currencies.

The Board holds its surplus funds with the City of Edinburgh Council and does not place external deposits in its own name. The balance held by and due from the City of Edinburgh Council at 31st March 2016 amounted to £1.302m (2014/15 £1.232m). No breaches of the Board's counterparty criteria occurred during the reporting period and the Board does not expect any losses from non-performance by any of its counterparties in relation to deposits. During the reporting period, the Board held no collateral as security.

LOTHIAN VALUATION JOINT BOARD

29. PRIOR PERIOD ADJUSTMENTS

The Board previously carried unspent requisitions in the form of a creditor balance. Following completion of the audited accounts for 2014/15 it was agreed that, in accordance with paragraph 8 of the The Valuation Joint Boards (Scotland) Order 1995, all under spending pertaining to the Board be instead retained in the form of a usable reserve. This change has been adopted retrospectively in accordance with IAS 8: Accounting Policies, Changes in Accounting Estimates and Errors. The changes to the core statements and disclosure notes have been summarised in Notes 29.1 to 29.5.

The Board previously carried the following under spends as a creditor since 31st March 2011.

Year	Under spend £'000	Drawdown to fund VR * £'000	Net Under Spend £'000	Running total in creditors £'000
2010/11	-£228		-£228	-£228
2011/12	-£42		-£42	-£270
2012/13	-£127		-£127	-£397
2013/14	-£117	£93	-£24	-£421
2014/15	-£175		-£175	-£596

* Voluntary early release.

29.1 Movement in Reserves Statement

2014/15 - Previous Year Comparative

	Usable Reserves		
	2014/15 audited accounts £'000	2014/15 restated £'000	Movement £'000
Opening Balances at 1 April 2014	0	(421)	(421)
(Surplus) or deficit on provision of services	501	326	(175)
Net (increase)/decrease before transfers to Other Statutory Reserves	0	(175)	(175)
(Increase)/Decrease in 2014/15	0	(175)	(175)
Balance at 31 March 2015 carried forward	0	(596)	(596)

29.2 Comprehensive Income and Expenditure Statement

2014/15 restatements

	2014/15 audited accounts £'000	2014/15 restated £'000	Movement £'000
Constituent Council requisitions	(5,937)	(6,112)	(175)
(Surplus) or Deficit on Provision of Services	501	326	(175)

29.3 Balance Sheet

2014/15 restatements

	2014/15 audited accounts £'000	2014/15 restated £'000	Movement £'000
Short-term creditors	(994)	(398)	596
Usable reserves	0	596	596

29.4 Cash Flow Statement (Direct method)

2014/15 restatements

	2014/15 audited accounts £'000	2014/15 restated £'000	Movement £'000
Operating Cash Receipts	(6,001)	(6,118)	(117)
Cash paid to and on behalf of employees	4,526	4,643	117

LOTHIAN VALUATION JOINT BOARD

29 PRIOR PERIOD ADJUSTMENTS (Contd.)

29.5	<u>Other disclosure note restatements</u>			
	<u>2014/15 restatements</u>	2014/15 audited accounts £'000	2014/15 restated £'000	Movement £'000
13	Short term creditors - other local authorities	(596)	0	596
14	Usable General Reserve	0	596	596
15	<u>Cash Flow Statement (indirect method)</u>			
	Net (increase)/decrease in the General Fund Balance	0	(175)	(175)
	Decrease/(increase) in revenue creditors	(344)	(169)	175
16	<u>Amounts reported for resource allocation decisions</u>			
	Income from requisitions	(5,937)	(6,112)	(175)

LOTHIAN VALUATION JOINT BOARD

ANNUAL GOVERNANCE STATEMENT

Scope of Responsibility

Lothian Valuation Joint Board aims to ensure best value and provide equitable, customer focussed, high quality, professional valuation and electoral services for all its stakeholders.

The Board is responsible for ensuring that its business is conducted in accordance with the law and appropriate standards, that public money is safeguarded and properly accounted for, and used economically, efficiently, effectively and ethically. The Board also has a duty to make arrangements to secure continuous improvement in the way its functions are carried out.

In discharging these overall responsibilities, Elected Members and Senior Officers are responsible for implementing proper arrangements for the governance of the Board's affairs and facilitating the effective exercise of its functions, including arrangements for management of risk.

The Board has approved and adopted a Local Code of Corporate Governance that is consistent with the principles, and reflects the requirements, of the CIPFA/SOLACE framework *Delivering Good Governance in Local Government* and is supported by detailed evidence of compliance, which is regularly reviewed. A copy of the code is on our website www.lothian-vjb.gov.uk or can be obtained from the Assessor.

This statement explains how the Lothian Valuation Joint Board delivers good governance and reviews the effectiveness of those arrangements. It also includes a statement on internal financial control in accordance with proper practice. The Board's financial management arrangements conform to the governance requirements of the CIPFA Statement on the Role of the Chief Financial Officer in Local Government (2010).

The Board's Governance Framework

The governance framework comprises the systems and processes, and culture and values, by which the Board is directed and controlled, and its activities through which it accounts to, engages with and influences the community. It enables the Board to monitor the achievement of its strategic objectives and to consider whether those objectives have led to the delivery of appropriate, cost-effective services. The framework reflects the arrangements in place to meet the six supporting principles of effective corporate governance.

- Focusing on the purpose of the Board and on outcomes for the community, and creating and implementing a vision for the local area;
- Members and officers working together to achieve a common purpose with clearly defined functions and roles;
- Promoting values for the Board and demonstrating the values of good governance through upholding high standards of conduct and behaviour;
- Taking informed and transparent decisions which are subject to effective scrutiny and managing risk;
- Developing the capacity and capability of members and officers to be effective;
- Engaging with local people and other stakeholders to ensure robust public accountability.

A significant part of the governance framework is the system of internal control which is based on an ongoing process designed to identify and prioritise the risks to the achievement of the Board's policies, aims and objectives. This will enable the Board to manage its key risks efficiently, effectively, economically and ethically.

Within overall control arrangements the system of internal financial control is intended to ensure that assets are safeguarded, transactions are authorised and properly recorded, and material errors or irregularities are either prevented or would be detected within a timely period. It is based on a framework of regular management information, financial regulations, administrative procedures and management supervision.

While the system of internal control is designed to manage risk at a reasonable level it cannot eliminate all risk of failure to achieve policies, aims and objectives and can therefore only provide reasonable, and not absolute, assurance of effectiveness.

LOTHIAN VALUATION JOINT BOARD

ANNUAL GOVERNANCE STATEMENT (Contd.)

Determining the Board's purpose, its vision for the local area and intended outcomes for the Community

The Board has communicated its vision in the Corporate and Service Plan. Delivery of the vision is the responsibility of the Board, the Assessor, Depute Assessor and Heads of Service. The Board has developed a partnership approach when working with other authorities.

Review of Effectiveness

The Board has put in place arrangements, detailed in the Local Code, for monitoring each element of the framework and providing evidence of compliance. A Principal Officer within Lothian Valuation Joint Board has been nominated to review the effectiveness of the Local Code and will report annually to the LVJB Board.

The review of the effectiveness of its governance framework including the system of internal financial control is informed by:

- the work of the Internal Auditors and the Head of Internal Audit's Annual Statement on the adequacy and effectiveness of the Board's system of internal financial control;
- the Assessor's Certificate of Assurance on internal control;
- the operation and monitoring of controls by Board Managers; and
- the External Auditors in their Annual Audit Letter and other reports.

Through the year Elected Members and Officers have responsibility for the development and maintenance of the governance environment. These review mechanisms include:

- **The Lothian Valuation Joint Board** provides strategic leadership, determines policy aims and objectives and takes executive decisions not delegated to officers. It provides political accountability for the Board's performance.
- **Internal Audit** provides an independent and objective assurance service to the Board by completing a programme of reviews throughout the year, to provide an opinion on internal control, risk management and governance arrangements of Lothian Valuation Joint Board.
- **Audit Scotland's Annual Audit Report** is considered by the Board along with the output from other external audits.
- **The Strategic, Operational and Project Risk Registers** are reviewed as part of the Board's Corporate and Service Plan (the Corporate and Service Plan is approved by the Board). Key risks are monitored quarterly by the Board. This ensures that actions are taken to effectively manage the Board's highest risks.
- **The Monitoring Officer** is responsible to the Board for ensuring that agreed procedures are followed and that all applicable statutes and regulations are complied with.

Certification

In compliance with accounting practice, the Treasurer had provided the Chief Executive with a statement on the adequacy and effectiveness of the Board's internal financial control system for the year ended 31st March 2016. It is the Treasurer's opinion that reasonable assurance can be placed upon the adequacy and effectiveness of the Board's internal control system.

During the year, the Head of Internal Audit reviewed changes to the current corporate governance arrangements and systems of internal control and his findings are included in the Head of Internal Audit's Annual Report.

From this year's review there is evidence that the Code is operating effectively with overall compliance by the Board in all significant areas of its corporate governance arrangements.

Chief Executive Officer (Assessor) :

Date: 5th September 2016

Joan M. Hewton BSc, FRICS

Convener of Lothian Valuation Joint Board:

Date: 5th September 2016

Norman Work

LOTHIAN VALUATION JOINT BOARD

REMUNERATION REPORT

The Remuneration Report provides details of the Board's remuneration policy for its senior employees and states how remuneration arrangements are managed. Senior employees within the Board are defined as those having the responsibility for the management of the Board to the extent that they can direct or control the major activities of the Board. This includes activities involving the expenditure of money, during the year to which the report relates, whether solely or collectively with other persons.

As well as providing details of the Board's remuneration policy, the Remuneration Report will also show:

- Details of the number of employees whose remuneration was £50,000 or more, which will be disclosed in pay bands of £5,000;
- Details of remuneration paid to senior employees of the Board for 2015/16;
- Details of the Board's senior employees who participate in the Local Government Pension Scheme, administered by the Lothian Pension Fund, and the benefits provided under the scheme.

1. Audit of Remuneration Report

Auditors are required by ISA 720A to read the remuneration report to identify any;

- material inconsistencies with the financial statements;
- information that is apparently materially incorrect based on, or materially inconsistent with, the knowledge acquired by auditors in the course of performing the audit, or that is otherwise misleading.

2. Remuneration policy

The Lothian Valuation Joint Board is responsible for approving the remuneration level of the Assessor and Electoral Registration Officer, and the Depute Assessor, these being the only Chief Official posts within the Board. The Scottish Joint Negotiating Committee (SJNC) for Local authority Services sets the salaries for the Chief Officials of Scottish local authorities and is responsible for agreeing annual inflationary increases. The post of Assessor and Electoral Registration Officer was reviewed at the creation of the Joint Board in 1996. Advice on such matters is received from the Human Resources division of the City of Edinburgh Council and from the Director of Resources, City of Edinburgh Council.

The salaries of all other employees is set by reference to the Scottish Joint Council for Local Government Employees for all other categories of staff. The Board's Scheme of Delegation provides the Assessor and Electoral Registration Officer with delegated authority to appoint employees within agreed staffing and expenditure levels. The City of Edinburgh Council provides remuneration advice and assistance to the Board on request.

The Convener and Vice-Convener of the Board are remunerated by the Council of which they are a council member. The remuneration of councillors is regulated by the Local Authority Accounts (Scotland) Regulations 2014 (SSI No. 2014/200).

The Board has an arrangement with each council that remunerates the Convener and Vice-Convener to reimburse the Council for the additional costs of that councillor arising from them being a Convener or Vice-Convener of the Board. The disclosures made in this report are limited to the amounts paid to the council by the Board for remuneration and does not reflect the full value of the remuneration that may be paid to the councillor.

All other members of the Board are remunerated by the Council of which they are a council member.

The position of Chief Executive is provided and remunerated by the City of Edinburgh Council.

3. Pension Entitlement of Senior Employees

The Board's senior employees participate in the Local Government Pension Scheme administered by the Lothian Pension Fund. This is a final salary pension scheme which means that pension benefits are based on the final year's pay and the number of years that person has been a member of the scheme. The scheme's normal retirement age for employees is 65.

From 1 April 2009 a five tier contribution system was introduced with contributions from scheme members being based on how much pay falls in to each tier. This is designed to give more equality between the cost and benefits of scheme membership. Prior to 2009 contribution rates were set at 6% for all non manual employees.

The tiers and members contributions rates for 2015/16 are as follows:

On earnings up to and including £20,500 (5.5%), on earnings above £20,500 and up to £25,000 (7.25%), on earnings above £25,000 and up to £34,400 (8.5%), on earnings above £34,400 and up to £45,800 (9.5%) and on earnings above £45,800 (12%).

LOTHIAN VALUATION JOINT BOARD

REMUNERATION REPORT (Contd.)

3. Pension Entitlement of Senior Employees (Contd.)

If a person works part-time their contribution rate is worked out on the whole-time pay rate for the job, with actual contributions paid on actual pay earned.

There is no automatic entitlement to a lump sum. Members may opt to give up (commute) pension for a lump sum payment up to the limit set by the Finance Act 2004. The accrual rate guarantees a pension based on 1/60th of final pensionable salary and years of pensionable service. Prior to 2009, the accrual rate guaranteed a pension based on 1/80th and a lump sum based on 3/80ths of final pensionable salary and years of pensionable service.

The value of the accrued benefits has been calculated on the basis of the age at which the person will first become entitled to receive a pension on retirement without reduction on account of its payment at that age; without exercising any option to commute pension entitlement into a lump sum; and without any adjustment for the effects of future inflation.

4. Remuneration by Pay Band

Details of the Board's employees receiving more than £50,000 remuneration for the year, excluding employer's pension contributions are:

Remuneration Band	Number of Employees	
	2014/15	2015/16
£50,000 - £54,999	-	1
£55,000 - £59,999	3	4
£60,000 - £64,999	-	-
£65,000 - £69,999	1	1
£70,000 - £74,999	-	-
£75,000 - £79,999	-	-
£80,000 - £84,999	-	-
£85,000 - £89,999	-	-
£90,000 - £94,999	1	-
£95,000 - £99,999	-	1
£100,000 - £104,999	-	-
£105,000 - £109,999	-	-
£110,000 - £114,999	-	-
£115,000 - £119,999	1	1
Totals	6	8

5. Remuneration paid to Senior Employees

The table below details remuneration paid to senior employees within the Board. Senior Employees are defined as having the responsibility for management of the Board to the extent that they can direct or control the major activities of the Board. This includes activities involving the expenditure of money, during the year to which the report relates, whether solely or collectively with other persons.

Name and Post Title	Salary, Fees and Allowances 31 March 2015 £	Salary, Fees and Allowances 31 March 2016 £
J.Hewton - Assessor and Electoral Reg Officer	116,657	118,390
G. Strachan - Depute Assessor	94,875	95,266
Total	211,532	213,656

LOTHIAN VALUATION JOINT BOARD

REMUNERATION REPORT (Contd.)

6. Pension Entitlement of Senior Employees

<u>In-year pension contributions</u>		For year to 31 March 2015 £	For year to 31 March 2016 £
Name and Post Title			
J.Hewton - Assessor and Electoral Reg Officer		24,261	24,625
G. Strachan - Depute Assessor		19,476	19,769
<u>Accrued Pension Benefits</u>		As at 31 March 2016 £'000	Difference from 31 March 2015 £'000
Name and Post Title			
J.Hewton - Assessor and Electoral Reg Officer	Pension	58	4
	Lump sum	131	4
G. Strachan - Depute Assessor	Pension	45	3
	Lump sum	101	2

All senior employees shown in the tables above are members of the Local Government Pension Scheme.

The pension figures shown relate to the benefits that the person has accrued as a consequence of their total local government service, not solely their current appointment.

7. Remuneration of Convener and Vice Conveners

The following table provides details of the remuneration paid to the Board's Convener and Vice-Convener by the Board, excluding NI and Pensions.

	Salary, fees and allowances £	Taxable Expenses £	Total Remun. 2015/16 £	Total Remun. 2014/15 £
N.Work - Convener	4,183	0	4,183	4,142
B.Robertson - Vice-Convener	3,106	0	3,106	3,075
	<u>7,289</u>	<u>0</u>	<u>7,289</u>	<u>7,217</u>

8. Pension Entitlement of Convener and Vice Convener

<u>In-year pension contributions</u>		For year to 31 March 2015 £	For year to 31 March 2016 £
Name and Post Title			
N.Work - Convener		4,410 *	4,475 *
B.Robertson - Vice-Convener		4,006 *	4,046 *
<u>Accrued Pension Benefits</u>		As at 31 March 2016	Difference from 31 March 2015
Name and Post Title			
N.Work - Convener	Pension	3	0
	Lump sum	2	0
B.Robertson - Vice-Convener	Pension	2	1
	Lump sum	0	0

* includes full pension entitlement as a Councillor, not just that in respect of Convener/Vice Convener of the Lothian Valuation Joint Board.

LOTHIAN VALUATION JOINT BOARD

REMUNERATION REPORT (Contd.)

9. Exit Packages

The following information details the number, and total cost, of exit packages agreed, grouped in rising bands of £20,000 up to £100,000.

Exit packages include compulsory and voluntary redundancy costs, pension contributions in respect of added years, ex-gratia payments and other departure costs.

Exit Packages Band	Number of Employees		Total Cost	
	2014/15	2015/16	2014/15	2015/16
£0 - £20,000	-	1	£ -	£ 15,638
£20,001 - £40,000	-	3	-	86,552
£40,001 - £60,000	-	0	-	0
£60,001 - £80,000	-	0	-	0
£80,001 - £100,000	-	0	-	0
Totals	0	4	0	102,190

Costs are in respect of voluntary retirements which were approved on the basis of Regulation 30 (Rule of 85) of the Pension Fund Regulations.

Chief Executive Officer (Assessor) :

Joan M. Hewton BSc, FRICS

Date: 5th September 2016

Convener:

Norman Work

Date: 5th September 2016

LOTHIAN VALUATION JOINT BOARD

INDEPENDENT AUDITOR'S REPORT

Independent auditor's report to the members of Lothian Valuation Joint Board and the Accounts Commission for Scotland

I certify that I have audited the financial statements of Lothian Valuation Joint Board for the year ended 31 March 2016 under Part VII of the Local Government (Scotland) Act 1973. The financial statements comprise the Movement in Reserves Statement, Comprehensive Income and Expenditure Statement, Balance Sheet, Cash-Flow Statement and the related notes. The financial reporting framework that has been applied in their preparation is applicable law and International Financial Reporting Standards (IFRSs) as adopted by the European Union, and as interpreted and adapted by the Code of Practice on Local Authority Accounting in the United Kingdom 2015/16 (the 2015/16 Code).

This report is made solely to the parties to whom it is addressed in accordance with Part VII of the Local Government (Scotland) Act 1973 and for no other purpose. In accordance with paragraph 125 of the Code of Audit Practice approved by the Accounts Commission for Scotland, I do not undertake to have responsibilities to members or officers, in their individual capacities, or to third parties.

Respective responsibilities of the Treasurer and auditor

As explained more fully in the Statement of Responsibilities, the Treasurer is responsible for the preparation of the financial statements and for being satisfied that they give a true and fair view. My responsibility is to audit and express an opinion on the financial statements in accordance with applicable law and International Standards on Auditing (UK and Ireland) as required by the Code of Audit Practice approved by the Accounts Commission for Scotland. Those standards require me to comply with the Auditing Practices Board's Ethical Standards for Auditors.

Scope of the audit of the financial statements

An audit involves obtaining evidence about the amounts and disclosures in the financial statements sufficient to give reasonable assurance that the financial statements are free from material misstatement, whether caused by fraud or error. This includes an assessment of: whether the accounting policies are appropriate to the circumstances of the board and have been consistently applied and adequately disclosed; the reasonableness of significant accounting estimates made by the Treasurer; and the overall presentation of the financial statements. In addition, I read all the financial and non-financial information in the annual accounts to identify material inconsistencies with the audited financial statements and to identify any information that is apparently materially incorrect based on, or materially inconsistent with, the knowledge acquired by me in the course of performing the audit. If I become aware of any apparent material misstatements or inconsistencies I consider the implications for my report.

Opinion on financial statements

In my opinion the financial statements:

- give a true and fair view in accordance with applicable law and the 2015/16 Code of the state of the affairs of the Lothian Valuation Joint Board as at 31 March 2016 and of the income and expenditure of the board for the year then ended;
- have been properly prepared in accordance with IFRSs as adopted by the European Union, as interpreted and adapted by the 2015/16 Code; and
- have been prepared in accordance with the requirements of the Local Government (Scotland) Act 1973, The Local Authority Accounts (Scotland) Regulations 2014, and the Local Government in Scotland Act 2003.

Opinion on other prescribed matters

In my opinion:

- the part of the Remuneration Report to be audited has been properly prepared in accordance with The Local Authority Accounts (Scotland) Regulations 2014; and
- the information given in the Management Commentary for the financial year for which the financial statements are prepared is consistent with the financial statements.

LOTHIAN VALUATION JOINT BOARD

INDEPENDENT AUDITOR'S REPORT (Contd.)

Matters on which I am required to report by exception

I am required to report to you if, in my opinion:

- adequate accounting records have not been kept; or
- the financial statements and the part of the Remuneration Report to be audited are not in agreement with the accounting records; or
- I have not received all the information and explanations I require for my audit; or
- the Annual Governance Statement has not been prepared in accordance with Delivering Good Governance in Local Government; or
- there has been a failure to achieve a prescribed financial objective.

I have nothing to report in respect of these matters.

Senior Audit Manager:

Stephen O'Hagan

Date:

Audit Scotland
4th Floor, South Suite
The Athenaeum Building
8 Nelson Mandela Place
Glasgow
G2 1BT

Lothian Valuation Joint Board

Edinburgh, 28 November 2016

Present:

City of Edinburgh Council – Councillors Work (Convener), Bagshaw, Doran, Ricky Henderson, Keil, McVey and Rust.

East Lothian Council – Councillor Gillies.

West Lothian Council – Councillor McCarra.

1 Minute

Decision

To approve the minute of the Lothian Valuation Joint Board of 5 September 2016 as a correct record.

2 Period 7 Financial Statement 2016/17

The Board's actual and budgeted expenditure for the period to 31 October 2016 was reported together with a year end projection to 31 March 2017.

At this stage, the projected outturn against the core budget indicated a forecast spend of £6.018m resulting in a net underspend of £0.100m.

Decision

To note the projected outturn position for 2016-2017.

(Reference – report by the Treasurer, submitted)

3 Revenue Budget 2017-2018 – Financial Planning

Details were given of the financial planning being undertaken to present a revenue budget for 2017/18 to the Board in February 2017.

The Board had maintained a "flat cash" requisition of £6.118m for five years from 2012/13 to 2016/17. Budget planning for 2017/18 was being undertaken on the basis of continuation of no change in total council requisition from 2016/17.

For 2017/18 the Board would continue to incur Individual Electoral Registration (IER) costs and it was considered unlikely that all IER costs would be fully contained in the core budget.

Lothian Valuation Joint Board
28 November 2016

Decision

- 1) To note the financial planning assumptions currently being progressed for the 2017/18 revenue budget.
- 2) To note that the revenue budget for 2017/18 would be presented to the Board for approval at its meeting on 6 February 2017.

(Reference – report by the Treasurer, submitted)

4 Mid-Term Review – Treasury Management Activity

The mid term review of the Board's treasury management activity for the first half of the 2016-2017 financial year was presented.

Decision

To note the investment activity undertaken on behalf of the Board.

(Reference – report by the Treasurer, submitted)

5 Assessor and Electoral Registration Officer Progress Report

The Assessor presented an update on the service overview and priorities, current issues and the future direction of the Joint Board.

Information was also given on progress with the revaluation roll for 2017.

Return rates had been poor and work was continuing to improve the data for analysis and rateable value accuracy for all types of subject categories.

The Control of Smoking at Work policy had been reviewed to incorporate vaping devices and had been agreed with Unison.

Concerns had been expressed by Unison about the current level of staffing and the workload required to carry out the Board's statutory duties. The Assessor had carried out a minor review of the technical department. This had resulted in a reviewed structure and creation of a new post to carry out tasks graded at lower pay grades thereby alleviating the workload of professional and technical staff.

Decision

- 1) To approve the minor adjustments to the Control of Smoking at Work Policy.
- 2) To note the alterations to the Career Development Salary Progression Schemes, Job Descriptions and Person Specifications.
- 3) To otherwise note the remaining updates in the report.

(Reference – report by the Assessor and Electoral Registration Officer, submitted).

6 Appointment of Assessor and Electoral Registration Officer

The Board, in terms of Section 50(A)(4) of the Local Government (Scotland) Act 1973, excluded the public from the meeting during consideration of the following item of business for the reason that it involved the likely disclosure of exempt information as defined in Paragraphs 3, 12 and 14 of Part 1 of Schedule 7(A) of the Act.

The Board had delegated authority to the Chief Executive and Clerk to take forward the recruitment process to appoint a successor to the current Assessor and Electoral Registration Officer who would be retiring on 31 December 2016.

Information was provided on the outcome of the recruitment process and the short listing and interviews carried out by the Board's Appointment Committee.

Decision

- 1) To approve the recommendations contained in the report as detailed in the Confidential Schedule signed by the Convener relevant to this minute.
- 2) That a report on progress be brought back to the Board at the appropriate time.

(References – Lothian Valuation Joint Board 5 September 2016 (item 6); report by the Chief Executive and Clerk, submitted)



PARTNERSHIP AND RESOURCES POLICY DEVELOPMENT AND SCRUTINY PANEL

PERFORMANCE REPORT FROM THE CORPORATE PERFORMANCE MANAGEMENT SYSTEM

REPORT BY DEPUTE CHIEF EXECUTIVE

A. PURPOSE OF REPORT

To report the current levels of performance for all indicators that support the council's Corporate Plan and are the responsibility of the Partnership and Resources Policy Development and Scrutiny Panel.

B. RECOMMENDATION

That the Panel note the performance information and determine if further action or enquiry is necessary for any of the performance indicators in the report.

C. SUMMARY OF IMPLICATIONS

I Council Values	<ul style="list-style-type: none">• Being honest, open and accountable• Focusing on our customers' needs
II Policy and Legal (including Strategic Environmental Assessment, Equality Issues, Health or Risk Assessment)	In compliance with the Code of Corporate Governance
III Implications for Scheme of Delegations to Officers	None
IV Impact on performance and performance Indicators	Challenges current service performance through the evaluation of performance indicators
V Relevance to Single Outcome Agreement	Indicators support various outcomes in the SOA
VI Resources - (Financial, Staffing and Property)	Met from existing budgets.
VII Consideration at PDSP	N/A
VIII Consultations	None

D. TERMS OF REPORT

D.1 Background

Each Policy Development and Scrutiny Panel is allocated areas of the Corporate Plan which reflect the remit of the Panel. The responsibility for overseeing performance is within the remit of the Partnership and Resources Policy Development and Scrutiny Panel.

D.2 Performance Reporting

The information presented in Appendix 1 outlines all 38 performance indicators which are the responsibility of the Panel.

The 38 performance indicators are categorised as follows:

- 34 green
- 2 amber
- 2 red

Each indicator in Appendix 1 displays a latest note which offers an explanation from the service on the performance.

D.3 Red Performance Indicators

P:CuCS011q_ Customer and Communities - The percentage of complaints received by Customer and Communities Service that were upheld / partially upheld against the total complaints closed in full

Current performance: 72.7 percent
Target: 60 percent

The Customer and Communities service received 11 complaints in quarter three of 2016/17, with 8 being upheld or part upheld. This was a dip on the percentage of complaints upheld in the previous quarter (quarter 2 2016/17) which was 69.2 percent and on the same period in the previous year, when 66.7 percent of complaints were upheld.

P:HRS103_Number of reportable incidents to the Health and Safety Executive

Current performance: 48
Target: 0

The trend shows an overall decrease of reportable incidents to the Health and Safety Executive over the period 2011/12 to 2015/16, with a total of 10 less reportable incidents. In 2015/16 the number of reportable incidents decreased by five from 2014/15. As in previous years, these incidents are being examined to establish potential trends and identify required actions to be incorporated into the service annual health and safety action plan for 2016/17.

E. CONCLUSION

The summary chart at the front of Appendix 1 show that the majority of performance indicators which are the responsibility of the Panel are within target.

The information contained in Appendix 1 will allow the Panel to focus on the issues that services currently face and highlight where service performance is currently below target.

This information allows the Panel to function in accordance with the council's Code of Corporate Governance and the principles of Best Value.

F. BACKGROUND REFERENCES

None

Appendices/Attachments: 1

Appendix 1 – Partnership and Resources PDSP Performance Report

Contact Person: Rebecca Kelly

Telephone: 01506 281891 email: rebecca.kelly@westlothian.gov.uk

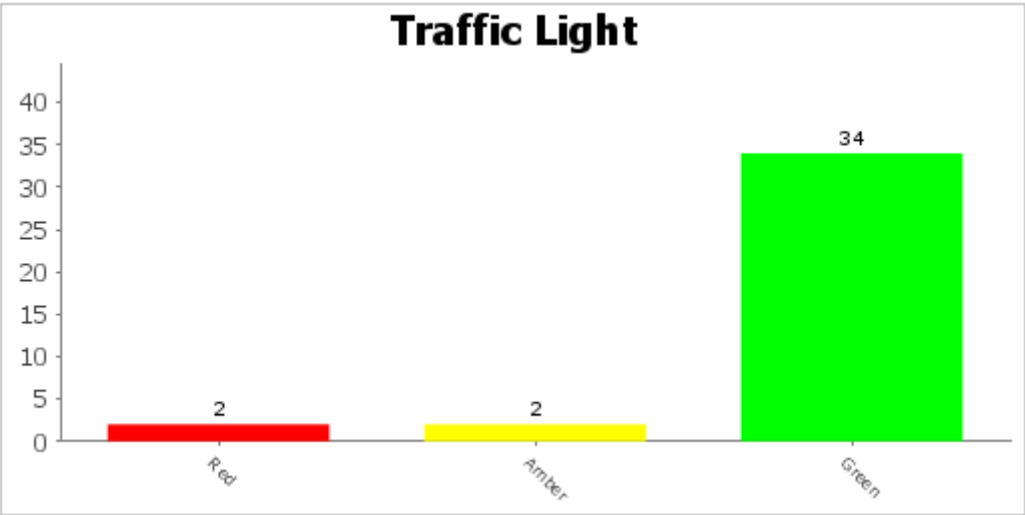
Graeme Struthers


Depute Chief Executive

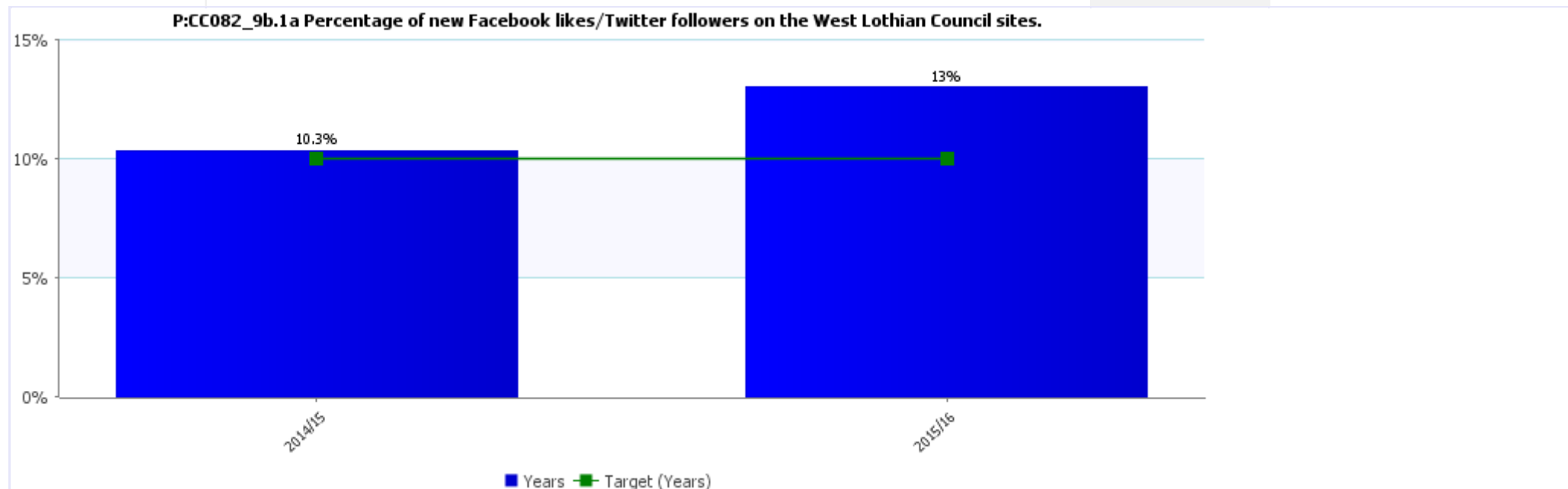
17 March 2017

PDSP - Partnership and Resources PIs

Generated on: 03 March 2017 10:12



PI Code & Short Name	P:CC082_9b.1a Percentage of new Facebook likes/Twitter followers on the West Lothian Council sites	PI Owner	zCC_PAdmin; Garry Heron
Description	<p>This Performance indicator measures the percentage increase or decrease of Facebook/Twitter followers on the main council sites. The data is obtained from Facebook insights and Twitter Counter and is calculated by comparing the change in numbers and calculating what the percentage change is when compared to the total number of Facebook and Twitter followers.</p> <p>This indicator allows the corporate communications team to monitor and measure the usage of key social media channels allowing us to evaluate staffing resources and determine the appropriate content required to attract new service users to this communications channel.</p>	Traffic Light Icon	
		Current Value	13%
		Current Target	10%




Trend Chart Commentary:

This indicator was introduced in Quarter 2 2014/15, so the 2014/15 figure does not represent a full year's data. The figures for 2016/17 will be updated once available.

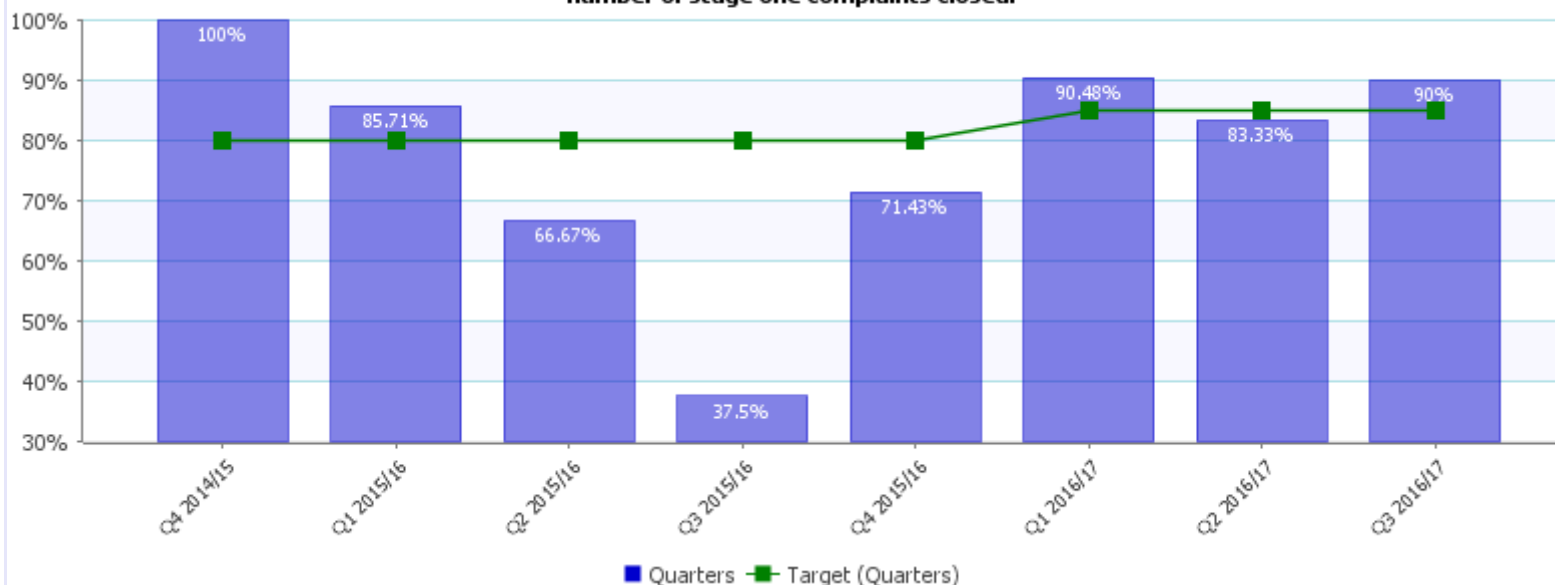
The target has been set to increase the number of followers on social media, with an initial target of 10% per year set. On 1 July 2014 our combined Facebook and Twitter followers totalled 35,723, and grew to 34,915 by 1 April 2015. This has grown further to 44,502 as of 1 January 2016. The trend shows that there was an increasing number of local residents choosing to engage with the council's social media channels. A social media survey was carried out in October 2014 and January 2015 which have provided feedback on the council's social media service. The data is being used to improve the social media service with the aim of increasing the number of followers in future. The number of Twitter followers rose above 10,000 in January 2016 and the number of Facebook followers increased to 32,779.

In 2015/16 the percentage of new likes was 13%.

The target for 2016/17 has been increased to 14% to reflect the 2015/16 value. This will be closely monitored as a new Instagram channel has also been launched, and the indicator will be changed to reflect that audience as well as Twitter and Facebook.

PI Code & Short Name	P:CCSw012q_6b.1 Customer and Communities - Number of complaints closed at stage one within 5 working days as a percentage of total number of stage one complaints closed	PI Owner	zCCSw_PIAAdmin; Karen Cawte
Description	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 Customer and Communities Services. This information is representative of Bathgate Partnership Centre, Customer Information Service, Fauldhouse Partnership Centre, Library Services and Registration Services.	Traffic Light Icon	
		Current Value	90%
		Current Target	85%

P:CCSw012q_6b.1 Customer and Communities - Number of complaints closed at stage one within 5 working days as a percentage of total number of stage one complaints closed.



Trend Chart Commentary:

Due to the make-up of the service it is challenging to find external benchmarking partners. Performance in Quarter 2 dipped slightly due to 2 complaints out of 12 not being resolved within the 5 day timescale. Staff training given.

2016/17: The target for this year will be 85%.

Quarter 3 - 9 out of 10 complaints were resolved within the 5 day timescale

Quarter 2 - 10 out of 12 complaints were resolved within the 5 day timescale

Quarter 1 - 19 out of 21 complaints were resolved within the 5 day timescale

2015/16: The target for this year will be 80%. Performance in quarter 1 remained above target however performance dipped in quarter 2 due to a member of staff not closing complaints off correctly and quarter 3 due to 2 complaints being granted an extension at stage 1, 1 complaint being escalated to stage 2 and 3 complaints missing the target. Quarter 4 performance dipped also due to staff not closing complaints off correctly. Staff training given regarding closing off complaints.

Quarter 4 - 5 out of 7 complaints were resolved within the 5 day timescale

Quarter 3 - 3 out of 8 complaints were resolved within the 5 day timescale.

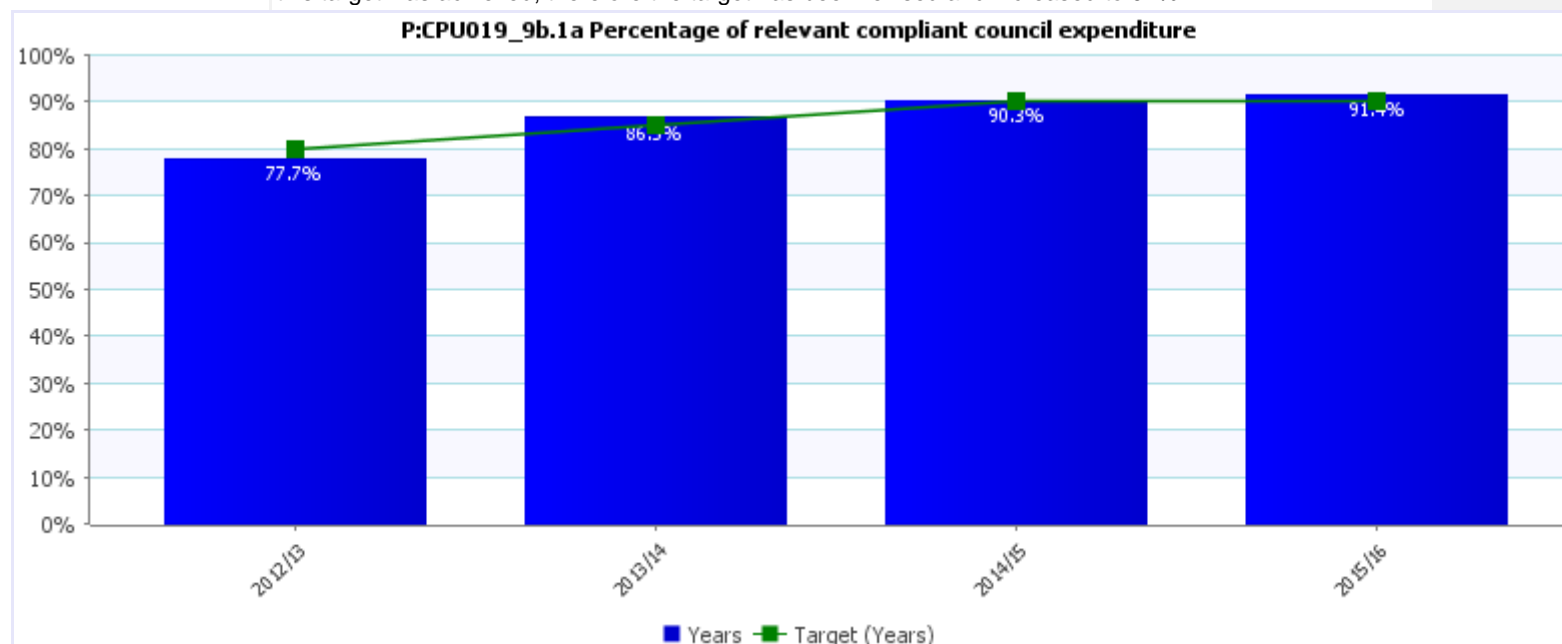
Quarter 2 - 10 out of 15 complaints were resolved within the 5 day timescale The dip in the performance was due to a member of staff not closing off the complaints properly causing it to go over the 5 days. Training has been given to prevent this happening in the future.

Quarter 1 - 6 out of 7 complaints were resolved within the 5 day timescale

2014/15: Performance during 2014/15 improved over the previous year.

Quarter 4 - All 11 complaints were resolved within the 5 day timescale.

PI Code & Short Name	P:CPU019_9b.1a Percentage of relevant compliant council expenditure	PI Owner	zCPU_PIAAdmin; David Brown
Description	This performance indicator measures the percentage of relevant Supplies, Services and Works expenditure covered by contracts award in line with standing orders. Relevant Spend is identified as being spend which is influenceable by the Corporate Procurement Unit, Non influenceable spend is identified and removed from the overall spend to allow for a more accurate calculation. Calculated on an annual basis, the service identifies the council's contracted suppliers from the Corporate Contract Management System (CCMS) and measures their spend against the total council spend within the council's purchase to pay systems. Levels of spend with non-contracted suppliers is monitored by the service on a quarterly basis to ensure that the year end target performance is achieved. This performance indicator is related to ensuring that the target savings agreed for the next five years can be achieved through effective procurement activity. A 90% target to be achieved by 2018 has been set within the council's Corporate Procurement Strategy 2013/18. In 2015/16 this target was achieved, therefore the target has been revised and increased to 92%	Traffic Light Icon	🟢
		Current Value	91.4%
		Current Target	90%



Trend Chart Commentary:

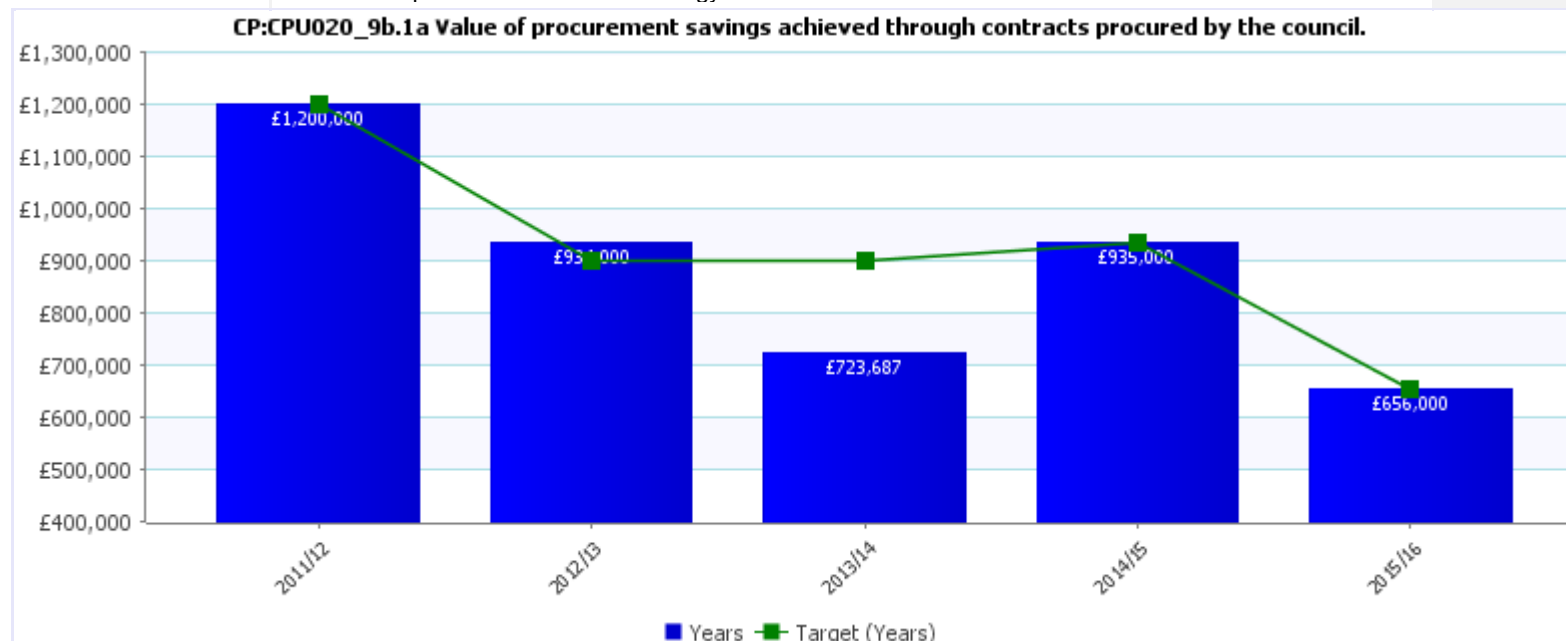
This performance indicator measures the percentage of the council's supplies, services and works expenditure covered by contracts. The target for performance for 2016/17 is set at 92%.

The target for 2015/16 was 90%. The end of year performance is recorded at 91%. This is derived from contracted spend of £191,570,826.30 and total influenceable spend of £209,484,955.

The percentage of contract spend has steadily increased since 2012/13, each year meeting or exceeding target. Levels of spend with non-contracted suppliers will continue to be monitored and appropriate action will be taken on a quarterly basis to ensure any identified contracts are highlighted with the services and added to the procurement plans.

The target for 2016/17 has been increased to 92%. Once the Procurement Commercial Improvement Programme is completed in October 2016, this figure will be benchmarked against other local authorities.

PI Code & Short Name	CP:CPU020_9b.1a Value of procurement savings achieved through contracts procured by the council	PI Owner	zCPU_PIAdmin; David Brown
Description	This performance indicator measures the value of cashable savings achieved through contracts arranged by the Corporate Procurement Unit. Cashable savings will be identified from contracts set up for use by the Scottish Government's centres of procurement expertise (Scottish Procurement and Scotland Excel) as well as those arranged by West Lothian Council and collaboratively with public sector partners. This indicator measures savings calculated using the Scottish Government's Best Practice Indicator 1 (Total Efficiency Savings Achieved year-on-year). This performance indicator is related to achieving the outcomes within the council's Corporate Procurement Strategy 2013/18.	Traffic Light Icon	🟢
		Current Value	£656,000
		Current Target	£655,000




Trend Chart Commentary:

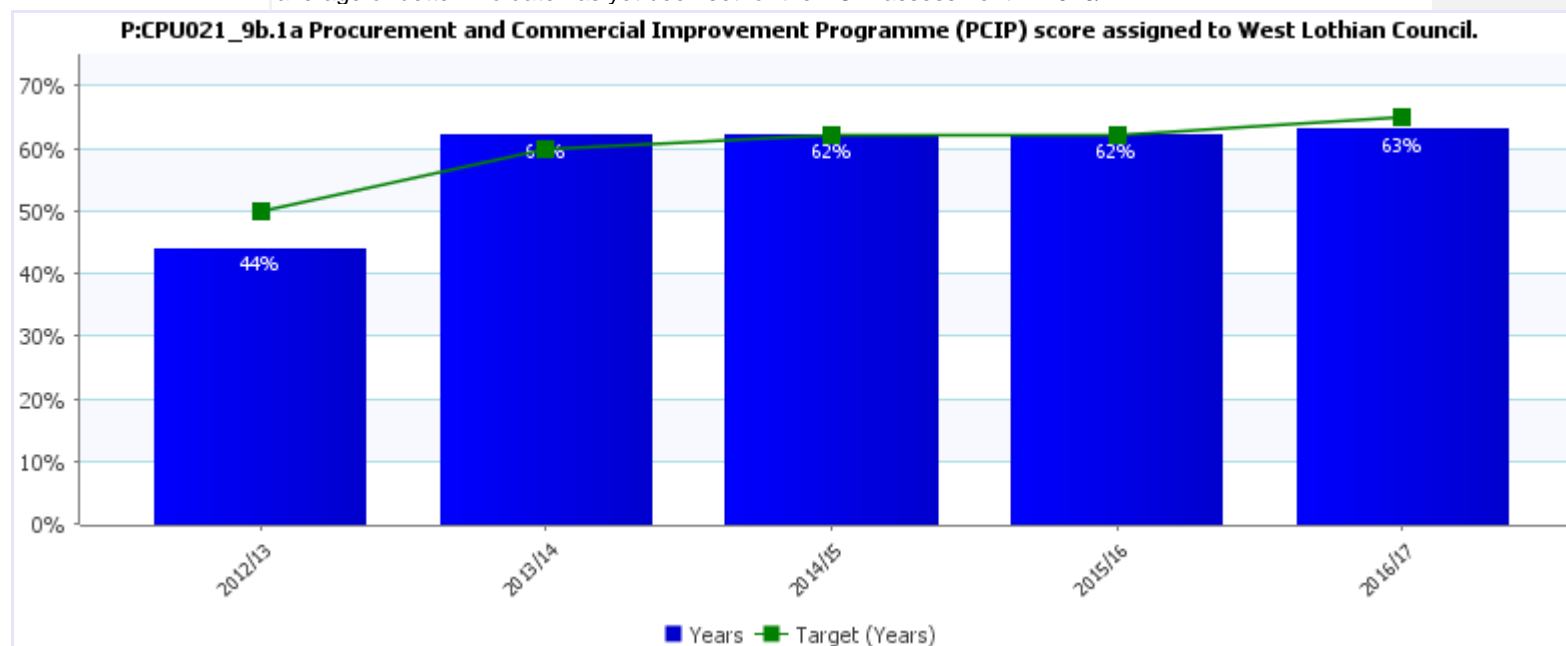
The target for cashable savings since 2011/12 has been reached each year. However, each year this has been achieved by using one-off savings, for example rebate payments and capital savings. These one-off savings are then transferred to the following year's saving target.

The target for cashable savings in 2016/17 is £794,000 in line with the delivering better outcomes five year target and the balance of the 2015/16 one off savings. Once the Procurement Commercial Improvement Programme is completed in October 2016, this figure will be benchmarked against other local authorities.

As most contracts are now being procured are second and third generation contracts, means that savings are more difficult to obtain. To assist with reaching the savings target, the procurement are now working with services to review specifications and contracts to identify contract which could deliver further savings.

The savings target for 2016/17 has been set at £794,000.

PI Code & Short Name	P:CPU021_9b.1a Procurement and Commercial Improvement Programme (PCIP) score assigned to West Lothian Council	PI Owner	zCPU_PIAAdmin; David Brown
Description	This performance indicator measures the percentage score of West Lothian Council's Procurement and Commercial Improvement Programme (PCIP). This external assessment was previously named the Procurement Capability Assessment (PCA). The Scottish Government's Procurement Reform Delivery Group agreed in January 2009 that a single procurement assessment should be developed for the Scottish Public Sector. The objective of the PCIP is to set out a mechanism for identifying areas where organisations can strengthen their approach to procurement through a detailed evaluation of their procurement capability to improve their structure, processes and ultimately performance. Corporate procurement capability is assessed in key areas against common criteria and standards and assigns a percentage score. The PCIP is performed annually by Scotland Excel (the Scottish Government's Local Authority Centre of Procurement Expertise). The assessment is performed annually for all Scottish Local Authorities. The structure and scoring of the PCIP for 2016/17 has yet to be finalised. The target for 2016/17 will be to achieve the Scottish average or better. No date has yet been set for the PCIP assessment in 2016/17.	Traffic Light Icon	
		Current Value	63%
		Current Target	65%



Trend Chart Commentary:

The revised procurement capability assessment has been renamed the Procurement and Commercial Improvement Programme (PCIP) and the PCIP assessments are scheduled to take place during 2016/17. West Lothian Council's PCIP assessment took place on 25 May 2016 and scored 63%. The Local Authority average PCIP score for 2016/17 has now been recognised as 65%.

The structure and scoring of the Procurement Capability Assessment (PCA) was revised in 2015/16. As a result of this national review there was no assessment carried out in 2015/16. Therefore all scores remained in place for that year.


West Lothian Council accepted an offer to defer the assessment in 2014/15 and therefore the actual performance scored remained at 62%. This will allow staff to prioritise on the delivery of contracts and contract savings.

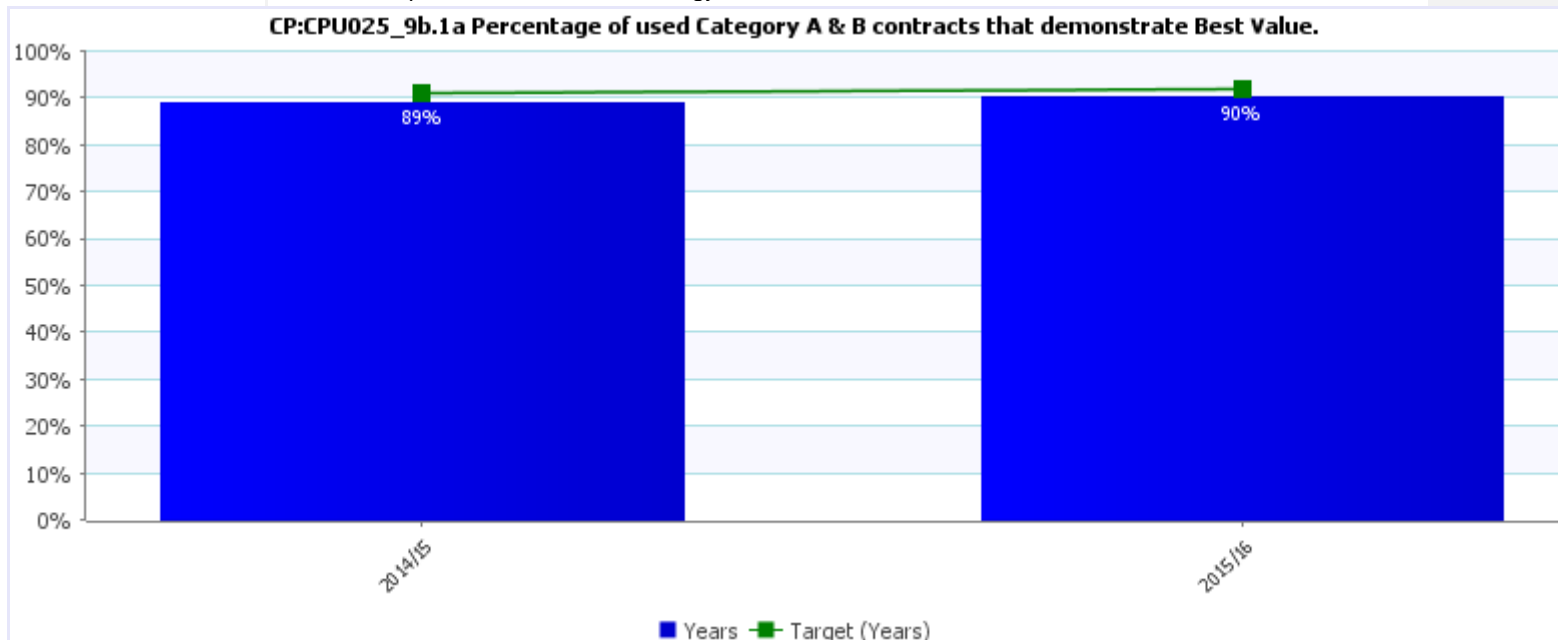
West Lothian Council has consistently increased its Procurement Capability Assessment score year on year (2010/11 = 27%, 2011/12 = 37 per cent and 2012/13 = 44% and 2013/14 = 62%). Using the Procurement Capability Assessment (PCA) to benchmark in previous years, the council score of 62% was the Scottish Council average score for that year.

Improvement in the PCA score reflects the improvements made within corporate procurement as the PCA review reflects the level of compliance in procurement work undertaken. This has made an impact on spend captured under contract, community benefits achieved, contract and supplier management processes and ultimately ensuring best value for all contracts.

In 2013/14 West Lothian Council achieved the joint seventh highest score from all the Scottish Local Authorities assessed.

The target for the PCIP score for 2016/17 has been set as the Local Authorities' average score, however, this is two percent lower than the average score of the 17 local authorities who agreed to take part in 2016/17, averaging 65%. Procurement will benchmark which areas can be targeted for improvement once Scotland Excel releases scores from other authorities.

PI Code & Short Name	CP:CPU025_9b.1a Percentage of used Category A & B contracts that demonstrate Best Value	PI Owner	zCPU_PIAAdmin; David Brown
Description	This performance indicator measures the percentage of Category A & B contracts used by the council that demonstrate Best Value. Category A contracts are managed by the Scottish Procurement & Commercial Directorate and include goods and services that are used by all local public sector bodies in Scotland (e.g. IT Hardware and Software, Office Equipment, Utilities etc.). Category B contracts are managed by Scotland Excel and include commodities which fall outside of the Category A scope but are commonly purchased across the local authority sector. This performance indicator is related to achieving the outcomes within the council's Corporate Procurement Strategy 2013/18.	Traffic Light Icon	
		Current Value	90%
		Current Target	92%



Trend Chart Commentary:


The target performance for 2015/16 is set at 92%. Actual Performance has been calculated to show the total number of potential collaborations was 100, West Lothian Council participate in 90 of these. This demonstrating that 90% of all Category A and B contracts demonstrate best value through the use of a collaborative contract.

The target for performance for 2014/15 was set at 91%. Actual performance for the year was recorded below target at 89%. Total number of potential collaborations was 73, West Lothian Council participate in 65 of these. This demonstrates that 89% of all Category A and B contracts demonstrate best value through the use of a collaborative contract. The figures are broken down further below;

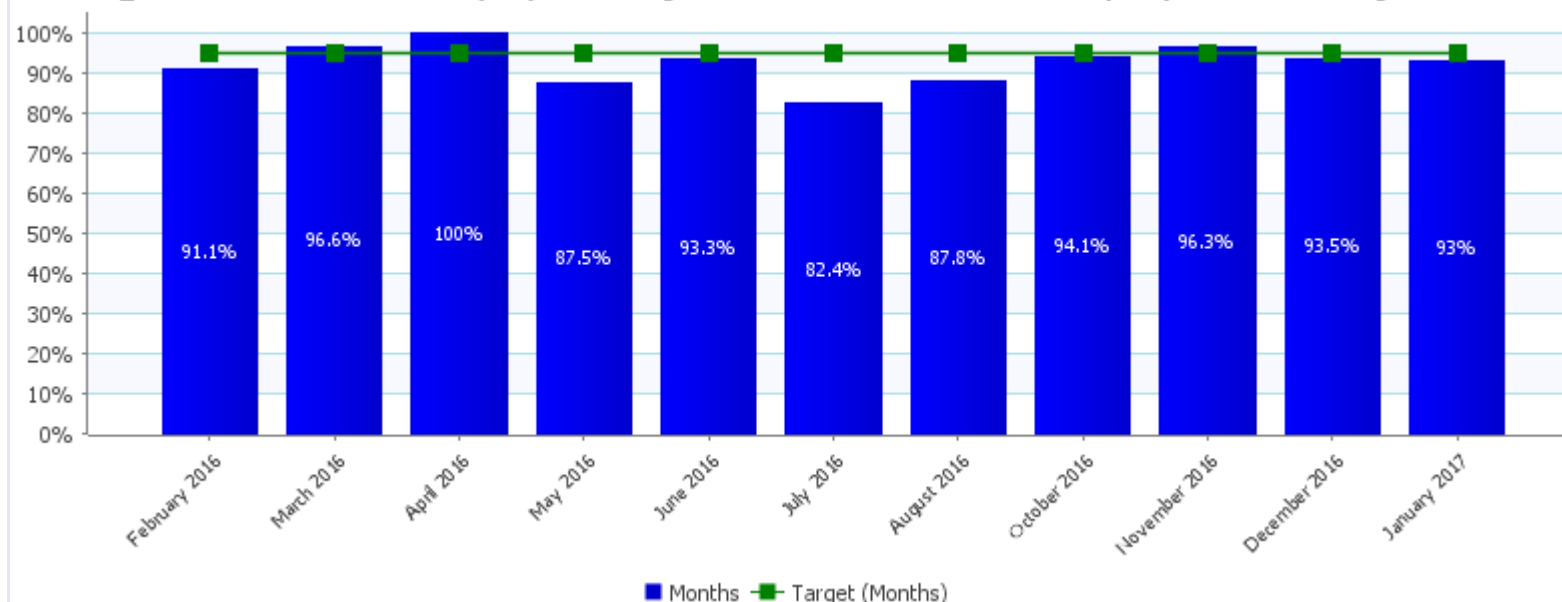
- Scotland Excel Available contracts - Available 46 - West Lothian Council participate in 45
- Scottish Procurement Directive- Available contracts - 31 with 4 contracts with West Lothian would not participate in as these services are delivered inhouse. West Lothian Council participate in 20. There have been two contracts awarded in May, which we participate in once our own contracts have ended.

The service will continue to monitor performance in this area throughout the year to ensure best value is obtained.

The target for 2016/17 will remain at 92%.

PI Code & Short Name	P:CSC007_6a.7 Customer Service Centre (CSC) - Percentage of customers who rated the overall quality of the service as good or excellent	PI Owner	zCSC_PIAAdmin; Anna Brash
Description	This performance indicator measures the percentage of customers who rated the overall quality of service as 'good' or 'excellent'. This information is gathered through using our monthly survey and a number of customers are randomly selected. The target is reviewed annually.	Traffic Light Icon	
		Current Value	93%
		Current Target	95%

P:CSC007_6a.7 Customer Service Centre (CSC) - Percentage of customers who rated the overall quality of the service as good or excellent.



Trend Chart Commentary:

From October 2016 CSC have adapted the way they are surveying their customers on a trial basis for 3 months. All survey requests are now being e-mailed to customers to try to increase the number of completed responses and maintain consistency. A CRM daily report is run and processed by the out of hours team.

Due to the make-up of the service it is challenging to find external benchmarking partners. This service benchmarks its customer satisfaction with the Customer & Community Facilities.

2016/17

January 2017 - 752 customers were contacted and 99 completed a generic survey, 93% of customers rated the overall quality of the service as good or excellent, this is a decrease 0.5% from the previous month. CSC will strive to improve this performance through regular briefings and coaching and feedback to advisors.

December 2016 - 445 customers were contacted and 46 customers responded, 93.5% of customers rated the overall quality of the service as good or excellent, this is a decrease of 2.8% from the previous month. CSC will strive to improve this performance.

November 2016 - 340 customers were emailed and 54 customers responded. 96.3% rated the overall quality of service as good or excellent which is an increase from the previous month by 2.2%.

October 2016 - CSC have adapted the process for completing surveys, all generic requests are now being e-mailed to customers to try to increase the number of completed responses and maintain consistency, in October 2016, 102 completed surveys were returned by customers and from this 94.1% rated the overall quality of the service as good or excellent, this is an increase of 6.3% from the last available data. CSC will strive to maintain this improvement.

September 2016 - no information is displayed as there were no generic surveys completed in September. This was due to a number of ongoing absences within the team and priority was given to incoming calls.

August 2016 - 92 Customers were contacted and 60 surveys were completed. This performance has increased by 5.4% to reach 87.8%, CSC will strive to improve this performance through call evaluation, coaching and feedback to advisors.

July 2016 - 122 customers called with 34 responses completed. This PI has decreased by 10.9%. There was no obvious reasons why this PI has decreased, all other responses to the survey are 91% plus apart from communication. CSC will monitor this closely.

June 2016 - 37 customers contacted with 28 surveys completed. This performance improved by 5.8% to 93.3%, few surveys carried out as priority given to inbound calls.

May 2016 - 17 customers were contacted and 14 surveys were completed. This performance indicator reduced 12.5% to 87.5%. Few surveys were carried out this month due to the high volume of call traffic and inbound calls taking priority

April 2016 - 29 customers were contacted and 20 surveys were completed. This performance indicator improved by 3.4% to 100%. Few surveys were carried out this month due to the high volume of call traffic and inbound calls taking priority.


2015/16

March 2016 - 331 customers were contacted and 91 surveys were complete. This performance improved by 5.5% to reach 96.6%, CSC have been able to utilise new staff during their training period to complete surveys, CSC will strive to maintain this performance.

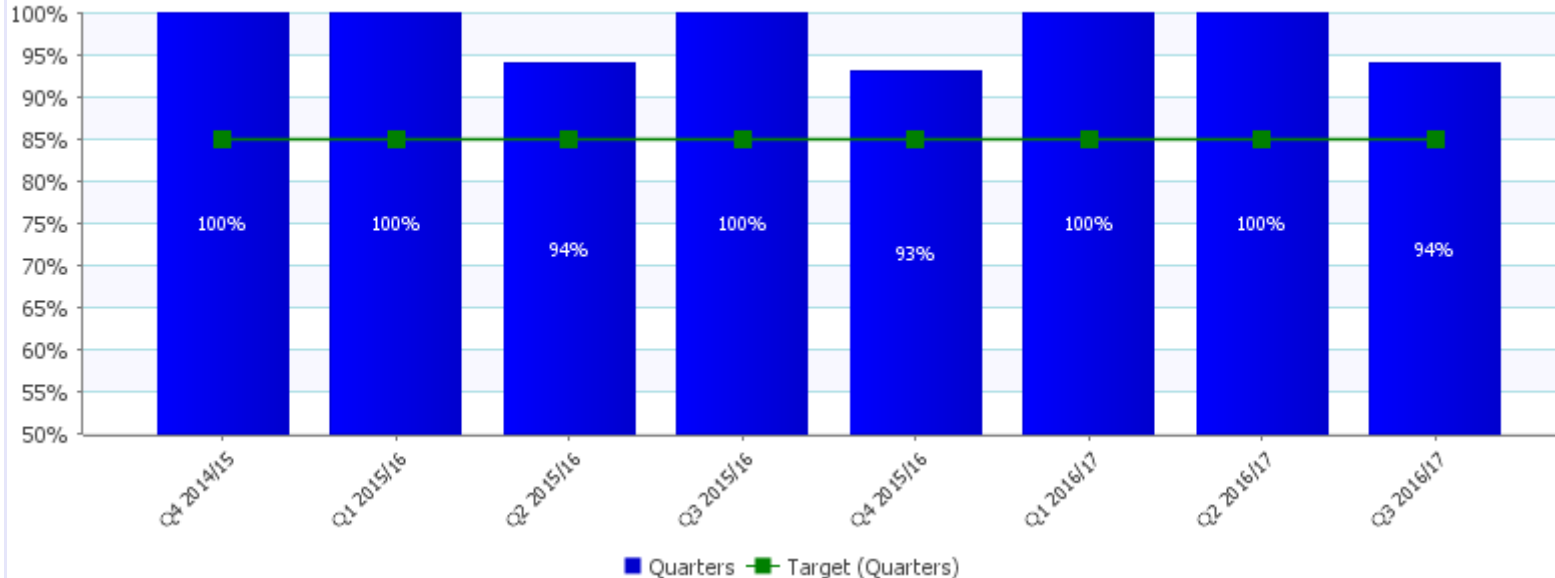
February 2016 - There were 247 customers contacted and 78 surveys were completed. There was a decrease of 8.9% to 91.1% from the previous month. There is no clear reason for this decrease but CSC will continue to monitor this performance closely.

January 2016 - There were 92 customers contacted and 28 surveys completed. There was an increase of 9.3% to reach 100% from the last available results in September 2015. Newly recruited staff within CSC have been utilised to complete surveys as part of their training and system familiarisation process.

Customer Service Centre strives to deliver a high quality service to our customers, which is monitored through call evaluation, training and 1-2-1 feedback. In 2016/17, the target was set at 95% as an achievable figure given the trend chart results from previous year. The survey sample size received is relatively small in comparison to survey requests. This can produce large variances in results from month to month.

PI Code & Short Name	P:CSC050_6b.1 Number of complaints closed at stage one within 5 working days as a percentage of total number of stage one complaints closed	PI Owner	zCSC_PIAAdmin; Anna Brash
Description	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 CSC.	Traffic Light Icon	
		Current Value	94%
		Current Target	85%

P:CSC050_6b.1 Number of complaints closed at stage one within 5 working days as a percentage of total number of stage one complaints closed



Trend Chart Commentary

Due to the make-up of the service it is challenging to find external benchmarking partners.

2016/17

Quarter 2 - This performance indicator remained at 100%.

Quarter 1 - This performance indicator increased by 7% to 100% in quarter 1 2016/17. Following recent audit performance indicator reviewed as above target 7 out of 8 quarters. Target increased from 85% to 95%.

2015/16

Quarter 4 - This performance indicator decreased by 7% to 93% in quarter 4, although this is still within target the decrease was due to a task within the process not being completed correctly.

Quarter 3 - This performance indicator increased by 6% to 100% in quarter 3.

Quarter 2 - This performance indicator decreased by 6% to 94%, although this is still within target the decrease was due to a task within the process not being completed correctly.


Quarter 1 - This performance indicator remains at 100%, CSC will strive to maintain this improved level of service.

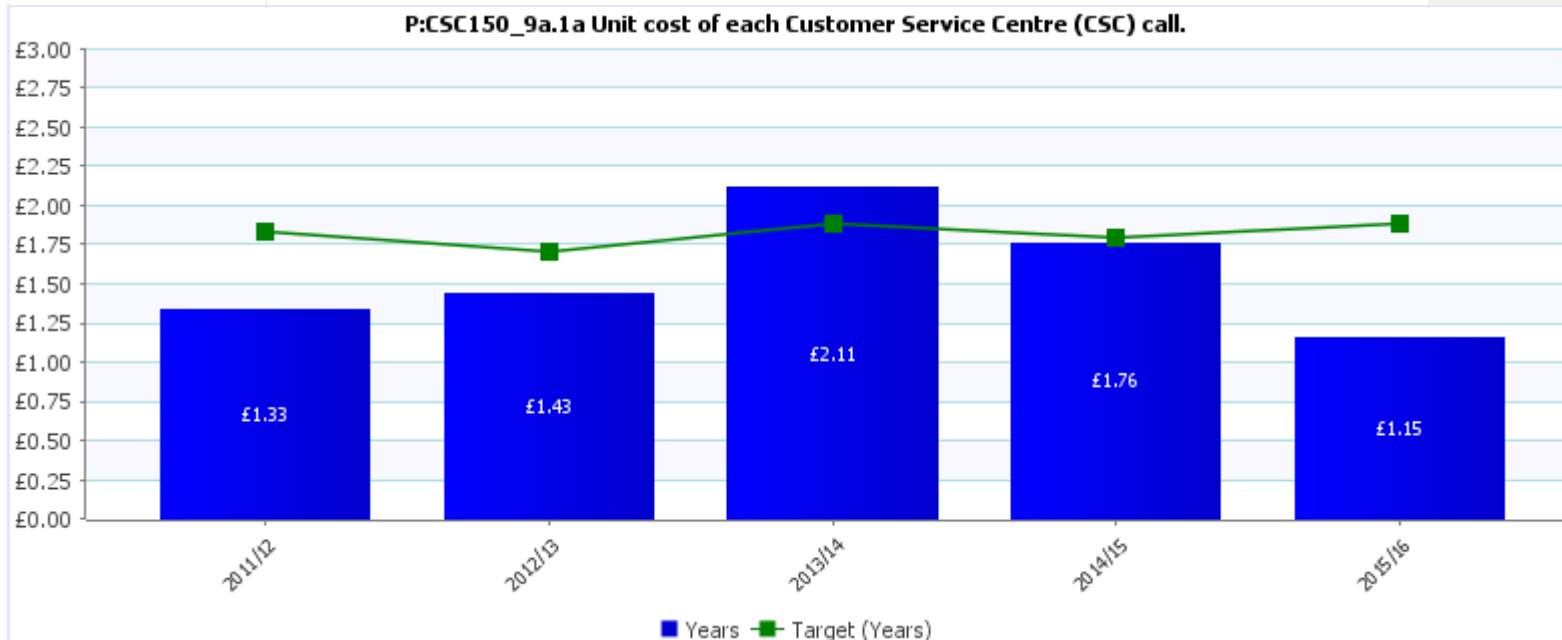
2014/15

Quarter 4 - This performance indicator increased by 6% to 100% in quarter 4.

Quarter 3 - This performance indicator increased by 34% to 94% in quarter 3. This improvement has been due to additional training and managers becoming more experienced in dealing with complaints.

The 2016/17 target remains at 85% in line with Corporate Complaints Policy.

PI Code & Short Name	P:CSC150_9a.1a Unit cost of each Customer Service Centre (CSC) call	PI Owner	zCSC_PIAAdmin; Anna Brash
Description	This performance indicator shows the unit cost for each individual contact from West Lothian Council customers. The Customer Service Centre delivers a telephone service 24 hours a day, 7 days a week, 365 days a year.	Traffic Light Icon	
		Current Value	£1.15
		Current Target	£1.88




Trend Chart Commentary: The trend in this indicator shows that for years 2011/12, 2012/13 and 2014/15, the Customer Service Centre has been beneath the target figure for the unit cost of Customer Service Centre calls. In 2013/14 the Customer Service Centre was above target. The volume of calls received by the Customer Service Centre have increased in this time, but improvements to staff training, streamlining of processes have contributed to the positive trend.

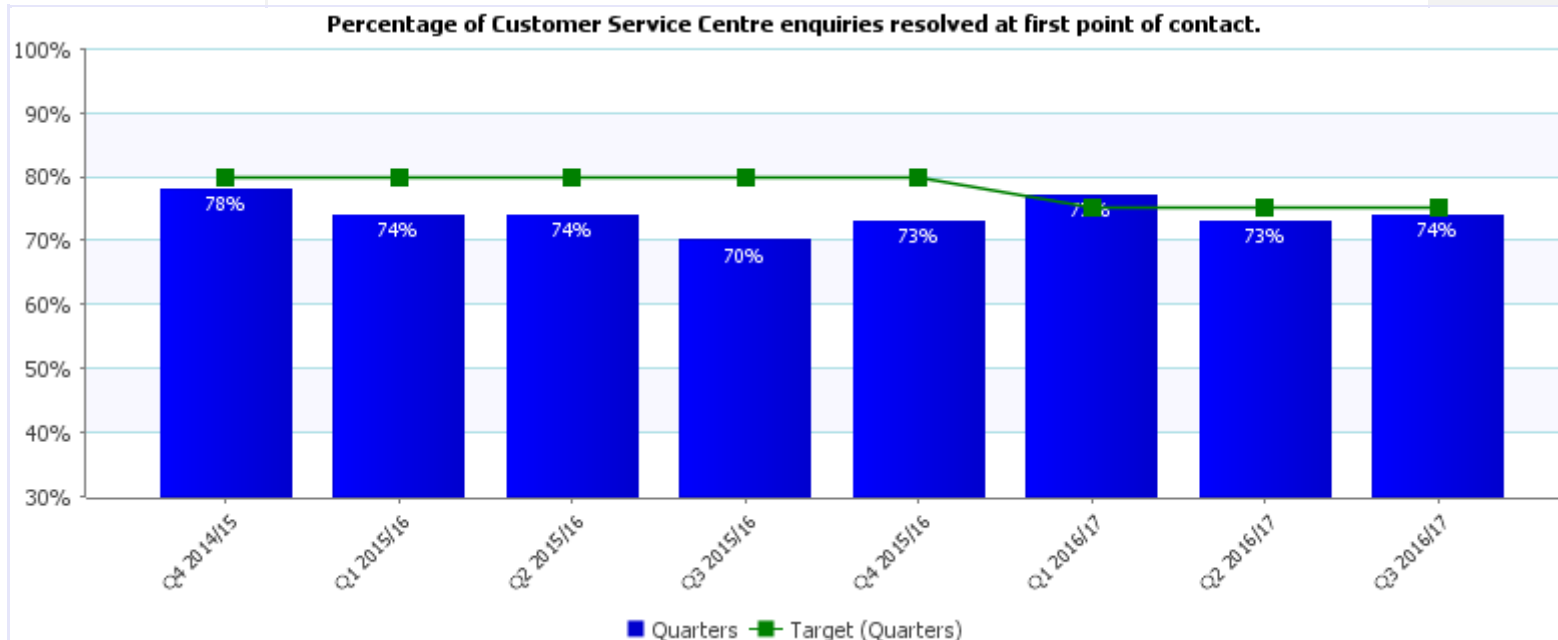
2015/16: the target for 2015/16 was £1.88. The final unit cost of each customer service centre calls was £1.15. This is a decrease £0.61 from the 2014/15 figure but stands under target figure. The decrease in cost is due to reduction in staff levels due to a high number of temporary contracts being given and these staff moving into permanent contract within and out with the Council meaning the service had a number of vacancies through the year. The target was set 7p higher than the previous year to take account of increased staffing costs due to wage rises etc, and a presumption that the number of calls would reduce as more customers began to self serve via the website.

2014/15: the final unit cost of each Customer Service Centre call was £1.76. This is a decrease of £0.35 from the 2013/14 figure, but stays under the target figure of £1.79 for this period.

2013/14: the final unit cost of each Customer Service Centre call was £2.11. This is an increase of £0.68 from the 2012/13 figure. Performance during 2013/14 failed to achieve target of £1.88. In 2013/14 Customer Service Centre moved to Civic Centre, call volumes increased but there was a reduction in staffing due to long term absences within the service, including maternity leave. Staffing resource has also been taken to cover within the Careline emergency team.

2012/13: the final unit cost of each Customer Service Centre call was £1.43. This is an increase of £0.10 from the 2011/12 figure but stays under the target figure of £1.70 for this period. The target for 2016/17 will be £1.90 to reflect the change in call volumes. Following audit review thresholds have been amended.

PI Code & Short Name	CP:CSC201_9b.1a Percentage of Customer Service Centre enquiries resolved at first point of contact	PI Owner	zCSC_PIAAdmin; Anna Brash
Description	This indicator measures the percentage of customer enquiries that are resolved by the Customer Service Centre so that the customer does not need to make any further contact with the Council. Recognised good practice for contact centre is to achieve a minimum of 75% enquiry resolution.	Traffic Light Icon	
		Current Value	74%
		Current Target	75%



Trend Chart Commentary: Over the last year performance for this indicator has decreased due to an increasing number of customers being able to self serve via automated payments line. This means a larger number of calls being dealt with are more complex and need support from other services.

2016/17

Quarter 3 - performance has increased by 1% from previous quarter and by 4% from the same quarter last year.

Quarter 2 - performance had decreased by 4% from the previous quarter and 1% from the same quarter last year. This decrease is due to more customers being able to self serve via email and automated payments, which means that the calls being dealt with are more complex and need support from services.

Quarter 1 - performance has increased by 4% from the previous quarter and 3% from the same quarter last year to reach 77%.

2015/16

Quarter 4 - performance increased to 73% in quarter 4. An increase of 3% from the last quarter but an overall decrease of 5% from the same period 2014/15. This drop is due to part of the service being automated which allows customers to self service in line with the channel shift agenda.

Quarter 3 - performance dropped to 70% for Quarter 3, a decrease of 4% from the previous quarter and a drop of 8% from the same period 2014/15. This is due to more customers being able to self serve, emails communications which means that the calls being dealt with are more complex and need support from services.

Quarter 2 - performance remained at 74% for Quarter 2, which is the same as the previous quarter but a drop of 6% from the same period 2014/15.


Quarter 1 - performance dropped to 74% in quarter 1. A drop of 5% from the same period of 2014/15 and a drop of 1% from the previous quarter.

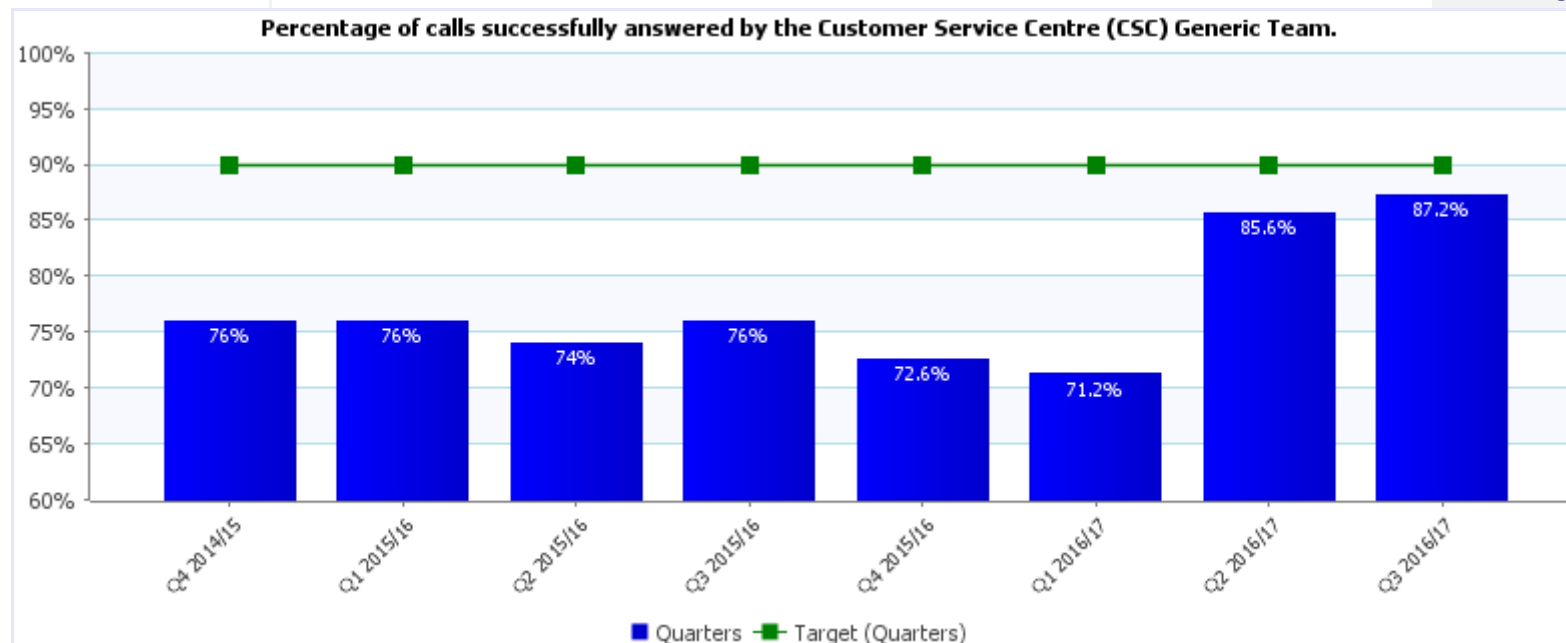
2014/15

Quarter 4 - Performance is dropped to 78% in quarter 4. A drop by 1% for the same period of 2013/14. This drop is due to part of the service being automated which allows customers to self service in line with the channel shift agenda.

The target for 2016/17 will decrease to 75% which is the national target to recognise the increase in the number of self service options for customers and a recognition that the calls being dealt with are becoming more complex and often need support from other services

CSC is currently working with Falkirk District Council and Link Housing Association to benchmark results for first point resolution.

PI Code & Short Name	P:CSC210_9b.1c Percentage of calls successfully answered by the Customer Service Centre (CSC) Generic Team	PI Owner	zCSC_PIAAdmin; Anna Brash
Description	This performance indicator measures the number of calls answered by the Customer Service Centre Generic Team against the number of calls where the customer hangs up before their call is answered or directed to voicemail.	Traffic Light Icon	
		Current Value	87.2%
		Current Target	90%



Trend Chart Commentary: This trend indicator shows that performance has fluctuated over each quarter since Quarter 4 2014/15 when performance was 76%. These issues are due to shortage of resource, issues with technology, and unplanned absences. Improvement has been made from Quarter 2 2016/17 which has been due to the technical problems being resolved, additional resource trained and long term absences returning. The target set is static as it is the percentage of calls successfully answered which is closely linked to the abandonment rate. The abandonment rate is a national target set at 10% which would make our target 90% to be successfully answered.

2016/17

Quarter 3 - performance increased by 1.6% from the previous quarter to reach 87.2% and increased by 11.2% from the same period 2015/16. This is in line with the number of staff available to deal with calls.

Quarter 2 - performance increased by 14.4% to from the previous quarter to reach 85.6%. This is in line with a reduction in the number of calls offered and an increase in the number of staff available to deal with the calls.

Quarter 1 - performance fell by 1.4% to 71.2% from quarter 4 2015/16, where this was 72.6%. This performance indicator is below target due to an increase in call volumes, unplanned absences and vacancies. Resource within CSC has been recruited and started in May 2016.

2015/16

Quarter 4 - performance fell by 3.4% to 72.6% from quarter 3 where it was 76%. This performance indicator is below target due to an increase in call volumes, reduction in staffing resource due to unplanned absences and vacancies, a number of temporary staff in CSC have left to take up permanent posts elsewhere. CSC is currently recruiting to the vacant positions.

Quarter 3 - performance improved by 2% to 76% from quarter 2 where this was 74%. This performance indicator is below target due to reduction in staffing resource due to unplanned absences and vacancies, a number of temporary staff in CSC have left to take up permanent posts elsewhere. CSC is currently recruiting to the vacant positions and also has new staff members currently in training.


Quarter 2 - performance fell by 2% to 74% from quarter 1 where this was 76% . This Performance indicator is below target due to reduction in staffing resource due to unplanned absences and vacancies, a number of temporary staff in CSC have left to take up permanent posts elsewhere. CSC are currently recruiting to the vacant positions.

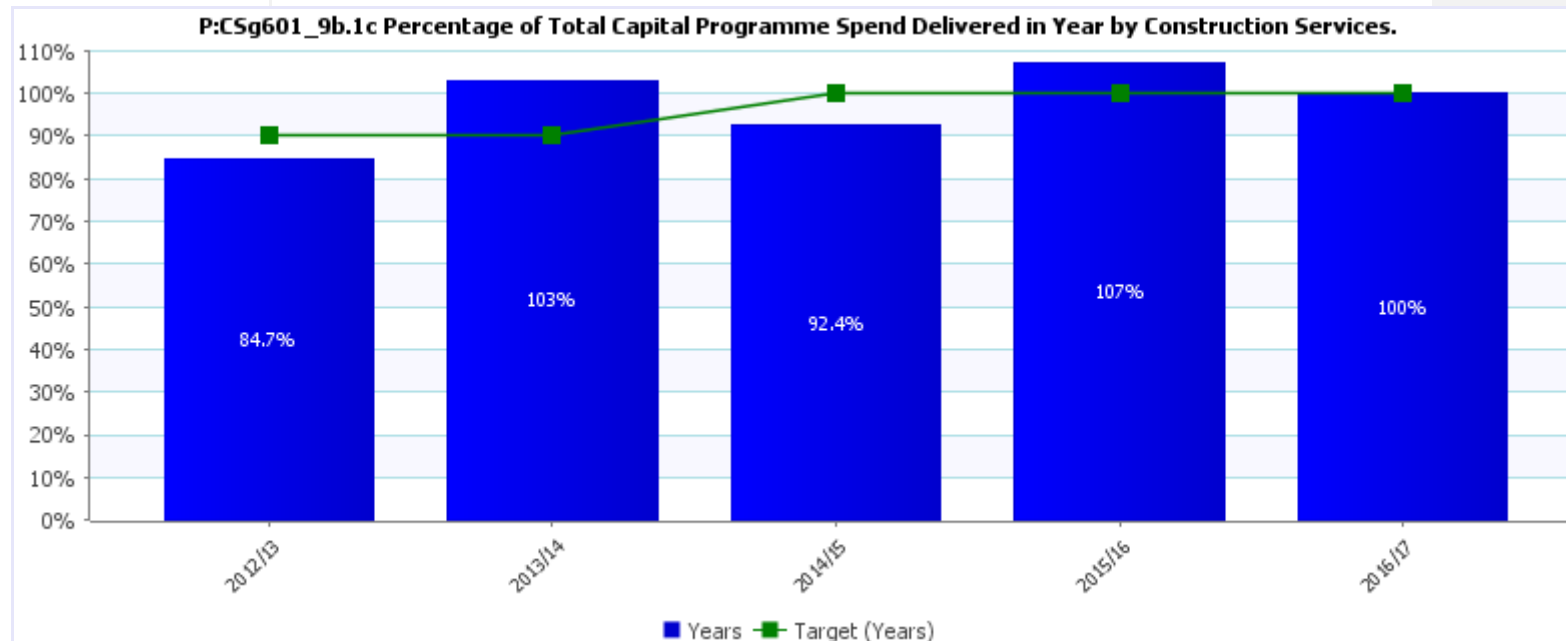
Quarter 1 – performance was below target and was 4% lower than both the previous quarter and the same period of 2014/15. Performance was below target due to reduction in staffing resource caused by unplanned absences and vacancies. CSC is currently recruiting to the vacant positions and also ongoing technical difficulties with the IPT system which is resulting in some customers having problems and delays when trying to telephone CSC. CSC and IT are working together to reach a resolution for this problem

2014/15

Quarter 4 - performance has dropped to 76%, a decrease of 8% from the previous quarter. CSC has seen an increase in call volumes in January and March 2015. There is no clear indication why calls have increased as no additional new business has been brought into the service. There has also been a number of long term unplanned absences within the service which impacts on available resource to answer calls. During quarter 4 the CSC handled 79,227 calls.

The target for 2016/17 will remain at 90% due to a national target for abandoned calls remaining at 10%.

PI Code & Short Name	P:CSg601_9b.1c Percentage of Total Capital Programme Spend Delivered in Year by Construction Services	PI Owner	zCSg_PIAAdmin; Marjory Mackie
Description	Construction Services are responsible for the delivery of a range of construction projects identified in the General Services and Housing Capital programmes. This indicator measures the percentage of the budget that is spent by the end of the financial year for projects that are the responsibility of Construction Services.	Traffic Light Icon	
		Current Value	100%
		Current Target	100%




Trend Chart Commentary:

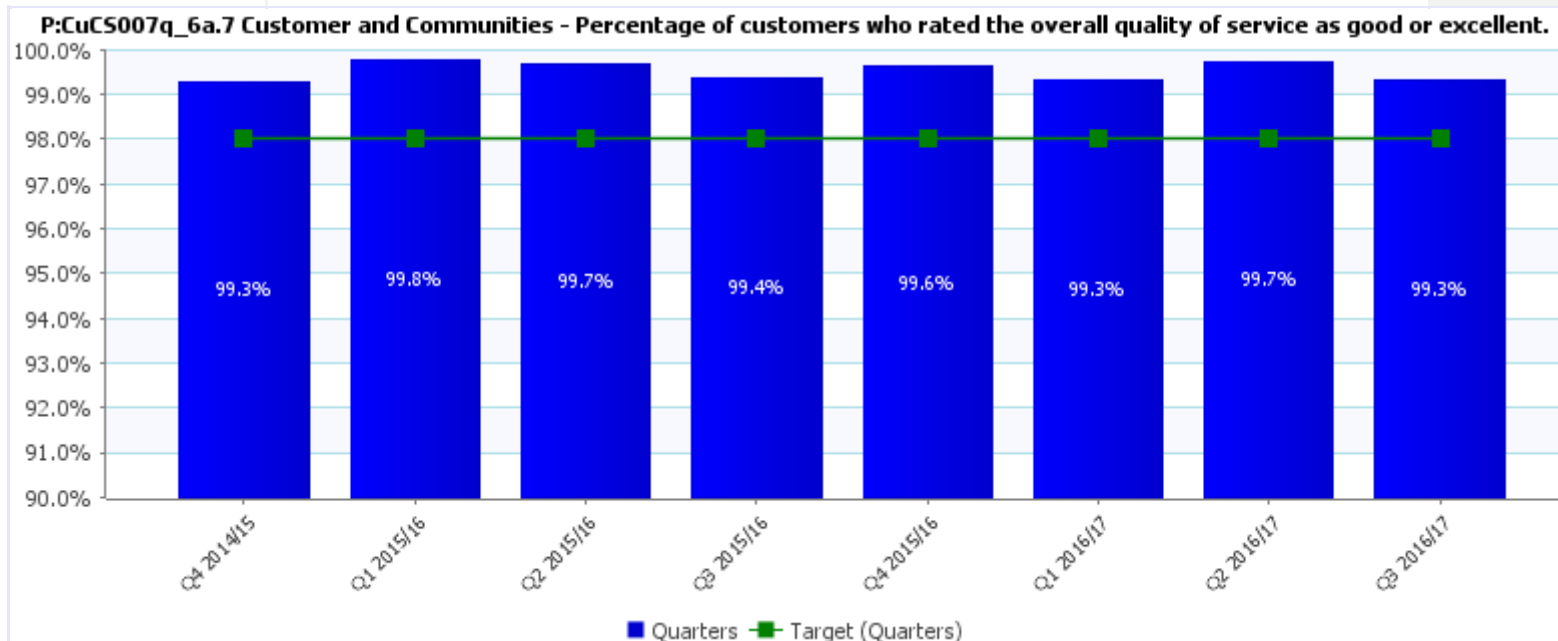
This annual indicator shows the capital programme spend achieved by Construction Services within each financial year.

In 2016/17 the capital expenditure met target at 100%. The trend shows continued improvement overall in the percentage of capital budget spent since 2012/13 when the level of expenditure in year was 84.7%. In 2013/14 and 2015/16 the capital expenditure exceeded target due to acceleration of a number of key projects, however two key projects were delayed late in 2014/15 which resulted in a slightly lower spend than anticipated.

In 2016/17 Construction Services were responsible for £42.85million of capital works (General Services, Housing and Open Space) and successfully delivered £42.85million which is an increase of £8.5million in expenditure from 2015/16.

The target for 2017/18 will remain at 100%.

PI Code & Short Name	P:CuCS007q_6a.7 Customer and Communities - Percentage of customers who rated the overall quality of service as good or excellent	PI Owner	zCuCS_Admin; Karen Cawte
Description	Service customers are randomly selected to complete a customer satisfaction survey. This indicator shows the percentage of customers rating the overall satisfaction with the customer service they received as good or excellent. The target is reviewed on an annual basis. This information is representative of Bathgate Partnership Centre, Community Facilities, Customer Information Service, Fauldhouse Partnership Centre, Library Services and Registration Services.	Traffic Light Icon	
		Current Value	99.3%
		Current Target	98.0%



Trend Chart Commentary:

2016/17

The target for this year will be 98%. This has remained the same as previous years due to the impact of a small number of negative responses can have to the overall result. Performance in Quarter 1 dipped slightly due to 5 customers rating the service as poor.

Quarter 3 - 579 out of 583 responses rated the overall quality of service as good or excellent.

Quarter 2 - 739 out of 741 responses rated the overall quality of service as good or excellent.

Quarter 1 - 750 out of 755 responses rated the overall quality of service as good or excellent.

2015/16

Performance in Quarter 3 dipped slightly due to 6 customers rating the service as poor.

Quarter 4 - 795 out of 798 responses rated the overall quality of service as good or excellent.


Quarter 3 - 949 out of 955 responses rated the overall quality of service as good or excellent.

Quarter 2 - 880 out of 883 responses rated the overall quality of service as good or excellent.

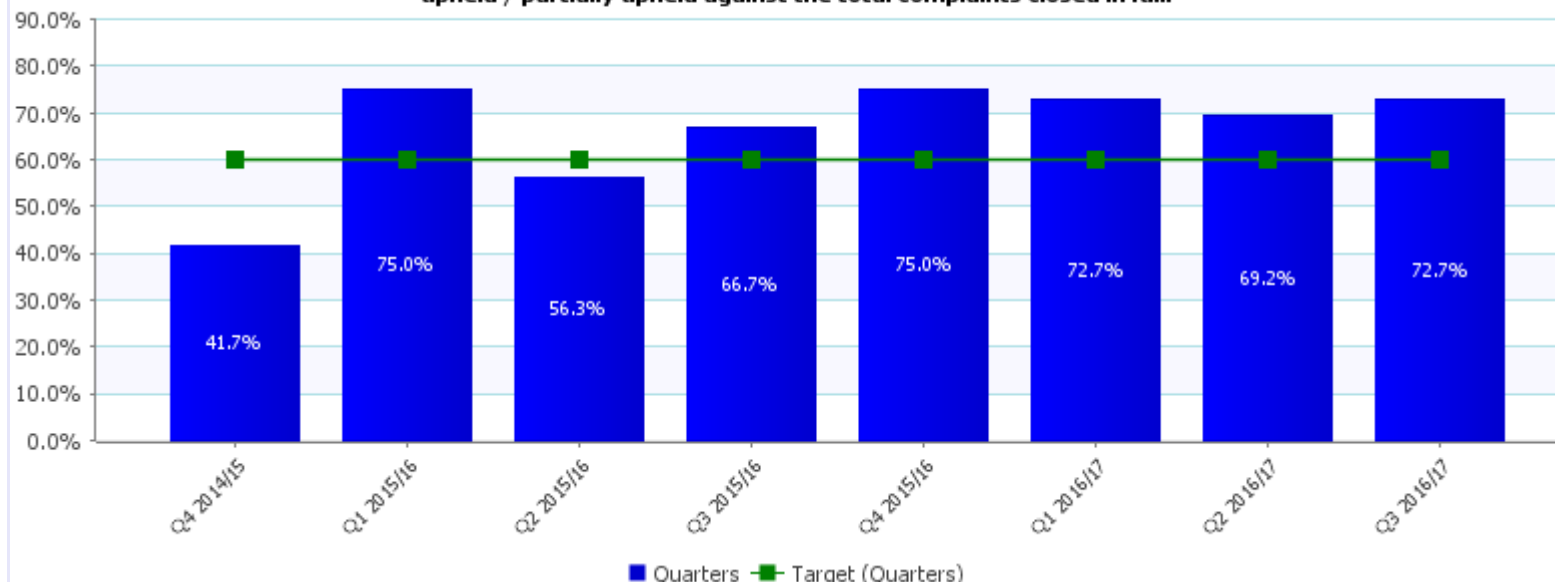
Quarter 1 - 864 out of 866 responses rated the overall quality of service as good or excellent.

2014/15

Performance in Quarter 4 dipped slightly due to 6 customers rating the service as poor.
Quarter 4 - 824 out of 830 responses rated the overall quality of service as good or excellent.

PI Code & Short Name	P:CuCS011q_6b.4 Customer and Communities - The percentage of complaints received by Customer and Communities Service that were upheld / partially upheld against the total complaints closed in full	PI Owner	zCuCS_Admin; Karen Cawte
Description	This indicator measures the total number of complaints received by Customer and Communities Service which were upheld or partially upheld, as a percentage of all complaints received. This information is representative of Bathgate Partnership Centre, Community Facilities, Customer Information Service, Fauldhouse Partnership Centre, Library Services and Registration Services.	Traffic Light Icon	
		Current Value	72.7%
		Current Target	60.0%

P:CuCS011q_6b.4 Customer and Communities - The percentage of complaints received by Customer and Communities Service that were upheld / partially upheld against the total complaints closed in full.



Trend Chart Commentary:

2016/17: the target for this year will be 60%. Overall the number of complaints compared to the number of customers dealt with is very small. The first two quarters of 2016/17 has remained above target.

Quarter 3 - 8 out of 11 complaints were upheld or part upheld. 5 were due to standard of service in Customer Information Services, 1 was due to incorrect information at Fauldhouse Partnership Centre, 1 due to poor communication at Library Services and 1 due to standard of service in Registration Services.

Quarter 2 - 9 out of 13 complaints were upheld or part upheld. 5 were due to standard of service, 3 due to employee attitude and 1 due to poor communication. Staff training and meetings held to help resolve the issues and procedures were reviewed and changed.

Quarter 1 - 16 out of 22 complaints were upheld or part upheld. 4 were due to poor communication, 3 policy related, 6 employee attitude and 3 standard of service. Staff briefings and training held to resolve issues and procedures reviewed.


2015/16: there had been a dip in Quarter 2 in 2015/16, this was due to a higher number of complaints in Customer Information Service and Fauldhouse Partnership Centre due to staff attitude, standard of service and policy related. Staff training was given in all instances.

Quarter 4 - 6 out of 8 complaints were upheld or part upheld.

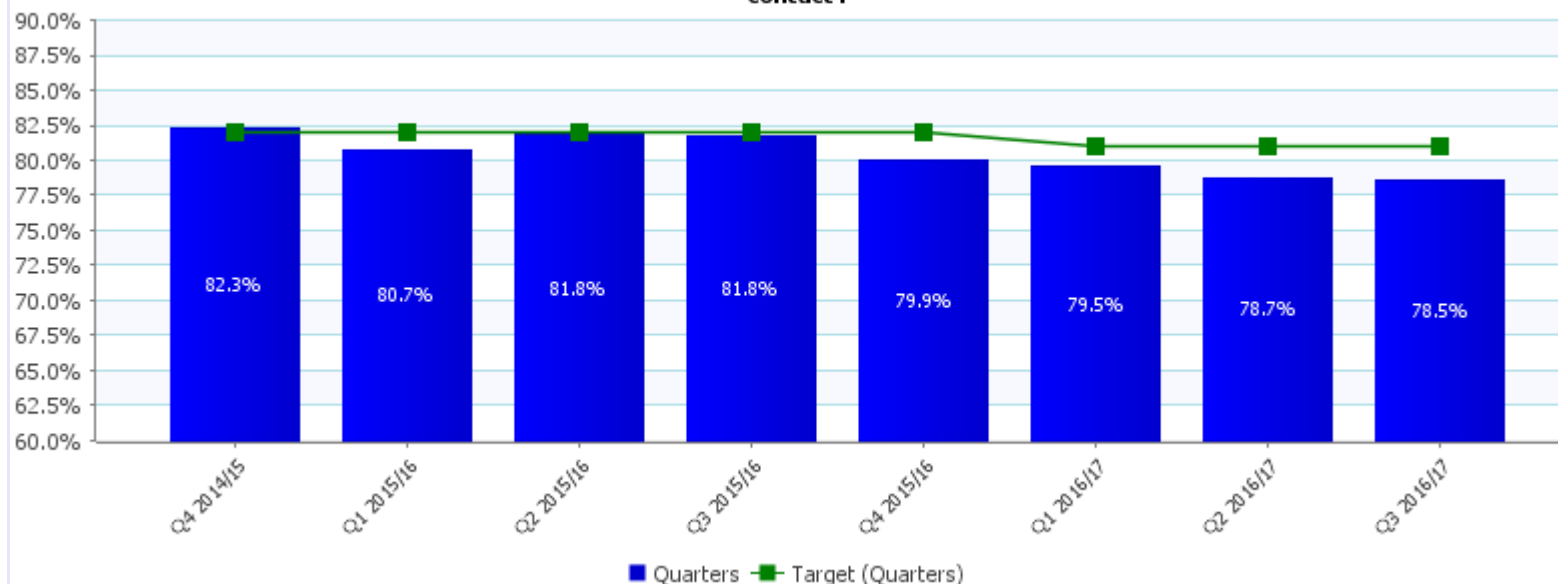
Quarter 3 - 6 out of 9 complaints were upheld or part upheld, 2 due to standard of service, 3 employee attitude and 1 due to waiting times, staff Training given, procedures changed and rota's amended.

Quarter 2 - 9 out of 16 complaints were upheld or part upheld, 5 due to standard of service, 1 due to waiting time, 2 employee attitude and 1 policy related. Staff training given.
Quarter 1 - 3 out of 4 complaints were upheld or part upheld, 2 were due to standard of service and 1 poor communication. Staff Briefings done.

2014/15: there was a dip in performance in quarter 4 from complaints in Libraries and Customer Information Service due to staff attitude and standard of service. Staff training was given.
Quarter 4 - 5 out of 12 complaints were upheld or part upheld.

PI Code & Short Name	P:CuCS026q_9b.1a Customer Information Service - Percentage of Customer Information Service (CIS) enquiries resolved at first point of contact	PI Owner	zCuCS_Admin; Wendy Thomas
Description	This indicator measures the percentage of customer enquiries that have been resolved by Customer Information Service (CIS) during the initial customer interaction. This removes the need for the customer to make any further contact with the council to have their enquiry resolved. There is a national target of 75% set by the Customer First initiative.	Traffic Light Icon	
		Current Value	78.5%
		Current Target	81.0%

P:CuCS026q_9b.1a Customer Information Service - Percentage of Customer Information Service (CIS) enquiries resolved at first point of contact .



Trend Chart Commentary: the service failed to meet its target during 2015/16. There was a slight fluctuation between each quarter with a variance of no more than 1.9%. The lowest performance was noted in quarter 4 2015/16 (79.9%) and was a result of an increase in the number of enquiries which had to be passed to other service areas to resolve. The target for 2016/17 is set at 81% which is a stretching target compared to the national target of 75%.

2016/17


Quarter 3 - 13,200 of a total of 16,811 enquiries were resolved at the first point of contact. This equates to 78.5% which was 1% down on quarter 1 and 0.2% down on quarter 2.
Quarter 2 - 16,926 of a total of 21,499 enquiries were resolved at the first point of contact. This equates to 78.7% which was 0.8% down from quarter 1. This was linked with an increase in the number of case forms advisers are passing to colleagues in other services relating to housing and council tax arrears.
Quarter 1 - 18,684 of a total of 23,498 enquiries were resolved at the first point of contact. This equates to 79.5%. This was 1.2% down on the same period in 2015/16. This was linked with an increase in the number of case forms advisers are passing to colleagues in other services relating to housing and council tax arrears.

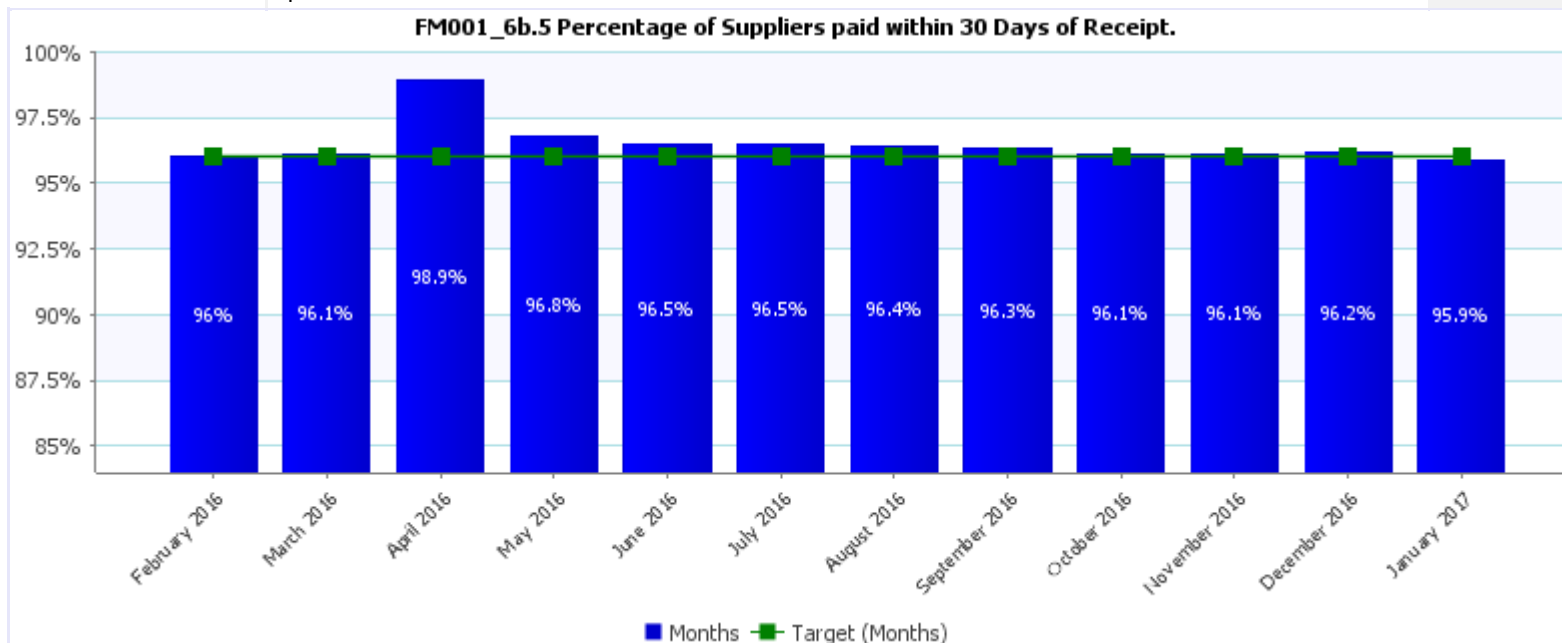
2015/16

Quarter 4 - 19,107 of a total of 23,900 enquiries were resolved at the first point of contact. This was 2.5% down on the same period in 2014/15.
Quarter 3 - 16,912 of a total of 26,686 enquiries were resolved at the first point of contact. This was 0.2% down on the same period in 2014/15.
Quarter 2 - 20,374 of a total of 24,909 enquiries were resolved at the first point of contact. This was 0.5% up with the same period in 2014/15.
Quarter 1 - 18,991 of total 23,521 enquiries were resolved at first point of contact. This was 2.3% down compared with the same period in 2014/15.

2014/15

Quarter 4 - 21,790 of total 26,786 enquiries were resolved at first point of contact.

PI Code & Short Name	FM001_6b.5 Percentage of Suppliers paid within 30 Days of Receipt	PI Owner	zFM_PIAAdmin; David Maule
Description	<p>This indicator measures the percentage of correctly presented invoices from suppliers paid within 30 calendar days of receipt. Thirty calendar days reflects the normal credit term period in accordance with the Late Payments of Commercial Debts (Interests) Act 1998. West Lothian Council recognises the importance in paying invoices in a timely manner. The target used is set internally by the Head of Finance and Property and ensures challenging targets year on year which are always higher than the Scottish average. Note that this performance indicator monitors the performance on a monthly basis and the cumulative figure for the year is reported to Audit Scotland as a statutory performance indicator.</p> <p>The payment of invoices is a key activity for Finance and Property Services, ensuring that the council's suppliers are paid on a timely basis.</p> <p>Note that the performance indicator records the cumulative performance for the year to date, commencing April.</p>	Traffic Light Icon	
		Current Value	95.9%
		Current Target	96%

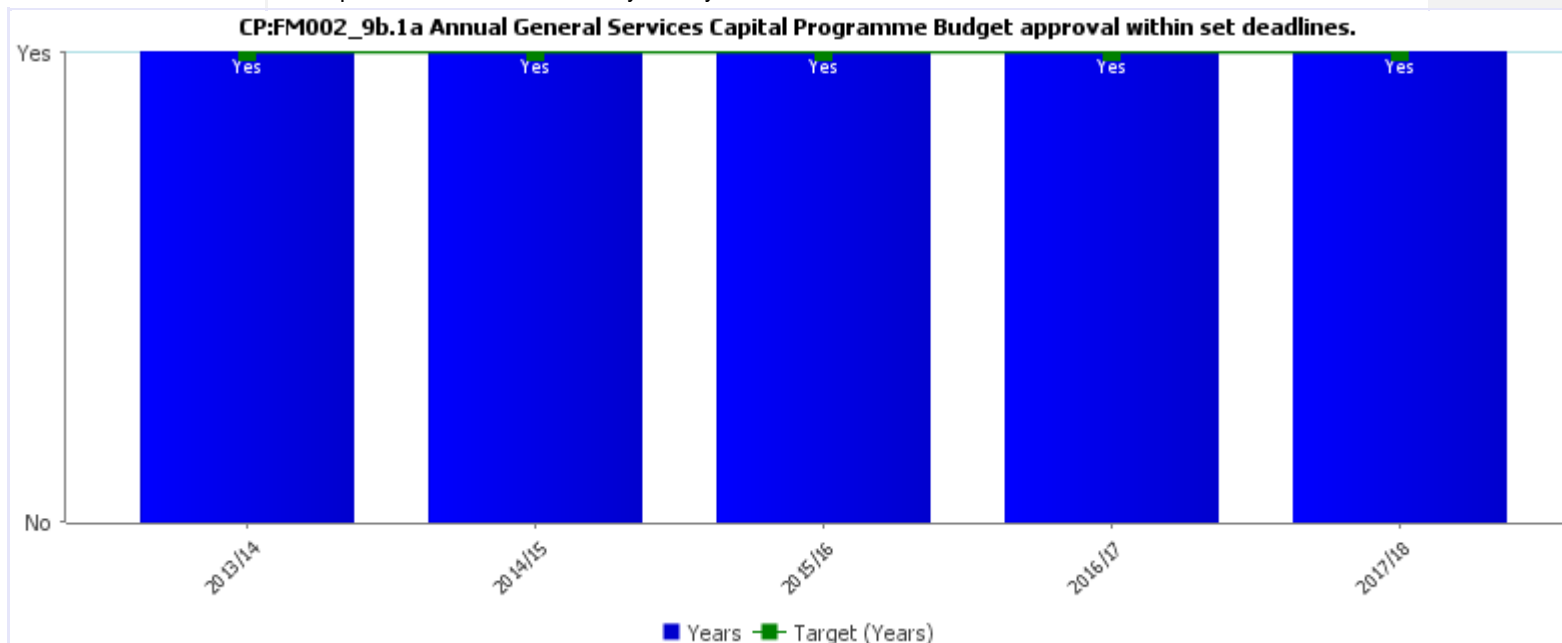


Trend Chart Commentary:

The Financial Management Unit works closely with services to improve invoice processing times. Monthly performance exceeds the current target of 96 per cent. The annual performance is greater than the Scottish Local Authorities average of paying 93.06 (per cent source: CIPFA Directors of Finance 2014/15) of invoices within 30 days. There has been a steady increase in performance over recent years, resulting in a cumulative result of 96.1 per cent for the year ending March 2016, against a target of 96 per cent. West Lothian Council process over 13,000 invoices every month and we are currently ranked 6th out of 32 councils.


The 2016/17 target for percentage of suppliers paid within 30 days of receipt is 96 per cent.

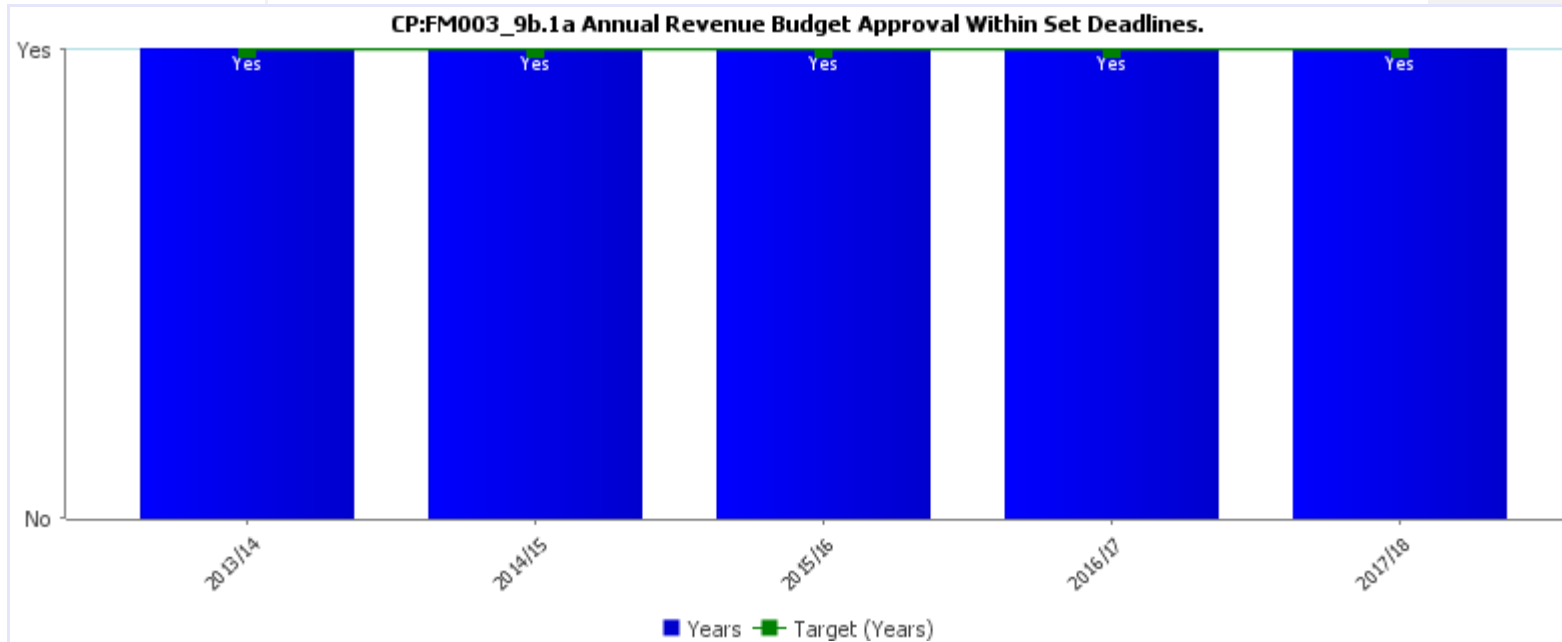
PI Code & Short Name	CP:FM002_9b.1a Annual General Services Capital Programme Budget approval within set deadlines	PI Owner	zFM_PIAAdmin; David Maule
Description	This performance indicator measures the process for approving the Council's annual capital budget. West Lothian Council approved a ten year capital investment and asset management strategy in 2007 that covers the period 2008/2009 to 2017/2018. This provides for investment in Council properties such as schools, communities, sports and arts facilities, day care centres as well as investment in roads and structures, footpaths, street lighting, open spaces and IT. The general services capital programme is reviewed annually and reported to Council in January each year.	Traffic Light Icon	
		Current Value	Yes
		Current Target	Yes



Trend Chart Commentary:

West Lothian Council has consistently produced and agreed upon a balanced annual general services capital programme budget within the set deadlines. The updated 2017/18 capital budget was approved on 20 February 2017 at the meeting of the Council.


PI Code & Short Name	CP:FM003_9b.1a Annual Revenue Budget Approval Within Set Deadlines	PI Owner	zFM_PIAAdmin; David Maule
Description	This performance indicator measures the process for approving the Council's annual revenue budget. The annual revenue budget covers the day to day running costs incurred in the delivery of the council's services, for example salaries, wages, supplies and services. This ensures expected expenditure is matched by expected funding. Funding sources include council tax and block grants from the Scottish Government. The council approves its revenue budget in January or February for the forthcoming financial year. The Council must approve a budget before 11 March to comply with statutory obligations. However, to initiate collection of instalments in April, it is necessary to set the council tax at least one month before the statutory deadline.	Traffic Light Icon	
		Current Value	Yes
		Current Target	Yes

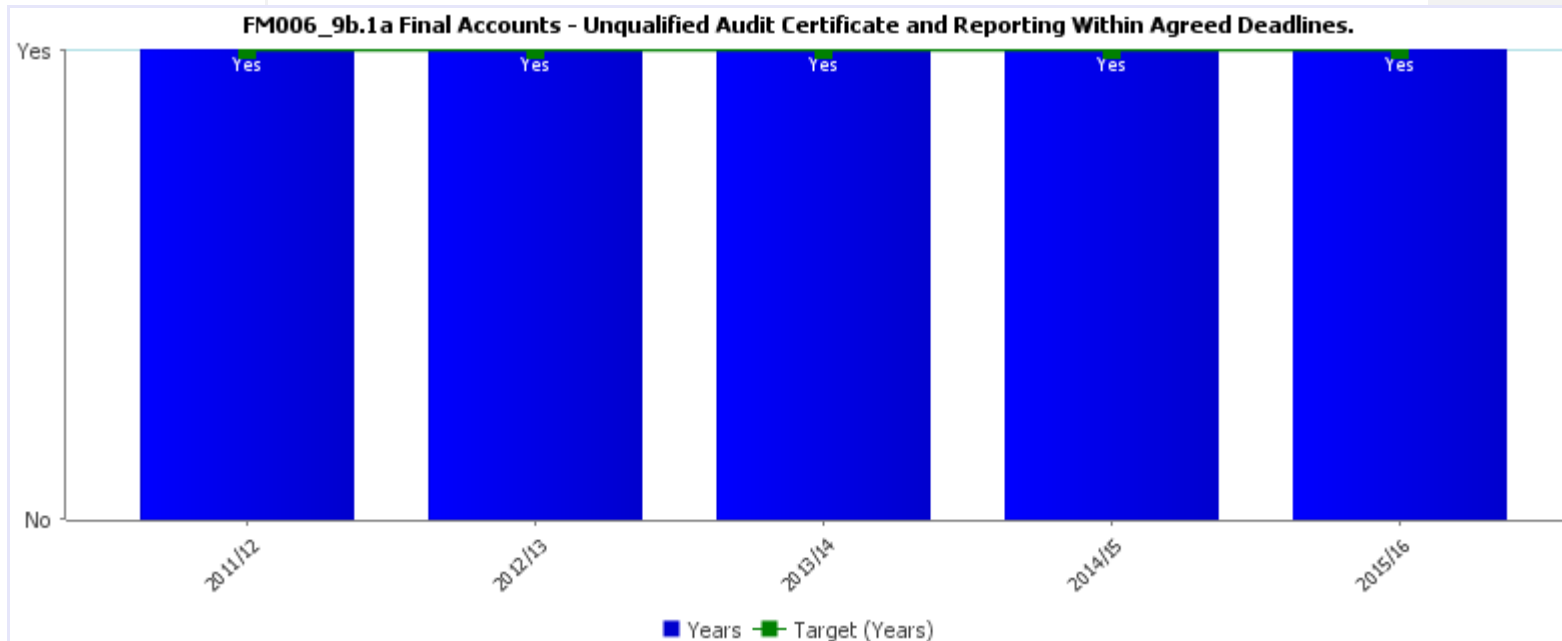


Trend Chart Commentary:

West Lothian Council has consistently produced and agreed balanced revenue budgets within set deadlines. This is within a context of unprecedented financial pressures and increased public expectations regarding the quality of services provided.

The revenue budget for 2017/18, including a detailed annual revenue budget and Council Tax freeze for 2017/18, was agreed at a meeting of the council on 20 February 2017. The target for 2018/19 will be to agree upon a balanced revenue budget within the set deadlines.

PI Code & Short Name	FM006_9b.1a Final Accounts - Unqualified Audit Certificate and Reporting Within Agreed Deadlines	PI Owner	zFM_PIAAdmin; David Maule
Description	<p>This performance indicator measures the receipt of the annual audit certificate in relation to the Council's financial statements. On an annual basis, the Financial Management Unit produce the annual financial statements for West Lothian Council. This work is carried out in April and May each year and thereafter the council's independent external auditors review these financial statements and produce an audit certificate. The audit certificate indicates if the financial statements represent a true and fair view of the financial position of the council, whether they have been prepared in accordance with international financial standards, the Local Government (Scotland) Act 1973 and the Local Government in Scotland Act 2003.</p> <p>The Financial Management Unit's aim is to receive an unqualified audit certificate on an annual basis. The outcome of the annual audit is required to be reported to Council by 30 September each year.</p>	Traffic Light Icon	
		Current Value	Yes
		Current Target	Yes




Trend Chart Commentary:

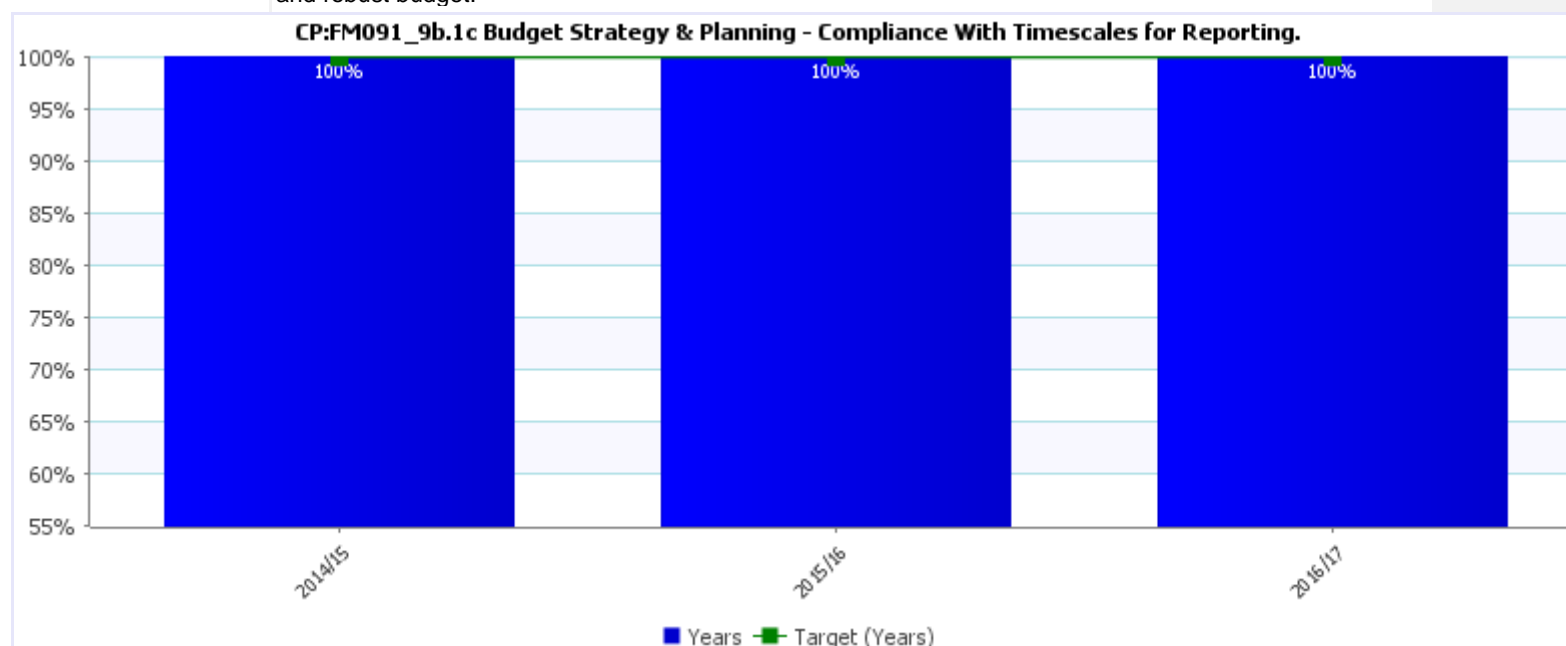
2016/17: the annual target for the council is to receive an unqualified audit certificate which demonstrates the effective financial management of the council's resources and assets in accordance with international financial standards, the Local Government (Scotland) Act 1973 and the Local Government in Scotland Act 2003.

West Lothian Council has consistently received an unqualified audit certificate which demonstrates the effective financial management of the council's resources and assets. In September 2016, the council received notification that it had achieved an unqualified audit certificate for the audit of the council's 2015/16 annual statement of accounts. The auditor's report which confirms this was presented to Council in September 2016.

2015/16: in 2015/16 the council achieved an unqualified audit certificate for the external audit of the council's 2014/15 statements of accounts.

2014/15: in 2014/15 the council achieved an unqualified audit certificate for the external audit of the council's 2013/14 statements of accounts.

PI Code & Short Name	CP:FM091_9b.1c Budget Strategy & Planning - Compliance With Timescales for Reporting	PI Owner	zFM_PIAAdmin; David Maule
Description	<p>This performance indicator measures the timeliness of reporting information in relation to revenue, capital and treasury budget strategy to elected members and senior management. The annual revenue budget covers the day to day running costs incurred in the delivery of the council's services, for example salaries & wages and supplies & services. On an annual basis, the Council is required to set a balanced budget. This ensures expected expenditure is matched by expected funding. Funding sources include council tax and block grants from the Scottish Government.</p> <p>The councils general services capital budget which provides investment in schools and other buildings, roads, footpaths, lighting, parks and open spaces, and IT is approved for the period up to 2017/18, and is updated annually to take account of changes to funding or programme phasing.</p> <p>In addition to the budget approval process, the Financial Management Unit is required to update elected members and senior management on key issues that affect the long term revenue budget of the council, for example, the general economic climate. This helps ensure that the council will continue to have a balanced and robust budget.</p>	Traffic Light Icon	
		Current Value	100%
		Current Target	100%




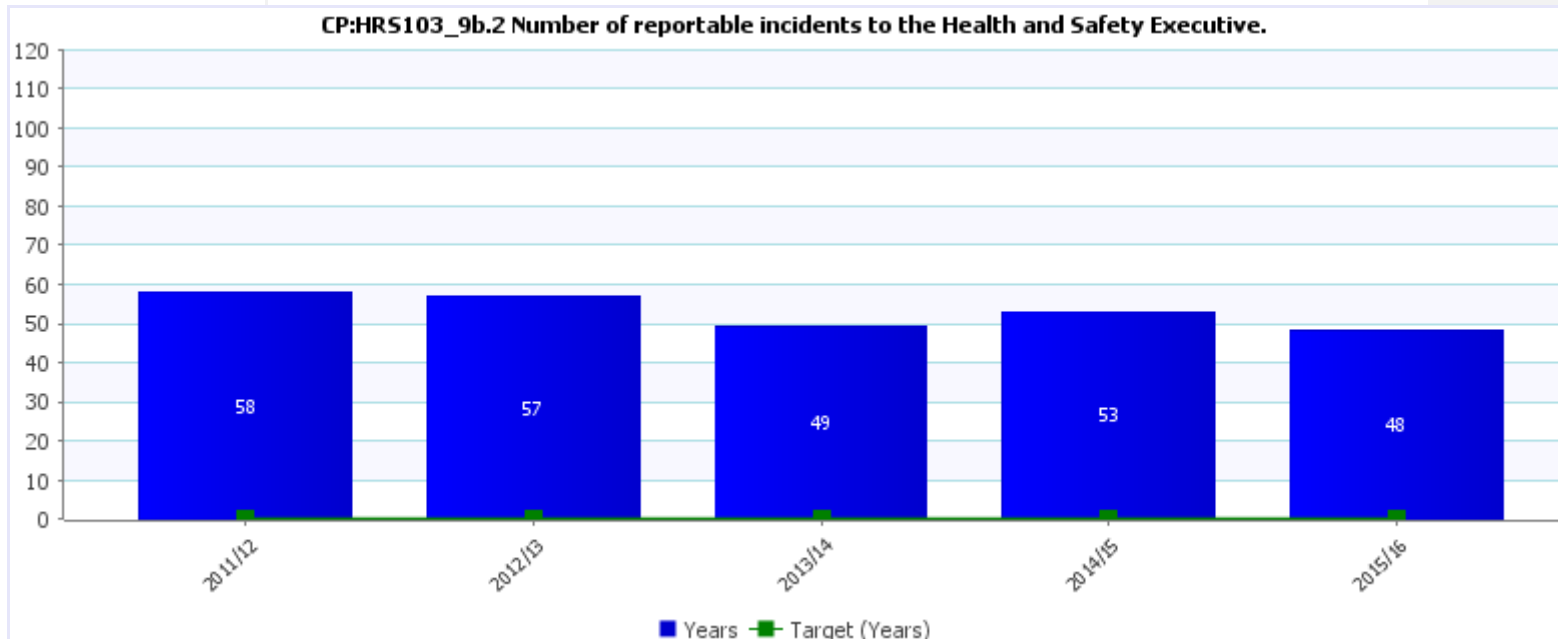
Trend Chart Commentary:

The Financial Management Unit works closely with senior management and elected members to ensure they are kept up to date with any issues that affect the long term budget strategy of the council with all agreed deadlines being met. This helps ensure that the council will continue to have a balanced and robust budget.

The target to achieve 100% timeliness of reporting information was achieved each year.

The target for 2016/17 will be to achieve 100% timeliness of reporting information in relation to revenue, capital and treasury budget strategy to elected members and senior management.

PI Code & Short Name	CP:HRS103_9b.2 Number of reportable incidents to the Health and Safety Executive	PI Owner	zHRS_PIAAdmin; Kim Hardie
Description	The total number of reportable incidents to the Health and Safety Executive. Reportable incidents are occurrences which must be reported to the Health and Safety Executive under the legislative requirements of the Reporting of Injuries, Disease and Dangerous Occurrences Regulations 2013. When an incident meets the criteria outlined in the regulations, a formal notification report must be submitted by the authority to the Health and Safety Executive within timescales stipulated in the regulations.	Traffic Light Icon	
		Current Value	48
		Current Target	0




Trend Chart Commentary:

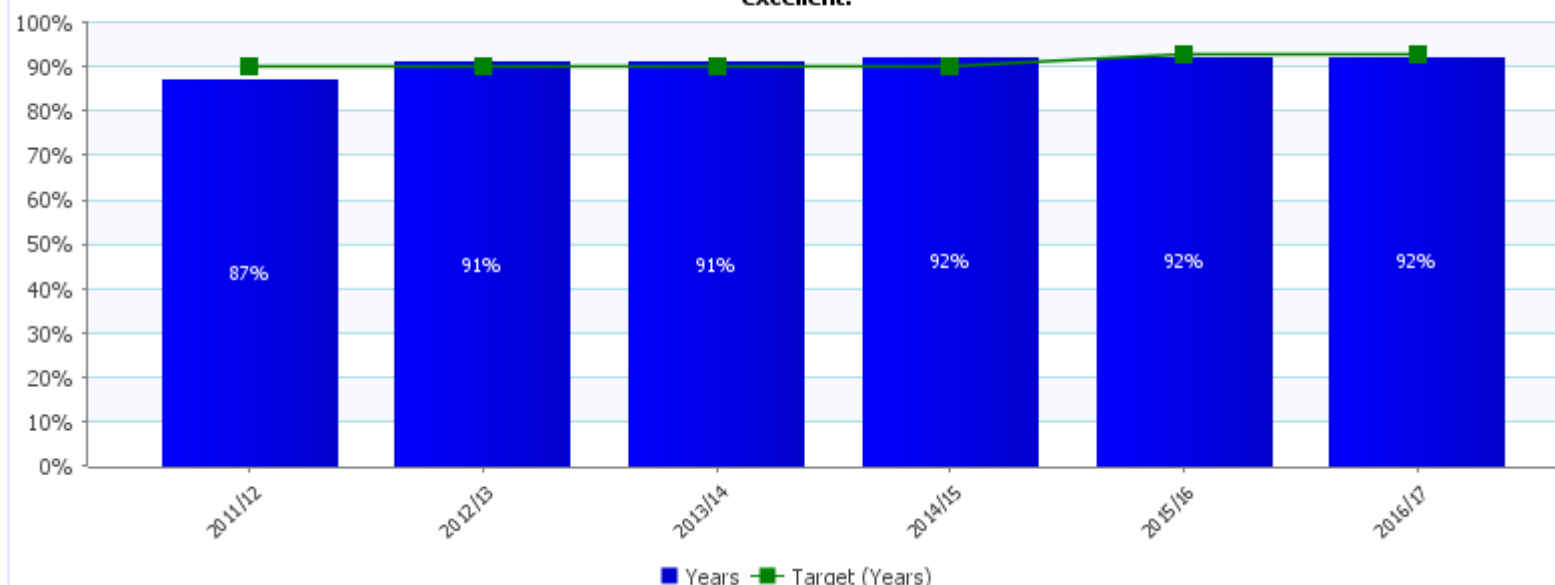
The trend shows an overall decrease of reportable incidents to the Health and Safety Executive over the period 2011/12 to 2015/16. This overall reduction is attributable to amended regulations which came into force in 2013 and also as a result of published HSE guidance clarifying when incidents would or would not be reportable.

One change was only to report specific incidents after an absence of seven days, meaning there is a longer time period from the point of an incident occurring and any resulting absence before triggering the need to report criteria. Before the amendments if an employee was absent or could not perform their normal duties for a period of four days this would have been reportable. Additional guidance was also produced regarding the criteria for reporting incidents which occurred in schools to pupils. These will only now be reported where there has been a failure identified in the way the activity was managed rather than automatically reported because a pupil has been taken to hospital from the scene of an incident. Both changes have resulted in a substantial reduction in the number of injuries reported to the HSE.

Where an there has been an increase within a service area, these incidents will be examined to establish potential trends and identify required actions to be incorporated into the service annual health and safety action plan for 2016/17.

PI Code & Short Name	P:HR5516_6a.7 Percentage of internal customers who rated the overall quality of service delivery by Human Resources service as good or excellent	PI Owner	zHRS_PIAAdmin; Lesley Henderson
Description	<p>This annual survey conducted in February of each year records the percentage of internal customers who rated the service provided by Human Resources (HR) as good or excellent. HR Services is responsible for the delivery of advice and support, policy development, contract administration, payroll and learning and development. This support is provided for over 8,000 employees across the council.</p> <p>The survey is sent to 150-200 council managers who regularly use the services provided by Human Resources. The survey list is prepared by collating records from each HR Team to ensure all aspects of HR service delivery are reviewed.</p>	Traffic Light Icon	
		Current Value	92%
		Current Target	93%

P:HR5516_6a.7 Percentage of internal customers who rated the overall quality of service delivery by Human Resources service as good or excellent.



Trend Chart Commentary:

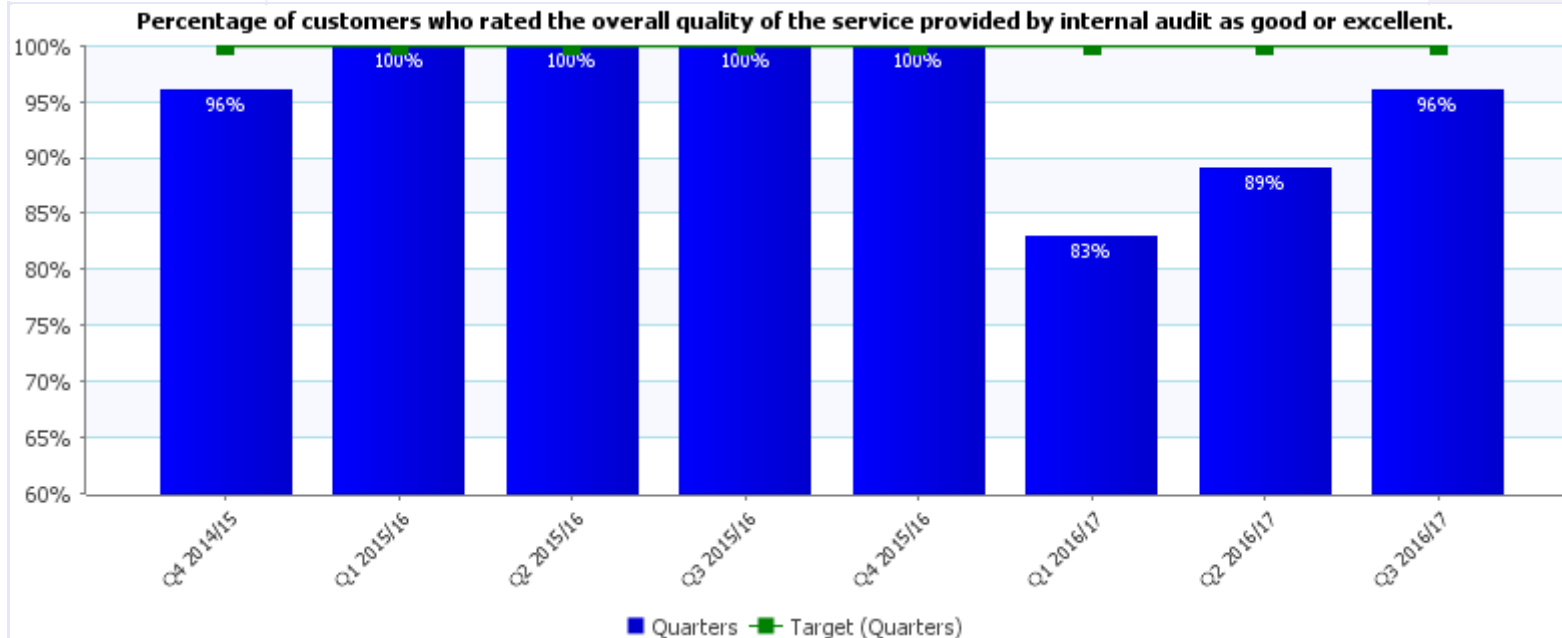
The lower levels of performance in 2011/12 reflected some concerns raised by customers about communication and knowing who to contact. The single point of contact approach using the HR number 282222 and development of information about HR Services held on myToolkit has been introduced to address this.

The survey responses have ranged between 55 and 74 responses over the years with approx. 160 customers surveyed with a reasonable spread of responses across services. Given the diversity and complexity of work undertaken by the HR Service, this is a sound indicator of the collective performance across the Service. The introduction of the Customer Relationship Management (CRM) system should assist staff to deliver consistent levels of customer satisfaction across all aspects of the Service. However, follow up work requires to be done with certain service areas to improve the levels of response to the survey. Focus groups were also conducted with managers who regularly access HR services. The feedback from the focus groups indicated that although the large majority of managers had no issue some had experienced difficulty contacting the right person in HR and where unaware of the 282222 telephone number. There were also some suggested areas for improvement such as more FAQ's on myToolkit and further training in Talentlink.

Action is planned to further promote the 282222 number.

The target for 2016/17 has been set at 93%.

PI Code & Short Name	IA008_6a.7 Percentage of customers who rated the overall quality of the service provided by internal audit as good or excellent.	PI Owner	zIA_PIAAdmin; Kenneth Ribbons
Description	This performance indicator measures the percentage of customers who rated the overall quality of internal audit as good or excellent. A questionnaire is issued at the end of each audit 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. For each year, the cumulative number of positive responses are divided by the total number of responses to determine a percentage. The results of customer feedback are analysed on a quarterly basis in order to identify areas for improvement.	Traffic Light Icon	🟢
		Current Value	96%
		Current Target	100%



Trend Chart Commentary:


Performance to Quarter 3 2016/17 was 96 per cent. 24 customer questionnaires were received, one responded n/a, and one responded that the overall quality of service was adequate.

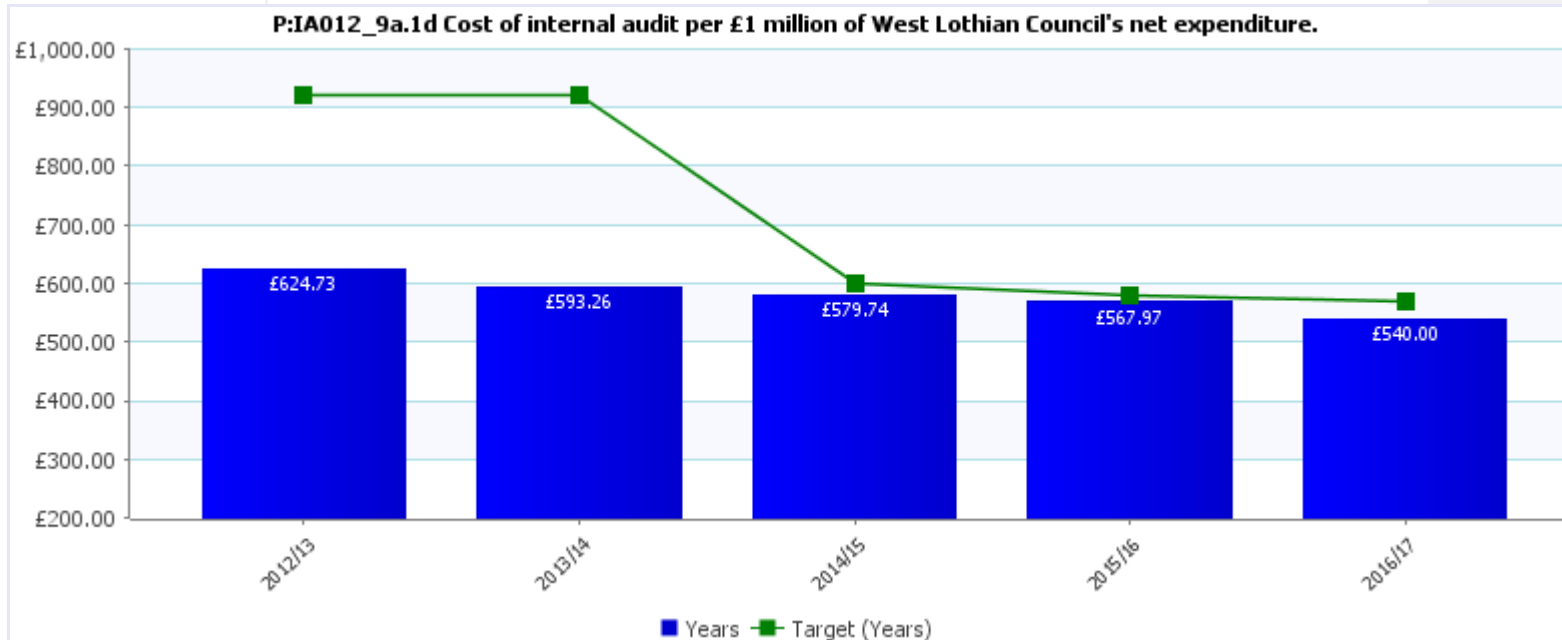
Performance for all quarters of 2015/16 was 100 per cent. All 21 customers rated the overall quality of services as good or excellent.

Performance to Quarter 4 of 2014/15 was 96 per cent. 28 customer questionnaires were received and in Quarter 1 one customer rated the overall quality of the service as adequate.

The target for 2016/17 will remain at 100 per cent.

By continuing to operate in line with procedures, which cover all key stages of the audit process, it is expected that high levels of performance will be maintained for this indicator. The targets set will continue to be reviewed in line with our [Customer Service Excellence](#) requirements.

PI Code & Short Name	P:IA012_9a.1d Cost of internal audit per £1 million of West Lothian Council's net expenditure	PI Owner	zIA_PIAAdmin; Kenneth Ribbons
Description	This performance indicator measures the cost of internal audit per £1 million of West Lothian Council's net expenditure. Our performance is benchmarked against 32 Scottish Local Authorities as part of the annual 'Scottish Directors of Finance Performance Indicators' benchmarking exercise. In line with the benchmarking guidance issued, we calculate our indicator by dividing the total cost of internal audit services (excluding risk management and counter fraud services) by West Lothian Council's net expenditure for the financial year and multiplying by one million. The objective of this performance indicator is to compare the level of resources made available by councils for the provision of internal audit services.	Traffic Light Icon	
		Current Value	£540.00
		Current Target	£570.00



Trend Chart Commentary: the estimated cost of internal audit for 2016/17 is £540. The decrease in cost is due to a reduction in staffing. The actual figure will not be finalised until August 2017, when the CIPFA Directors of Finance PIs are submitted.


The cost internal audit for 2015/16 was £567.97, with a target of £580. The cost for the previous four years was 2014/15 - £579.74, 2013/14 - £593.26, 2012/13 - £624.73 and 2011/12 - £631.62.

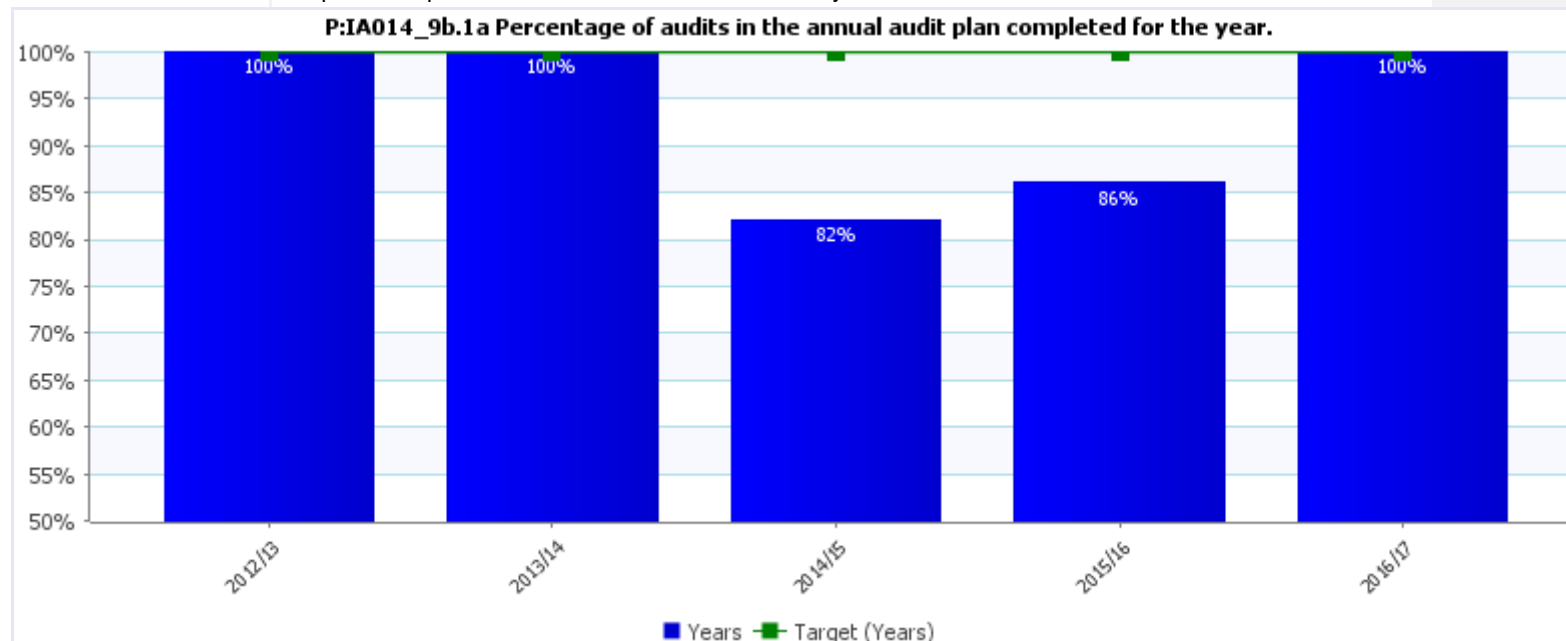
A key contributing factor towards the lower cost in recent years is the change in the role of the unit. From 2011/12 the unit took over responsibility for risk management and business continuity planning, and from 2014/15 the counter fraud function has also transferred to the unit.

When benchmarked against 32 Scottish Local Authorities, the cost of internal audit continues to be significantly lower than the overall Scottish average in each year. The Scottish average was £920 for 2012/13, £988 for 2013/14, £974 for 2014/15 and £948 for 2015/16.

For 2015/16 internal audit was the second lowest costing internal audit service in Scotland, for 2014/15 the second lowest, for 2013/14 the lowest and for 2012/13 third lowest.

The target for 2016/17 is £570, and will be £540 for 2017/18.

PI Code & Short Name	P:IA014_9b.1a Percentage of audits in the annual audit plan completed for the year	PI Owner	zIA_PAdmin; Kenneth Ribbons
Description	This performance indicator measures the percentage of planned audits in the annual audit plan that have actually been completed each year. The total number of planned audits to be completed between 1 April and 31 March each year are outlined in the annual audit plan which is approved by the Audit and Governance Committee. The number of <u>completed</u> audits is divided by the number of <u>planned</u> audits to determine the percentage completed. Completion of all audits within the annual audit plan helps provide assurance on the adequacy and effectiveness of West Lothian Council's systems of internal control. Consequently, we aim to complete 100 per cent of the risk based audits each year.	Traffic Light Icon	
		Current Value	100%
		Current Target	100%



Trend Chart Commentary:

For 2016/17 it is estimated that 100% of the audit plan will be completed and that the target will be achieved.

For 2015/16 86% of the audit plan was completed. This was due to a combination of the complexity of some of the work undertaken and available resources being used for other priority activities which were non-audit work.

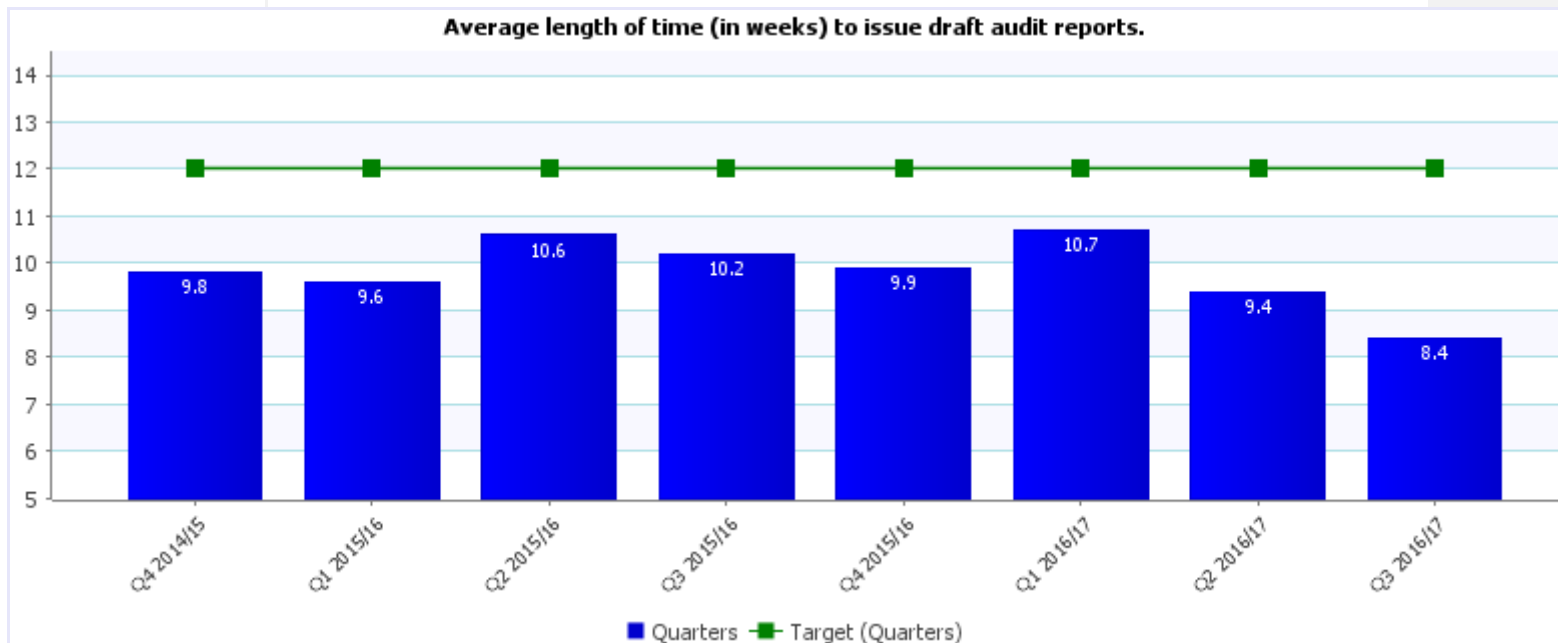
Performance for 2012/13 and 2013/14 were 100%, and for 2014/15 was below target at 82%. The below target performance was due to the level of reactive work being greater than planned.

The numbers of audits completed in each year are as follows: 2012/13 (25 audits), 2013/14 (31 audits), 2014/15 (32 from 39 audits), 2015/16 (31 from 36 audits) and 2016/17 estimated at 31 audits.

Performance is assisted by the internal procedures which cover the key stages of the audit process and ensure the progress of audits is continuously monitored. The number of audits included in the plan each year will vary depending on the nature and complexity of the work.

The target for 2016/17 is 100%, and will remain at 100% for 2017/18.

PI Code & Short Name	IA015_9b.1a Average length of time (in weeks) to issue draft audit reports.	PI Owner	zIA_PAdmin; Kenneth Ribbons
Description	This performance indicator measures the average length of time (in weeks) to issue draft audit reports. The date of issue of the draft audit report is subtracted from the date that the audit commenced to show the number of weeks taken. The date of commencement is agreed with our customers and we aim to complete all risk based audit work within 12 weeks of this date. This indicator is reported on quarterly and a rolling 12 month average is calculated for each quarter. The objective of our 12 week target is to ensure that audit reports are issued timeously so that they are current and meaningful to both the service area and any related stakeholders.	Traffic Light Icon	
		Current Value	8.4
		Current Target	12



Trend Chart Commentary:


Performance to Q23 2016/17 was 8.4 weeks and has been below the target of 12 weeks since Quarter 3 2014/15, when the average number of weeks was at it's highest of 11.6 weeks during the period being reported. The 12 week target and the appropriateness of the timescales achieved are substantiated by reference to performance indicator IA001: Percentage of customers who rated internal audit's timeliness as good or excellent which has been maintained at 100% since Q1 2015/16 i.e. customers are satisfied with the timescales being achieved.

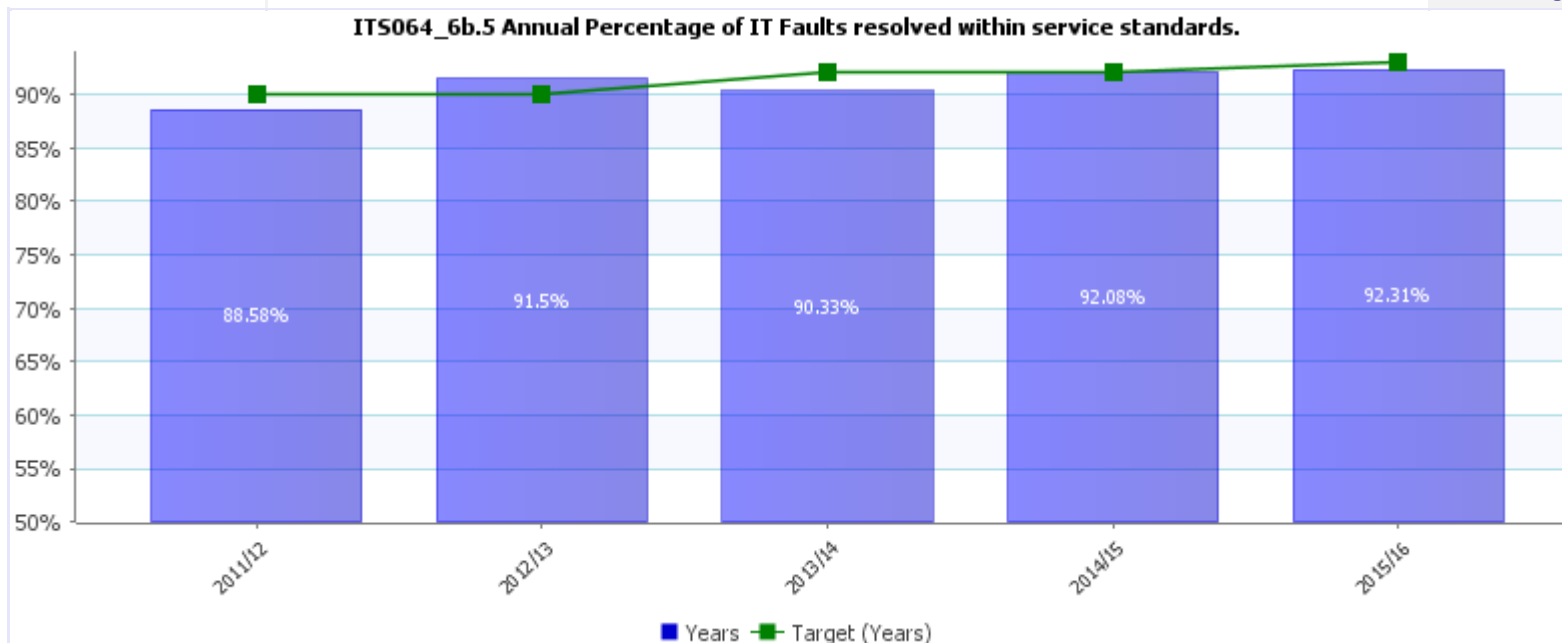
The average length of time to issue draft audit reports can be subject to ongoing fluctuation as a result of factors such as the complexity of individual audits and the level of reactive work which may be given priority over routine audits.

The number of draft audit reports issued in each quarter reported is as follows, 2014/15 – Quarter 4 (16), 2015/16 – Quarter 1 (1), Quarter 2 (9), Quarter 3 (10), Quarter 4 (14) and 2016/17 – Quarter 1 (3), Quarter 2 (6), Quarter 3 (12).

The approach to reporting on this performance indicator has recently been reviewed and amended to a rolling basis, with historic data being adjusted accordingly.

The 12 week target continues to be appropriate and will remain in place for 2016/17.

PI Code & Short Name	ITS064_6b.5 Annual Percentage of IT Faults resolved within service standards	PI Owner	zITS_PIAAdmin; Jennifer Milne
Description	This performance indicator measures the overall percentage of IT faults resolved within the service standards in a financial year. The current service standard attached to all Corporate faults is 5 working days. The data for this indicator is provided from the IT Service Management software system.	Traffic Light Icon	
		Current Value	92.31%
		Current Target	93%



Trend Chart Commentary:


The trend chart demonstrates performance achieves 88% or above over the period.

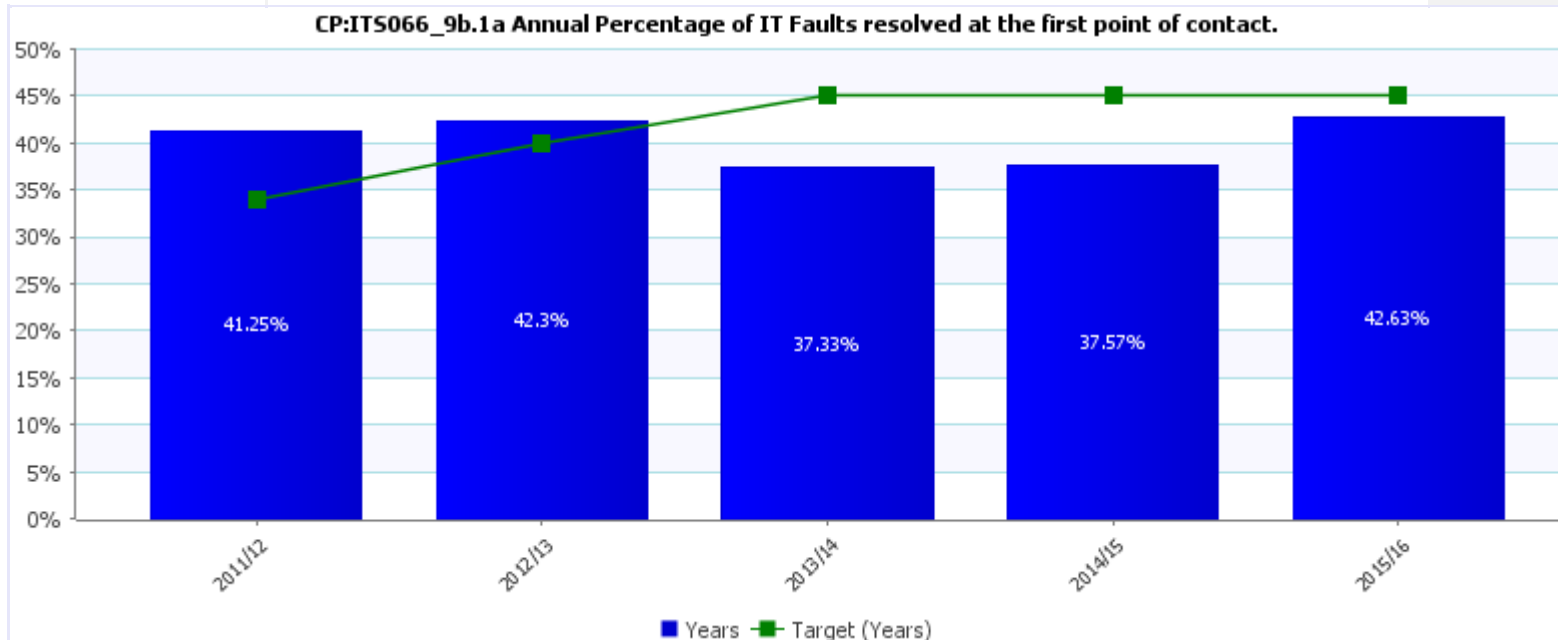
Performance improved in 2012/13 as a result of a low level of major incidents recruitment successfully filled majority of vacancies.

Performance in 2013/14 reduced as a result of major incidents in September/October 2013 and an increased resource requirement to achieve Public Sector Network compliance in the year. The target for 2014/15 was set at 92%.

Performance in 2014/15 improved as a result of low levels of major incidents, recruitment exercises had successfully filled the majority of vacancies and improved processes.

Performance in 2015/16 improved as a result of improved resource management in the service and the target for 2016/17 is 93%.

PI Code & Short Name	CP:ITS066_9b.1a Annual Percentage of IT Faults resolved at the first point of contact	PI Owner	zITS_PIAAdmin; Jennifer Milne
Description	This performance indicator measures the overall percentage of IT Faults resolved at the first point of contact in a financial year. From a customer perspective this means that the customers Fault is dealt with and resolved whilst they are on the phone. The data for this indicator is provided from the IT Service Management software system.	Traffic Light Icon	
		Current Value	42.63%
		Current Target	45%




Trend Chart Commentary:

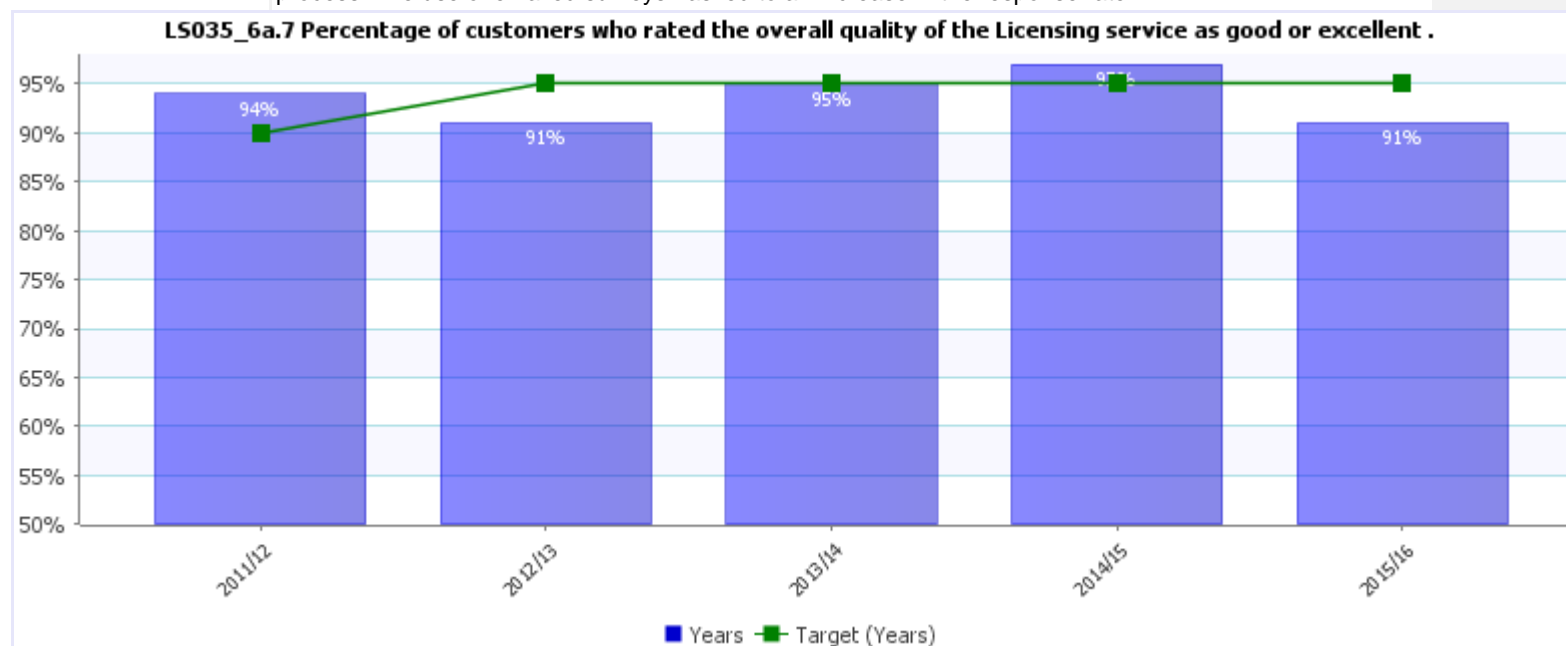
The trend chart demonstrates annual percentage of IT faults resolved at the first point of contact improving over the period 2011/12 to 2012/13 as a result of targeted training and cross skilling of front line service desk staff.

Performance in 2013/14 reduced as a result of major faults in September/October 2013 and impact of vacancy and training of new staff in December 2013/January 2014.

Performance in 2014/15 and 2015/16 demonstrate improvement. The target for 2014/15 remains, as agreed in Corporate Services Management Plan, at 45%, however new performance indicators have been created for 2016/17 to provide better transparency of first line resolutions for Education (schools) services (ref: ITS004b_9b.1c) and other council services areas (ref: ITS004_9b.1c).

The overall target for 2016/17 is 45%.

PI Code & Short Name	LS035_6a.7 Percentage of customers who rated the overall quality of the Licensing service as good or excellent	PI Owner	zLS_PIAAdmin; Audrey Watson
Description	<p>Customer satisfaction surveys are issued to all customers by Licensing Services at the end of the Licensing process. The process of determining applications for a license, involve referral to and input from third party agencies. The manner in which those agencies manage their input into the process can affect the progression of the application from the point it is made, to the point it is determined. The Licensing service has no influence over those parts of the process which rely upon third parties either in respect of timescales or outcomes. This can have an impact on overall customer satisfaction levels. This performance indicator measures the percentage of customers who rated the overall quality of the whole Licensing service, from application to determination, as good or excellent from a five-point scale (excellent, good, adequate, poor, very poor). The data from surveys is analysed to identify service improvements and the results are reported at the end of the financial year.</p> <p>Since 2011 surveys have been issued to all customers when licences are issued at the end of the application process and this resulted in an improved response rate. Methods of consultation were reviewed in early 2013 and telephone surveys were trialled but were not found to result in an improved response rate.</p> <p>Surveys have been emailed since April 2013 to all customers who have supplied email addresses. Most now provide email addresses. Paper surveys are issued to all other customers at the end of their application process. The use of emailed surveys has led to an increase in the response rate.</p>	Traffic Light Icon 	
		Current Value	91%
		Current Target	95%




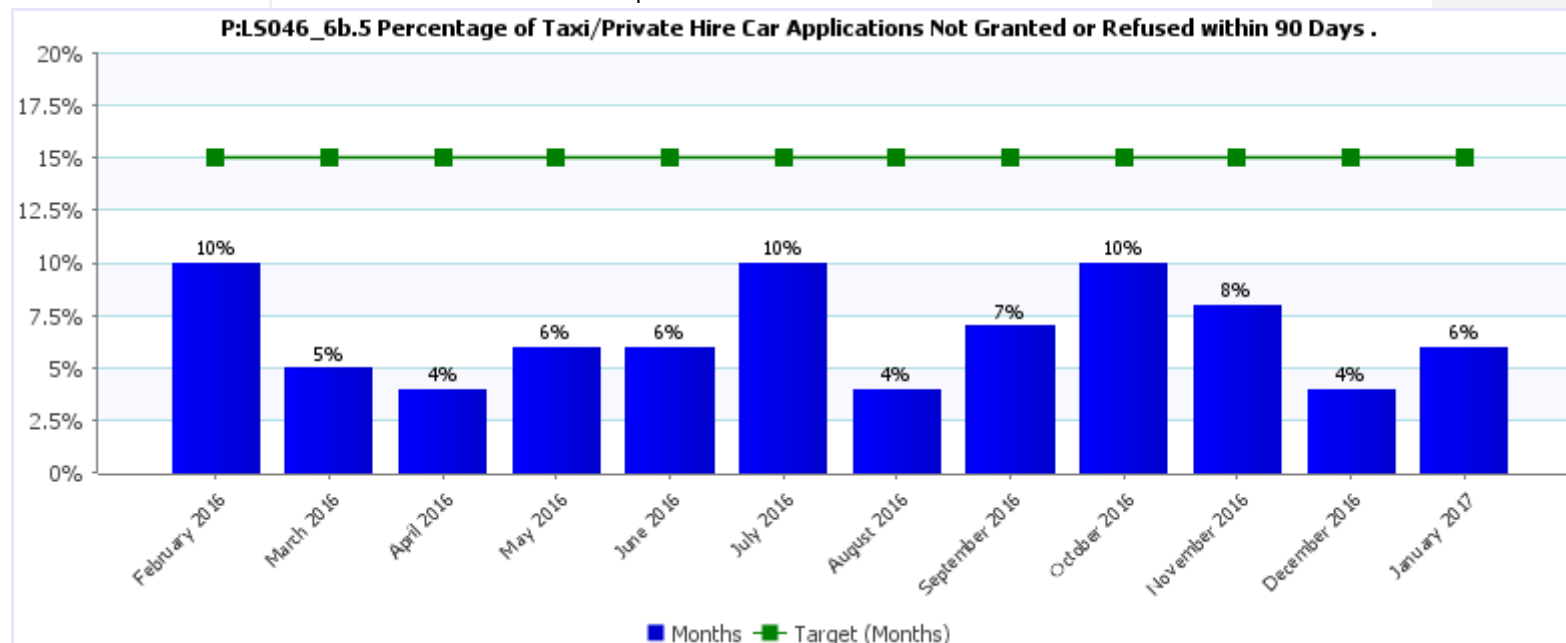
Trend Chart Commentary:

The trend shows that between 2011/12 and 2015/16 the target has not always been met but performance has always exceeded 90%. Generally reductions in customer satisfaction is attributable to the quality of information provided and ease of use of a particular licensing system which is under the control of a third party public organisation and cannot be influenced by the licensing

team. Plans to upgrade the system have been discussed with the local authority user group. In 2015/16, 128 responses were received.

The target for 2016/17 remains at 95% to reflect performance.

PI Code & Short Name	P:LS046_6b.5 Percentage of Taxi/Private Hire Car Applications Not Granted or Refused within 90 Days	PI Owner	zLS_PAdmin; Audrey Watson
Description	The Civic Government (Scotland) Act 1982 provides a statutory deadline of 6 months for an application to be granted or refused. That deadline is to be extended to 9 months when amending legislation is brought into force in 2017. The Licensing Team has set a local target of 90 days for applications to be granted or refused. The process of determining applications for a licence, involve referral to and input from third party agencies. The manner in which those agencies manage their input into the process can affect the progression of the application from the point it is made, to the point it is determined. The Licensing Team has no influence over those parts of the process which rely upon third parties either in respect of timescales or outcomes. This can have an impact on overall customer satisfaction levels.	Traffic Light Icon	
		Current Value	6%
		Current Target	15%




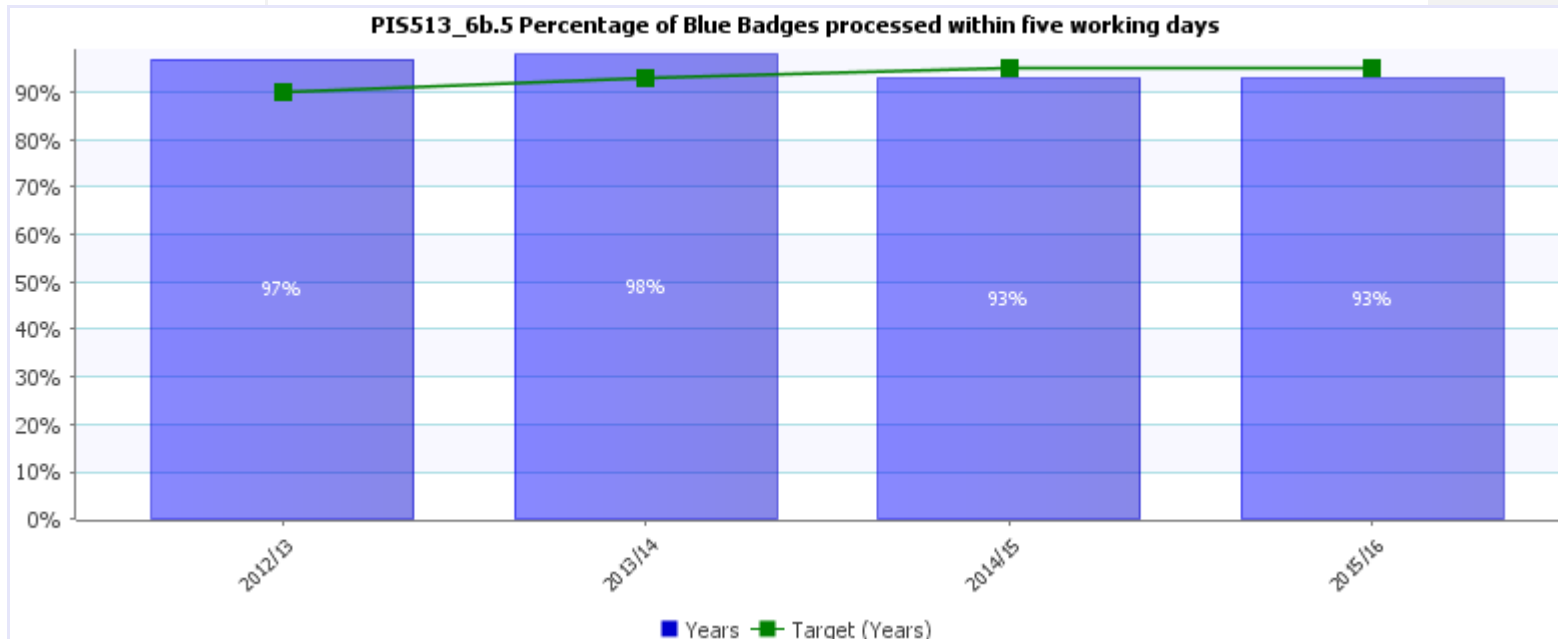
Trend Chart Commentary:

From time to time there have been slight increases in the number of applications which were granted or refused outwith the 90 day period. The reasons for these usually often relate to matters arising from applicants themselves and not the overall licensing process, however the target has been consistently met.

From spring 2017 public performance reporting in respect of this indicator will be undertaken on a quarterly basis. A new indicator is being prepared for that purpose and this indicator will be downgraded to a monthly management PI.

The target will be reviewed in 2017.

PI Code & Short Name	PIS513_6b.5 Percentage of Blue Badges processed within five working days	PI Owner	zPIS_PIAAdmin; Joe Murray
Description	This indicator measures the percentage Blue Badge applications that are processed by the service within five working days. This is a service standard to ensure that Blue Badges are processed in a timely manner. There are two distinct categories of Blue Badge application, the first is those that automatically qualify by meeting eligibility criteria. The second is discretionary applications, which require desktop assessment and in some cases an Independent Mobility Assessment to assess eligibility.	Traffic Light Icon	
		Current Value	93%
		Current Target	95%




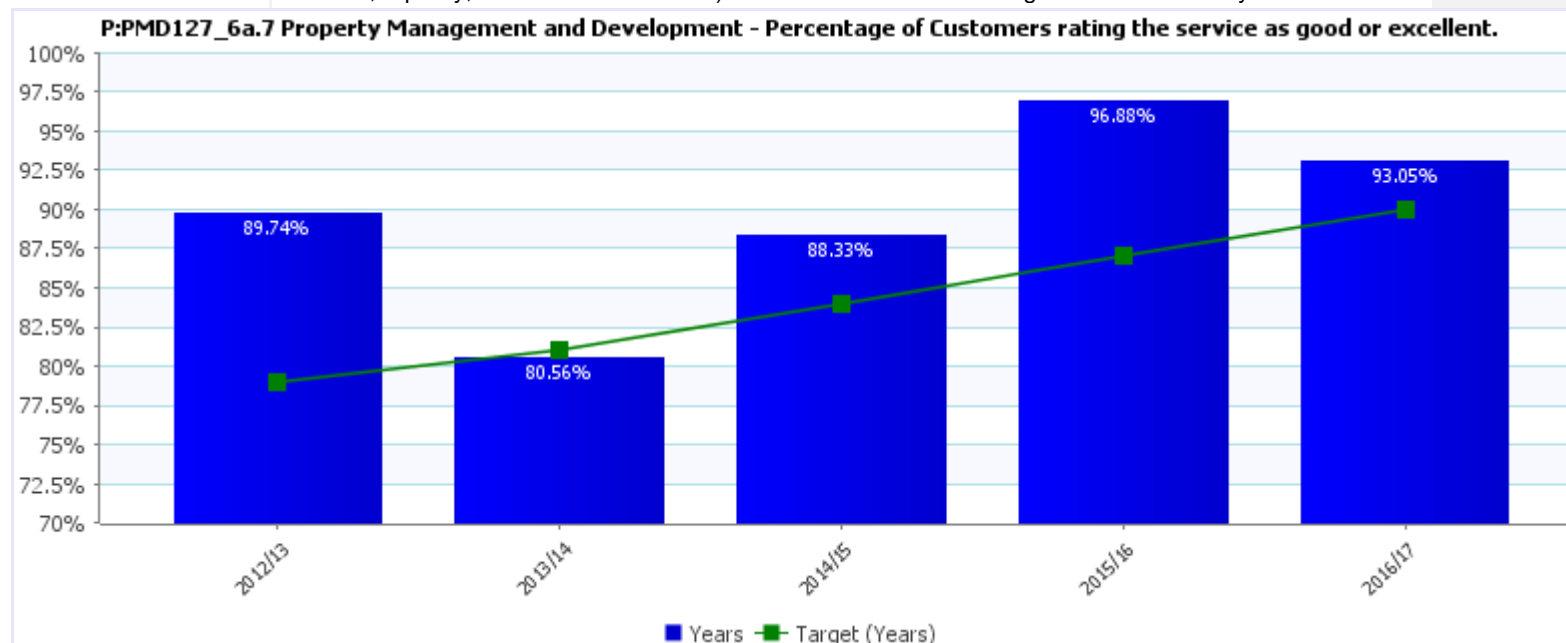
Trend Chart Commentary:

The service aims to process all Blue Badge applications within five working days to ensure that customers receive a timely decision and Blue Badges are issued to eligible customers as quickly as possible.

Over the period performance has declined from 97 percent in 2012/13 to 93 percent in 2015/16, this is a result of an increase in the number of applications and more complex, discretionary applications being received by the service. In 2014/15 the number of applications received increased by 15 percent on the previous year and this volume was sustained in 2015/16. Performance in 2015/16 remained at 93 percent when compared to 2014/15 and the service will continue to monitor demand and will seek to refine the Blue badge process for customers.

The target for 2015/16 was 95 percent and will remain at this level for 2016/17.

PI Code & Short Name	P:PMD127_6a.7 Property Management and Development - Percentage of Customers rating the service as good or excellent	PI Owner	zPMD_PIAAdmin; Tracey Thomson
Description	<p>Property Management and Development (PM&D) makes a standard questionnaire available to all customers throughout the year, through the council website and links in emails. The question set is based on the 5 Drivers of customer satisfaction and experience. This Performance Indicator is based on a question asking customers to rate their overall satisfaction with the service they received, measuring the percentage of respondents who rated the service delivered as good or excellent.</p> <p>Progressive targets have been set for all PM&D's Customer satisfaction Performance Indicators (except PMD126, equality, which is fixed at 100%) with the intention of reaching 90% satisfaction by 2016/17.</p>	Traffic Light Icon	
		Current Value	93.05%
		Current Target	90%




Trend Chart Commentary:

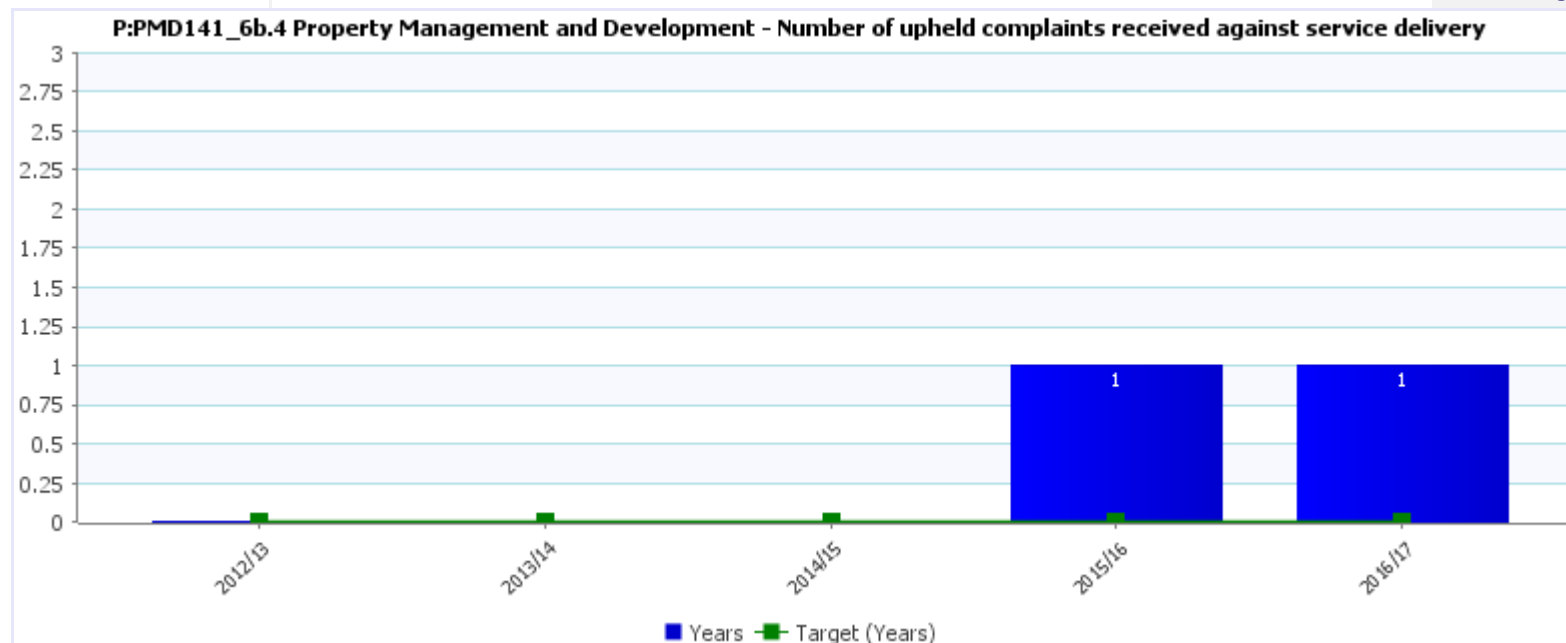
Performance in 2016/17 is ahead of the overall target to reach 90% satisfaction by 2016/17. This target was set on an incremental increase each year from 2013/14.

Results in 2016/17 are based on 29 survey returns, which is a reduction from the 34 returns in 2015/16. Given the size of the survey return a small change in the number of replies scoring the service as "good" or "excellent" can lead to a high variation in the percentage level of satisfaction.

Performance reflects the emphasis that PM&D gives to providing a service that meets our customers' requirements. The response to our surveys is discussed with staff to identify areas where we can all improve the service we deliver.

The target for 2017/18 is to increase by an increment of 2% to 92%.

PI Code & Short Name	P:PMD141_6b.4 Property Management and Development - Number of upheld complaints received against service delivery	PI Owner	zPMD_PIAAdmin; Jack Orr
Description	Number of complaints against Property Management and Development's service which have been upheld, i.e. where the service has been at fault	Traffic Light Icon	
		Current Value	1
		Current Target	0



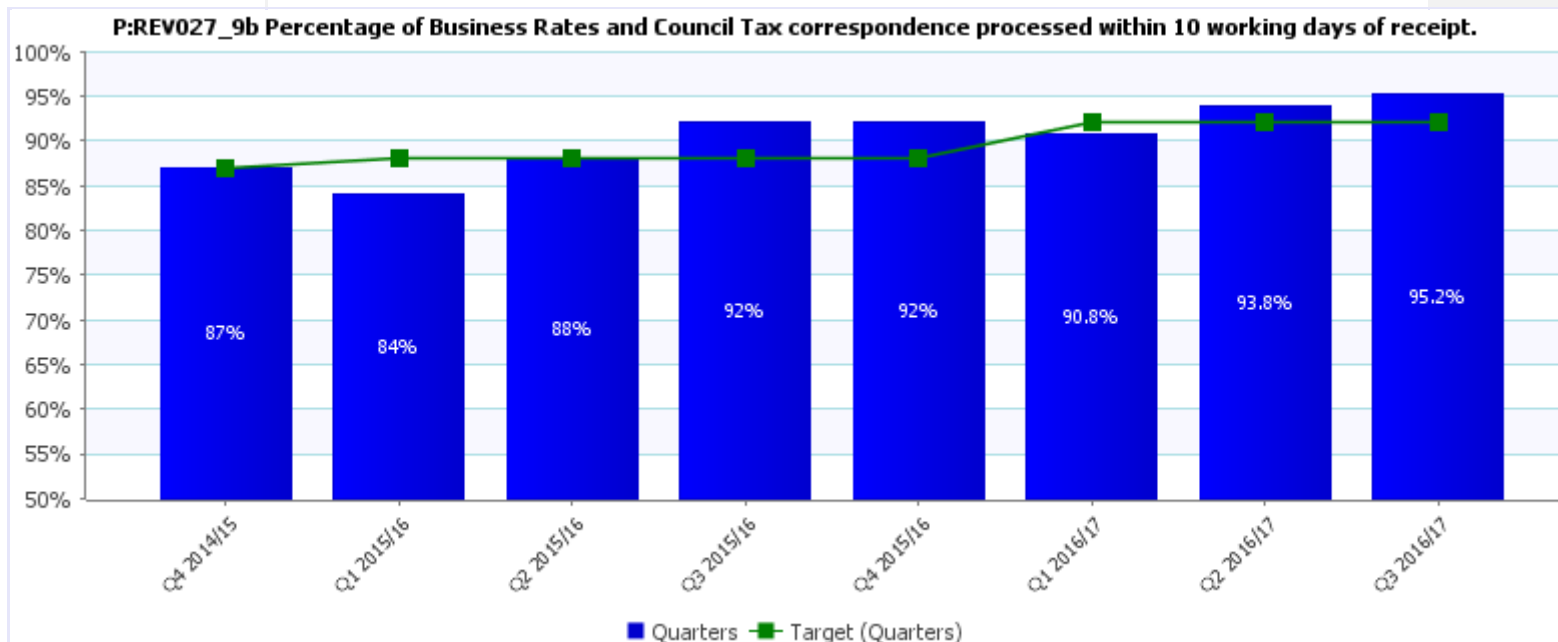
Trend Chart Commentary:

One upheld complaint was recorded in 2016/17. This is the same as the previous year, albeit the total number of complaints during the year has increased from 10 in 2015/16 to 16 in 2016/17

Property Management and Development records complaints from customers regarding our service to them. This performance indicator shows the number of complaints that were fully upheld. From 2013/14 complaints are recorded on the corporate system, providing a more robust methodology and assessment than in previous years.

The target for 2017/18 remains at zero complaints upheld against the Unit.

PI Code & Short Name	P:REV027_9b Percentage of Business Rates and Council Tax correspondence processed within 10 working days of receipt	PI Owner	zREV_PIAAdmin; Scott Reid
Description	This performance indicator is cumulative across the financial year. Where correspondence is received within the Revenues Unit in relation to Business Rates and Council Tax enquiries, the aim is to process 92.2 percent within 10 working days of receipt.	Traffic Light Icon	🟢
		Current Value	95.2%
		Current Target	92.2%



Trend Chart Commentary:

We have reviewed the target for 2016/17 and set it at 92.2%. This target has been set taking into account previous year performance and focus on continual improvement.

2016/17

Quarter 3: Performance in quarter 3 improved to 95.2% against a target of 92.2%. 32,868 items of correspondence were processed with 31,306 within the target.

Quarter 2: Performance in quarter 2 improved to 94% against a target of 92.2%. 21,063 items of correspondence were processed with 19,755 within the target.

Quarter 1: Performance in quarter 1 2016/17 fell slightly against the target of 92.2%. 10,560 items of correspondence were processed with 9,586 within the target. This is on trend with previous quarter 1 performance and the strategy in place to process mail should see an improvement in the future quarters.

2015/16

Quarter 4: Performance in quarter 4 2015/16 was maintained at 92% against a target of 88%. 41,018 items of correspondence were processed with 37,689 processed within the target.


Quarter 3: Performance in quarter 3 2015/15 improved to 92% against a target of 88%. 31,341 items of correspondence were processed with 28,735 processed within the target.

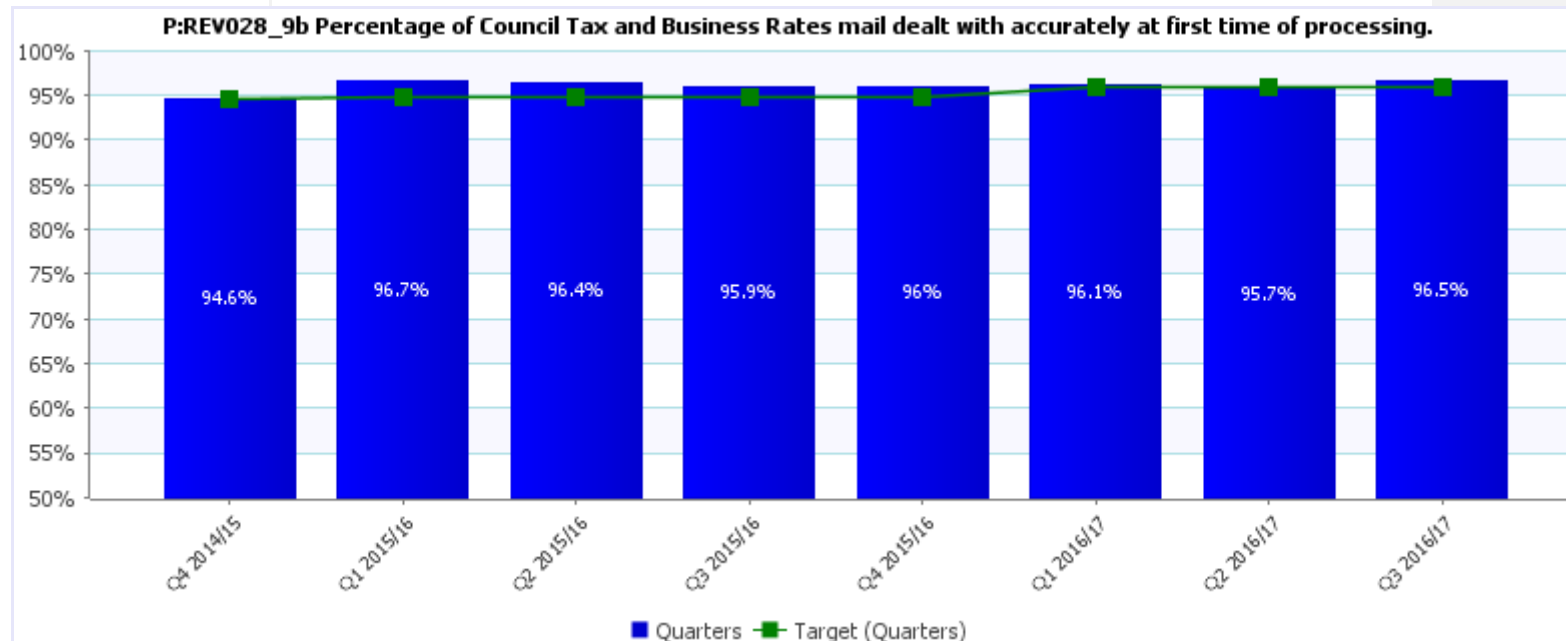
Quarter 2: Performance in quarter 2 2015/16 improved to 88% against a target of 88%. 22,149 items of correspondence were processed with 19,488 processed within the target.

Quarter 1: Performance in quarter 1 2015/16 fell to 84% against a target of 88%. 10,229 items of correspondence were processed with 8,599 processed within the target. This is on trend with previous quarter 1 performance and the strategy in place to process mail should see gradual improvement in performance over the year.

2014/15

Quarter 4: Performance in quarter 4 2014/15 improved to 87% against a target of 87%. 36,442 items of correspondence were processed with 31,637 processed within the target.

PI Code & Short Name	P:REV028_9b Percentage of Council Tax and Business Rates mail dealt with accurately at first time of processing	PI Owner	zREV_PIAAdmin; Scott Reid
Description	This performance indicator is cumulative across the financial year. Where incoming mail is received within the Revenues Unit in relation to Business Rates and Council Tax enquiries, we will aim to process 96 percent of this mail accurately at the time of receiving it	Traffic Light Icon	
		Current Value	96.5%
		Current Target	96%



Trend Chart Commentary:

We have reviewed the target for 2016/17 and set it at 96%. This target has been set taking into account previous year performance and focus on continual improvement.

2016/17

Quarter 2: Performance in quarter 2 2016/17 is 95.7% and this is below target. A total of 816 accuracy checks have been carried out with 781 confirmed as accurate.

Quarter 1: Performance in quarter 1 2016/17 is 96.1% and this remains on target. A total of 412 accuracy checks have been carried out with 396 confirmed as accurate.

2015/16

Quarter 4: Performance in quarter 4 2015/16 is 96% and this remains above target. A total of 1,861 accuracy checks have been carried out with 1,786 confirmed as accurate.


Quarter 3: Performance in quarter 3 2015/16 is 95.9% and this remains above target. A total of 1,435 accuracy checks have been carried out with 1,376 confirmed as accurate.

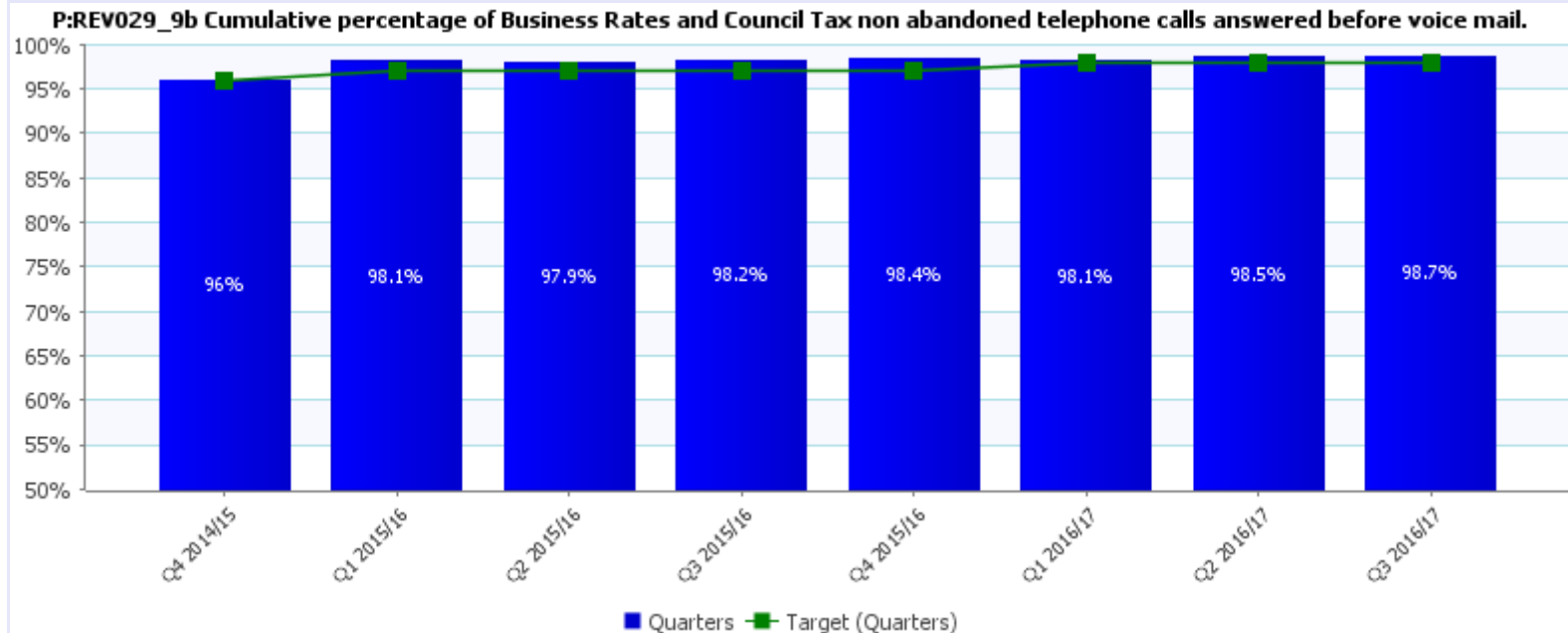
Quarter 2: Performance in quarter 2 2015/16 is 96.4% and this remains above target. A total of 1,008 accuracy checks have been carried out with 972 confirmed as accurate.

Quarter 1: Performance in quarter 1 2015/16 is 96.7% and has improved from the previous quarter. A total of 542 accuracy checks have been carried out with 524 confirmed as accurate.

2014/15

Quarter 4: Performance at quarter 4 2014/15 is 94.6% and has improved from the previous quarter. A total of 2,039 accuracy checks have been carried out with 1,929 confirmed as accurate.

PI Code & Short Name	P:REV029_9b Cumulative percentage of Business Rates and Council Tax non abandoned telephone calls answered before voice mail	PI Owner	zREV_PIAAdmin; Scott Reid
Description	This performance indicator measures the percentage of incoming telephone calls for Business Rates and Council Tax answered before the customer is asked to leave a voicemail message. We will aim to answer 98 percent of incoming telephone calls from customers before they are asked to leave a voice mail message.	Traffic Light Icon	
		Current Value	98.7%
		Current Target	98%



Trend Chart Commentary:

We have set a cumulative target of 98% for 2016/17 and will measure our performance against it.

2016/17

Quarter 3: Performance in quarter 3 met the target of 98%. 20,220 calls have been available to answer with 19,948 being answered before the customer has been asked to leave a voicemail message.

Quarter 2: Performance in quarter 2 met the target of 98%. 13,757 calls have been available to answer with 13,544 being answered before the customer has been asked to leave a voicemail message.

Quarter 1: Performance in quarter 1 met the target of 98%. 7,505 calls have been available to answer with 7,359 being answered before the customer has been asked to leave a voicemail message.


2015/16

Quarter 4: Performance in quarter 4 was above the target of 97%. 28,636 calls have been available to answer with 28,177 being answered before the customer has been asked to leave a voicemail message.

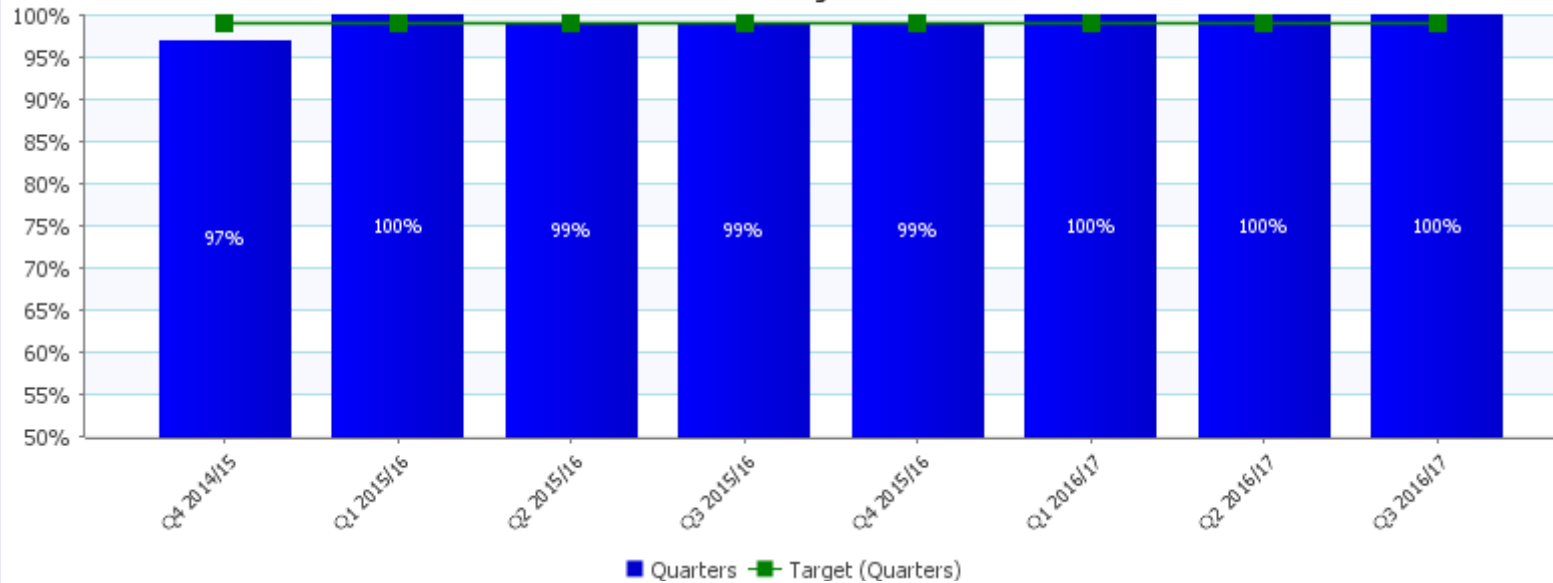
Quarter 3: Performance in quarter 3 was above the target of 97%. 22,114 calls have been available to answer with 21,706 being answered before the customer has been asked to leave a voicemail message.

Quarter 2: Performance in quarter 2 was above the target of 97%. 15,707 calls have been available to answer with 15,381 being answered before the customer has been asked to leave a voicemail message.

Quarter 1: Performance in quarter 1 improved and is above the target of 97%. 8,228 calls have been available to answer with 8,072 being answered before the customer has been asked to leave a voicemail message.

PI Code & Short Name	P:REV030_9b Cumulative percentage of Business Rates and Council Tax customers called back within 2 working days of leaving a voice mail message	PI Owner	zREV_PIAAdmin; Scott Reid
Description	This performance indicator measures the percentage of voicemail messages received from customers in relation to Business Rates and Council Tax telephone calls that are returned within two working days of the voicemail message being left. We aim to return 99 percent of calls within two working days of the voice mail message being left. The customer is advised of this when leaving a message so it is important that this target is met.	Traffic Light Icon	
		Current Value	100%
		Current Target	99%

P:REV030_9b Cumulative percentage of Business Rates and Council Tax customers called back within 2 working days of leaving a voice mail message.



Trend Chart Commentary:

We have set a cumulative target of 99% for 2016/17 and will measure our performance against it.

2016/17

Quarter 4: Performance as at quarter 3 was 100% against a target of 99%. 272 voicemails were received and 272 were returned within two working days.

Quarter 2: Performance as at quarter 2 was 100% against a target of 99%. 213 voicemails were received and 213 were returned within two working days.

Quarter 1: Performance as at quarter 1 was 100% against a target of 99%. 146 voicemails were received and 146 were returned within two working days.


2015/16

Quarter 4: Performance as at quarter 4 was 99% against a target of 99%. 459 voicemails were received and 454 were returned within two working days.

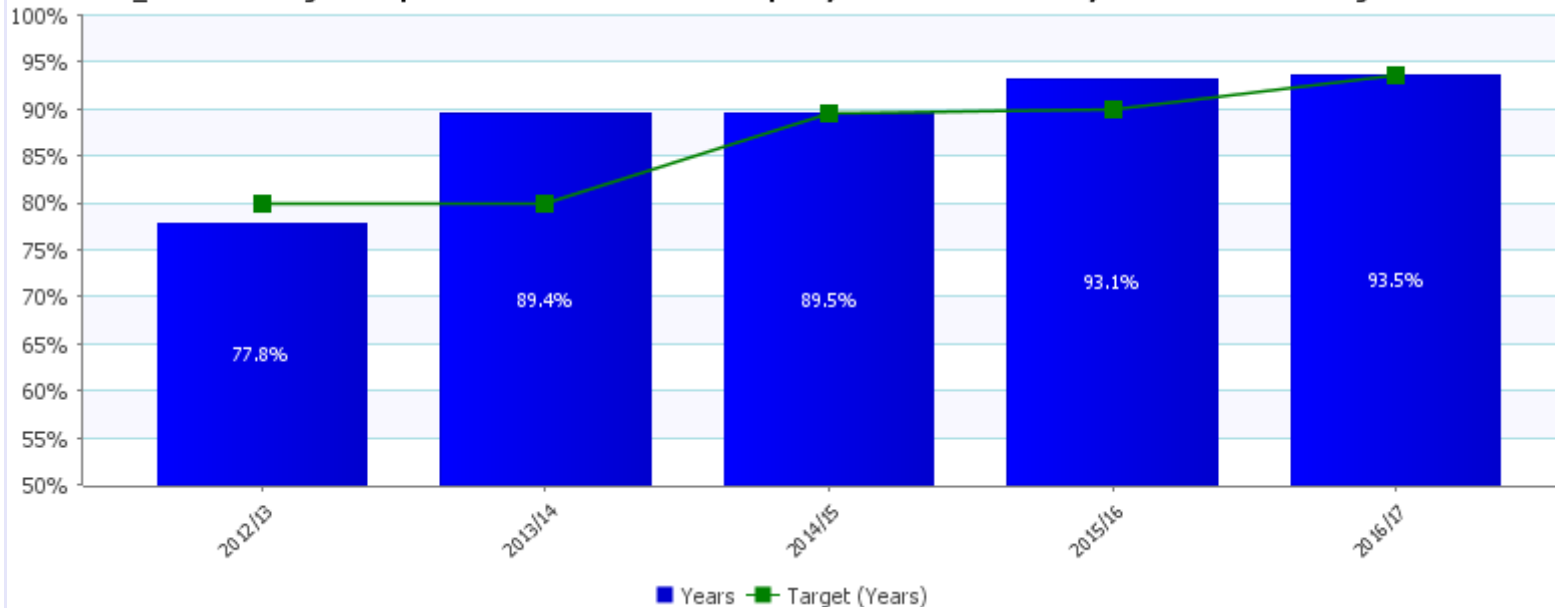
Quarter 3: Performance as at quarter 3 was 99% against a target of 99%. 408 voicemails were received and 406 were returned within two working days.

Quarter 2: Performance as at quarter 2 fell slightly from quarter 1 but remains on target. 170 voicemails were received and 168 were returned within two working days.

Quarter 1: Performance as at quarter 1 was 100% against a target of 99%. 156 voicemails were received and 156 were returned within two working days.

PI Code & Short Name	P:REV042_6a.7 Percentage of respondents who rated the overall quality of service delivered by the Revenues Unit as good or excellent	PI Owner	zREV_PIAAdmin; Scott Reid
Description	This performance indicator measures the percentage of customers that rated our overall service as good or excellent. Collected as part of our ongoing survey, customers are asked to rate the quality of the service provided as; excellent, good, adequate, poor, very poor or not applicable. The survey is a random but representative sample of the customers that accessed the service and the results are analysed to identify improvements to the way the service is delivered to customers.	Traffic Light Icon	
		Current Value	93.5%
		Current Target	93.5%

P:REV042_6a.7 Percentage of respondents who rated the overall quality of service delivered by the Revenues Unit as good or excellent.



Trend Chart Commentary:

We strive to improve our services on an ongoing basis. Feedback from our customers is important to judge if our actions have been successful.

2016/17: Current performance is in line with the 2016/17 target of 93.5%

2015/16: The surveys were issued to a sample of our Benefits, Business Rates, Council Tax, Scottish Welfare Fund and internal customers. 2,309 surveys were issued with 530 being returned (23%), an increase in return rate of 0.3% from the previous year. The percentage of respondents who rated the overall quality of service between good and excellent was 93.1%, an increase of 3.6% from the previous year.

2014/15: The surveys were issued to a sample of our Benefits, Business Rates, Council Tax, Scottish Welfare Fund and internal customers. 2,123 surveys were issued with 482 being returned (22.7%), an increase in return rate of 7% from the previous year. The percentage of respondents who rated the overall quality of service between good and excellent was 89.5%, an increase of 0.1% from the previous year.

2013/14: The surveys were issued to a sample of our Benefits, Business Rates, Council Tax and internal customers. 2,202 surveys were issued with 345 being returned (15.7%), an increase in return rate of 4.1% from the previous year. The percentage of respondents who rated the overall quality of service between good and excellent was 89.4%, an increase of 11.6% from the previous year. This level of response has exceeded our target.

2012/13: The surveys were issued to a sample of our Benefits, Business Rates and Council Tax customers. 1,423 surveys were issued with 165 being returned (11.6%). The percentage of respondents who rated the overall quality of service between good and excellent has reduced from the previous year and has not reached our target. The main reason for this is the introduction of a new Council Tax and benefit system in August 2012 because of Welfare Reform changes to benefit administration. As a result of this workloads built up and delays occurred in processing customer enquiries.

The target for 2017/18 is 94%. This target will drive continual improvement and has been set after consideration of service improvements that have been implemented in 2016/17 and are planned for 2017/18.



West Lothian
Council

PARTNERSHIP AND RESOURCES POLICY DEVELOPMENT AND SCRUTINY PANEL

WELFARE REFORM: QUARTERLY UPDATE REPORT

REPORT BY HEAD OF FINANCE AND PROPERTY SERVICES

A. PURPOSE OF REPORT

To inform the Panel of the recent developments in, and the continuing implications of, the ongoing programme of welfare changes.

B. RECOMMENDATION

It is recommended that the Panel notes the impacts of the welfare changes in West Lothian and the actions which the council and community planning partners are taking in response.

C. SUMMARY OF IMPLICATIONS

- | | |
|---|--|
| I Council Values | Focusing on our customers' needs; being honest, open and accountable; providing equality of opportunities; developing employees; making best use of our resources; working in partnership. |
| II Policy and Legal (including Strategic Environmental Assessment, Equality Issues, Health or Risk Assessment) | The Welfare Reform Act 2012 provided for significant changes to Housing Benefit, a Benefit Cap, and the introduction of the Council Tax Reduction scheme and the Scottish Welfare Fund, both administered by local authorities in Scotland. In addition further Department for Work and Pensions (DWP) led welfare changes are continuing to be introduced. The Scotland Act 2016 also devolved certain aspects of welfare in Scotland to the Holyrood Parliament. |
| III Implications for Scheme of Delegations to Officers | None. |
| IV Impact on performance and performance Indicators | Corporate and service performance indicators are being reviewed as implications of the reforms become clear. |
| V Relevance to Single Outcome Agreement | Outcome 1 - Our children have the best start in life and are ready to succeed.

Outcome 2 - We are better educated and have access to increased and better quality learning |

and employment opportunities.

Outcome 3 - Our economy is diverse and dynamic, and West Lothian is an attractive place for doing business

Outcome 4 - We live in resilient, cohesive and safe communities

Outcome 5 - People most at risk are protected and supported to achieve improved life chances

Outcome 7 - We live longer, healthier lives and have reduced health inequalities.

VI Resources - (Financial, Staffing and Property)

The Anti-Poverty Strategy Development Group is continuing to assess the financial and staffing implications for the council.

VII Consideration at PDSP

Regular quarterly updates on welfare reform have been reported to the Panel since 2012.

VIII Other consultations

With services, through the Anti-Poverty Strategy Development Group, ongoing consultations with the voluntary sector and other partners.

D. TERMS OF REPORT

D.1 Overview

The Welfare Reform Act 2012 provided for the introduction of several major changes to the welfare system.

The implementation and administration of many of the initial changes were the responsibility of local authorities. These changes were implemented within the timescales set by the DWP and are now operational.

The Welfare Reform Act 2012 also provided for major DWP-led reforms to the welfare system, notably the introduction of Universal Credit (UC) which replaces six current working age benefits/credits. The full national roll out of Universal Credit has been subject to delay and the timetable has been revised on a number of occasions.

D.2 Discretionary Housing Payment Fund

The Discretionary Housing Payment (DHP) Fund can provide additional support to households where a tenant is entitled to Housing Benefit but where there is a shortfall between their rent and the amount of Housing Benefit paid.

DHP can be paid to alleviate short term hardship, or to assist those most affected by the welfare changes, particularly those affected by the size criteria restrictions (also termed the spare room subsidy or the bedroom tax) in the social rented sector.

At this stage, the council's actual and committed spend in 2016/17 is £2.1million.

This is summarised as follows:

	Number of Awards	Projected Spend £'000
Benefit Cap	90	68
Bedroom Tax	4088	1,985
Local Housing Allowance restrictions	9	5
Combination of reforms	238	103
Total	4425	2,161

All applications from those affected by the removal of the spare room subsidy or bedroom tax, and who are entitled to Housing Benefit, will continue to be awarded full DHP to cover the shortfall.

Council officers are currently considering how to utilise awards of DHP in 2017/18. This includes an additional £100,000 approved by the council on 20 February 2017 as part of the 2017/18 revenue budget.

D.3 Scottish Welfare Fund

The Scottish Welfare Fund (SWF) is a national scheme covering the whole of Scotland, but delivered by local authorities who are responsible for administering Community Care Grants and Crisis Grants. The budget for 2015/2016 was fully spent.

The Council's SWF spend for 2015/16, comprised Community Care Grant spending of £917,188 and Crisis Grants spending of £279,809.

The budget for 2016/17 reduced slightly from £1,066,391 to £1,064,220

The 2016/17 SWF spend to 31 December is as follows:

	Number of Awards	Expenditure £'000
Crisis Grants	2463	179
Community Care Grants	910	604
Total	3373	783

As in previous years, the budget is carefully managed to fully utilise the SWF budget by 31 March 2017. To achieve this, liaison is ongoing with a range of stakeholders, and priority levels for an award have been set, from February to low. The current contract for provision of goods via the Community Care Fund is in place until May 2017. A report on the procurement process for a new contract was considered by Council Executive on 28 February 2017.

D.4 Universal Credit

UC involves the integration of six core benefits and tax credits into a single payment. The UC payment brings together: income-based (means-tested) Job Seekers' Allowance; income-based Employment Support Allowance; Income Support; Housing Benefit; Child Tax Credit and Working Tax Credit.

UC is delivered by the DWP. Local authorities will not have a role in the administration of Universal Credit, however it is recognised by the DWP that local authorities will be important partners in assisting customers to make and maintain a UC claim and to manage the requirements that Universal Credit will bring. UC will

also affect the administration of those benefits retained by local authorities, including the Council Tax Reduction Scheme (CTRS), DHP, and SWF.

The UK wide expansion of UC began in February 2015. Initially this involved the roll-out of the UC “Live System”. The “Live System” deals with simple claims usually from new, single, job seekers with no partner, no children, and no complicating factors. This is the system currently operated by the three Job Centres in West Lothian.

The latest UC Official Statistics published by the DWP on 15 February 2017 state that, as at 12 January 2017, a total of 1236 people in West Lothian are on UC. These are all “Single claimants only”. Broxburn Job Centre has 150 UC claimants, Livingston has 539, and Bathgate has 547.

The DWP official statistics of 15 February show 520 UC recipients in West Lothian are in employment and 716 are “searching for work”.

In addition to the “Live System” which deals with simple claims and which was rolled out to all Job Centres throughout Britain, there is the second, developing, more sophisticated “Full Digital Service”. This will deal with all UC claims including the more complex cases and cases involving families. Currently only a small number of Job Centres throughout Britain operate the “Full Service”

In Scotland five Job Centres, including Inverness and Musselburgh, currently operate the “Full Service”, with Dalkeith and Penicuik Job Centres due to go live with Full Service by the end of the current financial year.

As previously reported, on 16 November 2016 the next stage of UC Full Service roll out was published. All Job Centres throughout Britain will go live by September 2018. It was announced that the three West Lothian Job Centres will go live and implement the UC Full Service in February 2018. The fact that West Lothian will have twelve months to prepare for this could mean that some of the admin and I.T. difficulties with the new system may well be resolved by then.

Although the roll out of the current Live System has caused some difficulties, including a rise in rent arrears and budgeting difficulties for some customers, the roll out of the UC “Full Service” has greatly exacerbated these problems.

The Work and Pensions Committee at Westminster, stated in January 2017 that: “Clearly, there are some basic features of its design – the initial six-week wait for a first payment, or the monthly lump sums thereafter, that are paid directly to tenants, for example – that give Universal Credit the unintended effect of pushing some poorer households towards the twin horrors of eviction and homelessness.”

On 10 November 2016 East Lothian Council gave evidence to the Social Security Committee of the Scottish Parliament stating that when they dealt with the “Live Service” which involves mainly simple cases from single new jobseekers, the impact of UC on rent arrears was not great. However, the live service involved only a small volume and “the step change” did not really happen until the “Full Service”, which is now operated by Musselburgh Job Centre, came in. Now that the Full Service is operating, 82 per cent of council tenants in East Lothian, who receive Universal Credit, have some level of rent arrears. “The average arrear is higher by about £300 than the typical arrear in East Lothian”. “The average rent arrears for a UC claimant is now £898.89. For UC tenants, during 2016/17, there has been a 22.4% increase in rent arrears”.

West Lothian officers will be liaising closely with our partners in East Lothian and in Midlothian who also go live before us, to learn from their experience. The Scottish Government's plans for devolved social security in Scotland, including some aspects of UC, particularly the Housing Support element, may also be further progressed by February 2018.

In January 2017 the Scottish Government published its draft Regulations concerning two aspects of the payment of UC:

- Providing more frequent payments - twice monthly rather than monthly, to assist in budgeting, and:
- Giving the option of paying the Housing Support (rent) element direct to the landlord, to minimise rent arrears.

These draft Regulations were subject to a consultation process and West Lothian Council's response was agreed by Council Executive on 28 February 2017.

On 26 January 2017, the DWP Regional Manager for East and South East Central Scotland informed the council that the review of the DWP's estates in West Lothian has been completed with the outcome in West Lothian being the planned closure of Broxburn Jobcentre. The proposal is that all staff, and the caseload, from the Broxburn Jobcentre will move to the Livingston branch by 31 March 2018.

The proposal will be going out to public consultation and a letter to all stakeholders will be posted out.

D.5 Household Benefit Cap

As reported to the Panel, the UK Government has proceeded with plans to reduce the Household Benefit Cap.

The Welfare Reform Act 2012 allowed for the government to cap benefits at the median earnings level after tax. The benefit cap was introduced on 1 April 2013, and set an overall cap on benefit income at £26,000 per household and £18,200 for single claimants with no children.

The Welfare Reform and Work Act 2016 introduced powers for the Government to review and amend the Benefit Cap and it was announced that a new lower, tiered benefit cap would introduce limits of £20,000 per household, or £13,400 for single claimants with no children.

The new lowered benefit cap was implemented in West Lothian from 7 November 2016 and has affected some 100 households.

The households currently identified by the DWP are a mixture of West Lothian Council, Housing Association, and Private Tenants.

The lowered benefit cap predominantly affects families/ households with children, and a large proportion of these families (82%) will have three or more children.

In preparation for the 2016 benefit cap, representatives from various West Lothian Council services including the Advice Shop, Access 2 Employment, Housing and Revenues formed a Benefit Cap working group with representatives from DWP and local housing associations

Home visits, telephone calls and written invitations are being issued to all those affected. For those most affected, home visits from an Employment Advisor and a

Benefits Advisor are taking place. Budgeting Advice, Employability support and other co-ordinated assistance is offered.

In addition the Revenues Unit is making use of the council's limited Discretionary Housing Payment (DHP) fund to seek to assist with some of the shortfall. DHP has fully mitigated the effect of the Benefit Cap, from the date of the benefit reduction until the end of the financial year, for tenants who have engaged with the council and completed a telephone application, met face to face, or completed a DHP application form

D.6 Personal Independence Payments

The DWP is moving claimants of Disability Living Allowance (DLA) to the new Personal Independence Payment (PIP).

In the beginning, people claiming PIP were waiting a very long time for assessment, often as long as 26 weeks between date of claim and the medical assessment, then longer still for a decision.

Officers at the Advice Shop report that things have improved, and the majority of claims are decided between 13 and 16 weeks.

The Advice Shop reports, however, that one major issue which they have experienced is related to the mobility component of PIP. The qualifying criteria for enhanced rate mobility in PIP is much more strict compared to the old high rate mobility of DLA which has resulted in many claimants with, primarily, physical disabilities failing to qualify for an award at the same rate as their DLA. The knock on effect of this can be loss of an accessible car through the Motability Scheme. This issue accounts for a major proportion of the Advice Shop's appeals case load.

There are also some advantages to PIP. The PIP "descriptors" for each component work better for people with multiple health issues (e.g. physical and mental health problems). The range of descriptors means that points can be awarded for different difficulties in different areas (e.g. some points for physical difficulties in walking, and also points for problems planning and following a journey due to sensory or mental health problems) and can result in an award for PIP mobility component where there would have been no equivalent award for DLA.

COSLA has undertaken a survey on the effect in each council area of the move from Disability Living Allowance (DLA) to the new Personal Independence Payment (PIP) This is currently being analyzed and will be published shortly.

D.7 The Scotland Act 2016 and the Devolution of Welfare

As previously reported to the Panel, the Scotland Act, which received Royal Assent on 23 March 2016, includes provisions to devolve eleven benefits to Holyrood, and also to give Holyrood the power to top up any benefits, reserved or devolved, provided the funding is met by the Scottish Government.

Benefits being devolved to Scotland are:

- Ill health and disability benefits – including Disability Living Allowance, Personal Independence Payment, Attendance Allowance, Severe Disablement Allowance and Industrial Injuries Disablement Benefit
- Carer's Allowance

- Sure Start Maternity Grants
- Funeral Payments
- Cold Weather Payments and Winter Fuel Payments
- Discretionary Housing Payments
- Some powers in relation to the Housing Support element of Universal Credit.

Benefits to remain reserved to the UK Government are:

- Universal Credit (which replaces Jobseeker's Allowance, Income Related Employment Support Allowance, Working Tax Credits, Child Tax Credits and Housing Benefit)
- State Pension and Pension Credit
- Contributory Employment Support Allowance
- Child Benefit
- Maternity and Paternity Pay

The Scottish Government plans to introduce a Social Security Bill, in the first year of this Parliament, prior to the Summer Recess, and start work to establish a new Scottish Social Security Agency.

It is recognised that some elements of devolved welfare may take some time to implement and that the relationship between devolved and reserved benefits will necessitate close working with the DWP and other local partners over a period of time.

Consultation process

On 29 July 2016 the Scottish Government announced a three month consultation on social security in Scotland. This consultation period ended on 28 October 2016. Council officers, together with a range of community planning partners, were involved in this consultation and the response document was approved by the Council Executive at its meeting of 25 October and was submitted to the Scottish Government.

Outputs generated by the consultation and a number of stakeholder events will be taken into consideration during the development of both the new Scottish Social Security Bill and the secondary legislation (the 'Regulations') which will follow the Bill.

E. CONCLUSION

As the welfare changes are rolled out, and as further changes take effect, officers will assess the cumulative effects of these challenges in order to develop and shape work going forward. This will 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 are considered.

The results of this work will continue to be reported to elected members via the PDSP process and relevant action will be proposed by the council and community planning partners to pro-actively address issues arising.

F. BACKGROUND REFERENCES

None

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Tel: 01506 282522 Email: ian.alcorn@westlothian.gov.uk

Donald Forrest
Head of Finance and Property Services
17 March 2017

PARTNERSHIP AND RESOURCES POLICY DEVELOPMENT AND SCRUTINY PANEL

SICKNESS ABSENCE (1 APRIL 2016 – 31 DECEMBER 2016)

REPORT BY HEAD OF CORPORATE SERVICES

A. PURPOSE OF REPORT

To report sickness absence rates for the 9 month period from 1 April 2016 to 31 December 2016 and to provide an update on the ongoing application of the council's Policy & Procedure on Managing Sickness Absence.

B. RECOMMENDATION

That the Panel notes the content of the report.

C. SUMMARY OF IMPLICATIONS

I Council Values	<p>Focusing on our customers' needs</p> <p>Being honest, open and accountable</p> <p>Providing equality of opportunities</p> <p>Developing employees</p> <p>Making best use of our resources</p> <p>Working in partnership</p>
II Policy and Legal (including Strategic Environmental Assessment, Equality Issues, Health or Risk Assessment)	<p>The policy seeks to strike a balance between effective management of sickness absence and the promotion of a healthy workforce taking into account the council's obligations under Equality legislation.</p>
III Implications for Scheme of Delegations to Officers	<p>None</p>
IV Impact on performance and performance Indicators	<p>The sickness absence SPI for 2016/17 is higher than it has been in any of the last 5 years.</p>
V Relevance to Single Outcome Agreement	<p>National Outcome 15: Our Public Services are high quality, continually improving and responsive to local people's needs. Reduced sickness absence levels increase the efficiency and productivity of the council.</p>

VI Resources - (Financial, Staffing and Property)	Sickness absence is managed within service budgets.
VII Consideration at PDSP	None
VIII Other consultations	None

D. TERMS OF REPORT

D.1 BACKGROUND

The council introduced a revised Policy & Procedure on Sickness Absence Management on 1 May 2010. Further revisions were approved by Council Executive on 13 December 2011 and 13 November 2012. This report provides an update on how the policy has operated over the 9 month period 1 April 2016 to 31 December 2016.

D.2 SICKNESS ABSENCE RATES

Standard Performance Indicator – Council Wide

The sickness absence Standard Performance Indicator (SPI) for the full council as at December 2016 is set out at Appendix 1 of this report together with the SPI performance indicators for the full years (2013/14, 2014/15 and 2015/16).

The SPI for December 2016 is 4.88%. A total of 2397 employees were absent from work from Quarters 1 to 3 in 2016/17.

Standard Performance Indicators - Services

The sickness absence SPI for each individual service area (figures for teaching and non-teaching staff shown separately), for the period 1 April 2016 to 31 December 2016 is set out at Appendix 2.

Of the seven council service areas (Education Service is counted as one service area although data for teaching and non-teaching figures are set out separately), five reported sickness absence rates above the council target of 3.6% (Education Services, Housing Customer & Building Services, Operational Services, Planning & Economic Development, and Social Policy).

Only CEO, Finance & Property and Corporate Services are below the Council target of 3.6%.

Standard Performance Indicators – Audit Scotland

The latest published figures from Audit Scotland (2015/2016) show an SPI ranking for Teaching Staff as 24th and 30th for Non - Teaching Staff out of the 32 Scottish Local Authorities. This constitutes a change in rankings from 15th and 25th positions respectively in the placings for both employee groups recorded in 2014/15.

Long –Term Absence (1 April 2016 – 31 December 2016)

Of the days lost due to sickness absence during this period, 77.12 % of those absences are attributable to long term absence which is marginally less than the figure of 77.34 % for same period last year.

Provision 4.9.2 of the council's Policy and Procedure on Managing Sickness Absence, defines a period of continuous (long term absence) as; '*a period of absence in excess of 4 weeks.*'

A further breakdown of days lost for the four services with rates above the council sickness absence target indicates the following:

Education

- Of the total number of 15,876 days lost in Education Services, 15,031 (94.73%) of those days were due to long term absence and were accounted for by 283 employees.

Housing Customer & Building Services

- Of the total number of 8,206 days lost in Housing Construction & Building Services, 8,070 (98.34%) of those days were due to long term absence and were accounted for by 137 employees.

Operational Services

- Of the total number of 16,920 days lost in Operational Services, 16,687 (98.62%) of those days were due to long term absence and were accounted for by 258 employees.

Planning & Economic Development

- Of the total number of 1,213 days lost in Planning & Economic Development, 1,175 (96.87%) of those days were due to long term absence and were accounted for by 17 employees.

Social Policy

- Of the total number of 11,086 days lost in Social Policy 10,892 (97.68%) of those days were due to long term absence and were accounted by 184 employees.

The average percentage sick days lost due to long term absence across the five services was 97.29% which compared with 77.12% across the council as a whole. The average duration of long term absence during the period was 59 days with the longest absence being 274 days.

Disregarded Absences (1 April 2016 – 31 December 2016)

One of the key changes to the Policy & Procedure on Sickness Absence introduced in December 2011 and further developed in November 2012, relates to the disregarding of periods of absence relating to hospital treatment, industrial injury or bereavement of a family member or dependant. Employees absent due to those reasons do not have that period of absence taken into account in determining

whether or not they should progress to the relevant stage of the sickness absence procedure.

From 1 April 2016 to 31 December 2016, 384 of all days lost to sickness absences (19.82%) were disregarded under this provision; however these days lost still count towards the sickness absence SPI. This represents an increase of 2.47% from 2015/16 when the proportion of days disregarded over the equivalent period was 17.35%.

The four most common reasons for disregarded absences in the quarter are Surgery (28.44%), Accidents & Injuries (17.70%), Mental & Behavioural (10.72%) and Musculoskeletal (9.54%).

The average duration of a disregard absence was 32 days which is an increase of 5 over the same period last year. The longest disregarded absence was 196 days.

Analysis of Categories of Absence (1 April 2016 – 31 December 2016)

The most common reason for long term absence across the council during the period fell within the category of Mental and Behavioural (15,635 days) constituted 28.71% of all long term absence.

The next four most common categories of long term absence across the authority were:

- Musculoskeletal (8,278 days) constituting 15.06% of all long term absence and 14.83% of all absences.
- Surgery (6,102 days) constituted 11.19% of all long term absence and 10.93% of all absences.
- Gastrointestinal (5,503 days) constituted 9.06% of all long term absence and 9.86% of all absences.
- Accidents, Injuries, Poison (4,428 days) constituted 7.71% of long term absence and 7.57% of all absences.

D.3 MANAGEMENT OF SICKNESS ABSENCE

i) Sickness Absence Case Management

The absence management team within HR Services has continued to work closely with managers across the council, providing advice and guidance on the management of sickness absence and monitoring the application of the Policy & Procedure on Managing Sickness Absence.

Table 1 below shows the number of employees at each stage of the Policy & Procedure as at 31 December 2016, compared to the previously reported positions.

Table 1

	Counselling	Stage 1	Stage 2	Total
Total at 31 December 2016	674	428	243	1345
Total at 31 December 2015	505	371	191	1067
Total at 31 December 2014	358	262	120	740

A breakdown of live cases as at 31 December 2016 is set out in Table 2 in comparison with 31 December 2015 which is set out in Table 3.

Table 2

	Counselling	Stage 1	Stage 2	Total
Cases on going from 30 September 2016	484	367	226	1077
New cases since 30 September 2016	190	61	17	268
Total	674	428	243	1345

Table 3

	Counselling	Stage 1	Stage 2	Total
Cases on going from 30 September 2015	337	279	132	748
New cases since 30 September 2015	168	92	59	319
Total	505	371	191	1067

ii) Occupational Health Services

The council's current Occupational Health Contract is due to expire on 30 November 2017 and work has now begun on reviewing the council's requirements for a new contract going forward. An internal user group comprising representatives from the relevant services is being established to provide input to this review using sickness absence reporting data to target the areas requiring the highest OH intervention and the nature and level of service required. This will include health surveillance such as HAVs screening.

Benchmarking with other councils is also underway to determine how they manage their OH service provision with particular focus on those councils that are reporting better SPI rankings than West Lothian.

iii) Mentally Healthy Workplace Training

Training aimed at building resilience to stress has been rolled out by the council's HR Learning and Development Unit. Although offered initially on a voluntary basis, consideration will be given to targeting the training in those areas that are reporting particularly high levels of mental and behavioural absences.

iv) Employee Health and Wellbeing

As part of the focus on improving employee health and wellbeing, an employee survey was conducted in October 2016 resulting in an overall response of 1640 (49%). To retain the Healthy Working Lives Gold Award, the council has to demonstrate that employee views are sought and reflected in the planning of employee health and wellbeing action plans/strategies. As a result the council has been successful in maintaining the Healthy Working Lives Gold Award.

The survey contained sections inviting views on workplace policies and practices, occupational health and safety and general health and wellbeing. The information generated from the survey will inform 2017/18 action plans for Human Resources, Health and Safety and the council's Health Improvement Team as well as individual service action plans.

E. CONCLUSION

During 2016/17 the rising trend in sickness absence rates prevalent over the previous 5 years has not been arrested. During the first three Quarters of 2016/17, nearly 20% of all days lost to sickness absences were disregarded under the council's policy compared with approximately 17% during the equivalent period in 2015/16. Those days lost still count towards the sickness absence SPI.

F. BACKGROUND REFERENCES

Policy & Procedure on Managing Sickness Absence

Appendices/Attachments: 3

1. Sickness Absence SPI% History – Full Council
2. Sickness Absence SPI% all services – 2016/17

Contact Person: Fraser Mackenzie, HR Manager – Policy & Advice (01506 281422)

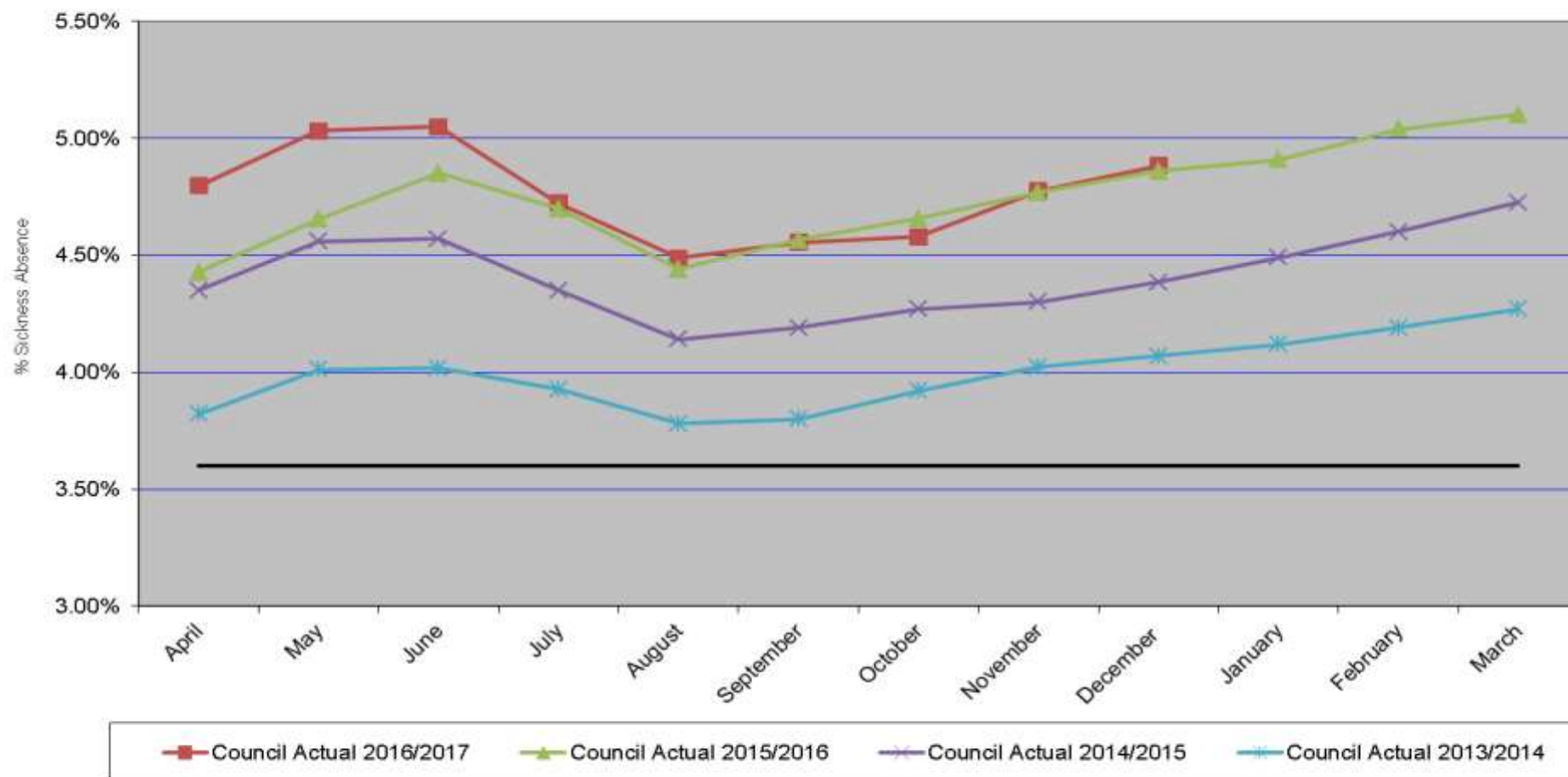
Julie Whitelaw

Head of Corporate Services

Date: 17 March 2017

Sickness Absence SPI% History Full Council

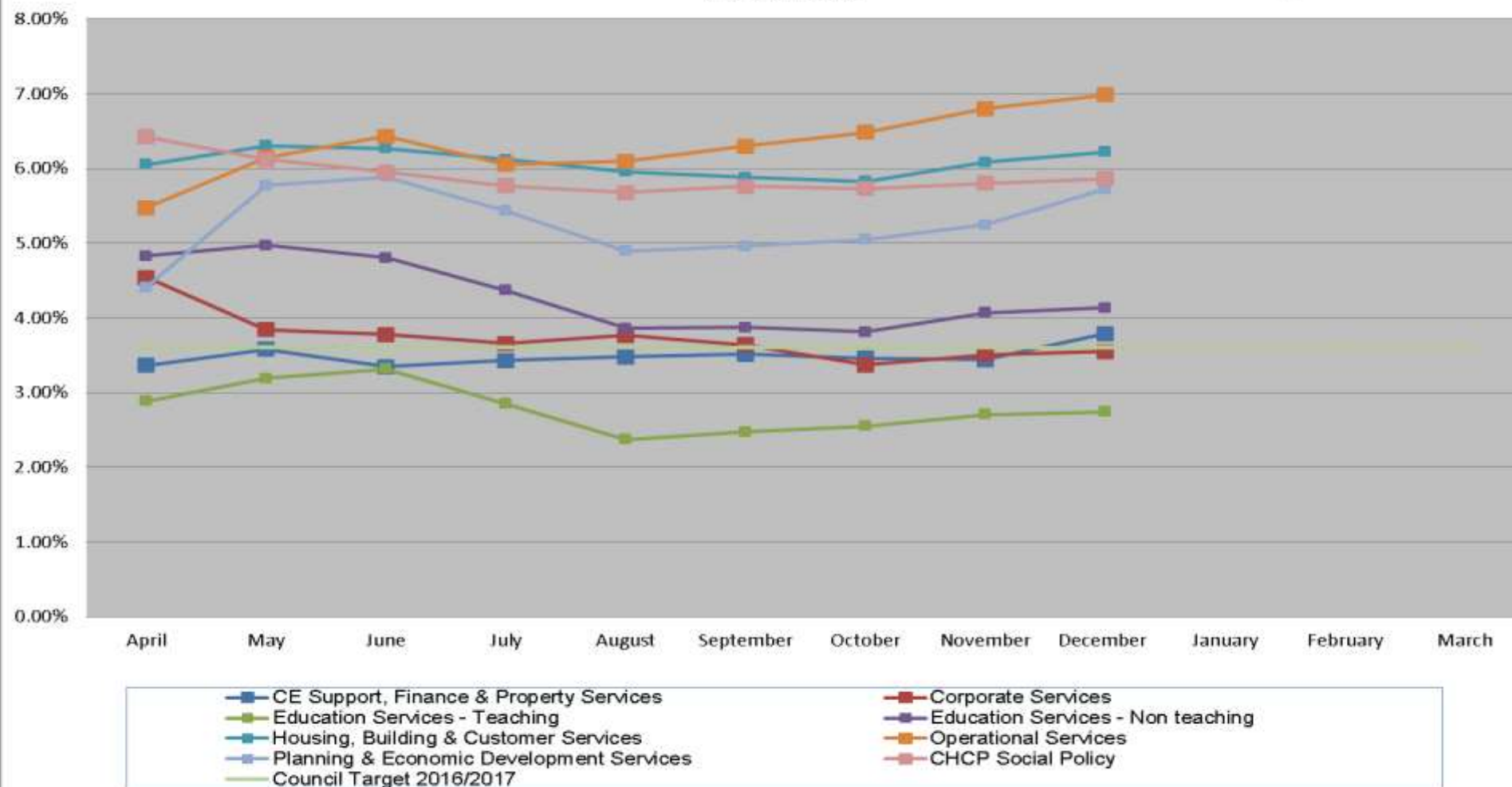
Appendix 1



DATA LABEL: PUBLIC

Sickness Absence SPI% all Services- 2016/17
(Education Split)

Appendix 2



DATA LABEL: PUBLIC

DATA LABEL: PUBLIC

9



PARTNERSHIP AND RESOURCES POLICY DEVELOPMENT AND SCRUTINY PANEL

PARTICIPATION REQUEST PROCESS

REPORT BY HEAD OF PLANNING, ECONOMIC DEVELOPMENT AND REGENERATION

A. PURPOSE OF REPORT

The purpose of this report is to inform the Panel of plans to establish a process to manage participation requests as a result of new provisions included in the Community Empowerment (Scotland) Act 2015.

B. RECOMMENDATIONS

It is recommended that the Panel:

1. notes the new rights and duties arising from implementation of Part 3 of the Community Empowerment (Scotland) Act 2015;
2. notes that procedures will be required to ensure the council handles and determines participation requests in accordance with legislation and guidance;
3. notes that it is proposed that the Head of Planning, Economic Development & Regeneration should have overall responsibility for managing participation requests;
4. notes that all Heads of Service should have roles and responsibilities in relation to participation requests as set out in this report;
5. considers the involvement of specific services in the participation request process;
6. notes the formal procedure as set out in this report and in Appendix 1; and
7. notes that the proposed procedure should be reported to Council Executive for approval.

C. SUMMARY OF IMPLICATIONS

I Council values

Focusing on our customers' needs; being honest, open and accountable; working in partnership.

II.	Policy and Legal	Community Empowerment (Scotland) Act 2015, (draft) Participation Request (Procedure) (Scotland) Regulations 2016.
III.	Implications for Scheme of Delegations to Officers	Amendments will be required to the Scheme of Delegations and the Scheme of Administration to reflect allocation of responsibilities and decision-making powers
IV.	Impact on performance and performance indicators	None, although a performance indicator for dealing with requests would be developed.
V.	Relevance to Single Outcome Agreement	Participation requests may have relevance to all outcomes
VI.	Resources (Financial, Staffing and Property)	The Community Empowerment (Scotland) Act 2015 Part 3 gives community bodies a right to make requests to the local authority to be involved in achieving outcomes. This process may have significant implications on resources although these can't be quantified at this stage.
VII.	Consideration at PDSP	The council's response to the Scottish Government's consultation on guidance relating to participation requests was discussed and agreed at the Partnership and Resources PDSP on 20 May 2016 and Council Executive on 7 June 2016.
VIII.	Details of consultations	All service areas which are likely to have a roll in responding to requests. Governance Manager

D. TERMS OF REPORT

D.1 Background

The Community Empowerment (Scotland) Act received Royal Assent on the 24 July 2015. The Act aims to empower community bodies through the ownership of land and buildings, and strengthen their voices in the decisions that matter to them. It also aims to improve outcomes for communities by improving the process of community planning, ensuring that local service providers work together more closely with communities to meet the needs of the people who use them.

The Scottish Government consulted on the draft regulations of the Act. This includes consultations on Part 2: Community Planning, Part 3: Participation Requests, Part 4: Community rights to buy land, and Part 5: Asset Transfer Requests. Part 2, Part 5 and some of Part 4 are now in force.

The legal framework for participation requests is set out in Part 3 of the Act. The regulations and guidance need to be agreed and published before the procedure can be used. The draft guidance was published in early February 2017 and it is expected that this part of the Act will come into force on or around 1 April 2017.

The Council and partners will have to give careful consideration as to what will be required in terms of criteria for Participation Requests, and the implications that may arise as a result of specific requests particularly in relation to areas such as Best Value, quality standards, resources, sustainability and capacity. These will be critical to assessing participation requests and ensuring that robust standards are in place where participation requests may have implications for service delivery.

D.2 Participation Requests

Part 3 of the Act sets out the process for how participation requests will work. Participation requests provide a mechanism for community bodies to put forward their ideas for how services could be changed to improve outcomes for their community.

Participation requests should not be viewed as a replacement for engagement and participation processes where they already function well, but as an opportunity to establish dialogue where communities find it difficult to be recognised or heard. It is an important new feature in the ways in which public bodies will now be expected to work constructively with communities. This includes communities of place (neighbourhoods or other defined geographical areas) or communities of interest (groups of people having common interest or identity). The guidance advises that public authorities should have a clear understanding of what they currently do to support community participation and the current relationship with community bodies.

Where a community body believes it could help to improve an outcome it will be able to request that a public body, which is a 'public service authority', takes part in a process to improve that outcome. Outcomes are the changes that result from what organisations provide or deliver e.g. improved environment and increase in physical activity levels arising from the development of a community park.

The draft guidance outlines some potential uses of participation requests which can be broadly divided into four categories;

- To help people **start a dialogue** about something that matters to their community, through highlighting needs, issues or opportunities for improvement;
- To help people have their voice heard in policy and service development, through **contributing to decision-making processes**;
- To help people to participate in the design, delivery, monitoring or review of service provision, through contributing to **service change** or improvement;
- To help people challenge decisions and **seek support for alternatives** which improve outcomes.

There is, however, still a degree of uncertainty as to what the content of participation requests might be, the resources that might be needed to deal with them and the number of requests that may be made.

The Community Planning Team has gathered intelligence from neighbouring authorities as to how they are responding to the legislation. Falkirk Council are taking a similar approach in that Community Planning are acting as a 'gatekeeper' for participation requests, and will oversee compliance to the process.

D.3 Participation Request Process

The draft regulations and guidance outline how the participation request process should work. To ensure that the council, as a public service authority, is able to manage participation requests, it is proposed that a process is established which will enable robust assessment, decision making and governance. The regulations split the process into four key stages - Making a Request, Decision, Outcome Improvement Process, and Reporting.

The sections below provide greater detail on each stage of the process and highlight some key points to consider in relation to setting up the council's process for dealing with requests. Appendix 1 illustrates the different stages of the process and Appendix 2 summarises the key recommendations.

D.4 Making a Request

A Community Participation Body can make a participation request where it believes it can improve the outcome of a public service. The request will be made to the public service authority and must contain specific information which is specified in the Act.

- *Key contacts for participation requests will need to be established. Community bodies will require to know where to send participation requests and who to contact for support and advice in completing the application. The guidance is clear that, prior to submitting an application, there should be informal discussion between the community body and the public service authority as early as possible.*

Proposal: It is proposed the Community Planning and Regeneration team would provide first point of contact for community bodies, as well as any support required to complete the application. This may also involve representatives from other service areas to provide specific knowledge and support depending on the nature of the request. Any promotional material should highlight that informal discussions should be had with the team before an application is submitted. There will be additional resource implications associated with this pre-application support.

- *A standard application form should be developed. The guidance provides two example forms (see Appendix 3). The standard form requests essential statutory information only; however authorities may wish to construct a form which allows other information to be submitted.*

Proposal: The example standard forms should be used to inform development of the council's application form. The Community Planning and Regeneration team will liaise with other local public service authorities to ensure a consistent application process across all partners.

- *The guidance is clear that public authorities have a responsibility to promote participation requests, with particular efforts made to promote requests with more marginalised and disadvantaged communities. A variety of methods should be used, including translated materials and physical leaflets. Consideration should also be given to how we support groups before and during the request process. This may include the development of a toolkit to provide guidance for community bodies, administrative or practical support, support for equal participation and community development support, and ongoing support to participate in the outcome improvement process as a result.*

Proposal: It is proposed that the Community Planning and Regeneration Team would oversee the promotion of requests; using existing links to publicise the process. Again, this may involve drawing on expertise from individual service areas.

There could be significant resource implications in terms of promotion and providing support and will require support from other service areas. The guidance also suggests other organisations which could help support community groups (e.g. third sector interface, Community Development Trusts).

- *As part of the pre-assessment stage, initial vetting will have to be carried out to ensure that the application contains the appropriate information. Consideration needs to be given as to whether this should be carried out by a panel or officer group within a specific service or cross-service. Depending on the scope of the request, it is likely that this will require support from the service area that the request relates to, particularly if more information is required from the community body.*

Proposal: The Community Planning Team will assess whether further support or information is required at this stage. At this point, discussions should be had with those responsible for the council's asset transfer requests where it is unclear which request the application relates to. The guidance states that both types of request cannot be used together.

- *Official acknowledgement will be given once all the relevant information is included in the application. This “validation date” is the key date that timescales are based on. Consideration needs to be given as to who gives official acknowledgement.*

Proposal: It is proposed that the Head of Service for Planning, Economic Development and Regeneration takes overall responsibility for participation requests including determining if all relevant information has been included and providing official acknowledgement. At this stage, relevant ward members could be informed that the participation request has been made and validated.

- *Should the community body include a request that more than one public body should participate; the lead authority should then notify the additional public service authority. The additional public service authority then has 15 working days to inform whether they wish to participate. Contacts in other organisations need to be made so the council (if the lead authority) can notify of any request that they should be involved in. Similarly other public service authorities need to be aware of who the council contact is.*

Proposal: The Community Planning Team will establish contacts within partner agencies and will initiate contact where necessary. These would also be published in a central location, e.g. the Community Planning Partnership website.

D.5 Decision

The public service authority must agree or refuse a participation request and inform the community body within 30 working days from the validation date (or 45 working days if another public service authority is involved). The public authority may ask the community body for a short extension to the timescale, e.g. if requests have to be considered by a Committee at its regular meeting. The Act and guidance sets out how this decision should be made and what factors the public service authority should consider in making that decision. Information on the decision making process should be made available to community bodies. The authority must agree to the request unless there are reasonable grounds for refusing it. It is for each public service authority to decide how to assess participation requests (the guidance does not specify what reasonable grounds for refusal may be).

- *Consideration needs to be given as to who will assess and make the final decision to accept or refuse a participation request. Should this be an officer or committee decision? If a decision is made by a committee, should this be the responsibility of an existing committee or a new committee or subcommittee? If requests require committee decision, how often will meetings be required?*

Proposal: It is proposed that a participation request Panel is established, chaired by the Head of Planning, Economic Development and Regeneration with representation from key services, including the Council's Governance Manager. This would act as a key core group which would draw on expertise from services depending on the nature of the request itself.

It is likely that the scope of participation requests will vary greatly, depending on their nature, and what they seek to achieve. This may influence who or what body will be required to make the decision. The panel should consult with the Executive Councillor if the request would have significant implications for service delivery or where the proposal would result in referral to committee. Guidelines will have to be developed to assist that decision. However, as described above, there is now provision to extend the deadline should the request have to be considered at Committee. If a request does go to committee, the body making the request could attend and speak to the request. Relevant ward members could also be asked to comment on requests at this stage; however should not be allowed to demand a referral to committee.

- *Impact on existing and planned decision making?*

Proposal: Existing or proposed plans or actions do not **have** to be put on hold as a result of a participation request. The request has to be determined in light of the circumstances prevailing at the time. In making its decision, the public authority is able to take into account “any other matter (whether or not included in or arising out of the request) that the authority considers relevant.” This would include planned developments as well as existing circumstances and the potential impact on council proposals, relevant outcomes or other participation requests. Each case must be dealt with on its own merits.

- *The development of a good standard decision notice template will be required. Setting out the reasons for a decision will be important, either to make it clear why a request is refused or to set the conditions under which the request is granted.*

Proposal: This will be developed by the Community Planning Team in conjunction with the Governance Manager and Legal Services. The guidance sets out what information a decision notice should contain, depending on whether an outcome improvement process already exists or if an outcome improvement process has not been established. It may be useful to hold an archive of requests and decisions online.

- *Who should the decision notice come from? Should this come from the Head of Service with overall responsibility for participation requests or individual Heads of Service which relate to the nature of the request?*

Proposal: It is proposed that the Decision Notice is signed by the Head of Planning, Economic Development and Regeneration in consultation with the Head of Service or Heads of Service with responsibility for the request. At this stage, relevant ward members and the Local Area Committee could be informed of what decision has been made.

Responsibility for taking forward the participation request should be taken on by the relevant service area. This will be decided at the assessment stage by the participation request panel. This will ensure that effective communication can take place with the community body with the relevant individuals from the service and that the service itself.

D.6 Outcome Improvement Process

The public service authority, as part of the decision notice, should state whether or not an outcome improvement process already exists or if a new one needs to be established. If one already exists, the decision notice will detail this and how the community body will participate. If a new process is to be set up the decision notice will describe how it will operate and how the community body will participate. The community body then have 28 days to comment on the new process and propose changes. The public service authority then has a further 28 days to provide final details of the process and must then establish the outcome improvement process within 90 calendar days from when notice is given, and maintain it. The public service body must publish information about the outcome improvement process on a website. Key points to consider are as follows.

- *Consideration must be given to who identifies whether an outcome improvement process already exists or if a new one needs to be established and who supports this process.*

Proposal: It is proposed that this discussion should take place at the assessment stage by the Panel. It is proposed that the service area responsible for the participation request will be responsible for identifying an existing outcome improvement process or establishing a new one.

- *Maintaining and monitoring the outcome improvement process is a requirement in the Act therefore any governance process needs to take this into account.*

Proposal: Maintaining and monitoring the outcome of the request will be the responsibility of the lead service as agreed by the panel. The Community Planning team will assist with reporting templates, maintenance of performance indicators and annual reporting.

D.7 Reporting

When an outcome improvement process has been completed, the public service authority is required to publish a report on the process. The report must summarise the outcome of the process, whether it has been improved, and describe how the community body influenced the process and outcomes. In preparing the report, the public authority must seek the views of the community body.

The Act also requires the public service authority to publish an annual report on the number of requests received and their outcomes, and any action taken by the authority to promote the use of participation requests and support community bodies to make them. Annual reports will cover the period from 1 April to 31 March and must be published by 30 June. Key points to consider are as follows.

- *Information on participation requests should be gathered on an ongoing basis. Should this be done by the service or centrally collected?*

Proposal: The Community Planning team will have overall responsibility for recording the number of participation requests received and for annual reporting.

- *Who has responsibility for the development, approval and sign-off of individual outcome improvement process reports?*

Proposal: It is proposed that the Head of Service responsible for the participation request would be responsible for developing and signing each individual participation request report. The Community Planning Team would coordinate the publication of these reports on the website.

- *Who has responsibility for the development, approval and sign-off of annual reports?*

Proposal: It is proposed that the Community Planning team will coordinate the development of the annual report, with final sign off by the Head of Planning, Economic Development and Regeneration. It is proposed that the annual report would be reported to the Partnership and Resources Policy and Scrutiny Panel and Council Executive thereafter. Relevant ward members and the Local Area Committee could also be informed of progress and/or outcomes; however reports will be publicly available. The Community Planning Team will also facilitate the sharing of reports between the council and other public service authorities to ensure consistency in how public service authorities in West Lothian take forward participation requests.

D.8 Appeals & Review

A mechanism for appeals and reviews is not included in the regulations at this stage, however the Act puts in place a regulation making power so that Scottish Ministers can if required make provisions in relation to appeals against decision notices relating to participation requests. This would allow a procedure to be put in place to deal with issues around appeals should they arise.

D.9 Next Steps

Following approval of the key processes and responsibilities outlined in this report, a participation request policy/process document, an application form and a decision notice template will need to be developed. It will be important to link in with other local public service authorities to ensure consistent and complementary processes across West Lothian. The Community Planning and Regeneration team can coordinate this work in consultation with relevant service areas, the Governance Manager and Legal Services.

It will also be necessary to develop a plan for promotion of requests and a plan for how applications will be supported. This is likely to require significant resource.

E. CONCLUSION

Participation requests will have significant implications for the council and other public sector partners in that they give communities the opportunity to become involved in helping to achieve changes or improvements they want to see. The regulations and guidance that support the legislation outline the participation process itself. There are a number of factors that require consideration in setting

up internal processes to manage participation requests, outlined in this report.

F. BACKGROUND REFERENCES

The Community Empowerment (Scotland) Act 2015 – Part 3
Council Executive, 20 May 2016 and 7 June 2016

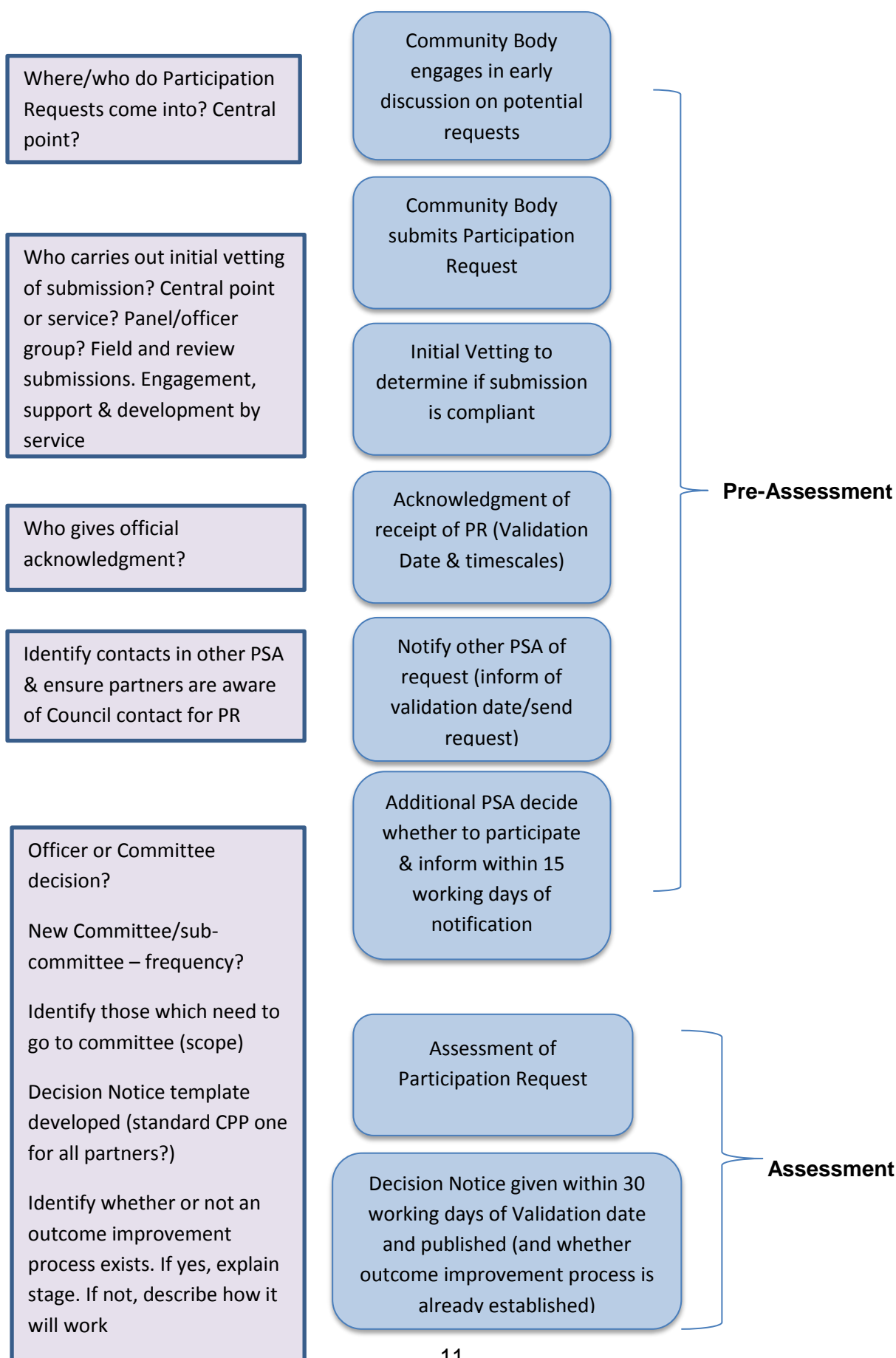
Appendices/Attachments: 1. Decision-making flow chart
 2. Key stages and responsibilities
 3. Examples of Participation Request Forms

Contact Person: Susan Gordon, Community Planning Development Officer, 01506 282141,
susan.gordon@westlothian.gov.uk

Craig McCorriston
Head of Planning, Economic Development & Regeneration

17 March 2017

APPENDIX 1 - PARTICIPATION REQUEST PROCESS AND CONSIDERATIONS



OUTCOME IMPROVEMENT PROCESS

PSA, as part of decision notice state whether an OIP already exists or if a new one needs to be established. If new, describe how it will operate and how CB is expected to participate.

Identification of existing or new Outcome Improvement process by service?

Who develops new Outcome Improvement Process?

Who is point of contact throughout Outcome Improvement Process?

Monitoring and maintenance of process.

If new OIP, Community Body comment on OIP within 28 days of decision notice

PSA provide final details of process within further 28 days. Give notice and publish

PSA to establish new OIP within 90 calendar days and maintain it.

PSA can modify OIP in consultation with CPB but must publish changes

PSA publish report on completion of OIP

PSA publish annual report on the number of PR and their outcomes (published no later than 30 June)

APPENDIX 2 – KEY STAGES AND RESPONSIBILITIES

	STAGE	RECOMMENDATION
1	Who has overall responsibility for participation requests?	It is proposed that the Head of Planning, Economic Development & Regeneration takes on this responsibility.
2	Pre-application engagement - guidance, toolkit, application form, awareness-raising, training, point of contact	It is proposed that the Community Planning and Regeneration Team take on responsibility with support from service areas when required. It is likely that there will be significant resource implications associated with promotion and support for applications.
3	Validation - who decides and validates (which officer(s), is this from a qualifying body, are statutory requirements met, is further information needed, ward member involvement)	As above. It is proposed that the Head of Planning, Economic Development & Regeneration will give official acknowledgement to the community body.
4	Passing relevant requests to other public bodies and dealing with requests passed on by other public bodies	It is proposed that the Community Planning Team will establish contacts with partner agencies and ensure requests are passed on.
5	Assessing the request (by whom, against what criteria) and accepting or rejecting a request (officer(s), committee?)	It is proposed that a Participation Request Panel is established, chaired by the Head of Planning, Economic Development & Regeneration with membership from key staff. The panel could operate virtually. The panel will assess the application and in consultation with the specific service area will come to a decision.
6	Reporting to committee and securing decision, if necessary	It is proposed that the Head of Planning, Economic Development & Regeneration or another designated officer from a specific service, would, on behalf of the Panel discuss the need for reporting to committee with the Executive Councillor.
7	Communicating the decision	It is proposed that the Head of Planning, Economic Development and Regeneration would sign the decision notice, in consultation with the Head of Service responsible for taking forward the participation request, and would communicate the decision.
8	Administering the process and securing outcomes	It is proposed that the service area deemed responsible for the participation request will administer the process with support from the Community Planning Team who will ensure compliance.
9	Reporting on the request and outcome improvement process	It is proposed that the service area responsible for the request will be responsible for reporting on the specific request.
10	Annual reporting on all requests and engagement	It is proposed that the Community Planning Team will coordinate annual reporting on all

		requests and engagement.
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APPENDIX 3 – EXAMPLE STANDARD APPLICATION FORMS

Participation Request Form – Statutory

1	Details of Community Participation Body
	Name of Community Body:
	Note 1
	Contact address:
	Note 2
2	Name of public service authority to who the request is being made:
	Note 3
3	Name of any other public service authority which the community participation body requests should participate in the outcome improvement process:
	Note 4
4	The outcome that community participation body want to improve:
	Note 5
5	The reasons why the community participation body should participate in an outcome improvement process:
	Note 6
6	Knowledge, expertise and experience the community participation body has in relation to the outcome:
	Note 7
7	How the outcome will be improved because of the involvement of the community participation body:
	Note 8
8	Is the community participation body a community controlled body?
	If the answer is “No” explain the basis on which the body making the request is a community participation body.

Notes

1. Insert the name of the community participation body making the participation request.
2. Insert the contact address of that community participation body.
3. Insert the name of the public service authority to which the participation request is made.
4. Insert the name(s) of any other public service authority which the community participation body requests should participate in the outcome improvement process.
5. Specify an outcome that results from, or is contributed to by virtue of, the provision of a service provided to the public by or on behalf of the authority.
6. Set of the reasons why the community body believes it should participate in the outcome improvement process.
7. Provide details of any knowledge, expertise and experience the community body has in relation to the outcome specified under paragraph 4.
8. Provide an explanation of the improvement in the outcome specified under paragraph 4 which the community body anticipates may arise as a result of its participation in an outcome improvement process.

Participation Request Form – Statutory plus additional information and guidance

1 Details of Community Participation Body

Name of Community Body:

Contact Name:

Contact address:

Contact Telephone number:

Contact Email:

Website (if available):

Please ensure that you include a copy of your written constitution or governance documentation if available.

2 Name of the public service authority to which the request is being made:

Note 1

3 Name of any other public service authority which the community participation body requests should participate in the outcome improvement process:

Note 2

4 The outcome that community participation body want to improve:

Note 3

5 The reasons why the community participation body should participate in an outcome improvement process:

Note 4

6 Knowledge, expertise and experience the community participation body has in relation to the outcome:

Note 5

7 How the outcome will be improved because of the involvement of the community participation body:

Note 6

8 What type of community participation body are you?

a) A community controlled body

b) A community council

c) A body designated by the Scottish Ministers as a community participation body

d) A group without a written constitution

Note 7

9 Additional Information

Note 8

Notes

1. Specify the public service authority to who the request is being made. Please also include any additional public service authorities the community participation body believes should also participate in an outcome improvement process. The authorities to whom a request can be made are listed in Schedule 2 in the Community Empowerment (Scotland) Act 2015 these are:
 - A local authority
 - A health Board
 - The Board of management of a college of further education
 - Highlands and Islands Enterprise
 - A National Park Authority
 - Police Scotland
 - The Scottish Environmental Protection Agency
 - Scottish Enterprise
 - The Scottish Fire and Rescue Service
 - Scottish Natural Heritage
 - A regional Transport Partnership
2. Insert the name(s) of any other public service authority which the community participation body requests should participate in the outcome improvement process.
3. Specify an outcome that results from, or is contributed to by virtue of, the provision of a service provided to the public by or on behalf of the authority. An explanation of outcomes and examples can be found in section 3.44 below.
4. Set of the reasons why the community body believes it should participate in the outcome improvement process.
5. Provide details of any knowledge, expertise and experience the community body has in relation to the outcome specified under paragraph 3.
6. Provide an explanation of the improvement in the outcome specified under paragraph 3 which the community body anticipates may arise as a result of its participation in an outcome improvement process.
7. To make a participation request the Community Empowerment (Scotland) Act 2015 provides that certain bodies can do so. The community participation body should provide the necessary information to the public service authority to show that they are a valid body who can make a participation request.
8. Any other information in support of the participation request can be included in this section or attached separately should the community body wish to do so. It may be helpful for the community participation body to outline if they have previously been in contact with the public service authority regarding the outcome. The community participation body may also want to provide information on any additional support they may require to be able to participate in an outcome improvement process.



PARTNERSHIP AND RESOURCES POLICY DEVELOPMENT AND SCRUTINY PANEL

REVIEW OF CORPORATE PROCUREMENT STRATEGY 2013/18

REPORT BY HEAD CORPORATE SERVICES

A. PURPOSE OF REPORT

To present to the Panel the outcome of a review and update of the existing Corporate Procurement Strategy 2013/18 for consideration.

B. RECOMMENDATION

It is recommended that the Panel note the terms of the revised Corporate Procurement Strategy.

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 objective of the Strategy is to improve procurement performance, demonstrated by a range of performance indicators
V	Relevance to Single Outcome Agreement	Effective procurement supports outcomes across all services.
VI	Resources - (Financial, Staffing and Property)	None.
VII	Consideration at PDSP	Partnership and Resources PDSP 17 March 2017.
VIII	Other consultations	Procurement Board 14 December 2016.

D. TERMS OF REPORT

D.1 BACKGROUND

The Corporate Procurement Strategy 2013/18 which was approved by Council Executive in June 2013 confirms the Council's corporate aim to achieve superior procurement performance through advance sustainable procurement practices for the benefit of the council and its stakeholders, to support the achievement of corporate priorities and outcomes.

D.2 PROCUREMENT STRATEGY

The Corporate Procurement Strategy establishes a commitment to developing and improving procurement practices to ensure that procurement activities are as effective, efficient and sustainable as possible.

The strategy supports the Council's eight priorities through the adoption of a strategic approach to procurement, by integrating procurement planning as part of overall business planning. The strategy provides a clear and consistent framework to ensure that procurement activity supports all services to meet the Council's priorities and outlines six outcomes.

1. Savings - ensuring that the savings identified for the next five years can be achieved through effective procurement activity;
2. Contracts - ensuring that all spend that can be positively influenced by procurement activity has a corresponding contract;
3. Compliance - ensuring that all procurement activity complies with statutory and regulatory requirements;
4. Accessibility - ensuring that contracts can be structured in such a way as to assist wherever practical, local suppliers, micro, small and medium enterprises and the third sector to tender for council business;
5. Community Benefits - ensuring that all relevant contracts are arranged to include community benefits;
6. Sustainability - ensuring that all relevant contracts are arranged to include sustainable procurement requirements.

D.3 PROCUREMENT REFORM (SCOTLAND) ACT 2014

The Procurement Reform (Scotland) Act 2014, (the Act), which came into force on 17 June 2016, makes provision about the procedures relating to the award of certain public contracts, focusing on sustainable public procurement.

The Act contains general requirements for contracting authorities to treat relevant economic operators equally and without discrimination and to act in a transparent and proportionate manner.

The Act also contains specific duties for contracting authorities in relation to sustainable procurement which include a requirement for authorities to have a statement in their Procurement Strategy on :-

- the authority's general policy on community benefits,
- consulting and engaging with those affected by its procurements,
- payment of living wage,
- promoting compliance by contractors and sub contractors with the Health and Safety at Work etc Act 1974 and
- the procurement of fairly and ethically traded goods and services.

D.4 CORPORATE PROCUREMENT STRATEGY REVIEW

The Corporate Procurement Strategy 2013/18 has been reviewed to ensure compliance with the requirements of the Act. Whilst the Strategy Outcomes address the requirements, there are a number of amendments proposed to the Outcome purposes and activities, as follows:-

Outcome 1 – amend purpose to include further detail on procurement savings.

Outcome 2 – amend activities to include further detail on Best Value, payment to suppliers and sub contractors and development and implementation of supplier and contract management

Outcome 3 – amend the purpose to provide detail of the statutory framework and amend the activities to include mandatory use of the European Single Procurement Document.

Outcome 4 – amend the activities to include giving consideration to lotting of contracts to allow easier access to SMEs, voluntary organisations and social enterprises.

Outcome 5 – amend activities to include working with the voluntary sector to identify best use of community benefits planned and gained.

Outcome 6 – amend the purpose to provide further detail on how the council will fulfil its Sustainable Procurement Duty and add additional activities to evaluate workforce matters in all relevant contracts above £50,000 and consider where relevant, the procurement of fairly and ethically traded goods and services.

A copy of the Corporate Procurement Strategy 2013/18 with proposed amendments shown highlighted is attached at Appendix 1. A summary of the changes are contained in Appendix 2.

E CONCLUSION

The Corporate Procurement Strategy 2013/18 ensures that procurement contributes to the achievement of the outcomes identified within the councils Corporate Plan. The proposed amendments ensure that the Strategy is compliant with the requirements of the Procurement Reform (Scotland) Act 2014.

F BACKGROUND REFERENCES

Corporate Procurement Strategy 2013/18

Appendices/Attachments:

Appendix 1 –Corporate Procurement Strategy 2013/18

Appendix 2 – Summary of Changes

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17 March 2017

West Lothian Council

Corporate Procurement Strategy 2013/18

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1 Overview

1.1 Foreword

Recognising that effective and efficient procurement will positively support West Lothian Council in achieving its priorities, this strategy will provide a corporate vision, direction and focus for all procurement activities in the authority.

The council's vision for procurement is *“to achieve superior procurement performance through advanced sustainable procurement practices for the benefit of the council and its stakeholders”*. The council's Corporate Procurement Strategy will therefore help to demonstrate best value, continuous improvement, sound performance management, partnership working, community benefits and sustainable development.

This strategy has been developed in line with Council's Corporate Plan which sets West Lothian Council's strategic direction and priorities. Influenced by the consultation the council has undertaken, Delivering Better Outcomes, our Corporate Plan and Procurement Strategy reflects the views and the needs and aspirations of West Lothian community. The plan identifies the outcomes that we aim to achieve for, it explains how we will deliver these outcomes and in doing so, the main challenges that we will face across the next four years.

As with all public sector organisations, West Lothian Council is facing significant financial pressures. Council procurement activity will be paramount in delivering service provision that has the greatest positive impact upon the citizens of West Lothian. The Corporate Procurement Strategy provides a clear and consistent framework to ensure that procurement activity supports all services to meet the council's priorities.

This strategy advocates the positive role that robust procurement activity has in allowing the council to continue to deliver effective and efficient services.



John McGinty
Leader of West Lothian



Graham Hope
Chief Executive West Lothian
Council

1.2 Context

To ensure that West Lothian continues to be a great place to live, work, visit and do business, eight priorities have been identified to ensure that investment in service delivery has the biggest and most positive impact on the community.

Following employee costs, procurement activity represents the majority of council expenditure. This places a great emphasis on ensuring that appropriate contracts are in place and deliver the best value.

West Lothian Council is committed to developing and improving its procurement practices to ensure that procurement activities are as effective and efficient as possible.

The Scottish Government supports this commitment and through their Public Procurement Reform Programme is making a positive impact upon public sector purchasing. Now in its third phase, the programme places emphasis on accelerating the pace of procurement change and the delivery of benefits, and embedding improvement initiatives into 'business as usual'. At its heart is the concept of value for money in procurement being an informed balance between cost, quality and sustainability. The current phase of the programme 'Transforming Procurement: Accelerating Delivery' focuses on four key priorities:

- Maximising efficiency and collaboration
- Delivering and demonstrating real cash savings across the public sector
- Improving access to public sector contracts, particularly for small and medium enterprises and the voluntary sector
- Embedding sustainable procurement at the heart of the reform agenda

The Procurement Reform Delivery Group oversees implementation of the Public Procurement Reform Programme. It drives pursuit of the work and changes required to achieve successful delivery of public procurement reform in Scotland. One of the objectives of the procurement reform programme championed by the delivery group is the annual assessment of public procurement capability. Initially assessed in 2009, West Lothian Council has increased its procurement performance year on year. Having been assessed with a "Conformance" status in 2012, the council strives to achieve an "Improved Performance" and, eventually, "Superior Performance" over the coming years.

This Corporate Procurement Strategy is vital in delivering the council's procurement activities that support services to contribute to the council's eight priorities. Through the adoption of a strategic approach to procurement, the council will integrate procurement planning as part of the overall business planning process.

1.3 Strategy Development

The Corporate Procurement Strategy has been designed to ensure that procurement contributes to the achievement of the outcomes identified within the council's Corporate Plan, and taking account of the views expressed by the community, partners and stakeholders as part of the Delivering Better Outcomes consultation.

The priorities within the strategy have been developed based on best practice guidance for procurement within the public sector, as prescribed through Scotland's Public Procurement Reform Programme, whilst also acknowledging the role of procurement in supporting service delivery and realising council priorities.

This strategy provides a framework for the Council to meet the targets defined by the Council and Scottish Government. The Council aims to meet these targets by committing to the following National and Council objectives -

- a. The McClelland Review of Public Sector Procurement in Scotland published in 2006.
- b. The National Best Practice Indicators (BPI's).
- c. The Procurement Capability Assessment (PCA).
- d. Delivering Better Outcomes - The overarching aim of this project is to drive more efficient and effective use of the Council's assets and resources. Nine workstreams, including Procurement, have been identified as part of this project where redesign, standardisation and sharing, will lead to improvements in efficiency and/or quality.
- e. Procurement Reform Bill

As part of the process to develop the council's five year procurement delivery plan, service users have been consulted to determine their priorities. Through training provided by the Corporate Procurement Unit, services are aware of the role they have in helping to deliver council priorities through procurement activity.

The approach adopted in developing this strategy ensures that it provides sound governance and a framework for the council's Procurement Improvement Plan that will detail the actions necessary to support the continuous improvement in the council's procurement capability, processes and ultimately performance.

1.4 Ownership and Scope of the Strategy

The Corporate Procurement Strategy covers all categories of procurement activity within the council. The council's supplier expenditure has been analysed and assigned to one of five procurement categories covering supplies, services and works. Assigning spend in this manner has led to better engagement and more effective planning of procurement activity, offering opportunities for internal collaboration and greater best value potential.

The council's revenue and capital budgets ensure that supplies, services and works are procured to support service delivery. Details of available budgets for each procurement category are included within the five year procurement delivery plans.

Due to the large and diverse nature of the council's service provision, nearly every citizen, visitor, employee and organisation within West Lothian will be impacted by supplies, services and works procured by the council. Further information on specific procurement activity can be found on the council's website: <http://www.westlothian.gov.uk/business/tendersandcontracts/>

The Head of Corporate Services is the owner of the Corporate Procurement Strategy and is responsible for effective and efficient procurement activity at a corporate level. The Head of Corporate Services also has other key responsibilities in relation to procurement as follows:

- Ultimate responsibility for the actions in relation to procurement of all staff engaged in the procurement and contracting process for all supplies, services and works.
- Ensuring that all staff engaged in the procurement and contracting process are properly authorised to act, are properly trained and supervised, understand Standing Orders and related Corporate Procurement Procedures, and their compliance.
- Owner of the Corporate Procurement Procedures that complement and support the council's Standing Orders and provide guidance to officers in procuring in accordance with public procurement legislation.

In support of the Head of Corporate Services role, each procurement category has a Procurement Lead Officer with the following areas of responsibility:

- Approving procurement delivery plans – procurement activity covering five years for their category
- Approving contract strategies for spend >£50,000
- Performance monitoring and management
- Monitoring resource deployment

Heads of Service have ultimate procurement responsibility within their service area although they may delegate their responsibility to a direct report to ensure that day to

day management responsibilities are clear and that delegated decision making is undertaken at the appropriate level. The Responsible Officers are as follows:

Procurement Responsible Officers	
Procurement Category	Responsible Officer
Corporate	Head of Corporate Services
Housing, Customer and Building Services	Head of Housing, Customer and Building Services
Operational Services	Head of Operational Services
Health and Social Care	Head of Social Policy
Education and Libraries	Head of Education Development Head of Education Quality Assurance

The governance of the Corporate Procurement Strategy is summarised as follows:

Governance		
Group	Governance/Scrutiny Role	Reporting Frequency
Procurement Board	<ul style="list-style-type: none"> ■ Responsible for the direction and scope of the Corporate Procurement Strategy 2013/18 and the Procurement Improvement Plan. ■ Approves all strategies, process and procedures as directed by Corporate Procurement. ■ Monitors the council's performance, progress and perform an annual review against the Strategy's outcomes, actions and activities and improvement plan. ■ Approves the council's Five Year Procurement Delivery Plan and Annual Procurement Delivery Plan. ■ Monitors the council's progress against the proposed contracts within the Annual Procurement Delivery Plan. ■ Receives and interprets compliance reports with regard to Standing Orders and Corporate Procurement Procedures across the council. ■ Promotes the development of the procurement capability of the council. 	Quarterly
Working Group for Contract Standing Orders	<ul style="list-style-type: none"> ■ Responsible for the review and update of contract Standing Orders as required by changes to procurement legislation and regulation or as a result of an approved change in council policy / procedure. 	As Required

Governance		
Group	Governance/Scrutiny Role	Reporting Frequency
CHCP Contracts Advisory Group	<ul style="list-style-type: none"> ■ Responsible for the prioritisation and scope of Health and Social Care and Support Services procurement, commissioning and monitoring. ■ Takes action to promote and enforce compliance by the providers of Care and Support Services with qualitative and quantitative contractual standards. ■ Considers position regarding the termination or continuation of contracted services. 	Six Weekly
Works Contracts Advisory Group	<ul style="list-style-type: none"> ■ Responsible for the prioritisation and scope of Works procurement and contract monitoring. ■ Takes action to promote and enforce compliance with Standing Orders and Corporate Procurement Procedures for Works contracts. 	Six Weekly
Working Group for Serious and Organised Crime	<ul style="list-style-type: none"> ■ Responsible for the review of police protocol for sharing of information ■ Takes action to enforce compliance ■ Identifies contracts which will require a focus by the police to try and ensure that no contract is awarded to an offender of serious and organised crime. 	Two Monthly
Partnership and Resources PDSP	<ul style="list-style-type: none"> ■ Consideration of Corporate Procurement Strategy, Five Year Procurement Delivery Plan and Annual Procurement Delivery Plan. 	Annually
Council Executive	<ul style="list-style-type: none"> ■ Approval of Corporate Procurement Strategy, Five Year Procurement Delivery Plan, Annual Procurement Delivery Plan and Community Benefits Procedure. ■ Approval of the Corporate Procurement Quarterly Monitoring reports. ■ Approval of the Contract Evaluation Approval Reports. 	Annually / Quarterly/ As Required
Scottish Government	<ul style="list-style-type: none"> ■ Receives and interprets Best Practice Indicator results submitted through the Spikes Cavell hub and monitors West Lothian Council's procurement progress and effectiveness. 	Quarterly
Scotland Excel	<ul style="list-style-type: none"> ■ Assesses the council's progress against the Annual Procurement Capability Assessment. ■ Monitors the council's performance against the Corporate Procurement Strategy's outcomes, actions and activities. 	Annually

2 Council Priorities

The council has set eight priorities in the current Corporate Plan (2013/17) in consultation with the local community, partners, stakeholders and our staff. These priorities, along with the three enablers themes, represent all the vital activities that the council will undertake in order to achieve better outcomes for West Lothian.

Figure 1 illustrates where the Corporate Procurement Strategy will *directly* contribute to a council priority or enabler.

Council Priorities	Corporate Procurement Strategy
1. Improving the employment position in West Lothian	✓
2. Improving attainment and positive destinations for school children	✓
3. Delivering positive outcomes and early intervention for early years	✓
4. Improving the quality of life for older people	✓
5. Minimising poverty, the cycle of deprivation and promoting equality	✓
6. Reducing crime and improving community safety	✓
7. Protecting the built and natural environment	✓
8. Delivering positive outcomes on health	✓
Enablers	
Financial planning	✓
Corporate governance and risk	✓
Modernisation and improvement	✓

Figure 1: Council priorities and the Corporate Procurement Strategy

Corporate Procurement can be directly linked with all eight of the council's priorities, as procurement activity will be performed to some extent in their delivery. The council's eight priorities will be supported by Corporate Procurement in the following ways:

Council Priority Links	
Council Priority	Supporting Procurement Categories
1. Delivering positive outcomes and early intervention for early years	<i>Education and Libraries</i> – children and parents within West Lothian are supported by Corporate Procurement through the delivery of contracts that meet their pre-school educational needs.
2. Improving the employment position in West Lothian	<i>All Procurement Categories</i> – the council's five year procurement delivery plan identifies significant expenditure through supplies, services and works contracts. Each contract will have its own strategy developed in compliance with the council's standing orders and corporate procurement procedures and through use of the community benefits procedure will identify community benefits that can be delivered through the implementation of the contract.
3. Improving attainment and positive destinations for school children	<i>Education & Libraries</i> – through the provision of contracts for educational IT software, text books, multi-media products and other supplies and materials covering the school curriculum. <i>Health and Social Care</i> – development of contracts that support the council in meeting the needs of pupils with additional support for learning requirements in special schools and classes, and in mainstream establishments. <i>Housing, Customer and Building Services</i> – arranging contracts for the building, repairs and maintenance of the school estate, open spaces and routes to school supports the investment of quality resources that provide children with an effective learning environment. <i>Operational Services</i> – providing contracts that enable access to a free breakfast club for all primary pupils and for secondary pupils with free meal entitlement.
4. Improving the quality of life for older people	<i>Health and Social Care</i> – through the provision of contracts Corporate Procurement help to support the high quality health and social care service needs commissioned for West Lothian's older people. <i>Housing, Customer and Building Services</i> – arranging contracts for the building, repairs and maintenance of the council's care homes, housing for the elderly, sheltered housing and community facilities that are used by older people.
5. Minimising poverty, the cycle of deprivation and promoting equality	<i>Operational Services</i> – providing contracts that enable vehicular access to transport clients that have accessibility limitations. <i>Housing, Customer and Building Services</i> – arranging contracts for the building of new homes that are fully accessible for those with disabilities, as well as providing housing for those west Lothian residents on lower incomes.
6. Reducing crime and improving community safety	<i>All Procurement Categories</i> – through partnership working with Police Scotland, Corporate Procurement will share information intelligence and co-ordinate resources to prevent instances of and deter those involved in serious and organised crime. Support will also be provided in the development of contracts that help with the prevention and reduction of crime related acts.

Council Priority Links	
Council Priority	Supporting Procurement Categories
7. Delivering positive outcomes on health	<p><i>Health and Social Care</i> – through the provision of contracts Corporate Procurement will positively contribute and support the improved outcomes for the citizens of West Lothian</p> <p><i>Housing, Customer and Building Services</i> – contracts for the building, repair and maintenance of West Lothian partnership centres in conjunction with NHS Lothian and other community health partners.</p>
8. Protecting the built and natural environment	<p><i>Housing, Customer and Building Services</i> – arranging contracts for the building, repair, maintenance and improvement of social housing, customer service, community facilities and roads appropriate to the needs and preferences of West Lothian residents.</p> <p><i>Operational Services</i> – delivering transport and contracts that support and sustain economic and population growth help in minimising traffic congestion and environmental deterioration. Waste management contract provision helps West Lothian to improve its waste recycling rates as prescribed in the Scottish Government's Zero Waste Strategy.</p> <p><i>Corporate</i> – through the provision of contracts for low carbon and renewable energy solutions to support the delivery of council services which have a reduced environmental impact and help to meet the challenging targets for reduced energy consumption and carbon emissions.</p> <p><i>Education & Libraries</i> - supporting the delivery of contracts library service provision will help to encourage the public to take an active interest in cultural services.</p>

3 Strategy Outcomes

The council's vision for procurement is *"to achieve superior procurement performance through advanced sustainable procurement practices for the benefit of the council and its stakeholders"*. Corporate procurement strategy outcomes are required to enable superior procurement performance in support of achieving corporate priorities and outcomes.

To ensure delivery of each corporate procurement outcome, a number of activities shall be performed. A Procurement Improvement Plan shall be developed to allocate resources in support of the activities that will deliver the outcomes. This will also help to ensure that activities are prioritised to generate the greatest impact in achieving the desired outcomes.

To demonstrate that activities are being performed, a number of performance indicators shall be established and monitored. These indicators will cover all procurement categories.

3.1 Outcome Benefits

There are a number benefits that shall be delivered through corporate procurement strategy outcomes.

3.1.1 Benefits to the Council

- Provides a more effective service to customers with greater transparency
- Financial and non-financial savings
- Preserves public reputation and meets public expectation regarding how contracts are delivered
- Builds trust in the quality of its information available internally and externally
- Supports informed decision and policy making
- Ensures compliance with legal requirements
- Increases efficiency by ensuring use of standard procurement documentation
- Reduces risk of non-compliance and challenge

3.1.2 Benefits for Customers

- All procurements managed appropriately and efficiently
- Best value obtained for all procurement requirements
- Access to required information quickly and easily
- Availability of improved quality and trustworthy information
- More efficient working, making best use of resources
- Increases collaborative working- making best use of skills and knowledge
- Corporate compliance with responsibilities under legal requirements

The following outcomes demonstrate the effective implementation of the Corporate Procurement Strategy and can be summarised as follows:

- **Savings** - ensuring that the savings identified for the next five years can be achieved through effective procurement activity
- **Contracts** - ensuring that all spend that can be positively influenced by procurement activity has a corresponding contract
- **Compliance** - ensuring that all procurement activity complies with statutory and regulatory requirements
- **Accessibility** - ensuring that contracts can be structured in such as way as to assist wherever practical, local suppliers, micro, small and medium enterprises and the third sector to tender for council business
- **Community Benefits** - ensuring that all relevant contracts are arranged to include community benefits
- **Sustainability** - ensuring that all relevant contracts are arranged to include sustainable procurement requirements

Outcome 1: Savings

Purpose

To ensure that the target savings of £3,193,000 agreed for the five years 2013/2018 can be achieved through effective procurement activity. **This can be achieved savings derived from the council's annual procurement value of around £210 million on general fund revenue and capital expenditure, housing revenue account and housing capital expenditure.**

Activities

The main activities that will be undertaken in 2013/18 to achieve this priority outcome are:

- Establish and manage contracts to ensure delivery of savings targets
- Identify cashable savings targets for contracts and measure their delivery
- Increase the use of collaborative contracts with other public sector organisations
- Develop and implement more efficient order and invoice processing techniques

Performance

The following performance indicators will be used to monitor progress in the outcome for the life span of the strategy:

Performance				
Performance Indicator Name	2012 Performance	2018 Target	Service	Responsible Officer
Percentage of all council expenditure covered by contracts.	77.7%	90%	Corporate Services	Corporate Procurement Manager
Value of procurement savings achieved through arranged contracts.	£934,000	£3,193,000	Corporate Services	Corporate Procurement Manager
Percentage of Category A & B contracts that demonstrate Best Value.	N/A	100%	Corporate Services	Corporate Procurement Manager
Number of collaborative opportunities explored as a percentage of all contracts implemented.	N/A	100%	Corporate Services	Corporate Procurement Manager
Number of invoices received electronically as a percentage of the total invoices processed.	39.7%	75%	Corporate Services	Systems and Business Development Officer
Percentage of customers who rated their involvement in planning efficiencies and improvements as good or excellent.	N/A	95%	Corporate Services	Corporate Procurement Manager

Outcome 2: Contracts

Purpose

To ensure that all spend that can be positively influenced by procurement activity has a corresponding contract and those contracts and their suppliers are managed effectively.

Activities

The main activities that will be undertaken in 2013/18 to achieve this priority outcome are:

- Establish and manage contracts that meet council requirements and procurement regulations, **ensuring Best Value is obtained in all contracts**
- Develop opportunities for establishing collaborative contracts with partner organisations
- Implement framework contracts to increase Best Value
- **Ensure payment to all suppliers within 30 days, with promotion of payment of sub-contractors and supply base within 30 days.**
- **Develop and implement supplier and contract management**

Performance

The following performance indicators will be used to monitor progress in the outcome for the life span of the strategy:

Performance				
Performance Indicator Name	2012/Current Performance	2018 Target	Service	Responsible Officer
Percentage of all council expenditure covered by contracts.	77.7%	90%	Corporate Services	Corporate Procurement Manager
Percentage of Category A & B contracts that demonstrate Best Value.	N/A	100%	Corporate Services	Corporate Procurement Manager
Number of collaborative opportunities explored as a percentage of all contracts implemented.	N/A	100%	Corporate Services	Corporate Procurement Manager
Number of contracts awarded as a framework as a percentage of all contracts implemented.	N/A	20%	Corporate Services	Corporate Procurement Manager
Percentage of suppliers being managed.	N/A	100%	Corporate Services	Corporate Procurement Manager
Percentage of suppliers who rated the clarity of contract performance measures as good or excellent.	N/A	90%	Corporate Services	Corporate Procurement Manager
Payment of Suppliers in 30 days	96.1%	96%	Finance and Property Services	Corporate Finance Manager

Outcome 3: Compliance

Purpose

To ensure that all procurement activity complies with:

- Council's standing orders
- Public Contracts (Scotland) Regulations 2016
- Public Contracts (Scotland) Regulations 2015
- Procurement Reform (Scotland) Act 2014

Activities

The main activities that will be undertaken in 2013/18 to achieve this priority outcome are:

- Investigate all contract spend to ensure full contract compliance
- Interface all legacy systems with PECOS
- Develop and implement a council wide procurement training strategy
- Utilise the intranet to communicate procurement information across the council
- **Mandatory use of the European Single Procurement Document.**

Performance

The following performance indicators will be used to monitor progress in the outcome for the life span of the strategy:

Performance				
Performance Indicator Name	2012 Performance	2018 Target	Service	Responsible Officer
Percentage of all council expenditure covered by contracts.	77.7%	90%	Corporate Services	Corporate Procurement Manager
Number of Contract Strategies generated as a percentage of all contracts arranged by West Lothian Council	N/A	100%	Corporate Services	Corporate Procurement Manager
Number of orders processed through the Corporate Procurement System (PECOS) as a percentage of the total number of orders transmitted to suppliers.	60.8%	100%	Finance and Property Services	Systems and Business Development Officer
Number of invoices processed through the Corporate Procurement System (PECOS) as a percentage of all invoices processed.	72.2%	100%	Finance and Property Services	Systems and Business Development Officer
Percentage of customers who rated the delivery of procurement fundamentals and EU legislation training and awareness sessions as good or excellent.	N/A	90%	Corporate Services	Corporate Procurement Manager
Percentage of customers who rated the accessibility of procurement training and	N/A	90%	Corporate Services	Corporate Procurement Manager

Performance				
Performance Indicator Name	2012 Performance	2018 Target	Service	Responsible Officer
awareness sessions as good or excellent.				
Percentage of Corporate Procurement Unit staff satisfied with learning and development and performance.	N/A	90%	Corporate Services	Corporate Procurement Manager
Percentage of customers who rated the ease of access to council contract information as good or excellent	N/A	90%	Corporate Services	Corporate Procurement Manager
Use of European Single Procurement Document	N/A	100%	Corporate Services	Corporate Procurement Manager

Outcome 4: Accessibility

Purpose

To improve opportunities for procurement contract awards to supporting local businesses, micro and small and medium enterprises (SMEs), voluntary organisations and social enterprises.

Activities

The main activities that will be undertaken in 2013/18 to achieve this priority outcome are:

- Promote tender opportunities and procurement information to the supply chain to reduce barriers to doing business with the council
- Structure contracts **with consideration given to lotting the contract to allow easier access to SMEs, voluntary organisations and social enterprises**
- Deliver tender training to SMEs, voluntary organisations and social enterprises

Performance

The following performance indicators will be used to monitor progress in the outcome for the life span of the strategy:

Performance				
Performance Indicator Name	2012 Performance	2018 Target	Service	Responsible Officer
Percentage of suppliers who rated the ease of access to information about council contract opportunities as good or excellent.	N/A	90%	Corporate Services	Corporate Procurement Manager
Percentage of suppliers who rated the quality and clarity of information contained within tenders as good or excellent.	N/A	90%	Corporate Services	Corporate Procurement Manager
Percentage of suppliers who rated the delivery of procurement training and awareness sessions as good or excellent.	N/A	90%	Corporate Services	Corporate Procurement Manager

Outcome 5: Community Benefits

Purpose

To ensure that the council is committed to maximising the benefits to its community through its procurement activities and those contracts awarded, Community Benefit clauses are to be included as a consideration at a contract strategy stage, where relevant.

Activities

The main activities that will be undertaken in 2013/18 to achieve this priority outcome are:

- Consider community benefit inclusion for spend equating to £50,000 and above
- Implement an appropriate training and awareness programme
- Monitor the delivery of all community benefits, and identify the local impact
- Work with the voluntary sector to identify best use of community benefits planned and gained.

Performance

The following performance indicators will be used to monitor progress in the outcome for the life span of the strategy:

Performance				
Performance Indicator Name	2012 Performance	2018 Target	Service	Responsible Officer
Number of contract strategies incorporating community benefits as a percentage of all contracts strategies.	N/A	90%	Corporate Services	Corporate Procurement Manager
The percentage of customers who rated the content of training relating to the delivery of community benefits as good or excellent.	N/A	90%	Corporate Services	Corporate Procurement Manager
The number of community benefits delivered as a percentage of the target.	N/A	90%	Corporate Services	Corporate Procurement Manager

Outcome 6: Sustainability

Purpose

To ensure that the council is committed to the sustainable procurement duty which requires that consideration is given to how the council can improve the social, environmental and economic wellbeing of our citizens, with a particular focus on reducing inequality. Consideration at contract strategy development stage should be given on how the procurement of contracts can facilitate the involvement of SMEs, third sector bodies and supported business and how public procurement can be used to promote innovation. This should facilitate the involvement of small and medium enterprises, third sector bodies and supported businesses in the process, and promote innovation.

Sustainable procurement should take into consideration the following:

- economic factors such as the availability of suitable and high quality jobs, measures to encourage local small businesses, efficient and effective transport links, lifelong learning, training and skills development, the provision of infrastructure and new information and communication technologies, etc.;
- social factors such as the promotion of good quality and affordable housing, safe communities, the encouragement of the voluntary sector, looking after the needs of children and young people (particularly the most vulnerable), access to the arts or leisure opportunities, access to education, etc.;
- health-related factors such as the promotion of good physical, social and mental health and developing and promoting policies which have a positive impact on health outcomes, especially on health inequalities; and
- environmental factors such as the availability of clean air, clean water, clean streets, the quality of the built environment, the removal of objects considered hazardous to health, removal of disfiguring or offensive graffiti from buildings, protecting communities against the threat of climate change, freedom from a high risk of flooding, improving and promoting biodiversity and accessibility to nature.

To assist with the development of the strategy and specification, the use of the four key processes or tools:

- Scottish Public Procurement Prioritisation Tool;
- The Sustainability test;
- Life Cycle Impact Mapping;
- The Scottish Flexible Framework.

Activities

The main activities that will be undertaken in 2013/18 to achieve this priority outcome are:

- Consider sustainable procurement factors as detailed above in all spend equating to £50,000 and above
- Implement an appropriate training and awareness programme Deliver the Scottish Governments Flexible Framework
- Promote the payment of the Living Wage and **evaluate workforce Mattes in all relevant contracts above £50,000.**

- Consider where relevant, the procurement of fairly and ethically traded goods and services.

Performance

The following performance indicators will be used to monitor progress in the outcome for the life span of the strategy:

Performance				
Performance Indicator Name	2012 Performance	2018 Target	Service	Responsible Officer
Number of contract strategies incorporating sustainable procurement elements as a percentage of all contracts strategies.	N/A	90%	Corporate Services	Corporate Procurement Manager
The percentage of customers who rated the content of training relating to the delivery of sustainable procurement as good or excellent.	N/A	90%	Corporate Services	Corporate Procurement Manager
Sustainability Framework Assessment score assigned to West Lothian Council.	Level 2	Level 4	Corporate Services	Corporate Procurement Manager

Appendix A

Action Plan						
Action	Description	Planned Outcome	Owner	Start	End	Status (Planned, Active, Complete)
Outcome 1 Contract Development	Develop contracts for each area of spend identified through the five year procurement delivery plans and resulting annual procurement delivery plans	Ensure Best Value across the council for all procurement requirements	Corporate Procurement Manager	April 2013	March 2018	Active
Outcome 1 Increase Contract Collaboration	Increase the number of contract collaboration opportunities with other public sector organisations	Increased use of collaborative contracts where Best Value can be delivered	Corporate Procurement Manager	April 2013	March 2018	Active
Outcome 1 Contract Cashable Savings	Ensure that all contracts have cashable savings targets and that actual figures are consistently measured and recorded	Meet the Corporate Procurement Unit financial savings targets	Corporate Procurement Manager	April 2013	March 2018	Active
Outcome 1 Efficient Ordering and Invoicing	Implement more efficient ordering and invoicing techniques to encourage better payment performance for invoices and reduce the costs to the council and its suppliers for the purchase to pay process	Increased ordering and invoicing performance	Systems and Business Development Officer	April 2013	March 2015	Complete

Action Plan						
Action	Description	Planned Outcome	Owner	Start	End	Status (Planned, Active, Complete)
Outcome 1 Cashable Savings Meetings	Meetings between the Corporate Procurement Unit and services to discuss cashable savings targets and progress towards their achievement	Establish positive working relationship with Services to help meet the Corporate Procurement Unit financial savings targets	Corporate Procurement Manager	April 2013	March 2018	Active
Outcome 2 Category A, Category B and UK Government contracts	Review the relevance and best value delivery of: <ul style="list-style-type: none"> • Scottish Procurement and Commercial Directorate Category A contracts, • Scotland Excel's Category B contracts • Government's Procurement Service contracts. 	Increased use of collaborative contracts where Best Value can be delivered	Corporate Procurement Manager	April 2013	March 2018	Active
Outcome 2 Framework Contracts	Evaluate the option of using framework contracts to ascertain if they will deliver best value	Increased use of framework contracts where Best Value can be delivered	Corporate Procurement Manager	June 2013	March 2018	Active

Action Plan						
Action	Description	Planned Outcome	Owner	Start	End	Status (Planned, Active, Complete)
Outcome 2 Collaborative Contract Opportunities	Contact other public sector organisations to determine if there are any collaborative opportunities available for Category C1 contracts	Increased use of collaborative contracts where Best Value can be delivered	Corporate Procurement Manager	April 2013	March 2018	Active
Outcome 2 Supplier Contract KPIs and SLAs	Agree contract KPIs and SLAs with suppliers to enable enhanced performance.	Improved supplier performance for council contracts	Corporate Procurement Manager	July 2013	March 2018	Planned
Outcome 2 /3 /4 Update of Internet and Intranet	Perform regular updates to the internet and intranet to ensure that suppliers and internal customers are aware of the appropriate procurement routes and contracted suppliers.	Greater accessibility of Council Procurement information for both internal and external customers	Corporate Procurement Manager / Systems and Business Development Officer	July 2013	March 2018	Planned
Outcome 3 Compliance Review - High Value and High Risk Contracts	Review of high value and high risk contracted suppliers spend to ensure compliance with standing orders and the corporate procurement procedures	Increased levels of compliance with council standing orders and procurement procedures for high value and high risk contracts	Corporate Procurement Manager	June 2013	March 2018	Planned
Outcome 3 Supplier Rationalisation	Review of spend against non-contracted suppliers and a regular supplier	Decreased levels of spend against non-contracted suppliers	Systems and Business Development	Aug 2013	March 2018	Planned

Action Plan						
Action	Description	Planned Outcome	Owner	Start	End	Status (Planned, Active, Complete)
Exercise	rationalisation exercise to reduce their availability and ensure compliance with contracted suppliers		Officer			
Outcome 3 System Interfaces	Interface all legacy systems with PECOS to ensure a consistent use of procurement systems and availability of management information	Procurement systems used consistently across the council	Systems and Business Development Officer	Dec 2013	March 2014	Complete
Outcome 3 Contract Strategies	Completion of contract strategies for all tender opportunities, including community benefits, market research, financial review, defining need and specification review.	Comprehensive contract strategies in place for all council procurement requirements	Corporate Procurement Manager	Jan 2013	March 2018	Active
Outcome 3 Procurement Training Strategy	A Procurement Training Strategy will be developed to ensure that suitable training provision is delivered.	Greater competence and skill levels of staff carrying out procurement activities	Corporate Procurement Manager	August 2013	September 2018	Planned
Outcome 3 Online Training	Online training courses will be developed and implemented to provide procurement fundamentals training	Increased accessibility to procurement training for all council staff	Corporate Procurement Manager	July 2013	April 2017	Planned

Action Plan						
Action	Description	Planned Outcome	Owner	Start	End	Status (Planned, Active, Complete)
	across the council					
Outcome 3 Procurement Competency Framework	A Procurement Competency Framework will be used to identify procurement skills gaps across the council	Continued development of Corporate Procurement Unit staff skills and competences	Corporate Procurement Manager	April 2013	March 2018	Active
Outcome 4 Procurement Surgeries	Monthly procurement surgeries to continue	Increased information and awareness to suppliers regarding local authority procurement	Corporate Procurement Manager	Jan 2013	March 2018	Complete
Outcome 4 Small Lots	'Small Lot' provision will be used where appropriate to provide local suppliers and SMEs with contract opportunities	Increased number of Small Lot provisions where Best Value can be delivered	Corporate Procurement Manager	July 2013	March 2018	Active
Outcome 4 Reserved Contracts	'Reserved Contract' arrangements will be considered.	Increased number of Reserved Contract provisions where Best Value can be delivered	Corporate Procurement Manager	Sept 2013	March 2018	Planned
Outcome 4 Supplier Development Programme	Supplier Development Programme training events to be attended by corporate procurement unit representatives, providing presentations to SMEs regarding local	Increased information and awareness to SMEs regarding local authority procurement	Corporate Procurement Manager	February 2013	March 2018	Active

Action Plan						
Action	Description	Planned Outcome	Owner	Start	End	Status (Planned, Active, Complete)
	authority procurement.					
Outcome 4 Third Sector Working Group	Further development of a working group with local third sector organisations to review any potential working partnerships	Improved joint working relationships between the Corporate Procurement Unit and third sector organisations	Corporate Procurement Manager	July 2013	March 2018	Active
Outcome 4 Reducing Barriers to Doing Business	Consult with local and SME business community through an annual survey to identify and reduce barriers to doing business	Increased contract opportunities for local and SME businesses	Corporate Procurement Manager	December 2013	December 2018	Active
Outcome 5 Contract Strategies - Community Benefits	Completion of contract strategies for all contracts, in line with the Community Benefits Procedure, to include the following Community Benefits considerations.	Community Benefits taken into account for all contract strategies	Corporate Procurement Manager	January 2013	March 2018	Active
Outcome 5 Community Benefits Training	Training will be provided to all relevant service area staff to ensure that community benefits is integrated into major purchasing decisions, to ensure they understand the reasons and benefits	Increased understanding and compliance with the Community Benefits Procedure	Corporate Procurement Manager	August 2013	December 2013	Complete

Action Plan						
Action	Description	Planned Outcome	Owner	Start	End	Status (Planned, Active, Complete)
	of implementing the Community Benefit Procedure.					
Outcome 5 Monitoring Community Benefits	Set up a process to monitor the delivery of the Community Benefit Procedure including the local impact.	Information available to report to Procurement Board on the local impact of Community Benefit achieved and will assist in delivering future procurement requirement.	Corporate Procurement Manager	September 2013	November 2013	Complete
Outcome 6 Contract Strategies – Sustainability	Completion of contract strategies for all contracts.	Social, Environmental and Economic considerations taken into account for all contract strategies	Corporate Procurement Manager	Jan 2013	March 2018	Active
Outcome 6 Sustainable Procurement Training	Sustainable procurement awareness and training, including whole life costing will be promoted to ensure that procurement professionals integrate sustainability into major purchasing decisions	Increased awareness of sustainable procurement by staff	Corporate Procurement Manager	October 2013	January 2014	Complete
Outcome 6 Sustainable Procurement Supplier Engagement and	Supplier training will be delivered to encourage and guide businesses to adopt sustainable	Increased awareness and use of sustainable development principles and practices by West	Corporate Procurement Manager	October 2013	January 2014	Complete

Action Plan						
Action	Description	Planned Outcome	Owner	Start	End	Status (Planned, Active, Complete)
Partnership Events	development principles and practices. Support will also be provided for the implementation of sustainable procurement practices throughout the council and supply chains	Lothian businesses				
Outcome 6 Sustainable Action Plan	Actions from the West Lothian Council Sustainable Action Plan will be implemented to ensure that the council achieves level four within the Sustainability Flexible Framework Assessment	Achieve level four within the Scottish Government Sustainability Flexible Framework Assessment	Corporate Procurement Manager	January 2013	March 2018	Active
Outcome 6 Living Wage	Promote the payment of the Living Wage through a West Lothian Council webpage.	Increased awareness and uptake of the Living Wage by West Lothian businesses	Corporate Procurement Manager	July 2013	July 2013	Complete

West Lothian Council

Corporate Procurement Strategy 2013/14 to 2017/18

Julie Whitelaw
Head of Corporate Services

December 2016

For more information:

Corporate Procurement Manager
Telephone number: 01506 283259

West Lothian Civic Centre
Howden South Road | Livingston | West Lothian | EH54 6FF

Amendment Table

Procurement Strategy Area	Amendment Made
General	Change of Head of service in line with Council Restructure
Outcome 1	Addition of spend funding
Outcome 2	Ensuring payment of suppliers and promotion of payment to supply chain within 30 days
	Addition of Performance Indicator
Outcome 3	Detailing areas for compliance
	Mandatory use of European Single Procurement Document (ESPD)
	Performance Indicator for use of ESPD
Outcome 4	Consideration given to lotting the contract
Outcome 5	Working with Voluntary sector to identify community benefits
Outcome 6	Detail the requirements of the Reform Act
	List tool to be used to ensure compliance
	Detailed description on how this will be achieved.
	Addition of workforce matters and procurement of fairly traded goods.

PARTNERSHIP AND RESOURCES POLICY DEVELOPMENT AND SCRUTINY PANEL

EQUALITY OUTCOMES REPORT AND EQUALITY MAINSTREAMING REPORT

REPORT BY HEAD OF CORPORATE SERVICES

A. PURPOSE

To provide the Panel with an update on the Council's Equality Mainstreaming commitments, progress made against the Council's Corporate Equality Outcomes for 2013 – 2017 and a revised Equal Pay Statement.

B. RECOMMENDATIONS

It is recommended that the Panel note and comment upon the terms of the Equality Mainstreaming report, a revised Policy Statement on Equal Pay and Equality Outcome report which is intended to be referred to the Council Executive for approval.

C. SUMMARY OF IMPLICATIONS

I. Council Values	<p>Focusing on our customers' needs Being honest, open and accountable Providing equality of opportunities Developing employees Making best use of our resources Working in partnership</p>
II. Policy and Legal	<p>The Equality Act 2010 (Specific Duties) (Scotland) Regulations 2012 requires public bodies to develop and publish an equality mainstreaming report and Equality Outcomes and to report on progress every two years. In addition the council is required to publish a revised Equal Pay Statement every two years.</p>
III. Implications for Scheme of Delegations to Officers	None
IV. Impact on performance and performance indicators	<p>The Outcomes have been built into the Council's performance management information system.</p>
V. Relevance to Single Outcome Agreement	<p>Indicators have been mainstreamed and aligned with existing activity towards the Council's Corporate Plan, People Strategy and the West Lothian Single Outcome Agreement where appropriate.</p>

VI. Resources (Financial, Staffing and Property)	N/A
VII. Consideration at PDSP/Executive Committee required	Policy and Resources PDSP on 17 March and Council Executive on 25 April.
VIII Details of consultations	All services through representation on the Corporate Working Group for Equality and all Heads of Service have been consulted to identify progress against Equality Outcomes.

D. TERMS OF REPORT

D.1 Background

The Equality Act 2010 (Specific Duties) (Scotland) Regulations 2012 required public bodies to develop and publish an equality mainstreaming report and to report on progress against that report every two years.

The Council's Mainstreaming Equality report was published in April 2013 with a subsequent update published in 2015.

The 2015 -17 progress report must include data related to the specific duties on employment monitoring information including recruitment, development and retention of employees by protected characteristic. In addition the council is required to publish information on the percentage difference, among its employees, between the average hourly pay of men and the average hourly pay of women.

The Council's employment equality information and analysis for the period 1 January 2015 to 31 December 2016 and revised Policy Statement on Equal Pay is provided in Appendix 1.

Another of the key specific duties requires public bodies to develop and publish a set of Equality Outcomes and to report on progress against these Outcomes every two years. The Council developed 10 Corporate Equality Outcomes in 2013 and these are outlined within the Equality Outcomes Progress Report attached in Appendix 2.

D.2 Equality Mainstreaming

The Council is committed to tackling discrimination, advancing equality of opportunity and promoting good relations both within our workforce and the wider community. Mainstreaming equality is the long term approach by which the Council will integrate an equality perspective into the everyday work of the council. This approach involves managers and policy makers across council services, as well as equality specialists and community planning partners.

The Council's Corporate Management Team remain directly involved in decision making regarding the strategic management of equality and diversity within the Council. A member of the Corporate Management Team is both Chair of the

Corporate Working Group on Equality (CWGE) and lead diversity champion for the Authority.

CWGE service representatives continue to coordinate service level activity and distribute service wide communications related to equality and diversity policy, initiatives and events. They can assist to resolve equality issues as they arise within individual services and feed into the corporate equality function where necessary.

Significant data, information and research has been sourced and utilised in the development of Council policy and practice related to equality. Work towards the Corporate Equality Outcomes has improved the availability of local data across council services and community planning partners with regard to the impact of equality.

D.4 Equality Outcomes Progress

The Council's Equality Outcomes reflect the commitment to fulfilling both our statutory duties as well as pro-actively meeting the needs of the diverse community that it serves.

Each Outcome has been designated to a responsible Head of Service. The Outcomes are managed through the Council's performance management system (Covalent). This allows performance related to the Equality Outcomes to be managed electronically and mainstreamed within Council management plans. Appendix 2 provides an update on progress against each of the ten Outcomes.

E. CONCLUSION

The Council has demonstrated significant progress towards its equality mainstreaming commitments and Corporate Equality Outcomes.

F. BACKGROUND REFERENCES

The Equality Act 2010 (Specific Duties) (Scotland) Regulations 2012
Corporate Equality Outcomes 2013 -17
Corporate Equality Outcomes Progress Report 2015
Equality Mainstreaming Report 2013-17
Equality Mainstreaming Report 2015

Appendices/Attachments: Two

Appendix 1 – Equality Mainstreaming Report 2015 -17 & Policy Statement on Equal Pay
Appendix 2 – Corporate Equality Outcomes Progress Report 2015-17

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Julie Whitelaw
Head of Corporate Services

Date of Meeting : 17 March 2017



West Lothian
Council

Equality Mainstreaming Report 2015 - 2017

Corporate Services
April 2017

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1 Foreword

This document presents West Lothian Council's final report on our equality mainstreaming commitments for the period of 2015 – 2017. Our first mainstreaming report was published in April 2013 with a subsequent update published in 2015 as required by the Public Sector Equality Duty in Scotland.

The council is committed to tackling discrimination, advancing equality of opportunity and promoting good relations both within our workforce and the wider community. Mainstreaming equality is the process by which we will work towards achieving this as an organisation.

Our objective in mainstreaming equality is to integrate an equality perspective into the everyday work of the council, involving managers and policy makers across all council services, as well as equality specialists and community planning partners.

Equality mainstreaming is a long term approach that aims to make sure that policy making within the council is fully sensitive to the diverse needs and experiences of everyone affected. The approach will help to provide better information, transparency and openness in the way we make decisions about our services and resources.

The council recognises that mainstreaming requires leadership and commitment over the long term to the principles and processes of mainstreaming equality, as well as ownership and integration within every service and team across the Authority.

This report outlines the progress we have made in mainstreaming equality over the period of 2015 to 2017.

Councillor John McGinty
Leader of the Council

Graham Hope
Chief Executive

April 2017

2. West Lothian Context

- 2.1** West Lothian is a great place to live, work and do business, West Lothian Council aims to improve the quality of life and opportunities for all citizens. We are a top performing Council with a reputation for innovation, partnership working and customer focus.

West Lothian is the ninth largest local authority in Scotland serving a population of approximately 178,500, accounting for 3.3% of Scotland's population and one of the fastest growing and youngest in the country.

The Council is central to the provision of services that affect people's everyday lives, for example, housing, education, libraries, leisure and benefits. We therefore recognise that all services provided by the Council need to reflect and consider the impact that they may have on equality. We aim to provide improved services that meet the needs and priorities of local communities.

3. Legal Context

3.1 Public Sector Equality Duty

Section 149 of The Equality Act 2010 came into force in April 2011, introducing a new Public Sector Equality duty. The Public Sector Equality Duty (often referred to as the 'general duty') requires public bodies in the exercise of their functions, to have due regard to the need to:

1. Eliminate unlawful discrimination, harassment and victimisation and other prohibited conduct
2. Advance equality of opportunity between those who share a protected characteristic and those who do not; and
3. Foster good relations between those who share a protected characteristic and those who do not

3.2 What are the Protected Characteristics?

Everyone is protected by the Act. Every person has one or more of the protected characteristics, so the Act protects all of us against unfair treatment.

The protected characteristics are:

1. Age
2. Disability
3. Gender reassignment
4. Pregnancy and maternity
5. Race – this includes ethnic or national origin, nationality and also includes Gypsy/Travellers.
6. Religion or belief – this includes a lack of belief
7. Sex (gender)

8. Sexual orientation
9. Marriage and civil partnership (but only in respect of the duty to consciously consider the need to eliminate discrimination, harassment, victimisation and other conduct prohibited by The Equality Act 2010).

3.3 The Equality Act 2010 (Specific Duties) (Scotland) Regulations 2012

The Scottish Government has introduced a set of specific equality duties to support the better performance of the general duty by public bodies. These duties include requirements to:

- Develop and publish a mainstreaming report
- Publish equality outcomes and report on progress (at least every two years)
- Assess and review policies and practices
- Gather and use employee information
- Publish gender pay gap information
- Publish statements on equal pay
- Consider award criteria and conditions in relation of public procurement
- Publish in a manner that is accessible

The Councils Equal Pay statement and our employment and gender pay gap information is provided in Appendix 1.

The Councils Equality Outcome plan which details the equality outcomes and the progress made in the past two years (2015-2017) is provided in Appendix 2.

4. Why mainstreaming equality is important

Mainstreaming equality simply means integrating equality and diversity into the day-to-day workings of the council. We aim to do this by taking equality into account as we exercise our functions and deliver our services.

Mainstreaming equality has a number of benefits including:

- It helps ensure that council services are fit for purpose and meet the needs of our community.
- It helps attract and retain a productive workforce, rich in diverse skills and talents.
- It helps the council work toward social inclusion and supports the communities we serve to improve the lives of everyone who lives in West Lothian.
- It helps the Council to continually improve and better perform through growing knowledge and understanding of the benefits of an inclusive organisation.

- 4.1** The Council as an Education Authority must also meet the requirements of the Equality Act 2010 and the (Specific Duties) (Scotland) Regulations 2012. The Council also administers the Licensing Board and must meet the requirements

of the Act and Regulations when undertaking its duties in this regard. Accordingly, at relevant points within this report reference will be made to all three bodies.

5. Council Equality Outcomes

Under the Equality Act in Scotland, the council has a specific duty to produce a set of equality outcomes which are informed by engagement with different equality groups and stakeholders. The outcomes are designed to help the council achieve its vision and meet the general duty to eliminate discrimination and harassment; promote equality of opportunity and promote good relations.

5.1 What is an Equality Outcome?

An equality outcome is defined by the Equality and Human Rights Commission as a change that provides results for individuals or communities as a consequence of the action the council has taken.

Outcomes include short-term benefits such as changes in awareness, knowledge, skills and attitudes, and longer-term benefits such as changes in behaviours, decision-making, or social and environmental conditions.

5.2 Corporate Equality Outcomes

The Council's Corporate Equality Outcomes have been developed through evidence gathering and engagement work. The Council's Corporate Equality Outcomes are:

- 1 Employability and skills opportunities are accessible and accessed proportionately, by people within the relevant protected characteristics in West Lothian
- 2 The council has a reduced level of gender based occupational segregation
- 3 Improved awareness of violence against women, improved protection against violence within services
- 4 People within the relevant characteristics in West Lothian understand the definition of hate crime and are knowledgeable and feel confident about reporting hate incidents
- 5 People with disabilities experience greater independence in their lives
- 6 People with the relevant protected characteristics in West Lothian feel involved in the processes by which the council makes decisions that affect them, and that they have appropriate information and resources to understand and influence those decisions
- 7 West Lothian Council is recognised internally and externally as an equal opportunities employer

- 8 Children and young people within the relevant protected characteristics in West Lothian's schools feel safe, supported and able to be themselves
- 9 Carers in West Lothian recognise an improved awareness of caring related issues amongst council employees when accessing and engaging with council services
- 10 People within the relevant protected characteristics in West Lothian have an improved awareness of, and access proportionately, income maintenance and maximisation opportunities

5.3 Corporate Plan 2013/2017

In setting the Equality Outcomes, the council have been mindful of the issues of proportionality, scale, severity and concern. Furthermore to maintain a consistent approach, our equality outcomes were developed to address the priorities of the Corporate Plan, these are as follows:-

- Delivering positive outcomes and early interventions for early years
- Improving the employment position in West Lothian
- Improving attainment and positive destinations for school children
- Improving the quality of life for older people
- Minimising poverty, the cycle of deprivation and promoting equality
- Reducing crime and improving community safety
- Delivering positive outcomes on health
- Protecting the built and natural environment

6. Progress on Mainstreaming Equality

- 6.1** The Council's Executive and Corporate Management Teams continue to be directly involved in decision making regarding equality and diversity. The Council's Corporate Working Group for Equality has taken forward responsibility for the monitoring and implementation of measures and actions to work towards the Equality Outcomes.

The Chair of the Corporate Working Group for Equality who is a member of the Corporate Management Team and Head of Corporate Services regularly updates the Human Resources Programme Board regarding our progress towards achieving our Equality Outcomes.

The Council has made good progress in mainstreaming equality since the publication of our update report in 2015. A summary of activities undertaken by the Council is set out in this section under the key headings of Consultation and Engagement, the Council as an Employer, Learning and Development and Partnership Working.

6.2 Consultation and Engagement

6.2.1 Corporate Activity

The Council has identified communication and engagement as a key activity in

promoting and mainstreaming equalities in West Lothian. The Council has communicated and engaged with a wide range of services, partners and organisations to raise awareness share experiences and explore the challenges people face on a day to day basis.

In particular, the Council has worked with the following organisations:-

- Stonewall Scotland who provide expertise to help the council support its lesbian, gay, bisexual and transgender employees. The council are ranked 1st out of all Scottish Local Authorities who submitted to the Stonewall Workplace Equality index and work with Stonewall to identify opportunities to increase awareness of LGBT issues in the workplace and to increase engagement and inclusion by members of staff who identify as LGBT.
- LGBT Youth Scotland who provide expertise to help the council support lesbian, gay, bisexual and transgender young people in the community of West Lothian who access our services.
- The West Lothian Access Committee, a sub group of Disability West Lothian. Disability West Lothian works across the private, public and third sector to remove physical and attitudinal barriers to equality and to promote all aspects of independent living within the West Lothian community. The council continues to consult with this group regarding disability access issues particularly in relation to new build council housing and refurbishments and the facilitation of the West Lothian Access Fund. This fund is available to charitable and voluntary organisations to improve access to and use of facilities or premises.
- The Race Forum acts as a consultation forum on race equality and issues around culture and religion in the development of policies and services.
- The Faith Group acts as a consultation forum on religion and belief based equality issues to inform policy and service development.
- The Council's Community, Learning and Development services support the LGBT Youth Group Glitter Cannons to work collectively to support other young people in the West Lothian Community, raise awareness of LGBT issues and promote equality, diversity and inclusion.

In April 2016 the council held its fifth Let's Talk Equalities event. This event brought together members from the community equality forums, partners and other groups and individuals operating in West Lothian with an interest in equalities such as Guide Dogs, Carers of West Lothian and Mental Health Service Users Forum. The focus of this event was to raise awareness, share experiences and explore the challenges people face on a day to day basis.

A wide range of services, partners and organisations working in areas relevant to our equality outcomes, covering the following sectors – independent living, carers, crime prevention, education, housing, health and social care and employability took part in the event. Feedback was extremely positive with all participants agreeing that the structure and content of the event was appropriate, that the presentations were informative and made them think about how they can become more involved in advancing equalities in West Lothian.

6.2.2 Service Activity

Engagement on service specific activity takes place across the council to bring about agreement on and solutions to local issues in a number of ways, examples of which are:-

- The Licensing Team changed their customer survey form to include a question relating to whether customers felt that they were treated fairly in terms of their protected characteristic.
- Consultation with the Access Committee has resulted in a review of the Hire Car Conditions to improve the specification relating to Hearing Loops in taxis.
- Extensive engagement activity with local communities, equality forums and employees where new partnership centres are proposed, including consultation around the changes to frontline service delivery and accessibility.
- Social Policy continues to consult with Looked After Children about their views for their planned meetings, reviews and Children's Hearings.
- Consultation regarding building access and the introduction of gender neutral changing and toilet facilities at the New Service centre at Whitehill House has been undertaken at design stage with the Access Committee and the LGBT Youth Group Glitter Cannons. This will allow our employees to move freely around the building and enable them to make positive choices when accessing facilities and spaces that meet their needs and ensure members of the community can access services located at Whitehill House.
- Continued support of Library User Groups, which enable library users to have a say on how libraries are run.
- Housing launched a Tenant Participation Facebook page to allow us to engage with more tenants and increase the communication channels available to tenants.
- The Alcohol and Drug Partnership developed a Community Rehabilitation Programme in response to requests to provide a more intensive programme of intervention for those who might not wish to use residential rehabilitation out of the area.

6.3 The Council as an Employer

- 6.3.1** The Council's People Strategy 2013 – 2017 acknowledges the critical role that a motivated, skilled and capable workforce plays in every aspect of service delivery and continuous improvement and sets out a plan for the key activities and actions which will support and drive the development and effective leadership of our employees.

Underpinning the People Strategy is a commitment to promote and celebrate diversity throughout the council by consulting, engaging and acting on the views and concerns of employees and embedding these issues into service delivery, policy development and employment practice.

Outcome 4 of the People Strategy – Ensuring Equality for All – confirms the Council's commitment to providing equality of opportunity both as a service provider and an employer.

The council recognises the benefits of a diverse workforce and is committed to the goal of eliminating discrimination and promoting equality and diversity across the organisation. Underpinning the People Strategy is a commitment to promote and celebrate diversity throughout the council by consulting, engaging and acting on the views and concerns of employees and embedding these issues into service delivery, policy development and employment practice.

6.3.2 Employee Health and Wellbeing Framework

The Council implemented an Employee Health and Wellbeing Framework that provides for a proactive and structured approach to supporting employee wellbeing.

The council has retained a Healthy Working Lives Gold accreditation since 2009. The criteria for retaining this includes a specific focus on health inequalities.

6.3.3 Stonewall Diversity Champion

The council has been a Stonewall Diversity Champion for a number of years enjoying a supportive partnership with the organisation. Champion status provides access to training, information and benchmarking opportunities and ensures we offer an inclusive environment for LGBT people. We continue to work very closely with Stonewall Scotland and submit to the Stonewall Workplace Equality Index to ensure we maintain our status as the top performing Local Authority in Scotland. For example we have changed a number of our HR policies to ensure they are more inclusive of gender identity as evidenced in our Equality Outcome Plan 2015-2017.

6.3.4 Disability Symbol Scheme

The council continues to be accredited as a "Positive about Disabled People" employer. We recently successfully applied to be a disability level 2 Employer in the newly introduced Disability Confident Scheme which maintains our commitment to demonstrating that we take positive action to attract, recruit and retain disabled people.

6.3.5 Flexible Working Hours Scheme

The Council's Flexible Working Hours scheme continues to provide flexibility in the patterns of working hours to support employees in the workplace. The scheme is supplemented by the:

- Reduced Working Hours Policy
- Job Sharing Scheme
- Right to Request Flexible Working Policy

6.3.6 Corporate Working Group for Equality

Service representatives on the Corporate Working Group for Equality continue to take lead responsibility for coordinating service level activity. Service representatives regularly attend service senior management team meetings and distribute service wide communication in relation to equality and diversity policy, initiatives and events. Service representatives also act as a direct link to the decision making process where specific issues related to equality may arise within individual services. They can assist to resolve issues and concerns as they arise and feed in to the corporate equality function as necessary.

6.4 Learning and Development

6.4.1 The council is committed to continuous improvement in service delivery and recognises that the continuing ability, skills and commitment of our employees is at the heart of what we do. During 2015 – 2016 the council has invested in a variety of ways to train and raise awareness of issues relating to equality and diversity including:

- Displaying of 'many hands, many stories' posters to raise awareness of domestic abuse
- Revision of the equality and diversity section of the corporate induction
- Various e-learning and face to face courses for employees and managers regarding mental health
- Displaying of Stonewall posters in staff areas to raise awareness of LGBT people in the workplace
- Roll out to all council employees of the corporate equality and diversity training

6.5 Partnership Working

6.5.1 The council has a strong history of partnership working in all of its service areas.

Listed below are some examples of those partnerships and initiatives that promote equality:-

- West Lothian Working Together Partnership is a collaboration between the Council, Jobcentre Plus, Skills Development Scotland and the West Lothian Chamber of commerce to develop the young workforce by developing links

between education and industry, helping to transform how education and industry collaborate and encouraging businesses to employ young people

- Work in partnership with Stonewall Scotland to ensure our policies, procedures and working practice are inclusive of LGBT people
- Work in partnership with Police Scotland to raise awareness of hate crime and encourage reporting
- Work in partnership with Capability Scotland to provide, an information and advice service to people with a disability
- Continue to have a strong partnership with West Lothian Citizens Panel to ensure they can comment on the satisfaction of services
- Work in partnership with Tenants Information Service, Scotland's Housing Network and Scottish Housing Regulator to ensure all tenants can be involved



West Lothian
Council

Policy Statement on Equal Pay

Human Resources
April 2017

WEST LoTHIAN COUNCIL
POLICY STATEMENT ON EQUAL PAY

1. Statement of Intent

- 1.1 The council's Policy on Equality - Employment and Service Provision sets out the organisation's commitment to eliminate discrimination, advance equality of opportunity and promote good relations between different groups.
- 1.2 A key consideration in meeting that commitment is the need to ensure that the council's pay, grading and benefit arrangements are transparent, based on objective criteria and free from unfair bias related to the protected characteristics covered by the Equality Act 2010. To achieve this objective the council will continuously monitor the application of its pay and grading systems with a view to identifying and eliminating any inequitable or unlawful pay practices.
- 1.3 The council will also monitor the application of other relevant employment policies and practices to ensure that they do not adversely impact on equality in respect of access to pay, benefits or career development.
- 1.4 By tackling the potential sources of pay discrimination and removing barriers to equality, the council believes it sends a positive message to both its workforce and customers alike.

2. Implementation

- 2.1 With appropriate resources, the policy will be implemented through the application of sound and legally robust pay and reward practices supported and complemented by the initiatives and measures set out in the council's Corporate Equality Outcomes and Equality Mainstreaming Report.
- 2.2 Any proposed changes to pay and other associated employment practices will be subject to consultation with the recognised trade unions and other relevant stakeholders.
- 2.3 Following the implementation of Single Status across the Authority in 2007, the council operates measures to continue to monitor issues related to equal pay within the organisation.

3. Scope

- 3.1 This policy statement covers the four discrete employee groups comprising the council's workforce. Pay and conditions of service for each of those groups derive from separate Schemes of Pay and Conditions of Service negotiated nationally and supplemented where appropriate by local collective agreements.

The national negotiating bodies are:

- Scottish Joint Council for Local Government Employees;
- Scottish Joint Council for Craft Operatives;
- Scottish Negotiating Committee for Teachers; and
- Joint Negotiating Committee for Chief Officials of Local Authorities (Scotland).

4. Specific Actions

4.1 In addition to addressing the priorities set out within the wider Corporate Equality Outcomes, the council is committed to implementing a number of other specific actions in relation to equal pay. Those actions are to:

- In consultation with relevant trade unions, conduct regular equal pay reviews within the council and thereby:
 - identify and understand the reasons for any differences in pay within and between employee groups;
 - eliminate pay gaps/ differences that cannot satisfactorily be explained on grounds other than sex, race or disability;
- Provide appropriate training and guidance on equal pay for those involved in determining pay and grading matters in terms of job evaluation, new appointments, progression, grievances and providing advice;
- Gather evidence of the impact of caring responsibilities on the workforce, to identify whether career continuity and pay progression is being adversely affected, and set appropriate objectives for remedial action; and
- Gather evidence on the extent of occupational segregation within the council and set appropriate objectives for remedial action as necessary.

5. Monitoring and Reporting

5.1 In accordance with the requirement under the Public Sector Equality Duty, to publish data on the gender pay gap every two years, data on gender pay and gender occupational segregation in the council will be addressed in the biennial review of this policy. Information on the recruitment, development and retention of employees will also be published every two years as part of the council's Equality Mainstreaming Report.

5.2 Details of actions taken to implement the outcome of equality impact assessments will also be posted on the council's website and as part of the council's Equality Mainstreaming Report.

6. Review and Accountability

6.1 This policy will be reviewed every two years through involvement with all relevant stakeholders and reported to the Council's Executive Committee.

6.2 The Head of Corporate Services, on behalf of the council's Corporate Management Team, has overall responsibility for implementation of the commitments outlined within this policy.

7. Gender Pay Gap

7.1 The council's equal pay gap as at February 2017 is set out below:

Gender	Number of Staff	Combined Hourly Rate	Average Hourly Rate
Female	5671	85,358	15.05
Male	2419	35,959	14.87
Total	8090	121,318	29.92
Mean Gender Pay Gap for All Employees			-1.21 %

Standard Calculation

Male average salary – Female average salary = paygap (monetary)

$$14.87 - 15.05 = -0.18$$

Paygap (monetary) / male average salary x 100 = paygap (%)

$$-0.18 / 14.87 \times 100 = -1.21$$

West Lothian Council Gender Pay Gap = -1.21%

7.2 The council's gender pay gap for all employees has moved by 0.72% since last reported in the 2015 Equal Pay Statement and is at present 6.19% lower than the average rate for Scottish Local Authorities (4.98%) as reported in the 2015/16 Local Government Benchmarking Framework.

8. Occupational Segregation

- 8.1 The council recognises that occupational segregation is one of the key barriers which prevents women and men from fulfilling their potential, and consequently contributes to the gender pay gap.
- 8.2 At the same time it can have a damaging impact due to the segmentation of men and women into different types of employment; segmentation that can fail to make the most efficient use of the potential workforce, can contribute to skills deficits and can hold back productivity.
- 8.3 The challenge for the council is therefore to address the inherent issues relating to horizontal segregation in the service areas currently dominated by either female or male employees.
- 8.4 Occupational segregation has been identified within the council's Corporate Equality Outcomes 2013-17 as one of ten significant priorities for focus over the period.
- 8.5 The tables below outline the council's data on gender based occupational segregation. In addition, in line with the reporting requirements, information is provided on occupational segregation in relation to ethnicity and disability.

WEST Lothian Council Occupational Segregation by Gender as at February 2017

Service Area	Functional Area	Gender	App/ Graduate	A	B	C	D	E	E1	E2	F	F2	G	H	I	J	K	L	M	N	Chief Officer	Psych	QI Scale	Teacher	Grand Total
Chief Exec, Finance and Property	Advice Shop	F						10			14		6	4			1								35
		M						3			6		4	1											14
	Audit & Risk Mngt	F											1			1									2
		M											1	1	1				1						4
	Chief Exec. – Mngt & Supp.	F		1							2			1	2										6
		M																							0
	Const. Services	F									1		2	5					1						9
		M				1					1		20	8	6		1								37
	Estates	F	1																						1
		M	1								1			1											3
	Financial Mngt	F					8				6		3	7	3	1	4								32
		M	1	1			3	1			3		2	3	1	2			1	1					19
	Mngt Team – Chief Exec.	F													1										1
		M																	1						1
	Mngt Team – Finance	F																							0
		M																			1				1
	Property Mngt & Dev.	F				1		5						3											9
		M				4	1						1	2	4				1						13

Service Area	Functional Area	Gender	App/ Graduate	A	B	C	D	E	E1	E2	F	F2	G	H	I	J	K	L	M	N	Chief Officer	Psych	QI Scale	Teacher	Grand Total
	Revenues & Benefits	F	2			4		56			11		2	5		1									81
		M				1		16			12		2	2				1							34
Corporate Mgmt Team	Mngt Team	F																			1				1
		M																			2				2
Corporate Services	Civic Centre Support	F				18	4	5						1											28
		M				1	1																		2
	Corporate Comms.	F		1			1				3					1									6
		M									2				2			1							5
	HR Services	F				1	16	13			4		3	4	5	1	1			1					49
		M									1		2	4	1		1								9
	Information Technology	F					1	2			4			5	4	1		1		1					19
		M						3			15			14	2	2		1							37
	Legal Services	F				2		3			1		8	5		3				1					23
		M						1						3	1										5
	Mngt Team – Corporate	F																			1				1
		M																							0
	Perf. Improvement.	F					1	3					1	3				1							9
		M				2								3	2										7
	Procurement	F											4	2	2										8
		M					3								2										5

Service Area	Functional Area	Gender	App/ Graduate	A	B	C	D	E	E1	E2	F	F2	G	H	I	J	K	L	M	N	Chief Officer	Psych	QI Scale	Teacher	Grand Total
Education Services	Active Schools	F											9	2											11
		M											7	1	1									1	10
	Adult Basic Education	F					1						2	1											4
		M	1																						1
	Adult Learning	F					1						11	1		1									14
		M											3	3		1									7
	Community Arts	F				2	4	1					4	1		1									13
		M					6	3					1												10
	Community High Schools	F				11	1	6			2			1											21
		M				5	2									1									8
	Comm. Youth Services	F				8	19	2			8		6	3	1		1							1	49
		M				5	14	1			3		3	2											28
	Customer Care & Comm	F						1						1											2
		M																							0
	Education Development	F											1						1				3	9	14
		M												1									2	4	7
	Ed. Resources Team	F									1														1
		M												1											1
	Instrumental Music	F																						16	16
		M																						13	13

Service Area	Functional Area	Gender	App/ Graduate	A	B	C	D	E	E1	E2	F	F2	G	H	I	J	K	L	M	N	Chief Officer	Psych	QI Scale	Teacher	Grand Total
	Management & Support	F						1			1								1					5	8
		M																							0
	Management Team CMT	F																							0
		M																	1						1
	Mngt Team Ed. Services	F																			1				1
		M																			2				2
	Nursery Schools	F				12	3	73			6													8	102
		M																							0
	PPP	F					1																		1
		M												1											1
	Primary Schools	F		62		373	97	137			14													1057	1740
		M		3		7																		98	108
	Psychological Services	F					1	1														11			13
		M																				2			2
	Pupil Placement	F					6				1														7
		M												1											1
	Secondary Schools	F		2		152	19	13			22			6	8									596	818
		M				8	7	14			12			2	3									317	363
	Special Education	F						5			2													2	9
		M																							0

Service Area	Functional Area	Gender	App/ Graduate	A	B	C	D	E	E1	E2	F	F2	G	H	I	J	K	L	M	N	Chief Officer	Psych	QI Scale	Teacher	Grand Total
	Special Schools	F				5	150	8			3													87	253
		M					6	3			1				1									23	34
	Sport & Outdoor Ed.	F		8		7	1				1		1												18
		M		1		2	1						7	1	1										13
	Support for Learning	F					1	1																	2
		M																							0
	Support Services	F						1							1									4	6
		M									1				3										4
Housing Customer & Building	Building Services	F	2				10	5	1	1	4		1												24
		M	63			27	36	3	163	29	1	74	29	9	1	1			1						437
	Cust & Comm Services	F	1	2		30	68	7					13	1	2				1						125
		M	1			6	31	3			1		2		2										46
	Customer Service	F	1				30	23					9		1										64
		M					6	6																	12
	Housing Need	F					1	2			30		1	3	2					1					40
		M				1					8		2	2											13
	Housing Operations	F				2		1			21		32	5				1							62
		M				1					8		7	2											18
	Housing Strat. & Supp.	F				1					1		1		3										6
		M									1		6	1	1	1		1		1					12

Service Area	Functional Area	Gender	App/ Graduate	A	B	C	D	E	E1	E2	F	F2	G	H	I	J	K	L	M	N	Chief Officer	Psych	QI Scale	Teacher	Grand Total
	Management Team	F																							0
		M																			1				1
	Performance & Change	F									1		7		1			1							10
		M											2		2		1								5
Operational Services	Facilities Management	F		525	48	37	64	4						2											680
		M		52	2	3	92				5			3					1						158
	Fleet & Comm Transport	F	1			21	5																		27
		M	1			2	30	1		14	1	4	1	1				1							56
	Imprint	F																							0
		M				2																			2
	Management Team	F					1	1																	2
		M																			1				1
	NETs Land & Countryside	F				11	2	4					2	1		1									21
		M	7		23	45	51	73		3	16	1	12	2	3	1				1					238
	Public Transport	F				1					1							1							3
		M						1																	1
	Roads and Transportation	F	1			4	1	1			2		3	1											13
		M	9			3	2	72		7	21		16	15	7	1	3			1					157
	Support Services	F					3	4			2		2												11
		M				1					3			2											6
	Waste Services	F			2	3	2				2			2											11
		M				88	40	50			4		7		1		1		1						192

Service Area	Functional Area	Gender	App/ Graduate	A	B	C	D	E	E1	E2	F	F2	G	H	I	J	K	L	M	N	Chief Officer	Psych	QI Scale	Teacher	Grand Total
Planning, Econ. Dev. & Regen.	Community Planning	F											2				1								3
		M																							0
	Community Regeneration	F	8					1			8		2	2		1									22
		M	7	1							3			3					1						15
	Economic Development	F	1				2	2					9	3					1						18
		M											3	5	2										10
	Env. Health & Trading Stand.	F					1				5		1	5											12
		M						4			3		2	5	3		2			1					20
	Management Team	F																							0
		M																			1				1
	Planning	F		1			2						1	3		1		1							9
		M									2		5	7	3	4		1							22
	Support Services	F					1																		1
		M																							0
	Tech. Support Service	F				5	2	1			1		1												10
		M									1		1												2

Service Area	Functional Area	Gender	App/ Graduate	A	B	C	D	E	E1	E2	F	F2	G	H	I	J	K	L	M	N	Chief Officer	Psych	QI Scale	Teacher	Grand Total
Social Policy	Adult Assess. and Care	F				1	5	5			1		1	16	4										33
		M						1						2	1		2								6
	Adults Day Service	F		4		5		21			27		7	1	2										67
		M				3	1	7			8		1		2										22
	Adults Residential	F		1		1		2			13		1	2	1										21
		M						1			1														2
	Care Homes	F		47		74	5	63			8		1	3	1										202
		M		3		5	2	7						1	3										21
	Child Care & Protection	F				1	1				21		2	50	12										87
		M									2			6											8
	CMT CHCP	F																			1				1
		M																							0
	Criminal & Youth Justice	F					5	1			9			18	5		1								39
		M						6			10		2	9	5										32
	Early Interven. Programme	F		1			3				7			2	1										14
		M									3					1									4
	Early Interven. and LAC	F		3		9	6	1			64		21	25	6	1	3								139
		M				1					7		16	9	1	1									35
	Health Improvement	F					1						9		1										11
		M											1												1

Service Area	Functional Area	Gender	App/ Graduate	A	B	C	D	E	E1	E2	F	F2	G	H	I	J	K	L	M	N	Chief Officer	Psych	QI Scale	Teacher	Grand Total
	Housing with Care	F		12		28	4	57			1		1	6											109
		M				5		3						1			1								10
	Mental Health	F						1					1	7											9
		M											1	2	1										4
	Occupational Therapy	F				5	1	5					1	18	3		1								34
		M				5	1	1						2											9
	Old People Assess & Care	F					1	7			20			16	3		1								48
		M									3			2	4										9
	Protection & Emergency	F				1	6	3			2			7	8										27
		M					1				1			1			1								4
	Management & Support	F															1			2					3
		M																		2					2
	Support	F		1		26	5	2			7		2	3	7										53
		M				4	1				2				2	1									10
	Support at Home	F				109		24			11			3											147
		M				2								1											3
	SWAT	F					1						6	2	1										10
		M																							0
All Services		F	18	671	50	971	575	595	1	1	376	0	204	268	91	15	15	6	5	6	4	11	3	1785	5671
		M	91	61	25	240	338	284	163	53	173	79	169	148	75	17	13	6	9	7	8	2	2	456	2419
Grand Total			109	732	75	1211	913	879	164	54	549	79	373	416	166	32	28	12	14	13	12	13	5	2241	8090

WEST Lothian Council Occupational Segregation by Ethnicity as at February 2017

Service Area	Functional Area	Ethnicity	App/ Graduate	A	B	C	D	E	E1	E2	F	F2	G	H	I	J	K	L	M	N	Chief Officer	Psych	QI Scale	Teacher	Grand Total
Chief Exec, Finance and Property	Advice Shop	BME						1			1			1											3
		Other						12			19		10	4			1								46
	Audit & Risk Mngt	BME																							0
		Other											2	1	1	1			1						6
	Chief Exec. – Mngt & Supp.	BME																							0
		Other		1							2			1	2										6
	Const. Services	BME																							0
		Other				1					2		22	13	6		1		1						46
	Estates	BME																							0
		Other	2								1			1											4
	Financial Mngt	BME																							0
		Other	1	1			11	1			9		5	10	4	3	4		1	1					51
	Mngt Team – Chief Exec.	BME																							0
		Other													1				1						2
	Mngt Team – Finance	BME																							0
		Other																			1				1
	Property Mngt & Dev.	BME																							0
		Other				5	1	5					1	5	4				1						22

Service Area	Functional Area	Ethnicity	App/ Graduate	A	B	C	D	E	E1	E2	F	F2	G	H	I	J	K	L	M	N	Chief Officer	Psych	QI Scale	Teacher	Grand Total
	Revenues & Benefits	BME						1																	1
		Other	2			5		71			23		4	7		1		1							114
Corporate Mgmt Team	Mngt Team	BME																							0
		Other																		3					3
Corporate Services	Civic Centre Support	BME																							0
		Other				19	5	5						1											30
	Corporate Comms.	BME																							0
		Other		1			1				5				2	1		1							11
	HR Services	BME					1						1												2
		Other				1	15	13			5		4	8	6	1	2			1					56
	Information Technology	BME																							0
		Other					1	5			19			19	6	3		2		1					56
	Legal Services	BME																							0
		Other				2		4			1		8	8	1	3				1					28
	Mngt Team – Corporate	BME																							0
		Other																		1					1
	Perf. Improvement.	BME																							0
		Other				2	1	3					1	6	2			1							16
	Procurement	BME																							0
		Other					3						4	2	4										13

Service Area	Functional Area	Ethnicity	App/ Graduate	A	B	C	D	E	E1	E2	F	F2	G	H	I	J	K	L	M	N	Chief Officer	Psych	QI Scale	Teacher	Grand Total
Education Services	Active Schools	BME												1											1
		Other											16	2	1									1	20
	Adult Basic Education	BME																							0
		Other	1				1						2	1											5
	Adult Learning	BME																							0
		Other					1						14	4		2									21
	Community Arts	BME											1												1
		Other				2	10	4					4	1		1									22
	Community High Schools	BME																							0
		Other				16	3	6			2			1		1									29
	Comm. Youth Services	BME																							0
		Other				13	33	3			11		9	5	1		1							1	77
	Customer Care & Comm	BME																							0
		Other						1						1											2
	Education Development	BME																							0
		Other											1	1					1				5	13	21
	Ed. Resources Team	BME																							0
		Other									1			1											2
	Instrumental Music	BME																							0
		Other																						29	29

Service Area	Functional Area	Ethnicity	App/ Graduate	A	B	C	D	E	E1	E2	F	F2	G	H	I	J	K	L	M	N	Chief Officer	Psych	QI Scale	Teacher	Grand Total
	Management & Support	BME									1														1
		Other						1											1					5	7
	Management Team CMT	BME																							0
		Other																	1						1
	Mngt Team Ed. Services	BME																							0
		Other																			3				3
	Nursery Schools	BME																							0
		Other				12	3	73			6													8	102
	PPP	BME																							0
		Other					1							1											2
	Primary Schools	BME				4		1																15	20
		Other		65		376	97	136			14													1140	1828
	Psychological Services	BME																							0
		Other					1	1														13			15
	Pupil Placement	BME																							0
		Other					6				1			1											8
	Secondary Schools	BME				1																		24	25
		Other		2		159	26	27			34			8	11									889	1156
	Special Education	BME																							0
		Other						5			2													2	9

Service Area	Functional Area	Ethnicity	App/ Graduate	A	B	C	D	E	E1	E2	F	F2	G	H	I	J	K	L	M	N	Chief Officer	Psych	QI Scale	Teacher	Grand Total
	Special Schools	BME					5																	1	6
		Other				5	151	11			4				1									109	281
	Sport & Outdoor Ed.	BME																							0
		Other		9		9	2				1		8	1	1										31
	Support for Learning	BME																							0
		Other					1	1																	2
	Support Services	BME																							0
		Other						1			1				4									4	10
Housing Customer & Building	Building Services	BME											1												1
		Other	65			27	46	8	164	30	5	74	29	9	1	1			1						460
	Cust & Comm Services	BME					1																		1
		Other	2	2		36	98	10			1		15	1	4				1						170
	Customer Service	BME					1																		1
		Other	1				35	29					9		1										75
	Housing Need	BME						1			1														2
		Other				1	1	1			37		6	5	2					1					51
	Housing Operations	BME											3												3
		Other				3		1			29		36	7				1							77
	Housing Strat. & Supp.	BME																							0
		Other				1					2		7	1	4	1		1		1					18

Service Area	Functional Area	Ethnicity	App/ Graduate	A	B	C	D	E	E1	E2	F	F2	G	H	I	J	K	L	M	N	Chief Officer	Psych	QI Scale	Teacher	Grand Total
	Management Team	BME																							0
		Other																			1				1
	Performance & Change	BME																							0
		Other									1		9		3		1	1							15
Operational Services	Facilities Management	BME		5	2																				7
		Other		572	48	40	156	4			5			5					1						831
	Fleet & Comm Transport	BME																							0
		Other	2			23	35	1		14	1	4	1	1				1							83
	Imprint	BME																							0
		Other				2																			2
	Management Team	BME																							0
		Other					1	1													1				3
	NETs Land & Countryside	BME			1																				1
		Other	7		22	56	53	77		3	16	1	14	3	3	2				1					258
	Public Transport	BME																							0
		Other				1		1			1							1							4
	Roads and Transportation	BME																							0
		Other	10			7	3	73		7	23		19	16	7	1	3			1					170
	Support Services	BME																							0
		Other				1	3	4			5		2	2											17
	Waste Services	BME				1		1																	2
		Other			2	90	42	49			6		7	2	1		1		1						201

Service Area	Functional Area	Ethnicity	App/ Graduate	A	B	C	D	E	E1	E2	F	F2	G	H	I	J	K	L	M	N	Chief Officer	Psych	QI Scale	Teacher	Grand Total
Planning, Econ. Dev. & Regen.	Community Planning	BME																							0
		Other											2				1								3
	Community Regeneration	BME												1											1
		Other	15	1				1			11		2	4		1			1						36
	Economic Development	BME																							0
		Other	1				2	2					12	8	2				1						28
	Env. Health & Trading Stand.	BME																							0
		Other					1	4			8		3	10	3		2			1					32
	Management Team	BME																							0
		Other																			1				1
	Planning	BME											1												1
		Other		1			2				2		5	10	3	5		2							30
	Support Services	BME																							0
		Other					1																		1
	Tech. Support Service	BME																							0
		Other				5	2	1			2		2												12

Service Area	Functional Area	Ethnicity	App/ Graduate	A	B	C	D	E	E1	E2	F	F2	G	H	I	J	K	L	M	N	Chief Officer	Psych	QI Scale	Teacher	Grand Total
Social Policy	Adult Assess. and Care	BME																							0
		Other				1	5	6			1		1	18	5		2								39
	Adults Day Service	BME				1																			1
		Other		4		7	1	28			35		8	1	4										88
	Adults Residential	BME																							0
		Other		1		1		3			14		1	2	1										23
	Care Homes	BME		1		3		1						1											6
		Other		49		76	7	69			8		1	3	4										217
	Child Care & Protection	BME												2	1										3
		Other				1	1				23		2	54	11										92
	CMT CHCP	BME																							0
		Other																			1				1
	Criminal & Youth Justice	BME															1								1
		Other					5	7			19		2	27	10										70
	Early Interven. Programme	BME																							0
		Other		1			3				10			2	1	1									18
	Early Interven. and LAC	BME												1	1										2
		Other		3		10	6	1			71		37	33	6	2	3								172
	Health Improvement	BME																							0
		Other					1						10		1										12

Service Area	Functional Area	Ethnicity	App/ Graduate	A	B	C	D	E	E1	E2	F	F2	G	H	I	J	K	L	M	N	Chief Officer	Psych	QI Scale	Teacher	Grand Total
	Housing with Care	BME				1																			1
		Other		12		32	4	60			1		1	7			1								118
	Mental Health	BME																							0
		Other						1					2	9	1										13
	Occupational Therapy	BME																							0
		Other				10	2	6					1	20	3		1								43
	Old People Assess & Care	BME												1	1										2
		Other					1	7			23			17	6		1								55
	Protection & Emergency	BME																							0
		Other				1	7	3			3			8	8		1								31
	Management & Support	BME																							0
		Other															1			4					5
	Support	BME																							0
		Other		1		30	6	2			9		2	3	9	1									63
	Support at Home	BME						1																	1
		Other				111		23			11			4											149
	SWAT	BME												1											1
		Other					1						6	1	1										9
All Services		BME	0	6	3	11	8	7	0	0	3	0	7	9	3	0	1	0	0	0	0	0	0	40	98
		Other	109	726	72	1200	905	872	164	54	546	79	366	407	163	32	27	12	14	13	12	13	5	2201	7992
Grand Total			109	732	75	1211	913	879	164	54	549	79	373	416	166	32	28	12	14	13	12	13	5	2241	8090

WEST LoTHIAN COUNCIL OCCUPATIONAL SEGREGATION BY DISABILITY AS AT FEBRUARY 2017

Service Area	App/ Graduate	A	B	C	D	E	E1	E2	F	F2	G	H	I	J	K	L	M	N	Chief Officer	Psych	QI Scale	Teacher	Grand Total
Chief Executive, Finance and Property					1	3			1		2			1									8
Corporate Management Team																							0
Corporate Services				1								2	1										4
Education Services				3	1	2			2				1	1						1		11	22
Housing Customer & Building Services				1	4	1			2	1	5		1										15
Operational Services		4	2	1	8	3		1	1														20
Planning, Economic Development & Regeneration		1							1														2
Social Policy				5	1	5			6		2	3	3		1								11
All Services	0	5	2	11	15	14	0	1	13	1	9	5	6	2	1	0	0	0	0	1	0	11	97

EMPLOYMENT MONITORING DATA AND ANALYSIS

The council has a statutory duty, as a public sector employer, to publish employment monitoring statistics in relation to the composition of our workforce and the recruitment, development and retention of our employees.

Information on our employees has been gathered and reported on according protected characteristics and is provided in the tables below for the period 1 January 2015 to 31 December 2016.

Sources of Information

The council's HR Management Information System has been used to gather and report on the following:

- Staff currently in post
- Employees applying for and receiving training
- Employees involved in grievance, disciplinary or bullying and harassment cases
- Employees leaving the council

The National Recruitment Portal has been used to gather and report on the following:

- Applicants for employment and promotion
- Candidates selected for interview
- Candidates successfully appointed

Monitoring Process Developments

In previous years the council has aimed to fill gaps in equality monitoring information held on employees by carrying out Diversity Surveys. The information gathered by means of the Diversity Surveys was anonymous and provided valuable information at the point in time, however it did not provide the council with an ongoing record of the composition of the council.

Therefore, to further improve the quality of the equality monitoring information held on council employees the HR Management Information System was developed in late 2016 to allow employees to use the self-service area of the system (HR21) to add to or amend the equality monitoring information held on them by the council.

This development will allow all employees, new and existing, to provide information not currently held by the council or to update equality monitoring information where individual circumstances change. The self-service mechanism removes the need for form filing or data input by a third party, therefore minimising error and ensuring confidentiality.

A campaign to advertise the new self-service mechanism for equality monitoring information was carried out in autumn 2016. The desired improvement in equality monitoring information held by the council is yet to be fully realised however and further awareness-raising and ongoing training in the use of the self-service mechanism will be required.

Data Analysis and Highlights

Gender

The proportion of men and women working in the council has remained largely unchanged over the 10 years of monitoring with the workforce continuing to be split approximately 70% female, 30% male.

The recruitment statistics for 2015 and 2016 report approximately 60% of applicants and successful candidates as female. During the same period approximately 60% of those leaving the council were female, therefore there was no impact on the overall gender split of the organisation.

Despite the 70/30 gender split of the council's employees, the split of employees applying for and receiving corporate training was approximately 50/50 in 2015 and 60/40 in 2016.

Similarly, the proportion of women and men involved in Grievance, Disciplinary and Bullying and Harassment cases often does not follow the 70/30 split of the organisation. However, this is not significant due to the small number of cases.

Ethnicity

The information held on HR21 indicates that approximately 65% of the council's workforce is White-Scottish. The 2014 Diversity Survey however indicated that 85% of the workforce was White-Scottish. This difference may be accounted for by the 26% of employees whose ethnicity is not known on the HR21 system.

Current information indicates that 1.2% of our workforce is from Black and Minority Ethnic (BME) backgrounds. The 2011 census reported that 2.5% of the West Lothian Community is from BME backgrounds.

In both 2015 and 2016 the percentage of applicants to the council from the BME community is not reflected in the percentage of successful candidates appointed. In 2015, there was a drop from 4.0% BME applicants to 1.9% BME successful candidates and similarly in 2016, there was a drop from 4.2% BME applicants to 1.9% BME successful candidates.

The percentage of leavers from the BME community was representative of the overall workforce at 1.3% and 1.5% in 2015 and 2016 respectively.

Disability

The difference between the information held on HR21 for the percentage of employees with a disability (1.2%) and that reported in the 2014 diversity survey (7.5%) suggests there is much work to be done to fill the gaps in the HR21 system.

The most significant disability type reported by applicants and successful candidates during both 2015 and 2016 is Learning Disability (over 30%). However this is not reflected in the information we have on current employees which reports the number of employees with a learning disability as only 3.1%.

The new HR21 self-service mechanism will be particularly useful in filling these gaps and keeping this information up-to-date going forward as employees will be able to update their information if they become disabled while working for the council.

The recruitment information indicates that the Guaranteed Job Interview Scheme for applicants with a disability is continuing to work appropriately, with a higher percentage of interview candidates having a disability than the percentage of initial applicants.

Age

The information held on the age profile of the council is considered to be accurate with employee date of birth gathered at the time of appointment.

The age demographic of the council has remained relatively unchanged over the 10 years of equality monitoring despite the higher percentages of applicants from the lower age ranges.

A third of all corporate training is applied for and received by employees aged 51-60.

Sexual Orientation

The information held on the HR21 system on sexual orientation continues to have significant gaps with the sexual orientation of 74% of employees unknown. In contrast, the sexual orientation of applicants to the council is only unknown in approximately 6% of cases.

It is hoped that the work being done to encourage employees to complete their equality monitoring information on HR21 will improve the information the council holds on the sexual orientation of its employees going forward.

Religion or Belief

The information held on the HR21 system on religion or belief continues to have significant gaps with the religion or belief of 90% of employees unknown. In contrast, the religion or belief of applicants to the council is only unknown in approximately 12% of cases.

It is hoped that the work being done to encourage employees to complete their equality monitoring information on HR21 will improve the information the council holds on the religion or belief of its employees going forward.

Caring Responsibilities

While information on caring responsibilities was captured during the 2014 diversity survey, this is the first time that information on caring responsibilities has been captured on the HR21 system via the self-service mechanism. To date 472 employees have provided information on their caring responsibilities. We would seek to improve this information going forward.

It is evident that no discrimination on the grounds of caring responsibilities is taking place in the recruitment of employees as the percentage of applicants with caring responsibilities remains relatively static throughout the process.

Gender Identity

While information on gender identity was captured during the 2014 diversity survey, this is the first time that information on gender identity has been captured on the HR21 system via the self-service mechanism. To date 484 employees have provided information on their gender identity. We would seek to improve this information going forward.

EMPLOYMENT MONITORING STATISTICS
(1 January 2015 – 31 December 2016)

1. STAFF IN POST

The following tables contain equality monitoring information obtained from the councils HR Management Information System.

1.1 Employees in Post by Gender as at 31 December 2016

Gender	Number	Percentage
Female	5671	70.1
Male	2419	29.9
Prefer not to say	0	0
Unknown	0	0
Total	8090	100

1.2 Employees in Post by Ethnicity as at 31 December 2016

Ethnicity	Number	Percentage
White – Scottish	5229	64.6
White - Other British	330	4.1
White – Irish	87	1.1
White - Gypsy/ Traveller	0	0
White - Eastern European (e.g. Polish)	3	0.0
White - Other ethnic group	209	2.6
Any mixed or multiple ethnic group	12	0.1
Pakistani, Pakistani Scottish or Pakistani British	19	0.2
Indian, Indian Scottish or Indian British	18	0.2
Bangladeshi, Bangladeshi Scottish or Bangladeshi British	1	0.0
Chinese, Chinese Scottish or Chinese British	2	0.0
Other Asian	5	0.1
African, African Scottish or African British	11	0.1
Other African	0	0
Caribbean, Caribbean Scottish or Caribbean British	18	0.2
Black, Black Scottish or Black British	0	0
Other Caribbean or Black	0	0
Arab, Arab Scottish or Arab British	0	0
Other Arab	0	0
Other	12	0.1
Prefer not to say	2134	26.4
Unknown	0	0
Total	8090	100

1.3 Employees in post by Disability as at 31 December 2016

Disability	Number	Percentage
Yes	97	1.2
No	505	6.2
Prefer not to say	19	0.2
Unknown	7469	92.3
Total	8090	100

1.4 Employees in post by Disability Type as at 31 December 2016

Disability Type	Number	Percentage
A learning disability	3	3.1
A longstanding illness or other health condition	14	14.4
A mental health condition	9	9.3
A physical impairment	5	5.2
Sensory impairment	7	7.2
Other condition	4	4.1
Prefer not to say	1	1.0
Unknown	54	55.7
Total	97	100

1.5 Employees in Post by Age as at 31 December 2016

Age	Number	Percentage
Under 21	106	1.3
21-30	1147	14.2
31-40	1636	20.2
41-50	2241	27.7
51-60	2378	29.4
61 Plus	582	7.2
Unknown	0	0
Total	8090	100

1.6 Employees in post by Sexual Orientation as at 31 December 2016

Sexual Orientation	Number	Percentage
Bisexual	11	0.1
Gay	27	0.3
Lesbian	18	0.2
Heterosexual/ straight	2015	24.9
Other	0	0
Prefer not to say	65	0.8
Unknown	5954	73.6
Total	8090	100

1.7 Employees in post by Religion or Belief as at 31 December 2016

Religion or Belief	Number	Percentage
None	344	4.3
Church of Scotland	205	2.5
Roman Catholic	133	1.6
Other Christian	53	0.7
Muslim	3	0.0
Buddhist	3	0.0
Sikh	2	0.0
Jewish	1	0.0
Hindu	0	0
Humanist	3	0.0
Pagan	3	0.0
Other religion or belief	6	0.1
Prefer not to say	49	0.6
Unknown	7285	90.0
Total	8090	100

1.8 Employee in post by Caring Responsibility as at 31 December 2016

Caring Responsibilities	Number	Percentage
Yes (children under 18)	227	2.8
Yes other	39	0.5
No	206	2.5
Prefer not to say	22	0.3
Unknown	7596	93.9
Total	8090	100

1.9 Employees in post by Gender Identity as at 31 December 2016

The statistics in the table below are provided in response to the following question: Have you ever identified as a transgender person or as undergoing any part of the gender reassignment process?

Gender Identity	Number	Percentage
Yes	1	0.0
No	483	6.0
Prefer not to say	11	0.1
Unknown	7595	93.9
Total	8090	100

2. APPLICANTS FOR EMPLOYMENT

The following statistics are taken from the National Recruitment Portal.

2.1 GENDER

2.1.1 Applicants for Employment 1 January 2015 – 31 December 2015 by Gender

GENDER	Applicants for Employment		Selected for Interview		Successful Appointments	
	No.	%	No.	%	No.	%
Female	5755	56.8	2011	63.0	497	59.9
Male	4065	40.2	1042	32.7	287	34.6
Prefer not to say	22	0.2	9	0.2	2	0.2
Unknown	285	2.8	128	4.1	44	5.3
Total	10127	100	3189	100	830	100

2.1.2 Applicants for Employment 1 January 2016 – 31 December 2016 by Gender

GENDER	Applicants for Employment		Selected for Interview		Successful Appointments	
	No.	%	No.	%	No.	%
Female	8758	64.7	2401	62.5	649	60.3
Male	4440	32.8	1306	34.0	358	33.2
Prefer not to say	35	0.3	12	0.3	3	0.3
Unknown	301	2.2	121	3.2	67	6.2
Total	13534	100	3840	100	1077	100

2.2 ETHNICITY

2.2.1 Applicants for Employment 1 January 2015 – 31 December 2015 by Ethnicity

ETHNICITY	Applicants for Employment		Selected for Interview		Successful Appointments	
	No.	%	No.	%	No.	%
White – Scottish	7988	78.9	2533	79.4	654	78.8
White - Other British	727	7.2	239	7.5	67	8.1
White – Irish	133	1.3	50	1.6	13	1.6
White - Gypsy/ Traveller	4	0.1	2	0.1	0	0
White - Eastern European (e.g. Polish)	146	1.4	24	0.7	6	0.7
White - Other ethnic group	266	2.6	63	1.9	15	1.8
Any mixed or multiple ethnic group	53	0.5	11	0.3	1	0.1
Pakistani, Pakistani Scottish/British	93	0.9	19	0.6	5	0.6
Indian, Indian Scottish/British	41	0.4	14	0.4	1	0.1
Bangladeshi, Bangladeshi Scottish/British	5	0.1	1	0.1	1	0.1
Chinese, Chinese Scottish/British	21	0.2	2	0.1	1	0.1
Other Asian	20	0.2	6	0.2	1	0.1
African, African Scottish/British	35	0.3	9	0.3	1	0.1
Other African	90	0.9	24	0.7	2	0.3
Caribbean, Caribbean Scottish/British	4	0.1	1	0.1	0	0
Black, Black Scottish/British	29	0.3	9	0.3	1	0.1
Other Caribbean or Black	2	0.1	0	0	0	0
Arab, Arab Scottish/British	16	0.1	4	0.1	2	0.3
Other Arab	0	0	0	0	0	0
Other	0	0	0	0	0	0
Prefer not to say	78	0.8	25	0.8	5	0.6
Unknown	379	3.7	153	4.8	54	6.5
Total	10127	100	3189	100	830	100

2.2.2 Applicants for Employment 1 January 2016 – 31 December 2016 by Ethnicity

ETHNICITY	Applicants for Employment		Selected for Interview		Successful Appointments	
	No.	%	No.	%	No.	%
White – Scottish	10515	77.7	3049	79.4	833	77.3
White - Other British	1056	7.8	308	8.0	89	8.3
White – Irish	181	1.3	69	1.8	17	1.6
White - Gypsy/ Traveller	3	0.0	2	0.1	0	0
White - Eastern European (e.g. Polish)	269	2.0	50	1.3	14	1.3
White - Other ethnic group	447	3.3	83	2.2	25	2.3
Any mixed or multiple ethnic group	75	0.6	23	0.6	3	0.3
Pakistani, Pakistani Scottish/British	102	0.8	16	0.4	4	0.4
Indian, Indian Scottish/British	86	0.6	11	0.3	4	0.4
Bangladeshi, Bangladeshi Scottish/British	4	0.0	0	0	0	0
Chinese, Chinese Scottish/British	30	0.2	3	0.1	0	0
Other Asian	56	0.4	12	0.3	1	0.1
African, African Scottish/British	37	0.3	7	0.2	4	0.4
Other African	98	0.7	18	0.5	4	0.4
Caribbean, Caribbean Scottish/British	2	0.0	4	0.1	0	0
Black, Black Scottish/British	48	0.4	8	0.2	1	0.1
Other Caribbean or Black	11	0.1	0	0	0	0
Arab, Arab Scottish/British	0	0	0	0	0	0
Other Arab	17	0.1	2	0.1	0	0
Other	0	0	0	0	0	0
Prefer not to say	86	0.6	26	0.7	5	0.5
Unknown	411	3.0	149	3.9	73	6.8
Total	13534	100	3840	100	1077	100

2.3 DISABILITY

2.3.1 Applicants for Employment 1 January 2015 – 31 December 2015 by Disability

DISABILITY	Applicants for Employment (10127)		Selected for Interview (3189)		Successful Appointments (830)	
	No.	%	No.	%	No.	%
Disabled	345	3.4	136	4.3	21	2.5

2.3.2 Applicants for Employment 1 January 2016 – 31 December 2016 by Disability

DISABILITY	Applicants for Employment (13534)		Selected for Interview (3840)		Successful Appointments (1077)	
	No.	%	No.	%	No.	%
Disabled	494	3.6	187	4.9	30	2.9

2.3.3 Applicants for Employment 1 January 2015 – 31 December 2015 by Disability Type

DISABILITY TYPE	Applicants for Employment		Selected for Interview		Successful Appointments	
	No.	%	No.	%	No.	%
Learning Disability	125	36.3	44	32.4	9	42.8
Longstanding Illness	56	16.2	33	24.3	5	23.8
Mental Health Condition	59	17.1	20	14.7	2	9.5
Physical Impairment	56	16.2	21	15.5	1	4.8
Sensory Impairment	16	4.6	9	6.6	3	14.3
Other	11	3.2	1	0.7	0	0
Prefer Not to Say	9	2.6	4	2.9	0	0
Unknown	13	3.8	4	2.9	1	4.8
Total	345	100	136	100	21	100

2.3.4 Applicants for Employment 1 January 2016 – 31 December 2016 by Disability Type

DISABILITY TYPE	Applicants for Employment		Selected for Interview		Successful Appointments	
	No.	%	No.	%	No.	%
Learning Disability	190	38.5	70	37.4	11	36.7
Longstanding Illness	93	18.8	48	25.7	9	30.0
Mental Health Condition	34	6.9	12	6.4	2	6.7
Physical Impairment	80	16.2	25	13.4	3	10.0
Sensory Impairment	27	5.5	11	5.9	1	3.3
Other	14	2.8	3	1.6	1	3.3
Prefer Not to Say	13	2.6	3	1.6	0	0
Unknown	43	8.7	15	8.0	3	10.0
Total	494	100	187	100	30	100

2.4 AGE

2.4.1 Applicants for Employment 1 January 2015 – 31 December 2015 by Age

AGE	Applicants for Employment		Selected for Interview		Successful Appointments	
	No.	%	No.	%	No.	%
Under 21	821	8.1	158	5.0	40	4.8
21-30	3202	31.6	788	24.7	203	24.5
31-40	2317	22.9	860	27.0	206	24.8
41-50	1896	18.7	691	21.7	184	22.2
51-60	1210	11.9	432	13.5	110	13.2
61 plus	239	2.4	91	2.8	33	4.0
Not Known	442	4.4	169	5.3	54	6.5
Total	10127	100	3189	100	830	100

2.4.2 Applicants for Employment 1 January 2016 – 31 December 2016 by Age

AGE	Applicants for Employment		Selected for Interview		Successful Appointments	
	No.	%	No.	%	No.	%
Under 21	962	7.1	223	5.8	67	6.2
21-30	3970	29.3	961	25.0	288	26.7
31-40	3427	25.3	970	25.3	262	24.3
41-50	2787	20.6	889	23.2	224	20.8
51-60	1663	12.3	538	14.0	131	12.2
61 plus	263	1.9	89	2.3	26	2.4
Not Known	462	3.4	170	4.4	79	7.3
Total	13534	100	3840	100	1077	100

2.5 SEXUAL ORIENTATION

2.5.1 Applicants for Employment 1 January 2015 – 31 December 2015 by Sexual Orientation

SEXUAL ORIENTATION	Applicants for Employment		Selected for Interview		Successful Appointments	
	No.	%	No.	%	No.	%
Bisexual	71	0.7	25	0.8	5	0.6
Gay	95	0.9	42	1.3	9	1.1
Heterosexual/Straight	9192	90.8	2833	88.8	735	88.5
Lesbian	58	0.6	20	0.6	3	0.4
Unknown	327	3.2	150	4.7	48	5.8
Prefer not to say	364	3.6	110	3.5	29	3.5
Other	20	0.2	9	0.3	1	0.1
Totals	10127	100	3189	100	830	100

2.5.2 Applicants for Employment 1 January 2016 – 31 December 2016 by Sexual Orientation

SEXUAL ORIENTATION	Applicants for Employment		Selected for Interview		Successful Appointments	
	No.	%	No.	%	No.	%
Bisexual	81	0.6	20	0.5	3	0.3
Gay	185	1.4	56	1.5	11	1.0
Heterosexual/Straight	12279	90.7	3436	89.5	962	89.3
Lesbian	96	0.7	27	0.7	5	0.5
Unknown	383	2.8	150	3.9	75	7.0
Prefer not to say	480	3.5	143	3.7	21	1.9
Other	30	0.2	8	0.2	0	0
Totals	13534	100	3840	100	1077	100

2.6 RELIGION OR BELIEF

2.6.1 Applicants for Employment 1 January 2015 – 31 December 2015 by Religion or Belief

RELIGION OR BELIEF	Applicants for Employment		Selected for Interview		Successful Appointments	
	No.	%	No.	%	No.	%
Buddhist	13	0.1	1	0.1	1	0.1
Church of Scotland	1830	18.1	654	20.5	175	21.1
Hindu	17	0.2	5	0.1	1	0.1
Humanist	50	0.5	14	0.4	4	0.5
Jewish	4	0.1	2	0.1	0	0
Muslim	127	1.2	30	0.9	8	1.0
None	4635	45.7	1332	41.8	342	41.2
Other Christian	710	7.0	222	7.0	52	6.3
Other Religion/Belief	91	0.9	26	0.8	6	0.7
Pagan	3	0.1	1	0.1	0	0
Roman Catholic	1465	14.4	469	14.7	116	14.0
Sikh	5	0.1	1	0.1	0	0
Prefer Not to Say	652	6.4	219	6.7	56	6.7
Unknown	525	5.2	213	6.7	69	8.3
Total	10127	100	3189	100	830	100

2.6.2 Applicants for Employment 1 January 2016 – 31 December 2016 by Religion or Belief

RELIGION OR BELIEF	Applicants for Employment		Selected for Interview		Successful Appointments	
	No.	%	No.	%	No.	%
Buddhist	34	0.3	11	0.3	5	0.5
Church of Scotland	2455	18.1	803	20.9	230	21.4
Hindu	47	0.3	3	0.1	2	0.2
Humanist	146	1.1	47	1.2	17	1.6
Jewish	3	0.0	0	0	0	0
Muslim	145	1.1	18	0.5	4	0.4
None	6212	45.9	1570	40.9	417	38.7
Other Christian	1070	7.9	286	7.4	74	6.9
Other Religion/Belief	85	0.6	20	0.5	4	0.4
Pagan	9	0.1	3	0.1	1	0.1
Roman Catholic	1958	14.5	628	16.4	174	16.2
Sikh	18	0.1	4	0.1	1	0.1
Prefer Not to Say	772	5.7	245	6.4	53	4.9
Unknown	580	4.3	202	5.3	95	8.8
Total	13534	100	3840	100	1077	100

2.7 CARING RESPONSIBILITIES

2.7.1 Applicants for Employment 1 January 2015 – 31 December 2015 by Caring Responsibilities

CARING RESPONSIBILITIES	Applicants for Employment		Selected for Interview		Successful Appointments	
	No.	%	No.	%	No.	%
Yes (Children under 18)	3105	30.7	1054	33.1	286	34.4
Yes (Other)	230	2.3	75	2.3	20	2.4
No	6376	62.9	1892	59.3	472	56.9
Prefer Not to Say	64	0.6	22	0.7	4	0.5
Unknown	352	3.5	146	4.6	48	5.8
Total	10127	100	3189	100	830	100

2.7.2 Applicants for Employment 1 January 2016 – 31 December 2016 by Caring Responsibilities

CARING RESPONSIBILITIES	Applicants for Employment		Selected for Interview		Successful Appointments	
	No.	%	No.	%	No.	%
Yes (Children under 18)	4880	36.1	1340	34.9	385	35.7
Yes (Other)	307	2.3	104	2.7	19	1.8
No	7892	58.3	2232	58.1	598	55.5
Prefer Not to Say	99	0.7	30	0.8	4	0.4
Unknown	356	2.6	134	3.5	71	6.6
Total	13534	100	3840	100	1077	100

2.8 GENDER IDENTITY

2.8.1 Applicants for Employment 1 January 2015 – 31 December 2015 by Gender Identity

The statistics in the table below are provided in response to the following question: Have you ever identified as a transgender person or as undergoing any part of the gender reassignment process?

GENDER IDENTITY	Applicants for Employment		Selected for Interview		Successful Appointments	
	No.	%	No.	%	No.	%
Yes	8	0.1	2	0.1	2	0.2
No	9713	95.9	3020	94.7	776	93.5
Prefer Not to Say	65	0.6	22	0.7	3	0.4
Unknown	341	3.4	145	4.5	49	5.9
Total	10127	100	3189	100	830	100

2.8.2 Applicants for Employment 1 January 2016 – 31 December 2016 by Gender Identity

The statistics in the table below are provided in response to the following question: Have you ever identified as a transgender person or as undergoing any part of the gender reassignment process?

GENDER IDENTITY	Applicants for Employment		Selected for Interview		Successful Appointments	
	No.	%	No.	%	No.	%
Yes	30	0.2	4	0.1	0	0
No	13047	96.4	3657	95.2	998	92.7
Prefer Not to Say	112	0.8	46	1.2	9	0.8
Unknown	345	2.5	133	3.5	70	6.5
Total	13534	100	3840	100	1077	100

3. APPLICANTS FOR PROMOTION

The following figures are taken from the National Recruitment Portal and are based on a candidate's own determination as to whether the post they are applying for constitutes a promotion.

3.1 GENDER

3.1.1 Applicants for Promotion 1 January 2015 – 31 December 2015 by Gender

GENDER	Applicants for Employment		Selected for Interview		Successful Appointments	
	No.	%	No.	%	No.	%
Female	582	64.9	290	67.4	73	64.0
Male	314	35	140	32.6	41	36.0
Prefer not to say	0	0	0	0	0	0
Unknown	1	0.1	0	0	0	0
Total	897	100	430	100	114	100

3.1.2 Applicants for Promotion 1 January 2016 – 31 December 2016 by Gender

GENDER	Applicants for Employment		Selected for Interview		Successful Appointments	
	No.	%	No.	%	No.	%
Female	819	73.2	356	72.7	96	70.6
Male	297	26.5	132	26.9	40	29.4
Unknown	3	0.3	2	0.4	0	0
Prefer not to say	0	0	0	0	0	0
Total	1119	100	490	100	136	100

3.2 ETHNICITY

3.2.1 Applicants for Promotion 1 January 2015 – 31 December 2015 by Ethnicity

ETHNICITY	Applicants for Employment		Selected for Interview		Successful Appointments	
	No.	%	No.	%	No.	%
White – Scottish	779	86.8	373	86.8	99	86.8
White - Other British	50	5.6	28	6.5	8	7.0
White – Irish	22	2.5	11	2.6	1	0.9
White - Gypsy/ Traveller	0	0	0	0	0	0
White - Eastern European (e.g. Polish)	14	1.6	4	0.9	1	0.9
White - Other ethnic group	7	0.8	1	0.2	0	0
Any mixed or multiple ethnic group	3	0.3	1	0.2	0	0
Pakistani, Pakistani Scottish/British	2	0.2	0	0	0	0
Indian, Indian Scottish/British	0	0	0	0	0	0
Bangladeshi, Bangladeshi Scottish/British	2	0.2	1	0.2	1	0.9
Chinese, Chinese Scottish/British	0	0	0	0	0	0
Other Asian	1	0.1	1	0.2	0	0
African, African Scottish/British	0	0	0	0	0	0
Other African	2	0.2	2	0.5	0	0
Caribbean, Caribbean Scottish/British	1	0.1	1	0.2	0	0
Black, Black Scottish/British	0	0	0	0	0	0
Other Caribbean or Black	0	0	0	0	0	0
Arab, Arab Scottish/British	0	0	0	0	0	0
Other Arab	0	0	0	0	0	0
Other	0	0	0	0	0	0
Prefer not to say	1	0.1	0	0	0	0
Unknown	13	1.4	7	1.6	4	3.5
Total	897	100	430	100	114	100

3.2.2 Applicants for Promotion 1 January 2016 – 31 December 2016 by Ethnicity

ETHNICITY	Applicants for Employment		Selected for Interview		Successful Appointments	
	No.	%	No.	%	No.	%
White – Scottish	916	81.9	425	86.7	118	86.8
White - Other British	100	8.9	40	8.2	13	9.6
White – Irish	8	0.7	6	1.2	1	0.7
White - Gypsy/ Traveller	0	0	0	0	0	0
White - Eastern European (e.g. Polish)	19	1.7	3	0.6	0	0
White - Other ethnic group	33	2.9	4	0.8	3	2.2
Any mixed or multiple ethnic group	1	0.1	1	0.2	0	0
Pakistani, Pakistani Scottish/British	4	0.4	1	0.2	0	0
Indian, Indian Scottish/British	2	0.2	0	0	0	0
Bangladeshi, Bangladeshi Scottish/British	0	0	0	0	0	0
Chinese, Chinese Scottish/British	3	0.3	0	0	0	0
Other Asian	1	0.1	0	0	0	0
African, African Scottish/British	5	0.4	0	0	0	0
Other African	3	0.3	0	0	0	0
Caribbean, Caribbean Scottish/British	0	0	0	0	0	0
Black, Black Scottish/British	2	0.2	0	0	0	0
Other Caribbean or Black	0	0	0	0	0	0
Arab, Arab Scottish/British	0	0	0	0	0	0
Other Arab	2	0.2	0	0	0	0
Other	0	0	0	0	0	0
Prefer not to say	14	1.3	7	1.4	0	0
Unknown	6	0.5	3	0.6	1	0.7
Total	1119	100	490	100	136	100

3.3 DISABILITY

3.3.1 Applicants for Promotion 1 January 2015 – 31 December 2015 by Disability

DISABILITY	Applicants for Employment (897)		Selected for Interview (430)		Successful Appointments (114)	
	No.	%	No.	%	No.	%
Disabled	14	1.6	7	1.6	2	1.8

3.3.2 Applicants for Promotion 1 January 2016 – 31 December 2016 by Disability

DISABILITY	Applicants for Employment (1119)		Selected for Interview (490)		Successful Appointments (136)	
	No.	%	No.	%	No.	%
Disabled	21	1.9	15	3.1	0	0

3.3.3 Applicants for Promotion 1 January 2015 – 31 December 2015 by Disability Type

DISABILITY TYPE	Applicants for Employment		Selected for Interview		Successful Appointments	
	No.	%	No.	%	No.	%
Learning Disability	4	28.6	1	14.3	0	0
Longstanding Illness	2	14.3	1	14.3	0	0
Mental Health Condition	0	0	0	0	0	0
Physical Impairment	1	7.1	0	0	0	0
Sensory Impairment	1	7.1	1	14.3	1	50
Other	1	7.1	1	14.3	0	0
Prefer Not to Say	2	14.2	1	14.3	0	0
Unknown	3	21.4	2	28.5	1	50
Total	14	100	7	100	2	100

3.3.4 Applicants for Promotion 1 January 2016 – 31 December 2016 by Disability Type

DISABILITY TYPE	Applicants for Employment		Selected for Interview		Successful Appointments	
	No.	%	No.	%	No.	%
Learning Disability	2	9.5	1	6.7	0	0
Longstanding Illness	11	52.4	9	60.0	0	0
Mental Health Condition	0	0	0	0	0	0
Physical Impairment	3	14.3	3	20.0	0	0
Sensory Impairment	3	14.3	1	6.7	0	0
Other	0	0	0	0	0	0
Prefer Not to Say	1	4.8	0	0	0	0
Unknown	1	4.8	1	6.7	0	0
Total	21	100	15	100	0	0

3.4 AGE

3.4.1 Age Profile of Applicants for Promotion 1 January 2015 – 31 December 2015

AGE	Applicants for Employment		Selected for Interview		Successful Appointments	
	No.	%	No.	%	No.	%
Under 21	31	3.5	15	3.5	1	0.9
21-30	150	16.7	52	12.1	16	14.0
31-40	294	32.8	152	35.3	34	29.8
41-50	252	28.1	120	27.9	41	36.0
51-60	149	16.6	79	18.4	17	14.9
61 plus	17	1.9	9	2.1	4	3.5
Not known	4	0.4	3	0.7	1	0.9
Total	897	100	430	100	114	100

3.4.2 Age Profile of Applicants for Promotion 1 January 2016 – 31 December 2016

AGE	Applicants for Employment		Selected for Interview		Successful Appointments	
	No.	%	No.	%	No.	%
Under 21	42	3.8	9	1.8	3	2.2
21-30	183	16.4	79	16.1	30	22.1
31-40	373	33.3	141	28.8	36	26.5
41-50	344	30.7	175	35.7	43	31.6
51-60	145	13.0	73	14.9	19	14.0
61 plus	14	1.3	7	1.4	3	2.2
Not known	18	1.6	6	1.2	2	1.5
Total	1119	100	490	100	136	100

3.5 SEXUAL ORIENTATION

3.5.1 Applicants for Promotion 1 January 2015 – 31 December 2015 by Sexual Orientation

SEXUAL ORIENTATION	Applicants for Employment		Selected for Interview		Successful Appointments	
	No.	%	No.	%	No.	%
Bisexual	2	0.2	1	0.2	0	0
Gay	9	1.0	5	1.2	2	1.8
Heterosexual/Straight	835	93.1	404	93.9	105	92.1
Lesbian	2	0.2	2	0.5	0	0
Unknown	9	1.0	3	0.7	2	1.8
Prefer Not to Say	28	3.1	13	3.0	5	4.3
Other	12	1.4	2	0.5	0	0
Totals	897	100	430	100	114	100

3.5.2 Applicants for Promotion 1 January 2016 – 31 December 2016 by Sexual Orientation

SEXUAL ORIENTATION	Applicants for Employment		Selected for Interview		Successful Appointments	
	No.	%	No.	%	No.	%
Bisexual	0	0	0	0	0	0
Gay	25	2.2	15	3.1	0	0
Heterosexual/Straight	1006	89.9	439	89.6	131	96.3
Lesbian	5	0.4	4	0.8	1	0.7
Unknown	9	0.8	3	0.6	0	0
Prefer Not to Say	65	5.8	24	4.9	4	2.9
Other	9	0.8	5	1.0	0	0
Totals	1119	100	490	100	136	100

3.6 RELIGION OR BELIEF

3.6.1 Applicants for Promotion 1 January 2015 – 31 December 2015 by Religion or Belief

RELIGION OR BELIEF	Applicants for Employment		Selected for Interview		Successful Appointments	
	No.	%	No.	%	No.	%
Buddhist	0	0	0	0	0	0
Church of Scotland	264	29.4	123	28.6	30	26.3
Hindu	0	0	0	0	0	0
Humanist	2	0.2	1	0.2	1	0.9
Jewish	0	0	0	0	0	0
Muslim	8	0.9	3	0.7	1	0.9
None	297	33.1	149	34.7	42	36.8
Other Christian	57	6.4	29	6.7	2	1.7
Other Religion/Belief	3	0.3	2	0.5	1	0.9
Pagan	1	0.1	0	0	0	0
Roman Catholic	202	22.5	93	21.6	27	23.7
Sikh	0	0	0	0	0	0
Prefer Not to Say	44	4.9	19	4.4	5	4.4
Unknown	19	2.1	11	2.6	5	4.4
Total	897	100	430	100	114	100

3.6.2 Applicants for Promotion 1 January 2016 – 31 December 2016 by Religion or Belief

RELIGION OR BELIEF	Applicants for Employment		Selected for Interview		Successful Appointments	
	No.	%	No.	%	No.	%
Buddhist	4	0.4	1	0.2	1	0.7
Church of Scotland	298	26.6	141	28.8	37	27.2
Hindu	1	0.1	0	0	0	0
Humanist	4	0.4	2	0.4	1	0.7
Jewish	0	0	0	0	0	0
Muslim	5	0.4	0	0	0	0
None	430	38.4	179	36.5	47	34.6
Other Christian	100	8.9	34	6.9	11	8.1
Other Religion/Belief	10	0.9	1	0.2	0	0
Pagan	0	0	0	0	0	0
Roman Catholic	204	18.2	95	19.4	31	22.8
Sikh	1	0.1	0	0	0	0
Prefer Not to Say	52	4.6	32	6.5	8	5.9
Unknown	10	0.9	5	1.0	0	0
Total	1119	100	490	100	136	100

3.7 CARING RESPONSIBILITIES

3.7.1 Applicants for Promotion 1 January 2015 – 31 December 2015 by Caring Responsibilities

CARING RESPONSIBILITIES	Applicants for Employment		Selected for Interview		Successful Appointments	
	No.	%	No.	%	No.	%
Yes (Children under 18)	379	42.3	188	43.7	46	40.4
Yes (Other)	15	1.7	5	1.2	3	2.6
No	491	54.7	231	53.7	61	53.5
Prefer Not to Say	5	0.5	2	0.5	1	0.9
Unknown	7	0.8	4	0.9	3	2.6
Total	897	100	430	100	114	100

3.7.2 Applicants for Promotion 1 January 2016 – 31 December 2016 by Caring Responsibilities

CARING RESPONSIBILITIES	Applicants for Employment		Selected for Interview		Successful Appointments	
	No.	%	No.	%	No.	%
Yes (Children under 18)	541	48.3	234	47.8	71	52.2
Yes (Other)	40	3.6	23	4.7	6	4.4
No	523	46.7	225	45.9	57	41.9
Prefer Not to Say	11	1.0	6	1.2	0	0
Unknown	4	0.4	2	0.4	2	1.5
Total	1119	100	490	100	136	100

3.8 GENDER IDENTITY

3.8.1 Applicants for Promotion 1 January 2015 – 31 December 2015 by Gender Identity

The statistics in the table below are provided in response to the following question: Have you ever identified as a transgender person or as undergoing any part of the gender reassignment process?

GENDER IDENTITY	Applicants for Employment		Selected for Interview		Successful Appointments	
	No.	%	No.	%	No.	%
Yes	1	0.1	0	0	0	0
No	892	99.5	428	99.5	114	100
Prefer Not to Say	0	0	0	0	0	0
Unknown	4	0.4	2	0.5	0	0
Total	897	100	430	100	114	100

3.8.2 Applicants for Promotion 1 January 2016 – 31 December 2016 by Gender Identity

The statistics in the table below are provided in response to the following question: Have you ever identified as a transgender person or as undergoing any part of the gender reassignment process?

GENDER IDENTITY	Applicants for Employment		Selected for Interview		Successful Appointments	
	No.	%	No.	%	No.	%
Yes	0	0	0	0	0	0
No	1097	98.0	481	98.2	135	99.3
Prefer Not to Say	17	1.5	8	1.6	1	0.7
Unknown	5	0.4	1	0.2	0	0
Total	1119	100	490	100	136	100

4. EMPLOYEES APPLYING FOR AND RECEIVING TRAINING

The table below contains information on employees who have received training centrally. The majority of training carried out centrally is mandatory. Therefore, there have not been any employees who have applied for training centrally who have not received the training or are currently awaiting the training.

4.1 Employees who applied for and received training during period 1 January 2015 – 31 December 2015

ETHNICITY	Number	Proportion (%)
White – Scottish	1560	65.3
White - Other British	85	3.6
White – Irish	19	0.8
White - Gypsy/ Traveller	0	0
White - Eastern European (e.g. Polish)	0	0
White - Other ethnic group	55	2.3
Any mixed or multiple ethnic group	2	0.1
Pakistani, Pakistani Scottish/British	2	0.1
Indian, Indian Scottish/British	0	0
Bangladeshi, Bangladeshi Scottish/British	0	0
Chinese, Chinese Scottish/British	0	0
Other Asian	1	0.0
African, African Scottish/British	2	0.1
Other African	0	0
Caribbean, Caribbean Scottish/British	4	0.2
Black, Black Scottish/British	0	0
Other Caribbean or Black	0	0
Arab, Arab Scottish/British	0	0
Other Arab	0	0
Other	6	0.3
Prefer not to say	652	27.3
Unknown	0	0
	2388	100
GENDER	Number	Proportion (%)
Female	1152	48.2
Male	1236	51.8
Unknown	0	0
	2388	100
DISABILITY	Number	Proportion (%)
Number of Disabled Employees	27	1.1
	27	1.1
AGE	Number	Proportion (%)
Under 21	40	1.7
21 - 30	323	13.5
31 - 40	372	15.6
41 - 50	645	27.0
51 - 60	822	34.4
61 plus	186	7.8
Unknown	0	0
	2388	100
SEXUAL ORIENTATION	Number	Proportion (%)
Bisexual	3	0.1
Gay	8	0.3
Heterosexual/Straight	537	22.5
Lesbian	3	0.1
Prefer Not to Say	13	0.5
Unknown	1824	76.4
	2388	100

RELIGION OR BELIEF	Number	Proportion (%)
Buddhist	1	0.0
Church of Scotland	41	1.7
Hindu	0	0
Humanist	2	0.1
Jewish	0	0
Muslim	0	0
None	59	2.5
Other Christian	9	0.4
Other Religion/Belief	2	0.1
Pagan	2	0.1
Roman Catholic	26	1.1
Sikh	0	0
Prefer Not to Say	8	0.3
Unknown	2238	93.7
	2388	100
CARING RESPONSIBILITY	Number	Proportion (%)
No	56	2.3
Yes (children under 18)	70	2.9
Yes (other)	17	0.7
Prefer Not to Say	8	0.3
Unknown	2237	93.7
	2388	100
GENDER IDENTITY	Number	Proportion (%)
Yes	1	0.0
No	133	5.6
Prefer Not to Say	4	0.2
Unknown	2250	97.2

4.2 Employees who applied for and received training during period 1 January 2016 – 31 December 2016

ETHNICITY	Number	Proportion (%)
White – Scottish	2587	66.7
White - Other British	143	3.7
White – Irish	24	0.6
White - Gypsy/ Traveller	0	0
White - Eastern European (e.g. Polish)	0	0
White - Other ethnic group	85	2.2
Any mixed or multiple ethnic group	5	0.1
Pakistani, Pakistani Scottish/British	6	0.2
Indian, Indian Scottish/British	0	0
Bangladeshi, Bangladeshi Scottish/British	0	0
Chinese, Chinese Scottish/British	2	0.1
Other Asian	5	0.1
African, African Scottish/British	4	0.1
Other African	0	0
Caribbean, Caribbean Scottish/British	10	0.3
Black, Black Scottish/British	0	0
Other Caribbean or Black	0	0
Arab, Arab Scottish/British	0	0
Other Arab	0	0
Other	7	0.2
Prefer not to say	1001	25.8
Unknown	0	0
	3879	100
GENDER	Number	Proportion (%)
Female	2281	58.8
Male	1598	41.2
Unknown	0	0
	3879	100
DISABILITY	Number	Proportion (%)
Number of Disabled Employees	56	1.4
	56	1.4
AGE	Number	Proportion (%)
Under 21	83	2.1
21 - 30	462	11.9
31 - 40	600	15.5
41 - 50	1128	29.1
51 - 60	1289	33.2
61 plus	317	8.2
Unknown	0	0
	3879	100
SEXUAL ORIENTATION	Number	Proportion (%)
Bisexual	7	0.2
Gay	10	0.3
Heterosexual/Straight	874	22.5
Lesbian	6	0.2
Prefer Not to Say	32	0.8
Unknown	2950	76.1
	3879	100

RELIGION OR BELIEF	Number	Proportion (%)
Buddhist	0	0
Church of Scotland	91	2.3
Hindu	0	0
Humanist	3	0.1
Jewish	1	0.0
Muslim	1	0.0
None	132	3.4
Other Christian	17	0.4
Other Religion/Belief	4	0.1
Pagan	2	0.1
Roman Catholic	55	1.4
Sikh	0	0
Prefer Not to Say	25	0.6
Unknown	3548	91.5
	3879	100
CARING RESPONSIBILITY	Number	Proportion (%)
No	101	2.6
Yes (children under 18)	122	3.1
Yes (other)	27	0.1
Prefer Not to Say	13	0.3
Unknown	3616	93.2
	3879	100
GENDER IDENTITY	Number	Proportion (%)
Yes	0	0
No	236	6.1
Prefer Not to Say	7	0.2
Unknown	3636	93.7
	3879	100

5. GRIEVANCE, DISCIPLINE AND BULLYING & HARASSMENT

The total number of employees involved in grievance procedures, who were the subject of disciplinary procedures or who raised Bullying & Harassment at work complaints was as follows:

5.1 Grievance Procedures, Disciplinary Procedures and Bullying & Harassment Complaints for period 1 January 2015 – 31 December 2015

	Grievance		Disciplinary		Bullying & Harassment	
ETHNICITY	No.	%	No.	%	No.	%
White – Scottish	0	0	27	58.7	7	0
White - Other British	0	0	1	2.2	2	0
White – Irish	0	0	0	0	0	0
White - Gypsy/ Traveller	0	0	0	0	0	0
White - Eastern European (e.g. Polish)	0	0	0	0	0	0
White - Other ethnic group	11	52.4	2	4.3	1	0
Any mixed or multiple ethnic group	0	0	0	0	0	0
Pakistani, Pakistani Scottish/British	0	0	1	2.2	0	0
Indian, Indian Scottish/British	0	0	0	0	0	0
Bangladeshi, Bangladeshi Scottish/British	0	0	0	0	0	0
Chinese, Chinese Scottish/British	0	0	0	0	0	0
Other Asian	0	0	0	0	0	0
African, African Scottish/British	0	0	0	0	0	0
Other African	0	0	0	0	0	0
Caribbean, Caribbean Scottish/British	0	0	1	2.2	0	0
Black, Black Scottish/British	0	0	0	0	0	0
Other Caribbean or Black	0	0	0	0	0	0
Arab, Arab Scottish/British	0	0	0	0	0	0
Other Arab	0	0	0	0	0	0
Other	0	0	0	0	0	0
Prefer not to say	10	47.6	14	30.4	5	0
Unknown	0	0	0	0	0	0
	21	100	46	100	15	100
GENDER	No.	%	No.	%	No.	%
Female	9	42.9	15	32.6	11	73.3
Male	12	57.1	31	67.4	4	26.7
	21	100	46	100	15	100
DISABILITY	No.	%	No.	%	No.	%
Number of Disabled Employees	0	0	1	2.2	0	0
	0	0	1	2.2	0	0
AGE	No.	%	No.	%	No.	%
Under 21	0	0	0	0	0	0
21 – 30	3	14.3	11	23.9	0	0
31 – 40	3	14.3	8	17.4	2	13.3
41 – 50	5	23.8	14	30.4	5	33.3
51 – 60	9	42.9	10	21.7	7	46.7
61 plus	1	4.8	3	6.5	1	6.7
	21	100	46	100	15	100
SEXUAL ORIENTATION	No.	%	No.	%	No.	%
Bisexual	0	0	0	0	0	0
Gay	0	0	0	0	0	0
Heterosexual/Straight	4	19.0	9	19.6	0	0
Lesbian	0	0	0	0	0	0
Prefer Not to Say	0	0	0	0	0	0
Unknown	17	81.0	37	80.4	15	100
	21	100	46	100	15	100

RELIGION OR BELIEF	No.	%	No.	%	No.	%
Buddhist	0	0	0	0	0	0
Church of Scotland	0	0	3	6.5	0	0
Hindu	0	0	0	0	0	0
Humanist	0	0	0	0	0	0
Jewish	0	0	0	0	0	0
Muslim	0	0	0	0	0	0
None	0	0	0	0	0	0
Other Christian	0	0	0	0	0	0
Other Religion/Belief	0	0	0	0	0	0
Pagan	0	0	0	0	0	0
Roman Catholic	1	4.8	0	0	0	0
Sikh	0	0	0	0	0	0
Prefer Not to Say	0	0	0	0	0	0
Unknown	20	95.2	43	93.5	15	100
	21	100	16	100	15	100
CARING RESPONSIBILITY	0	0	0	0	0	0
No	0	0	1	2.2	0	0
Yes (children under 18)	1	4.8	1	2.2	0	0
Yes (other)	0	0	0	0	0	0
Prefer Not to Say	0	0	0	0	0	0
Unknown	20	95.2	44	95.7	15	100
	21	100	46	100	15	100
GENDER IDENTITY	0	0	0	0	0	0
Yes	0	0	0	0	0	0
No	1	4.8	2	4.3	0	0
Prefer Not to Say	0	0	0	0	0	0
Unknown	20	95.2	44	95.7	15	100
	21	100	46	100	15	100

5.2 Grievance Procedures, Disciplinary Procedures and Bullying & Harassment Complaints for period 1 January 2016 – 31 December 2016

	Grievance		Disciplinary		Bullying & Harassment	
ETHNICITY	No.	%	No.	%	No.	%
White – Scottish	7	70	18	58.1	4	66.7
White - Other British	0	0	0	0	0	0
White – Irish	0	0	1	3.2	0	0
White - Gypsy/ Traveller	0	0	0	0	0	0
White - Eastern European (e.g. Polish)	0	0	0	0	0	0
White - Other ethnic group	1	10	0	0	0	0
Any mixed or multiple ethnic group	0	0	1	3.2	0	0
Pakistani, Pakistani Scottish/British	0	0	0	0	0	0
Indian, Indian Scottish/British	0	0	0	0	0	0
Bangladeshi, Bangladeshi Scottish/British	0	0	0	0	0	0
Chinese, Chinese Scottish/British	0	0	0	0	0	0
Other Asian	0	0	1	3.2	0	0
African, African Scottish/British	0	0	0	0	0	0
Other African	0	0	0	0	0	0
Caribbean, Caribbean Scottish/British	0	0	2	6.5	0	0
Black, Black Scottish/British	0	0	0	0	0	0
Other Caribbean or Black	0	0	0	0	0	0
Arab, Arab Scottish/British	0	0	0	0	0	0
Other Arab	0	0	0	0	0	0
Other	0	0	0	0	0	0
Prefer not to say	2	20.0	8	25.8	2	33.3
Unknown	0	0	0	0	0	0
	10	100	31	100	6	100
GENDER	No.	%	No.	%	No.	%
Female	2	20.0	11	35.5	3	50.0
Male	8	80.0	20	64.5	3	50.0
	10	100	31	100	6	100
DISABILITY	No.	%	No.	%	No.	%
Number of Disabled Employees	0	0	0	0	1	16.7
	0	0	0	0	1	16.7
AGE	No.	%	No.	%	No.	%
Under 21	0	0	0	0	0	0
21 – 30	0	0	12	38.7	0	0
31 – 40	3	30.0	3	9.7	2	33.3
41 – 50	4	40.0	3	9.7	3	50.0
51 – 60	2	20.0	11	35.5	1	16.7
61 plus	1	10.0	2	6.5	0	0
	10	100	31	100	6	100
SEXUAL ORIENTATION	No.	%	No.	%	No.	%
Bisexual	0	0	0	0	0	0
Gay	0	0	0	0	0	0
Heterosexual/Straight	2	20.0	5	16.1	0	0
Lesbian	0	0	1	3.2	0	0
Prefer Not to Say	0	0	0	0	0	0
Unknown	8	80.0	25	80.6	6	100
	10	100	31	100	6	100

RELIGION OR BELIEF	No.	%	No.	%	No.	%
Buddhist	0	0	0	0	0	0
Church of Scotland	0	0	0	0	0	0
Hindu	0	0	0	0	0	0
Humanist	0	0	0	0	0	0
Jewish	0	0	0	0	0	0
Muslim	0	0	0	0	0	0
None	0	0	1	3.2	0	0
Other Christian	0	0	0	0	0	0
Other Religion/Belief	0	0	0	0	0	0
Pagan	0	0	0	0	0	0
Roman Catholic	0	0	0	0	0	0
Sikh	0	0	0	0	0	0
Prefer Not to Say	1	10.0	0	0	0	0
Unknown	9	90.0	30	96.8	6	100
	10	100	31	100	6	100
CARING RESPONSIBILITY	0	0	0	0	0	0
No	0	0	0	0	0	0
Yes (children under 18)	1	10.0	0	0	0	0
Yes (other)	0	0	0	0	0	0
Prefer Not to Say	0	0	0	0	0	0
Unknown	9	90.0	31	100	6	100
	10	100	31	100	6	100
GENDER IDENTITY	0	0	0	0	0	0
Yes	0	0	0	0	0	0
No	1	10.0	0	0	0	0
Prefer Not to Say	0	0	0	0	0	0
Unknown	9	90.0	31	100	6	100
	10	100	31	100	6	100

6. EMPLOYEES LEAVING EMPLOYMENT

6.1 Employees leaving employment during period 1 January 2015 – 31 December 2015

ETHNICITY	Number	Proportion (%)
White – Scottish	492	64.9
White - Other British	35	4.6
White – Irish	15	2.0
White - Gypsy/ Traveller	0	0
White - Eastern European (e.g. Polish)	0	0
White - Other ethnic group	17	2.2
Any mixed or multiple ethnic group	2	0.3
Pakistani, Pakistani Scottish/British	3	0.4
Indian, Indian Scottish/British	1	0.1
Bangladeshi, Bangladeshi Scottish/British	0	0
Chinese, Chinese Scottish/British	2	0.3
Other Asian	0	0
African, African Scottish/British	2	0.3
Other African	0	0
Caribbean, Caribbean Scottish/British	0	0
Black, Black Scottish/British	0	0
Other Caribbean or Black	0	0
Arab, Arab Scottish/British	0	0
Other Arab	0	0
Other	2	0.3
Prefer not to say	187	24.7
Unknown	0	0
	758	100
GENDER	Number	Proportion (%)
Female	472	62.3
Male	286	37.7
	758	100
DISABILITY	Number	Proportion (%)
Number of Disabled Employees	5	0.7
	5	0.7
AGE	Number	Proportion (%)
Under 21	26	3.4
21 – 30	160	21.1
31 – 40	132	17.4
41 – 50	127	16.8
51 – 60	128	16.9
61 plus	185	24.4
	758	100
SEXUAL ORIENTATION	Number	Proportion (%)
Bisexual	0	0
Gay	0	0
Heterosexual	203	26.8
Lesbian	0	0
Unknown	551	72.7
Prefer Not to Say	4	0.5
Other	0	0
	758	100

RELIGION OR BELIEF	Number	Proportion (%)
Buddhist	0	0
Church of Scotland	0	0
Hindu	0	0
Humanist	0	0
Jewish	0	0
Muslim	0	0
None	0	0
Other Christian	0	0
Other Religion/Belief	0	0
Pagan	0	0
Roman Catholic	0	0
Sikh	0	0
Prefer Not to Say	0	0
Unknown	758	100
	758	100
CARING RESPONSIBILITY	Number	Proportion (%)
No	0	0
Yes (children under 18)	0	0
Yes (other)	0	0
Prefer Not to Say	0	0
Unknown	758	100
	758	100
GENDER IDENTITY	Number	Proportion (%)
Yes	0	0
No	0	0
Prefer Not to Say	0	0
Unknown	758	100
	758	100

6.2 Employees leaving employment during period 1 January 2016 – 31 December 2016

ETHNICITY	Number	Proportion (%)
White – Scottish	512	63.4
White - Other British	41	5.1
White – Irish	12	1.5
White - Gypsy/ Traveller	0	0
White - Eastern European (e.g. Polish)	0	0
White - Other ethnic group	39	4.8
Any mixed or multiple ethnic group	1	0.1
Pakistani, Pakistani Scottish/British	0	0
Indian, Indian Scottish/British	1	0.1
Bangladeshi, Bangladeshi Scottish/British	0	0
Chinese, Chinese Scottish/British	1	0.1
Other Asian	1	0.1
African, African Scottish/British	2	0.2
Other African	0	0
Caribbean, Caribbean Scottish/British	5	0.6
Black, Black Scottish/British	0	0
Other Caribbean or Black	0	0
Arab, Arab Scottish/British	0	0
Other Arab	0	0
Other	0	0
Prefer not to say	193	23.9
Unknown	0	0
	808	100
GENDER	Number	Proportion (%)
Female	508	62.9
Male	300	37.1
	808	100
DISABILITY	Number	Proportion (%)
Number of Disabled Employees	6	0.7
	6	0.7
AGE	Number	Proportion (%)
Under 21	33	4.1
21 – 30	172	21.3
31 – 40	137	17.0
41 – 50	138	17.1
51 – 60	175	21.7
61 plus	153	18.9
	808	100
SEXUAL ORIENTATION	Number	Proportion (%)
Bisexual	2	0.2
Gay	1	0.1
Heterosexual	215	26.6
Lesbian	3	0.4
Unknown	583	72.2
Prefer Not to Say	4	0.5
Other	0	0
	808	100

RELIGION OR BELIEF	Number	Proportion (%)
Buddhist	0	0
Church of Scotland	6	0.7
Hindu	0	0
Humanist	0	0
Jewish	0	0
Muslim	0	0
None	10	1.2
Other Christian	1	0.1
Other Religion/Belief	0	0
Pagan	1	0.1
Roman Catholic	1	0.1
Sikh	0	0
Prefer Not to Say	0	0
Unknown	789	97.6
	808	100
CARING RESPONSIBILITY	Number	Proportion (%)
No	3	0.4
Yes (children under 18)	2	0.2
Yes (other)	0	0
Prefer Not to Say	0	0
Unknown	803	99.4
	808	100
GENDER IDENTITY	Number	Proportion (%)
Yes	0	0
No	4	0.5
Prefer Not to Say	0	0
Unknown	804	99.5
	808	100

6.3 Reasons for leaving during period 1 January 2015 – 31 December 2015

	Contract Expired	Deceased	Dismissed	Dismissed – capability	Early Retiral	Ill Health Retiral	Leaving Area	Other Employment	Personal reasons	Reason not disclosed	Retirement	Voluntary Severance	Totals
ETHNICITY													
White Scottish	84	8	10	15	22	19	5	138	44	29	100	18	492
White Other British	5	1	0	1	3	1	2	11	2	3	5	1	35
White Irish	0	0	0	0	0	0	3	10	0	0	0	2	15
White Gypsy/Traveller	0	0	0	0	0	0	0	0	0	0	0	0	0
White Eastern European	0	0	0	0	0	0	0	0	0	0	0	0	0
White Other Ethnic Group	4	0	0	0	0	0	0	9	2	1	0	1	17
Any Mixed or Multiple ethnic group	0	0	0	0	0	0	0	2	0	0	0	0	2
Pakistani, Pakistani Scottish/British	1	0	1	0	0	0	0	1	0	0	0	0	3
Indian, Indian Scottish/British	0	0	0	0	0	0	0	1	0	0	0	0	1
Bangladeshi, Bangladeshi Scottish/British	0	0	0	0	0	0	0	0	0	0	0	0	0
Chinese, Chinese Scottish/British	0	0	0	0	0	0	1	1	0	0	0	0	2
Other Asian	0	0	0	0	0	0	0	0	0	0	0	0	0
African, African Scottish/British	0	0	0	0	0	0	0	1	0	1	0	0	2
Other African	0	0	0	0	0	0	0	0	0	0	0	0	0
Caribbean, Caribbean Scottish/British	0	0	0	0	0	0	0	0	0	0	0	0	0
Black, Black Scottish/British	0	0	0	0	0	0	0	0	0	0	0	0	0
Other Caribbean or Black	0	0	0	0	0	0	0	0	0	0	0	0	0
Arab, Arab Scottish or Arab British	0	0	0	0	0	0	0	0	0	0	0	0	0
Other Arab	0	0	0	0	0	0	0	0	0	0	0	0	0
Other	0	0	0	0	0	0	0	1	1	0	0	0	2
Prefer not to say	31	1	2	10	2	7	5	76	24	10	14	5	187
Unknown	0	0	0	0	0	0	0	0	0	0	0	0	0
	125	10	13	26	27	27	16	251	73	44	119	27	758

	Contract Expired	Deceased	Dismissed	Dismissed – capability	Early Retiral	Ill Health Retiral	Leaving Area	Other Employment	Personal reasons	Reason not disclosed	Retirement	Voluntary Severance	Totals
GENDER													
Female	42	6	12	19	21	22	12	166	52	31	81	19	472
Male	83	4	12	7	6	5	4	85	21	13	38	8	286
	125	10	13	26	27	27	16	251	73	44	119	27	758
DISABILITY													
Number of Disabled Employees	0	0	0	0	0	0	0	1	1	0	2	1	5
	0	0	0	0	0	0	0	1	1	0	2	1	5
AGE													
Under 21	18	0	0	0	0	0	0	5	2	1	0	0	26
21 – 30	47	1	7	0	0	0	10	85	4	6	0	0	160
31 – 40	24	1	1	2	0	2	2	71	17	7	0	2	132
41 – 50	12	2	2	4	0	7	1	67	18	13	0	1	127
51 – 60	13	3	2	11	19	6	2	19	21	14	6	12	128
61 plus	8	3	1	9	8	12	1	4	11	3	113	12	185
	125	10	13	26	27	27	16	251	73	44	119	27	758
SEXUAL ORIENTATION													
Bisexual	0	0	0	0	0	0	0	0	0	0	0	0	0
Gay	0	0	0	0	0	0	0	0	0	0	0	0	0
Heterosexual/Straight	74	3	5	3	0	0	3	89	11	13	1	1	203
Lesbian	0	0	0	0	0	0	0	0	0	0	0	0	0
Other	0	0	0	0	0	0	0	0	0	0	0	0	0
Prefer not to say	1	0	0	0	0	0	0	2	0	1	0	0	4
Unknown	50	7	8	23	27	27	13	160	62	30	118	26	551
	125	10	13	26	27	27	16	251	73	44	119	27	758
RELIGION/BELIEF													
Buddhist	0	0	0	0	0	0	0	0	0	0	0	0	0
Church of Scotland	0	0	0	0	0	0	0	0	0	0	0	0	0
Hindu	0	0	0	0	0	0	0	0	0	0	0	0	0
Humanist	0	0	0	0	0	0	0	0	0	0	0	0	0
Jewish	0	0	0	0	0	0	0	0	0	0	0	0	0
Muslim	0	0	0	0	0	0	0	0	0	0	0	0	0
None	0	0	0	0	0	0	0	0	0	0	0	0	0
Other Christian	0	0	0	0	0	0	0	0	0	0	0	0	0
Other Religion/Belief	0	0	0	0	0	0	0	0	0	0	0	0	0
Pagan	0	0	0	0	0	0	0	0	0	0	0	0	0
Roman Catholic	0	0	0	0	0	0	0	0	0	0	0	0	0
Sikh	0	0	0	0	0	0	0	0	0	0	0	0	0
Prefer Not to Say	0	0	0	0	0	0	0	0	0	0	0	0	0
Unknown	125	10	13	26	27	27	16	251	73	44	119	27	758
	125	10	13	26	27	27	16	251	73	44	119	27	758

	Contract Expired	Deceased	Dismissed	Dismissed – capability	Early Retiral	Ill Health Retiral	Leaving Area	Other Employment	Personal reasons	Reason not disclosed	Retirement	Voluntary Severance	Totals
CARING RESPONSIBILITY													
No	0	0	0	0	0	0	0	0	0	0	0	0	0
Yes (children under 18)	0	0	0	0	0	0	0	0	0	0	0	0	0
Yes (other)	0	0	0	0	0	0	0	0	0	0	0	0	0
Prefer Not to Say	0	0	0	0	0	0	0	0	0	0	0	0	0
Unknown	125	10	13	26	27	27	16	251	73	44	119	27	758
	125	10	13	26	27	27	16	251	73	44	119	27	758
GENDER IDENTITY													
Yes	0	0	0	0	0	0	0	0	0	0	0	0	0
No	0	0	0	0	0	0	0	0	0	0	0	0	0
Prefer Not to Say	0	0	0	0	0	0	0	0	0	0	0	0	0
Unknown	125	10	13	26	27	27	16	251	73	44	119	27	758
	125	10	13	26	27	27	16	251	73	44	119	27	758

6.4 Reasons for leaving during period 1 January 2016 – 31 December 2016

	Contract Expired	Deceased	Dismissed	Dismissed – capability	Early Retiral	Ill Health Retiral	Leaving Area	Other Employment	Personal reasons	Reason not disclosed	Retirement	Voluntary Severance	Totals
ETHNICITY													
White Scottish	56	7	2	13	19	14	10	179	35	42	97	38	512
White Other British	3	0	0	1	0	1	3	19	5	2	7	0	41
White Irish	0	0	0	0	0	0	0	0	0	0	0	0	0
White Gypsy/Traveller	0	0	0	0	0	0	0	0	0	0	0	0	0
White Eastern European	0	0	0	0	0	0	0	0	0	0	0	0	0
White Other Ethnic Group	10	0	1	0	0	0	2	19	4	1	2	0	39
Any Mixed or Multiple ethnic group	0	0	1	0	0	0	0	0	0	0	0	0	1
Pakistani, Pakistani Scottish/British	0	0	0	0	0	0	0	0	0	0	0	0	0
Indian, Indian Scottish/British	0	0	0	0	0	0	0	1	0	0	0	0	1
Bangladeshi, Bangladeshi Scottish/British	0	0	0	0	0	0	0	0	0	0	0	0	0
Chinese, Chinese Scottish/British	0	0	0	0	0	0	0	1	0	0	0	0	1
Other Asian	0	0	1	0	0	0	0	0	0	0	0	0	1
African, African Scottish/British	1	0	0	1	0	0	0	0	0	0	0	0	2
Other African	0	0	0	0	0	0	0	0	0	0	0	0	0
Caribbean, Caribbean Scottish/British	0	0	1	0	0	0	0	2	2	0	0	0	5
Black, Black Scottish/British	0	0	0	0	0	0	0	0	0	0	0	0	0
Other Caribbean or Black	0	0	0	0	0	0	0	0	0	0	0	0	0
Arab, Arab Scottish or Arab British	0	0	0	0	0	0	0	0	0	0	0	0	0
Other Arab	0	0	0	0	0	0	0	0	0	0	0	0	0
Other	0	0	0	0	0	1	1	7	1	0	1	1	12
Prefer not to say	17	3	5	6	2	5	9	80	14	21	19	12	193
Unknown	0	0	0	0	0	0	0	0	0	0	0	0	0
Total	87	10	11	21	21	21	25	308	61	66	126	51	808
GENDER													
Female	39	6	2	15	12	12	21	207	40	39	74	41	508
Male	48	4	9	6	9	9	4	101	21	27	52	10	300
	87	10	11	21	21	21	25	308	61	66	126	51	808

	Contract Expired	Deceased	Dismissed	Dismissed – capability	Early Retiral	Ill Health Retiral	Leaving Area	Other Employment	Personal reasons	Reason not disclosed	Retirement	Voluntary Severance	Totals
DISABILITY													
Number of Disabled Employees	0	0	0	0	0	2	1	1	0	0	2	0	6
	0	0	0	0	0	2	1	1	0	0	2	0	6
AGE													
Under 21	17	0	0	0	0	0	0	13	1	2	0	0	33
21 – 30	34	0	3	3	0	0	10	100	12	10	0	0	172
31 – 40	14	0	3	1	0	1	2	89	17	8	0	2	137
41 – 50	7	1	3	4	0	3	6	74	14	19	0	7	138
51 – 60	10	5	2	2	16	13	7	32	13	20	31	24	175
61 plus	5	4	0	11	5	4	0	7	4	0	95	18	153
	87	10	11	21	21	21	25	308	61	66	126	51	808
SEXUAL ORIENTATION													
Bisexual	1	0	0	0	0	0	0	0	0	0	1	0	2
Gay	0	0	0	0	0	0	0	1	0	0	0	0	1
Heterosexual/ Straight	48	2	3	1	0	0	9	119	19	11	2	1	215
Lesbian	1	0	0	0	0	0	0	1	1	0	0	0	3
Other	0	0	0	0	0	0	0	0	0	0	0	0	0
Prefer not to say	1	0	0	0	0	1	0	1	1	0	0	0	4
Unknown	36	8	8	20	21	20	16	186	40	55	123	50	583
	87	10	11	21	21	21	25	308	61	66	126	51	808
RELIGION/BELIEF													
Buddhist	0	0	0	0	0	0	0	0	0	0	0	0	0
Church of Scotland	1	0	0	0	0	0	0	2	2	0	0	1	6
Hindu	0	0	0	0	0	0	0	0	0	0	0	0	0
Humanist	0	0	0	0	0	0	0	0	0	0	0	0	0
Jewish	0	0	0	0	0	0	0	0	0	0	0	0	0
Muslim	0	0	0	0	0	0	0	0	0	0	0	0	0
None	0	0	1	0	0	0	1	4	3	1	0	0	10
Other Christian	1	0	0	0	0	0	0	0	0	0	0	0	1
Other Religion/Belief	0	0	0	0	0	0	0	0	0	0	0	0	0
Pagan	1	0	0	0	0	0	0	0	0	0	0	0	1
Roman Catholic	0	0	0	0	0	0	0	0	1	0	0	0	1
Sikh	0	0	0	0	0	0	0	0	0	0	0	0	0
Prefer Not to Say	0	0	0	0	0	0	0	0	0	0	0	0	0
Unknown	84	10	10	21	21	21	24	302	55	65	126	50	789
	87	10	11	21	21	21	25	308	61	66	126	51	808

	Contract Expired	Deceased	Dismissed	Dismissed – capability	Early Retiral	Ill Health Retiral	Leaving Area	Other Employment	Personal reasons	Reason not disclosed	Retirement	Voluntary Severance	Totals
CARING RESPONSIBILITY													
No	0	0	0	0	0	0	0	1	1	0	0	1	3
Yes (children under 18)	0	0	0	0	0	0	0	2	0	0	0	0	2
Yes (other)	0	0	0	0	0	0	0	0	0	0	0	0	0
Prefer Not to Say	0	0	0	0	0	0	0	0	0	0	0	0	0
Unknown	87	10	11	21	21	21	25	305	60	66	126	50	803
	87	10	11	21	21	21	25	308	61	66	126	51	808
GENDER IDENTITY													
Yes	0	0	0	0	0	0	0	0	0	0	0	0	0
No	0	0	0	0	0	0	0	2	1	0	0	1	4
Prefer Not to Say	0	0	0	0	0	0	0	0	0	0	0	0	0
Unknown	87	10	11	21	21	21	25	306	60	66	126	50	804
	87	10	11	21	21	21	25	308	61	66	126	51	808



West Lothian
Council

Corporate Equality Outcomes Plan 2015 – 2017

Corporate Services
April 2017

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Appendix 2 – Corporate Equality Outcomes Plan 2015 - 2017

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2 Foreword

This document presents the final progress report on West Lothian Council's Equality Outcomes for the period of 2015 – 2017. Our Outcomes reflect our commitment to fulfilling both our statutory duties as well as pro-actively meeting the needs of the diverse community that we serve.

The Outcomes set in 2013 were designed as the Council's plan for breaking down barriers to services and employment opportunities and to improving outcomes for everyone who lives, works or does business in West Lothian.

The Council is committed to focusing our efforts on tackling some of the most persistent challenges of inequality in our society. Our Corporate Equality Outcomes focus on the issues identified by evidence, and those affected by inequality, as priorities for West Lothian.

Through developing closer links with our partners, involving our community and workforce and continuing to improve the way in which we monitor and review our progress, we hope to have achieved the outcomes set out in our plan and ensure that equality becomes part of everything we do.

Councillor John McGinty
Leader of the Council

Graham Hope
Chief Executive

April 2017

2. Legal Context

2.1 Public Sector Equality Duty

Section 149 of The Equality Act 2010 came into force in April 2011, introducing a new Public Sector Equality duty that became law across Scotland. The Public Sector Equality Duty (often referred to as the 'general duty') requires public bodies in the exercise of their functions, to have due regard to the need to:

1. Eliminate unlawful discrimination, harassment and victimization and other prohibited conduct.
2. Advance equality of opportunity between those who share a protected characteristic and those who do not and
3. Foster good relations between those who share a protected characteristic and those who do not.

2.2 The Equality Act 2010 (Specific Duties) (Scotland) Regulations 2012

The Scottish Government has introduced a set of specific equality duties to support the better performance of the general duty by public bodies. These duties include requirements to:

- Develop and publish a mainstreaming report
- Publish equality outcomes and report on progress (at least every two years)
- Assess and review policies and practices
- Gather and use employee information
- Publish gender pay gap information
- Publish statements on equal pay
- Consider award criteria and conditions in relation of public procurement
- Publish in a manner that is accessible

3. Monitoring and Scrutiny

As previously reported in our 2015 progress report, the Council's Executive and Corporate Management Teams remain directly involved in decision making regarding the strategic management of equality and diversity in the council. The Chair of the Council's Corporate Working Group for Equality is a member of the Corporate Management Team and the Diversity Champion for the Authority.

The Corporate Working Group for Equality continues to take forward responsibility for the monitoring and implementation of measures and actions relating to our Equality Outcomes.

A set of performance indicators have been developed to support progress against each Equality Outcome. A selection of performance indicators and progress being made against each of the Outcomes is set out in this progress report.

4. Outcome Progress

Since the introduction of our Equality Outcomes, the Council has undertaken considerable amounts of work to help move closer to achieving them.

(Appendix 2) sets out the equality outcomes and provides details of the Equality Outcomes and the progress we have made in working towards achieving the Outcomes.

It should be noted that each Outcome is not relevant to or monitored by all protected characteristics. The full information on which protected characteristics are deemed relevant to each Outcome can be viewed within the original Equality Outcomes report, which can be accessed by following the link below.

<https://www.westlothian.gov.uk/media/4270/Corporate-Equality-Outcomes-2013-17/pdf/corporateequalityoutcomes2013-17.pdf>

If you have any queries on the content of our equality outcomes progress, or wish to discuss any of the issues further, please contact the councils Equality and Diversity Advisor via the details below:

Equality and Diversity Advisor
West Lothian Council
Ground Floor (North), Civic Centre
Howden South Road
Livingston
EH54 6FF
T: 01506 281343
E: Maggie.Archibald@westlothian.gov.uk






Outcome 1: Employability and skills opportunities are accessible and accessed proportionately, by people within the relevant protected characteristics in West Lothian

Context

Unemployment, particularly amongst young people, is a key priority for the Council. Statistics highlight the disproportionate number of young people not in employment, education or training in West Lothian compared against the total population. The ongoing economic situation is also having a disproportionate impact on other groups, specifically women, people with disabilities and people from black and ethnic minority backgrounds. Given the economic growth projections, this issue is likely to remain a key mainstream and equalities priority over the four year period of the equality outcome cycle.

A selection of performance indicators have been developed to support the delivery of Outcome 1.

Performance Information

Traffic Light Icon	Code & Short Name	Last Update	Current Value	Current Target
	Percentage of council internal work placements taken by applicants aged 16-24	2015/16	40%	34%
	Percentage of West Lothian residents supported by West Lothian Council employability services who are Female	2015/16	48%	50%
	Percentage of West Lothian residents supported by West Lothian Council employability services who are from an Ethnic Minority	2015/16	7%	5%
	Percentage of West Lothian residents supported by West Lothian Council employability services that progress into a positive destination (employment, training or education) who are Female	2015/16	47%	49%
	Percentage of West Lothian residents supported by West Lothian Council employability services that progress into a positive destination (employment, training or education) who are from an Ethnic Minority	2015/16	6%	5%

Our Action

The Council has undertaken a number of activities in working towards achieving the desired outcome. These include:

Development of our Modern Apprenticeship programme to increase equality of opportunity.

Worked in partnership with Capability Scotland to provide work experience within the Ability Centre and with external placement providers to remove barriers to gaining work and promote inclusion as well as providing pre-employment skill building, help with CV's and advocacy with employers.

Extension of our apprenticeship programme from two to three years to allow apprentices more opportunity to apply for permanent posts.

Provided ESOL classes to migrant communities with low levels of written or spoken English to develop skills, further learning and increase employability.

More Choices More Chances team providing support to young people to allow them to progress into employment, education or training.

Access2Employment provides West Lothian residents with support and information on finding employment, training and education. These support sessions are available at all West Lothian libraries to make employability and skills opportunities as accessible as possible.

Our Community Learning and Development Youth Services have co-produced a Toolkit of resources which will be available to every local authority in Scotland to support young people to develop skills for life learning and work.

The West Lothian Dyslexia Network has supported joint working of local services to better support access for adults with Dyslexia. Training has been delivered to 101 individuals from 25 separate organisations and services including housing providers, employability services, family centres and key staff across libraries and community centres.

Evidence to Support Our Activity

What we've done	The difference this has made
The Schools Vocational Programme includes a mix of both vocational related skills and personal development opportunities to address barriers to employability. The options included a variety of programmes running between 10 and 13 weeks and are targeted at the More Choices More Chances young people. The options available included Motor Vehicle,	Young people have evaluated the programmes very positively with some young people participating in the Hospitality course requesting an extension to the programme. 80% of young people passed the Motor Vehicle course and are guaranteed an interview for courses with West Lothian College

<p>Construction and Hospitality at (West Lothian College); and Construction at Blackburn Local Employment Scheme (BLES).</p>	<p>The impact has been that these young people have achieved in areas which they would not have done without the support of the service and participation has enabled them to move onto a positive destination.</p>
<p>Project Search is a year-long employability programme for young people aged 16 to 24 with a learning disability or autism in West Lothian. The project involves a partnership between West Lothian Council, West Lothian College and Jabil, a manufacturing employer based in Livingston. Young people are immersed in the business with support provided on site from a job coach, lecturer and business mentors.</p> <p>The aim is to develop skills and experience with a view to securing employment at the end of the programme.</p>	<p>Comments from student engaged in the programme indicated that their confidence had improved and they felt more positive about the ability to find work based on the experience they had gained. These include;</p> <ul style="list-style-type: none"> • It has really built my confidence’. • ‘I believe I will be able to get a job because of my experience in Project Search’. • ‘This has given me experience in different work areas’. • ‘It has improved my confidence and given me valuable work experience’. • ‘I have really enjoyed the experience of working with other colleagues, and learning how a large, fast environment works’.
<p>Our Youth Enterprise Adviser engages with pupils with particular needs – those who come from disadvantaged backgrounds, supported learning, looked-after children and some who have been excluded from school.</p> <p>The intention is to provide extra support for vulnerable groups through structured group sessions, one-to-one work, and mock interviews delivered through various programmes designed to equip young people with decision making skills, raise self-esteem, aspirations and self-responsibility.</p>	<p>Positive feedback on the programmes includes:</p> <p>The personality and knowledge of the Youth Enterprise Advisor has been invaluable while working with some of our more challenging pupils which has led to a better understanding of both how business works and how employers decide on the best candidates at interview. The mock interviews have given the pupils the opportunity to learn interview skills and put those into practice. Through the feedback given the pupils have learnt from their mistakes and actioned the areas of development mentioned in the feedback which has built on the pupil’s confidence and therefore ability to achieve a positive destination.”</p> <p>Work with Nurture groups has helped young people with social, emotional and behavioural difficulties who are failing at school. Recently the Youth Enterprise Advisor worked with one individual with autism into college, and another individual with a disadvantaged background and behavioural difficulties with few qualifications into college.</p> <p>“The school benefited from engaging with the Youth Enterprise Adviser. Young people developed their employability and/or enterprise skills and improved in confidence and self-esteem.”</p>

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Outcome 2: The council has a reduced level of gender based occupational segregation

Context

Occupational segregation is a significant cause of women and children's poverty. Poverty is a likely outcome of low-paid employment over a lifetime. Women with children also face constraints in finding work that is commensurate to their skills and aspirations as well as flexible in terms childcare and other caring responsibilities. A lack of options can force women into part-time, low paid work, thus affecting the lives, health, and opportunities of their children. Resulting from the impact of the economy, there is growing evidence of a disability and ethnicity pay gap which requires to be monitored.

A selection of performance indicators have been developed to support the delivery of Outcome 2.

Performance Information

Traffic Light Icon	Code & Short Name	Last Update	Current Value	Current Target
	Percentage of council internal work placement who are female.	2015/16	25%	20%
	Gender balance of posts identified with high levels of female occupancy	2015/16	90%	85%
	Gender balance of posts identified with high levels of male occupancy	2015/16	94%	85%
	Percentage of council employees in top 5% of earners that are women.	2015/16	53%	52%

Good progress has been made towards achieving this outcome.

Performance against the indicator "Percentage change in the gender balance of posts identified with high levels of female occupancy" is currently reporting amber. The council employs 2736 people in posts relating to residential and personal care; facilities management and domestic posts and primary teachers. In this year 89.95% these posts were occupied by female employees. There were 289 new employees recruited in 2015/16 with 252 being women (87.2%) and 31 being men (12.8%).

Performance against the indicator "Percentage change in the gender balance of posts identified with high levels of male occupancy" is currently reporting amber. The council employs 506 people in Construction, and Building Services. In this year 93.87% (475 people) of these posts were occupied by male employees. There were 60 new employees recruited in 2015/16, 59 men and 1 woman.

Our Action

The Council has undertaken a number of activities in working towards achieving the desired outcome. These include:

Continue to monitor gender balance in segregated posts.

Engaged with long term unemployed women to improve their chances of employment.

Evidence to Support Our Activity

What we've done	The difference this has made
Ongoing work within service areas and partners to encourage girls to apply for jobs in non-traditional roles. Employees from the Modern Apprenticeship team visited all secondary schools and provided information relating to the Modern Apprenticeship Programme. Case studies and promotional materials were used to challenge the stereotypical views that trade apprenticeships are only for males.	We recruited our first female road worker who has reported that she has learned valuable skills which had a direct impact on her desire and ability to secure a Modern Apprenticeship with West Lothian Council.
A Women's Network Group for Roads and Transportation staff has been initiated.	This Network Group is in the early stages of development; however it has created new connections between female staff based in different locations.
In February 2016 Building Services launched a pilot project called "Girls into Construction". This project involved delivering workshops and information sessions on building and construction trades at two high schools, with the aim of encouraging more young women to apply for trade apprenticeships. The pupils took part in various 'have a go' workshops including plastering, electrical, joinery, painting, plumbing and bricklaying.	This project work has seen a positive outcome in the recent recruitment process for trade apprenticeships. With six females making it through to the testing stage (which is up from zero on the previous year), 3 females through to interview and two recruited into the positions of painter and decorator and mechanic.


Outcome 3: Improved awareness of violence against women, improved protection against violence within services

Context

Gender based violence is a function of gender inequality and results in physical, sexual and psychological harm or suffering to women and children, or affront to their human dignity, including threats of such acts, coercion or arbitrary deprivation of liberty, whether occurring in public or private life. Violence against women includes: domestic abuse; rape; sexual harassment and intimidation at work and in the public sphere; commercial sexual exploitation, including prostitution and trafficking; child sexual abuse; forced and child marriages; female genital mutilation.

The following is a performance indicator which has been developed to support the delivery of Outcome 3.

Performance Information

Traffic Light Icon	Code & Short Name	Last Update	Current Value	Current Target
	Percentage of women who report that they feel safer as a result of intervention by the Domestic and Sexual Assault Team	Q3 2016/17	100%	90%

Good progress has been made towards this outcome with 100% of women who engaged with the Domestic and Sexual Abuse team reporting that they felt safer as a result of the team's intervention.

Our Action

The Council has undertaken a number of activities in working towards achieving the desired outcome. These include:

Implemented an alternative means of processing Housing Benefit to protect the identity of those fleeing domestic violence.

Continued commitment to the delivery of a specialist Domestic Abuse and Sexual Assault Team (DASAT).

Ongoing and regular training is delivered to Education and Social Policy employees to maintain high levels of awareness of issues such as forced marriage.

Delivery of the annual '16 days of action' event with the aim of raising awareness of gender based violence to a wider audience and not just those working within Social Policy, Health, Police or Education.

Offering group work through the CEDAR (Children Affected by Domestic Abuse Recovery) Project to women and children to improve their relationships.

Ongoing multi-agency partnerships ensure that those most at risk, those most needing support and any risk to the community is continually reviewed.

Displayed posters and leaflets on the LISA Project (Living in Safe Accommodation) in women only staff areas to heighten awareness and offers opportunities for staff experiencing domestic violence to talk confidentially with the DASAT Team.

All services commissioned by the Alcohol and Drugs Partnership (ADP) are required to complete a VAW (violence against women) checklist with female clients within the first few sessions of engagement with the service. It is essential to use in a substance misuse setting given the high prevalence of violence against women who are also using substances as a coping strategy.

Evidence to Support Our Activity

What we've done	The difference this has made
Implemented the 'Safe and Together' model in relation to domestic abuse, where the emphasis is on partnering with the non-abusive parent.	This has changed the language, understanding and perception of coercive control, enabling women and children to be more appropriately protected.
Implemented Adult Support and Protection training for staff providing an introduction to the Adult Support and Protection (Scotland) Act 2007, related legislation and what to do if you witness, suspect or receive information about abuse or harm involving an adult at risk.	This training equips staff to act appropriately when faced with violent situations, helping to improve service and protection for service users.
Delivered a briefing on violence against women to Customer Information Services staff.	Increased staff awareness of the signs of domestic abuse has allowed those most at risk to be referred to the DASAT team, via the Customer Service Centre, more timeously.
Presentation from the Domestic and Sexual Assault Team (DASAT) at the Let's Talk Equalities event in 2016. The purpose of the presentation was to increase awareness of the prevalence of domestic abuse in West Lothian and the	Positive feedback received from the event indicated that the presentations were useful and increased attendees' awareness.

services available to adults and children.	
Community Arts worked in partnership with Open Secret to create a weekly art group for women who have suffered domestic abuse. Open Secret is a community based organisation that provides confidential support to individuals and families whose lives have been impacted by childhood abuse or trauma.	<p>Art workshops have:</p> <ul style="list-style-type: none"> • Created a network of support • Provided a safe environment for people with shared experience of violence • Allowed participants to learn new skills and build confidence <p>The success of the workshops initiated by Community Arts has led to the group continuing on the work giving a legacy ensuring ongoing benefit to participants.</p>

Outcome 4: People within the relevant protected characteristics in West Lothian understand the definition of hate crime and are comfortable and feel confident about reporting hate incidents

Context

Evidence shows that victims of non-biased crime can experience a decrease in symptoms such as anxiety, depression and post-traumatic stress within two years. Victims of bias, or hate crime, may need as long as five years to overcome their ordeal. Whilst all crime can increase the fear of being targeted in people other than the victim, fear of hate crime escalates dramatically in those who share with an immediate victim, the same group identity that has made a victim a target. Hate crime therefore has a deep rooted effect in our communities and impacts upon all three elements of the General Equality Duty.

The following is a performance indicator which has been developed to support the delivery of Outcome 4.

Performance Information

Code & Short Name	Last Update	Current Value
Detection rate for hate crime	2015/16	69%

Performance against this indicator is the responsibility of Police Scotland as part of our Single Outcome Agreement. Police Scotland continues to work with our Safer Neighbourhood Teams and our communities to reduce Hate Crime.

Our Action

The Council has undertaken a number of activities in working towards achieving the desired outcome. These include:

Embedded Hate Crime awareness into Personal and Social Education (PSE) and Religious and Moral Education (RME) lessons in secondary schools.

Implemented an anti-sectarian module into the Personal and Social Education lesson programme.

Partnership working with the voluntary sector to provide information to older people (65+) regarding hate crime.

Roll out of Prevent training to all council employees. This training develops knowledge around the risks of radicalisation.

Identified 12 venues within the voluntary sector as remote reporting sites for Hate Crime.

Multi agency work to support asylum seekers, refugees, unaccompanied refugee children and trafficked young people.

Ongoing partnership working between Police Scotland and the LGBT Youth Group Glitter Cannons regarding raising awareness of Hate Crime.

In partnership with Police Scotland, providing a dedicated Hate Crime officer with a portfolio that covers West Lothian to provide further support where required.

Evidence to Support Our Activity

What we've done	The difference this has made
<p>West Lothian Council supports Police Scotland's campaign to promote HOPE which stands for;</p> <ul style="list-style-type: none"> • Hate Crime Awareness • Operational responses to Hate Crime • Preventing Hate Crime, and • Empowering communities to report Hate Crime and access Victim Support services. <p>The Community Safety Unit work closely with Partners to monitor all crimes and incidents on a daily basis to reduce Hate Crime across West Lothian. West Lothian Council Safer Neighbourhood Team Officers investigate antisocial behaviour (including Hate Crime incidents) that is reported to them and liaise with Police Scotland as appropriate.</p> <p>The council provides remote reporting sites which are safe confidential spaces within a non-police environment that allows vulnerable people within our communities to report hate crimes and/or incidents.</p>	<p>In West Lothian, awareness around Hate Crime has been promoted through joint initiatives which have included visits to schools, colleges, prisons, community groups (including Senior Peoples Forums, LGBT groups, Disability groups), gypsy/travellers and further education classes to provide Hate Crime awareness, cyber bullying workshops</p> <p>West Lothian Council has supported national campaigns and continues to promote prevention through these joint initiatives and via the West Lothian Council website and a variety of media releases and social media sites.</p>
<p>Continued partnership working with West Lothian Faith Group and Police Scotland with the aim of reducing hate crime and increasing awareness.</p> <p>Police Scotland has an ongoing presence at the Faith Group</p>	<p>The Faith Group always welcomes input from Police Scotland and as a result has an increased awareness of hate crime, counter-terrorism and crime prevention as a result.</p>

<p>which has been really well received. For example, there have been inputs on crime prevention in churches, counter-terrorism and hate crime reporting. This is part of the community safety unit's general approach to raising awareness of hate crime.</p>	
<p>The Community Safety Unit and local police work with diversity groups in West Lothian, including LGBT Youth Group Glitter Cannons, MILAN (Asian women's group) disability groups and older people groups. At these meetings officers can discuss issues relating to hate crime with members of the public.</p> <p>The Community Safety Unit have recently completed work with Capability Scotland and worked with new officers and inmates at Addiewell Prison to make sure they know the correct procedures relating to hate crime and receive appropriate interventions.</p>	<p>Prison Officers and other colleagues within service provisions across West Lothian have been supported and encouraged to report all Hate Crimes and Incidents to the Police for investigation.</p> <p>Offenders are educated in the effects of Hate Crime on individuals, families and communities and that all Hate Crimes and incidents will not be tolerated.</p>




Outcome 5: People with disabilities experience greater independence in their lives

Context

Evidence shows that providing greater independence for people with disabilities assists to reduce inequality and improve the standard of living for those affected by disability. Suitability of housing, transportation, access to public amenities, accessibility of the built environment, care packages, aids and adaptations and access to education, employment and training all have an impact on the ability of people with disabilities to achieve improvements in living independently. While this outcome is broad, the council will focus on the areas of most relevance and impact within our influence to support people with disabilities.

A selection of performance indicators have been developed to support the delivery of Outcome 5.

Performance Information

Traffic Light Icon	Code & Short Name	Last Update	Current Value	Current Target
	Percentage of council house properties with needs based equipment and adaptations installed or carried out	2015/16	5%	5%
	Percentage of all operational buildings from which the council delivers services that are fully accessible for disabled persons	2015/16	73%	73%
	Percentage of residents with access to an hourly or more frequent bus service	2015/16	90%	90%

The Council has performed well against this Outcome, with all indicators developed to support the Outcome reporting green.

Our Action

The Council has undertaken a number of activities in working towards achieving the desired outcome. These include:

Worked in partnership with West Lothian Access Committee regarding ongoing improvements to the design of our schools, housing stock and public buildings to ensure they are accessible.

Delivery of Disability Sports Inclusion training in schools to ensure pupils with a disability are able to participate in physical education, physical activity and sport.

Implementation of a Wellbeing and Inclusion Service within Education which is inclusive of Autism Outreach, Hearing and/or Visual Impairment and ADHD specialists to support pupils.

Continue to work in partnership with parent-led organisations to provide youth club opportunities to young people with additional support needs.

Provide Lip-reading classes to adults experiencing isolation due to hearing loss, we have worked with over 60 learners since 2015.

All Ability Cycling was launched this year with funding which has supported the purchase of 25 adapted bikes and the introduction of weekly try-out/activity sessions.

Continued delivery of the Travel Concession Scheme. This scheme is designed to help West Lothian disabled people get around by making travel in West Lothian cheaper to use.

The appointment of a Support Worker who works directly with vulnerable young people particularly those who have experienced mental health issues, substance misuse and deprivation to enable them to get advice, help and support to escape the poverty trap.

Worked with local sports clubs and organisations to provide targeted opportunities for those with additional support needs and provide grant funding to support inclusive clubs.

Commitment to the 'six steps to library services for blind and partially sighted people'. This national initiative aims to improve accessibility of library services for people with sight loss or other print disabilities.

Evidence to Support Our Activity

What we've done	The difference this has made
NETs, Land & Countryside Services participated in a Citizen Led Inspection "Look See" pilot within the 3 Country Parks. This project considered how accessible our parks were for people with disabilities.	<p>An Improvement Plan was devised which has resulted in several improvements being made for example:</p> <ul style="list-style-type: none"> • Relocation of 6 parking bays within Polkemmet Country Park to a more suitable car park surface to encourage wheelchair access. • Installation/replacement of signs at Beecraigs and Almondell Country Parks to improve access for disabled people • Installation of a new picnic bench at the parking area at Almondell Country Park to allow disabled visitors to enjoy the fresh air without the need to travel far

<p>We are in the process of building 1,000 new council houses. 13% of these homes will be bungalows which will give physically disabled and elderly tenants a home that meets their needs and the opportunity to sustain their tenancy and live more independent of support services they may otherwise have relied on.</p>	<p>Housing Strategy and Development consulted with the Access Committee to assess the new build design for people with disabilities. During this consultation wheelchair users visited one of the first bungalows to be built in the programme to assess the functionality of the layout. Following comments made, aspects like the height of gate latches and bathroom layouts were changed for future builds.</p>
<p>We have continued to adapt our current housing stock to make them more accessible to meet the needs of our tenants.</p>	<p>In 2015/16, 703 applications for medical adaptations were approved by the service, of which 673 medical adaptations were completed. This has allowed tenants to continue to live independently in their own homes.</p>
<p>In 2016 we reviewed and then implemented a new Housing Allocations Policy to make our housing more accessible for all residents of West Lothian.</p> <p>The new policy promotes equal opportunities in a variety of ways, for example, housing that is not accessible for disabled people is regarded as being unsatisfactory housing. This recognises the barrier that disabled people experience in relation to the inadequacies of the housing in which they live.</p>	<p>Housing that has been adapted to meet the needs of disabled people is offered to disabled applicants as a priority and based on need.</p>





Outcome 6: People within the relevant protected characteristics in West Lothian feel involved in the processes by which the council makes decisions that affect them, and that they have appropriate information and resources to understand and influence those decisions

Context

As well as being an essential element of the Public Sector Equality Duty in Scotland, effective involvement of people from the equality protected characteristics in the policies and practices of the council that affect them adds significant value to the council, ensuring that we are meeting needs and aspirations of individuals that access our services. Engaging individuals from, or with expertise in, particular areas of equality in our mainstream opportunities for community engagement will assist to widen the responsiveness of our services.

A selection of performance indicators have been developed to support the delivery of Outcome 6.

Performance Information

Traffic Light Icon	Code & Short Name	Last Update	Current Value	Current Target
	Percentage of individuals involved in Community Councils who are women	2014/15*	52%	50%
	Percentage of individuals involved in Community Councils who are from an Ethnic Minority	2014/15*	19%	20%
	Percentage of individuals involved in Community Councils who class themselves as having a disability	2014/15*	34%	35%
	Percentage of individuals involved in Community Councils who consider themselves to be of a certain religion	2014/15*	74%	70%
	Percentage of people on the West Lothian Citizens Panel who feel involved in their Community by age	2014/15*	41%	40%
	Percentage of the West Lothian Equality Community Forum who feel that the work of the forum has made some or a significant difference in terms of equality	2015/16	87%	80%

*Performance against this Outcome is measured from data taken from the Community Council Survey which is conducted every two years. In 2014/15 the indicators all reported green. 2016/17 data from the Community Council survey will be available to report in April 2017.

Our Action

The Council has undertaken a number of activities in working towards achieving the desired outcome. These include:

Delivered a bespoke film project for Looked after Young People called 'Having Your Say'. This project allowed young people to share their thoughts and experiences of being in the care system with others in similar circumstances in a safe and supportive environment

Translation of an NHS Basic Parenting Book into Arabic for refugee parents arriving with babies and infants

Conducted a review of our Citizens Panel to ensure its representative of the West Lothian Community. Part of the review included extending the equality monitoring questions to include gender identity

Independent strategic needs assessments including extensive service user consultation were undertaken to inform the Learning Disability, Physical Disability, Older People, Mental Health and Alcohol and Drug Partnership's Commissioning Plans

Provided bespoke support to refugee children to enable them to integrate seamlessly into our communities

Implemented a range of engagement programmes including focus groups, 1:2:1 meetings and feedback forms to shape the provision of services provided by Active Schools and Community Sport Service. This has allowed the service to understand and address barriers to participation by certain groups

Commissioning of Advocacy services to continue to support people with a range of protected characteristics to ensure their views are heard

Alcohol and Drugs Partnership (ADP) redesigned their rehabilitation service following consultation with service users

Delivery of one-off focus group meetings to continue to improve on our performance as a landlord, resulting in an increase in tenant engagement with previously disengaged tenants. Evidence suggests that such disengagement may be linked to protected characteristics.

Evidence to Support Our Activity

What we've done	The difference this has made
<p>Bespoke LGBT specific training was delivered by LGBT Youth Scotland to a number of employees within Social Policy, specifically those who work within the Children & Young People Team.</p> <p>This was requested due to the number of young people in schools struggling with gender identity.</p>	<p>This training has improved employee awareness of the challenges LGBT children and young people face and assisted staff in identifying how support might best be offered.</p> <p>Positive feedback from participants included:</p> <ul style="list-style-type: none"> • improved knowledge about language and the issues around LGBT young people • more confidence in supporting and signposting young people to appropriate services • more awareness of young people's feelings.
<p>An Information and Advice Service is commissioned specifically for people with a disability through a contract with Capability Scotland West Lothian Information and Advice Service. This ensures that the information and advice can be given in a more appropriate way to meet the needs of people with a disability and ensure appropriate inclusion in access to this service.</p>	<p>As part of this remit a number of "information" events have been organised, including one specifically focused on people with hearing loss and BSL users. Capability Scotland organise such events bi-monthly based on issues identified by people with a disability, the most recent event was held on the subject of "Accessible Housing".</p>
<p>The Faith Group, a Community Planning Partnership Equality Forum facilitated by the council, is an informal interfaith network for representatives of the different faiths in West Lothian to get together, share ideas and experiences and discuss issues of common concern.</p> <p>The group also provides a mechanism for the council and partners to engage on religion and belief based equality issues to inform policy and service development and gain an understanding of diverse communities to ensure services better meet the needs of our local communities.</p>	<p>Facilitation of the Faith Group supports the council's work towards meeting the general duty of fostering good relations between those who share a protected characteristic and those who do not, as demonstrated by the quote below from a Faith Group member:</p> <p>"The West Lothian Interfaith Group provides a space to share an understanding of how people from different religious faiths put into practise their beliefs, fostering a strong sense of mutual trust, respect and friendship. It also provides opportunities to interact with the wider community through organised events and has the potential for doing good collectively."</p>
<p>The Faith Group developed a 'Faith Handbook' to increase awareness and understanding of different beliefs and practices, aimed at service providers, employers and members of the community. This was intended to enhance engagement between service providers and customers to improve how</p>	<p>The handbook has been used within the council in the following ways:</p> <ul style="list-style-type: none"> • Whitdale Family Centre has used the handbook to increase staff understanding of local multi-cultural needs and cultural routines of families, with the handbook enabling practitioners to reflect on

services are delivered and has been circulated widely across the council and community planning partners.

questions to be asked to new families and on how to support families at crisis point.

- the handbook has been circulated to all **headteachers** as a suggested tool for planning religious education and observance and its use is promoted in school libraries.

The handbook received a bronze award at the 2016 COSLA Excellence Awards. It is the first document of its kind in Scotland and has been recognised as a useful tool by Interfaith Scotland. A version has been circulated to all local faith groups across Scotland for use in their own areas.

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Outcome 7: West Lothian Council is recognised internally and externally as an equal opportunities employer

Context

The council has made significant progress in relation to implementation of structures, processes and employee engagement on equality and diversity in recent years. Further focus on increasing the diversity of our workforce and raising employee and management awareness and capacity to understand the specific needs of customers within the equality protected characteristics is required to ensure that we have a workforce which is confident and in a position to be authentic in the workplace.

A selection of performance indicators have been developed to support the delivery of Outcome 7.

Performance Information

Traffic Light Icon	Code & Short Name	Last Update	Current Value	Current Target
	Performance on Stonewall Workplace Equality Index	2015/16	67	100
	Percentage of employees who have completed equality and diversity training	2016/17	63%	70%
	Percentage of council employees in top 5% of earners that are women.	2015/16	53%	52%

The indicator relating to our performance on the percentage of employees who have completed equality and diversity training is currently reporting at amber. This training is mandatory for all employees and all Council Services have developed a plan to ensure that all employees receive this training by September 2017.

Our Action

The Council has undertaken a number of activities in working towards achieving the desired outcome. These include:

Implemented an Employee Health and Wellbeing Framework that provides a proactive and structured approach to supporting employee wellbeing. 1670 employees have participated/engaged with health and wellbeing activities and provisions during 2015/2016 including Weigh& Go, Bodychecks, Cycle to Work Day, Physiotherapy and Smoking Cessation.

Successfully retained a Healthy Working Lives Gold Accreditation.

Reviewed our Counselling Service to ensure it is inclusive of Sexual Orientation and Gender Identity.

Improved our computerised self-service system HR21 to enable employees to update at any time the equality monitoring data we hold about them and enabled us to raise awareness amongst our employees in relation to why we hold this data.

Continued to offer a wide range of learning and development opportunities to employees which incorporates the principles of diversity and inclusion and were appropriate have specific content that reinforces the council's commitment to equality and diversity.

Reviewed our Bullying and Harassment Code of Practice and Policy to ensure it is more inclusive of Gender Identity.

Continued to conduct employee surveys, asking employees for their perception on a range of issues including equality and diversity.

Successfully achieved Disability Confident level 2 status in the newly introduced Disability Confident Scheme. This scheme demonstrates our commitment to a continued zero tolerance approach to disability discrimination in our recruitment and selection practices and as such ensures we are committed to demonstrating that we take positive action to attract, recruit and retain disabled people.

Introduction of a revised annual appraisal process Appraisal and Development Review (ADR). The new process is built around a set of core behavioural competencies which apply across all employee groups. These competencies reflect standards expected of managers and employees and some of the competencies relate directly to equality and diversity such as 'Promote the benefits of diversity and challenge prejudice, discrimination and bias.

Evidence to Support Our Activity

What we've done	The difference this has made
<p>The council began rolling out mandatory equality and diversity training to all 8,090 employees in February of 2016. This is to ensure employees have an awareness of equality and diversity issues and provides evidence of the council's compliance with the requirements of the Equality Act 2010.</p> <p>This training was designed internally to ensure it met the needs of all areas of the council and it is delivered face-to-face by a group of 22 trainers from across all council services. The training is largely interactive and explores and challenges employee attitudes and behaviours through a number of specifically designed practical exercises.</p>	<p>Out of the 8090 employees in West Lothian Council 5071 employees have attended the training.</p> <p>Individual service areas continue to roll out the training with future sessions already planned.</p> <p>The evaluation of the training with those attending has been very positive with some of the feedback on what employees found most useful below:</p> <ul style="list-style-type: none"> • "Scenarios demonstrating inherent stereotypes and exercises to challenge assumption and bias". • "Reinforces how to interact with others in a professional capacity".

	<p>Employees attending were also asked how they would put this learning into practice in the workplace, some of the responses are below:</p> <ul style="list-style-type: none"> • “Challenge inappropriate remarks when first heard”. • “By being more aware of other people / issues. To offer more assistance to those who may need it”. • “Always be considerate and aware of everyone’s rights”. • “Be aware of my language and understand and respect others”. • “Be more aware of terminology which is acceptable and when to intervene in situations”.
Learning and Development Advisers attended train the trainer courses on achieving a Mentally Healthy Workplace in October 2014. This training has been rolled out to 121 managers since 2015 and has been targeted at services with the highest levels of mental and behavioural absence. In 2016 the training materials were further adapted with 18 managers attending to date.	<p>Mental health absences are being monitored in services where the managers have received this training to measure whether this training has made a difference in terms of reducing mental and behavioural absences. The feedback from participants has been very positive with comments such as:</p> <ul style="list-style-type: none"> • “I am looking at what I can now implement in the workplace”. • “It has opened up discussions about changes that could be made to improve morale, some small & inexpensive”. • “Better understanding of mental health in the working environment”.
We continue to corporately support important equality events/days linked to LGBT i.e. LGBT (Lesbian, Gay, Bisexual, Transgender) History Month, IDAHOBiT (International Day against Homophobia, Biphobia and Transphobia) and West Lothian Pride, as well as Black History Month, Interfaith Week, World Aids Day, International Women’s Day and Holocaust Memorial Day	<p>We continue to demonstrate that we offer an inclusive, equal and inspiring environment for our employees and the wider communities of West Lothian.</p> <p>We continue to actively support and facilitate West Lothian Pride, this celebrates LGBT culture and allows LGBT people to express themselves without fear of retribution or reprisal and brings together people of different backgrounds, ethnicity and age groups within the local community. By bringing those people together we are able to make connections, build positive relationships, create community cohesion, reduce isolation and raise awareness. The wider benefits of this event makes LGBT people of West Lothian feel more included in their communities and reduce prejudice based attitudes and reactions to LGBT people.</p>
In partnership with Deaf Action Scotland, the council delivered a	This training has allowed employees to have a better understanding of

<p>number of bespoke British Sign Language (BSL) awareness raising courses to employees across all service areas in preparation for the introduction of the new legislation relating to British Sign Language (British Sign Language (Scotland) Act 2015).</p>	<p>the barriers deaf and hard of hearing face when accessing services and within their daily lives.</p> <p>Evaluations from the training were positive, feedback from employees included:</p> <ul style="list-style-type: none">• “excellent course, you don’t really fully understand how difficult it is for people to access services until you attend courses like this”• “trying to communicate with the trainer and each other without speech was so hard, but thoroughly enjoyed learning some basic sign language, great course and a must attend for any employee”
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Outcome 8: Children and young people within the relevant protected characteristics in West Lothian's schools feel safe, supported and able to be themselves

Context

National research highlights that bullying in schools as a result of having an equality protected characteristic, remains a persistent and significant equality issue. Bullying has a severe impact on all pupils who are victims. However, in a similar context to hate crime, a pupil bullied because they are black or from an ethnic minority, have a disability or are perceived to be LGB or T are likely to face more severe impacts on their attainment and future life chances. Bullying related to gender remains a growing issue which requires to be considered a priority within the four year equality outcomes cycle.

A selection of performance indicators have been developed to support the delivery of Outcome 8.

Performance Information

Traffic Light Icon	Code & Short Name	Last Update	Current Value	Current Target
	Percentage of Pupils in Primary Seven Rating the Equality & Fairness in Their School as Good or Excellent.	2015/16	75%	77%
	Customer Satisfaction: Percentage of Students in Secondary Schools Rating the Equality & Fairness in Their School as Good or Excellent.	2015/16	59%	62%

The council has performed well in meeting this outcome with all indicators reporting green.

Our Action

The Council has undertaken a number of activities in working towards achieving the desired outcome. These include:

Implemented the 'Safe and Together' model in relation to domestic abuse where the emphasis is on partnering with the non-abusing parent. Each school now has a trained domestic abuse 'champion'.

Ensuring designs within schools incorporates open plan areas to reduce bullying.

Delivered a series of creative workshops targeted at groups for whom English is a second language.

Implemented a self-evaluation document to enable partners and stakeholders to reflect on the service provided by Active Schools and Community Sport to ensure a fun, safe and inclusive environment for all pupils.

Targeted work with disenfranchised parents and carers through the facilitation of Bookbug sessions which encourage reading and learning.

Evidence to Support Our Activity

What we've done	The difference this has made
Continuing to embed 'How Good is Our School 4' recognising that pupils learn in different ways. Respect and tolerance are integrally taught and build confidence in individuals.	Formal groups supporting LGBT young people are active in six of our 11 secondary schools and are being increasingly valued by both management teams and pupils as demonstrated by a doubling of participant schools developing LGBT groups. Events such as the Stonewall Rainbow Laces campaign and Purple Friday are actively promoted. Broxburn Academy are one of only three Scottish secondary schools to have achieved LGBT Youth Scotland Silver Charter mark.
Delivery of the Catapluf's Musical Journey – to Additional Support Need (ASN) pupils at Beattie School Campus The musicians took percussion and a cello into the school and engaged with pupils with a variety of profound additional needs. Previous engagement with ASN schools using music as a medium has shown impact and benefit for pupils with additional support needs.	Community Art undertook consultation with artists to ensure the 3 musicians engaged for the project all had experience of working with children who have profound needs. The project delivered a one off workshop within the school and children attended a performance at Howden park Centre. The children all had a positive reaction to the rhythm, beat and sounds of the instruments.
Sound Stories was a series of 8 weekly workshops aimed at engaging with pupils from Cedarbank ASN School in music making, by encouraging them to explore their emotional responses to music. Pupils worked with professional composer/Musician Dave Trouton.	The sessions encouraged pupils to work as a group to devise and perform their own music, providing great opportunities to learn and develop skills in collaboration, turn taking, active listening, sharing, self-expression and self-confidence. Pupils explored the use of music in film and television and learned how music helps to communicate ideas and tell stories. Teacher's comments – 'The sessions allowed the pupils to develop social skills such as listening, turn taking, and working together as well as developing their knowledge of music and musical instruments. It was

<p>Active Schools and Community Sport have produced a GIRFEC Strategic Self-Evaluation document to support stakeholders and partners reflect on the service provided by Active Schools and Community Sport through the GIRFEC Health and Wellbeing Indicators. This document provides partners with the opportunity to review and reflect on the opportunities provided to pupils across PE, school sport and club sport to ensure that all pupils, including those with protected characteristics feel safe, supported and able to be themselves.</p>	<p>greatly enjoyed by all.'</p> <p>The strategic self-evaluation has enabled schools and community clubs to undertake self-reflection with regards to activities and to identify the support that is available through Active Schools and Community Sport. The document provides a focus approach to assisting partners and stakeholders provide a fun, safe and inclusive environment for PE, physical activity and sport. Schools are recognised for outstanding provision through the School Sport Awards. Currently 16 West Lothian primary and secondary schools have attained bronze with 27 on silver and 10 achieving gold.</p>
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Outcome 9: Carers in West Lothian recognise an improved awareness of caring related issues amongst employees when accessing and engaging with council services

Context

Whether caring for children or adult dependents, unpaid care work has a significant impact on the ability of carers to access mainstream council services. Carers may require services to be provided on a flexible basis or at specific times which work around caring responsibilities. Caring responsibilities are likely to impact significantly on the ability of carers to interact and access council services, as well as having a significant impact on life chances, including health and employment.

A selection of performance indicators have been developed to support the delivery of Outcome 9.

Performance Information

Traffic Light Icon	Code & Short Name	Last Update	Current Value	Current Target
	Percentage of community care service users and carers satisfied with their involvement in the design of care packages	2015/16	92%	90%
	Percentage of carers who feel supported and able to continue in their role as a carer	2015/16	72%	75%

Our Action

The Council has undertaken a number of activities in working towards achieving the desired outcome. These include:

Continue to provide flexibility to young carers who are within a school setting.

Continue to work in partnership with Carers of West Lothian and MECOPP (Minority Ethnic Carers of Older people Project) to provide support services, information, advice, training, consultation and representation for carers.

Evidence to Support Our Activity

What we've done	The difference this has made
<p>All staff involved in assessment and care management of older people have had specific training in Self Directed Support (S.D.S.) which came into force in April 2015. Carers' assessments are integral to this process, focusing on both the needs of the individual and those of the client's carers/family.</p>	<p>Carers participate in decision-making and receive the support they need to continue to offer care.</p> <p>For example, a client with Alzheimer's disease cared for by her husband chose to use their support budget to continue to receive a befriending and sitter service as an alternative to traditional day care.</p>
<p>The Introduction of Self Directed Support in April 2015 allows families to choose options of provision for children with a disability: to choose council commissioned services, self-purchased support, or a mix of both. Included in this are day and respite services for children; education tailored to specific needs of children either included in mainstream schools, in specialist provision locally or (more rarely) in specialised units outside West Lothian, e.g. specialist autism units. All needs are carefully assessed, working in partnership with families and other support agencies to identify the best resource for each child and each carer's needs.</p>	<p>This approach has allowed families and carers to have and make informed choices in terms of need. Examples of this are:</p> <p>One family chose to have respite in the form of childminding and animal therapy for their children with autism. They choose the option where the Child Disability Service (CDS) pay for and arrange this.</p> <p>Another family chose to have CDS arrange services for respite which meant they could have breaks from caring through overnight breaks, short breaks and holiday activities.</p>



Outcome 10: People within the relevant protected characteristics in West Lothian have an improved awareness of, and access proportionately income maintenance and maximisation opportunities

Context

The combined effects of the economic situation and reform to welfare are having a detrimental impact on poverty. Ensuring that people affected by poverty have information and support to ensure that they are making the most of financial opportunities available to them is a key priority for the council going forward. Awareness and access to these opportunities by people within the relevant protected characteristics is critical to promoting equality. Given economic projections, this issue is likely to remain a key mainstream and equalities priority over the four year period of the equality outcome cycle.

A selection of performance indicators have been developed to support the delivery of Outcome 10.

Performance Information

Traffic Light Icon	Code & Short Name	Last Update	Current Value	Current Target
	Number of customers receiving disability related benefits	Q3 2016/17	622	530
	Total quarterly amount the Advice Shop has gained in extra benefits for older people (Aged 60 and over).	Q3 2016/17	£1,636,126	£1,500,000

Good progress has been made in this Outcome, with the performance indicators which support the outcome reporting green.

Our Action

The Council has undertaken a number of activities in working towards achieving the desired outcome. These include:

Worked in partnership with external organisations to ensure young people have access to information, advice and guidance in relation to managing and maximising their income.

Actively working with our housing tenants to help them manage rent arrears.

The Advice Shop trains, manages and deploys IT buddies to assist those who require additional support to access benefits on-line and learn

to use digital media.

Extension of our Advice Shop outreach provision to ensure vulnerable adults can still access the service at a venue/facility which best suits their needs.

Signposted families and kinship carers to the Advice Shop to ensure they receive benefits advice and are able to maximise their income.

Continued to provide front facing customer service support at customer service centres to maximise access to benefits by assisting customers to complete forms and signposting customers to other agencies who may be able to offer more support.

Provide additional support and advice to older people who access assessment and care management services to ensure they have the opportunity to maximise their income via benefits advice.

Work in partnership with third sector to improve income maintenance and maximisation opportunities for the residents of West Lothian.

Provide a 'buddy' volunteer to support very vulnerable clients who need to attend a medical assessment to meet eligibility criteria for benefits their attendance.

Evidence to Support Our Activity

What we've done	The difference this has made
<p>Through close partnership working with the Mental Health Advocacy Project (MHAP) a number of multiple debt cases have been referred to the Corporate Debt Team from the MHAP and also cases from the Corporate Debt Team to the MHAP.</p> <p>The approach aims to:</p> <ul style="list-style-type: none"> • Provide all reasonable assistance to those customers who have difficulty in paying so they can pay what they are due. • Provide appropriate advice and assistance to customers to maximise their income. • Treat all customers as individuals and consider, wherever possible, individual circumstances when taking action to recover debts. 	<p>The MHAP have commented that “ the service offered has been superb, efficient and a great help to mental health service users in West Lothian who can find themselves in very difficult and complex situations in relation to welfare benefits, debt and related housing issues. The team communicate especially well with our client group, listen to the issues and are persistent in helping to resolve problems and getting good outcomes. The team have helped us to uphold our service users rights, and have actively prevented issues of debt, poverty and deterioration of mental health arising for our often hard to reach client group”</p>

<p>The 'Better off' Anti-Poverty Strategy aims to help minimise the impact of poverty on the people of West Lothian.</p> <p>The strategy identifies seven cross-cutting themes of poverty: Economy/Income, Employability/Economic Development, Education, Housing, Health, Community and Inequality. Its object is to ensure that people are equipped to cope with the challenges they currently face, in terms of their disposable income, and the impact that this has on their health, education and community involvement.</p>	<p>The Advice Shop has improved the financial circumstances of West Lothian residents by over £27million. Income has been maximised through detailed benefits work to reduce the levels of financial hardship, stress and isolation.</p> <p>According to report, Contribution Of The Advice Shop To The Anti-Poverty Strategy, in June 2016:</p> <p>"The Anti-Poverty Strategy is clear about the need to reduce the inequalities gap and tackle the causes of inequality. This translates into targeted services for the poorest and most vulnerable in society resulting in West Lothian citizens being less at risk of financial exclusion as a result of having their disposable income maximised. The Advice Shop has made sure that resources are targeted at those most in need. It 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."</p>
<p>The 'Pamper Me' event offers advice and support to people who are homeless or at risk of becoming homeless (often from protected groups).</p>	<p>The event provides the opportunity for people to access advice and support from many agencies, including The Advice Shop, Women's Aid, Foodbank and Business Gateway, in one accessible event. All of these organisations work with people to raise awareness and access to income maintenance.</p> <p>It is also a chance for people, who may not otherwise have the opportunity or funds, to try out some new therapies, fun activities and exercise.</p>



PARTNERSHIP AND RESOURCES POLICY AND DEVELOPMENT SCRUTINY PANEL

SOCIAL WORK COMPLAINTS HANDLING PROCEDURE

REPORT BY HEAD OF SOCIAL POLICY

A. PURPOSE OF REPORT

To advise the Partnership and Resources Policy Development and Scrutiny Panel of the revised Social Work Complaints Handling Procedure.

B. RECOMMENDATION

- To note the revised Social Work Complaints Handling Procedure developed in accord with the requirements of the Public Services Reform (Social Work Complaints Procedure) (Scotland) Order 2016.
- To recommend approval of the revised Social Work Complaints Handling Procedure to the Council Executive.

C. SUMMARY OF IMPLICATIONS

I Council Values	<ul style="list-style-type: none">– Focusing on our customers' needs– Being honest, open and accountable– Providing equality of opportunity– Working in partnership
II Policy and Legal (including Strategic Environmental Assessment, Equality Issues, Health or Risk Assessment)	The Public Services Reform (Social Work Complaints Procedure) (Scotland) Order 2016
III Implications for Scheme of Delegations to Officers	None
IV Impact on performance and performance Indicators	Performance indicators related to social work complaints will be amended to comply with the new procedure.
V Relevance to Single Outcome Agreement	n/a

VI	Resources - (Financial, Staffing and Property)	None
VII	Consideration at PDSP	n/a
VIII	Other consultations	West Lothian IJB

D. TERMS OF REPORT

Following a Scottish Government review of social work complaints, the office of the Scottish Public Services Ombudsman (SPSO) has advised that the system for social work complaints will change from 1 April 2017.

SPSO has now published a Social Work Model Complaints Handling Procedure (CHP). This sets out how complaints about social work services must be handled from 1 April 2017. It will bring social work complaints largely in line with the complaints handling arrangements in place across the wider public sector, and with NHS complaints handling which is also set to change from April 2017.

The Social Work Model CHP will apply to all organisations that deliver social work functions, including both local authorities and health and social care partnerships. It was developed in partnership with representatives from social work, health and social care, the Scottish Government and third sector organisations, together with other key partners from the public sector.

The focus of the new CHP is on ensuring that customers have easy access to an efficient, customer focused complaints service which responds to their concerns quickly and as close to the point of service as possible. The extension of this approach to social work services is expected to help local authorities and health and social care partnerships in providing coordinated responses to complaints that cover more than one service.

The new social work CHP requires organisations to assess and report their complaints handling performance against the SPSO performance indicators. This will help to facilitate continuous improvement through the benchmarking of performance within and across sectors. Importantly, it will help organisations to use the outcome of complaints to improve service delivery.

Social Policy has now drafted a revised procedure for social work complaints (Appendix 1) in accordance with the requirements of the Public Services Reform (Social Work Complaints Procedure) (Scotland) Order 2016 and the SPSO guidance.

E. CONCLUSION

The SPSO has advised that the system for social work complaints will change from 1 April 2017. Social Policy has now drafted a revised procedure for social work complaints (Appendix 1) in accordance with the requirements of the Public Services Reform (Social Work Complaints Procedure) (Scotland) Order 2016 and the SPSO guidance. The PDSP is invited to consider the revised procedure and, if agreed, to submit to the Council Executive for approval.

Appendix 1: Social Work Complaints Handling Procedure

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Date: 17 March 2017

Social Work Complaints Handling Procedure

DRAFT

27 February 2017

The Social Work Complaints Handling Procedure

Foreword

West Lothian Council's social work complaints handling procedure reflects the council's commitment to valuing complaints. It seeks to resolve customer dissatisfaction as close as possible to the point of service delivery and to conduct thorough, impartial and fair investigations of customer complaints so that, where appropriate, we can make evidence-based decisions on the facts of the case.

The procedure has been developed by social work experts and third sector organisations working closely with the Scottish Public Services Ombudsman (SPSO). This procedure has been developed specifically for our social work services, so that staff have all the information they need to handle social work complaints effectively. The procedural elements tie in very closely with those of the council and National Health Service (NHS) complaints handling procedures, so where complaints cut across services, they can still be handled in much the same way as other complaints.

As far as is possible we have produced a standard approach to handling complaints across council and the NHS, which complies with the SPSO's guidance on a model complaints handling procedure. This procedure aims to help us 'get it right first time'. We want quicker, simpler and more streamlined complaints handling with local, early resolution by capable, well-trained staff.

Good complaints handling includes providing joint responses to complaints whenever they relate to more than one service. This procedure gives our staff information and guidance on how and when to do this, to ensure that our customers get a comprehensive response to their complaints whenever this is possible.

Complaints give us valuable information we can use to improve service provision and customer satisfaction. Our complaints handling procedure will enable us to address a customer's dissatisfaction and may help us prevent the same problem from happening again. For our staff, complaints provide a first-hand account of the customers' views and experience, and can highlight problems we may otherwise miss. Handled well, complaints can give our customers a form of redress when things go wrong, and can also help us continuously improve our services.

Resolving complaints early creates better customer relations. Handling complaints close to the point of service delivery means we can resolve them locally and quickly, so they are less likely to escalate to the next stage of the procedure. Complaints that we do not resolve swiftly can greatly add to our workload and are more costly to administer.

The complaints handling procedure will help us do our job better, improve relationships with our customers and enhance public perception of West Lothian Council. It will help us keep the user at the heart of the process, while enabling us to better understand how to improve our services by learning from complaints.

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What is a complaint?

West Lothian Council's definition of a complaint is:

'An expression of dissatisfaction by one or more members of the public about the social work service's action or lack of action, or about the standard of service provided by or on behalf of the social work service.'

Any complaints about other services will be handled under West Lothian Council's standard complaints handling procedure (CHP) {link}.

A complaint may relate to the following, but is not restricted to this list:

- failure or refusal to provide a service
- inadequate quality or standard of service
- dissatisfaction with one of our policies or its impact on the individual
- failure to properly apply law, procedure or guidance when delivering services
- failure of administrative processes
- delays in service provision
- treatment by or attitude of a member of staff
- disagreement with a decision made in relation to social work services.

[Appendix 1](#) provides a range of examples of complaints we may receive, and how these may be handled.

A complaint is not:

- a routine first-time request for a service
- a claim for compensation only
- a disagreement with decisions or conditions that are based upon social work recommendations, but determined by a court or other statutory body, for example decisions made by a children's panel, parole board or mental health tribunal
- an attempt to reopen a previously concluded complaint or to have a complaint reconsidered where we have already given our final decision.

You must not treat these issues as complaints, and should instead direct customers to use the appropriate procedures.

[Appendix 2](#) gives examples of more complex complaints, some of which are not appropriate for this CHP. The section on **Complaints relevant to other agencies** provides information about some of the other agencies that may be able to assist customers if their complaint is not appropriate for this CHP.

Who can make a complaint?

Anyone who receives, requests, or is affected by our social work services can make a complaint. This is not restricted to 'service users' and their relatives or representatives, but may also include people who come into contact with or are affected by these services, for example people who live in close proximity to a social work service provision, such as a care home or day centre. In this procedure these people are termed 'customers', regardless of whether they are or were using a service.

Sometimes a customer may be unable or reluctant to make a complaint on their own. We will accept complaints from third parties, which may include relatives, friends and advocates. The third party should normally obtain the customer's consent. This can include complaints brought by parents on behalf of their child, if the child is considered to have capacity to make decisions for themselves. However, in certain circumstances, the third party may raise a complaint without receiving consent, such as when there are concerns over someone's wellbeing. The complaint should still be investigated, but the response may be limited by considerations of confidentiality.

You must ensure that you follow West Lothian Council's policies on gaining consent and information sharing.

Independent advocates may bring complaints on behalf of social work service users or other customers, if they are unable to raise an issue themselves, or if they are unable to identify when something is wrong. More information about using advocates to support customers is available in the section on **Supporting the customer**.

If you have concerns that a complaint has been submitted by a third party without appropriate authority from the customer, you should seek advice from a more senior member of staff. The provision of a signed mandate from the customer will normally be sufficient for us to investigate a complaint. However, the timing of when we require this mandate may vary depending on the circumstances. If the complaint raises concerns that require immediate investigation, this should not be delayed while a mandate is sought. It will, however, be required before the provision of a full response to the third party.

Handling anonymous complaints

We value all complaints. This means we treat all complaints, including anonymous complaints, seriously and will take action to consider them further, wherever this is appropriate. Generally, we will consider anonymous complaints if there is enough information in the complaint to enable us to make further enquiries. If, however, an anonymous complaint does not provide enough information to enable us to take further action, we may decide not to pursue it further. Any decision not to pursue an anonymous complaint must be authorised by a senior manager.

If an anonymous complaint makes serious allegations, these should be dealt with in a timely manner under relevant procedures. This may not be the complaints procedure and could instead be relevant child protection, adult protection or disciplinary procedures.

If we pursue an anonymous complaint further, we will record the issues as an anonymous complaint on the complaints system. This will help to ensure the completeness of the complaints data we record and allow us to take corrective action where appropriate.

What if the customer does not want to complain?

If a customer has expressed dissatisfaction in line with our definition of a complaint but does not want to complain, tell them that we do consider all expressions of dissatisfaction, and that complaints offer us the opportunity to improve services where things have gone wrong. Encourage the customer to submit their complaint and allow us to handle it through the CHP. This will ensure that the customer is updated on the action taken and gets a response to their complaint.

If, however, the customer insists they do not wish to complain, you should record the complaint as an anonymous complaint. This will ensure that the customer's details are not recorded on the complaints database and that they receive no further contact about the matter. It will also help to ensure the completeness of the complaints data recorded and will still allow us to fully consider the matter and take corrective action where appropriate.

Supporting the customer

All members of the community have the right to equal access to our complaints procedure. It is important to recognise the barriers that some customers may face complaining. These may be physical, sensory, communication or language barriers, but can also include their anxieties and concerns. Customers may need independent support to overcome these barriers to accessing the complaints system.

Customers who do not have English as a first language, including British Sign Language users, may need help with interpretation and translation services. Other customers may need other forms of communication support, including documents written in accessible language such as easy read format. Some may need support workers or advocates to help them understand their rights, and help them to communicate their complaints.

We must always take into account our commitment and responsibilities to equality. This includes making reasonable adjustments to ensure that all customers can access our services.

The Mental Health (Care and Treatment) (Scotland) Act 2003 gives anyone with a 'mental disorder' (including mental health issues, learning difficulties, dementia and autism) a right to access independent advocacy. This legislation says that independent advocacy must be delivered by independent organisations that only provide advocacy. They help people to know and understand their rights, make informed decisions and have a voice. The Scottish Independent Advocacy Alliance website has information about local advocacy organisations throughout Scotland.

Wherever possible we will identify what additional needs a customer may have and help them find appropriate support or refer them to their local independent advocacy organisation to help them in pursuing a complaint.

Complaints and appeals

While some social work decisions may be reviewed under alternative arrangements at a local level (for example through appeal or peer review), the SPSO has the power to consider professional social work decisions. The customer should not be required to seek a reconsideration of a decision under both appeal and complaint processes, nor should they be required to make further complaint if dissatisfied with the outcome of an appeal.

Therefore, whilst we have discretion to operate appeals procedures, these must be regarded as a special form of complaint investigation (stage 2 of this CHP). Such appeals processes must be compliant with this procedure in terms of the rigour and documentation of the process, must be concluded within 20 working days with a written response to the customer, and must be recorded as a stage 2 complaint on the relevant complaints database. If the customer raises additional issues of dissatisfaction as well as challenging a professional decision, then the process must consider and respond to every element of the customer's dissatisfaction so that no additional complaint process is required.

The final response letter must provide relevant text advising the customer of their right to refer the matter to the SPSO for independent consideration. The SPSO will then investigate matters in full, in line with their standard procedures.

Complaints involving social work services and another service or organisation

A complaint may relate to our social work service and another service provided by West Lothian Council, or one provided by the LA, by another NHS organisation, or by another organisation such as a housing association. Initially, these complaints should all be handled in the same way. They must be logged as a complaint, and the content of the complaint must be considered, to identify which services are involved, which parts of the complaint we can respond to and which parts are appropriate for another organisation. How these complaints are then handled will depend on delegation arrangements and on the other organisation involved, as follows:

Complaints relating to a social work service and another service provided by West Lothian Council

Where a complaint relates to two services provided by us, these services must work together to resolve the complaint. A decision must be taken as to which service will lead on the response. You must ensure that all parties are clear about this decision. It is important to give a joint response from the lead service, and also ensure that both services contribute to this.

Complaints relating to a social work service and another service provided by another organisation, such as a separate NHS organisation or a housing association

The aim with such complaints is still to provide a joint response (particularly where the organisations are linked, eg. NHS providers), though this may not always be possible. Contact must be made with the customer to explain that their complaint partly relates to services which are delivered by another organisation, and that to resolve their complaint, we will need to share information with this organisation. You must check whether you need specific consent from the customer before you can share their information with the other services, and take appropriate action where necessary, bearing in mind any data protection requirements.

If it is possible to give a joint response, a decision must be taken as to which service will lead the process. We must ensure that all parties are clear about this decision. The response must cover all parts of the complaint, explain the role of both services, and (for investigation stage complaints) confirm that it is the final response from both services.

If a joint response is not possible, you should explain to the person making the complaint the reasons why they will receive two separate responses, and who they can get in contact with about the other aspects of their complaint. You must also write to both the customer and the other services involved, setting out which parts of the complaint you will be able to respond to.

Remember, if you need to make enquiries to another organisation in relation to a complaint, always take account of data protection legislation and our guidance on handling our customers' personal information. The Information Commissioner has detailed guidance on data sharing and has issued a data sharing code of practice.

Complaints about services commissioned by us

As part of the service provider's contractual obligations, they must provide a robust complaints process which complies with this CHP, and this obligation must be set out in their contract. This applies to all contracted services, including care services. The expectations around complaints handling by the provider should also be explained to service users in their service agreement with the provider. At the end of the investigation stage of any such complaints the provider must ensure that the customer is signposted to the SPSO, as with any other complaint made to West Lothian Council.

Contracts with commissioned services should reflect the following good practice:

It is important that a complaint is resolved as quickly as possible and as close as possible to the time when the event being complained about occurred. The contracted service provider should be given the opportunity to respond to a complaint first, even if the customer has initially approached West Lothian Council, unless there is good reason why this would not be appropriate. However, West Lothian Council will have discretion to investigate complaints about providers contracted to deliver services on its behalf.

These services may also be registered as a care service with the Care Inspectorate to deliver a care or support service. If this is the case, customers have the right to complain directly to the Care Inspectorate or to make use of the provider's CHP and thereafter make a complaint to the Care Inspectorate, regardless of any investigations undertaken by West Lothian Council.

Where services are commissioned on behalf of the West Lothian Council, customers can make complaints under this CHP in relation to the assessment of need, the commissioning or recommendation process, and any element of the service that has been publicly funded. Complaints about any part of service that has been privately funded cannot be considered through this CHP.

Service providers who are not registered with the Care Inspectorate as a care or support service but who are contracted to deliver other services on behalf of West Lothian Council must still comply with this CHP.

Complaints for the Care Inspectorate

Local authorities and any contractors that provide care services must be registered with the Care Inspectorate. This is the independent scrutiny and improvement body for care and social work across Scotland, which regulates, inspects and supports improvement of care services.

The Care Inspectorate has a procedure for receiving information, concerns and investigating complaints, from members of the public or their representatives, about the care services they use. The Care Inspectorate's complaints procedure is available even when the service provider has an alternative complaints procedure in place.

The Care Inspectorate encourages people to complain directly to the organisation they receive a service from. However, some people are not comfortable doing this and to support them, the Care Inspectorate will take complaints about care services directly.

When complaints are brought to us about registered care services, we have the right to share complaint information about the registered care provider with the Care Inspectorate, to decide who is best placed to investigate the complaint. We can also share the outcome of complaints about contracted and registered services with the Care Inspectorate.

Contact details for the Care Inspectorate can be found on their website:

www.careinspectorate.com/

Or:

telephone 0845 600 9527

fax 01382 207 289

complete an online complaints form at www.careinspectorate.com/ or

email enquiries@careinspectorate.com

Complaints about Personal Assistants

Where an individual directly employs a Personal Assistant to provide their support, using a Direct Payment (as part of a Self-directed Support package), they are not subject to registration with the Care Inspectorate under the Public Services Reform (Scotland) Act 2011, its regulations and amendments. The employer remains responsible for the management of their employee, including their performance management. The Care Inspectorate would only be able to take complaints about such support workers if they work for a registered care agency.

Complaints relevant to other agencies

Customers may raise concerns about issues which cannot be handled through this CHP, but which other agencies may be able to provide assistance with or may have an interest in. This may include:

The Mental Welfare Commission:

Email: enquiries@mwscot.org.uk

Tel: 0800 389 6809 (service users and carers only)

Website: www.mwscot.org.uk

The Children's Commissioner:

Email: inbox@cypcs.org.uk
Tel: 0800 019 1179
Website: www.cycps.org.uk

The Scottish Social Services Council:

Email: via their website
Tel: 0345 60 30 891
Website: www.sssc.uk.com

Customers may also raise concerns that information has not been provided in line with information sharing and data protection legislation, in which case they should be signposted to the Head of Corporate Services, West Lothian Council who will also specify the next steps to take if there are ongoing concerns, including signposting to the Information Commissioner:

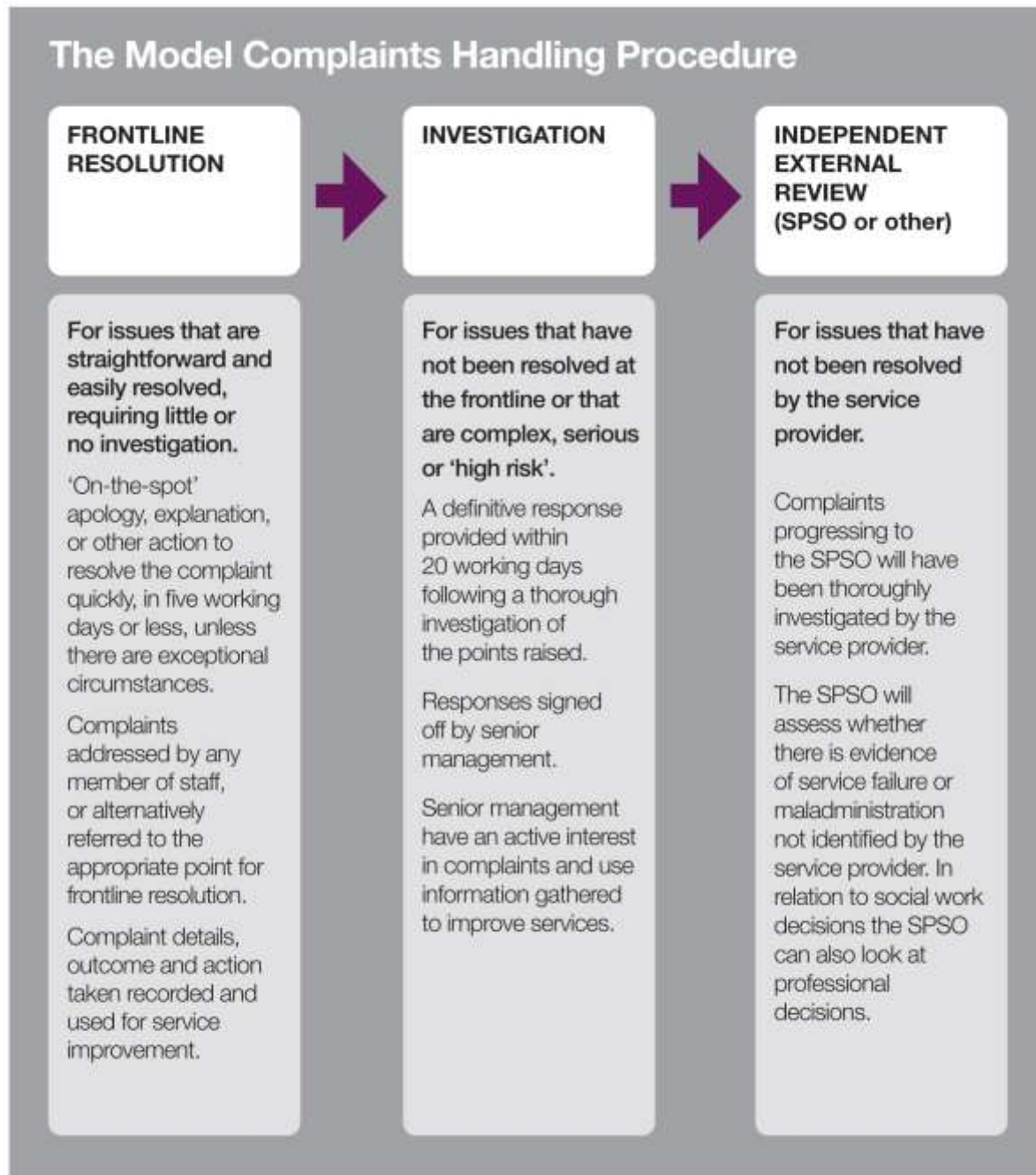
Email: scotland@ico.org.uk
Tel: 0131 244 9001
Website: www.ico.org.uk

The complaints handling process

Our CHP aims to provide a quick, simple and streamlined process for resolving complaints early and locally by capable, well-trained staff.

Our complaints process provides two opportunities to resolve complaints internally:

- **frontline resolution**, and
- **investigation**.



For clarity, the term 'frontline resolution' refers to the first stage of the complaints process. It does not reflect any job description within West Lothian Council but means seeking to resolve complaints at the initial point of contact where possible.

Stage one: frontline resolution

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

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

[Appendix 1](#) gives examples of the types of complaint we may consider at this stage, with suggestions on how to resolve them, as well as those that may be more appropriate to escalate immediately to the investigation stage.

In practice, frontline resolution means resolving the complaint at the first point of contact, wherever possible, or within five working days of this contact. This may be taken forward by the member of staff receiving the complaint or, where appropriate, another member of staff.

In either case, you may resolve the complaint by providing an on-the-spot apology where appropriate, or explaining why the issue occurred and, where possible, what will be done to stop this happening again. You may also explain that, as an organisation that values complaints, we may use the information given when we review service standards in the future.

A customer can make a complaint in writing, in person, by telephone, by email or online, or by having someone complain on their behalf. You must always consider if it is appropriate to attempt frontline resolution, regardless of how you have received the customer's complaint.

What to do when you receive a complaint

1. On receiving a complaint, you must first decide whether the issue can be defined as a complaint. The customer may express dissatisfaction about more than one issue. This may mean you treat one part as a complaint, while directing the customer to pursue another part through an alternative route (see [Appendix 2](#)).
2. If you have received and identified a complaint, record the details on our complaints system at the earliest opportunity. The date of receipt of the complaint is always 'day 1', regardless of when the complaint is recorded.
3. Decide whether or not the complaint is suitable for frontline resolution. Some complaints will need more extensive investigation before you can give the customer a suitable response. You must escalate these complaints immediately to the investigation stage.
4. Where you think frontline resolution is appropriate, you must consider four key questions:
 - what exactly is the customer's complaint (or complaints)?
 - what does the customer want to achieve by complaining?
 - can I achieve this, or explain why not? and
 - if I cannot resolve this, who can help with frontline resolution?

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

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

What does the customer want to achieve by complaining?

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

Can I achieve this, or explain why not?

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

appropriate, you may wish to follow the SPSO's guidance on the subject:

[SPSO guidance on apology](#)

The customer may expect more than we can provide. If so, you must tell them as soon as possible. An example would be where the customer is very dissatisfied that their child has not been assigned to the social worker they were expecting, when this worker is no longer available.

You are likely to have to convey the decision face-to-face or on the telephone. If you do so face-to-face or by telephone, you are not required to write to the customer as well, although you may choose to do so. It is important, however, to keep a full and accurate record of the decision reached and given to the customer.

If I cannot resolve this, who can help with frontline resolution?

If you cannot deal with the complaint because, for example, you are unfamiliar with the issues or area of service involved, pass the complaint to someone who can attempt to resolve it.

Timelines

Frontline resolution must be completed within **five working days**, although in practice we would often expect to resolve the complaint much sooner.

You may need to get more information to resolve the complaint at this stage. However, it is important to respond to the customer within five working days, either resolving the matter or explaining that their complaint is to be investigated.

Extension to the timeline

In exceptional circumstances, where there are clear and justifiable reasons for doing so, you may agree an extension of up to ten working days with the customer. This must only happen when an extension will make it more likely that the complaint will be resolved at the frontline resolution stage.

When you are considering an extension, you must get authorisation from the appropriate manager, who will decide whether you need an extension to effectively resolve the complaint. Examples of when this may be appropriate include staff or contractors being temporarily unavailable, or when awaiting responses from third parties or commissioned services. If it is clear from the outset that the complaint is so complex that it clearly cannot be resolved as a frontline complaint (in five working days), it should be handled directly at the investigation stage. Where an extension is authorised, you must tell the customer about the reasons for the extension, and when they can expect a response.

All attempts to resolve the complaint at this stage must take no longer than **15 working days** from the date you receive the complaint. The proportion of complaints that exceed the five working day timeline will be evident from reported statistics, and should be kept to a minimum. These statistics must go to our senior management team on a quarterly basis.

[Appendix 3](#) provides further information on timelines.

Closing the complaint at the frontline resolution stage

When you have informed the customer of the outcome, you are not obliged to write to the customer, although you may choose to do so. You must ensure that our response to the complaint addresses all areas that we are responsible for, explains the reasons for our decision and explains what the customer should do if they remain dissatisfied. It is also important to keep a full and accurate record of the decision reached and given to the customer. The complaint should then be closed and the complaints system updated accordingly.

When to escalate to the investigation stage

A complaint **must** be escalated to the investigation stage when:

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

When a previously closed complaint is escalated from the frontline resolution stage, the complaint should be reopened on the complaints system.

Take particular care to identify complaints that might be considered serious, high risk or high profile, as these may require particular action or raise critical issues that need senior management's direct input. The SPSO defines potential high-risk or high-profile complaints as those that may:

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

Stage two: investigation

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

An investigation aims to establish all the facts relevant to the points made in the complaint and to give the customer a full, objective and proportionate response that represents our final position.

What to do when you receive a complaint for investigation

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

It is often necessary to discuss and confirm these points with the customer at the outset, to establish why they are dissatisfied and whether the outcome they are looking for sounds realistic. In discussing the complaint with the customer, consider three key questions:

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

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

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

You should find out the person's preferred method of communication, and communicate by this means where reasonably practicable.

Details of the complaint must be recorded on the complaints system. Where appropriate, this will be done as a continuation of frontline resolution. The details must be updated when the investigation ends.

If the investigation stage follows attempted frontline resolution, you must ensure the officer responsible for the investigation has full access to all case notes and associated information, and record that you have done so.

Timelines

The following deadlines are appropriate to cases at the investigation stage:

- complaints must be acknowledged within **three working days**
- you should provide a full response to the complaint as soon as possible but not later than **20 working days** from the time you received the complaint for investigation.

Extension to the timeline

It is important that every effort is made to meet the timeline, as failure to do so may have a detrimental effect on the customer. Not all investigations will be able to meet this deadline. For example, some complaints are so complex that they require careful consideration and detailed investigation beyond the 20 working day timeline. However, these would be the exception and you must always try to deliver a final response to a complaint within 20 working days.

If there are clear and justifiable reasons for extending the timeline, senior management will agree an extension and set time limits on any extended investigation. You must keep the customer updated on the reason for the delay and give them a revised timescale for completion. The reasons for an extension might include the following:

- essential accounts or statements, crucial to establishing the circumstances of the case, are needed from staff, customers or others but the person you must contact cannot help because of long-term sickness or leave
- you cannot obtain further essential information within normal timescales, or
- the customer has agreed to mediation as a potential route for resolution.

These are only a few examples, and you must judge the matter in relation to each complaint. However, an extension would be the exception and you must always try to deliver a final response to the complaint within 20 working days.

If a joint response is being prepared to a complaint that covers more than one service, the lead service must inform the customer of the reasons for any delay and when they can expect a response, even if the delay relates to input from the other service.

As with complaints considered at the frontline stage, the proportion of complaints that exceed the 20 working day timeline will be evident from reported statistics, which are provided to senior management on a quarterly basis.

[Appendix 3](#) provides further information on timelines.

Alternative resolution and mediation

Some complex complaints, or complaints where customers and other interested parties have become entrenched in their position, may require a different approach to resolving the matter. Where appropriate, you may consider using services such as mediation or conciliation, using suitably trained and qualified mediators to try to resolve the matter.

Mediation will help both parties to understand what has caused the complaint, and so is more likely to lead to mutually satisfactory solutions.

If you and the customer agree to mediation, an extension to the timeline will need to be agreed.

Closing the complaint at the investigation stage

You must let the customer know the outcome of the investigation, in writing or by their preferred method of contact. Our response to the complaint must address all areas that we are responsible for and explain the reasons for our decision, taking an appropriate approach to any confidential information. You must record the decision, and details of how it was communicated to the customer, on the complaints system. You must also make clear to the customer:

- their right to ask the SPSO to consider the complaint
- the time limit for doing so, and
- how to contact the SPSO.

Signposting to the SPSO

Once the investigation stage has been completed, the customer has the right to approach the SPSO if they remain dissatisfied.

The SPSO considers complaints from people who remain dissatisfied at the conclusion of our complaints procedure. The SPSO looks at issues such as service failure and maladministration (administrative fault), and the way we have handled the complaint. In relation to social work decisions, they can also look at professional judgement.

The SPSO recommends that you use the wording below to inform customers of their right to ask SPSO to consider the complaint.

Information about the SPSO

The Scottish Public Services Ombudsman (SPSO) is the final stage for complaints about public services in Scotland. This includes complaints about local councils and the NHS in Scotland. If you remain dissatisfied when you have had a final response from West Lothian Council, you can ask the SPSO to look at your complaint. The SPSO cannot normally look at complaints:

- where you have not gone all the way through the council's complaints handling procedure
- more than 12 months after you became aware of the matter you want to complain about, or
- that have been or are being considered in court.

The SPSO's contact details are:

SPSO
4 Melville Street
Edinburgh
EH3 7NS

Their freepost address is:
FREEPOST SPSO

Freephone: 0800 377 7330
Online contact www.spsso.org.uk/contact-us
Website: www.spsso.org.uk

Governance of the complaints handling procedure

Roles and responsibilities

Overall responsibility and accountability for the management of complaints lies with the Chief Executive and senior management of West Lothian Council.

Our final position on the complaint must be signed off by an appropriate senior officer and we will confirm that this is our final response. This ensures that our senior management own and are accountable for the decision. It also reassures the customer that their concerns have been taken seriously.

Chief Executive: The Chief Executive or provides leadership and direction in ways that guide and enable us to perform effectively across all services. This includes ensuring that there is an effective complaints handling procedure, with a robust investigation process that demonstrates how we learn from the complaints we receive. The Chief Executive may take a personal interest in all or some complaints, or may delegate responsibility for the CHP to senior staff. Regular management reports assure the Chief Executive of the quality of complaints performance.

Chief Social Work Officer (CSWO): The CSWO has an important role in the consideration of complaints information and, on occasion, the content of individual complaints. Their role in overseeing the effective governance of social work services and monitoring these arrangements includes complaints about social work services. The CSWO should also take appropriate account of complaints information in fulfilling their obligations to promote continuous improvement and best practice. Furthermore, the CSWO or their delegated officers may have specific interest in complaints relating to individuals for whom they have decision-making responsibilities.

Head of Social Policy: On the Chief Executive's behalf, the Head of Social Policy may be responsible for:

- managing complaints and the way we learn from them
- overseeing the implementation of actions required as a result of a complaint
- investigating complaints, and
- deputising for the Chief Executive on occasion.

They may also be responsible for preparing and signing off decisions for customers, so they should be satisfied that the investigation is complete and their response addresses all aspects of the complaint. However, the Head of Social Policy may decide to delegate some elements of complaints handling (such as investigations and the drafting of response letters) to other senior staff. Where this happens, directors should retain ownership and accountability for the management and reporting of complaints.

Senior Managers: Senior Managers may be involved in the operational investigation and management of complaints handling. As senior officers they may be responsible for preparing and signing decision letters to customers, so they should be satisfied that the investigation is complete and their response addresses all aspects of the complaint.

Complaints investigator: The complaints investigator is responsible and accountable for the management of the investigation. They may work in a service delivery team or as part of a centralised customer service team, and will be involved in the investigation and in co-ordinating all aspects of the response to the customer. This may include preparing a comprehensive written report, including details of any procedural changes in service delivery and identifying wider opportunities for learning across the organisation.

All of the organisation's staff: A complaint may be made to any member of staff in the organisation. All staff must therefore be aware of the complaints handling procedure and how to handle and record complaints at the frontline stage. They should also be aware of who to refer a

complaint to, in case they are not able to handle the matter. We encourage all staff to try to resolve complaints early, as close to the point of service delivery as possible, to prevent escalation.

SPSO liaison officer: Our SPSO liaison officer's role may include providing complaints information in an orderly, structured way within requested timescales, providing comments on factual accuracy on our behalf in response to SPSO reports, and confirming and verifying that recommendations have been implemented.

Complaints about senior staff

Complaints about senior staff can be difficult to handle, as there may be a conflict of interest for the staff investigating the complaint. When serious complaints are raised against senior staff, it is particularly important that the investigation is conducted by an individual who is independent of the situation. We must ensure we have strong governance arrangements in place that set out clear procedures for handling such complaints.

Recording, reporting, learning from and publicising complaints

Complaints provide valuable customer feedback. One of the aims of the CHP is to identify opportunities to improve services across West Lothian Council. We must record all complaints in a systematic way so that we can use the complaints data for analysis and management reporting. By recording and using complaints information in this way, we can identify and address the causes of complaints and, where appropriate, identify training opportunities and introduce service improvements.

Recording complaints

To collect suitable data it is essential to record all complaints in line with SPSO minimum requirements, as follows:

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

We have structured systems for recording complaints, their outcomes and any resulting action. These provide a detailed record of services that have failed to satisfy customers.

Reporting of complaints

Details of complaints are analysed for trend information to ensure we identify service failures and take appropriate action. Regularly reporting the analysis of complaints information helps to inform management of where services need to improve.

We publish on a quarterly basis the outcome of complaints and the actions we have taken in response. This demonstrates the improvements resulting from complaints and shows that complaints can influence our services. It also helps ensure transparency in our complaints handling service and will help to show our customers that we value their complaints.

We must:

- publicise on a quarterly basis complaints outcomes, trends and actions taken
- use case studies and examples to demonstrate how complaints have helped improve services.

This information should be reported regularly (and at least quarterly) to our senior management team.

Learning from complaints

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

Senior management will review the information gathered from complaints regularly and consider whether our services could be improved or internal policies and procedures updated.

As a minimum, we must:

- use complaints data to identify the root cause of complaints
- take action to reduce the risk of recurrence where possible
- record the details of corrective action in the complaints file, and
- systematically review complaints performance reports to improve service delivery.

Where we have identified the need for service improvement:

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

Publicising complaints performance information

We also report on our performance in handling complaints annually in line with SPSO requirements. This includes performance statistics showing the volumes and types of complaint and key performance details, for example on the time taken and the stage at which complaints were resolved.

Maintaining confidentiality

Confidentiality is important in complaints handling. This includes maintaining the customer's confidentiality and explaining to them the importance of confidentiality generally. We must always bear in mind legal requirements, for example data protection legislation, as well as internal policies on confidentiality and the use of customer information.

Managing unacceptable behaviour

People may act out of character in times of trouble or distress. The circumstances leading to a complaint may result in the customer acting in an unacceptable way. Customers who have a history of challenging or inappropriate behaviour, or have difficulty expressing themselves, may still have a legitimate grievance.

A customer's reasons for complaining may contribute to the way in which they present their complaint. Regardless of this, we must treat all complaints seriously and properly assess them. However, we also recognise that the actions of customers who are angry, demanding or persistent may result in unreasonable demands on time and resources or unacceptable behaviour towards our staff. We will, therefore, apply our policies and procedures to protect staff from unacceptable behaviour such as unreasonable persistence, threats or offensive behaviour from customers. Where we decide to restrict access to a customer under the terms of an unacceptable actions policy, we have a procedure in place to communicate that decision, notify the customer of their

right of appeal, and review any decision to restrict contact with us. This will allow the customer to demonstrate a more reasonable approach later.

Time limit for making complaints

This CHP sets a time limit of six months from when the customer first knew of the problem, within which time they may ask us to consider the complaint, unless there are special circumstances for considering complaints beyond this time.

We will apply this time limit with discretion. In making decisions we will take account of the Scottish Public Services Ombudsman Act 2002 (Section 10(1)), which sets out the time limit within which a member of the public can normally ask the SPSO to consider complaints. The limit is one year from when the person first knew of the problem they are complaining about, unless there are special circumstances for considering complaints beyond this time.

If it is clear that a decision not to investigate a customer's complaint will lead to a request for external consideration of the matter, we may decide that this satisfies the special circumstances criteria. This would enable us to consider the complaint and try to resolve it, without the complaint going straight to the SPSO.

Appendix 1 – Frontline resolution complaints

The following tables give examples of complaints that may be considered at the frontline stage, and suggest possible actions to achieve resolution.

Complaint	Possible actions to achieve resolution
A service user complains that a social worker did not turn up for a planned visit.	<ul style="list-style-type: none"> • Apologise to the service user • explain that you will look into the matter • contact the social worker/manager to find out the reason for the missed appointment, then • explain the reasons and offer a new appointment.
A member of the public complains that a home carer parked in a private resident's car parking place.	<ul style="list-style-type: none"> • Take the customer's details and explain that you will look into the matter • contact the home care service to find out if this is the case • if so, request that this does not happen again, and • contact the customer, apologise and advise that the worker has been asked to find alternative parking.
A member of public complains that his neighbours (residents of a children's house) have been playing football in the street where they live and are being abusive to passers-by.	<ul style="list-style-type: none"> • Explain to the customer that you will look into the matter and call them back • contact the manager of the children's house to verify the facts • request that the manager meet with the neighbour to apologise and engender good relations, then • call back the customer to update them.
A complaint about a service provider commissioned by social work services.	<ul style="list-style-type: none"> • Discuss with the customer the different ways for this complaint to be handled, ie by a complaint to the Care Inspectorate or through the provider's own CHP, and • ensure, whatever process is agreed, that the customer is clear how they can progress their complaint to the next stage, should they remain dissatisfied. This may be within the provider's CHP, to the West Lothian Council, or to the Care Inspectorate. The customer should be advised that they can come back to West Lothian Council for further advice if they need to at any stage.
A service user complains that their care needs assessment does not accurately reflect their needs, or that the care package proposed would not meet the needs identified in their assessment.	<ul style="list-style-type: none"> • Clarify with the customer whether the complaint relates to an assessment of needs or a proposed care package. Establish specifically what the customer is complaining about and what has happened so far. Ask them what they are seeking from their complaint, and explain that you will look into the matter • make internal enquiries to establish what stage the assessment and care planning processes are at • while considering the complaint, if the team indicate that a new assessment or care planning

	<p>meeting may be offered, pass this offer onto the customer, and ask the team to contact the customer to take this forward, and</p> <ul style="list-style-type: none"> • if the team are not prepared to look at the matter again, explain why the assessment or care package decision is considered to be adequate, and signpost to the next stage of the CHP.
<p>A customer complains about social work services impacting on their discharge from hospital.</p>	<ul style="list-style-type: none"> • Check with the hospital social work team about the customer's care planning in relation to discharge from hospital, and the timing of medical decisions and social work input • it may become apparent at that stage that the discharge process was complicated by a range of issues, in which case it may be appropriate to escalate the complaint to investigation • it may also become apparent that the customer is still in hospital, and may or may not be considered ready for discharge. If they are ready, then pass the complaint onto the team directly involved to respond to as quickly as possible • if the situation is not current, and there were delays from social work services, find out why these happened, and • respond to the customer by their preferred method, to inform them of the outcome of their complaint. Offer an apology if appropriate, and outline what steps have been put in place to prevent a recurrence of the situation.

Appendix 2 - Complex social work scenarios

A concern may not necessarily be a complaint. In some cases a measure of discretion or further clarification is required in determining whether something is a complaint that should be handled through this procedure or another matter which should be handled through another process. There are also some specific circumstances when complaints should be handled in a particular manner. Issues that commonly arise include:

1. Child or adult protection concerns

Customers may express concerns that a child or adult is at risk, but frame their concern in terms of dissatisfaction that 'nothing has been done about this'. The member of staff will need to consider whether the person is authorised to make complaints on behalf of the child or adult in question, whether they expect the matter to be handled as a complaint and whether the professional view is that these matters are best addressed through initiating the applicable protection procedures. Where the need to initiate protection procedures and investigate concerns within those procedures is identified, this will usually represent West Lothian Council's final response to the complaint, and the complaint should be closed. The person making the complaint should be advised that this is the outcome of the complaint and signposted to the SPSO.

Where a complaint is received about some aspect of protection processes that have already been initiated, for example in relation to the way the processes was applied, this should be considered a complaint, and progressed within the complaints handling procedure.

2. Complaints about professional decisions

A customer may wish to complain about or appeal against a social work decision. Such decisions must be considered in line with the timescales for complaints as specified in the CHP.

Some decisions may be considered through an internal appeal procedure. However, any such appeal route must be considered as constituting a special form of stage 2 of this procedure, in that it will result in a thorough response **to all concerns** and onward referral to the SPSO.

3. Legal action

Legal action takes several forms and each must be handled in a distinctive way:

- (a) **Judicial Review:** If a person wishes to seek judicial review of a social work decision then they should be encouraged to seek legal advice.
- (b) **Litigation:** Where a customer says that they are seeking compensation and that legal action is being actively pursued, this is not a complaint. Where a customer indicates that they intend to litigate but have not yet commenced legal action, they should be informed that if they take such action, they should notify the complaints team and that the complaints process will be closed. If it becomes apparent that legal action is being pursued, the complaints team must clarify with the customer if all the issues they have raised will be considered through legal action; any outstanding issues must still be addressed through the CHP.
- (c) **Legal tribunals, etc:** Sometimes the matter complained of may be the subject of ongoing consideration by a relevant legal body, for example where a customer complains of lack of contact with their child who is being looked after by West Lothian Council, when that matter falls to be determined by the Children's Panel. In such cases the customer should be directed to raise the matter either directly or through their legal representatives within that other defined process and the matter should not be accepted as a complaint.

This is distinct from a complaint that West Lothian Council and its staff have failed to properly carry out their roles and responsibilities. In the example above, a Children's Panel may have set contact frequency but it is not being properly facilitated by social work staff due to staffing shortages or some other factor. That is a matter of legitimate complaint under this procedure.

4. Complaints about the content of reports submitted to legal bodies

West Lothian Council may receive complaints about the accuracy of reports by professional social work staff submitted to Courts or other bodies such as Children's Panels, Parole Boards or Mental Health Tribunals. In such circumstances, the report is provided as a service to the court or tribunal, not as a service to the customer. The customer has no right to veto such reports or insist that content is subject to their approval but they can complain about the content of the report.

West Lothian Council should consider each complaint and it will usually be necessary to undertake a short screening process to establish whether the issue is appropriate for the CHP. This will depend on the nature and seriousness of alleged inaccuracy, and the status of the report in relation to the progress of court or other proceedings. In particular West Lothian Council should consider whether the complaint relates to accuracy of facts, to opinion or to the standard and quality of the work carried out by the professional concerned, and should take one of three actions accordingly:

1. advise the customer that, due to the timescales involved, the issue should be raised when the report is presented in court/to the relevant body, as that is the appropriate forum for deciding on the matter
2. advise the customer that the complaint raises issues that will be considered under the CHP (such as issues of fact), and progress accordingly, or
3. advise the customer that the complaint raises a mixture of issues that will be considered under the CHP and other issues that should be raised within the relevant forum when the report is submitted.

If you refuse to consider some or all issues as per 1 or 3 above and direct the customer to raise the matter within the legal process, you must still provide clear information about the reason for this decision, and signpost the customer to the SPSO for access to a review of this decision.

West Lothian Council should also consider whether the complaint relates to a breach of data protection legislation, in which case it must be processed accordingly, with a potential referral to the Information Commissioner.

5. Campaigns

The introduction of a new policy or changes in service, such as the closure of a facility, may lead to a high volume of complaints being received. These should be handled under this procedure on an individual basis on their merits, addressing the issue of how that particular customer is affected by the change. It may be appropriate to provide information about the process that led to the changes, or when the policy may next be reviewed.

Occasionally, however, such complaints are evidently part of an organised campaign. Indicators may be that all complaints have identical content or are on a 'form' letter or that all complainers are known to be members of a pressure group that has made separate representations through West Lothian Council's petitions or elected members.

West Lothian Council will not accept an unreasonable burden on its complaints processes produced by an organised campaign. Instead, West Lothian Council may either issue a single 'form' response or may ask the organisers to nominate a single person to make a single complaint on behalf of the group. In such circumstances it would be important to be clear that all the complaints being brought to West Lothian Council are identical, and setting out clearly what issues are being considered under the complaint. Any other additional concerns that individuals may have would need to be handled as new complaints.

6. Persons under investigation

West Lothian Council is likely to have a role in investigating the actions of individuals towards other, more vulnerable people, for example those suspected of child or adult abuse or Guardians and Powers of Attorney who are allegedly misusing their powers.

Those individuals are still customers as defined within this procedure and any complaint from them must be considered on its individual merits. For example, a complaint about an improper exercise of investigative procedures should be looked into as a complaint. Any response should take into account any confidentiality issues, and this should be explained to the customer.

However, if it is evident that the person is not complaining about the process or the actions of staff, but is complaining that they are under investigation, this should not be accepted as a complaint. Instead it should be explained to the customer that West Lothian Council has a statutory obligation to investigate such matters, and this is not conditional upon their agreement or approval. Their objection to the process is not considered to be a complaint, though they may be directed to seek appropriate legal advice to protect their rights.

7. Looked after and accommodated children/adults under local authority guardianship

West Lothian Council has a special duty of care to children in its care or adults for whom it exercises decision-making powers. Special care should be taken when investigating complaints made by or on behalf of those individuals.

Artificial barriers of confidentiality should not be imposed to prevent people with a relevant interest in the affairs of an incapacitated adult from complaining on their behalf.

Children who are looked after by the Local Authority may complain. They may have little in the way of a support network and may be estranged from their family. It may also be inappropriate for the family to represent the child's interests. Particular care, therefore, should be taken to ensure that the child's complaint is understood and, particularly for younger children, that the response is understood by them.

In both cases, the need for personal contact with the customer, and the possible involvement of advocacy services, should be actively considered.

8. Grievances/Staff complaints

This procedure is for external customers of West Lothian Council to complain about services received by them or affecting them or to complain on behalf of others. It is not an appropriate procedure for the handling of complaints by staff, which should be routed through the usual HR/Personnel processes.

9. Allegations of fraud/criminality/professional malpractice or incompetence

Discretion is required where the complaint is so serious as to immediately merit investigation under disciplinary processes or referral to another agency.

If it is determined that the complaint falls into this category, you should always try to respond to the complaint within the CHP timescales. Even where the outcome of the complaint leads to further internal procedures being followed, the customer can still be advised of this as an outcome, and the complaint closed, with signposting to the SPSO.

However, in some cases, particularly where the police are involved, you may have to await the outcome of another process before you can decide on the outcome of the complaint. Where such a decision is made you must inform the customer and advise them of their right to come to the SPSO if they are dissatisfied with this approach.

10. Complaints brought by foster carers

Complaints brought by foster carers can relate to the support services they receive from West Lothian Council, the way our staff engage with them, or services a child in their care is or was receiving or has requested from us.

Any complaint brought by a foster carer on behalf of a foster child in the care, or formerly in their care, should be considered under this CHP. A foster carer has sufficient interest in the wellbeing of a child to complain on their behalf. Where possible, the views of the child should also be taken into account and if they are different from the views of the foster carer, this should be referred to in the response.

Foster carers who are recruited and supported by us may bring complaints about these services. However, approval and de-registration of the carer by West Lothian Council may be considered through alternative appeal mechanisms. As noted under the section 'Complaints and appeals', these appeals must be handled in line with the CHP timescales and end with signposting to the SPSO.

Complaints from foster carers supported by private agencies will not be addressed within this CHP if the complaint is wholly about their own circumstances and support rather than those of the child. Such complaints should be directed to the complaints process of the relevant agency.

An agency foster carer may still complain about the way our staff have interacted with them or about any element of service that they might reasonably expect to be provided by West Lothian Council, for example invitations to meetings, provision of information about the child in their care or the manner and content of communications with West Lothian Council. This list is not exhaustive and such complaints should be carefully considered in terms of the role of West Lothian Council's staff, before directing them to pursue their complaint with their fostering agency.

Where a complaint cannot be considered in part or in whole by West Lothian Council, the customer must be given a clear explanation as to why this is, what (if any) parts of their complaint will be investigated and how they may refer the matter to the SPSO.

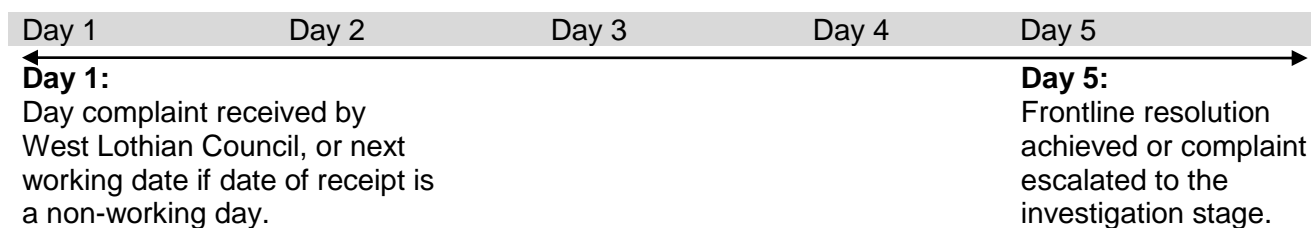
Appendix 3 - Timelines

General

References to timelines throughout the CHP relate to working days. When measuring performance against the required timelines, we do not count non-working days, for example weekends, public holidays and days of industrial action where our service has been interrupted.

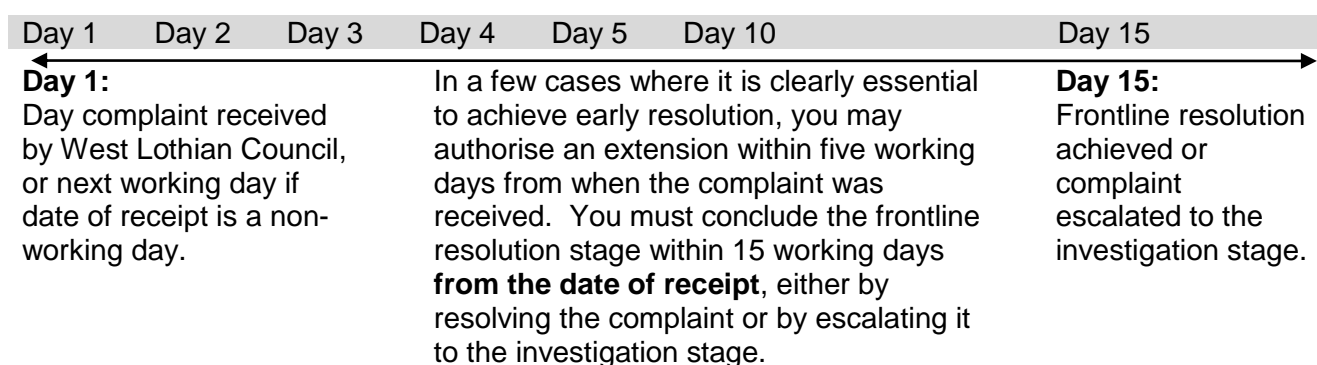
Timelines at frontline resolution

You must aim to achieve frontline resolution within five working days. The day you receive the complaint is day 1. Where you receive it on a non-working day, for example at the weekend or on a public holiday, day 1 will be the next working day.



Extension to the five-day timeline

If you have extended the timeline at the frontline resolution stage in line with the CHP, the revised timetable for the response must take no longer than 15 working days from the date of receiving the complaint.



Transferring cases from frontline resolution to investigation

If it is clear that frontline resolution has not resolved the matter, and the customer wants to escalate the complaint to the investigation stage, the case must be passed for investigation without delay. In practice this will mean on the same day that the customer is told this will happen.

Timelines at investigation

You may consider a complaint at the investigation stage either:

- after attempted frontline resolution, or
- immediately on receipt if you believe the matter to be sufficiently complex, serious or meriting a full investigation from the outset.

Acknowledgement

All complaints considered at the investigation stage must be acknowledged within **three working days** of receipt. The date of receipt is:

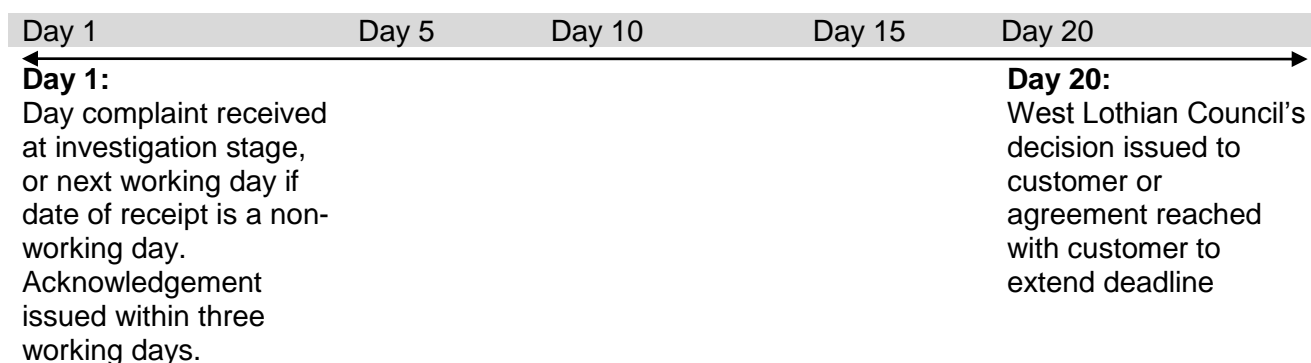
- the day the case is transferred from the frontline stage to the investigation stage, where it is clear that the case requires investigation,

- the day the customer asks for an investigation after a decision at the frontline resolution stage. You should note that a customer may not ask for an investigation immediately after attempts at frontline resolution, or
- the date you receive the complaint, if you think it sufficiently complex, serious or meriting a full investigation from the outset.

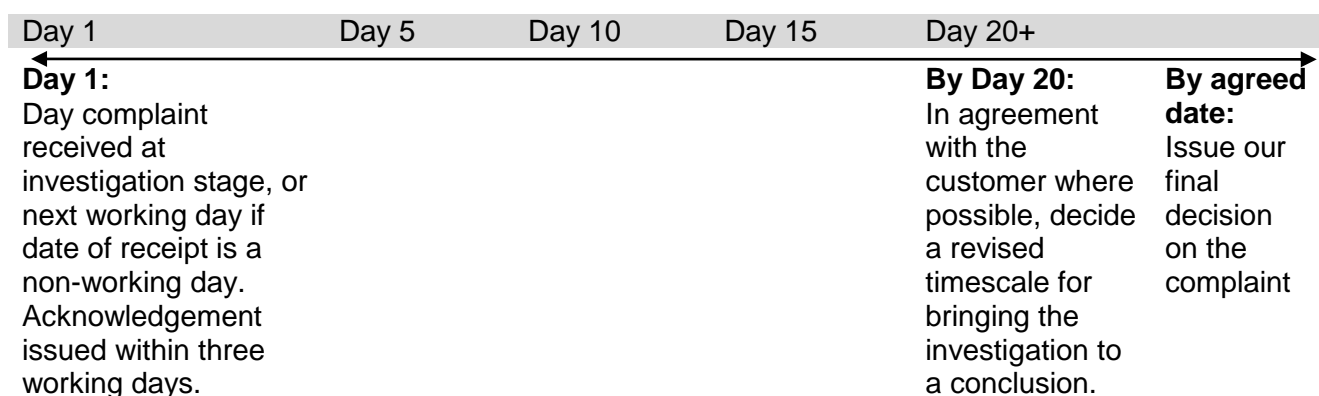
Investigation

You should respond in full to the complaint within **20 working days** of receiving it at the investigation stage.

The 20 working day limit allows time for a thorough, proportionate and consistent investigation to arrive at a decision that is objective, evidence-based and fair. This means you have 20 working days to investigate the complaint, regardless of any time taken to consider it at the frontline resolution stage.

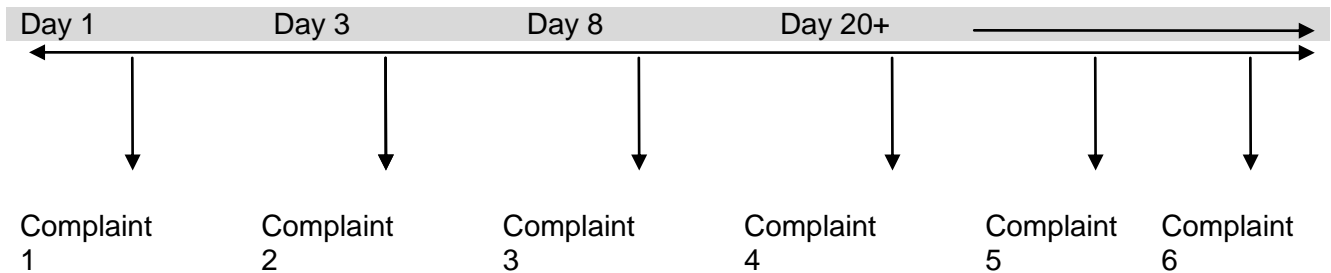


Exceptionally you may need longer than the 20-day limit for a full response. If so, you must explain the reasons to the customer, and agree with them a revised timescale.



Timeline examples

The following illustration provides examples of the point at which we conclude our consideration of a complaint. It is intended to show the different stages and times at which a complaint may be resolved.



The circumstances of each complaint are explained below:

Complaint 1

Complaint 1 is a straightforward issue that may be resolved by an on-the-spot explanation and, where appropriate, an apology. Such a complaint can be resolved on day 1.

Complaint 2

Complaint 2 is also a straightforward matter requiring little or no investigation. In this example, resolution is reached at day three of the frontline resolution stage.

Complaint 3

Complaint 3 refers to a complaint that we considered appropriate for frontline resolution. We did not resolve it in the required timeline of five working days. However, we authorised an extension on a clear and demonstrable expectation that the complaint would be satisfactorily resolved within a further ten working days. We resolved the complaint at the frontline resolution stage in a total of eight days.

Complaint 4

Complaint 4 was suitably complex or serious enough to pass to the investigation stage from the outset. We did not try frontline resolution; rather we investigated the case immediately. We issued a final decision to the customer within the 20-day limit.

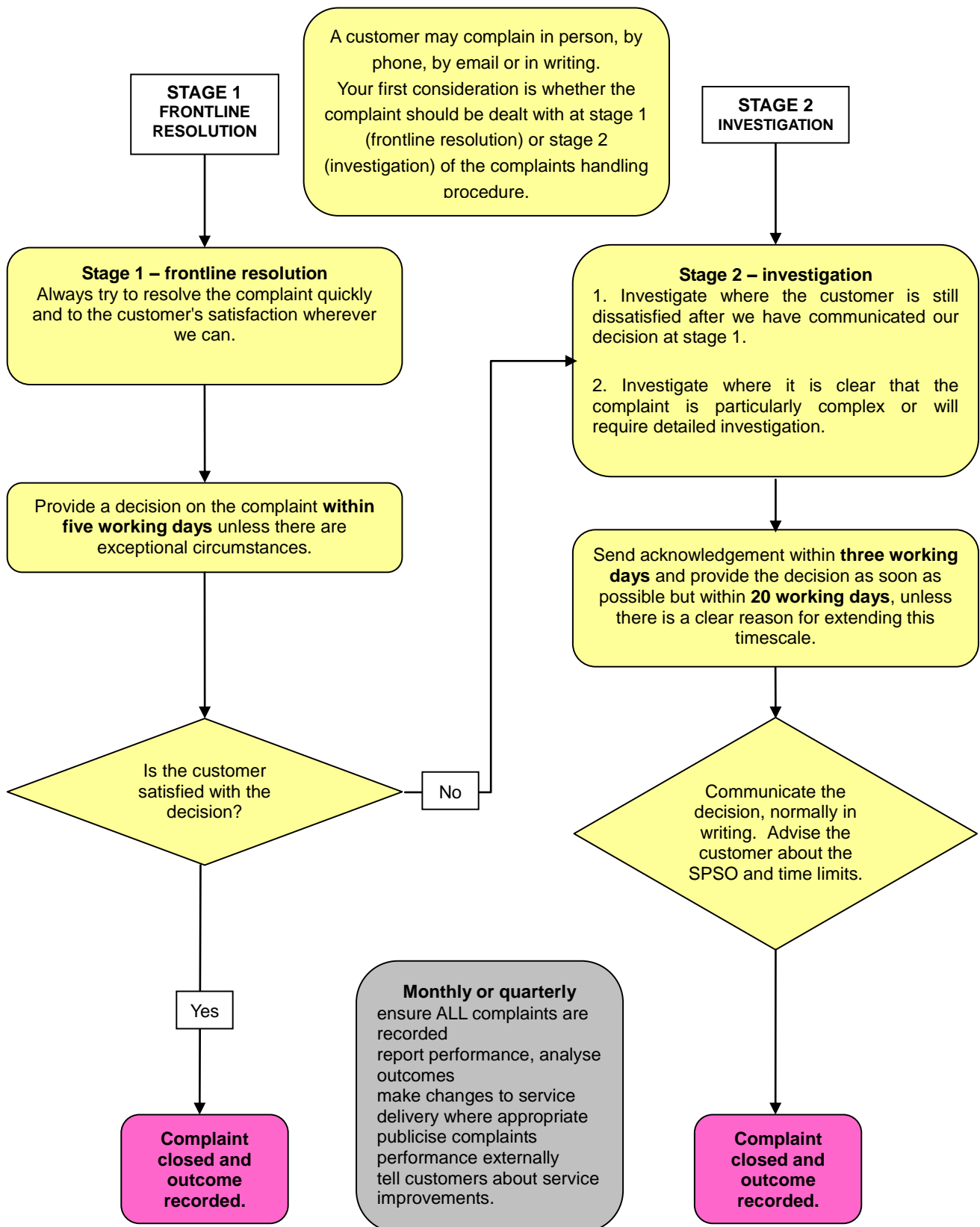
Complaint 5

We considered complaint 5 at the frontline resolution stage, where an extension of ten working days was authorised. At the end of the frontline stage the customer was still dissatisfied. At their request, we conducted an investigation and issued our final response within 20 working days. Although the end-to-end timeline was 30 working days, we still met the combined time targets for frontline resolution and investigation.

Complaint 6

Complaint 6 was considered at both the frontline resolution stage and the investigation stage. We did not complete the investigation within the 20-day limit, so we agreed a revised timescale with the customer for concluding the investigation beyond the 20-day limit.

Appendix 4 - The complaints handling procedure





PARTNERSHIP & RESOURCES PDSP

RECORDING AND BROADCASTING COUNCIL MEETINGS

REPORT BY CHIEF EXECUTIVE

A. PURPOSE OF REPORT

To provide information about the costs and other resources required for the recording and broadcasting of council meetings.

B. RECOMMENDATION

To note the information provided about methods and costs of broadcasting council meetings and to consider those alternatives prior to referral to Council Executive for decision.

C. SUMMARY OF IMPLICATIONS

I	Council Values	Being honest, open and accountable
II	Policy and Legal (including Strategic Environmental Assessment, Equality Issues, Health or Risk Assessment)	Local Government (Scotland) Act 1973; Standing Orders for the Regulation of Meetings
III	Implications for Scheme of Delegations to Officers	None
IV	Impact on performance and performance Indicators	None
V	Relevance to Single Outcome Agreement	None
VI	Resources - (Financial, Staffing and Property)	Within existing resources
VII	Consideration at PDSP	Ongoing
VIII	Other consultations	Governance Manager, IT Services, Finance & Property Services

D. TERMS OF REPORT

1 Background

- 1.1 On 22 November 2016 Council Executive instructed officers to investigate the feasibility and cost of broadcasting full council meetings from the start of the new council term in May 2017 and to report back to the March 2017 Partnership & Resources PDSP.
- 1.2 Meetings of full council always take place in the council chamber in the Civic Centre and so investigations have been confined to that location. Any equipment installed or used for full council meetings could be utilised for meetings there of any other committees or PDSPs. Although capital costs may not be affected by that extended use, there may be additional costs incurred, for instance in staff time.
- 1.3 The shape of the council chamber and its seating arrangements have implications for what can be reasonably achieved and at what cost. It has an existing sound system, installed when the Civic Centre was constructed, and investigations have centred around using or building on that existing system where possible.
- 1.4 Appendix 1 summarises compares information on five options described below.

2 Options considered but not recommended to be pursued

- 2.1 Basic arrangements for audio recording of meetings through the existing sound system and uploading the resulting sound files to the internet were considered (Options 1 and 2 in Appendix 1). Those had the advantage of low cost in terms of capital or set-up costs. However, the image portrayed of the council is not as professional as it could be under other options. In addition, they would either require staff time and expertise in converting sound files and uploading them; or would require subscription payments by council and users; or would require users to download the files to be able to listen to them. Dumfries & Galloway Council has followed this route.
- 2.2 At the other end of the cost scale a full audio and video recording and live webcasting service can be purchased from commercial suppliers (Option 5 in Appendix 1). They provide the full system and service, including cameras and recording equipment and software. The shape and layout of the council chamber would be a factor. That service is used by City of Edinburgh Council and a handful of other councils in Scotland. It is a professional and comprehensive package but it comes at considerable cost of several thousand pounds per year. If video recording and broadcasting is to be delivered then this is the best option.

3 Two options recommended for further consideration

- 3.1 In the first of these, meetings are recorded (audio only) and simultaneously broadcast over the Internet using a commercial service (Option 3 in Appendix 1). A laptop or Android device is required to interface between the microphone system and the broadcast service. Staff input will be required to create index points on the audio recording and link them to online versions of the minutes. Interested parties listening to the archived version can then jump directly to items of interest from the agenda or the index. An example of this type of setup can be seen from Essex County Council.

- 3.2 The second of these introduces the option of video and would require the installation of cameras into the council chambers (Option 4 in Appendix 1). Cameras would automatically direct to the current live microphone position within the chamber. Audio recording to accompany the video would be sourced from the existing microphone system. The option reviewed was offered by the council's maintenance contractor. The overall solution requires a significant amount of self-support and it would be difficult to present a professional image of the council. There would also be a requirement for additional IT equipment and software to be introduced within the Civic Centre and specialist knowledge required.

4 Use by the public

- 4.1 Available information about the extent of use by the public is sparse and it is hard to draw comparisons when so many different approaches are taken. Renfrewshire Council had in the region of 750 hits per meeting in the first year of operation, and Moray Council had 32,000 and then 46,000 views in the first two years of use. Both use the full and most expensive audio and video systems through commercial suppliers and broadcast a large number of committee meetings as well as full council meetings.

5 Legislation and Standing Orders

- 5.1 Meetings of the council and its committees must take place in public unless there is a legal and valid reason to proceed in private. Meetings taking place in private could be recorded but not broadcast. Agendas and reports must be made available to the public unless a report is to be taken in private. There is no legal requirement to use the internet or to record or broadcast meetings.
- 5.2 Should meetings be recorded and/or broadcast then procedures will be required to ensure compliance with data protection rules and guidance.
- 5.2 Standing Orders currently prohibit the recording of a council or committee meeting unless the particular meeting agrees to allow it. If recording and/or broadcasting is to be taken forward then amendments will be needed, and those require to be made through full council.

E CONCLUSION

This report provides initial information in compliance with the instruction from Council Executive on 22 November 2016. Following PDSP consideration a report will be presented to Council Executive for further consideration and decision. Views expressed at the PDSP will be passed on to committee in that report.

F. BACKGROUND REFERENCES

- 1 Council Executive, 22 November 2016

Appendices/Attachments - 1. Comparison of options

James Millar, Governance Manager, 01506 281613, james.millar@westlothian.gov.uk

Graham Hope, Chief Executive

Date of meeting: 14 March 2017

APPENDIX 1

	Audio Only or Audio/Video	Live or Pre-recorded	Staff time required	Archive Available	Cost of Technical solution (excl staff)
Option 1	Audio Only	Pre-recorded	Yes - (video editing expertise) plus recording and upload	Yes	Low
Option 2	Audio Only	Pre-recorded	Yes – recording and upload	Yes	£0 to £120 per annum
Option 3	Audio Only	Live	Yes – recording meeting and creating index points and linking to recording.	Yes	£4000 per annum
Option 4	Audio and Video	Live	Yes - recording and uploading video, specialist IT resource to maintain the equipment.	No	£9000 capital plus cost of archiving plus £200 per annum streaming costs
Option 5	Audio and Video	Live	Yes - recording and monitoring and adding index points to recorded version of the meeting	Yes	Indicative £22000 per annum minimum spend



PARTNERSHIP AND RESOURCES POLICY DEVELOPMENT AND SCRUTINY PANEL

2018 REVIEW OF UK PARLIAMENT CONSTITUENCIES – SECONDARY CONSULTATION

REPORT BY CHIEF EXECUTIVE

A. PURPOSE OF REPORT

To advise the Panel that the Boundary Commission for Scotland is undertaking a four week secondary consultation to allow remarks to be made to the Commission concerning any of the comments made during the public consultation on the Commissions Initial Proposals for constituencies.

B. RECOMMENDATION

The Panel is recommended to:

1. Consider the comments made in response to the Initial Proposals for the West Lothian Council area.
2. Recommend any further response to the Council Executive

C. SUMMARY OF IMPLICATIONS

I Council Values	Focusing on our customers' needs; being honest, open and accountable; providing equality of opportunities; developing employees; making best use of our resources; working in partnership
II Policy and Legal (including Strategic Environmental Assessment, Equality Issues, Health or Risk Assessment)	The Parliamentary Constituencies Act 1986 (as amended)
III Implications for Scheme of Delegations to Officers	None
IV Impact on performance and performance Indicators	
V Relevance to Single Outcome Agreement	Voter turnout is a performance indicator in the SOA
VI Resources - (Financial, Staffing and Property)	
VII Consideration at PDSP	
VIII Other consultations	None

D. TERMS OF REPORT

D1 Background to the Secondary Consultation

The review of UK Parliament constituencies was announced in February 2016 and is being carried out simultaneously in each of the four constituent parts of the UK. The Boundary Commission for Scotland (BCS) is carrying out the review in Scotland.

The BCS developed Initial Proposals and carried out a public consultation which finished on 11th January 2017. They have now collated all the responses and are carrying out a secondary consultation. This is to allow remarks to be made to the BCS concerning any of the comments or alternative suggestions made during the public consultation on the initial proposals.

D2 Comments Made on the proposals for West Lothian

All comments and alternative suggestions received by the BCS are available to view on their consultation portal at: <https://www.bcs2018.org.uk/>

Comments made in relation to West Lothian are collated in Appendix 1.

D3 Secondary Consultation

There is a period of 4 weeks where remarks can be made on the comments received on the initial proposals.

Representations can also be made to the BCS before 27 March 2017 via:

Consultation portal: www.bcs2018.org.uk

Email: bcs@scottishboundaries.gov.uk

Address: Boundary Commission for Scotland, Thistle House, 91 Haymarket Terrace, Edinburgh, EH12 5HD

D4 Next Stages

The BCS will consider all representations, the proceedings of the public hearings, scrutiny comments, and any other relevant information.

The BCS will then make any amendments to the initial proposals that they judge necessary.

If any particularly complex issues are raised the BCS may ask the Secretary of State to appoint an Assistant Commissioner to assist in their considerations.

If any alterations are made to initial proposals then the BCS will publish revised proposals for further 8 week consultation. There will be no public hearings in connection with revised proposals nor will representations be published for public scrutiny.

If any modifications require to be made to revised proposals then there is no requirement to publish them for consultation.

Once the review has been completed the BCS will submit recommendations in a report to the Secretary of State for Scotland, who is then responsible for laying them before the UK Parliament.

E. CONCLUSION

The BCS has published all comments received on their initial proposals for UK Parliamentary constituencies and started a four week Secondary Consultation where remarks can be made on these comments. The Panel should consider the comments relevant to West Lothian and make a recommendation to the Council Executive as to how the council should respond to the secondary consultation.

F. BACKGROUND REFERENCES

Partnership and Resources PDSP 16 December 2016 - 2018 Review Of UK Parliament Constituencies

Council Executive 20 December 2016 - 2018 Review Of UK Parliament Constituencies

Appendices/Attachments: Appendix 1 – Comments received by BCS on Initial Proposals

Contact Person: Caroline Burton, EP/Elections Officer, 01506 281651,
caroline.burton@westlothian.gov.uk

Graham Hope, Chief Executive

Date of meeting: 17 March 2017

BCS-7584

I believe that the proposed boundary review is incredibly undemocratic, and there is very little appetite for this proposal. My constituency currently falls under West Lothian council, and the fact that it will now fall under two local council areas worries me and could even in some instances potentially lead to a breakdown in communication and confusion for the electorate as the simple perception of different layers of government; MP, MSP and Councillors, will be smashed..

As well as this, the boundary review is based on an out of date version of the electoral register and nearly two million people shall effectively be left unaccounted for.

Also, as a Scot, we were told during the referendum campaign not to 'leave' the UK but to 'lead' the UK. At a time when Scotland already suffers a huge democratic deficit due to a Conservative government that we did not vote for, to limit Scotland's voice further in Westminster would be damaging and also alienating for us Scots.

The vast majority of the public see this boundary review as little more than a cynical attempt by the Conservative government to gerrymander the next election. There is no public appetite for these changes and the proposal should be scrapped.

BCS-7588

Edinburgh Pentland & Livingston

In terms of your declared criteria, presumably other than population total, I fail to see on what basis Edinburgh inside the A720 has been added into the Livingston area, per below.

Design as many constituencies as practicable that do not cross a council area boundary. - this crosses council areas between West Lothian and Edinburgh

Recognise existing community ties - there are no existing community ties between Edinburgh inside the A720 and Livingston. Likewise it seems absurd to have Dalry in with South Queensferry

Take into consideration local geography (for example transport links, other electoral boundaries, administrative boundaries and natural features). - The A720 seems to be a natural boundary.

BCS-7676

I would like to see the Edinburgh constituencies have names of areas central to their boundaries as opposed to compass points.

Edinburgh North & Leith should be Edinburgh Leith
Edinburgh South West & Central should be Edinburgh Morningside
Edinburgh West should be Edinburgh Cramond
Edinburgh East should be Edinburgh Portobello

Edinburgh Pentlands and Livingston should be "Livingston & Pentlands" to reflect the fact that West Lothian is a greater constituent part than Edinburgh.

BCS-8678

To recommend that the “Edinburgh Pentlands and Livingston” constituency be named the “Livingston and Edinburgh Pentlands” constituency

BCS-7719

As a resident who will be moving to Juniper green in Dec, I don't believe that the village (along with Currie and balerno) belongs in the same area as Livingston.

The reason being is that the voters don't want the same things. They don't have anything in common and don't share any public centres, activities, places etc.

The 2 areas have a completely different feel with people living in the Currie area having more in common and sharing amenities with their Edinburgh neighbours.

I can almost guarantee if you asked residents where and with who they spent their time it wouldn't be Livingston, it would be Edinburgh.

BCS-8093

I have two suggestions regarding your proposals for West Lothian.

1. The 'Edinburgh Pentland and Livingston' name would be seem to reflect rather too little the domination of Livingston in your proposals. Wouldn't 'Livingston' be sufficient as a name? After all, your proposals for 'Paisley' include parts of North Ayrshire, but the proposed name of that constituency does not acknowledge this at all;
2. Linlithgow is right on the edge of the other proposed West Lothian constituency. I would have thought 'Bathgate' a more suitable name, as it much more central to the proposed constituency. I have no idea if these suggestions are at all helpful, but I offer them to you for your consideration.

BCS-9046

I want to turn now to the City of Edinburgh. It is clear that Edinburgh has too many electors to stand alone and must now be grouped, and that it can now be grouped with West Lothian. We agree that creating a constituency wholly within West Lothian forming only one constituency combining areas of West Lothian and Edinburgh minimises the crossing of council boundaries and is consistent with the Commission's practice elsewhere in Scotland.

BCS-9322

We make no counter argument or proposal and support the proposal for the creation of a Linlithgow constituency wholly within West Lothian

BCS-9350

3.8 City of Edinburgh and West Lothian.

3.8.1 We support the Initial proposals in their entirety

BCS-9355

Given the proposed arrangement to the south and east of the Edinburgh, the allocation of six constituencies to the combined area of Edinburgh and West Lothian is unavoidable. We believe that the allocation of four constituencies to the whole of Edinburgh, as was proposed in the last (uncompleted) review, would have been preferable, and would probably have enjoyed public support despite each constituency now being around 10% above quota. Since that option was not open to the Commission, we believe that they have chosen the best link across the Council

boundaries that was available to them. The A71 road links the Sighthill/Wester Hailes area with Livingston and development between the two, if not continuous, provides a consistent connection. In addition, prior to the extension of the City boundaries in 1973, Currie and Balerno were joined for Parliamentary representation with the Calders and had been since at least 1832.

BCS-9091

Alternative proposal shown at

<http://bcs->

[response.s3.amazonaws.com/draft/1485853008_8896_A_Bailey_Redacted.pdf?AWSAccessKeyId=AKIAJG2X7BQ35X2H7LAA&Expires=1488367174&Signature=VKEXBLrqU%2B0vK7JJJo1rmZpjsf5M%3D](http://bcs-response.s3.amazonaws.com/draft/1485853008_8896_A_Bailey_Redacted.pdf?AWSAccessKeyId=AKIAJG2X7BQ35X2H7LAA&Expires=1488367174&Signature=VKEXBLrqU%2B0vK7JJJo1rmZpjsf5M%3D)

Strathalmond (Bathgate and Shotts) (74061)

Livingston (74223)

BCS-8821

Alternative proposal shown at

<http://bcs->

[response.s3.amazonaws.com/draft/1485856416_8821_J_Bryant_Redacted.pdf?AWSAccessKeyId=AKIAJG2X7BQ35X2H7LAA&Expires=1488367508&Signature=itDIN74F7juuoeZa68p0eFhrl1U%3D](http://bcs-response.s3.amazonaws.com/draft/1485856416_8821_J_Bryant_Redacted.pdf?AWSAccessKeyId=AKIAJG2X7BQ35X2H7LAA&Expires=1488367508&Signature=itDIN74F7juuoeZa68p0eFhrl1U%3D)

Linlithgow Edinburgh Ward 2 and West Lothian Wards 1,2 5 and 8 (73770)

Livingston West Lothian Wards 3,4,5,6,7 and 9 (71048)

**PARTNERSHIP AND RESOURCES POLICY DEVELOPMENT AND SCRUTINY PANEL
WORKPLAN to 28 April 2017**

	Agenda Item	Lead Officer	P&R PDSP Date / Month
1.	Lothian Valuation Joint Board Annual Report	Chief Executive	Annually 28 April 2017
2.	Code of Conduct Annual Report	Chief Executive	Annually December 2017
3.	West Lothian Development Trust Annual Report	Head of Planning, Economic Development & Regeneration	Annually December 2017
4.	Annual Complaints Report	Depute Chief Executive, Corporate, Operational and Housing Services	Annually September 2017
5.	Quarterly Performance Report	Depute Chief Executive, Corporate, Operational and Housing Services	Quarterly 16 June 2017 September 2017 December 2017 March 2018
6.	Quarterly Welfare Reform update	Head of Finance and Property Services	Quarterly 16 June 2017 September 2017 December 2017 March 2018
7.	Quarterly Sickness Absence Update	Head of Corporate Services	Quarterly 16 June 2017 September 2017 December 2017 March 2018
8.	Minutes of Scotland Excel Meetings	Head of Corporate Services	As available
9.	Lothian Valuation Joint Board minutes	Chief Executive	As available
10.	Annual Review of the Information Management Policies	Head of Corporate Services	28 April 2017
11.	Community Council Elections	Head of Corporate Services	28 April 2017
12.	Financial Implications of Brexit Update	Head of Finance and Property Services; Head of Planning, Economic Development & Regeneration	16 June 2017

Graham Hope
Chief Executive

DATA LABEL: PUBLIC