



## ***Partnership and Resources Policy Development and Scrutiny Panel***

West Lothian Civic Centre  
Howden South Road  
LIVINGSTON  
EH54 6FF

31 January 2020

A meeting of the **Partnership and Resources Policy Development and Scrutiny Panel** of West Lothian Council will be held within the **Council Chambers, West Lothian Civic Centre, Livingston** on **Friday 7 February 2020** at **9:30am**.

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 and declarations of interest in any urgent business
4. Confirm Draft Minute of Meeting of the Panel held on 6 December 2019 (herewith).
5. Scheme of Polling Places and Districts - report by Chief Executive (herewith).
6. Quarterly Performance Report - Quarter 3 of 2019/20 - report by Depute Chief Executive (herewith).
7. Review of West Lothian Citizen Panel - report by Head of Planning, Economic Development and Regeneration (herewith).
8. Family Leave Provisions - Elected Members - report by Governance Manager and Head of Corporate Services (herewith).

9. Review of Scheme for Establishment of Community Councils in West Lothian - report by Head of Corporate Services (herewith).
10. Sickness Absence (1 April 2019 to 31 December 2019) - report by Head of Corporate Services (herewith).
11. Review of Policy and Procedure for Supporting Attendance at Work - report by Head of Corporate Services (herewith).
12. Policy on the Misuse of Alcohol, Drugs and Other Substances - report by Head of Corporate Services (herewith).
13. Supporting Performance Framework - report by Head of Corporate Services (herewith).
14. Horizon Scan - report by Head of Finance and Property Services and Head of Planning, Economic Development and Regeneration (herewith).
15. Availability of Automated Cash Machines in West Lothian - report by Head of Finance and Property Services (herewith).
16. CIPFA Financial Management Code - report by Head of Finance and Property Services (herewith).
17. Review of Income and Contributions - report by Head of Finance and Property Services (herewith).
18. Risk Management Policy - report by Head of Finance and Property Services (herewith).
19. Workplan (herewith).

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NOTE      **For further information please contact Val Johnston on 01506 281604 or e-mail [val.johnston@westlothian.gov.uk](mailto:val.johnston@westlothian.gov.uk)**

## CODE OF CONDUCT AND DECLARATIONS OF INTEREST

This form is to help members. It is not a substitute for declaring interests at the meeting.

Members should look at every item and consider if they have an interest. If members have an interest they must consider if they have to declare it. If members declare an interest they must consider if they have to withdraw.

NAME	MEETING	DATE

AGENDA ITEM NO.	FINANCIAL (F) OR NON- FINANCIAL INTEREST (NF)	DETAIL ON THE REASON FOR YOUR DECLARATION (e.g. I am Chairperson of the Association)	REMAIN OR WITHDRAW

The objective test is whether a member of the public, with knowledge of the relevant facts, would reasonably regard the interest as so significant that it is likely to prejudice your discussion or decision making in your role as a councillor.

Other key terminology appears on the reverse.

If you require assistance, please ask as early as possible. Contact Julie Whitelaw, Monitoring Officer, 01506 281626, [julie.whitelaw@westlothian.gov.uk](mailto:julie.whitelaw@westlothian.gov.uk), James Millar, Governance Manager, 01506 281695, [james.millar@westlothian.gov.uk](mailto:james.millar@westlothian.gov.uk), Carol Johnston, Chief Solicitor, 01506 281626, [carol.johnston@westlothian.gov.uk](mailto:carol.johnston@westlothian.gov.uk), Committee Services Team, 01506 281604, 01506 281621, [committee.services@westlothian.gov.uk](mailto:committee.services@westlothian.gov.uk)

## **SUMMARY OF KEY TERMINOLOGY FROM REVISED CODE**

### **The objective test**

“...whether a member of the public, with knowledge of the relevant facts, would reasonably regard the interest as so significant that it is likely to prejudice your discussion or decision making in your role as a councillor”

### **The General Exclusions**

- As a council tax payer or rate payer or in relation to the council's public services which are offered to the public generally, as a recipient or non-recipient of those services
- In relation to setting the council tax.
- In relation to matters affecting councillors' remuneration, allowances, expenses, support services and pension.
- As a council house tenant, unless the matter is solely or mainly about your own tenancy, or you are in arrears of rent.

### **Particular Dispensations**

- As a member of an outside body, either appointed by the council or later approved by the council
- Specific dispensation granted by Standards Commission
- Applies to positions on certain other public bodies (IJB, SEStran, City Region Deal)
- Allows participation, usually requires declaration but not always
- Does not apply to quasi-judicial or regulatory business

### **The Specific Exclusions**

- As a member of an outside body, either appointed by the council or later approved by the council
- The position must be registered by you
- Not all outside bodies are covered and you should take advice if you are in any doubt.
- Allows participation, always requires declaration
- Does not apply to quasi-judicial or regulatory business

### **Categories of “other persons” for financial and non-financial interests of other people**

- Spouse, a civil partner or a cohabitee
- Close relative, close friend or close associate
- Employer or a partner in a firm
- A body (or subsidiary or parent of a body) in which you are a remunerated member or director
- Someone from whom you have received a registrable gift or registrable hospitality
- Someone from whom you have received registrable election expenses

MINUTE of MEETING of the PARTNERSHIP AND RESOURCES POLICY DEVELOPMENT AND SCRUTINY PANEL held within COUNCIL CHAMBERS, WEST LOTHIAN CIVIC CENTRE, LIVINGSTON, on 6 DECEMBER 2019.

Present – Councillors Lawrence Fitzpatrick (Chair), David Dodds (substituting for Kirsteen Sullivan) Chris Horne, Peter Johnston, Tom Kerr (substituting for Damian Timson) and Dave King

Apologies – Councillors Kirsteen Sullivan, George Paul and Damian Timson

In Attendance – Donald Stavert, Joint Forum of Community Council's Representative

1. DECLARATIONS OF INTEREST

No declarations of interest were made.

2. MINUTE

The panel approved the Minute of its meeting held on 4 October 2019. The Minute was thereafter signed by the Chair.

3. LOTHIAN VALUATION JOINT BOARD

The panel considered a report (copies of which had been circulated) by the Chief Executive advising of the business and activities of the Lothian Valuation Joint Board.

It was recommended that the panel notes the terms of the minutes of the meeting held on 23 April 2019 of the Lothian Valuation Joint Board.

Decision

To note the contents of the report and the minutes of the meeting held on 23 April 2019

4. SCOTTISH PUBLIC SERVICES OMBUDSMAN - ANNUAL REPORT 2018/19

The panel considered a report (copies of which had been circulated) by the Chief Executive providing an update on the Scottish Public Services Ombudsman's annual report 2018-19, a copy of which was attached to the report.

It was recommended :-

1. The panel notes the Scottish Public Services Ombudsman's (SPSO) annual report 2018-19, and recommends that it be submitted to the Council Executive for information;

2. The panel notes West Lothian Council's performance in relation to the number of complaints received by the SPSO and the outcome; and
3. The panel notes the learning from SPSO complaints which was appended to the report for information.

#### Decision

1. To note the contents of the report; and
2. To agree that the report be forwarded to a future meeting of the Council Executive for information.

#### 5. COUNCILLORS' CODE OF CONDUCT - ANNUAL REVIEW 2018/19

The panel considered a report (copies of which had been circulated) by the Governance Manager and Monitoring Officer providing details of some of the significant issues in relation to the Councillors' Code of Conduct in 2018/19, a copy of which was attached to the report.

It was recommended that the panel notes and considers the following recommendations which were intended to be submitted to Council Executive for approval :-

1. To note the summary of the issues arising in relation to the Councillors' Code of Conduct in 2018/19; and
2. To note that the annual presentation to members on the Code will take place before the council meeting on 28 January 2020.

#### Decision

1. To note the contents of the report; and
2. To agree that the report be forwarded to a future meeting of the Council Executive for approval.

#### 6. QUARTERLY PERFORMANCE REPORT - QUARTER 2 OF 2019/20

The panel considered a report (copies of which had been circulated) by the Depute Chief Executive providing the current level of performance for all indicators that support the council's Corporate Plan and were the responsibility of the Partnership and Resources Policy Development and Scrutiny Panel.

The panel was asked to note the performance information and determine if further action or enquiry was necessary for any of the performance indicators in the report.

#### Decision

To note the contents of the report

6. CUSTOMER INFORMATION SERVICE - REDUCTION IN OPENING HOURS

The panel considered a report (copies of which had been circulated) by the Head of Housing, Customer and Building Services which outlined the measures aimed at reducing the opening hours at four locations, of the Customer Information Services to meet approved budget savings.

The panel was asked to note and consider the following recommendations which were intended to be submitted to Council Executive for approval :-

1. Notes the findings of the review and the opportunities for developments/efficiencies; and
2. Considers the recommendations to deliver the approved savings.

In considering the report the panel members discussed a number of themes and issues surrounding the proposal and included the management of staff resources across the CIS and Library Service; a potential reduction in footfall across those locations affected by the reduced hours; and the availability of online advice and the contact centres as an alternative to face-to-face contact.

Decision

1. To note the contents of the report;
2. To agree that the report be forwarded to a future meeting of the Council Executive for approval; and
3. To note the themes and issues discussed by the panel in relation to the proposals.

7. PLANA GAIDHLIG COMHAIRLE LODAINN AN LAR/WEST Lothian COUNCIL GAELIC LANGUAGE PLAN

The panel considered a report (copies of which had been circulated) by the Head of Corporate Services presenting a draft Gaelic Language Plan for West Lothian Council, in accordance with the terms of the Gaelic Language (Scotland) Act 2005.

It was recommended that the panel note and provide comment on the draft Gaelic Language Plan for West Lothian Council which was intended to be presented to Council Executive for approval.

In considering the report the panel members discussed a number of themes and issues surrounding the proposal and included whether or not the requirements of the Act were mandatory or voluntary; the support for

or against the council's proposed plan following the consultation exercise; and the incurring of additional costs associated with the implementation of the plan.

#### Decision

1. To note the contents of the report;
2. To agree that the report be forwarded to a future meeting of the Council Executive for approval; and
3. To note the themes and issues discussed by the panel in relation to the proposals.

### 8. CONSTRUCTION CHARTER

The panel considered a report (copies of which had been circulated) by the Head of Corporate Services presenting a draft Construction Charter for West Lothian Council, a copy of which was attached to the report.

It was recommended that the panel notes and provides comment on the content of the draft Construction Charter for West Lothian Council which was intended to be submitted to Council Executive for approval.

In considering the report the panel discussed the limitations placed on the council in terms of complying with the law and enforcement of the charter.

#### Decision

1. To note the contents of the report;
2. To agree that the report be presented to a future meeting of the Council Executive for approval; and
3. To note the themes and issues discussed by the panel in relation to the proposals.

### 9. SICKNESS ABSENCE (1 APRIL 2019 - 30 SEPTEMBER 2019)

The panel considered a report (copies of which had been circulated) by the Head of Corporate Services which concerned sickness absence rates for the period 1 April 2019 to 30 September 2019 and to provide an update on the ongoing application of the council's Policy and Procedure for Supporting Attendance at Work.

In providing the panel with the update the Head of Corporate Services advised that further analysis continued to be carried out on both the implementation of the Supporting Attendance at Work Policy and the implementation of the Employee Assistance Programme and this analysis would be contained in a report which would be presented to the next meeting of the panel. The report would also include differentials between stress related to the workplace or to other/personal circumstances.



The panel was asked to note the contents of the report

Decision

To note the contents of the report

10. 2019/20 FINANCIAL PERFORMANCE - MONTH 6 MONITORING REPORT

The panel considered a report (copies of which had been circulated) by the Head of Finance and Property Service providing an update on the financial performance of the Partnership and Resources portfolio.

It was recommended that the panel :-

1. Notes the financial performance of the Partnership and Resources portfolio as at month 6;
2. Notes that the Partnership and Resources portfolio at month 6 was part of the overall council budget position reported to Council Executive on 12 November 2019; and
3. Notes any actions required to be taken by Heads of Service and budget holders to manage spend within available resources.

Decision

To note the contents of the report

11. PROPERTY ASSET MANAGEMENT - PERFORMANCE UPDATE

The panel considered a report (copies of which had been circulated) by the Head of Finance and Property Services providing an update on the performance for Property Asset Management for 2018/19.

It was recommended that the panel notes :-

1. The overall condition of Property Assets for 2018/19;
2. The overall suitability of Property Assets for 2018/19;
3. The overall performance of Property Assets; and
4. The projects that have contributed to delivery of the council's property asset management priorities.

Decision

To note the contents of the report

12. FOOD POVERTY UPDATE

The panel considered a report (copies of which had been circulated) by the Head of Finance and Property Services advising of the progress made to support low income households which were experiencing food insecurity to access help, advice and food.

The report also provided progress being made in response to the motion at Council on 14 May 2019, details of which were summarised in the report.

The Head of Finance and Property Services also provided the panel with an update in relation to the collaborative working between the Scottish Government, the council and Fare Share and which concerned an increase in funding for food parcel provision.

The panel was asked to note the intention to present the report to Council Executive to update and seek approval of :-

1. The activity undertaken by council services in West Lothian to support households which were experiencing the impact of food insecurity;
2. The intention to submit a separate report on early years meals and snacks and school holiday food programme to the Education PDSP in December;
3. The range of support provided by partners analysed at ward level and the intention to create an interactive map to help increase access and help;
4. The intention to host a “Food with Dignity” conference in Spring 2020 to consider the issue of food hunger and to develop a local food action plan;
5. The allocation of anti-poverty time limited funding of £150,000 to focus on creating a food network and to move from crises intervention to longer term intervention; and
6. The intention to align the proposed local food action plan with the Community Planning Partnership’s Anti-Poverty Strategy and the proposed food Growing Strategy.

#### Decision

1. To note the contents of the report;
2. To note the update in terms of the collaborative working with Fare Share and the Scottish Government; and
3. To agree that the report be presented to a future meeting of the Council Executive for approval.

### 13. HORIZON SCAN

The panel considered a joint report (copies of which had been circulated) by the Head of Finance and Property Services and the Head of Planning, Economic Development and Regeneration providing a summary of the latest UK economic indicators and announcements, including the potential implications following the referendum vote to leave the European Union (EU) and an update on the estimated revenue budget position facing the council as a result of ongoing unavoidable spending pressures and government funding constraints.

It was recommended that the panel notes :-

1. The results of the horizon scan for the UK, Scotland, West Lothian and West Lothian Council;
2. That there had been no changes to the 2020/21 to 2022/23 budget model since the previous update provided in September 2019 and that the council's estimated budget gap for the three years to 2022/23 was £6.730 million; and
3. That officers were undertaking a detailed review of the budget model, in advance of the detailed three year revenue budgets being presented to Council, to take account of changes in circumstances and updated forecasts.

#### Decision

1. To note the contents of the report;
2. To note the concerns of the panel with regards to the timing of the budget announcements of both the UK and Scottish Government's

#### 14. SOCIAL SECURITY, BENEFITS AND WELFARE REFORM UPDATE

The panel considered a report (copies of which had been circulated) by the Head of Finance and Property Services advising of recent developments and in the continuing implications of the ongoing programme of welfare changes.

It was recommended that the panel notes the impacts of the welfare changes in West Lothian and the action which the council and community planning partners were taking in response.

#### Decision

To note the contents of the report

#### 15. IMPLEMENTATION OF THE KEEP SAFE INITIATIVE

The panel considered a report (copies of which had been circulated) by the Head of Finance and Property Services providing an update on the implementation of the Keep Safe Initiative at a range of council facilities

across West Lothian.

It was recommended that the panel notes the progress made by officer's working in partnership with Police Scotland and the I Am Me charity to implement the Keep Safe Initiative at a range of council facilities across West Lothian.

In considering the contents of the report the panel noted that there had been a delay in sending out the appropriate information but this had now been rectified and that the training of frontline staff by Police Scotland colleagues was continuing.

The panel was also advised that information on the Keep Safe locations was available on the council's website and via a downloadable app.

#### Decision

To note the contents of the report

### 16. WORKPLAN

A copy of the workplan was circulated for information.

#### Decision

To note the contents of the workplan



## **PARTNERSHIP AND RESOURCES PDSP**

### **SCHEME OF POLLING PLACES AND DISTRICTS**

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

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

The purpose of the report is to advise of the proposed polling scheme after consideration of a consultation in early 2019 and feedback from the two unscheduled polls held in 2019.

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

It is recommended that the PDSP:

1. Consider the potential changes to polling places and districts
2. Consider that the Chief Executive continue to have delegated authority to make any required changes (e.g. as a result of the loss of a polling place) in consultation with the Leader of the Council, Leaders of the other Political Groups, and local elected members, when there is not time to seek the approval of the Council Executive before a particular poll.

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

<b>I Council Values</b>	Focusing on our customers' needs Providing equality of opportunities Working in partnership
<b>II Policy and Legal (including Strategic Environmental Assessment, Equality Issues, Health or Risk Assessment)</b>	Representation of the People Act 1983 Electoral Administration Act 2006 Electoral Registration & Administration Act 2013
<b>III Implications for Scheme of Delegations to Officers</b>	No change
<b>IV Impact on performance and performance Indicators</b>	
<b>V Relevance to Single Outcome Agreement</b>	
<b>VI Resources - (Financial, Staffing and Property)</b>	
<b>VII Consideration at PDSP</b>	No
<b>VIII Other consultations</b>	Leader of the Council, Leaders of the other Political Groups, Independent Councillor,

## **D. TERMS OF REPORT**

### **D1 Background**

The council is required to carry out a periodic review of polling districts and places by The Electoral Administration Act 2006. The Electoral Registration and Administration Act 2013 requirement that a review be undertaken in the 16 month period from October 2018

A review began in January 2019. Following on from an initial consultation, analysis and review of the submissions was undertaken but the risk of unscheduled polls meant that the conclusion of the review was delayed for delivery of the European Election and the General Election last year. The successful delivery of the polls was prioritised.

It should also be noted that recommendations for Parliamentary constituencies were submitted by the Boundary Commission for Scotland in September 2018 but have not yet been approved. If, or when, these are approved by Parliament, then some further changes will be required

### **D2 Polling Place and District Requirements**

In designating polling districts and polling places, legislation requires that each electoral ward must be divided into two or more polling districts unless there are special circumstances; that the council must designate a polling place for each polling district; and the polling place must be within the polling district unless special circumstances make it desirable to designate an area wholly or partly outside the polling district.

As part of the review the council must seek to ensure that all electors in a constituency in the local authority area have such reasonable facilities for voting as are practicable in the circumstances; and seek to ensure that so far as is reasonable and practicable every polling place for which it is responsible is accessible to voters who are disabled.

### **D3 Review**

The council sought representations from local elected members, other council services, and the public. The council also sought representations from such persons as it thinks have particular expertise in relation to access to premises or facilities for persons who have different forms of disability. The council made Disability West Lothian and SCOPE aware of the review and invited representations. The appendix to this report contains the comments after consideration of feedback from this and feedback from the two polls held last year.

In addition, feedback from stakeholders (voters, polling staff, candidates and agents) which was received during and after the two polls held in 2019 has been collated to include in the review. The information from the checks made on polling places prior to the elections and feedback was also included.

#### **D4      Use of Schools**

Many of the representations received related to the use of schools as polling places. Whilst every effort has been made to identify a suitable alternative, it is not possible to eliminate the use of schools as polling places, as there are areas where the best meet the requirements for a polling place. To minimise the impact on parents and students, where the date of a poll is known in advance, polling day is designated as an In Service Training Day. .

For unscheduled polls, wherever possible arrangements are put in place which allow the school to remain open, but such arrangements are not feasible at all schools. It should be noted that some representations were objections to schools closing, and others were to them remaining open.

#### **D5      Next Steps**

On agreeing a polling scheme, the council will give reasons for its decisions and publish all information sent to the Returning Officer in connection with the review; all correspondence sent to persons with an expertise in access for people with disabilities; all representations made in connection with the review; the minutes of any meeting held by the council to consider the designation of polling districts and places; and details of the designated polling districts and places within the local authority.

Where any elector has a change to their polling place, they will be advised of this change by letter in advance of the next poll.

#### **E.      CONCLUSION**

The council is reviewing its polling scheme and the PDSP is asked to consider the changes to polling districts and places.

#### **F.      BACKGROUND REFERENCES**

None

Appendices/Attachments:            1. Polling Scheme

Contact Person:                        Caroline Burton; 01506 281651; [caroline.burton@westlothian.gov.uk](mailto:caroline.burton@westlothian.gov.uk)

Name of CMT Member:                Graham Hope, Chief Executive,

Date: 7 Feb 2020

# Appendix 1 – Polling Scheme

<b>Polling District</b>	<b>Polling Place</b>	<b>Comments</b>
	<b>Ward 1 Linlithgow</b>	
LFL1A	Chalmers Hall , Main Street, Linlithgow Bridge	No change proposed
LFL1E	Linlithgow Primary School , Preston Road, Linlithgow	For scheduled polls, polling day will be an In Service Training day. For unscheduled poll school remains open. No change proposed
LFL1F	Newton Community Centre , Duddingston Crescent, Newton	No change proposed
LFL1G	Philpstoun Community Centre , Main Street, Philpstoun	No change proposed
LFL1C	Queen Margaret Hall , Blackness Road, Linlithgow	No change proposed
LFL1D	Springfield Primary School , Springfield Road, Linlithgow	For scheduled polls, polling day will be an In Service Training day. For unscheduled poll school remains open. No change proposed
LFL1B	St Ninian's Craigmailen Parish Church Hall , Longcroft Hall Philip Avenue, Linlithgow	No change proposed
LFL1I LVL1H	Bridgend Village Hall , Bridgend,	No change proposed



<b>Polling District</b>	<b>Polling Place</b>	<b>Comments</b>
	<b>Ward 2 Broxburn, Uphall and Winchburgh</b>	
LVL2D	Bridgend Village Hall , Bridgend,	No change proposed
LVL2J	Broxburn Primary School , School Road Off West Main Street, Broxburn	For scheduled polls, polling day will be an In Service Training day. School closed for unscheduled polls. No change proposed
LVL2K	Broxburn Sports Centre , Church Street, Broxburn	No change proposed
LFL2A LVL2B	Dechmont Memorial Hall , Main Street, Dechmont	No change proposed
LVL2C	Ecclesmachan Community Hall , Ecclesmachan,	No change proposed
LVL2H	Kirkhill Primary School , Rashierig, Broxburn	For scheduled polls, polling day will be an In Service Training day. School closed for unscheduled polls. No change proposed
LVL2I	Strathbrock Partnership , West Main Street, Broxburn	No change proposed
LVL2E	Uphall Community Centre , Strathbrock Place, Uphall	No change proposed
LVL2F	Uphall Primary School , Crossgreen Drive, Uphall	For scheduled polls, polling day will be an In Service Training day. School closed for unscheduled polls. No change proposed
LVL2G	Uphall South Church Hall , East Main Street, Uphall	No change proposed
LFL2N LVL2M	Winchburgh Community Centre , Craigton Place, Winchburgh	No change proposed
LVL2L	Winchburgh Primary School , (Nursery Wing) Glendevon Park, Winchburgh	School can remain open for unscheduled polls. No change proposed

<b>Polling District</b>	<b>Polling Place</b>	<b>Comments</b>
	<b>Ward 3 Livingston North</b>	
LVA3B	Carmondean Connected , Carmondean Centre, Livingston	No change proposed
LVA3E	Carmondean Community Centre , Nether Dechmont Farm, Fells Rigg	No change proposed
LVA3A	Livingston Station Community Centre, Main Street, Deans, Livingston	No change proposed
LVA3C	Livingston Village Primary School , Kirkton North Road, Livingston	For scheduled polls, polling day will be an In Service Training day. School can remain open for unscheduled polls. No change proposed
LVA3F	Mosswood Community Centre , Knightsridge, Livingston	No change proposed
LVA3G	Newyearfield Farm Community Centre , Newyearfield, Livingston	No change proposed
LVA3D	Peel Primary School , Garden Place Eliburn East, Livingston	For scheduled polls, polling day will be an In Service Training day. School can remain open for unscheduled polls. No change proposed

<b>Polling District</b>	<b>Polling Place</b>	<b>Comments</b>
	<b>Ward 4 Livingston South</b>	
LVA4I	Bankton Mains Pavilion , Bankton Walk Murieston, Livingston	No change proposed
LVA4D	Bankton Primary School , Kenilworth Rise Dedridge, Livingston	For scheduled polls, polling day will be an In Service Training day. School is closed for unscheduled polls No change proposed
LVA4J	Bellsquarry Village Hall , Calder Road, Bellsquarry	No change proposed
LVA4F	Crofthead Farm Community Education Centre , Templar Rise Dedridge, Livingston	No change proposed
LVA4C	Dedridge Primary School , Dedridge East, Livingston	For scheduled polls, polling day will be an In Service Training day. School can remain open for unscheduled polls. No change proposed
LVA4A	Harrysmuir Primary School , Willowbank Ladywell, Livingston	For scheduled polls, polling day will be an In Service Training day. School is closed for unscheduled polls No change proposed
LVA4H	Murieston Village Hall , Murieston, Livingston	No change proposed
LVA4B	St.Andrew's R.C. Primary School Com Wing , Kingsport Avenue Howden, Livingston	For scheduled polls, polling day will be an In Service Training day. School can remain open for unscheduled polls. No change proposed
LVA4G	Williamston Primary School , Bankton Lane Murieston, Livingston	For scheduled polls, polling day will be an In Service Training day. School can remain open for unscheduled polls. No change proposed
LVA4E	Livingston Village Primary School, Kirkton North Road, Livingston	For scheduled polls, polling day will be an In Service Training day. School can remain open for unscheduled polls. No change proposed

<b>Polling District</b>	<b>Polling Place</b>	<b>Comments</b>
	<b>Ward 5 East Livingston and East Calder</b>	
LVA5D	Riverside Primary School, Craigshill, Livingston	For scheduled polls, polling day will be an In Service Training day. School can remain open for unscheduled polls. No change proposed
LVA5H	East Calder Primary School , Langton Road, East Calder	For scheduled polls, polling day will be an In Service Training day. School is closed for unscheduled polls. East Calder Partnership Centre could accommodate the required number of polling stations
LVA5J	Kirknewton Village Hall , Main Street, Kirknewton	No change proposed
LVA5C	Letham Primary School , Forth Drive Craigshill, Livingston	Move Holly Grove and Larch Grove from LVA5B as it is easier for the voters to get to the polling place
LVA5I	Centenary Hall, Linburn, Wilkieston	No change proposed – The Military Musuem was used for the December 2019 election due to the unavailability of Centenary Hall because of pre-existing booking.
LVA5F	Mid Calder Institute Hall , Market Street, Mid Calder	No change proposed
LVA5G	Mid Calder Primary School , Spottiswoode Gardens, Mid Calder	No change proposed
LVA5B	Pumpherstons and Uphall Station Community Primary School, Drumshoreland Road, Pumpherston	Move Holly Grove and Larch Grove to LVA5C as it is easier for the voters to get to the polling place.
LVA5A	Uphall Station Institute Hall , Marrfield Terrace, Uphall Station	No change proposed
LVA5K	West Calder Community Centre , Young Street, West Calder	No change proposed

<b>Polling District</b>	<b>Polling Place</b>	<b>Comments</b>
	<b>Ward 6 Fauldhouse and the Breich Valley</b>	
LVA6G	West Calder Community Centre , Young Street, West Calder	No change proposed
LVA6H	Parkhead Primary School , Harburn Road, West Calder	For scheduled polls, polling day will be an In Service Training day. School is closed for unscheduled polls. No change proposed
LVA6F	Addiewell Community Centre , Church Street, Addiewell	No change proposed
LVA6D	Woodmuir Primary School, Woodmuir Road, Breich	For scheduled polls, polling day will be an In Service Training day. School can remain open for unscheduled polls. No change proposed
LVA6A	Fauldhouse Salvation Army Hall , BlackFaulds Place, Fauldhouse	Fauldhouse Partnership Centre assessed as a suitable alternative
LVA6C	Fauldhouse Training Centre , Eastfield Road, Fauldhouse	Fauldhouse Partnership Centre assessed as a suitable alternative
LVA6B	St John the Baptist Church Hall , Main Street, Fauldhouse	No change proposed
LVA6E	Longridge Primary School (Community Wing) , School Road, Longridge	For scheduled polls, polling day will be an In Service Training day. School can remain open for unscheduled polls. No change proposed
LVA6J	Stoneyburn Community Centre , Main Street, Stoneyburn	No change proposed
LVA6I	Polbeth Village Hall , Polbeth Road, Polbeth	No change proposed

<b>Polling District</b>	<b>Polling Place</b>	<b>Comments</b>
	<b>Ward 7 Whitburn and Blackburn</b>	
LFL7E	Brucefield Church Hall , East Main Street, Whitburn	No change proposed
LFL7F	Burgh Hall, East Main Street, Whitburn (Whilst this building is unavailable due to refurbishment, Polkemmet Social Club, East Main Street, Whitburn)	No change proposed
LFL7G	East Whitburn Community Centre , Hen's Nest Road, East Whitburn	No change proposed
LFL7A	Greenrigg Primary School , Polkemmet Road, Harthill	Move the boundary between LFL7A and LFL7B so that the new developments at Heartlands are in LFL7B (Colliery Lane, Crawford Road, Cults Road, Dardanelles Road, Hare Moss View, Kinniburgh Crescent, McGregor Crescent, Mclean Crescent, Mclean Place, Mickel Crescent and Polkemmet Road)
LVL7J	Murrayfield Primary School , Rowan Street, Blackburn	For scheduled polls, polling day will be an In Service Training day. School is closed for unscheduled polls. Blackburn Partnership Centre could accommodate the required number of polling stations
LFL7H LVL7I	Our Lady of Lourdes R.C. Primary School , Hopefield Road, Blackburn	For scheduled polls, polling day will be an In Service Training day. School is closed for unscheduled polls. Blackburn Partnership Centre could accommodate the required number of polling stations
LFL7B LVL7C	Whitburn Bowling Club , West Main Street, Whitburn	Move the boundary between LFL7A and LFL7B so that the new developments at Heartlands are in LFL7B (Colliery Lane, Crawford Road, Cults Road, Dardanelles Road, Hare Moss View, Kinniburgh Crescent, McGregor Crescent, Mclean Crescent, Mclean Place, Mickel Crescent and Polkemmet Road)
LFL7D	Whitburn South Parish Church Hall , Manse Road, Whitburn	No change proposed
LVA7K	Seafield Community Centre , Redhouse Road, Seafield	No change proposed
LVA7L	Polbeth Village Hall , Polbeth Road, Polbeth	No change proposed

<b>Polling District</b>	<b>Polling Place</b>	<b>Comments</b>
	<b>Ward 8 Bathgate</b>	
LFL8D	Balbardie Primary School , Torphichen Street, Bathgate	No change proposed
LFL8E	Bathgate High Church Hall, Gideon Street, Bathgate	No change proposed
LFL8H	Boghall Primary School , Elizabeth Drive, Boghall	For scheduled polls, polling day will be an In Service Training day. School can remain open for unscheduled polls. No change proposed
LFL8K LVL8G	Simpson Primary School , Wester Inches, Bathgate	For scheduled polls, polling day will be an In Service Training day. School can remain open for unscheduled polls. No change proposed
LFL8A	St Columba's Episcopal Church , Glasgow Road, Bathgate	No change proposed
LFL8I LFL8J	St Johns Church Hall , Mid Street, Bathgate	No change proposed
LFL8C	St Marys Catholic Church Hall , Livery Street, Bathgate	No change proposed
LFL8F	St Marys RC Primary School , Whitburn Road, Bathgate	For scheduled polls, polling day will be an In Service Training day. School can remain open for unscheduled polls. Complaints have been received from parents. Bathgate Partnership has been assessed and is not recommended as parking and access arrangements for disabled voters would be poorer. The Regal Theatre has also been assessed. It is not within the polling district but would provide suitable accommodation .
LFL8B	Windyknowe Primary School , Windyknowe Crescent, Bathgate	No change proposed

<b>Polling District</b>	<b>Polling Place</b>	<b>Comments</b>
	<b>Ward 9 Armadale and Blackridge</b>	
LFL9H	Armadale Bowling Club , South Street, Armadale	No change proposed
LFL9B	Armadale Community Centre , North Street, Armadale	No change proposed
LFL9I	Armadale Primary School , Academy Street, Armadale	For scheduled polls, polling day will be an In Service Training day. School can remain open for unscheduled polls. No change proposed
LFL9A	Craig Inn Centre , Main Street, Blackridge	No change proposed
LFL9E	Methodist Church Hall , East Main Street, Armadale	No change proposed
LFL9G LFL9F	St Anthony's Primary School , South Street, Armadale	For scheduled polls, polling day will be an In Service Training day. School can remain open for unscheduled polls. No change proposed
LFL9D	Torphichen Community Centre , Bowyett, Torphichen	No change proposed
LFL9C	Westfield Primary School , Lomond View, Westfield	For scheduled polls, polling day will be an In Service Training day. School can remain open for unscheduled polls. No change proposed





**PARTNERSHIP AND RESOURCES POLICY DEVELOPMENT AND SCRUTINY PANEL**

**QUARTERLY PERFORMANCE REPORT – QUARTER 3 OF 2019/20**

**REPORT BY DEPUTE CHIEF EXECUTIVE**

**A. PURPOSE OF REPORT**

The purpose is to report the current level 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**

It is recommended 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**

<b>I Council Values</b>	Focusing on our customers' needs; being honest, open and accountable; making best use of our resources; working in partnership.
<b>II Policy and Legal (including Strategic Environmental Assessment, Equality Issues, Health or Risk Assessment)</b>	In compliance with the Code of Corporate Governance
<b>III Implications for Scheme of Delegations to Officers</b>	None
<b>IV Impact on performance and performance Indicators</b>	Challenges current service performance through the evaluation of performance indicators
<b>V Relevance to Single Outcome Agreement</b>	Indicators support various outcomes in the SOA
<b>VI Resources - (Financial, Staffing and Property)</b>	Met from existing budgets
<b>VII Consideration at PDSP</b>	N/A
<b>VIII Other consultations</b>	None

## D. TERMS OF REPORT

### D.1 Background





Overseeing and challenging council performance is contained within the remit of every Policy Development and Scrutiny Panel (PDSP). Scrutiny of performance by elected members in PDSPs forms a key part of the council's wider scrutiny and public performance reporting arrangements.

To support this, each PDSP is allocated areas of the Corporate Plan, strategic priorities and key council performance, relevant to the focus areas of the Panel, and receives quarterly and annual performance reports.

### D.2 Quarterly Performance Report

The quarterly performance scorecard report for PR PDSP contains a range of relevant service performance information for scrutiny.

A summary position of the status of the 62 performance indicators in the PR PDSP scorecard is contained in Appendix 1, with a more detailed commentary provided in Appendix 2 of this report. The 62 performance indicators are categorised as follows:

Summary of Performance Indicator status (RAG)	
Status (against target)	Number of PIs
 Green	40
 Amber	7
 Red	8
 Unknown	7

*\*Note: the Unknown status occurs when a service does not record performance during the period, for example, if the service did not receive any complaints to process.*

The RAG status is against the performance target that has been set by the service in consultation with the relevant stakeholders. In Appendix 2 a trend chart commentary offers an explanation on the current performance levels (against the target) for each indicator. This information will also highlight to the Panel the measures that services will take to improve performance.

### D.3 Red Performance Indicators

The current trend for those indicators that are currently at Red status is summarised.

1. P:CSC100\_Percentage of Customer Service Centre enquiries resolved at first point of contact

Current performance: 61%  
Target: 75%

The trend chart shows performance remained below target in Quarter 3 in 2019/20 with performance of 61 percent and below the equivalent quarter in 2018/19, when performance of 66 percent was reported. The CSC is reporting that it is receiving a higher proportion of calls that are more complex and cannot be resolved fully at first point of contact by the CSC Advisers. Simultaneously, the council is also seeing an increasing number of customers shifting towards completing transactional activities online, using improved functionality on the council's website to request services and make payments.

This performance indicator and target are under review to ensure that all performance is correctly attributable to the CSC and not recording issues that are not suitable for frontline resolution.

2. P:CuCS026q\_Percentage of customer enquiries recorded on the Customer Relationship Management system (CRM) which are resolved at the first point of contact

Current performance: 67.9%

Target: 75%

The trend chart shows performance remained below target in Quarter 3 in 2019/20 with performance of 67.9 percent and below the equivalent quarter in 2018/19, when performance of 70.2 percent was reported. The service is reporting that it is receiving a higher proportion of enquiries that cannot be resolved fully at first point of contact by the frontline Advisers and require input from service areas.

3. There were 4 services with indicators that were triggering red for the percentage of sickness absence:
  - The Anti-Poverty Service (P:APS041)
  - Customer and Communities (P:CuCS021)
  - Property Management and Development (P:PMD111b)
  - Revenues (P:REV048a)
4. There were 2 services with indicators that were triggering red for the percentage of complaints upheld / part upheld:
  - Construction Services (P:Csg113)
  - HR Services (P:HRS554)

#### **D.4 Unknown Performance Indicators**

There were 7 performance indicators with an Unknown status that related to the percentage of complaints upheld or partially upheld. This is due to services not receiving complaints within the time period presented and therefore the indicators show blank data.

#### **E. CONCLUSION**

The performance scorecard shows that a significant proportion of performance indicators are achieving targeted levels of performance. Where performance is not at the expected level, Appendix 2 of this reports offers details to the Panel of the corrective actions being taken by services to improve performance.

#### **F. BACKGROUND REFERENCES**

None

#### **Appendices/Attachments: 2**

Appendix 1 – Partnership and Resources PDSP Performance Scorecard Summary Report

Appendix 2 – Partnership and Resources PDSP Performance Scorecard Detailed Report

Contact Person: Rebecca Kelly

Telephone: 01506 281891 Email: [Rebecca.kelly@westlothian.gov.uk](mailto:Rebecca.kelly@westlothian.gov.uk)

**Graeme Struthers**

**Depute Chief Executive**

**7 February 2020**

## APPENDIX 1

### PDSP - Partnership and Resources Pls - ALL(Detail)



Rows are sorted by Traffic Light

Traffic Light Icon	Code	Short Name	Current Value	Current Target	Last Update
	P:APS041_7b.1	Cumulative percentage of sickness absence within the Anti-Poverty Service.	8.52%	3.6%	December 2019
	P:CSC100_9b.1a	Percentage of Customer Service Centre enquiries resolved at first point of contact	61%	75%	Q3 2019/20
	P:CSg113_6b.4	The percentage of complaints received by Construction Services that were upheld / partially upheld against the total complaints closed in full	100%	50%	Q3 2019/20
	P:CuCS021_7b.1	Customer and Communities - Percentage of Sickness absence	7.7%	3.6%	December 2019
	P:CuCS026q_9b.1a	Percentage of customer enquiries recorded on the Customer Relationship Management system (CRM) which are resolved at the first point of contact	67.9%	75.0%	Q3 2019/20
	P:HRS554_6b.4	Percentage of complaints by HR Services which were upheld/part upheld per quarter	100%	25%	Q3 2019/20
	P:PMD111b_7b.1	Cumulative Percentage Sickness/Absence levels - Property Management & Development	4.62%	1.5%	December 2019
	P:REV048a_7b.1	Monthly Sickness Absence Levels	5.25%	2.5%	December 2019
	P:APS019_6b.5	Percentage of Blue Badges processed within five working days (quarterly)	90%	97%	Q3 2019/20
	P:FM048_7b.1	Percentage of Sickness Absence in Financial Management Unit - Cumulative	2.54%	2%	December 2019
	P:HRS550_6b.3	Number of complaints received by HR Services	2	1	Q3 2019/20
	P:IA051_7b.1	Cumulative percentage of sickness absence within the Audit, Risk and Counter Fraud Unit	2.01%	2%	December 2019
	P:ITS007_6a.7	Percentage of IT Services Customers Rating the Overall Quality as Good or Excellent.	94%	98%	December 2019
	ITS079a_9b.1c	Percentage of Faults Resolved at First Point of Contact.	34%	40%	December 2019
	P:LS007_7b.1	Percentage Sickness Absence Levels in Legal Services	4.47%	3.6%	December 2019
	P:APS017_6b.3	Total number of complaints received by the Anti-Poverty Service.	13	20	Q3 2019/20
	P:APS018_6b.4	The percentage of complaints received by the Anti-Poverty Service that were upheld / partially upheld against the total complaints closed in full	30.7%	50%	Q3 2019/20
	P:APS060_9b.1a	Total quarterly amount the Advice Shop has gained in extra benefits for its customers.	£7,669,499	£6,750,000	Q3 2019/20

Traffic Light Icon	Code	Short Name	Current Value	Current Target	Last Update
✓	P:APS077_9b	Housing Benefit monthly new claims	11.02	15	December 2019
✓	P:CC014_6b.3	Total number of complaints received per quarter	0	0	Q3 2019/20
✓	P:CC031_7b.1	Percentage of sickness absence in Corporate Communications	0%	3.6%	December 2019
✓	P:CC081_9b.1a	Percentage of new social media followers on the West Lothian Council sites per quarter	7%	2%	Q3 2019/20
✓	P:CPU017a_7b.1	Percentage of sickness absence in Corporate Procurement Unit	0%	3.6%	December 2019
✓	P:CPU019b_9b.1a	Percentage of relevant compliant council expenditure per quarter	93%	92%	Q3 2019/20
✓	P:CPU047c_6b.3	Total number of complaints received by the Corporate Procurement Unit on a Quarterly basis	0	0	Q3 2019/20
✓	P:CSC007mq_6a.7	Customer Service Centre (CSC) - Percentage of customers who rated the overall quality of the service as good or excellent	96.6%	97.0%	Q3 2019/20
✓	P:CSC062m_6b.3	Total Number of Complaints against Customer Service Centre (CSC)	4	7	December 2019
✓	P:CSC063m_6b.4	Percentage of Complaints Upheld and part upheld against Customer Service Centre	50%	55%	December 2019
✓	P:CSg112_6b.3	Total number of complaints received by Construction Services	2	3	Q3 2019/20
✓	P:CSg301_7b.1	Construction Services - Cumulative Percentage of Sick Days	1.62%	2%	December 2019
✓	P:CSg600_9b.1c	Percentage of Total Capital Programme Spend Delivered in Year by Construction Services.	82%	75%	Q3 2019/20
✓	CuCS007q_6a.7	Customer and Communities - Percentage of customers who rated the overall quality of service as good or excellent	99.4%	99.0%	Q3 2019/20
✓	P:CuCS010q_6b.3	Customer and Communities - Total number of complaints received by Customer and Community services	17	27	Q3 2019/20
✓	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	50.0%	60.0%	Q3 2019/20
✓	P:FM001_6b.5	Percentage of Suppliers paid within 30 Days of Receipt.	96.1%	96%	December 2019
✓	P:FM037_6b.3	Total number of complaints received by the Financial Management Unit	1	3	Q3 2019/20
✓	P:HRS104_9b.2	Number of reportable incidents to the Health and Safety Executive per quarter	3	9	Q3 2019/20
✓	P:HRS525_7b.1	Percentage of sickness absence in HR Services	3.48%	3.6%	December 2019
✓	P:IA015_9b.1a	Average length of time (in weeks) to issue draft audit reports	9.3	10	Q3 2019/20
✓	P:IA066_6b.3	Total number of complaints received by Audit, Risk and Counter Fraud	0	0	Q3 2019/20

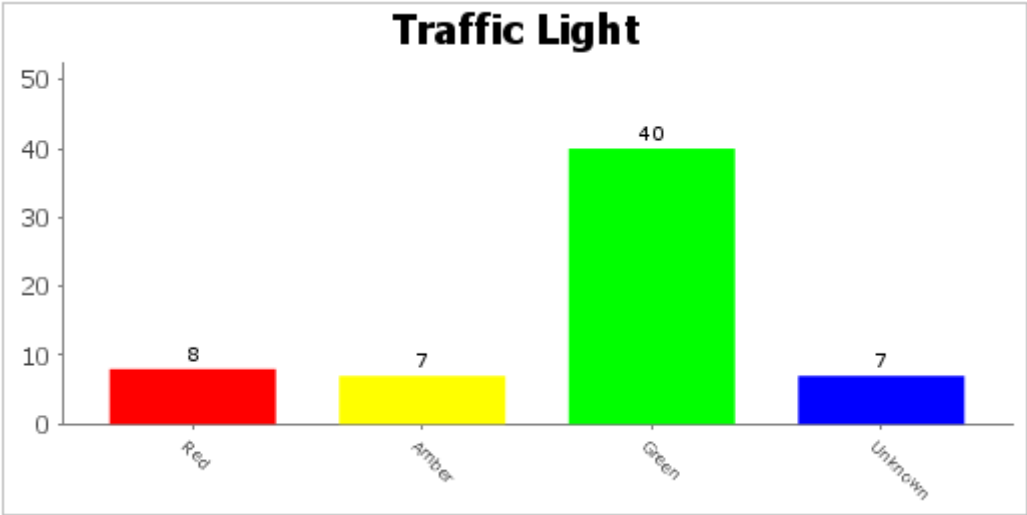
Traffic Light Icon	Code	Short Name	Current Value	Current Target	Last Update
✓	P:ITS010_6b.3	Total number of complaints received by IT Services per quarter	0	0	Q3 2019/20
✓	P:ITS054_7b.1	Percentage of Sickness Absence in IT Services (cumulative)	0.86%	3.6%	December 2019
✓	P:LS046_6b.5	Percentage of Taxi/Private Hire Car Applications Not Granted or Refused within 90 Days .	5%	6%	December 2019
✓	P:PIS011_6b.3	Total number of complaints received by the Performance and Improvement Service per quarter	0	1	Q3 2019/20
✓	P:PIS023_7b.1	Percentage of Sickness Absence in Performance and Improvement Service	0%	3.6%	December 2019
✓	P:PMD144_6b.3	Total number of complaints received by the Property Management and Development	3	4	Q3 2019/20
✓	P:PMD145_6b.4	The percentage of complaints received by Property Management and Development that were upheld / partially upheld against the total complaints closed in full	0%	33%	Q3 2019/20
✓	P:PMD161_9b.1a	Industrial Portfolio - Percentage of Total Units Let.	89.46%	90%	December 2019
✓	P:PMD163_9b.1a	Office Portfolio - Percentage of Office Units Let.	94.44%	90%	December 2019
✓	P:PMD164_9b.1c	Percentage of rent outstanding for commercial property (Current debt).	3.72%	4%	December 2019
✓	P:REV002_9b	Percentage of Non Domestic Rates (Business Rates) received in the year.	81.82%	80.97%	December 2019
✓	P:REV027_6b	Percentage of Business Rates and Council Tax correspondence processed within 10 working days of receipt.	95.5%	91.2%	Q3 2019/20
✓	P:REV047_9b.1a	Percentage of income collected in the current year from Council Tax.	80.7%	80.21%	December 2019
✓	P:REV122_6b.3	Total number of complaints received by the Revenues Unit	22	27	Q3 2019/20
✓	P:REV123_6b.4	The percentage of complaints received by the Revenues Unit that were upheld or partially upheld	14%	24%	Q3 2019/20
?	P:CC016_6b.4	The percentage of complaints by Corporate Communications that were upheld/part upheld per quarter	N/A	0%	Q3 2019/20
?	P:CPU047d_6b.4	The percentage of complaints received by the Corporate Procurement Unit that were upheld / partially upheld against the total complaints closed in full	N/A	0%	Q3 2019/20
?	P:IA067_6b.4	The percentage of complaints received by Audit, Risk and Counter Fraud that were upheld or partially upheld against the total complaints closed in full.	N/A		Q3 2019/20
?	P:ITS011_6b.4	Percentage of complaints received that were upheld/partially upheld	N/A	0%	Q3 2019/20
?	P:LS027_6b.4	Percentage of all complaints closed quarterly by Legal Services that were upheld / partially upheld	N/A	0%	Q3 2019/20
?	P:LS087_6b.3	Total number of complaints received by Legal Services	N/A	2	December 2019
?	P:PIS013_6b.4	Percentage of all complaints closed by the Performance and Improvement Service that were upheld / partially upheld per quarter	N/A	50%	Q3 2019/20



\_09 PDSP - Partnership and Resources Pls - ALL(Detail)

Data Label : OFFICIAL

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PI Code & Short Name	P:APS019_6b.5 Percentage of Blue Badges processed within five working days (quarterly)		PI Owner(s): zAPS_PIAAdmin; Elaine Nisbet																																
Description	This indicator measures the percentage blue badge applications that are processed by the service within five working days on a quarterly basis. 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. 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.																																		
<div><div><div>Percentage of Blue Badges processed within five working days (quarterly)</div><table border="1"><caption>Quarterly Performance Data</caption><thead><tr><th>Quarter</th><th>Percentage</th><th>Target</th></tr></thead><tbody><tr><td>Q3 2018/19</td><td>98.2%</td><td>97%</td></tr><tr><td>Q4 2018/19</td><td>97.3%</td><td>97%</td></tr><tr><td>Q1 2019/20</td><td>95.9%</td><td>97%</td></tr><tr><td>Q2 2019/20</td><td>75.5%</td><td>97%</td></tr><tr><td>Q3 2019/20</td><td>90%</td><td>97%</td></tr></tbody></table></div><div><div>Trend Chart Commentary:</div><p>The council aims to process blue badge applications within five working days to ensure that eligible customers receive their badge timeously. The Department of Transport advises customers that it can take up to six weeks for local authorities in the UK to process badge applications, so this target is stretching.</p><p>Q3 2019/20 - 90% of all Blue Badge applications were processed within 5 days. This is below the target of 97% however a significant improvement in the performance in Q2. Staff are still in training and the team is going through a period of transition with additional work streams being transferred to the service. This has resulted in staff training which has had an impacted on performance. For Q3, the performance has been reviewed and the number of days to process a Blue Badge application has increased to 7 days.</p><p>Q2 2019/20 - 75.5% of all Blue Badge applications which includes Automatic, Cognitive, Discretionary and Organisation were processed within 5 days. This is below the target set by the Performance and Improvement Service prior to the Anti-Poverty Service taking over responsibility for the administration of Blue Badges in July 19 however, it is a significant achievement given that staff are still in training. Performance for September 19 confirms that 94% of applicants entitled to an automatic badge were processed within 5 days with 91% of Cognitive and 77% of Discretionary badges awarded also within 5 days.</p><p>Q1 2019/20 - 95.9% of all Blue Badge applications were processed within 5 days. The dip in performance was linked to Blue Badge staff providing training to the Anti Poverty team between May and June 2019 which impacted processing timescales. The Anti Poverty team are taking over the management of the Blue Badge process from the 1 July 2019.</p><p>2018/19: an average of 96 percent of blue badge applications were processed in 2018/19, below the 97 percent. The council achieved the target in quarters, 2, 3 and 4 but the overall performance was impacted by the technical issues experienced with the introduction of online payment for blue badges in April 2018.</p><p>Quarter 4 - there was a 0.9% reduction in performance at 97.3% when compared to the previous quarter, but performance was above the service target of 97%.</p><p>Quarter 3 - there was a 0.1% reduction in performance at 98.2% when compared to the previous quarter, but performance was above the service target of 97%.</p><p>Quarter 2 - performance improved when compared to the previous quarter. There was a slight reduction in the number of applications required to be processed and the blue badge payment process issues were all resolved in quarter 1.</p></div></div>			Quarter	Percentage	Target	Q3 2018/19	98.2%	97%	Q4 2018/19	97.3%	97%	Q1 2019/20	95.9%	97%	Q2 2019/20	75.5%	97%	Q3 2019/20	90%	97%	<div><div>Q3 2019/20 result</div><table><tr><td>Last Updated:</td><td>Q3 2019/20</td></tr><tr><td>Status:</td><td></td></tr><tr><td>Current Value:</td><td>90%</td></tr><tr><td>Current Target:</td><td>97%</td></tr><tr><td>Red Threshold:</td><td>87.3%</td></tr><tr><td>Amber Threshold:</td><td>92.15%</td></tr><tr><td>Categories:</td><td>PDSP_Partnership &amp; Resources; PPR Public Performance Reporting</td></tr></table></div>	Last Updated:	Q3 2019/20	Status:		Current Value:	90%	Current Target:	97%	Red Threshold:	87.3%	Amber Threshold:	92.15%	Categories:	PDSP_Partnership & Resources; PPR Public Performance Reporting
Quarter	Percentage	Target																																	
Q3 2018/19	98.2%	97%																																	
Q4 2018/19	97.3%	97%																																	
Q1 2019/20	95.9%	97%																																	
Q2 2019/20	75.5%	97%																																	
Q3 2019/20	90%	97%																																	
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Red Threshold:	87.3%																																		
Amber Threshold:	92.15%																																		
Categories:	PDSP_Partnership & Resources; PPR Public Performance Reporting																																		

Quarter 1 - there was a dip in performance with the introduction of the blue badge charge in April 2018. This was due to a technical issue with the online payment system that had to be resolved by the system supplier in the first few weeks of April 2018. The delay impacted upon the ability to take online payments and also the 5 day processing times for blue badge applications in the first part of Quarter 1 2018/19.

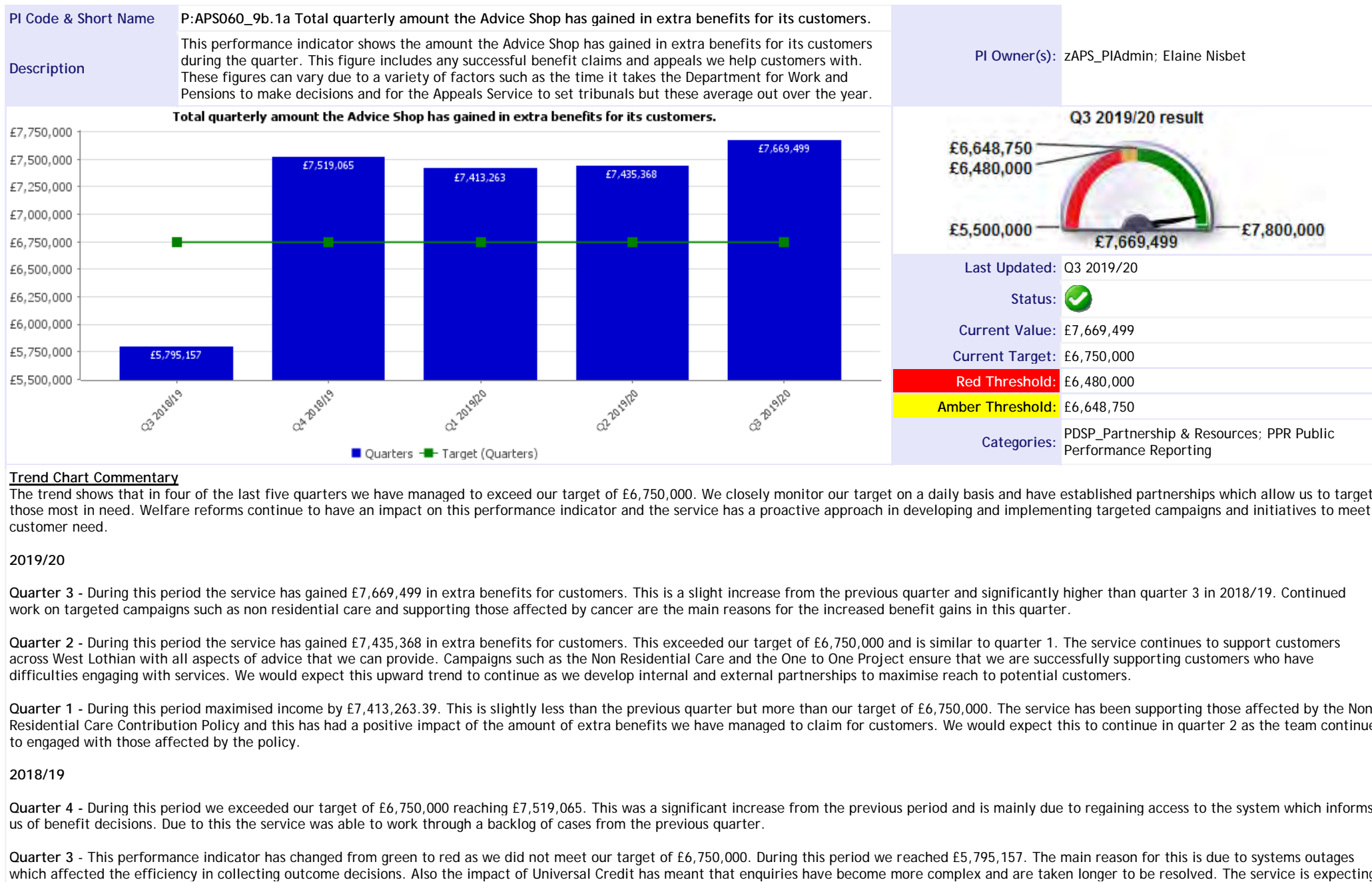
Quarter 4 2017/18 achieved the target level of performance.

The target was increased in 2018/19 to 97 percent from 95 percent target of previous years. This was to encourage improvement in processing times following changes to the eligibility criteria. The target for 2019/20 will remain at 97 percent.



**May** - This performance indicator has triggered red. The reported figure for April 2019 is 5.65% against the WLC target of 3.6%. Long term absences account for 82% of a total of 207 sick days during this period. Sickness absence continues to be monitored in line with the council's supporting attendance at work policy.

**Target 2019/20** - Our target has been set at 3.6% inline with the WLC target.



#### Trend Chart Commentary

The trend shows that in four of the last five quarters we have managed to exceed our target of £6,750,000. We closely monitor our target on a daily basis and have established partnerships which allow us to target those most in need. Welfare reforms continue to have an impact on this performance indicator and the service has a proactive approach in developing and implementing targeted campaigns and initiatives to meet customer need.

#### 2019/20

**Quarter 3** - During this period the service has gained £7,669,499 in extra benefits for customers. This is a slight increase from the previous quarter and significantly higher than quarter 3 in 2018/19. Continued work on targeted campaigns such as non residential care and supporting those affected by cancer are the main reasons for the increased benefit gains in this quarter.

**Quarter 2** - During this period the service has gained £7,435,368 in extra benefits for customers. This exceeded our target of £6,750,000 and is similar to quarter 1. The service continues to support customers across West Lothian with all aspects of advice that we can provide. Campaigns such as the Non Residential Care and the One to One Project ensure that we are successfully supporting customers who have difficulties engaging with services. We would expect this upward trend to continue as we develop internal and external partnerships to maximise reach to potential customers.

**Quarter 1** - During this period maximised income by £7,413,263.39. This is slightly less than the previous quarter but more than our target of £6,750,000. The service has been supporting those affected by the Non Residential Care Contribution Policy and this has had a positive impact of the amount of extra benefits we have managed to claim for customers. We would expect this to continue in quarter 2 as the team continue to engaged with those affected by the policy.

#### 2018/19

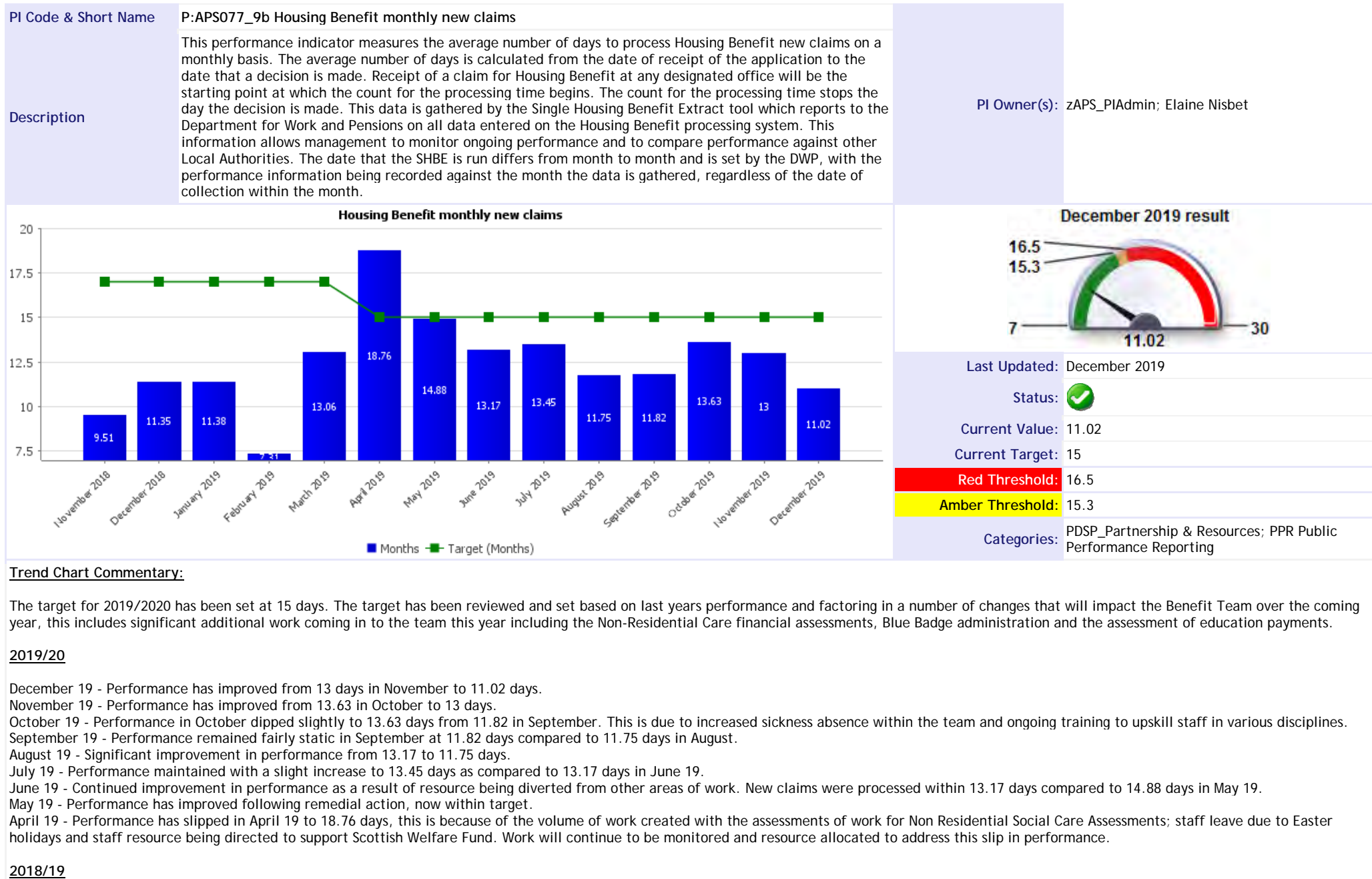
**Quarter 4** - During this period we exceeded our target of £6,750,000 reaching £7,519,065. This was a significant increase from the previous period and is mainly due to regaining access to the system which informs us of benefit decisions. Due to this the service was able to work through a backlog of cases from the previous quarter.

**Quarter 3** - This performance indicator has changed from green to red as we did not meet our target of £6,750,000. During this period we reached £5,795,157. The main reason for this is due to systems outages which affected the efficiency in collecting outcome decisions. Also the impact of Universal Credit has meant that enquiries have become more complex and are taken longer to be resolved. The service is expecting

that our target will be reached in quarter 4 as benefit decisions are made.

**2019/20 Target** - The service has sustained performance in 4 out of the last 5 quarters and our quarterly target will remain at £6,750,000 due to the ongoing challenges with welfare reforms.





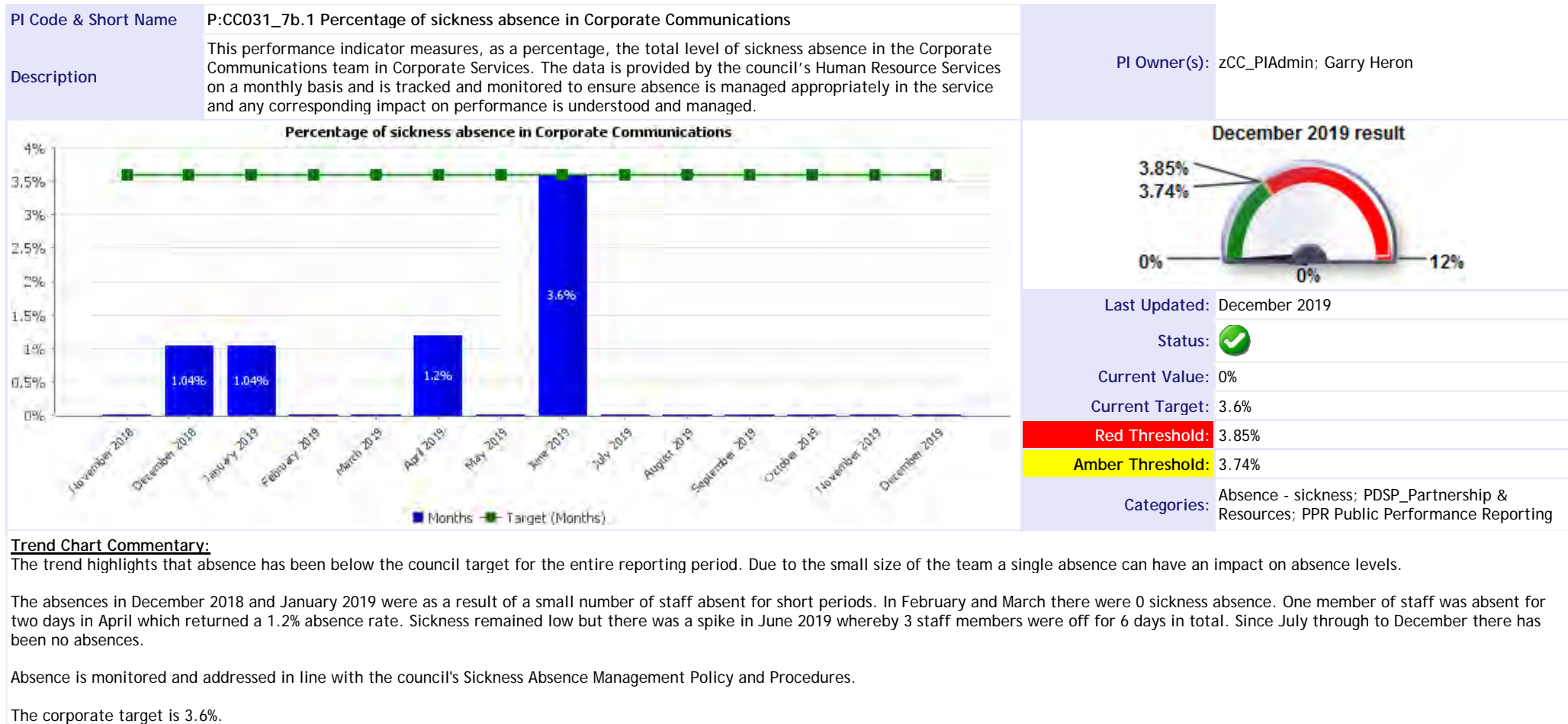
March 19 - Performance has dipped in March 19 to 13.06 days. This is because we have diverted 10 full time equivalent staff resource to process Non Residential Social Care charges which has had a significant impact on our ability to maintain the previous excellent performance. We will continue to monitor the work going forward.

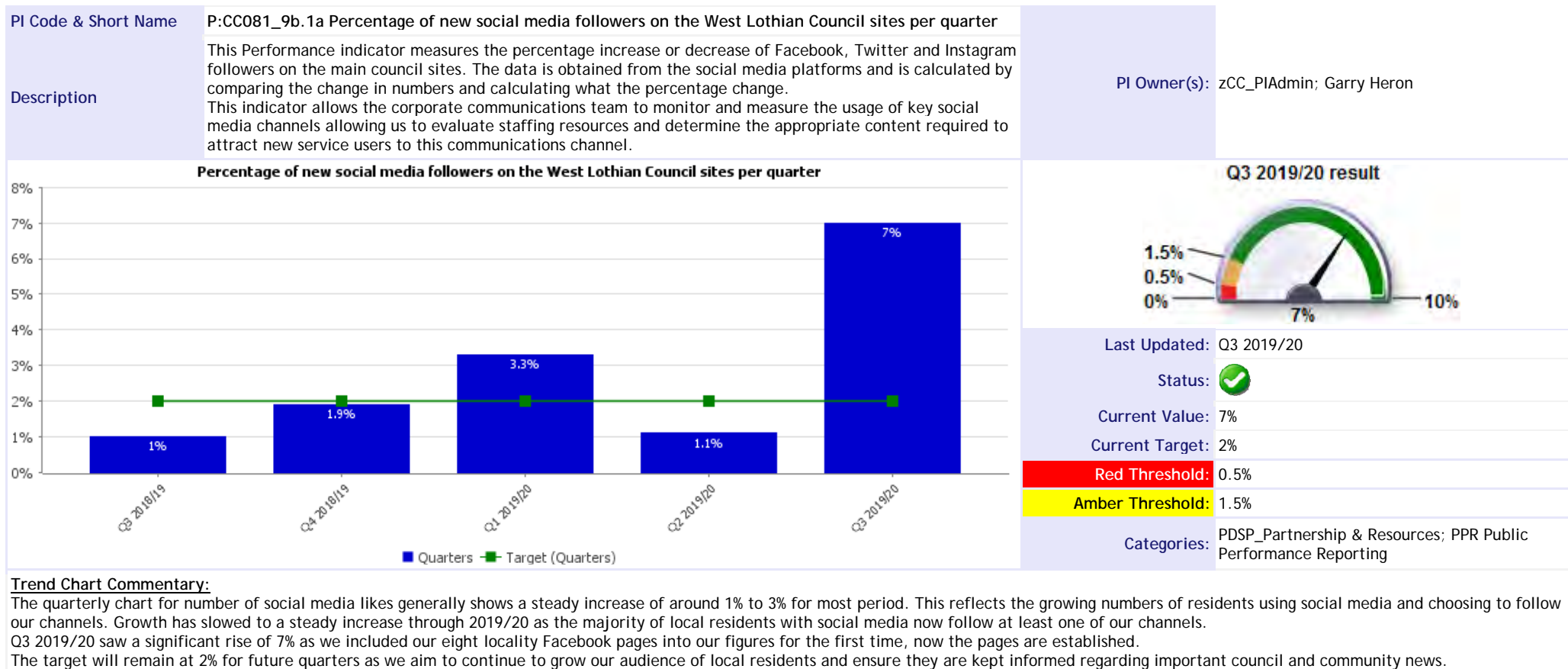
February 19 - 7.31 days is our lowest reported performance. This can partly be attributed to the high turn over of bed and breakfast accommodation because new Housing Benefit applications from those living in these properties are prioritised.

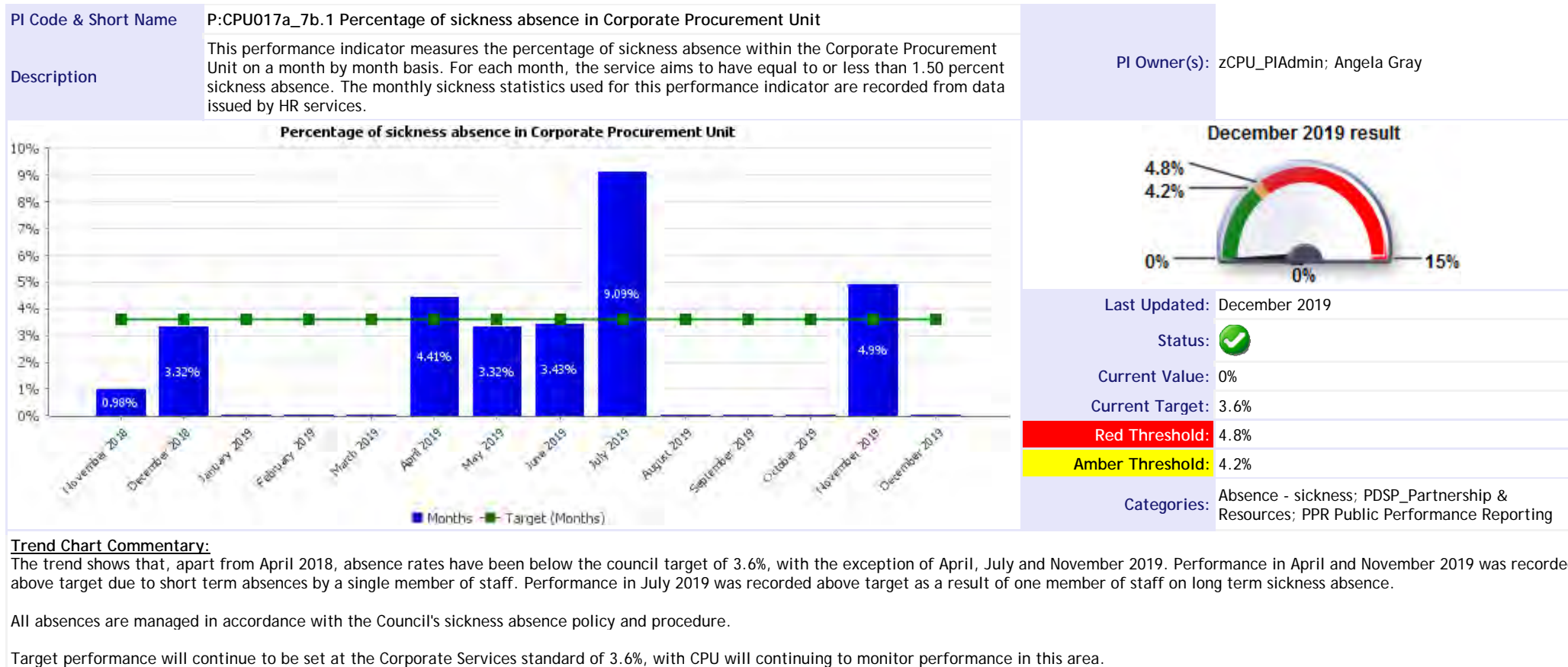
January 19 - Performance against this target remains fairly static with very little decrease in performance from December 18. This is despite this period covering the festive holidays and maximum staff leave.

PI Code & Short Name	P:CC014_6b.3 Total number of complaints received per quarter		PI Owner(s): zCC_PIAAdmin; Garry Heron
Description	This performance indicator measures the total number of complaints received quarterly relating to Corporate Communications. Performance is reviewed on a regular basis and reported quarterly to ensure that there is sufficient focus on the quality and standard of customer service. The data for this performance indicator is captured through the Customer Relationship Management (CRM) system, Social Media and Councillor Enquiries. All complaints received are analysed to identify improvements to the quality of the service and the way it is delivered to customers.		
<div><div>Total number of complaints received per quarter</div></div>			<div><div>Q3 2019/20 result</div></div>
			Last Updated: Q3 2019/20
			Status:
			Current Value: 0
			Current Target: 0
			Red Threshold: 5
			Amber Threshold: 2
			Categories: PDSP_Partnership & Resources; PPR Public Performance Reporting
<div><div>Trend Chart Commentary:</div><div>The service handle complaints made through members of public through social media and councillor enquiries, the service receives a small number of complaints.</div><div><div>2018/19</div><div>Q2 2018/19 - the service received no complaints</div><div>Q3 2018/19 - the service received no complaints</div><div>Q4 2018/19 - the service received 2 complaints relating to Bulletin content and web content. The complaints were investigated and was not upheld</div></div><div><div>2019/20</div><div>Q1 2019/20 - the service received 1 complaint relating to photography in Bulletin. Complaint investigated and no action taken due to complaint not valid.</div><div>Q2 2019/20 - the service received 0 complaints</div><div>Q3 2019/20 - the service received 0 complaints</div></div><div>Complaints are handled following corporate procedures and analysed to identify trends.</div><div>The target for Q4 2019/20 will remain at 0 per quarter, this is to reflect the small number of complaints the service received in previous quarters. Targets are reviewed annually.</div></div>			









**Trend Chart Commentary:**

The trend shows that, apart from April 2018, absence rates have been below the council target of 3.6%, with the exception of April, July and November 2019. Performance in April and November 2019 was recorded above target due to short term absences by a single member of staff. Performance in July 2019 was recorded above target as a result of one member of staff on long term sickness absence.



All absences are managed in accordance with the Council's sickness absence policy and procedure.

Target performance will continue to be set at the Corporate Services standard of 3.6%, with CPU will continuing to monitor performance in this area.

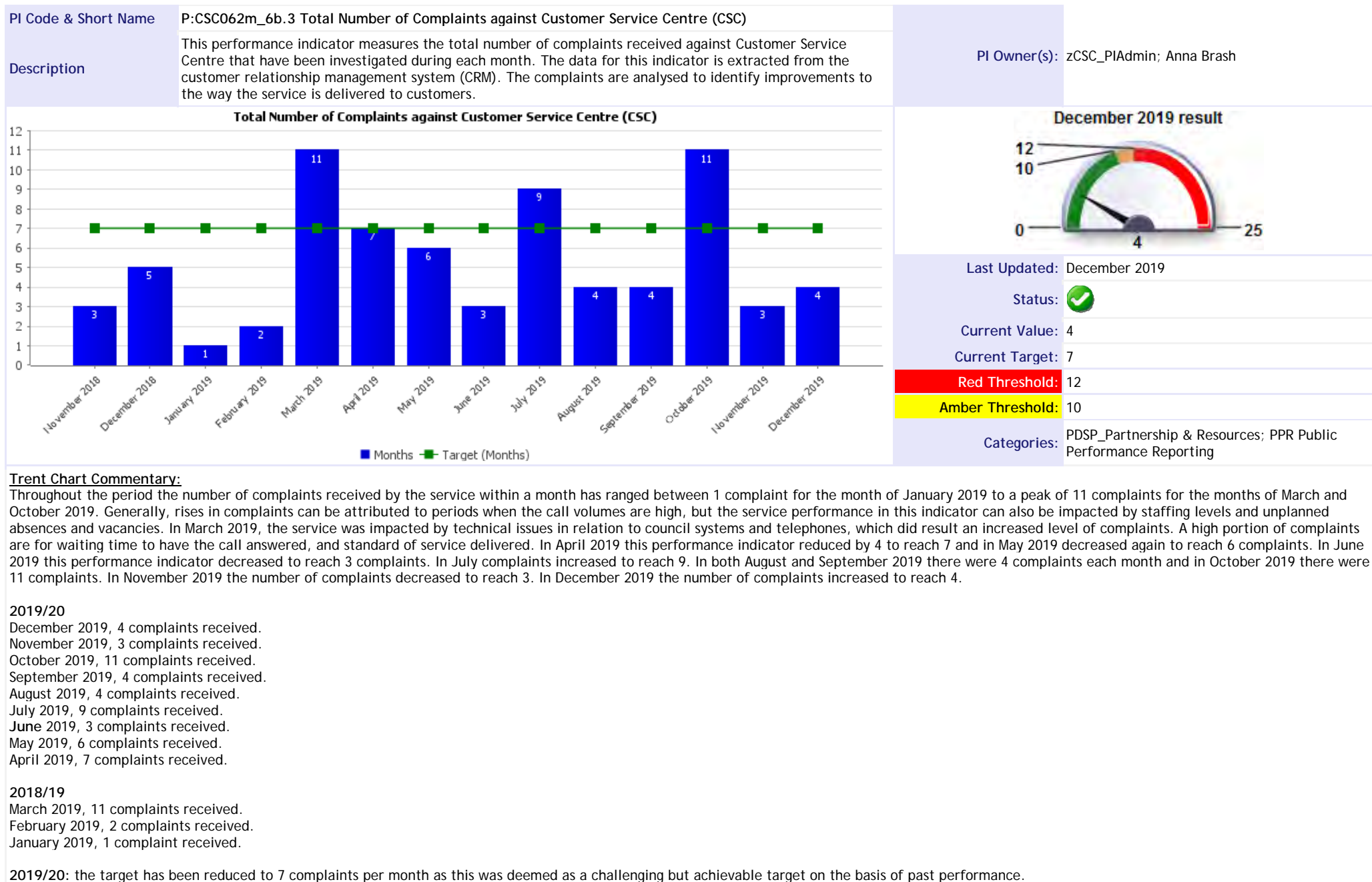




PI Code & Short Name	P:CPU047c_6b.3 Total number of complaints received by the Corporate Procurement Unit on a Quarterly basis	
Description	<p>This indicator measures the total number of complaints received by the Corporate Procurement Unit. It is the total number of complaints received by the Corporate Procurement Unit at stage one (complaints that the council aims to deal with within 5 working days) and those received directly at stage two (more complex complaints that the council aims to deal with within 20 working days).</p> <p>Note: This is to ensure complaints escalated from stage 1 and stage 2 are not double counted.</p>	
		PI Owner(s): zCPU_PIAdmin; Angela Gray
<p><b>Total number of complaints received by the Corporate Procurement Unit on a Quarterly basis</b></p>		<p><b>Q3 2019/20 result</b></p>
		Last Updated: Q3 2019/20
		Status:
		Current Value: 0
		Current Target: 0
		Red Threshold: 5
		Amber Threshold: 4
		Categories: PDSP_Partnership & Resources; PPR Public Performance Reporting
<p><b>Trend Chart Commentary:</b>          There have been no complaints received by the Corporate Procurement Unit at either Stage One or Stage Two since Q2 18/19.          The target for 2019/20 will remain at 0 in line with previous years performance.</p>		

PI Code & Short Name	P:CPU047d_6b.4 The percentage of complaints received by the Corporate Procurement Unit that were upheld / partially upheld against the total complaints closed in full	PI Owner(s): zCPU_PIAAdmin; Angela Gray
Description	This indicator measures the total number of complaints received by the Corporate Procurement Unit which were upheld or partially upheld, as a percentage of all complaints received. It is the total number of complaints received by the Corporate Procurement Unit at stage one (complaints that the council aims to deal with within 5 working days) and those received directly at stage two (more complex complaints that the council aims to deal with within 20 working days).	
The percentage of complaints received by the Corporate Procurement Unit that were upheld / partially upheld against the total complaints closed in full		Q3 2019/20 result N/A
		Last Updated: Q3 2019/20
		Status: 
		Current Value: N/A
		Current Target: 0%
		Red Threshold: 80%
		Amber Threshold: 77%
		Categories: PDSP_Partnership & Resources; PPR Public Performance Reporting
<u>Trend Chart Commentary:</u> No complaints have been received by the Corporate Procurement Unit during the years 2017/18 and 2018/19.  The target for 2019/20 has been set at 0 in line with previous years performance.		

PI Code & Short Name	P:CSC007mq_6a.7 Customer Service Centre (CSC) - Percentage of customers who rated the overall quality of the service as good or excellent		PI Owner(s): 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. The data from surveys is analysed to identify service improvements.																															
<div><div><div>Customer Service Centre (CSC) - Percentage of customers who rated the overall quality of the service as good or excellent</div><div><table><thead><tr><th>Quarter</th><th>Performance (%)</th><th>Target (%)</th></tr></thead><tbody><tr><td>Q3 2018/19</td><td>94.5%</td><td>97.0%</td></tr><tr><td>Q4 2018/19</td><td>97.5%</td><td>97.0%</td></tr><tr><td>Q1 2019/20</td><td>97.8%</td><td>97.0%</td></tr><tr><td>Q2 2019/20</td><td>96.7%</td><td>97.0%</td></tr><tr><td>Q3 2019/20</td><td>96.6%</td><td>97.0%</td></tr></tbody></table></div></div></div> <div><div><div>Cumulative result for Q3 2019/20 as of December 2019</div><div><table><thead><tr><th>Category</th><th>Value (%)</th></tr></thead><tbody><tr><td>Red Threshold</td><td>87.0%</td></tr><tr><td>Amber Threshold</td><td>92.0%</td></tr><tr><td>Current Value</td><td>96.6%</td></tr><tr><td>Current Target</td><td>97.0%</td></tr></tbody></table></div></div></div> <div><div>Last Updated: Q3 2019/20</div><div>Status: </div><div>Current Value: 96.6%</div><div>Current Target: 97.0%</div><div>Red Threshold: 87.0%</div><div>Amber Threshold: 92.0%</div><div>Categories: PDSP_Partnership &amp; Resources; PPR Public Performance Reporting</div></div>			Quarter	Performance (%)	Target (%)	Q3 2018/19	94.5%	97.0%	Q4 2018/19	97.5%	97.0%	Q1 2019/20	97.8%	97.0%	Q2 2019/20	96.7%	97.0%	Q3 2019/20	96.6%	97.0%	Category	Value (%)	Red Threshold	87.0%	Amber Threshold	92.0%	Current Value	96.6%	Current Target	97.0%	<div><div><div>Trend Chart Commentary:</div><div>The chart shows that CSC quarterly performance has increased from 94.5% in Q3, 2018/19 to reach 97.5% in Q4 2018/19 and then 97.8% in Q1 2019/20 . Performance then decreased in Q2 2019/20 to reach 96.7% and in Q3 2019/20 decreased to reach 96.6%, this decrease was due to higher levels of unplanned absences within CSC and a number of vacant positions that we are recruiting to fill.</div></div></div> <div><div>2019/20</div><div>Quarter 3- 295 customers contacted and 285 customer responses.</div><div>Quarter 2- 418 customers contacted and 408 customer responses.</div><div>Quarter 1 - 414 customers contacted and 405 customer responses.</div></div> <div><div>2018/19</div><div>Quarter 4- 404 customers contacted and 394 customer responses.</div><div>Quarter 3- 489 customers contacted and 462 customer responses.</div></div> <div>2019/20 target will remain at 97%, providing a high but achievable objective as demonstrated by previous years data.</div>	
Quarter	Performance (%)	Target (%)																														
Q3 2018/19	94.5%	97.0%																														
Q4 2018/19	97.5%	97.0%																														
Q1 2019/20	97.8%	97.0%																														
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Q3 2019/20	96.6%	97.0%																														
Category	Value (%)																															
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Amber Threshold	92.0%																															
Current Value	96.6%																															
Current Target	97.0%																															



#### Trent Chart Commentary:

Throughout the period the number of complaints received by the service within a month has ranged between 1 complaint for the month of January 2019 to a peak of 11 complaints for the months of March and October 2019. Generally, rises in complaints can be attributed to periods when the call volumes are high, but the service performance in this indicator can also be impacted by staffing levels and unplanned absences and vacancies. In March 2019, the service was impacted by technical issues in relation to council systems and telephones, which did result in an increased level of complaints. A high portion of complaints are for waiting time to have the call answered, and standard of service delivered. In April 2019 this performance indicator reduced by 4 to reach 7 and in May 2019 decreased again to reach 6 complaints. In June 2019 this performance indicator decreased to reach 3 complaints. In July complaints increased to reach 9. In both August and September 2019 there were 4 complaints each month and in October 2019 there were 11 complaints. In November 2019 the number of complaints decreased to reach 3. In December 2019 the number of complaints increased to reach 4.

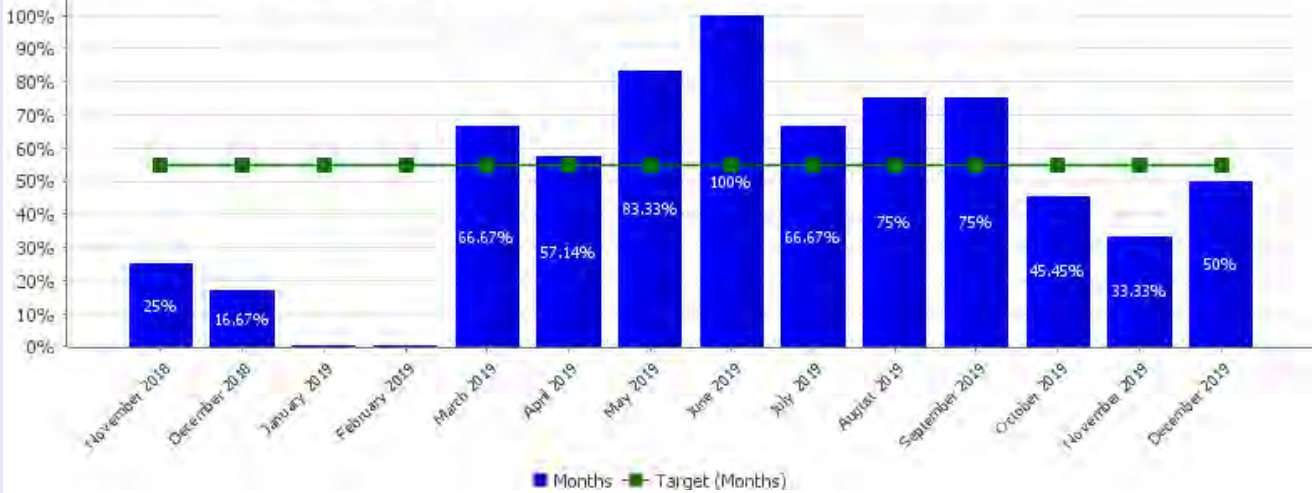
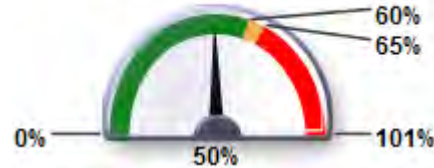
#### 2019/20

December 2019, 4 complaints received.  
November 2019, 3 complaints received.  
October 2019, 11 complaints received.  
September 2019, 4 complaints received.  
August 2019, 4 complaints received.  
July 2019, 9 complaints received.  
June 2019, 3 complaints received.  
May 2019, 6 complaints received.  
April 2019, 7 complaints received.

#### 2018/19

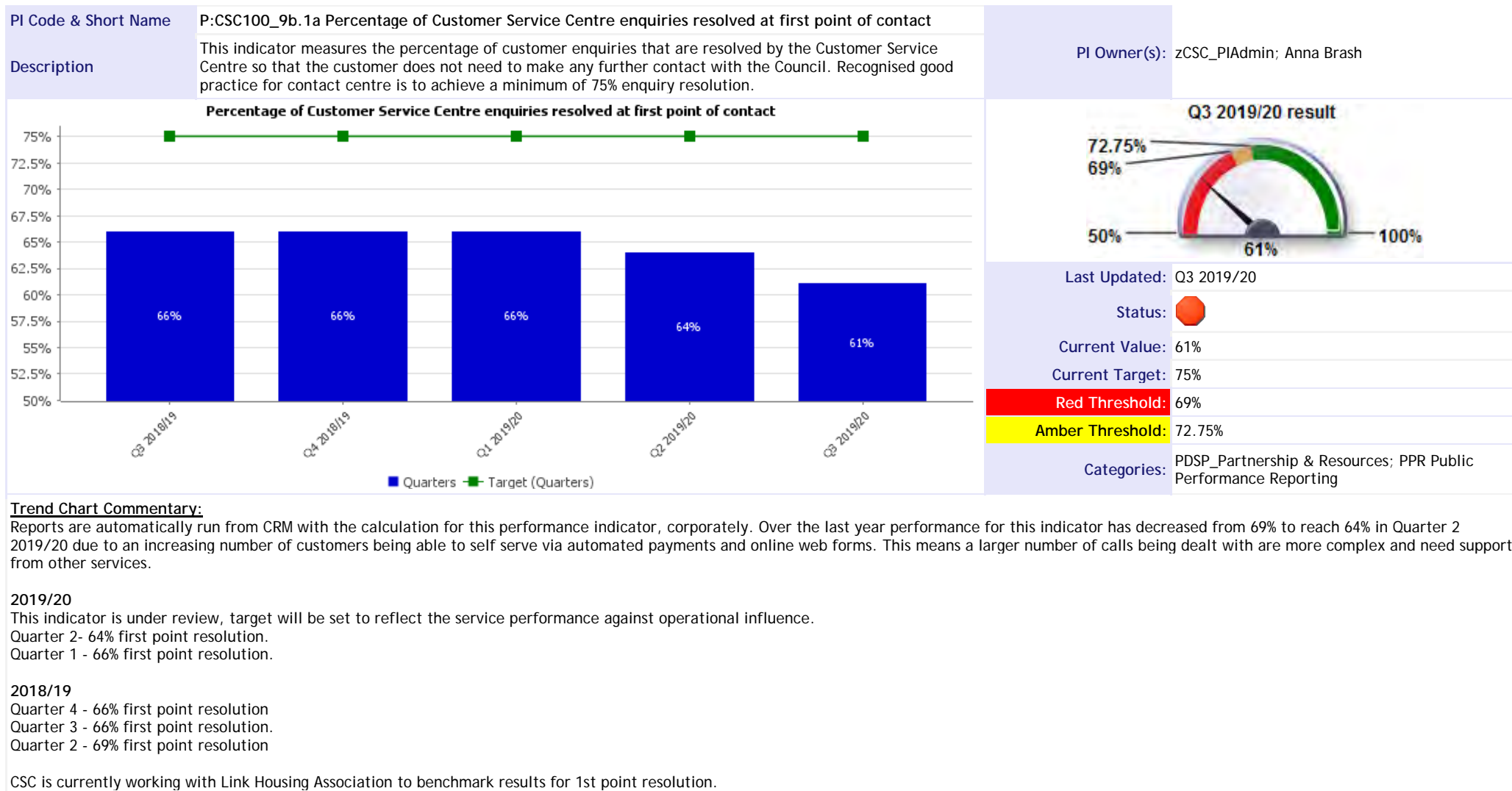
March 2019, 11 complaints received.  
February 2019, 2 complaints received.  
January 2019, 1 complaint received.

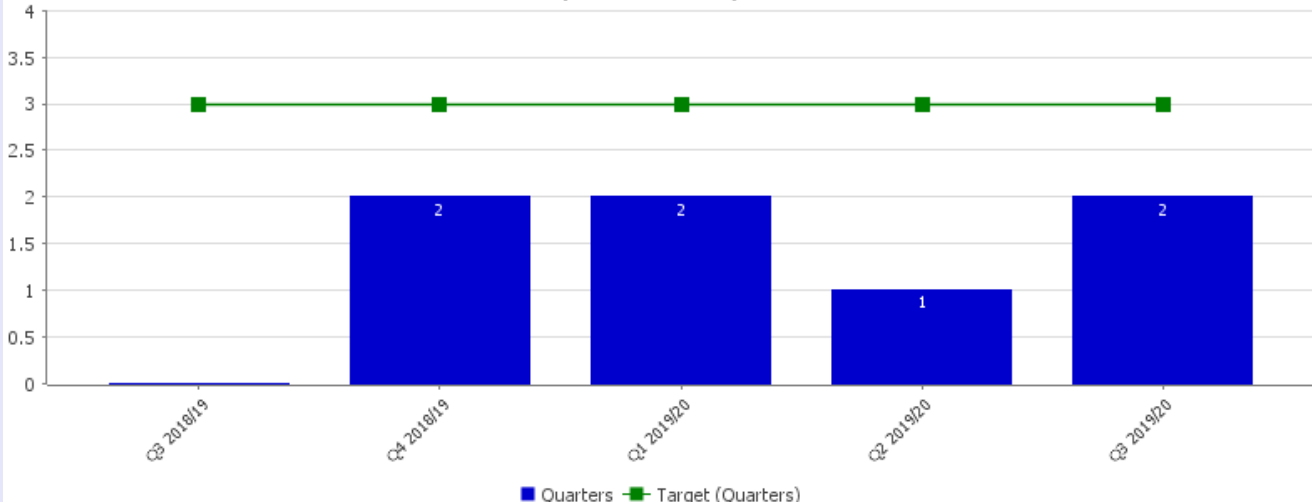


2019/20: the target has been reduced to 7 complaints per month as this was deemed as a challenging but achievable target on the basis of past performance.

PI Code & Short Name	P:CSC063m_6b.4 Percentage of Complaints Upheld and part upheld against Customer Service Centre	PI Owner(s): zCSC_PAdmin; Anna Brash																																												
Description	This performance indicator measures the overall percentage of Customer Service Centre complaints that have been investigated and upheld or part upheld during each month. For each month the total number of complaints responded to within relevant time-scale is divided by total number of stage 1 complaints received to determine a percentage. The data for this indicator is extracted from the customer relationship management system (CRM). The complaints are analysed to identify improvements to the way the service is delivered to customers.																																													
<p><b>Percentage of Complaints Upheld and part upheld against Customer Service Centre</b></p>  <table><caption>Percentage of Complaints Upheld and part upheld against Customer Service Centre</caption><tr><th>Month</th><th>Percentage</th></tr><tr><td>November 2018</td><td>25%</td></tr><tr><td>December 2018</td><td>16.67%</td></tr><tr><td>January 2019</td><td>0%</td></tr><tr><td>February 2019</td><td>0%</td></tr><tr><td>March 2019</td><td>66.67%</td></tr><tr><td>April 2019</td><td>57.14%</td></tr><tr><td>May 2019</td><td>83.33%</td></tr><tr><td>June 2019</td><td>100%</td></tr><tr><td>July 2019</td><td>66.67%</td></tr><tr><td>August 2019</td><td>75%</td></tr><tr><td>September 2019</td><td>75%</td></tr><tr><td>October 2019</td><td>45.45%</td></tr><tr><td>November 2019</td><td>33.33%</td></tr><tr><td>December 2019</td><td>50%</td></tr></table>		Month	Percentage	November 2018	25%	December 2018	16.67%	January 2019	0%	February 2019	0%	March 2019	66.67%	April 2019	57.14%	May 2019	83.33%	June 2019	100%	July 2019	66.67%	August 2019	75%	September 2019	75%	October 2019	45.45%	November 2019	33.33%	December 2019	50%	<p><b>December 2019 result</b></p>  <table><tr><td>Last Updated:</td><td>December 2019</td></tr><tr><td>Status:</td><td>✓</td></tr><tr><td>Current Value:</td><td>50%</td></tr><tr><td>Current Target:</td><td>55%</td></tr><tr><td>Red Threshold:</td><td>65%</td></tr><tr><td>Amber Threshold:</td><td>60%</td></tr><tr><td>Categories:</td><td>PDSP_Partnership &amp; Resources; PPR Public Performance Reporting</td></tr></table>	Last Updated:	December 2019	Status:	✓	Current Value:	50%	Current Target:	55%	Red Threshold:	65%	Amber Threshold:	60%	Categories:	PDSP_Partnership & Resources; PPR Public Performance Reporting
Month	Percentage																																													
November 2018	25%																																													
December 2018	16.67%																																													
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Amber Threshold:	60%																																													
Categories:	PDSP_Partnership & Resources; PPR Public Performance Reporting																																													
<p><b>Trend Chart Commentary:</b></p> <p>Throughout the period the number of complaints upheld or part upheld by the service within a month has ranged between 0% in January and February 2019 and peaks of over 80% during the periods between May and June 2019. The peaks in upheld / part upheld complaints coincided with higher call volumes being received by the CSC and the introduction of charging for some council services. The CSC uses the complaint categorisations to analyse trends in customer dissatisfaction and identify opportunities to improve the standard of services received by customers. Complaints in relation to employee attitude or communication for example, are addressed by the relevant line manager and also the CSC trainer and can result in additional training for individuals and teams or performance management processes, as appropriate. Complaints upheld in 2018/19 also related to waiting times and this can be impacted by staff absences and vacancies and a small proportion were complaints about policy related issues.</p> <p><b>2019/20</b></p> <p>December 2019, 4 complaints received, 1 upheld, 1 part upheld and 2 not upheld. November 2019, 3 complaints received, 1 upheld and 2 not upheld. October 2019, 11 complaints received, 4 upheld, 1 part upheld and 6 not upheld. September 2019 - 4 complaints received, 1 upheld, 2 part upheld and 1 not upheld. August 2019 - 4 complaints received, 3 upheld and 1 not upheld. July 2019 - 9 complaints received, 3 upheld and 3 part upheld, 2 escalated to stage 2. June 2019 - 3 complaints received, 1 upheld and 2 part upheld. May 2019 - 6 complaints received, 1 upheld, 4 part upheld and 1 not upheld April 2019 - 7 complaints received,</p> <p><b>2018/19</b></p> <p>March 2019 - 9 complaints received, 1 upheld, 3 not upheld and 5 part upheld. February 2019 - 2 complaints received, 2 not upheld. January 2019 - 1 complaint received, 1 not upheld. December 2018 - 6 complaints received, 1 upheld.</p>																																														

November 2018 - 4 complaints received, 1 part upheld

2019/20 - the target for this indicator will reduce from 55% to 50% in 2019/20, this reflects the performance in the past year but remains a challenging target.



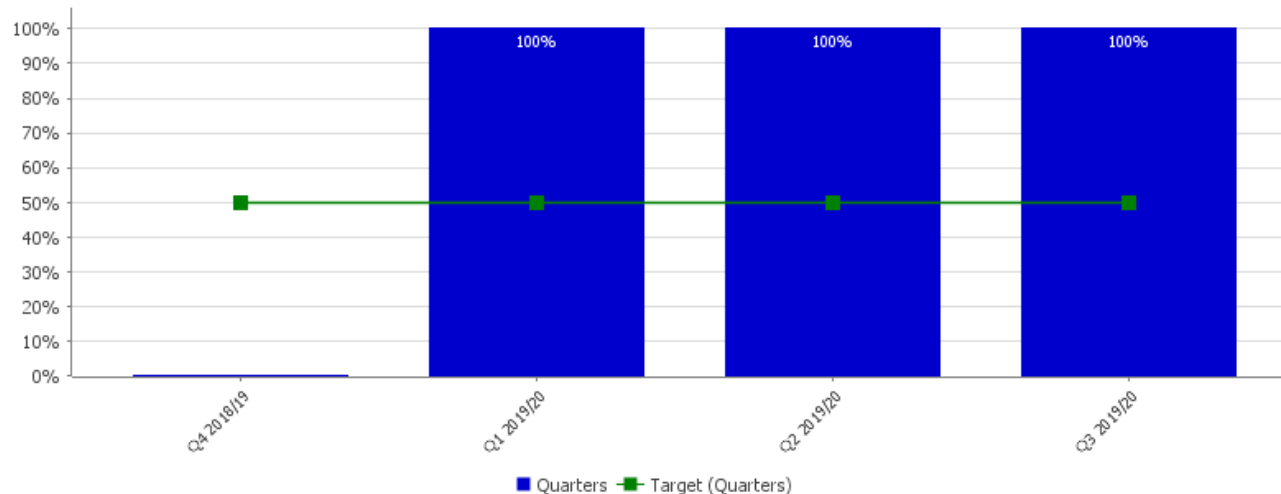
PI Code & Short Name	P:CSg112_6b.3 Total number of complaints received by Construction Services		PI Owner(s): zCSg_PIAdmin; Marjory Mackie																		
Description	This performance indicator measures the combined total number stage 1 and stage 2 complaints received during a financial year relating to the Construction Services Unit. Performance is reviewed on a regular basis and reported annual to ensure that there is sufficient focus on the quality and standard of customer service. The data for this performance indicator is extracted from the Customer Relationship Management (CRM) system, which is used to manage and monitor complaint handling procedures in the council. All complaints received are analysed to identify improvements to the quality of the service and the way it is delivered to customers.																				
<div><div>Total number of complaints received by Construction Services</div><div><table><caption>Data for Total number of complaints received by Construction Services</caption><thead><tr><th>Quarter</th><th>Quarters (Actual)</th><th>Target (Quarters)</th></tr></thead><tbody><tr><td>Q3 2018/19</td><td>0</td><td>3</td></tr><tr><td>Q4 2018/19</td><td>2</td><td>3</td></tr><tr><td>Q1 2019/20</td><td>2</td><td>3</td></tr><tr><td>Q2 2019/20</td><td>1</td><td>3</td></tr><tr><td>Q3 2019/20</td><td>2</td><td>3</td></tr></tbody></table></div></div>			Quarter	Quarters (Actual)	Target (Quarters)	Q3 2018/19	0	3	Q4 2018/19	2	3	Q1 2019/20	2	3	Q2 2019/20	1	3	Q3 2019/20	2	3	<div><div>Q3 2019/20 result</div><div></div></div>
Quarter	Quarters (Actual)	Target (Quarters)																			
Q3 2018/19	0	3																			
Q4 2018/19	2	3																			
Q1 2019/20	2	3																			
Q2 2019/20	1	3																			
Q3 2019/20	2	3																			
Last Updated: Q3 2019/20																					
Status: 																					
Current Value: 2																					
Current Target: 3																					
Red Threshold: 5																					
Amber Threshold: 4																					
Categories: PDSP_Partnership & Resources; PPR Public Performance Reporting																					
<div><div>Trend Chart Commentary</div><div>This quarterly PI was introduced in Q2 2014/15. Due to the low number of external complaints received through CRM the service also maintains a spreadsheet to log internal complaints which is reviewed monthly to ensure any improvement actions are progressed.</div><div>We aim to provide the best service possible and where this falls below customers expectations we have a corporate policy for dealing with any complaints in as efficient and effective manner as possible.</div><div>Following review of the number of complaints received by the service in 2018/19, the target for 2019/20 will remain at 3.</div></div>																					



PI Code & Short Name	P:CSg113_6b.4 The percentage of complaints received by Construction Services that were upheld / partially upheld against the total complaints closed in full
Description	<p>This performance indicator measures the total number of stage one and stage two complaints that were upheld and part upheld by Construction Services which is then analysed quarterly to identify service improvements. A target of 50% has been set which will be reviewed annually by the Complaints Steering Board.</p> <p>This performance indicator is one of a range of indicators developed to monitor the effectiveness of the council's complaint handling procedure (CHP). The model CHP was developed by the Scottish Public Services Ombudsman to simplify and improve complaints handling through a standardised system for complaints across all local authorities.</p>

PI Owner(s): zCSg\_PIAAdmin; Marjory Mackie

The percentage of complaints received by Construction Services that were upheld / partially upheld against the total complaints closed in full



Q3 2019/20 result



Last Updated: Q3 2019/20

Status:

Current Value: 100%

Current Target: 50%

Red Threshold: 55%

Amber Threshold: 53.5%

Categories: PDSP\_Partnership & Resources; PPR Public Performance Reporting

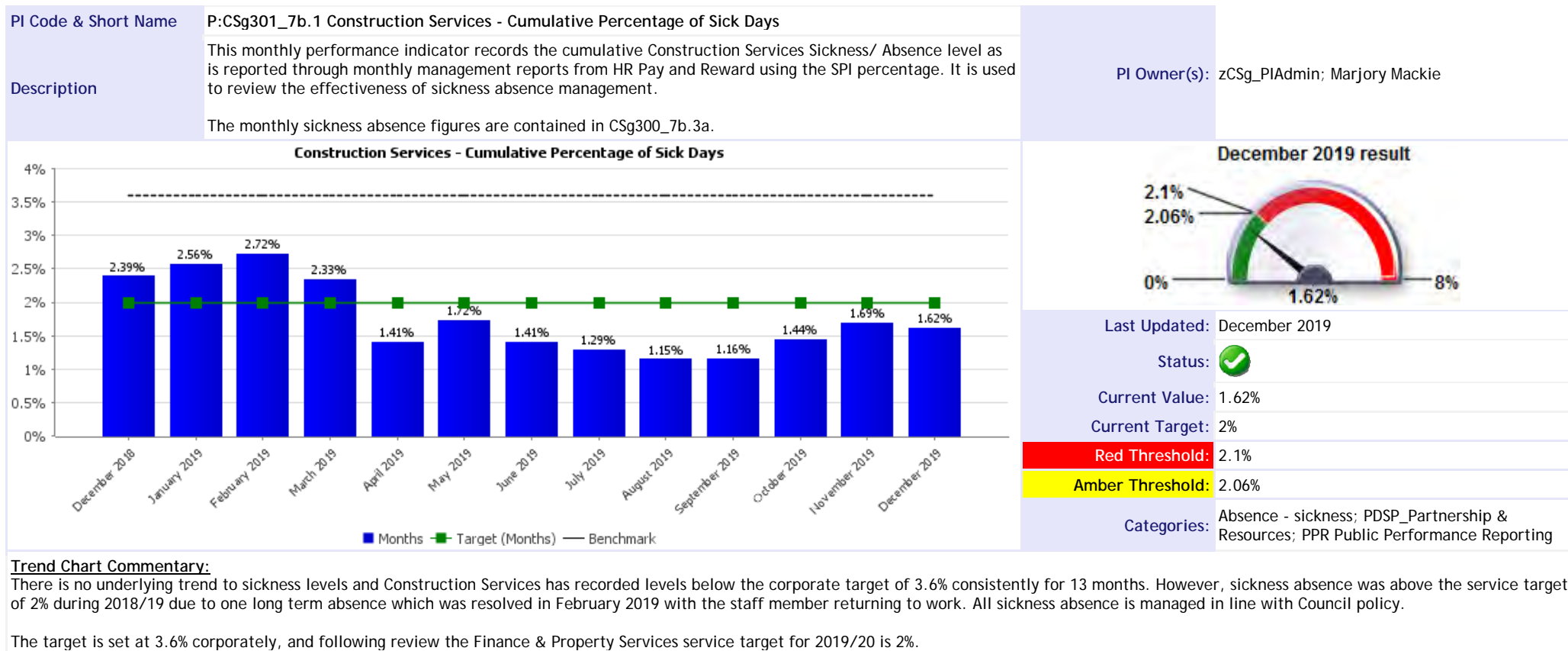
#### Trend Chart Commentary:

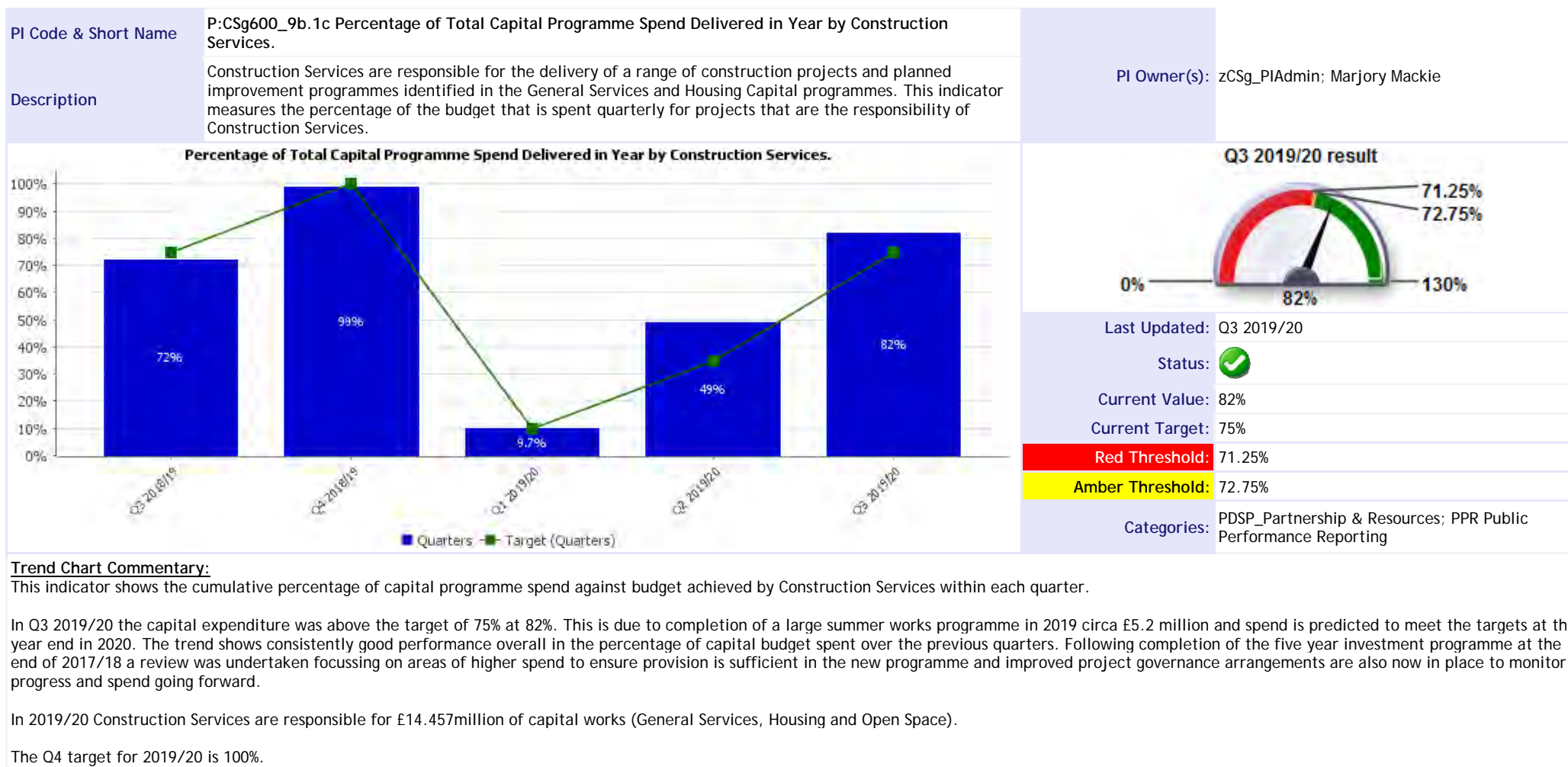
The number of stage 1 and stage 2 complaints which are upheld appears to be high however this is due to the low number of complaints received by the service. Analysis of the type of complaint is undertaken following the investigation to identify any areas for improvement in service delivery. Due to the low number of external complaints received through CRM the service also maintains a spreadsheet to log internal complaints which is reviewed monthly to ensure any improvement actions are progressed.

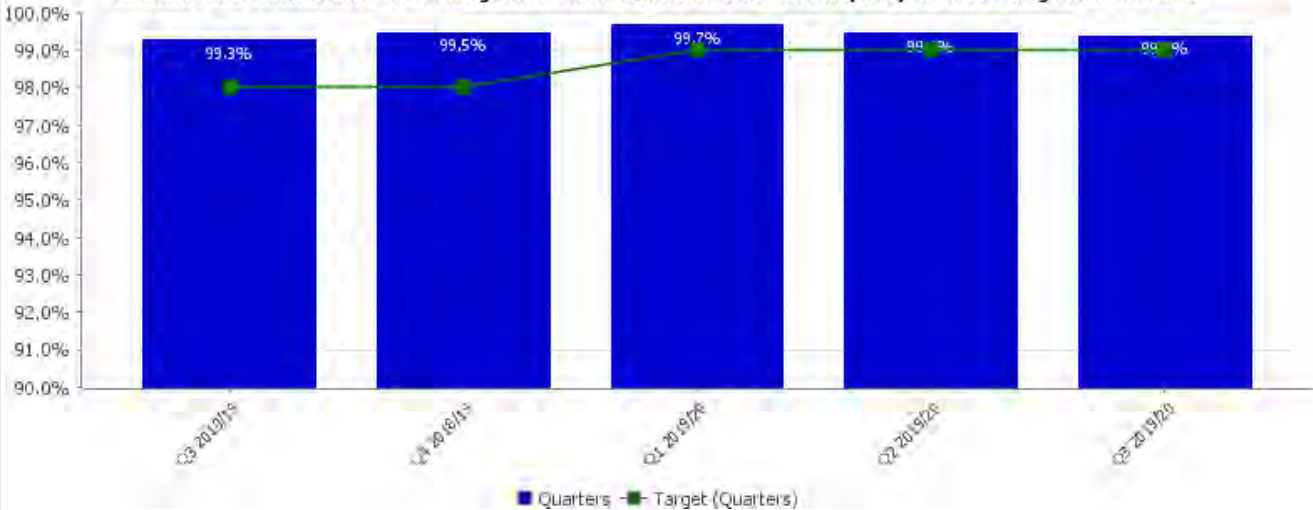
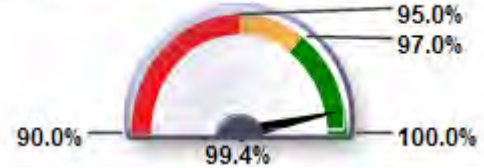

Where there are missing periods on the graph (Q3 in 2018/19) this reflects a Quarter when no stage 1 or stage 2 complaints were received.

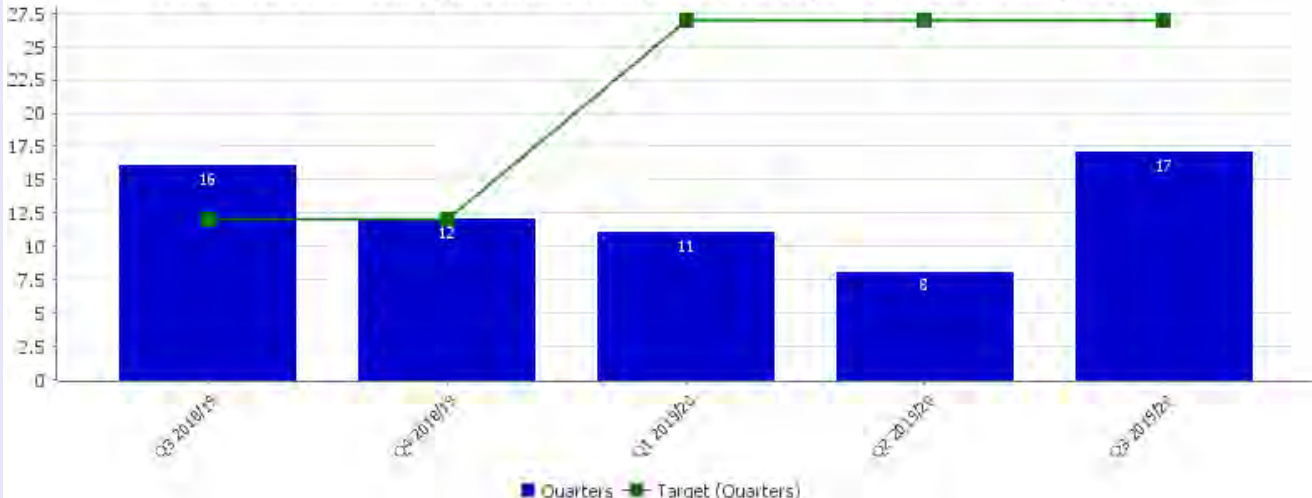

We aim to provide the best service possible and where this falls below customers' expectations we have a corporate policy for dealing with any complaints in as efficient and effective manner as possible.

Following review the target for 2019/20 will remain at 50%.



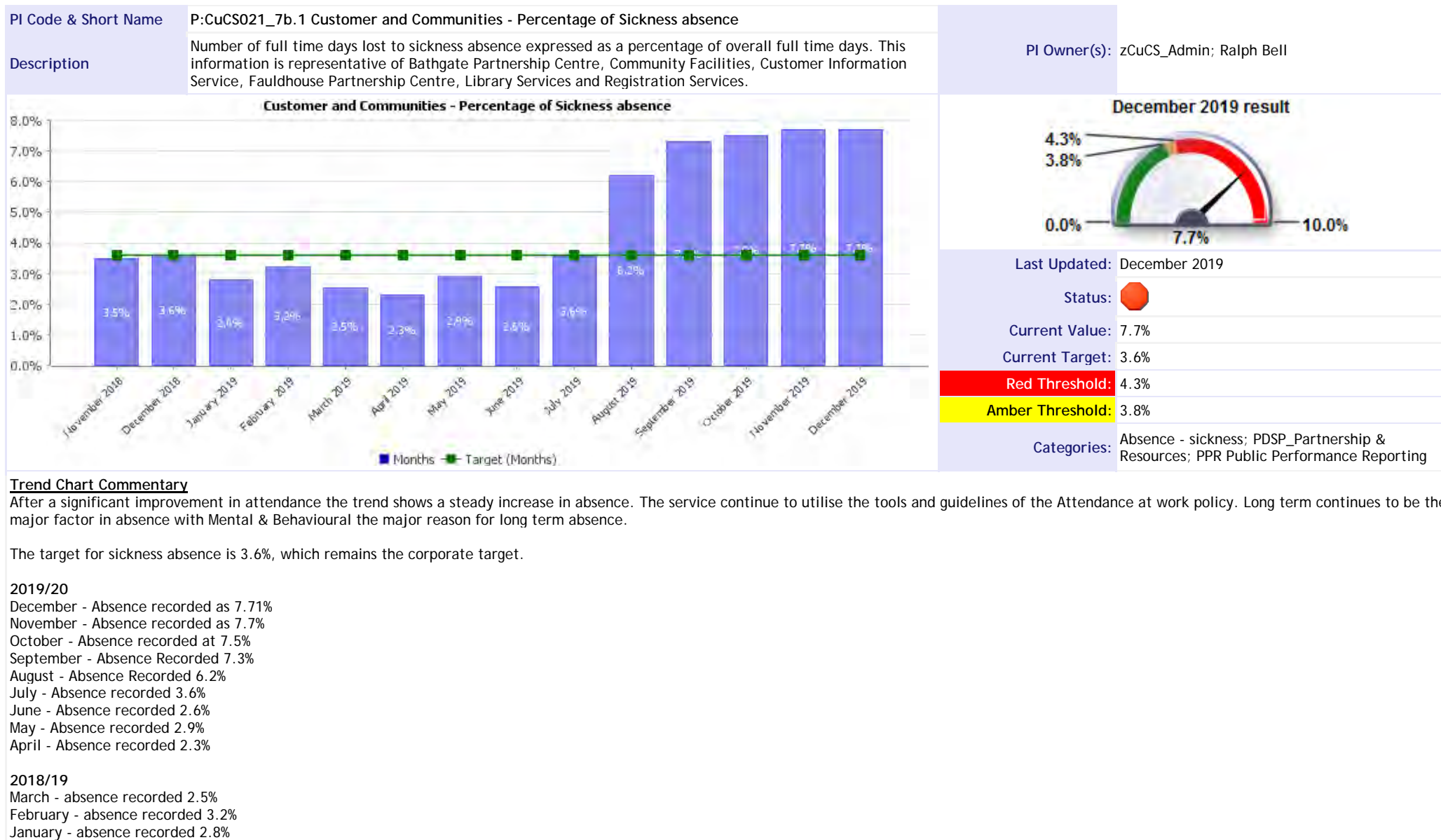


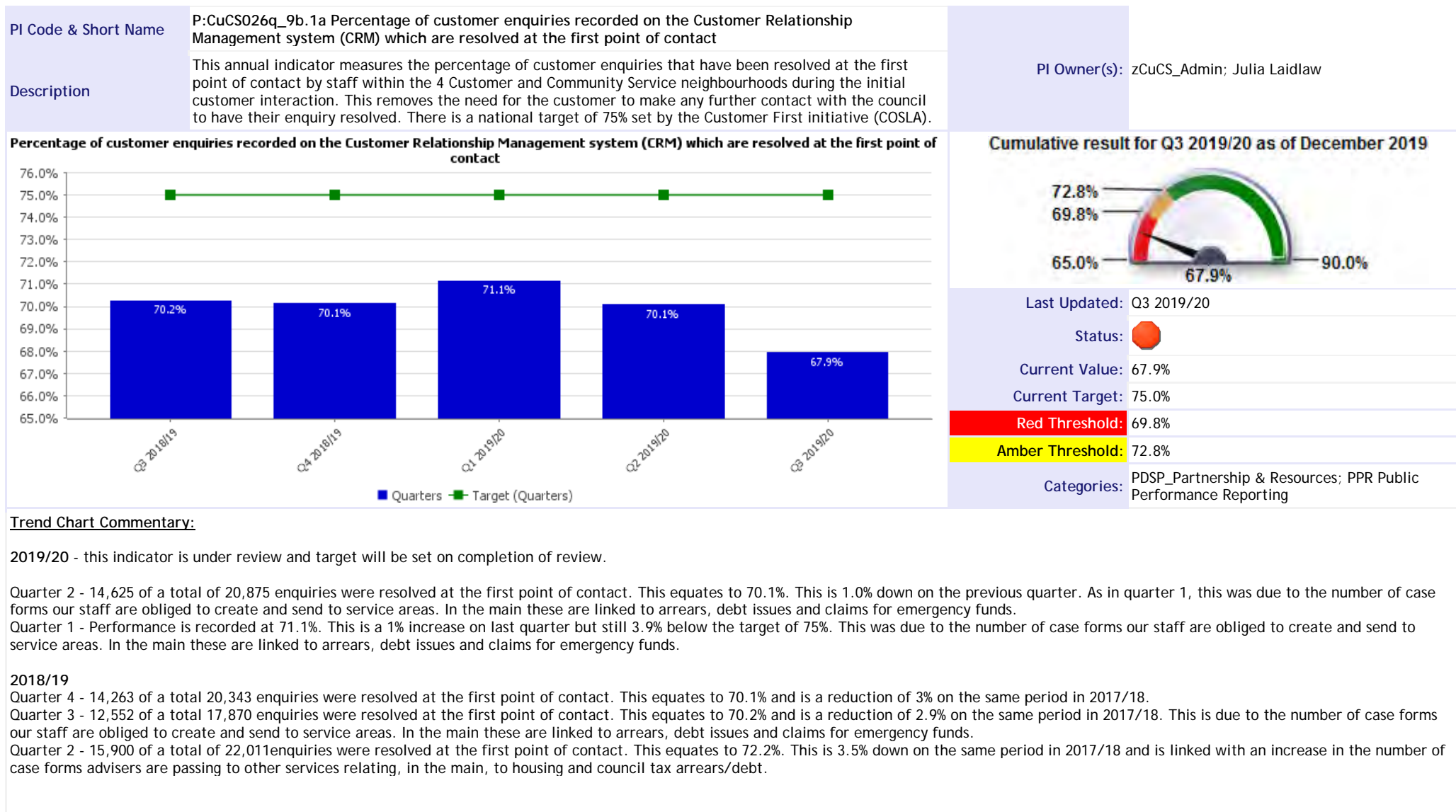
PI Code & Short Name	CuCS007q_6a.7 Customer and Communities - Percentage of customers who rated the overall quality of service as good or excellent	PI Owner(s): zCuCS_Admin; Wendy Thomas
Description	<p>Service customers are randomly selected to complete a customer satisfaction survey. This indicator 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.</p> <p>This performance indicator is part of the performance scorecard for the council's Customer Services Strategy 2018/23 and will contribute to outcome 1 which is that services are designed to meet the needs and preferences of customers.</p>	
<p><b>Customer and Communities - Percentage of customers who rated the overall quality of service as good or excellent</b></p> 		<p><b>Cumulative result for Q3 2019/20 as of December 2019</b></p> 
		Last Updated: Q3 2019/20
		Status: 
		Current Value: 99.4%
		Current Target: 99.0%
		<b>Red Threshold:</b> 95.0%
		<b>Amber Threshold:</b> 97.0%
		Categories: Customer Service Strategy 2018-23; PDSP_Partnership & Resources; PPR Public Performance Reporting
<p><b>Trend Chart Commentary:</b>  The target for this performance indicator is to achieve 99% by 2022/23 and this was set in the development of the council's Customer Service Strategy 2018/23.</p> <p><b>2019/20 target:</b> The original target of 98% will be increased to 99% for 2019/20 to encourage improvement and achievement of the Customer Service Strategy outcome.</p> <p><b>Quarter 3</b> - 632 out of 636 responses rated the overall quality of service as good or excellent  <b>Quarter 2</b> - 703 out of 707 responses rated the overall quality of service as good or excellent achieving a performance of 99.4%. Above the increased target for this year.  <b>Quarter 1</b> - 878 out of 881 responses rated the overall quality of service as good or excellent</p> <p><b>2018/19</b>  The target for this year is 98%. It remained the same as a small number of negative responses can affect the overall result.</p> <p><b>Quarter 4</b> - 729 out of 733 responses rated the overall quality of service as good or excellent  <b>Quarter 3</b> - 670 out of 675 responses rated the overall quality of service as good or excellent.</p>		

PI Code & Short Name	P:CuCS010q_6b.3 Customer and Communities - Total number of complaints received by Customer and Community services	PI Owner(s): zCuCS_Admin; Wendy Thomas																																		
Description	<p>This indicator measures the total number of complaints received by the Customer and Community services. It is the total number of complaints received by the Customer and Community services at stage one (complaints that the council aims to deal with within 5 working days) and those received directly at stage two (more complex complaints that the council aims to deal with within 20 working days).</p> <p>Note: This is to ensure complaints escalated from stage 1 and stage 2 are not double counted.</p>																																			
<div><p>Customer and Communities - Total number of complaints received by Customer and Community services</p><table><caption>Complaints Received by Quarter</caption><thead><tr><th>Quarter</th><th>Complaints Received</th><th>Target (Quarters)</th></tr></thead><tbody><tr><td>Q3 2018/19</td><td>16</td><td>-</td></tr><tr><td>Q4 2018/19</td><td>12</td><td>-</td></tr><tr><td>Q1 2019/20</td><td>11</td><td>27</td></tr><tr><td>Q2 2019/20</td><td>8</td><td>27</td></tr><tr><td>Q3 2019/20</td><td>17</td><td>27</td></tr></tbody></table></div>		Quarter	Complaints Received	Target (Quarters)	Q3 2018/19	16	-	Q4 2018/19	12	-	Q1 2019/20	11	27	Q2 2019/20	8	27	Q3 2019/20	17	27	<div><p>Q3 2019/20 result</p><table><caption>Performance Metrics</caption><thead><tr><th>Metric</th><th>Value</th></tr></thead><tbody><tr><td>Last Updated:</td><td>Q3 2019/20</td></tr><tr><td>Status:</td><td>✓</td></tr><tr><td>Current Value:</td><td>17</td></tr><tr><td>Current Target:</td><td>27</td></tr><tr><td>Red Threshold:</td><td>32.4</td></tr><tr><td>Amber Threshold:</td><td>28.35</td></tr><tr><td>Categories:</td><td>PDSP_Partnership &amp; Resources; PPR Public Performance Reporting</td></tr></tbody></table></div>	Metric	Value	Last Updated:	Q3 2019/20	Status:	✓	Current Value:	17	Current Target:	27	Red Threshold:	32.4	Amber Threshold:	28.35	Categories:	PDSP_Partnership & Resources; PPR Public Performance Reporting
Quarter	Complaints Received	Target (Quarters)																																		
Q3 2018/19	16	-																																		
Q4 2018/19	12	-																																		
Q1 2019/20	11	27																																		
Q2 2019/20	8	27																																		
Q3 2019/20	17	27																																		
Metric	Value																																			
Last Updated:	Q3 2019/20																																			
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Current Value:	17																																			
Current Target:	27																																			
Red Threshold:	32.4																																			
Amber Threshold:	28.35																																			
Categories:	PDSP_Partnership & Resources; PPR Public Performance Reporting																																			
<p><b>Trend Chart Commentary:</b></p> <p>Overall the number of complaints compared to the number of customers dealt with is very small. Due to the make-up of the service it is challenging to find external benchmarking partners and so the service compares complaint performance with the Customer Service Centre.</p> <p>2019/20: The target is 27</p> <p>Quarter 3 - 17 complaints were received, 3 for Bathgate Partnership Centre 1 for Community Facilities, 12 for Customer Information Services and 1 for Library Services</p> <p>Quarter 2 - 8 complaints were received</p> <p>Quarter 1 - 11 complaints were received.</p> <p>2018/19</p> <p>A large number of complaints were received during 2018/19 as a result of issues with the payment kiosks. This continued to be the main theme of these complaints throughout this year especially in quarter 2 however work to rectify the issue continued and the work saw a reduction in the complaints toward the end of 2018/19</p> <p>Quarter 4 - 12 complaints were received, 2 Bathgate Partnership Centre, 2 Community Facilities, 5 Customer Information Services and 3 library Services</p> <p>Quarter 3 - 16 complaints were received, 1 for Bathgate Partnership, 2 for Community Facilities, 10 for Customer Information Services and 3 for Library Services</p>																																				

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(s): zCuCS_Admin; Ralph Bell																																		
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.																																				
<p><b>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</b></p> <table><thead><tr><th>Quarter</th><th>Percentage Upheld / Partially Upheld</th><th>Target</th></tr></thead><tbody><tr><td>Q3 2018/19</td><td>56.3%</td><td>60.0%</td></tr><tr><td>Q4 2018/19</td><td>66.7%</td><td>60.0%</td></tr><tr><td>Q1 2019/20</td><td>63.3%</td><td>60.0%</td></tr><tr><td>Q2 2019/20</td><td>75.0%</td><td>60.0%</td></tr><tr><td>Q3 2019/20</td><td>50.0%</td><td>60.0%</td></tr></tbody></table>			Quarter	Percentage Upheld / Partially Upheld	Target	Q3 2018/19	56.3%	60.0%	Q4 2018/19	66.7%	60.0%	Q1 2019/20	63.3%	60.0%	Q2 2019/20	75.0%	60.0%	Q3 2019/20	50.0%	60.0%	<p><b>Q3 2019/20 result</b></p> <table><thead><tr><th>Metric</th><th>Value</th></tr></thead><tbody><tr><td>Last Updated:</td><td>Q3 2019/20</td></tr><tr><td>Status:</td><td>✓</td></tr><tr><td>Current Value:</td><td>50.0%</td></tr><tr><td>Current Target:</td><td>60.0%</td></tr><tr><td>Red Threshold:</td><td>66.0%</td></tr><tr><td>Amber Threshold:</td><td>63.0%</td></tr><tr><td>Categories:</td><td>PDSP_Culture &amp; Leisure; PDSP_Partnership &amp; Resources; PPR Public Performance Reporting</td></tr></tbody></table>	Metric	Value	Last Updated:	Q3 2019/20	Status:	✓	Current Value:	50.0%	Current Target:	60.0%	Red Threshold:	66.0%	Amber Threshold:	63.0%	Categories:	PDSP_Culture & Leisure; PDSP_Partnership & Resources; PPR Public Performance Reporting
Quarter	Percentage Upheld / Partially Upheld	Target																																			
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Amber Threshold:	63.0%																																				
Categories:	PDSP_Culture & Leisure; PDSP_Partnership & Resources; PPR Public Performance Reporting																																				
<p><b>Trend Chart Commentary:</b> 2019/20 - The target will remain at 60% Quarter 3 - 8 out of 16 complaints were upheld of part upheld Quarter 2 - 6 out of 8 complaints were upheld or part upheld Quarter 1 - 7 out of 11 complaints were upheld or part upheld</p> <p><b>2018/19</b> The main themes for complaints being upheld or part upheld have been around the issues with the payment kiosks in various locations. Performance in quarter 3 improved slightly however there was no main reason for the improvement, it was just down to the nature of the individual complaints during that quarter</p> <p>Quarter 4 - 8 out of 12 complaints were upheld or part upheld. Quarter 3 - 9 out of 16 complaints were upheld or part upheld</p>																																					

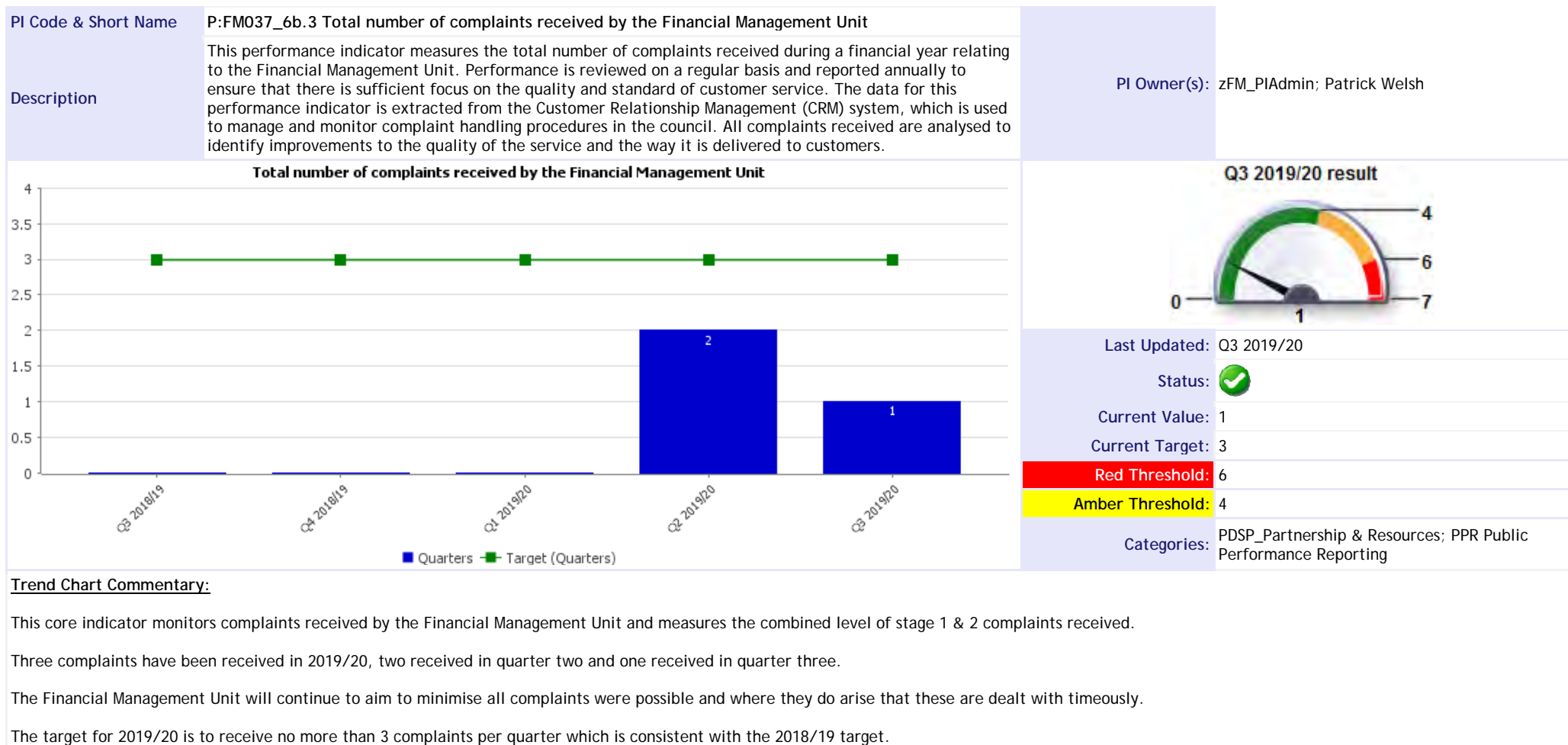












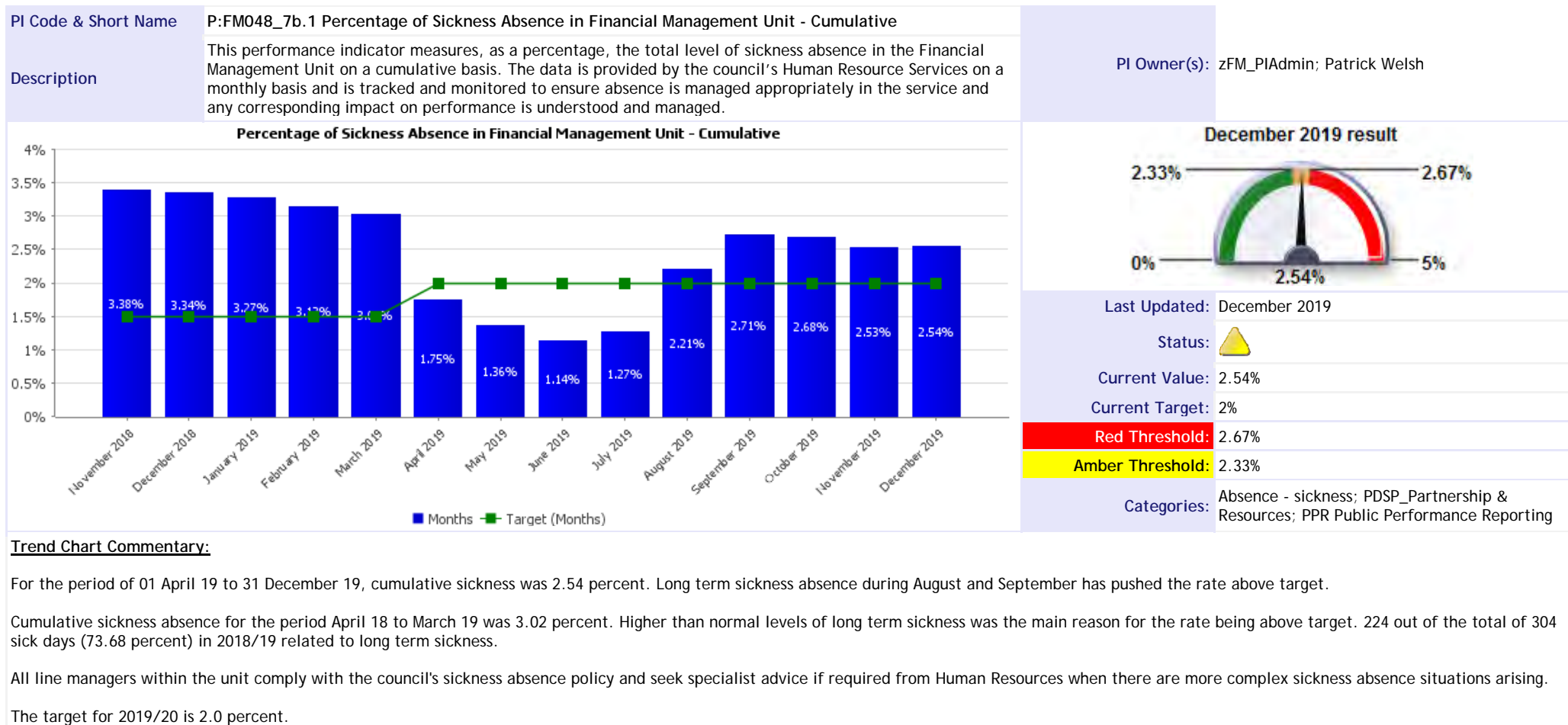
**Trend Chart Commentary:**

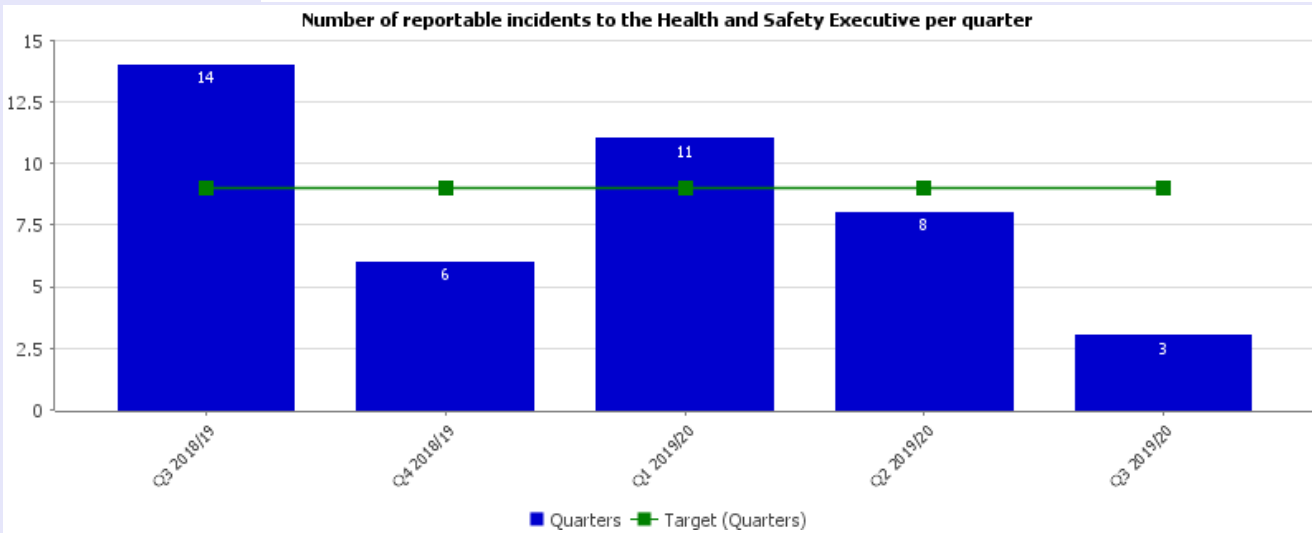

This core indicator monitors complaints received by the Financial Management Unit and measures the combined level of stage 1 & 2 complaints received.

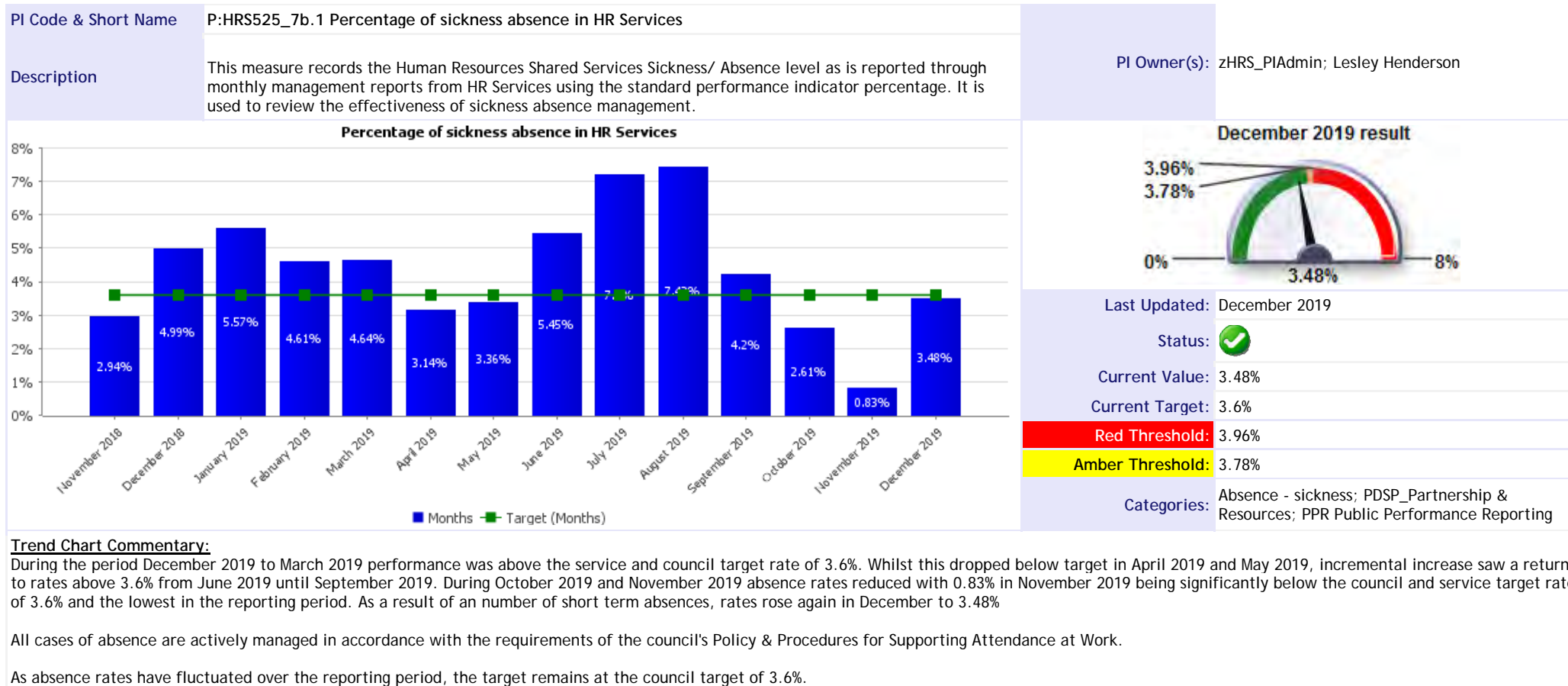
Three complaints have been received in 2019/20, two received in quarter two and one received in quarter three.

The Financial Management Unit will continue to aim to minimise all complaints were possible and where they do arise that these are dealt with timeously.

The target for 2019/20 is to receive no more than 3 complaints per quarter which is consistent with the 2018/19 target.

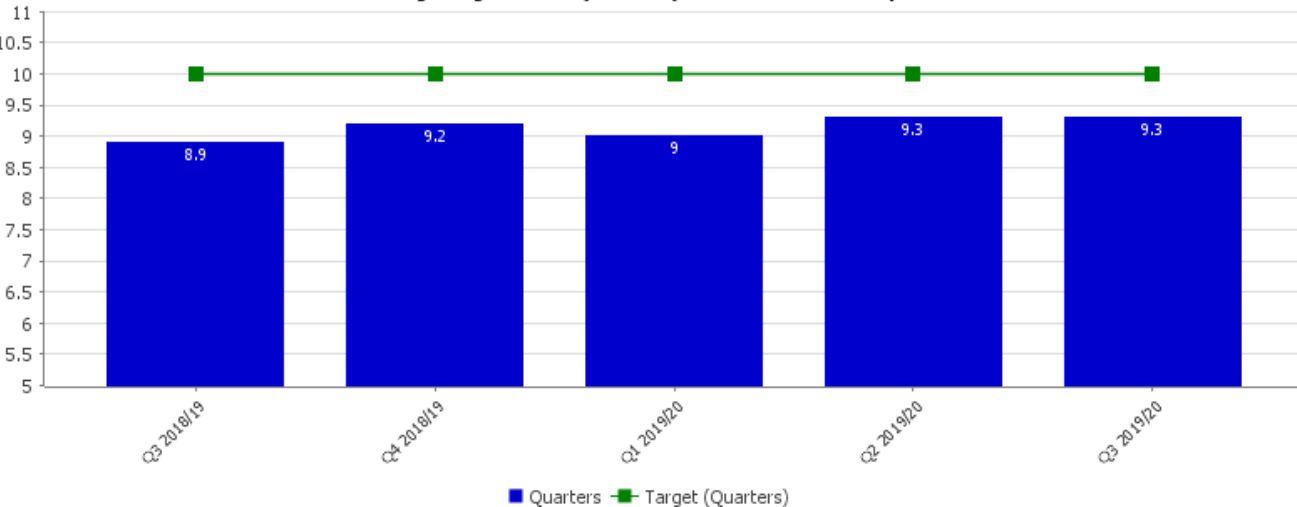



PI Code & Short Name	P:HRS104_9b.2 Number of reportable incidents to the Health and Safety Executive per quarter		PI Owner(s): zHRS_PIAAdmin; Kim Hardie																																		
Description	This performance indicator measures the total number of reportable incidents to the Health and Safety Executive on a quarterly basis. 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.																																				
<div><p>Number of reportable incidents to the Health and Safety Executive per quarter</p><table><caption>Data for Number of reportable incidents to the Health and Safety Executive per quarter</caption><thead><tr><th>Quarter</th><th>Number of Incidents</th><th>Target</th></tr></thead><tbody><tr><td>Q3 2018/19</td><td>14</td><td>9</td></tr><tr><td>Q4 2018/19</td><td>6</td><td>9</td></tr><tr><td>Q1 2019/20</td><td>11</td><td>9</td></tr><tr><td>Q2 2019/20</td><td>8</td><td>9</td></tr><tr><td>Q3 2019/20</td><td>3</td><td>9</td></tr></tbody></table></div>			Quarter	Number of Incidents	Target	Q3 2018/19	14	9	Q4 2018/19	6	9	Q1 2019/20	11	9	Q2 2019/20	8	9	Q3 2019/20	3	9	<div><p>Q3 2019/20 result</p><table><thead><tr><th>Category</th><th>Value</th></tr></thead><tbody><tr><td>Red Threshold</td><td>10.08</td></tr><tr><td>Amber Threshold</td><td>9.54</td></tr><tr><td>Current Target</td><td>9</td></tr><tr><td>Current Value</td><td>3</td></tr><tr><td>Status</td><td>✓</td></tr><tr><td>Last Updated</td><td>Q3 2019/20</td></tr><tr><td>Categories</td><td>PDSP_Partnership &amp; Resources; PPR Public Performance Reporting</td></tr></tbody></table></div>	Category	Value	Red Threshold	10.08	Amber Threshold	9.54	Current Target	9	Current Value	3	Status	✓	Last Updated	Q3 2019/20	Categories	PDSP_Partnership & Resources; PPR Public Performance Reporting
Quarter	Number of Incidents	Target																																			
Q3 2018/19	14	9																																			
Q4 2018/19	6	9																																			
Q1 2019/20	11	9																																			
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Q3 2019/20	3	9																																			
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Last Updated	Q3 2019/20																																				
Categories	PDSP_Partnership & Resources; PPR Public Performance Reporting																																				
<p><b>Trend Chart Commentary:</b> 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. This records the total number of reportable incidents to the Health and Safety Executive.</p> <p>Although the indicator is reported in quarters there is nothing that would warrant comparing one to quarter against another and the annual target better reflects the aimed reduction in RIDDOR reportable incidents.</p> <p>Each incident recorded in the online safety management system should be investigated. Where specific criteria are met as outlined in the Incident Investigation Guidance the investigation is completed by a Health and Safety adviser. The investigation aims to identify the immediate, underlying and root causes of an incident and to ensure that corrective and preventative measures are implemented to prevent a recurrence of a similar type of incident as far as reasonably practicable.</p> <p>All RIDDOR reportable incidents are escalated to each responsible Head of Service and to the Corporate Management team on a monthly basis for consideration.</p> <p>Overall Incident statistics are monitored examined to establish potential trends and identify required actions to be incorporated into service annual health and safety action plans and corporate health and safety work plan for 2019/20.</p> <p>The aim is to decrease the number of reportable incidents by a further five percent annually.</p>																																					

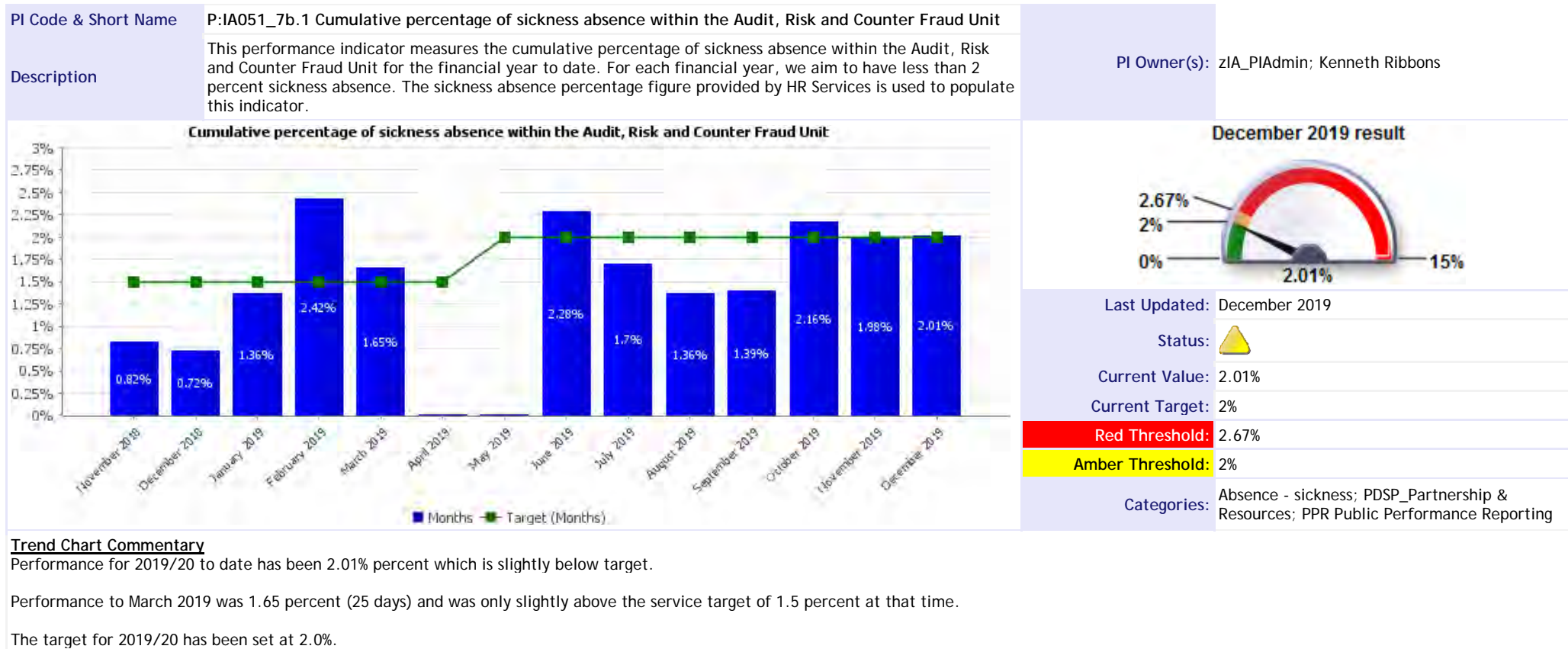





PI Code & Short Name	P:HRS554_6b.4 Percentage of complaints by HR Services which were upheld/part upheld per quarter	PI Owner(s): zHRS_PIAAdmin; Lesley Henderson																										
Description	This performance indicator measures the overall percentage of closed complaints received by HR Services that have been upheld or part upheld during each quarter. In each period, the total number of upheld and partially upheld complaints is divided by the total number of complaints closed to determine the overall percentage. The data for this performance indicator is extracted from the Customer Relationship Management (CRM) system, which is used to manage and monitor complaint handling procedures in the council. All complaints received are analysed to identify improvements to the quality of the service and the way it is delivered to customers.																											
<p>Percentage of complaints by HR Services which were upheld/part upheld per quarter</p> <table><caption>Percentage of complaints by HR Services which were upheld/part upheld per quarter</caption><thead><tr><th>Quarter</th><th>Percentage Upheld</th></tr></thead><tbody><tr><td>Q3 2018/19</td><td>100%</td></tr><tr><td>Q4 2018/19</td><td>100%</td></tr><tr><td>Q1 2019/20</td><td>100%</td></tr><tr><td>Q3 2019/20</td><td>100%</td></tr></tbody></table>		Quarter	Percentage Upheld	Q3 2018/19	100%	Q4 2018/19	100%	Q1 2019/20	100%	Q3 2019/20	100%	<p>Q3 2019/20 result</p> <table><tr><th>Category</th><th>Value</th></tr><tr><td>Last Updated:</td><td>Q3 2019/20</td></tr><tr><td>Status:</td><td><span style="color: red;">●</span></td></tr><tr><td>Current Value:</td><td>100%</td></tr><tr><td>Current Target:</td><td>25%</td></tr><tr><td>Red Threshold:</td><td>27.5%</td></tr><tr><td>Amber Threshold:</td><td>26.25%</td></tr><tr><td>Categories:</td><td>PDSP_Partnership &amp; Resources; PPR Public Performance Reporting</td></tr></table>	Category	Value	Last Updated:	Q3 2019/20	Status:	<span style="color: red;">●</span>	Current Value:	100%	Current Target:	25%	Red Threshold:	27.5%	Amber Threshold:	26.25%	Categories:	PDSP_Partnership & Resources; PPR Public Performance Reporting
Quarter	Percentage Upheld																											
Q3 2018/19	100%																											
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Q1 2019/20	100%																											
Q3 2019/20	100%																											
Category	Value																											
Last Updated:	Q3 2019/20																											
Status:	<span style="color: red;">●</span>																											
Current Value:	100%																											
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Red Threshold:	27.5%																											
Amber Threshold:	26.25%																											
Categories:	PDSP_Partnership & Resources; PPR Public Performance Reporting																											
<p><b>Trend Chart Commentary:</b> As a result of the low complaint numbers, an upheld complaint has a significant impact on the percentage of upheld complaints.</p> <p><b>2019/20</b> Quarter 3 - the service received 2 complaints which were both upheld. Quarter 2 - the service did not receive any complaints. Quarter 1 - the service received 1 complaint which was upheld.</p> <p><b>2018/19</b> Quarter 4 - the service received 1 complaint which was upheld. Quarter 3 - the service received 1 complaint which was upheld.</p> <p>Complaints received normally relate to the misapplication of a council policy, failure in administrative process or delays in processing timescales. All complaints trigger reviews of process to reduce the likelihood of similar service failure in the future.</p> <p><b>Target:</b> the service has always received low numbers of complaints which results in large fluctuations in the performance of this indicator, making target setting more challenging. Annually the service targets a total of 4 complaints or less and expects that around one quarter of those complaints will be upheld or partly upheld, therefore a target of 25 percent is applied throughout the year.</p>																												

PI Code & Short Name	P:IA015_9b.1a Average length of time (in weeks) to issue draft audit reports	PI Owner(s): zIA_PIAAdmin; Kenneth Ribbons																										
Description	This performance indicator is part of the performance scorecard for the council's Internal Audit and Counter Fraud Strategy 2018/23 and will contribute to outcome 1 "the deployment of an internal audit service which provides assurance on the council's risk management, control and governance processes, and adds value to the council's operations". This 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 10 weeks of this date. This indicator is reported on quarterly and a 12 month average is calculated to the end of each quarter. The objective of our 10 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.																											
<div><p>Average length of time (in weeks) to issue draft audit reports</p><table border="1"><caption>Quarterly Data for Average length of time (in weeks) to issue draft audit reports</caption><thead><tr><th>Quarter</th><th>Value (Weeks)</th></tr></thead><tbody><tr><td>Q3 2018/19</td><td>8.9</td></tr><tr><td>Q4 2018/19</td><td>9.2</td></tr><tr><td>Q1 2019/20</td><td>9</td></tr><tr><td>Q2 2019/20</td><td>9.3</td></tr><tr><td>Q3 2019/20</td><td>9.3</td></tr></tbody></table></div>		Quarter	Value (Weeks)	Q3 2018/19	8.9	Q4 2018/19	9.2	Q1 2019/20	9	Q2 2019/20	9.3	Q3 2019/20	9.3	<div><p>Q3 2019/20 result</p><table><tr><td>Last Updated:</td><td>Q3 2019/20</td></tr><tr><td>Status:</td><td>✓</td></tr><tr><td>Current Value:</td><td>9.3</td></tr><tr><td>Current Target:</td><td>10</td></tr><tr><td>Red Threshold:</td><td>11</td></tr><tr><td>Amber Threshold:</td><td>10.5</td></tr><tr><td>Categories:</td><td>PDSP_Partnership &amp; Resources; PPR Public Performance Reporting</td></tr></table></div>	Last Updated:	Q3 2019/20	Status:	✓	Current Value:	9.3	Current Target:	10	Red Threshold:	11	Amber Threshold:	10.5	Categories:	PDSP_Partnership & Resources; PPR Public Performance Reporting
Quarter	Value (Weeks)																											
Q3 2018/19	8.9																											
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Red Threshold:	11																											
Amber Threshold:	10.5																											
Categories:	PDSP_Partnership & Resources; PPR Public Performance Reporting																											
<p><b>Trend Chart Commentary:</b> The target for this performance indicator is to achieve 10 weeks and is in line with the council's Internal Audit and Counter Fraud Strategy.</p> <p>Performance to quarter three 2019/20 was 9.3 weeks. Performance to quarter four 2018/19 was 9.2 weeks, and was therefore just below the target of 10 weeks.</p> <p>The 10 week target and the appropriateness of the timescales achieved is substantiated by reference to Indicator IA001: Percentage of customers who rated internal audit's timeliness as good or excellent, for which high performance is also reported and shows that customers are satisfied with the timescales being achieved.</p> <p>The average length of time to issue draft audit reports can fluctuate as a result of factors such as the complexity of individual audits, the time taken for the customer to provide audit information and respond to queries, and the level of reactive work which may be given priority over routine audits.</p> <p>The number of draft audit reports issued for each rolling 12 month period reported was: 2018/19 - Q2(30), Quarter 3(29), Quarter 4(28), 2019/20 - Q1(30), Q2(26).</p> <p>Having considered the audits included in the 2019/20 audit plan the 10 week target continues to be appropriate and will remain in place for 2019/20.</p>																												

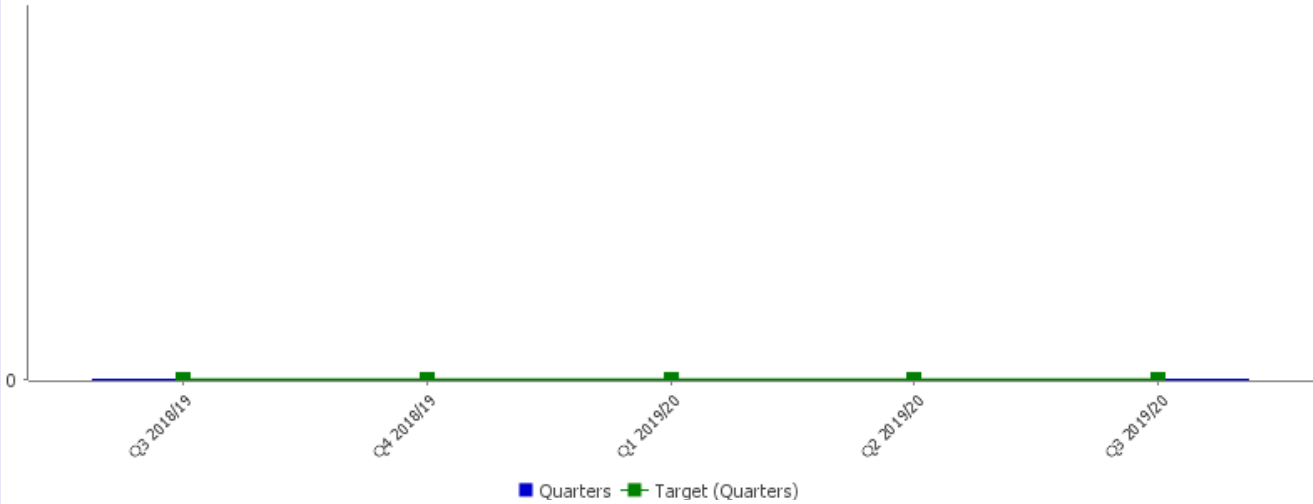







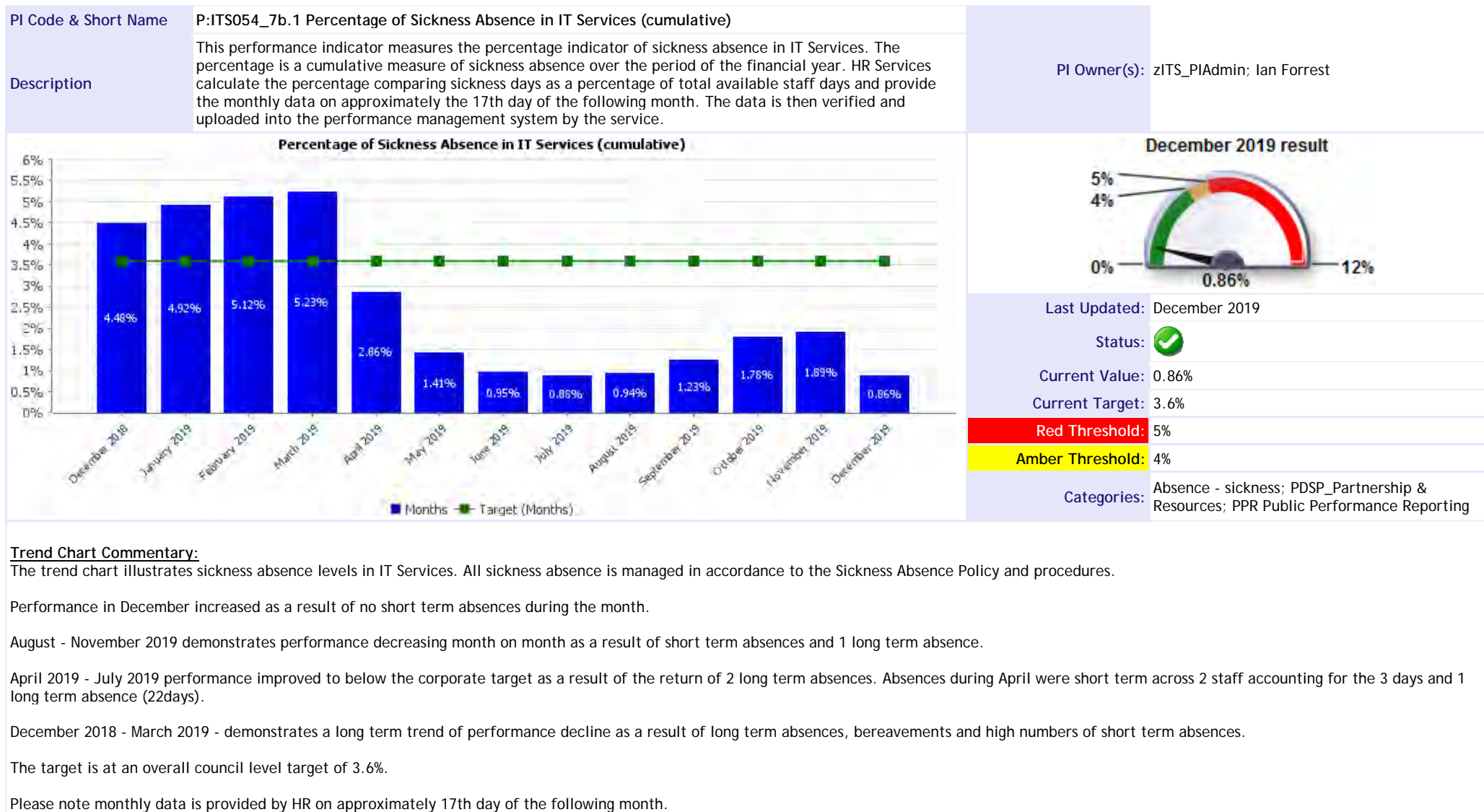
PI Code & Short Name	P:IA066_6b.3 Total number of complaints received by Audit, Risk and Counter Fraud	
Description	<p>This performance indicator measures the combined level of stage 1 and stage 2 complaints received by the service.</p> <p>The data for this performance indicator is extracted from the Customer Relationship Management (CRM) system, which is used to manage and monitor complaint handling procedures in the council. All complaints received are analysed to identify improvements to the quality of the service and the way it is delivered to customers.</p>	PI Owner(s): zIA_PAdmin; Kenneth Ribbons
<p><b>Total number of complaints received by Audit, Risk and Counter Fraud</b></p> <p>0</p> <p>Q3 2018/19 Q4 2018/19 Q1 2019/20 Q2 2019/20 Q3 2019/20</p> <p>■ Quarters ■ Target (Quarters)</p>		<p><b>Q3 2019/20 result</b></p> <p>Last Updated: Q3 2019/20</p> <p>Status: </p> <p>Current Value: 0</p> <p>Current Target: 0</p> <p>Red Threshold: 8</p> <p>Amber Threshold: 4</p> <p>Categories: PDSP_Partnership &amp; Resources; PPR Public Performance Reporting</p>
<p><b>Trend Chart Commentary:</b></p> <p>The service has had no complaints to date in 2019/20 and did not receive any complaints in 2018/19 or 2017/18.</p> <p>Target per quarter is set at 0 complaints.</p>		

PI Code & Short Name	P:IA067_6b.4 The percentage of complaints received by Audit, Risk and Counter Fraud that were upheld or partially upheld against the total complaints closed in full.	PI Owner(s): zIA_PIAAdmin; Kenneth Ribbons
Description	<p>This Performance Indicator measures service failure of the combined level of stage 1 and stage 2 complaints shown as a percentage of complaints upheld or partially upheld against the total number of complaints received.</p> <p>The data for this performance indicator is extracted from the Customer Relationship Management (CRM) system, which is used to manage and monitor complaint handling procedures in the council. All complaints received are analysed to identify improvements to the quality of the service and the way it is delivered to customers.</p>	
<p><b>The percentage of complaints received by Audit, Risk and Counter Fraud that were upheld or partially upheld against the total complaints closed in full.</b></p> <div></div>		
		<p><b>Q3 2019/20 result</b></p> <p>N/A</p>
		<p>Last Updated: Q3 2019/20</p>
		<p>Status: </p>
		<p>Current Value: N/A</p>
		<p>Current Target:</p>
		<p>Red Threshold:</p>
		<p>Amber Threshold:</p>
		<p>Categories: PDSP_Partnership &amp; Resources; PPR Public Performance Reporting</p>
<p>■ Quarters ■ Target (Quarters)</p>		
<p><b>Trend Chart Commentary:</b> The number of complaints received by Audit, Risk and Counter Fraud has been historically low. No complaints have been received in 2019/20 to date and no complaints were received in 2017/18 or 2018/19.</p> <p>A service wide complaint improvement action report is prepared on a quarterly basis and is reported to both the Head of Finance and Property Services and the Complaints Steering Board.</p> <p>The target for 2019/20 will remain as 0.</p>		



PI Code & Short Name	P:ITS010_6b.3 Total number of complaints received by IT Services per quarter	
Description	This performance indicator measures the total number of complaints received during each quarter relating to IT Services. Performance is reviewed on a regular basis and reported annually to ensure that there is sufficient focus on the quality and standard of customer service. The data for this performance indicator is extracted from the Customer Relationship Management (CRM) system, which is used to manage and monitor complaint handling procedures in the council. All complaints received are analysed to identify improvements to the quality of the service and the way it is delivered to customers.	PI Owner(s): zITS_PAdmin; Ian Forrest
<p><b>Total number of complaints received by IT Services per quarter</b></p> 		<p><b>Q3 2019/20 result</b></p> 
		Last Updated: Q3 2019/20
		Status: 
		Current Value: 0
		Current Target: 0
		Red Threshold: 2
		Amber Threshold: 1
		Categories: PDSP_Partnership & Resources; PPR Public Performance Reporting
<p><b>Trend Chart Commentary:</b> Performance from Q3 2018/19 to Q3 2019/20 demonstrates that the service has received no official complaints.</p> <p>The target for 2019/20 will remain at zero to ensure that focus on customer service remains a priority in the provision of IT across the council.</p>		

PI Code & Short Name	P:ITS011_6b.4 Percentage of complaints received that were upheld/partially upheld	PI Owner(s): zITS_PIAAdmin; Ian Forrest
Description	This performance indicator measures the overall percentage of closed complaints received by the IT Services that have been upheld or part upheld during each quarter. In each period, the total number of upheld and partially upheld complaints is divided by the total number of complaints closed to determine the overall percentage. The data for this performance indicator is extracted from the Customer Relationship Management (CRM) system, which is used to manage and monitor complaint handling procedures in the council. All complaints received are analysed to identify improvements to the quality of the service and the way it is delivered to customers.	
<p><b>Percentage of complaints received that were upheld/partially upheld</b></p>  <p>■ Quarters ■ Target (Quarters)</p>		<b>Q3 2019/20 result</b> N/A
		Last Updated: Q3 2019/20
		Status: ?
		Current Value: N/A
		Current Target: 0%
		Red Threshold: 2%
		Amber Threshold: 1%
		Categories: PDSP_Partnership & Resources; PPR Public Performance Reporting
<p><b>Trend Chart Commentary:</b>  Performance from Q3 2018/19 to Q3 2019/20 demonstrates that the service has received no official complaints.  During periods where no complaints were received the chart will show as a blank.  The target for 2019/20 will remain at zero percent to ensure that focus on customer service remains a priority in the provision of IT across the council.</p>		



#### Trend Chart Commentary:

The trend chart illustrates sickness absence levels in IT Services. All sickness absence is managed in accordance to the Sickness Absence Policy and procedures.

Performance in December increased as a result of no short term absences during the month.

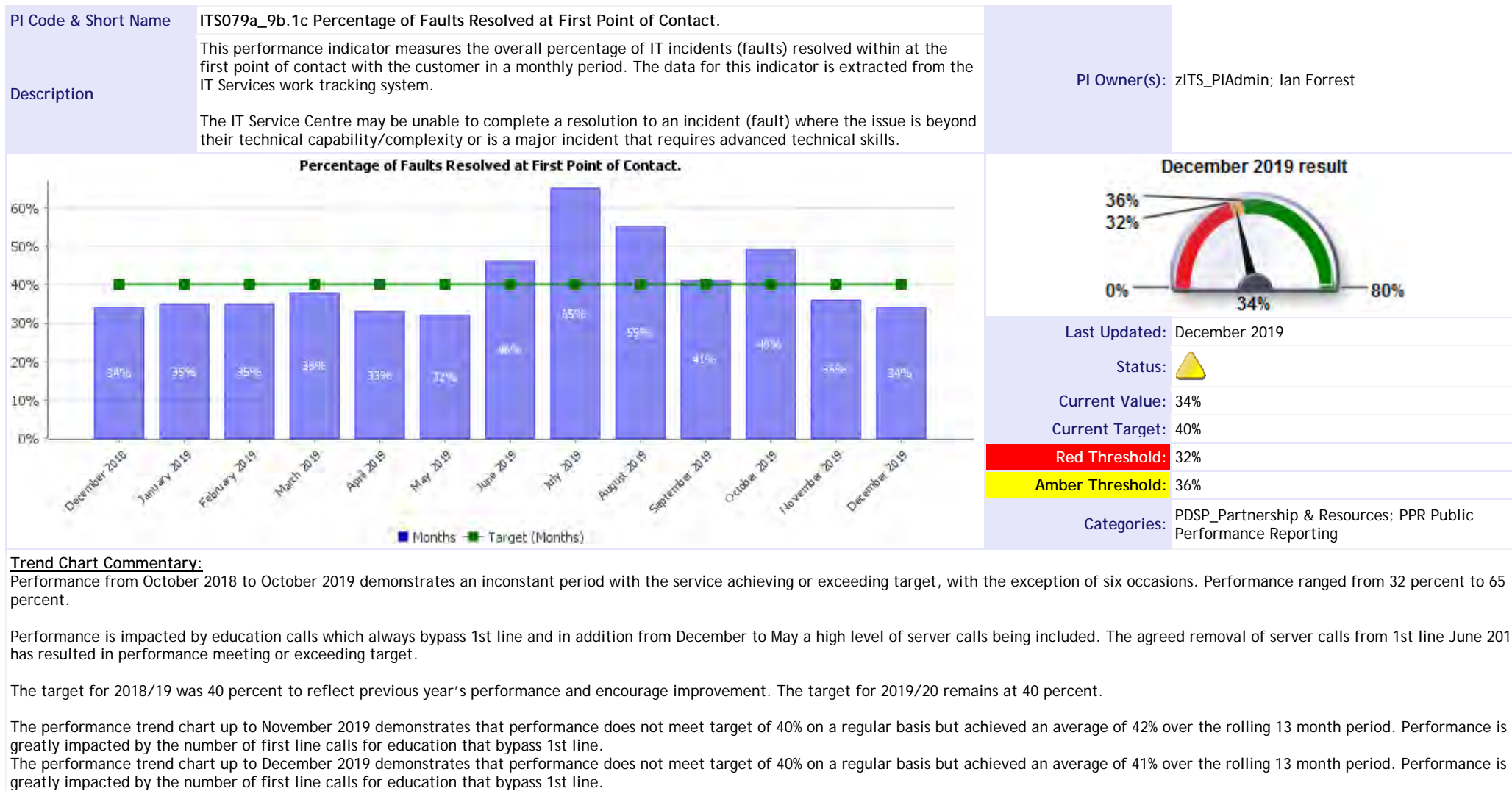
August - November 2019 demonstrates performance decreasing month on month as a result of short term absences and 1 long term absence.

April 2019 - July 2019 performance improved to below the corporate target as a result of the return of 2 long term absences. Absences during April were short term across 2 staff accounting for the 3 days and 1 long term absence (22days).

December 2018 - March 2019 - demonstrates a long term trend of performance decline as a result of long term absences, bereavements and high numbers of short term absences.


The target is at an overall council level target of 3.6%.

Please note monthly data is provided by HR on approximately 17th day of the following month.




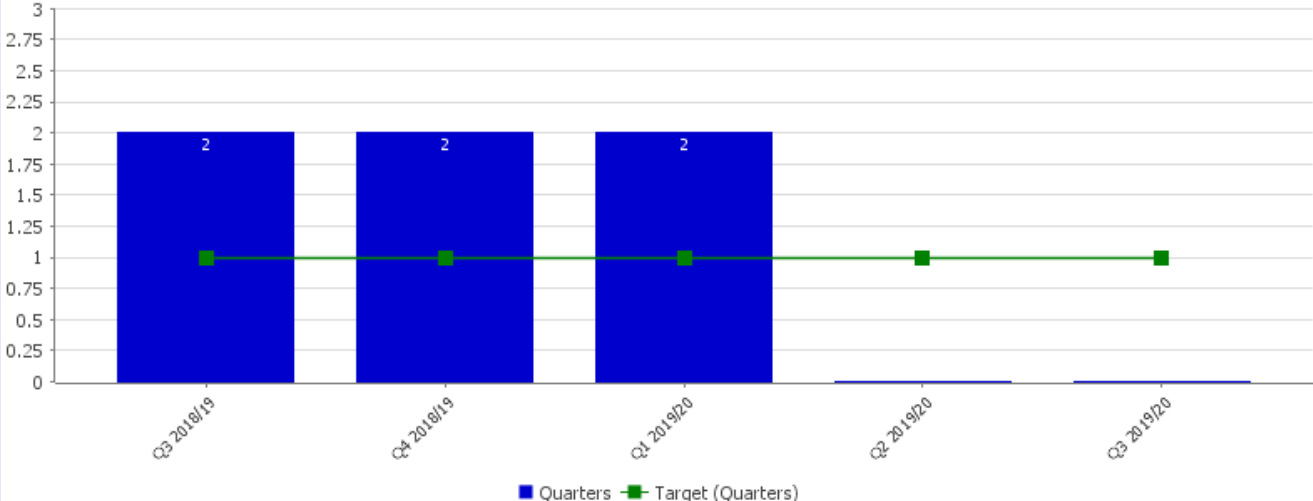




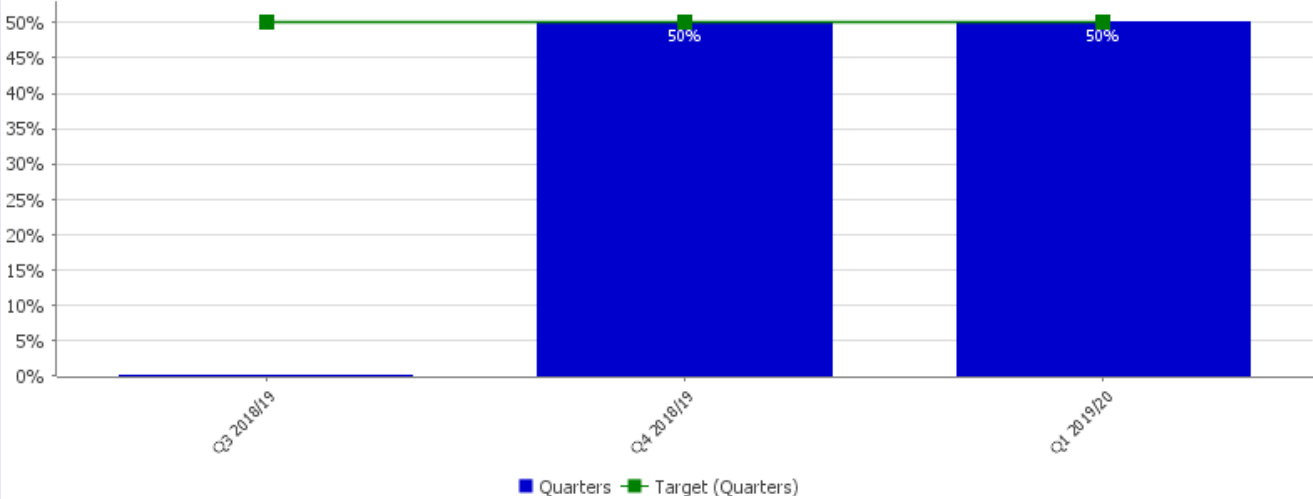

PI Code & Short Name	P:LS007_7b.1 Percentage Sickness Absence Levels in Legal Services																																		
Description	This measure records Legal Services Sickness Absence levels as reported through monthly management reports from HR Pay and Reward. This indicator measures the actual absences during each month. It is used to review the effectiveness of sickness absence management. The sickness absence data for each month is not available until the 18th of the following month.																																		
	PI Owner(s): zLS_PIAAdmin; Carol Johnston																																		
	<p><b>Percentage Sickness Absence Levels in Legal Services</b></p> <table border="1"> <thead> <tr> <th>Month</th> <th>Actual (%)</th> <th>Target (%)</th> </tr> </thead> <tbody> <tr><td>November 2018</td><td>1.15%</td><td>3.6%</td></tr> <tr><td>December 2018</td><td>1.86%</td><td>3.6%</td></tr> <tr><td>January 2019</td><td>1.3%</td><td>3.6%</td></tr> <tr><td>February 2019</td><td>5.96%</td><td>3.6%</td></tr> <tr><td>March 2019</td><td>1.16%</td><td>3.6%</td></tr> <tr><td>April 2019</td><td>0.4%</td><td>3.6%</td></tr> <tr><td>May 2019</td><td>0.58%</td><td>3.6%</td></tr> <tr><td>June 2019</td><td>0.14%</td><td>3.6%</td></tr> <tr><td>September 2019</td><td>0.39%</td><td>3.6%</td></tr> <tr><td>December 2019</td><td>4.47%</td><td>3.6%</td></tr> </tbody> </table>		Month	Actual (%)	Target (%)	November 2018	1.15%	3.6%	December 2018	1.86%	3.6%	January 2019	1.3%	3.6%	February 2019	5.96%	3.6%	March 2019	1.16%	3.6%	April 2019	0.4%	3.6%	May 2019	0.58%	3.6%	June 2019	0.14%	3.6%	September 2019	0.39%	3.6%	December 2019	4.47%	3.6%
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	Last Updated:	December 2019																																	
	Status:																																		
	Current Value:	4.47%																																	
	Current Target:	3.6%																																	
	Red Threshold:	5%																																	
	Amber Threshold:	4%																																	
	Categories:	Absence - sickness; PDSP_Partnership & Resources; PPR Public Performance Reporting																																	
<p><b>Trend Chart Commentary</b></p> <p>During February and December 2019 the target was not met. During each month, there were a limited number of medium term unplanned absences. During the remainder of the reported periods, there have been fluctuations in sickness absence levels due to short term absences but levels have been below the corporate target. During months where there was no sickness absence, such as July, August, October and November 2019, the chart is blank.</p> <p>As Legal Services are a relatively small team, a few absences can have a significant impact on the sickness absence return. Incidents of short term sickness absence experienced are due to minor ailments. There are no general patterns of sickness absence within Legal Services which would give rise to particular concerns and all absences are managed through the Councils sickness absence policy.</p> <p>The target for 2019/20 will remain at 3.6% in line with the Corporate target.</p>																																			

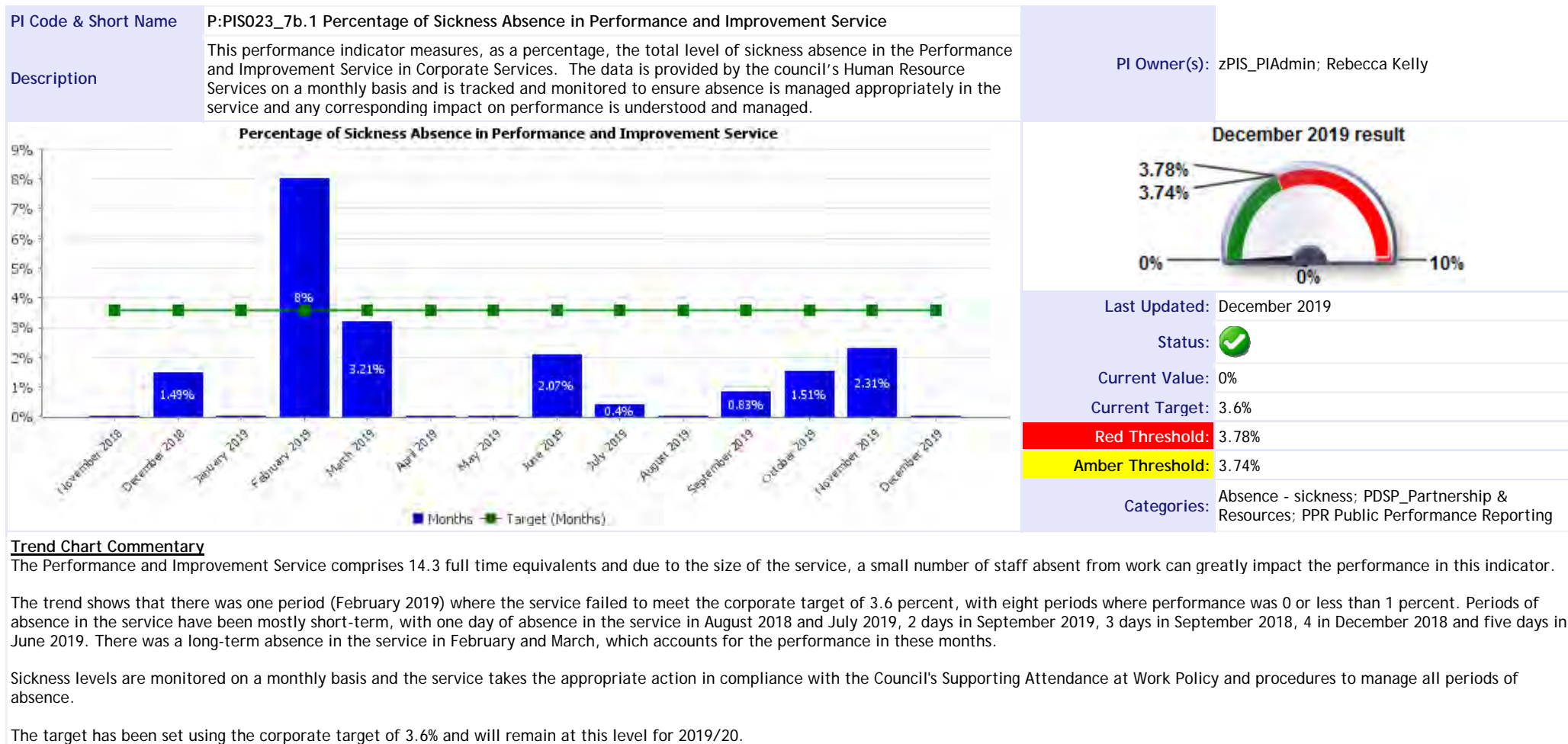
PI Code & Short Name	P:LS027_6b.4 Percentage of all complaints closed quarterly by Legal Services that were upheld / partially upheld	PI Owner(s): zLS_PIAAdmin; Carol Johnston
Description	<p>This performance indicator measures the overall percentage of closed complaints received by Legal Services that have been upheld or part upheld during each quarterly period. In each period, the total number of upheld and partially upheld complaints is divided by the total number of complaints closed to determine the overall percentage. The data for this performance indicator is extracted from the Customer Relationship Management (CRM) system, which is used to manage and monitor complaint handling procedures in the council. All complaints received are analysed to identify improvements to the quality of the service and the way it is delivered to customers.</p> <p>Legal Services provides legal services to West Lothian Council including conveyancing, litigation, tribunals and inquiries, planning, transportation, social services, education, clerking to the Licensing Board, Committees, Sub-Committees, Committee Services and Civic Government &amp; Miscellaneous Licensing.</p>	
<p>Percentage of all complaints closed quarterly by Legal Services that were upheld / partially upheld</p> <div><div></div></div> <p>■ Quarters ■ Target (Quarters)</p>		
<p><b>Trend Chart Commentary:</b> The trend shows that Legal Services have had no upheld complaints during the reporting period to Q3 2019/20. Complaints regarding the service can be made in accordance with the Councils complaints procedure, in addition to contacting the Service Manager or Head of Service directly. Where complaints are received, the service takes full advantage of the opportunity to reflect on its performance and identify areas for improvement to avoid similar complaints recurring. During periods where no complaints were received the chart will show as a blank. Following review of historical performance, the target for 2019/20 is 0%</p>		<p><b>Q3 2019/20 result</b></p> <p>N/A</p> <p>Last Updated: Q3 2019/20</p> <p>Status: </p> <p>Current Value: N/A</p> <p>Current Target: 0%</p> <p>Red Threshold: 75%</p> <p>Amber Threshold: 50%</p> <p>Categories: PDSP_Partnership &amp; Resources; PPR Public Performance Reporting</p>



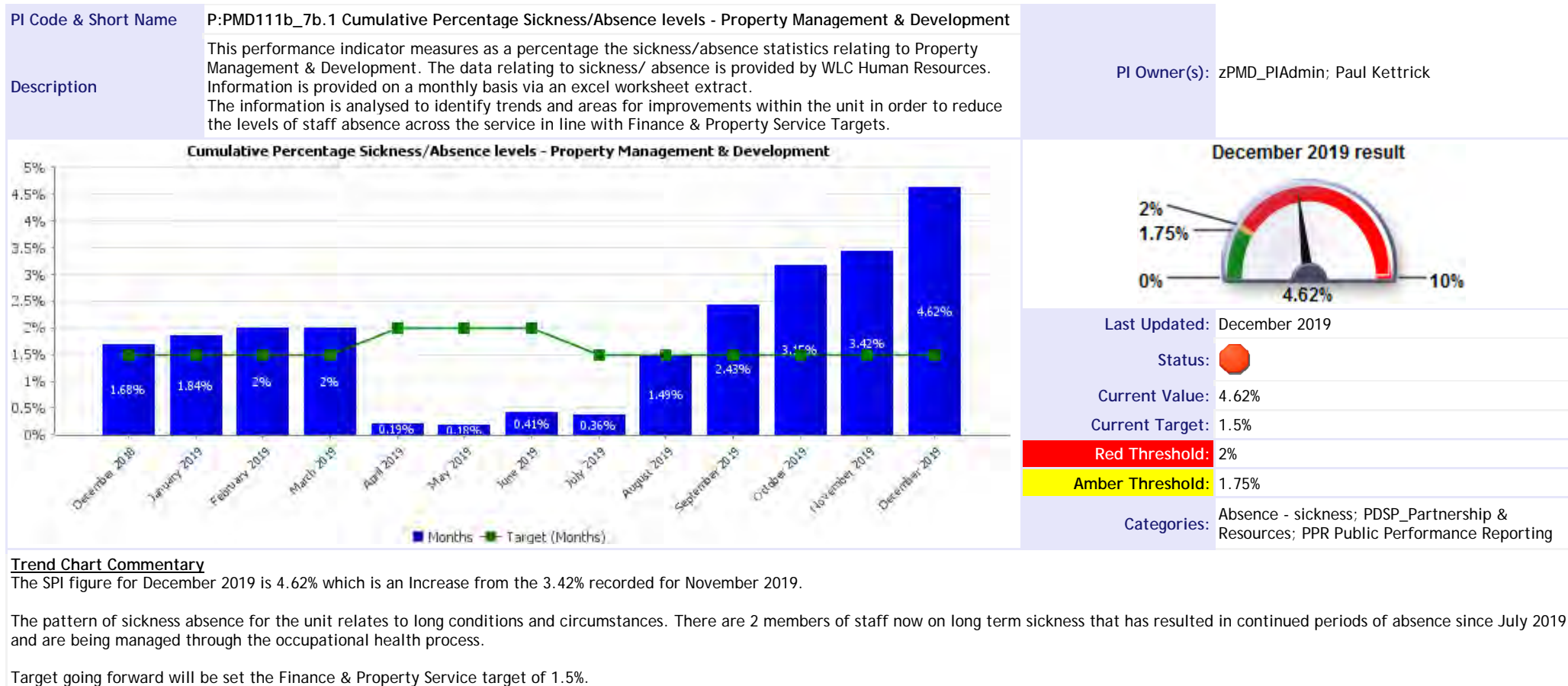
PI Code & Short Name	P:LS087_6b.3 Total number of complaints received by Legal Services		PI Owner(s): zLS_PIAAdmin; Carol Johnston
Description	<p>This indicator measures the total number of complaints received by Legal Services. It is the total number of complaints received by Legal Services at stage one (complaints that the council aims to deal with within 5 working days) and those received directly at stage two (more complex complaints that the council aims to deal with within 20 working days). Information regarding complaints at Stage 1 and Stage 2 is scrutinised within the service and utilised to assist in identifying improvements to service delivery and support corrective action in respect of any particular trends which may emerge. Information is collated from the councils CRM system</p> <p>Note: This is to ensure complaints escalated from stage 1 and stage 2 are not double counted.</p>		
<div><div>Total number of complaints received by Legal Services</div><div></div></div>			
		December 2019 result	
		N/A	
		Last Updated:	December 2019
		Status:	
		Current Value:	N/A
		Current Target:	2
		Red Threshold:	5
		Amber Threshold:	3
		Categories:	PDSP_Partnership & Resources; PPR Public Performance Reporting
<div><div>■ Months</div><div>■ Target (Months)</div></div>			
<p><b>Trend Chart Commentary:</b></p> <p>No complaints have been received during the reporting period to December 2019</p> <p>Complaints regarding the service can be made in accordance with the Councils complaints procedure, in addition to contacting the Service Manager or Head of Service directly. Where complaints are received, the service takes full advantage of the opportunity to reflect on its performance and identify areas for improvement to avoid similar complaints recurring.</p> <p>The target is reviewed quarterly at service performance meetings. The target for 2019/20 remains at 2 having regard to historical performance.</p>			

PI Code & Short Name	P:PI011_6b.3 Total number of complaints received by the Performance and Improvement Service per quarter	PI Owner(s): zPIS_PIAAdmin; Rebecca Kelly																		
Description	This performance indicator measures the total number of complaints received during each quarter relating to the Performance and Improvement Service. Performance is reviewed on a regular basis and reported quarterly to ensure that there is sufficient focus on the quality and standard of customer service. The data for this performance indicator is extracted from the Customer Relationship Management (CRM) system, which is used to manage and monitor complaint handling procedures in the council. All complaints received are analysed to identify improvements to the quality of the service and the way it is delivered to customers.																			
<p><b>Total number of complaints received by the Performance and Improvement Service per quarter</b></p>  <table border="1"> <caption>Data for Total number of complaints received by the Performance and Improvement Service per quarter</caption> <thead> <tr> <th>Quarter</th> <th>Quarters (Complaints)</th> <th>Target (Quarters)</th> </tr> </thead> <tbody> <tr> <td>Q3 2018/19</td> <td>2</td> <td>1</td> </tr> <tr> <td>Q4 2018/19</td> <td>2</td> <td>1</td> </tr> <tr> <td>Q1 2019/20</td> <td>2</td> <td>1</td> </tr> <tr> <td>Q2 2019/20</td> <td>0</td> <td>1</td> </tr> <tr> <td>Q3 2019/20</td> <td>0</td> <td>1</td> </tr> </tbody> </table>		Quarter	Quarters (Complaints)	Target (Quarters)	Q3 2018/19	2	1	Q4 2018/19	2	1	Q1 2019/20	2	1	Q2 2019/20	0	1	Q3 2019/20	0	1	<p><b>Q3 2019/20 result</b></p>  <p>Last Updated: Q3 2019/20</p> <p>Status: </p> <p>Current Value: 0</p> <p>Current Target: 1</p> <p>Red Threshold: 3</p> <p>Amber Threshold: 2</p> <p>Categories: PDSP_Partnership &amp; Resources; PPR Public Performance Reporting</p>
Quarter	Quarters (Complaints)	Target (Quarters)																		
Q3 2018/19	2	1																		
Q4 2018/19	2	1																		
Q1 2019/20	2	1																		
Q2 2019/20	0	1																		
Q3 2019/20	0	1																		
<p><b>Trend Chart Commentary</b></p> <p>No complaints were received in Q2 and Q3 2019/20. The Blue Badge activity was transferred to the Anti-Poverty Service in June which generated the majority of received complaints for the Performance and Improvement Service. It is expected that the number of complaints received by the Performance and Improvement Service will be below historic levels.</p> <p>The service received a total of two complaints in Quarter 1 2019/20 and both were related to the council's Blue Badge Scheme. One complaint was not upheld and one was upheld. The complaint that was upheld related to a delay in a Blue Badge being received by the customer. Following an investigation, the national Blue Badge print supplier had processing issues that cause delays which affected multiple Local Authorities. This has now been resolved by the supplier.</p> <p>The service received a total of two complaints in Quarter 4 2018/19 and both were related to the council's Blue Badge Scheme. One complaint was not upheld and one was upheld. The upheld complaint related to a delay in processing the customer's Blue Badge application. Following an investigation, the customer payment did not trigger an automated notification. This has been reviewed and a corrective action has been put in place.</p> <p>The service received a total of two complaints in Q3 2018/19 and both were related to the council's Blue Badge Scheme. The two complaints were raised by the same complainant. The first complaint was about the service's request for the customer to attend an Independent Mobility Assessment. The customer did not feel that he should have to attend the assessment. This complaint was investigated at stage two of the council's complaint procedure and was not upheld. The complainant raised a second complaint about a further complaint being investigated at stage two of the council's complaint procedure. This was investigated at stage one of the council's complaints procedure and was not upheld.</p> <p>The target for 2018/19 was set at two complaints per quarter. The service receives a low number of complaints in any one quarter generally relating to the Blue Badge process. It is expected that the number of complaints received will not exceed the current complaint levels seen in 2018/19 since the Blue Badge process has remained consistent over the past 12 months. The target will be set at one complaints per quarter during 2019/20.</p>																				

PI Code & Short Name	P:PIS013_6b.4 Percentage of all complaints closed by the Performance and Improvement Service that were upheld / partially upheld per quarter	PI Owner(s): zPIS_PIAAdmin; Rebecca Kelly
Description	This performance indicator measures the overall percentage of closed complaints received by the Performance and Improvement Service that have been upheld or part upheld during each quarter. In each period, the total number of upheld and partially upheld complaints is divided by the total number of complaints closed to determine the overall percentage. The data for this performance indicator is extracted from the Customer Relationship Management (CRM) system, which is used to manage and monitor complaint handling procedures in the council. All complaints received are analysed to identify improvements to the quality of the service and the way it is delivered to customers.	
<p><b>Percentage of all complaints closed by the Performance and Improvement Service that were upheld / partially upheld per quarter</b></p>  <p>■ Quarters ■ Target (Quarters)</p>		<p><b>Q3 2019/20 result</b></p> <p>N/A</p> <p>Last Updated: Q3 2019/20</p> <p>Status: </p> <p>Current Value: N/A</p> <p>Current Target: 50%</p> <p>Red Threshold: 60%</p> <p>Amber Threshold: 50%</p> <p>Categories: PDSP_Partnership &amp; Resources; PPR Public Performance Reporting</p>
<p><b>Trend Chart Commentary</b></p> <p>The service typically receives a low number of complaints each quarter as much of the activity delivered is an enabler/support function. Where complaints were received, they typically related to administration of the Blue Badge scheme. This was transferred, along with administration of the National Entitlement Scheme, to the council's Anti-Poverty Service in quarter 2 of 2019/20.</p> <p><b>2019/20</b></p> <p>The service received no complaints in Quarters 2 and 3 2019/20.</p> <p>The service received a total of two complaints in Quarter 1 2019/20. One complaint was not upheld and one was upheld. The complaint that was upheld related to a delay in a Blue Badge being received by the customer. Following investigation, the national Blue Badge print supplier had processing issues that cause delays which affected multiple Local Authorities. This has now been resolved by the supplier.</p> <p><b>2018/19</b></p> <p>The service received a total of two complaints in Quarter 4 2018/19. One complaint was not upheld and one was upheld. The upheld complaint related to a delay in processing the customer's Blue Badge application. Following an investigation, the customer payment did not trigger an automated notification. This has since been reviewed and a corrective action is now in place.</p> <p>The service received a total of two complaints in Quarter 3 2018/19. Both complaints were not upheld.</p> <p>The service received a total of one complaint in Quarter 2 2018/19. The complaint was not upheld.</p> <p><b>Target:</b> the service has received low numbers of complaints which results in large fluctuations in the performance of this indicator, making target setting more challenging. Annually the service targets a total of 4 complaints or less and expects that around one half of those complaints will be upheld or partly upheld, therefore a target of 50 percent is applied throughout the year. All targets for complaints will be reviewed in Quarter 4 of 2019/20 following the transfer of Blue Badges and NEC to the Anti-Poverty Service in Q2 2019/20.</p>		







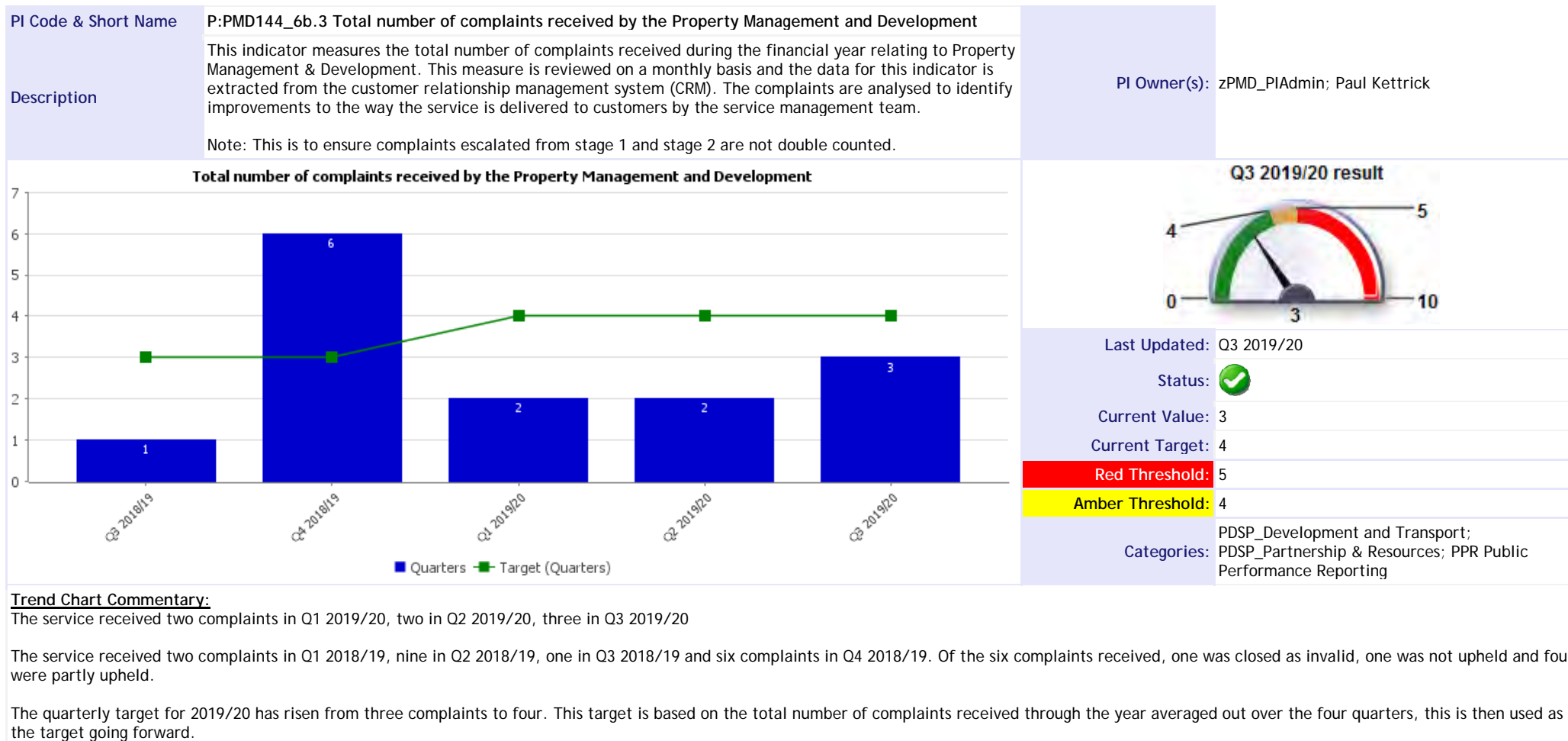
#### Trend Chart Commentary

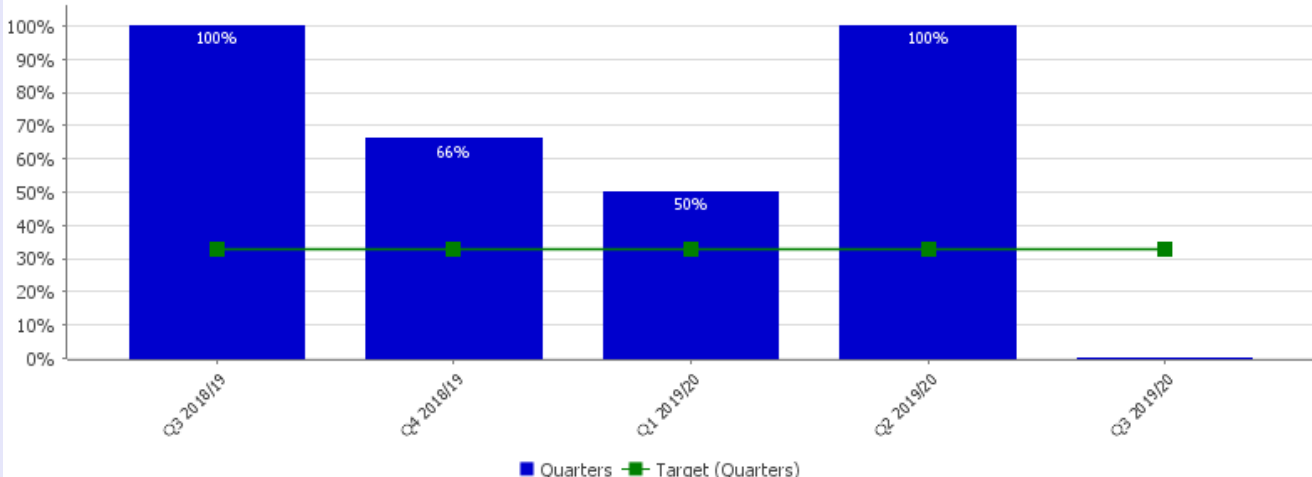

The SPI figure for December 2019 is 4.62% which is an Increase from the 3.42% recorded for November 2019.

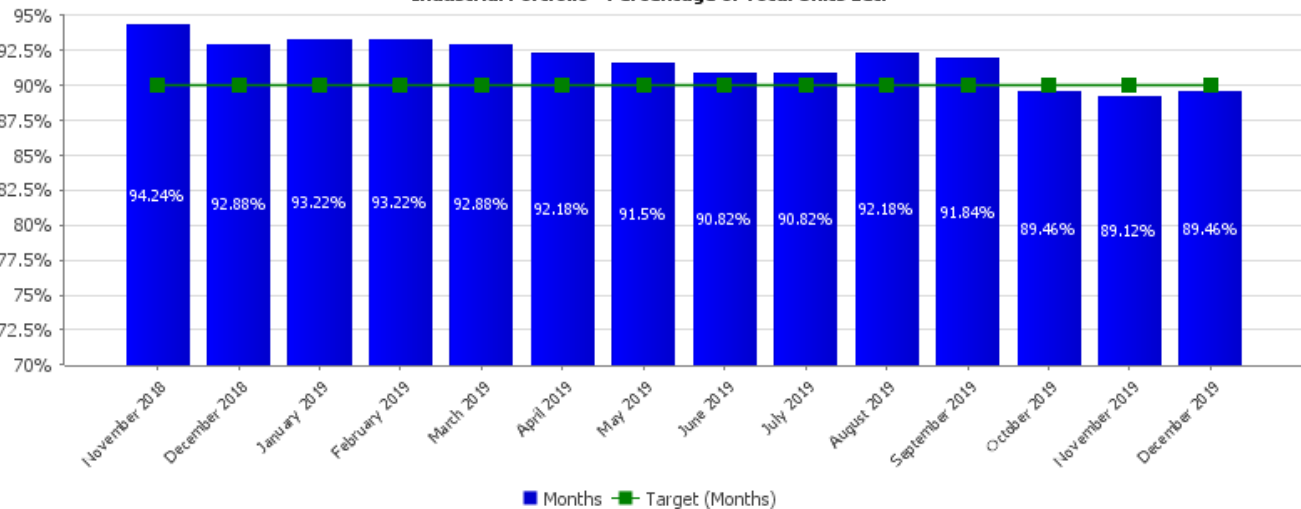
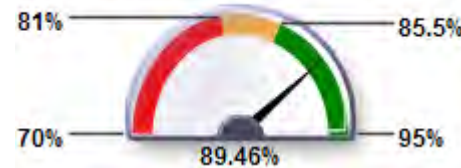
The pattern of sickness absence for the unit relates to long conditions and circumstances. There are 2 members of staff now on long term sickness that has resulted in continued periods of absence since July 2019 and are being managed through the occupational health process.

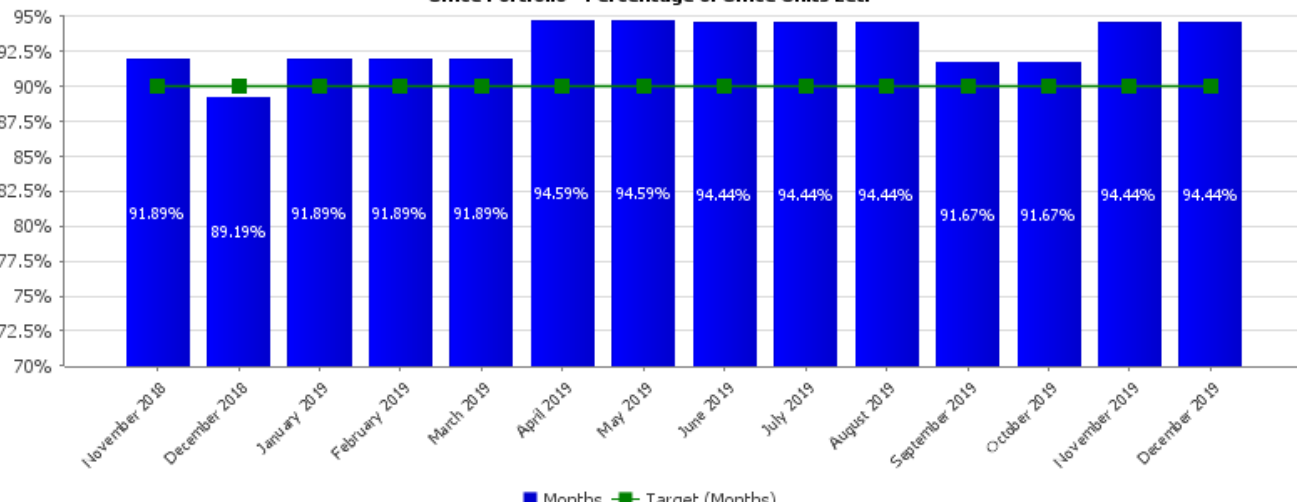
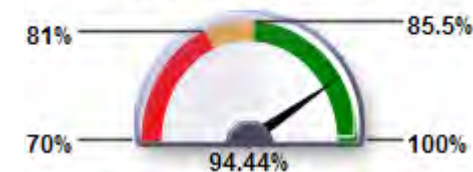

Target going forward will be set the Finance & Property Service target of 1.5%.



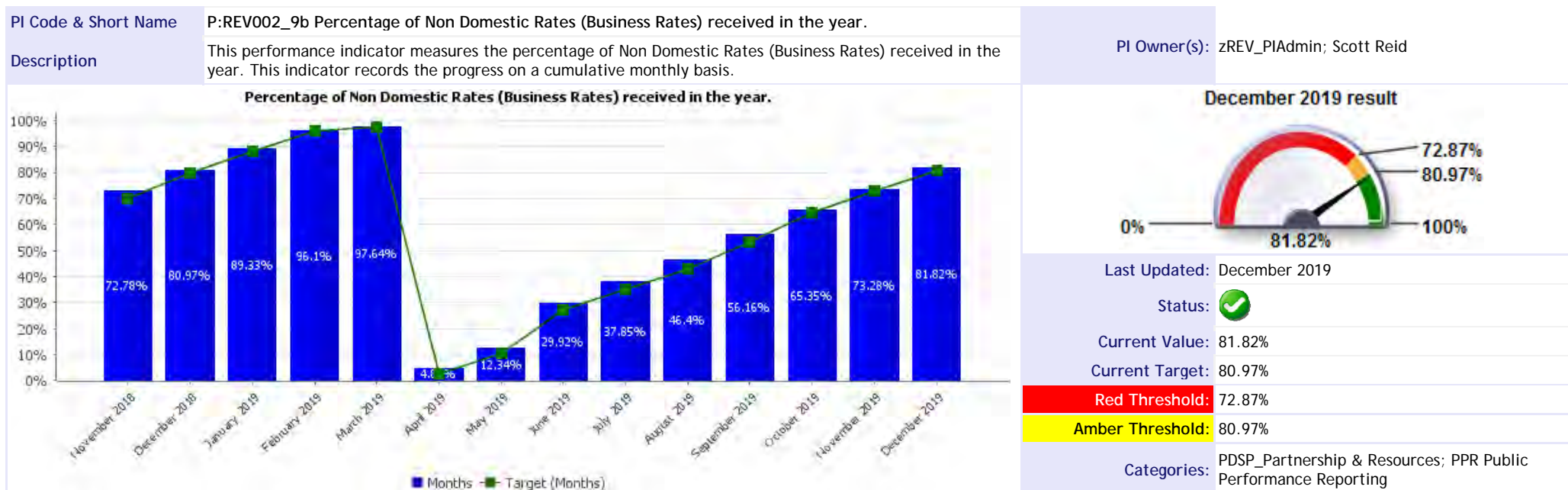


PI Code & Short Name	P:PMD145_6b.4 The percentage of complaints received by Property Management and Development that were upheld / partially upheld against the total complaints closed in full	PI Owner(s): zPMD_PIAAdmin; Paul Kettrick																																		
Description	<p>This performance indicator measures the overall percentage of Property Management and Development complaints that have been investigated and upheld or part upheld during each month. For each month the total number of complaints responded to within relevant time-scale is divided by total number of stage 1 complaints received to determine a percentage.</p> <p>The data for this indicator is extracted from the customer relationship management system (CRM)The Complaints are analysed to identify improvements to the way the service is delivered to customers by the service management team each month.</p>																																			
<p><b>The percentage of complaints received by Property Management and Development that were upheld / partially upheld against the total complaints closed in full</b></p>  <table><caption>Quarterly Complaints Upheld Data</caption><thead><tr><th>Quarter</th><th>Percentage Upheld / Partially Upheld</th><th>Target (Quarters)</th></tr></thead><tbody><tr><td>Q3 2018/19</td><td>100%</td><td>33%</td></tr><tr><td>Q4 2018/19</td><td>66%</td><td>33%</td></tr><tr><td>Q1 2019/20</td><td>50%</td><td>33%</td></tr><tr><td>Q2 2019/20</td><td>100%</td><td>33%</td></tr><tr><td>Q3 2019/20</td><td>0%</td><td>33%</td></tr></tbody></table>		Quarter	Percentage Upheld / Partially Upheld	Target (Quarters)	Q3 2018/19	100%	33%	Q4 2018/19	66%	33%	Q1 2019/20	50%	33%	Q2 2019/20	100%	33%	Q3 2019/20	0%	33%	<p><b>Q3 2019/20 result</b></p>  <table><thead><tr><th>Metric</th><th>Value</th></tr></thead><tbody><tr><td>Last Updated:</td><td>Q3 2019/20</td></tr><tr><td>Status:</td><td>🟢</td></tr><tr><td>Current Value:</td><td>0%</td></tr><tr><td>Current Target:</td><td>33%</td></tr><tr><td>Red Threshold:</td><td>67%</td></tr><tr><td>Amber Threshold:</td><td>34%</td></tr><tr><td>Categories:</td><td>PDSP_Development and Transport; PDSP_Partnership &amp; Resources; PPR Public Performance Reporting</td></tr></tbody></table>	Metric	Value	Last Updated:	Q3 2019/20	Status:	🟢	Current Value:	0%	Current Target:	33%	Red Threshold:	67%	Amber Threshold:	34%	Categories:	PDSP_Development and Transport; PDSP_Partnership & Resources; PPR Public Performance Reporting
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Amber Threshold:	34%																																			
Categories:	PDSP_Development and Transport; PDSP_Partnership & Resources; PPR Public Performance Reporting																																			
<p><b>Trend Chart Commentary:</b></p> <p>The Service received Two complaints in Q1, 2019/20, of which One was partly upheld. two of the two complaints received was upheld or partially upheld in Q2. None of the three complaints received during Q3. 2019/20 was upheld or partially upheld.</p> <p>The Service received Two complaints in Q1, 2018-19, of which One was partly upheld. Four of the nine complaints received was upheld or partially upheld in Q2. However Four of those Nine complaints where incorrectly logged and reallocated accordingly including two that where upheld. Only one complaint was received and was upheld during Q3. However this won't show in the Q3 report as was incorrectly allocated to Financial Management Unit's complaints queue. Has been corrected however this won't show until the annual report is produced. In Q4 2018-19 Four complaints out of a total Six logged where Partially upheld.</p> <p>Investigation shows that these complaints that are upheld or partly upheld are no relation to each other and show no patterns or trends. As a result of this the figures for this indicators can fluctuate quite drastically depending on the number of complaints received during each quarter.</p> <p>The quarterly target for 2019-20 will remain at 33% as this target was breached a number of times and the service is working to bring this indicator back to acceptable levels.</p>																																				

PI Code & Short Name	P:PMD161_9b.1a Industrial Portfolio - Percentage of Total Units Let.																																													
Description	This performance indicator is part of the performance scorecard for the councils asset management strategy and will contribute to outcome 5 utilisation. This is one of three Performance Indicators (PI) that record the occupancy levels of the major parts of the council's Tenanted Non-Residential Property (TNRP) portfolio, i.e. those properties that the council owns but does not occupy itself, and which are leased to third parties. This PI is based on 300 industrial units. The calculation of the PI was reviewed in April 2010 to ensure it's comparability with PI's produced by our benchmarking partners in other local authorities, and again in August 2015 to reflect changes in the portfolio. The base figure primarily consists of properties that are let on short term agreements, where occupancy levels are expected to be more volatile. Targets are reviewed annually in April and take account of the economic climate, the property market, and our rental income target, with the objective of maximising occupancy levels.																																													
	PI Owner(s): zPMD_PAdmin; Paul Kettrick																																													
<div><div><div>Industrial Portfolio - Percentage of Total Units Let.</div><table><caption>Monthly Occupancy Data (November 2018 - December 2019)</caption><thead><tr><th>Month</th><th>Occupancy (%)</th></tr></thead><tbody><tr><td>November 2018</td><td>94.24%</td></tr><tr><td>December 2018</td><td>92.88%</td></tr><tr><td>January 2019</td><td>93.22%</td></tr><tr><td>February 2019</td><td>93.22%</td></tr><tr><td>March 2019</td><td>92.88%</td></tr><tr><td>April 2019</td><td>92.18%</td></tr><tr><td>May 2019</td><td>91.5%</td></tr><tr><td>June 2019</td><td>90.82%</td></tr><tr><td>July 2019</td><td>90.82%</td></tr><tr><td>August 2019</td><td>92.18%</td></tr><tr><td>September 2019</td><td>91.84%</td></tr><tr><td>October 2019</td><td>89.46%</td></tr><tr><td>November 2019</td><td>89.12%</td></tr><tr><td>December 2019</td><td>89.46%</td></tr></tbody></table></div><div><div>December 2019 result</div><table><thead><tr><th>Metric</th><th>Value</th></tr></thead><tbody><tr><td>Last Updated:</td><td>December 2019</td></tr><tr><td>Status:</td><td>✓</td></tr><tr><td>Current Value:</td><td>89.46%</td></tr><tr><td>Current Target:</td><td>90%</td></tr><tr><td>Red Threshold:</td><td>81%</td></tr><tr><td>Amber Threshold:</td><td>85.5%</td></tr></tbody></table><div>Categories: PDSP_Development and Transport; PDSP_Partnership &amp; Resources; PPR Public Performance Reporting</div></div></div>			Month	Occupancy (%)	November 2018	94.24%	December 2018	92.88%	January 2019	93.22%	February 2019	93.22%	March 2019	92.88%	April 2019	92.18%	May 2019	91.5%	June 2019	90.82%	July 2019	90.82%	August 2019	92.18%	September 2019	91.84%	October 2019	89.46%	November 2019	89.12%	December 2019	89.46%	Metric	Value	Last Updated:	December 2019	Status:	✓	Current Value:	89.46%	Current Target:	90%	Red Threshold:	81%	Amber Threshold:	85.5%
Month	Occupancy (%)																																													
November 2018	94.24%																																													
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June 2019	90.82%																																													
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August 2019	92.18%																																													
September 2019	91.84%																																													
October 2019	89.46%																																													
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<p><b>Trend Chart Commentary:</b> Occupancy for this month (December 2019) is 89.46% against a target of 90% and is the lower end of the 12 month range of 89.12% to 94.24%. Occupancy levels is below target despite occupancy levels having been relatively stable over the past 12 months. A number of larger size industrial units have come vacant. These take longer to re let and this is likely to affect the trend over the next six months.</p> <p>An RPI linked rent increase implemented on 1 Nov 2019 on circa 270 of the units may be a contributory factor to the spike in void levels.</p> <p>The nature of most of the lease agreements - easy-in, easy-out, month to month - means that the occupancy level is particularly volatile. In previous years the performance has reflected the difficult conditions businesses faced in the economic recession, and occupancy fell regularly as a result of the credit crunch. Capital improvements have been undertaken over the past three years to preserve the income stream from the portfolio. We will continue to work on improving the appeal of our properties.</p> <p>2019/20 target is set at 90% this allows us to maintain current levels whilst investigating areas for improvement.</p>																																														

PI Code & Short Name	P:PMD163_9b.1a Office Portfolio - Percentage of Office Units Let.	PI Owner(s): zPMD_PIAAdmin; Paul Kettrick																																								
Description	<p>This performance indicator is part of the performance scorecard for the councils asset management strategy and will contribute to outcome 5 utilisation.</p> <p>This is one of three Performance Indicators that record the occupancy levels of the major parts of the council's Tenanted Non-Residential Property (TNRP) portfolio, i.e. those properties that the council owns but does not occupy itself, and which are leased to third parties. This PI is based on 42 self contained offices, or suites in multi-occupancy buildings. The calculation of the PI was reviewed in April 2010 to ensure it's comparability with PI's produced by our benchmarking partners in other local authorities. The total also reflects recent changes in the portfolio (reviewed August 2015). Targets are reviewed annually in April and take account of the economic climate, the property market, and our rental income target, with the objective of maximising occupancy levels. More details on the council's portfolio can be found on <a href="http://www.westlothian.gov.uk/article/2494/Land-and-Property">http://www.westlothian.gov.uk/article/2494/Land-and-Property</a></p>																																									
<div><p>Office Portfolio - Percentage of Office Units Let.</p><table><thead><tr><th>Month</th><th>Occupancy (%)</th></tr></thead><tbody><tr><td>November 2018</td><td>91.89%</td></tr><tr><td>December 2018</td><td>89.19%</td></tr><tr><td>January 2019</td><td>91.89%</td></tr><tr><td>February 2019</td><td>91.89%</td></tr><tr><td>March 2019</td><td>91.89%</td></tr><tr><td>April 2019</td><td>94.59%</td></tr><tr><td>May 2019</td><td>94.59%</td></tr><tr><td>June 2019</td><td>94.44%</td></tr><tr><td>July 2019</td><td>94.44%</td></tr><tr><td>August 2019</td><td>94.44%</td></tr><tr><td>September 2019</td><td>91.67%</td></tr><tr><td>October 2019</td><td>91.67%</td></tr><tr><td>November 2019</td><td>94.44%</td></tr><tr><td>December 2019</td><td>94.44%</td></tr></tbody></table><p>■ Months ■ Target (Months)</p></div>		Month	Occupancy (%)	November 2018	91.89%	December 2018	89.19%	January 2019	91.89%	February 2019	91.89%	March 2019	91.89%	April 2019	94.59%	May 2019	94.59%	June 2019	94.44%	July 2019	94.44%	August 2019	94.44%	September 2019	91.67%	October 2019	91.67%	November 2019	94.44%	December 2019	94.44%	<div><p>December 2019 result</p><table><thead><tr><th>Threshold</th><th>Value (%)</th></tr></thead><tbody><tr><td>Red Threshold</td><td>81%</td></tr><tr><td>Amber Threshold</td><td>85.5%</td></tr><tr><td>Current Value</td><td>94.44%</td></tr><tr><td>Current Target</td><td>90%</td></tr></tbody></table><p>Last Updated: December 2019</p><p>Status: </p><p>Current Value: 94.44%</p><p>Current Target: 90%</p><p>Red Threshold: 81%</p><p>Amber Threshold: 85.5%</p><p>Categories: PDSP_Development and Transport; PDSP_Partnership &amp; Resources; PPR Public Performance Reporting</p></div>	Threshold	Value (%)	Red Threshold	81%	Amber Threshold	85.5%	Current Value	94.44%	Current Target	90%
Month	Occupancy (%)																																									
November 2018	91.89%																																									
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<p><b>Trend Chart Commentary:</b></p> <p>This month (December 2019) sees occupancy at 94.44%. Above the target of 90%. The 12 month range has been 89.19 % to 94.59% and occupancy has been fairly stable. Where units do become void they are taking longer to re let compared to the shop and industrial properties, which is indicative of the weak office market in West Lothian.</p> <p>The office market for larger suites in West Lothian continues to be challenging. An Edinburgh commercial agent is assisting the marketing of the council's largest office void.</p> <p>2019/20 Target is set at 90% this allows us to maintain current levels whilst investigating areas for improvement.</p>																																										





#### Trend Chart Commentary:

This indicator shows the percentage of Non Domestic Rates (Business Rates) collected cumulatively on a monthly basis for the current year. The cumulative collection target for 2019/20 has been reviewed and after taking in to account previous year performance, staffing levels and the statutory changes following the Barclay Review has been set at 97.7%. The cumulative monthly target will be based on the collection rate achieved in the same month in the previous year as this will give us a guide on monthly performance against the end of year target.

#### 2019/20

December 2019: In year collection is up 1.01%. This increase can be attributed to ongoing work within the team in relation to warranted debt. There were a large number of rateable value appeals settled by the Assessor for Lothian Valuation Joint Board in December 2019 which has resulted in a large number of accounts being in credit. As many of these credits as possible will be refunded to the ratepayer in January 2020.

November 2019: In year collection is up 0.35%. The first summary warrants cases have now been passed to the Sheriff Officers.

October 2019: In year collection is up 0.61%.

September 2019: In year collection is up 2.93%.

August 2019: In year collection is up 3.61%.

July 2019: In year collection is up 2.85%.

June 2019: In year collection is up 2.62%.

May 2019: In year collection is up 1.85%.

April 2019: Ratepayers statutory instalments for their Business Rates liability are not due until May therefore the low level of collection for April 2019 is on trend.

#### 2018/19

March 2019: In year collection is up 0.17%, This increase is due to the team directly contacting customers to ensure payment within the financial year as well as co-ordinating with the sheriff officer to take diligence action.



February 2019: In year collection is up 0.09%. This increase is due to ongoing targeted work within the team.

January 2019: In year collection is up 1.01%. This increase is due to ongoing targeted work within the team.

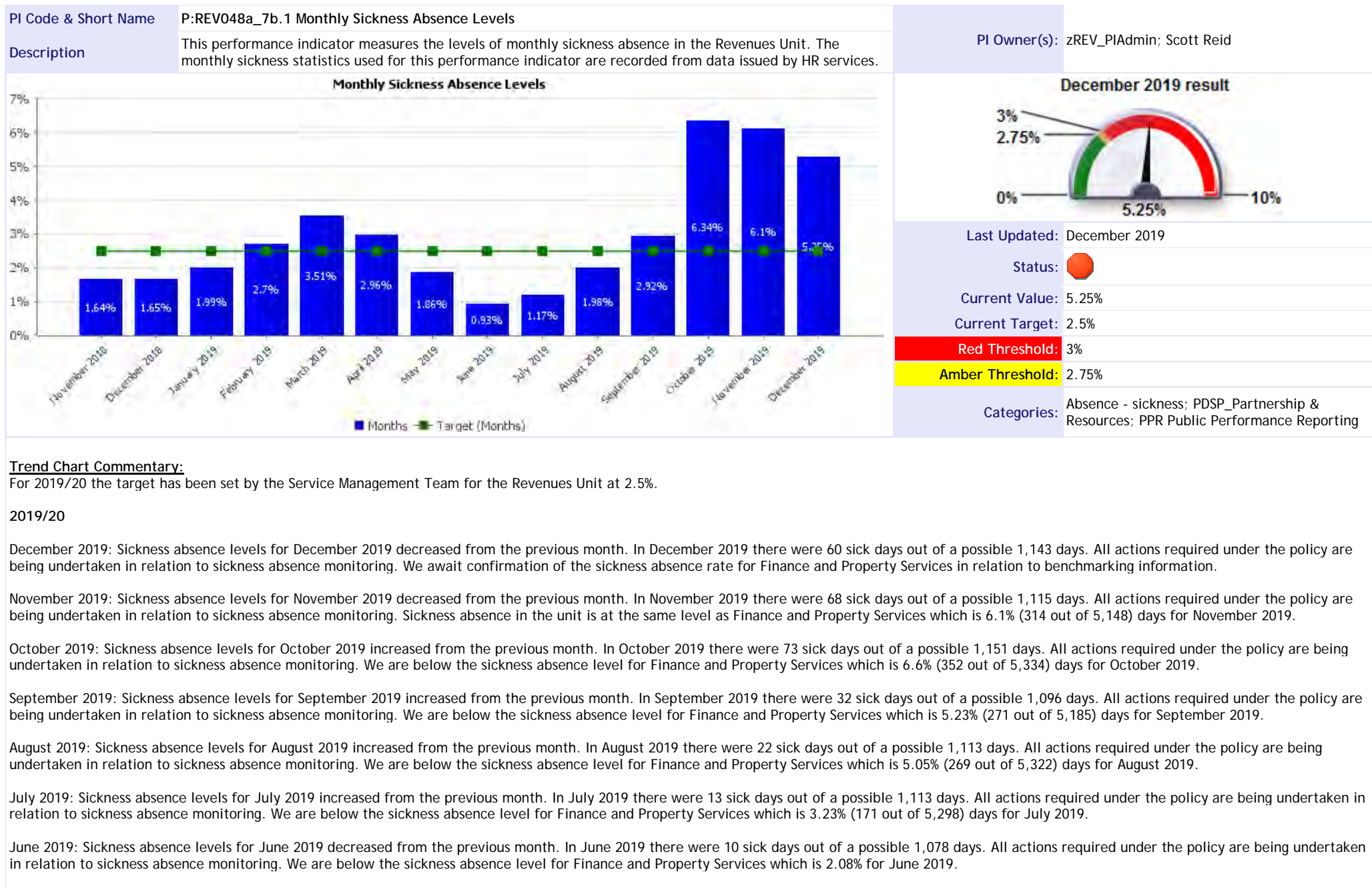
December 2018: In year collection is up 1.05%. This increase is from targeted work with warranted balances.



PI Code & Short Name	P:REV027_6b Percentage of Business Rates and Council Tax correspondence processed within 10 working days of receipt.	PI Owner(s): zREV_PIAAdmin; Scott Reid																						
Description	This performance indicator is cumulative across the financial year. Where correspondence is received from customers in relation to Business Rates and Council Tax the aim is to process this correspondence within 10 working days of receipt.																							
<div><p>Percentage of Business Rates and Council Tax correspondence processed within 10 working days of receipt.</p><table><caption>Quarterly Performance Data</caption><thead><tr><th>Quarter</th><th>Value (%)</th></tr></thead><tbody><tr><td>Q3 2018/19</td><td>89.6%</td></tr><tr><td>Q4 2018/19</td><td>90.7%</td></tr><tr><td>Q1 2019/20</td><td>95.6%</td></tr><tr><td>Q2 2019/20</td><td>95.49%</td></tr><tr><td>Q3 2019/20</td><td>95.5%</td></tr></tbody></table></div>		Quarter	Value (%)	Q3 2018/19	89.6%	Q4 2018/19	90.7%	Q1 2019/20	95.6%	Q2 2019/20	95.49%	Q3 2019/20	95.5%	<div><p>Q3 2019/20 result</p><table><caption>Gauge Chart Data</caption><thead><tr><th>Value (%)</th><th>Color</th></tr></thead><tbody><tr><td>86.64%</td><td>Red</td></tr><tr><td>90.29%</td><td>Amber</td></tr><tr><td>91.2%</td><td>Green (Target)</td></tr><tr><td>95.5%</td><td>Green (Current)</td></tr></tbody></table></div>	Value (%)	Color	86.64%	Red	90.29%	Amber	91.2%	Green (Target)	95.5%	Green (Current)
Quarter	Value (%)																							
Q3 2018/19	89.6%																							
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Q2 2019/20	95.49%																							
Q3 2019/20	95.5%																							
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86.64%	Red																							
90.29%	Amber																							
91.2%	Green (Target)																							
95.5%	Green (Current)																							
<p><b>Trend Chart Commentary:</b> We have reviewed the target for 2019/20 and set it at 91.2%. This target has been set taking into account the increased number of properties and customer correspondence being received for both Council Tax and Business Rates as well as staffing levels within the Collection's Team.</p>		<div><p>Last Updated: Q3 2019/20</p><p>Status: </p><p>Current Value: 95.5%</p><p>Current Target: 91.2%</p><p>Red Threshold: 86.64%</p><p>Amber Threshold: 90.29%</p><p>Categories: PDSP_Partnership &amp; Resources; PPR Public Performance Reporting</p></div>																						
<p><b>2019/20</b></p> <p>Quarter 3: Performance in quarter 3 was above target. 38,864 items of correspondence were processed with 37,123 processed within the target of 10 working days. There was a decrease in correspondence of 3,593 from the same quarter last year. Part of the reduction in mail can be attributed to the transfer of sequestration work to the Corporate Debt Team and more items of correspondence being processed on timeously.</p> <p>Quarter 2: Performance in quarter 2 was above target. 25,915 items of correspondence were processed with 24,721 processed within the target of 10 working days. There was a decrease in correspondence of 1,907 from the same quarter last year. Part of the reduction in mail can be attributed to the transfer of sequestration work to Corporate Debt.</p> <p>Quarter 1: Performance in quarter 1 was above target. 12,730 items of correspondence were processed with 12,167 processed within the target of 10 working days. This was a decrease in correspondence of 972 from the same quarter last year. Part of the reduction in mail can be attributed to the transfer of sequestration work to Corporate Debt.</p>																								
<p><b>2018/19</b></p> <p>Quarter 4: Performance in quarter 4 was slightly below target but improved by 1.1% from the previous quarter. 56,166 items of correspondence were processed with 50,960 processed within the target of 10 working days. This is an increase of 2,932 items of correspondence processed in this quarter against the same quarter last year. This increase in the level of correspondence received is mainly linked to those liable for Council Tax moving home.</p> <p>Quarter 3: Performance in quarter 3 was below target of 91% but improved by 2.8% from the previous quarter. 40,716 items of correspondence were processed with 36,481 processed within the target of 10 working days. This is an increase of 1,726 items of correspondence processed in this quarter against the same quarter last year. Although performance has improved from the previous quarter it remains below target due to an increase in correspondence received at a time when available staff resources were reduced due to maternity leave. This increase in the level of correspondence received is mainly linked to those liable for Council Tax moving home.</p>																								

PI Code & Short Name	P:REV047_9b.1a Percentage of income collected in the current year from Council Tax.		PI Owner(s): zREV_PIAAdmin; Scott Reid																																																											
Description	This performance indicator measures the monthly cumulative percentage collected in the current year for Council Tax and calculated using the statutory formula set out in the Water Order. This enables the Revenues Unit to monitor performance in order to carry out any adjustments to achieve the target. Whilst recovery action to collect all previous year debt continues, in year collection is a recognised benchmark standard. The benchmark data for the in year collection is captured in the performance indicator SCorp 07.																																																													
<div><div><div>Percentage of income collected in the current year from Council Tax.</div><table><caption>Monthly Cumulative Collection Data</caption><thead><tr><th>Month</th><th>Actual (%)</th><th>Target (%)</th></tr></thead><tbody><tr><td>November 2018</td><td>71.61%</td><td></td></tr><tr><td>December 2018</td><td>80.21%</td><td></td></tr><tr><td>January 2019</td><td>88.24%</td><td></td></tr><tr><td>February 2019</td><td>92.61%</td><td></td></tr><tr><td>March 2019</td><td>95.67%</td><td></td></tr><tr><td>April 2019</td><td>11.04%</td><td></td></tr><tr><td>May 2019</td><td>19.79%</td><td></td></tr><tr><td>June 2019</td><td>28.24%</td><td></td></tr><tr><td>July 2019</td><td>36.99%</td><td></td></tr><tr><td>August 2019</td><td>45.6%</td><td></td></tr><tr><td>September 2019</td><td>54.58%</td><td></td></tr><tr><td>October 2019</td><td>63.37%</td><td></td></tr><tr><td>November 2019</td><td>72.08%</td><td></td></tr><tr><td>December 2019</td><td>80.7%</td><td></td></tr></tbody></table></div><div><div>December 2019 result</div><table><thead><tr><th>Metric</th><th>Value</th></tr></thead><tbody><tr><td>Last Updated:</td><td>December 2019</td></tr><tr><td>Status:</td><td>🟢</td></tr><tr><td>Current Value:</td><td>80.7%</td></tr><tr><td>Current Target:</td><td>80.21%</td></tr><tr><td>Red Threshold:</td><td>79.81%</td></tr><tr><td>Amber Threshold:</td><td>79.97%</td></tr></tbody></table><div>Categories: PDSP_Partnership &amp; Resources; PPR Public Performance Reporting</div></div></div>			Month	Actual (%)	Target (%)	November 2018	71.61%		December 2018	80.21%		January 2019	88.24%		February 2019	92.61%		March 2019	95.67%		April 2019	11.04%		May 2019	19.79%		June 2019	28.24%		July 2019	36.99%		August 2019	45.6%		September 2019	54.58%		October 2019	63.37%		November 2019	72.08%		December 2019	80.7%		Metric	Value	Last Updated:	December 2019	Status:	🟢	Current Value:	80.7%	Current Target:	80.21%	Red Threshold:	79.81%	Amber Threshold:	79.97%	
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<div><div><div>Trend Chart Commentary:</div><div>This indicator shows the percentage of Council Tax collected cumulatively on a monthly basis for the current year. The cumulative collection target for 2019/20 has been reviewed and after taking in to account previous year performance, staffing levels and increased payment from Water Direct has been set at 95.7%. The cumulative monthly target will be based on the collection rate achieved in the same month in the previous year as this will give us a guide on monthly performance against the end of year target.</div></div><div><div>2019/20</div><div>December 2019: In year collection is 0.49% above the target. This increase can be attributed partly to the increased income from Water Direct. November 2019: In year collection is 0.47% above the target. This increase can be attributed partly to the increased income from Water Direct and the number of customers paying by direct debit. October 2019: In year collection is 0.49% above the target. This increase can be attributed partly to the increased income from Water Direct and the number of customers paying by direct debit. September 2019: In year collection is 0.71% above the target. This increase can be attributed partly to in the increased income from Water Direct and also receipt of the Council's liability for homeless and supported accommodation earlier than 2018/19. August 2019: In year collection is 0.32% above the target. The increase in collection can be attributed to the level of customers paying by direct debit and the increased income from Water Direct payments. July 2019: In year collection is 0.32% above the target. The increase in collection can be attributed to the increased level of customers paying by direct debit and increased income from Water Direct payments. June 2019: In year collection is 0.20% above the target. The increase in collection can be attributed to the increased level of customers paying by direct debit and increased Water Direct payments. May 2019: In year collection is 0.27% above the target. The increase in collection can be attributed to the increased level of customers paying by direct debit. April 2019: In year collection is 0.31% above the target. The increase in collection can be attributed to the increased level of customers paying by direct debit.</div></div><div><div>2018/19</div><div>March 2019: In year collection is 0.19% above the target. This is as a result of the increased collection of £36,000 via Water Direct and the stability in Council Tax Reduction awards despite the introduction of full Universal Credit in May 2018. February 2019: In year collection is 0.15% above the target of 92.46%. This is as a result of the improved recovery of Water Direct payments from the Department of Work and Pensions. January 2019: In year collection is 0.05% above the target of 88.19%. This is as a result in the improved recovery of the Water Direct payments from the Department of Work and Pensions. December 2018: In year collection is 0.02% below the target of 80.23%. This is as a result of a reduction in customers paying by direct debit and an issue with the posting of a payment file for 24 December.</div></div></div>																																																														





### Trend Chart Commentary:

For 2019/20 the target has been set by the Service Management Team for the Revenues Unit at 2.5%.

### 2019/20

December 2019: Sickness absence levels for December 2019 decreased from the previous month. In December 2019 there were 60 sick days out of a possible 1,143 days. All actions required under the policy are being undertaken in relation to sickness absence monitoring. We await confirmation of the sickness absence rate for Finance and Property Services in relation to benchmarking information.

November 2019: Sickness absence levels for November 2019 decreased from the previous month. In November 2019 there were 68 sick days out of a possible 1,115 days. All actions required under the policy are being undertaken in relation to sickness absence monitoring. Sickness absence in the unit is at the same level as Finance and Property Services which is 6.1% (314 out of 5,148) days for November 2019.

October 2019: Sickness absence levels for October 2019 increased from the previous month. In October 2019 there were 73 sick days out of a possible 1,151 days. All actions required under the policy are being undertaken in relation to sickness absence monitoring. We are below the sickness absence level for Finance and Property Services which is 6.6% (352 out of 5,334) days for October 2019.

September 2019: Sickness absence levels for September 2019 increased from the previous month. In September 2019 there were 32 sick days out of a possible 1,096 days. All actions required under the policy are being undertaken in relation to sickness absence monitoring. We are below the sickness absence level for Finance and Property Services which is 5.23% (271 out of 5,185) days for September 2019.

August 2019: Sickness absence levels for August 2019 increased from the previous month. In August 2019 there were 22 sick days out of a possible 1,113 days. All actions required under the policy are being undertaken in relation to sickness absence monitoring. We are below the sickness absence level for Finance and Property Services which is 5.05% (269 out of 5,322) days for August 2019.

July 2019: Sickness absence levels for July 2019 increased from the previous month. In July 2019 there were 13 sick days out of a possible 1,113 days. All actions required under the policy are being undertaken in relation to sickness absence monitoring. We are below the sickness absence level for Finance and Property Services which is 3.23% (171 out of 5,298) days for July 2019.

June 2019: Sickness absence levels for June 2019 decreased from the previous month. In June 2019 there were 10 sick days out of a possible 1,078 days. All actions required under the policy are being undertaken in relation to sickness absence monitoring. We are below the sickness absence level for Finance and Property Services which is 2.08% for June 2019.

May 2019: Sickness absence levels for May 2019 decreased from the previous month. In May 2019 there were 21 sick days out of a possible 1,132 days. All actions required under the policy are being undertaken in relation to sickness absence monitoring. We are below the sickness absence level for Finance and Property Services which is 2.77% (144 out of 5,207) days for May 2019.

April 2019: Sickness absence levels for April 2019 decreased from the previous month. In April 2019 there were 54 sick days out of a possible 1,824 days. All actions required under the policy are being undertaken in relation to sickness absence monitoring. We are below the sickness absence level for Finance and Property Services which is 3.02% (151 out of 4,997) days for April 2019.

#### 2018/19

March 2019: Sickness absence levels for March 2019 increased from the previous month. In March 2019 there were 68 sick days out of a possible 1,938 days. All actions required under the policy are being undertaken in relation to sickness absence monitoring. We are above the sickness absence level for Finance and Property Services which is 3.09% (166) days for March 2019.

February 2019: Sickness absence levels for February 2019 increased from the previous month. In February 2019 there were 50 sick days out of a possible 1,855 days. All actions required under the policy are being undertaken in relation to sickness absence monitoring. We are below the sickness absence level for Finance and Property Services which is 3.3% (160) days for February 2019.

January 2019: Sickness absence levels for January 2019 increased slightly from the previous month. In January 2019 there were 39 sick days out of a possible 1,958 days. All actions required under the policy are being undertaken in relation to sickness absence monitoring. We are below the sickness absence level for Finance and Property Services which is 2.14% (115) days for January 2019.

December 2018: Sickness absence levels for December 2018 increased slightly from the previous month. In December 2018 there were 33 sick days out of a possible 1,996 days. All actions required under the policy are being undertaken in relation to sickness absence monitoring. We are below the sickness absence level for Finance and Property Services which is 1.95% (105) days for December 2018.

November 2018: Sickness absence levels for November 2018 reduced from the previous month. In November 2018 there were 32 sick days out of a possible 1,951 days. All actions required under the policy are being undertaken in relation to sickness absence monitoring. We are below the sickness absence level for Finance and Property Services which is 2.88% (149) days for November 2018.



#### Trend Chart Commentary:

We have reviewed the target for 2019/20 and set it at 27 complaints received. This target has been set taking into account previous years' performance.

#### 2019/20

Quarter 3: 22 complaints were received during this quarter. Although there was no recurring content of complaints the largest volume received were linked to the standard of service. The number of complaints decreased in this quarter with 86% of complaints not upheld.

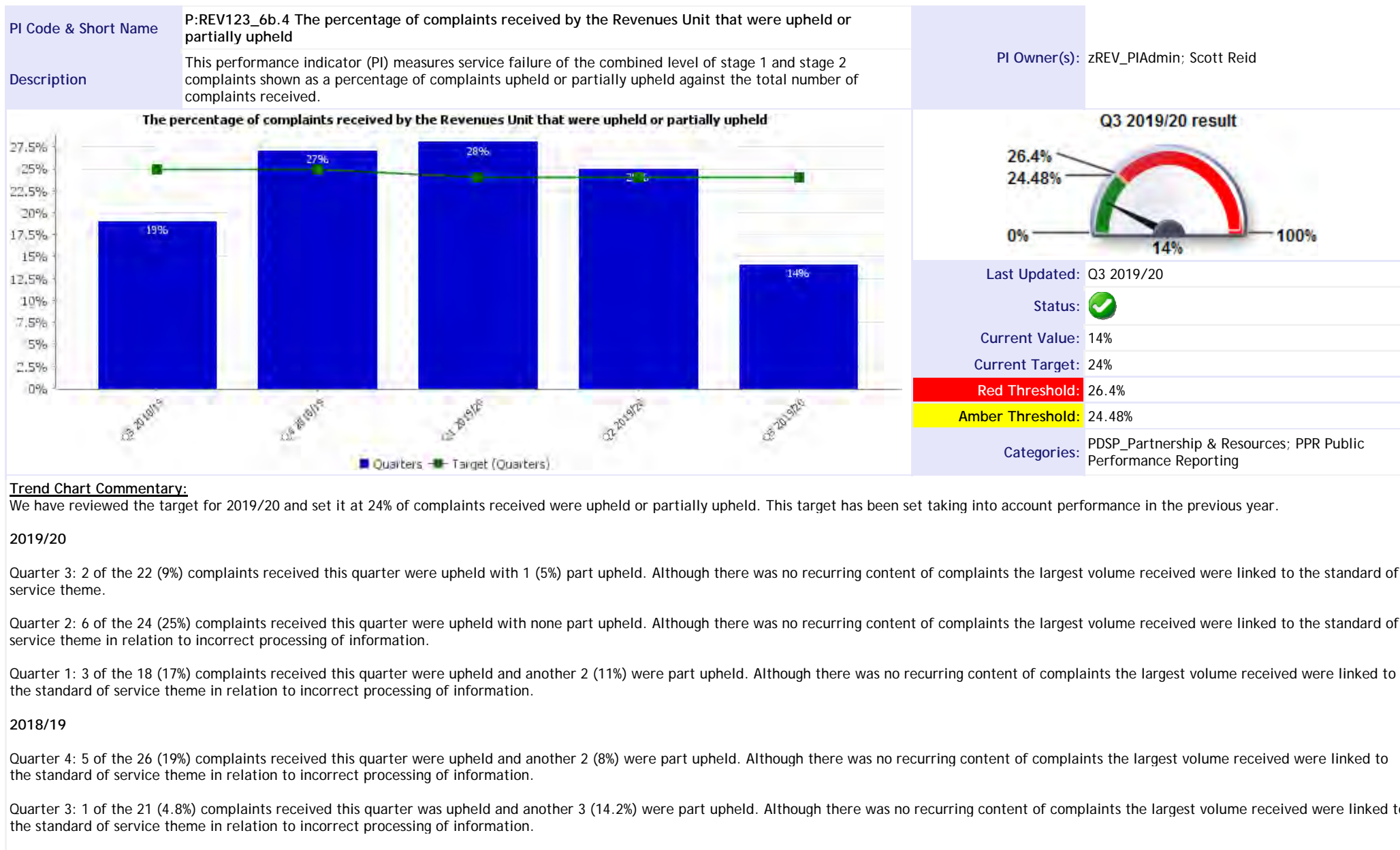
Quarter 2: 24 complaints were received during this quarter. Although there was no recurring content of complaints the largest volume received were linked to the standard of service in relation to incorrect processing of information. The number of complaints increased in this quarter with 75% of complaints not upheld.

Quarter 1: 18 complaints were received during this quarter. Although there was no recurring content of complaints the largest volume received were linked to the standard of service theme in relation to incorrect processing of information. The number of complaints decreased in this quarter with 72% of complaints not upheld.

#### 2018/19

Quarter 4: 26 complaints were received during this quarter. Although there was no recurring content of complaints the largest volume received were linked to the standard of service theme in relation to incorrect processing of information. The number of complaints increased in this quarter with 77% of complaints not upheld.

Quarter 3: 21 complaints were received during this quarter. Although there was no recurring content of complaints the largest volume received were linked to the standard of service theme in relation to incorrect processing of information. The number of complaints decreased in this quarter with 81% of complaints not upheld.





**PARTNERSHIP AND RESOURCES POLICY DEVELOPMENT AND SCRUTINY PANEL**

**REVIEW OF WEST LOTHIAN CITIZENS PANEL**

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

**A. PURPOSE OF REPORT**

The purpose of this report is to inform the Panel of the proposal to review and refresh the Citizens Panel and carry out a Quality of Life Survey in summer 2020.

**B. RECOMMENDATION**

It is recommended that the Panel notes the proposal to review the Citizens Panel and carry out a Quality of Life Survey in summer 2020.

**C. SUMMARY OF IMPLICATIONS**

<b>I</b>	<b>Council Values</b>	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
<b>II</b>	<b>Policy and Legal (including Strategic Environmental Assessment, Equality Issues, Health or Risk Assessment)</b>	Community Empowerment (Scotland) Act 2015
<b>III</b>	<b>Implications for Scheme of Delegations to Officers</b>	None
<b>IV</b>	<b>Impact on performance and performance Indicators</b>	A small number of performance indicators are informed by the Quality of Life Survey and will be reviewed with the new survey
<b>V</b>	<b>Relevance to Single Outcome Agreement</b>	The Quality of Life Survey will be aligned to the new LOIP
<b>VI</b>	<b>Resources - (Financial, Staffing and Property)</b>	There will be a cost attached to the review of the Citizens Panel and to carry out the Quality of Life survey. Indicative costs are provided with this report. Budget is still to be identified.
<b>VII</b>	<b>Consideration at PDSP</b>	None

## **VIII Other consultations**

The proposal will be discussed at the CPP Board in March 2020

### **D. TERMS OF REPORT**

#### **D.1 Background**

West Lothian Citizens Panel was established in 1999 and is supported by the Community Planning Partnership (CPP). The panel was set up to help identify people's views on various aspects relating to living in West Lothian, and the services provided by the CPP. The panel is managed by an external organisation, with a tender process carried out every few years. The contract for the management of the Citizens Panel was awarded to Engage Scotland in 2018.

Membership of the panel is on a voluntary basis. Individuals are either invited on to the panel through random selection or can request to be involved themselves. The panel has tended to be refreshed regularly to ensure that it remains representative of the West Lothian population and to give other West Lothian residents the opportunity to take part. The panel currently has around 2,700 members. The demographic profile of the panel indicates that is fairly representative of the West Lothian population in terms of gender, tenure, ethnicity and multi-member ward; however there is under-representation of some groups (e.g. younger people).

Quality of Life Surveys have traditionally been carried out with the panel every three years. This survey asks a wide range of questions around a range of issues about life in West Lothian. Topics covered include West Lothian's economy, community safety, health, travel and the environment. A full refresh of the panel was not carried out prior to the last Quality of Life Survey in 2016/17, which may explain the low response rate. The survey was also very lengthy. The next Quality of Life Survey is due in 2019/20; however this has been put on hold while the panel is reviewed.

Consideration has been given to how the existing Citizens Panel can be reviewed and reformed in light of wider discussions around community empowerment.

#### **D.2 Proposal to review and refresh the Citizens Panel**

The review and refresh of the Citizens Panel has been discussed with Engage Scotland. A proposal for refreshing the panel and carrying out a Quality of Life Survey has been developed, drawing on their experience of what works in other areas.

Regular refreshment of panel membership is recommended to maintain engagement levels and to correct for any under or over-representation that may develop over time. This usually involves retiring a portion of the panel and recruiting new members through a large scale recruitment exercise issued to a random sample drawn from the Open Register. Panel refreshment is an opportunity to consider the number and profile of members required for the panel. Refreshment of the panel will ensure that future panel activity and response is maximised.

As the panel is a means of gathering robust data on residents' views across a wide range of issues, it will include a cross section of the West Lothian population. While a panel is unlikely to achieve 'perfect' representation, the membership should include good representation across key population groups.

While the profile of the panel membership is important, it should be noted that it is the size and profile of the achieved response to consultation exercises that drives

the robustness of results. As such, a large membership with good representation across population groups only adds value if strong response rates are achieved.

At 2,700 members, West Lothian's Citizens Panel is amongst the largest panels in Scotland; however the panel saw lower than expected response rates in the most recent Quality of Life Survey. This may reflect some 'consultation fatigue' and disengagement from longer-standing members. Boosting engagement is a key focus for the refreshment exercise. It is expected that response rates would increase to at least 50-60% following refreshment.

The refresh would involve retiring a number of current members and recruiting new members to ensure they represent at least a third of the new panel membership. It is also proposed that panel refreshment is used as an opportunity to re-consider the panel size, reducing membership to 1,800-2000. This would be sufficient to provide robust results at local authority and ward level and to identify differences in views across key population groups; whilst still improving engagement and survey response rates. This would also reduce the cost of individual panel exercises, offering potential for more frequent panel consultation which would again help to maintain engagement over time.

As well as a large scale postal recruitment exercise to secure new members, promotional recruitment would also be carried out to ensure the process is as open as possible and to provide an opportunity to target key population groups likely to be under-represented by postal recruitment. Promotional materials would be distributed initially via community planning partners' websites and social media channels, with Engage Scotland also providing electronic and printed materials to local community venues and service access points. More targeted promotion would be used to boost membership within under-represented groups. The focus of this work would be tailored in response to the profile of new members secured via large-scale postal recruitment. This would likely include younger people, social tenants, BME community and others who may be less likely to respond to postal panel recruitment.

### **D.3 Quality of Life Survey**

It is proposed that the Quality of Life Survey continues to be carried out every 3 years and that the next survey is carried out in summer 2020, following the panel refreshment exercise. Analysis and reporting of results will be carried out by the end of 2020.

The Quality of Life Survey has in the past been aligned to the priority themes in the Local Outcomes Improvement Plan (previously the Single Outcome Agreement). Currently the survey includes a range of thematic areas: West Lothian's economy, community safety, health, travel and the environment. Consideration will be given to the format of the survey, ensuring that it is more user-friendly and shorter than the previous survey. The development of the new Local Outcomes Improvement Plan means that the CPP will now focus on a smaller number of priority areas. Consideration will be given to how these areas are linked in to the Quality of Life Survey, as well as getting broader views on wider topics about living in West Lothian. Community planning partners will be consulted on the question set.

The plans to refresh the Citizens Panel and carry out a Quality of Life Survey in summer 2020 will be discussed at the CPP Board in March 2020.

#### **D.4 Costs**

Engage Scotland have provided the costs below for the panel refresh and for carrying out the Quality of Life Survey, based on a reduced panel membership of 1,800. The budget to cover these costs is to be identified.

<b>Panel Refreshment Costs</b>	<b>Cost (exc. VAT)</b>
Design and setup	£339
Large-scale panel recruitment	£4,980
Compiling refreshed panel	£722
<b>TOTAL</b>	<b>£6,041</b>

<b>Quality of Life Survey</b>	<b>Cost (exc. VAT)</b>
Panel survey – 1,800 membership  (includes distribution of the survey, full analysis and reporting on the results)	<b>£3,350</b>

#### **E. CONCLUSION**

The membership of the West Lothian Citizens Panel is now due for refreshment. It is proposed that the panel is refreshed in early 2020 and that a Quality of Life Survey will be carried out with the new Panel in summer 2020 as a way of obtaining residents' views about a range of topics relating to West Lothian. Refreshment of the panel will be used to re-consider the size of the panel and ensure new members are representative of the West Lothian population, in order to substantially improve engagement and survey response rates. The Panel is asked to note this proposal.

#### **F. BACKGROUND REFERENCES**

Appendices/Attachments: N/A

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**Craig McCorriston**

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

Date of meeting: 7 February 2020





## **PARTNERSHIP & RESOURCES POLICY DEVELOPMENT & SCRUTINY PANEL**

### **FAMILY LEAVE PROVISIONS – ELECTED MEMBERS**

#### **REPORT BY GOVERNANCE MANAGER AND HEAD OF CORPORATE SERVICES**

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

To consider the implementation of COSLA Guidance on Family Leave for Elected Members and related resources that may be made available to members

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

1. To note the COSLA Guidance on Family Leave for Elected Members circulated to Scottish Councils (Appendix 1)
2. To note that there are legislative obstacles to its implementation as it stands and that COSLA Leaders agreed on 27th September 2019 to lobby for legislative change
3. To consider the council's approach to possible implementation of that Guidance and the additional resources that may be made available to elected members to help meet the same objectives as the COSLA Guidance with a view to informing a further report to the Panel with a proposed Scheme or Protocol (Appendix 2)

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

<b>I</b>	<b>Council Values</b>	Being honest, open and accountable, providing equality of opportunities, making best use of our resources
<b>II</b>	<b>Policy and Legal (including Strategic Environmental Assessment, Equality Issues, Health or Risk Assessment)</b>	No legal right to family leave currently exists for people in elected office.  Local Government (Scotland) Act 1973; Local Governance (Scotland) Act 2004; Local Governance (Scotland) Act 2004 (Remuneration) Regulations 2007 ("the remuneration rules")
<b>III</b>	<b>Implications for Scheme of Delegations to Officers</b>	None
<b>IV</b>	<b>Impact on performance and performance Indicators</b>	None

<b>V</b>	<b>Relevance to Single Outcome Agreement</b>	None
<b>VI</b>	<b>Resources - (Financial, Staffing and Property)</b>	None
<b>VII</b>	<b>PDSP consideration</b>	Ongoing
<b>VIII</b>	<b>Other Consultations</b>	COSLA policy development team

## **D TERMS OF REPORT**

### **1 Background**

- 1.1 There is currently no legal right to family leave of any kind for people in elected public office. On 27 September 2019, Leaders discussed guidance on that issue with a view to increasing the diversity of experience, age and background of councillors by removing barriers to participating in local government and public office. It aims to set out key principles to support elected members during periods of maternity, paternity, shared parental and adoption leave. The Family Leave Guidance appended to this report (Appendix 1) was endorsed for circulation to Scottish councils for adoption on a voluntary basis. This paper summaries the Guidance and its implications for the council and members and considers additional resources and assistance that might be made available to members with a view to meeting the same aims as the COSLA Guidance.
- 1.2 The COSLA Guidance has been drafted with reference to the statutory leave provisions for employees but deliberately does not completely mirror those provisions. The limiting of the leave to 6 months was proposed with the requirement in mind that elected members have a legal duty to attend at least one qualifying meeting in a period of six months.
- 1.3 Members should note that references in the Guidance to the now defunct “Special Responsibility Allowances (SRA)” should be taken as references to Senior Councillor Payments. The Guidance also inaccurately refers to payments continuing to be made until a date after members cease to be a councillor. Any right to any remuneration whatsoever as a councillor, whilst on leave or not, only exists when someone is a councillor. Payments due to councillors cannot be made to anyone after they cease to be councillors.
- 1.4 The leave and associated pay provisions covered in the Guidance are summarised in the tables below.

1.5

Maternity Leave	Up to 6 months leave from 28 days before due date
Premature Birth	An extension to maternity leave equivalent to the period between the date of birth and the due date
Paternity Leave	Up to 2 weeks leave for the father or nominated carer of the mother
Shared Parental	Up to 6 months shared parental leave where maternity leave is appropriately curtailed. Leave is limited to 6 months in total

Leave	even where both parents are elected members
Adoption Leave	Up to 6 months leave from the date of placement

1.6	Basic Member Allowance	Payment in full while member is on family leave
	Senior Councillor Payments	Payment in full where possible within constraints of relevant legislation

1.7 There are operational and practical consideration attached to some of these types of leave:-

- Premature Birth - COSLA guidance states that 'where the birth is premature, the member is entitled to take leave during the period between the date of the birth and the due date in addition to the 6 months' period. The guidance does not define premature birth but premature birth is defined by the NHS as a birth that occurs before the 37th week of pregnancy. With that in mind the, it would be regarded as appropriate in the circumstances for the council to adopt the NHS definition of "premature"
- Shared Parental Leave (SPL) - COSLA guidance also states that where a member has made shared parental leave arrangements through their employment, 'every effort will be made to replicate such arrangements'. Entitlement to shared parental leave for employees could extend to a maximum of 50 weeks; however it appears that the intention of the guidance for members is to limit such leave to 26 weeks (in line with the provisions for maternity leave). In seeking further clarification on applying this element of the guidance, COSLA has acknowledged the complexity of SPL for both employees to understand and for employers to administrate. As such a decision has been taken by COSLA not to provide any further detail at this stage and instead to include it as part of a review of the ongoing development of the guidance. COSLA also point to the fact that the UK Government is currently holding a consultation on family related leave and therefore consider it would be helpful to await the outcome of that process to see what changes may be made to SPL before reviewing their own guidance further
- Notification Requirements - While the guidance recommends that a minimum of 28 days' notice is provided to take leave, it allows for the council to determine the necessary notification requirements for leave arrangements. It would be proposed however, that the council adopt the recommended minimum 28 days' notice. Relevant application forms will also need to be developed for the purpose of requesting leave. Application forms will need to be accompanied by relevant evidence including a MATB1 form for maternity leave, an adoption certificate for adoption leave and confirmation of the curtailment of maternity leave for shared parental leave

## 2 Duties whilst on leave

2.1 In brief summary, councillor duties include dealing with constituents' enquiries; representing their collective and individual interests; attending council, committee and other internal meetings; attending at outside bodies and representing the council where appointed; and participating in the policy-making and scrutiny functions of council and its committees as ordinary member, Chair, Executive Councillor, Leader or Provost. The

Guidance does not state which duties might be excused during any leave period. The position in relation to taking leave from this range of duties is as follows.

- 2.2 Only an elected member can, with the full range of powers and duties of a councillor, deal with constituents' enquiries and represent their collective and individual interests. With multi-member wards, there should always be at least one other ward member available during a period of absence. Constituents may choose to approach another member instead. A member could arrange for another councillor to attend surgeries and represent and pursue constituents' interests during a period of leave. That would require legal steps to permit the sharing of constituents' personal data with another member or members.
- 2.3 In relation to committee and PDSP meetings, Standing Orders permit the attendance of substitutes for almost all meetings. For those, a member on leave can ask for another councillor to attend. The bodies where substitutes are not allowed are Development Management Committee, Local Review Body, Asset Transfer Committee, Asset Transfer Review Committee, Employee Appeals Committee and Local Area Committees. It is possible for replacement members to be appointed at meetings of full council and that could be attended to when notice is given of the start of a leave period.
- 2.4 Substitutes are not possible at meetings of full council and only members present (physically or, subject to conditions, remotely) may vote. Councils are generally finely balanced in political terms and the absence of a member on leave may have a significant impact on decisions taken in their absence. However, even if a councillor has taken a period of leave there is nothing to prevent them nevertheless carrying out some of their duties such as attending and voting at full council meetings.
- 2.5 The guidance does refer to cover being provided for portfolio holders and those receiving senior councillor payments. It does not say anything about the positions of Council Leader and Provost (which carry their own additional remuneration). It does not deal with positions which carry additional responsibility but no senior councillor payment (e.g., this council's Deputy Provost or Chair of Performance Committee).
- 2.6 Attendance at outside bodies could be addressed through the attendance of a substitute (subject to the rules of the outside body concerned). Alternatively, formal replacements could be appointed and that carries the risk that on return the appointment may not be restored.
- 2.7 The constraints which relate to the provision of cover during a leave period for the duties described above are:-
  - Finding another willing member to provide assistance, especially so for independent members
  - Complying with legal rules on data sharing between councillors
  - Standing Orders which disallow substitutes at certain committees
  - Requiring council agreement to the appointment of temporary replacements and the return to the pre-leave appointments on termination of the leave period
  - Guaranteeing the return to the pre-leave appointments on termination of the leave period

- Not voting at meetings of full council
- Legal rules requiring attendance at a qualifying council meeting within any rolling period of six months

### **3 Remuneration whilst on leave**

- 3.1 The basic councillor remuneration is guaranteed by legislation and will still be paid during any period of absence or leave and regardless of the range of duties being carried out, or not. Payment during leave becomes more problematic in relation to senior councillor payments and payments for the Provost and Council Leader. Councillors can only be remunerated in accordance with the statutory remuneration rules.
- 3.2 Legislation permits this council to allocate up to 14 senior councillor payments (not counting the Leader or Provost). Senior Councillors should hold a significant position of responsibility in the council's political management structure, for example, a chair of a major committee, a portfolio holder, the leader of a significant opposition group. They do not all have to be paid the same amount. The maximum payment for this council is £26,208. The total of all senior councillor payments must not be more than £305,746. Currently the council has allocated 12 such payments. All receive the same payment at a level that means the available fund is, in practical terms, exhausted. Continuing a senior councillor payment during a period of leave is possible and would be the default position. Making a senior councillor payment to another member standing in would only be possible:-
- If there were senior councillor places available and money left to allocate, which would depend on council in effect establishing a reserve to be utilised if and when circumstances arise
  - If council made temporary changes at a council meeting to allow that to be done by, for example, reducing senior councillor payments
  - If the member taking leave were not paid during the period of leave, which runs counter to the aims of the Guidance
- 3.3 The Guidance suggests an *ad hoc* approach but that provides no guarantees, especially if there were more than one senior councillor taking leave at the same time. Arrangements that are clear, consistent and certain are preferable but very hard to achieve.
- 3.4 Legislation gives a defined payment to a Provost and a defined payment to a Council Leader. For those payments to be made the recipient must hold the relevant position. The only way that someone standing in for either post during a period of leave could be paid would be as a senior councillor.
- 3.5 The constraints which relate to the provision of cover during a leave period for the duties described above are:-
- Legal rules in relation to the number and overall value of senior councillor payments
  - Legal rules relating to remuneration of Council Leader

- Legal rules relating to the remuneration of Provost
- The requirement for decisions of full council to change existing arrangements for these payments
- The requirement for decisions of full council to reinstate the pre-leave position on termination of a period of leave
- Guaranteeing the return to the pre-leave appointments on termination of the leave period

#### **4 Other assistance**

4.1 Officers have considered if other policies and resources currently available to officers could be made available to members, in keeping with the stated aims of the Guidance. These have been identified for consideration.

#### **4.2 Special Leave**

At the discretion of the Depute Chief Executive or nominated officer, council employees may be granted paid special leave in circumstances relating to:

- Planned health care of a young child – in the first 5 years of a child's life, up to five working days paid leave in order to accompany the child to post-natal care clinic(s) or to visit a medical practitioner for the purposes of preventative medicine (e.g., inoculations)
- Care of an ill dependant - up to five working days paid leave and up to ten working days unpaid leave in any 12 month period where the dependant is reliant upon the day-to-day care of an employee.
- Care of a seriously ill dependant – up to 12 months unpaid leave.
- Bereavement – up to five working days paid leave taking account of the circumstances which justify leave to attend the funeral, the requirement for an employee to make funeral arrangements and the requirement for an employee to travel over long distances.

#### **4.3 Surrogacy Leave**

Provisions for surrogacy leave are only in place for Teaching staff by application of the National Terms and Conditions for Teachers. Surrogacy leave for Teachers mirrors Maternity and Adoption leave provisions.

#### **4.4 Employee Assistance Programme**

Council employees have access by self-referral or management referral to an Employee Assistance Programme which offers services in relation to an extensive list of issues including:

- stress, anxiety and depression
- alcoholism
- addiction and dependency
- bullying and harassment

- traumatic incident support
- bereavement

Employee assistance is provided initially by means of a telephone consultation which can be followed up by a face-to-face consultation or series of appointments based on clinical need. Time off for appointments is provided to employees as appropriate. There would be no requirement for contractual amendment in order to add Elected Members as a staffing group with access to the Employee Assistance Programme.

#### 4.5 Physiotherapy Services

Access to Physiotherapy services is available to council employees by management referral only. An initial telephone consultation will determine whether there is a need for a face-to-face consultation or perhaps alternatively an online exercise programme. Time off for appointments is provided to employees as appropriate.

Should this provision be extended to Elected Members, an officer responsible for management referral would need to be identified. As with the Employee Assistance Programme, there would be no need for contractual amendment in order to add Elected Members as a staffing group for management referral to physiotherapy services.

#### 4.6 Lone worker and personal safety

Members already have access to health and safety advice in relation to personal safety and lone working and to electronic lone worker safety devices.

### 5 **Next steps**

- 5.1 The Panel is invited to discuss and comment on the issues that should be covered in a scheme or protocol with a view to meeting the aims of the Guidance. Taking views into account wherever possible, officers will prepare a draft scheme or protocol, consult with appropriate members and return to the panel with a draft for comment and later presentation for decision. the issues for inclusion are summarised in Appendix 2.

### E. **CONCLUSION**

The suggestion by COSLA has much to commend it and may help encourage participation as councillors by individuals who may otherwise have been unable or reluctant to do so. The guidance does however have gaps that require to be filled, it raises problems which it does not entirely address and it does not extend beyond family leave provisions. The introduction of a council scheme or protocol covering the issues in this report should help further the stated aims of the COSLA Guidance.

### F. **BACKGROUND REFERENCES**

Family Leave Guidance for Councils – COSLA

- Appendices / Attachments:
1. Family Leave Guidance for Councils – COSLA
  2. Summary of issues for consideration

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7 February 2020





## **Family Leave Guidance for Councils**

### **Introduction**

This Guidance sets out some key principles which Local Authorities may wish to adopt to support Elected Members during periods of maternity, paternity, shared parental and adoption leave. **There is no legal right to family leave of any kind for people in elected public office.**

The objective of this guidance is to ensure that insofar as is possible, Elected Members can take appropriate leave at the time of birth or adoption, that both parents are able to take leave, and that reasonable and adequate arrangements are in place to provide cover for portfolio-holders and others in receipt of Special Responsibility Allowances (SRA) during any period of leave taken.

This Guidance is to be implemented on a voluntary basis and confers no contractual, nor worker / employment status. The Guidance can be amended or withdrawn at any time. Councillors continue to retain their status as office holders. The rights as set out in this Guidance extend to (1) maternity, paternity, shared parental and adoption leave and (2) pay during maternity, paternity, shared parental and adoption related leave only. Individuals who are employees or workers of the Local Authority will be entitled to any additional rights associated with family leave by virtue of their employment status and associated policies. No such additional rights, over and above what is set out in this Guidance, shall apply to Elected Members and nothing in this Guidance shall render Elected Members as employees or workers.

Improved provision for new parents will contribute towards increasing the diversity of experience, age and background of Local Authority councillors. It will also assist with retaining experienced councillors – particularly women – and making public office more accessible to individuals who might otherwise feel excluded from it.

### **1. Leave Periods**

1.1 Members giving birth are entitled to up to 6 months maternity leave from 28 days before their due date.

1.2 In addition, where the birth is premature, the Member is entitled to take leave during the period between the date of the birth and the due date in addition to the 6 months' period.

1.3 Members shall be entitled to take a maximum of 2 weeks paternity leave if they are the biological father or nominated carer of their partner/spouse following the birth of their child(ren).

1.4 A Member who has made Shared Parental Leave arrangements through their employment is requested to advise the Council of these at the earliest possible opportunity. Every effort will be made to replicate such arrangements in terms of leave from the Council.

1.5 Where both parents are Members leave may be shared up to a maximum of 26 weeks. Special and exceptional arrangements may be made in cases of prematurity.

1.6 A Member who adopts a child through an approved adoption agency shall be entitled to take up to six months' adoption leave from the date of placement.

1.7 Any Member who takes maternity, shared parental or adoption leave retains their legal duty under the Local Government Act 1973 to attend a meeting of the Council within a six month period unless the Council Meeting agrees to an extended leave of absence prior to the expiration of that six month period.

1.8 Any Member intending to take maternity, paternity, shared parental or adoption leave will be responsible for ensuring that they comply with the relevant notice requirements of the Council, both in terms of the point at which the leave starts and the point at which they return. (It is recommended that a minimum of 28 days' notice is provided to take leave. A MatB1 form or an adoption matching certificate should be provided when applying for maternity and adoption leave respectively).

1.9 Any Member taking leave should ensure that they respond to reasonable requests for information from the Council as promptly as possible, and that they keep officers and colleagues informed and updated in relation to intended dates of return and requests for extension of leave.

1.10 In the event of an Elected Member taking family-related leave, Councils are encouraged to consider:

- how to ensure there is minimal impact on the relevant ward by arranging, where possible, reasonable and appropriate cover to ensure the needs of constituents continue to be met; and
- providing what additional support may be required to facilitate an Elected Member's return from family related leave to ensure they feel supported and ready to return to the Council.

## **2. Basic Allowance**

2.1 All Members shall continue to receive their Basic Allowance in full whilst on maternity, paternity or adoption leave.

## **3. Special Responsibility Allowances**

3.1 Members entitled to a Special Responsibility Allowance (SRA) shall continue to receive their allowance in full in the case of maternity, paternity, shared parental or adoption leave where this is possible within the constraints of the Local Governance (Scotland) Act 2004 (Remuneration) and amendments thereto. Where this is not possible local arrangements should be made that best support both the Elected Member on leave and their replacement.

3.2 The payment of SRA, whether to the primary SRA holder or a replacement, during a period of maternity, paternity, shared parental or adoption leave shall continue for a period of six months, or until the date when the Member taking leave is up for election (whichever is soonest). At such a point, the position will be reviewed, and will be subject to a possible extension for a further six-month period.

3.3 Should a Member appointed to replace the Member on maternity, paternity, shared parental or adoption leave already hold a remunerated position, the ordinary rules relating to payment of more than one SRA shall apply.

3.4 Unless the Member taking leave is removed from their post whilst on leave, or unless the Party to which they belong loses control of the Council during their leave period, they shall

return at the end of their leave period to the same post, or to an alternative post with equivalent status and remuneration which they held before the leave began.

#### **4. Resigning from Office and Elections**

4.1 If a Member decides not to return at the end of their maternity, paternity, shared parental or adoption leave they must notify the Council at the earliest possible opportunity. All allowances will cease from the effective resignation date.

4.2 If an election is held during the Member's maternity, paternity, shared parental or adoption leave and they are not re-elected, or decide not to stand for re-election, their basic allowance and SRA if appropriate will cease from the Monday after the election date when they would technically leave office.



**APPENDIX 2**

	<b>QUESTION</b>	<b>ANSWER</b>
1	The councillor duties to be addressed:-	
	<ul style="list-style-type: none"> <li>• Constituency work</li> </ul>	
	<ul style="list-style-type: none"> <li>• Attendance at meetings</li> </ul>	
	<ul style="list-style-type: none"> <li>• Senior councillor duties</li> </ul>	
	<ul style="list-style-type: none"> <li>• Other additional but unremunerated responsibilities</li> </ul>	
	<ul style="list-style-type: none"> <li>• Outside body attendance</li> </ul>	
2	The ways in which cover for those duties can be assisted or provided (for party and independent members):-	
	<ul style="list-style-type: none"> <li>• Constituency work</li> </ul>	
	<ul style="list-style-type: none"> <li>• Attendance at meetings</li> </ul>	
	<ul style="list-style-type: none"> <li>• Senior councillor duties</li> </ul>	
	<ul style="list-style-type: none"> <li>• Other additional but unremunerated responsibilities</li> </ul>	
	<ul style="list-style-type: none"> <li>• Outside body attendance</li> </ul>	
3	Senior councillor payment whilst on leave, for the member taking leave and for a member providing cover	
4	Payment to Provost whilst on leave, for the member taking leave and for a member providing cover	
5	Payment to Council Leader whilst on leave, for the member taking leave and for a member providing cover	
6	Maximum duration of leave and early termination?	
7	Potential changes to Standing Orders?	
8	Application to other policies and resources (D5)	





**PARTNERSHIP & RESOURCES POLICY DEVELOPMENT AND SCRUTINY PANEL**

**REVIEW OF SCHEME FOR ESTABLISHMENT OF COMMUNITY COUNCILS IN WEST  
LOTHIAN**

**REPORT BY HEAD OF CORPORATE SERVICES**

**A. PURPOSE OF REPORT**

To advise the panel that a review of the Scheme for Establishment of Community Councils in West Lothian is being carried out in advance of the 2021 4-yearly Community Council Elections.

**B. RECOMMENDATION**

1. To note that a review of the Scheme for Establishment of Community Councils in West Lothian is being conducted.
2. To note that a working group comprising 3 council officers and 3 representatives of the Joint Forum of West Lothian Community Councils will be established to progress the Scheme review.

**C. SUMMARY OF IMPLICATIONS**

<b>I</b>	<b>Council Values</b>	Focusing on our customers' needs; Being honest, open and accountable; Providing equality of opportunities; Making best use of our resources and Working in partnership
<b>II</b>	<b>Policy and Legal (including Strategic Environmental Assessment, Equality Issues, Health or Risk Assessment)</b>	Section 22, Part 1 of the Local Government (Scotland) Act 1994.
<b>III</b>	<b>Implications for Scheme of Delegations to Officers</b>	None.
<b>IV</b>	<b>Impact on performance and performance Indicators</b>	None.
<b>V</b>	<b>Relevance to Single Outcome Agreement</b>	We live in resilient, cohesive and safe communities
<b>VI</b>	<b>Resources - (Financial, Staffing and Property)</b>	The costs of statutory notices will be met from the community council budget.

<b>VII</b>	<b>Consideration at PDSP</b>	Previous Scheme Reviews have been considered at meetings of the Partnership & Resources Policy Development and Scrutiny Panel.
<b>VIII</b>	<b>Other consultations</b>	All community councillors and elected members will be fully consulted on the existing and future draft Schemes. Comments from members of the public will be invited through the council's website, social media and press notices.

## **D. TERMS OF REPORT**

In the year preceding the four-yearly Community Council Elections, the Scheme for Establishment of Community Councils has traditionally been reviewed. The current Scheme was adopted at a special meeting of West Lothian Council on 24<sup>th</sup> February 2015 following extensive consultation from March 2014 to January 2015. Given that the next community council elections are due to take place in September/October 2021, arrangements are now underway to review the 2015 Community Council Scheme.

In line with previous Scheme reviews, a working group involving council officers and up to 3 representatives of the Joint Forum of West Lothian Community Councils will be established. The purpose of the working group is to produce a draft scheme that reflects not only changes deemed appropriate by council officers but also those considered necessary by operational community councillors. Notification of the consultation will be issued to all community council secretaries, community councillors for whom we hold contact details and all elected members, inviting comments on the current scheme. An advert will also be placed in the local press advising of the intention to revoke the existing scheme and inviting comments to inform the terms of the new scheme. A period of at least 8 weeks must and will be allowed for public consultation.

It is anticipated that 3-4 meetings of the working group will be necessary to develop an initial draft of the Scheme for consideration. Early meetings of the working group will be arranged and it is hoped that the initial draft Scheme can be presented to the panel in June 2020, before it is issued for public consultation. A further period of at least 8 weeks must be allowed for comments, following which a final draft proposed Scheme will be produced and advertised again for a period of at least 8 weeks.

The final Scheme will be adopted after all 3 stages of the statutory public consultation have been concluded. It is hoped that the finalised Scheme will be adopted at a meeting of West Lothian Council in February/March 2021. A timetable of key dates is set out in the appendix to the report.

## **E. CONCLUSION**

Once a new Scheme for Establishment of Community Councils has been adopted, it will be published on the internet and issued to every community councillor in West Lothian. Training and support on the new Scheme will be offered following the community council elections in 2021.



**F. BACKGROUND REFERENCES**

Scheme for Establishment of Community Councils in West Lothian February 2015.

Appendices/Attachments: Community Council Scheme Review 2020-21 Draft Timetable

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**Julie Whitelaw**

**Head of Corporate Services**

Date of meeting: 7<sup>th</sup> February 2020



## COMMUNITY COUNCIL SCHEME REVIEW 2020/21

## TIMETABLE

1.	Write to all community councils and elected members and place advert inviting comments on existing scheme in the Courier, Gazette, council's website, Bulletin newspaper, social media platforms, etc.	w/c 10/2/2020
2.	Ask Planning Services to review the community council ward boundaries and identify any anomalies which require to be addressed as part of the review.	w/c 10/2/2020
3.	Arrange 1-2 meetings with the Joint Forum to look at the current scheme and identify areas which could benefit from being changed and hear of suggestions from the Joint Forum which could be incorporated in a new scheme.	w/c 24/2/2020 w/c 17/3/2020
4.	Closing date for comments on existing scheme.	10/4/2020
5.	Meet with Joint Forum to discuss comments received during 1 <sup>st</sup> round of consultation.	w/c 27/4/2020
6.	Produce report and draft Scheme for consideration at next P&R PDSP.	11/5/2020
7.	Report back to P&R PDSP with a draft scheme taking account comments received during 1 <sup>st</sup> stage of public consultation exercise and any proposed boundary changes.	5/6/2020
8.	Write to all community councils/elected members and place advert in the Courier/Gazette/website with draft scheme for comments.	w/c 8/6/2020
9.	Closing date for comments on draft scheme.	7/8/2020
10.	Meet with the Joint Forum to discuss comments received on draft scheme.	w/c 17/8/2020
11.	Produce report for consideration at next P&R PDSP.	September 2020

## APPENDIX

12.	Report back to P&R PSDP with comments on draft scheme and produce amended draft scheme.	September/ October 2020
13.	Write to all community councils/elected members and place advert in the Courier/Gazette/Website with amended draft scheme for comments.	September/ October 2020
14.	Closing date for comments on amended draft scheme.	November/December 2020
15.	Meet with the Joint Forum to discuss comments on amended draft scheme and produce finalised scheme.	December 2020/ January 2021
16.	Produce report for consideration at next P&R PDSP.	January 2021
17.	Report back to P&R PDSP with comments on amended draft scheme and produce finalised scheme.	January/February 2021
18.	Present final scheme to a special meeting of West Lothian Council in February/March 2021 for adoption.	February/March 2021
19.	Write to all community councils/elected members and place advert in press with notification of finalised scheme.	February/March 2021
20.	E-mail the scheme to all community councillors and community council secretaries and publish online.	February/March 2021
21.	Make arrangements to tell all community councillors, elected members, etc. details of the deadlines, etc. that will apply to the community council elections in 2021.	February/March 2021



**PARTNERSHIP AND RESOURCES POLICY DEVELOPMENT AND SCRUTINY PANEL**

**SICKNESS ABSENCE (1 APRIL 2019 TO 31 DECEMBER 2019)**

**REPORT BY HEAD OF CORPORATE SERVICES**

**A. PURPOSE OF REPORT**

To report on sickness absence rates during the period 1 April 2019 to 31 December 2019 and to provide an update on the ongoing application of the council's Policy & Procedure for Supporting Attendance at Work.

**B. RECOMMENDATION**

That the Panel notes the content of the report.

**C. SUMMARY OF IMPLICATIONS**

<b>I Council Values</b>	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
<b>II Policy and Legal (including Strategic Environmental Assessment, Equality Issues, Health or Risk Assessment)</b>	Council 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.
<b>III Implications for Scheme of Delegations to Officers</b>	None
<b>IV Impact on performance and performance Indicators</b>	While the sickness absence SPI for 2019/20 at the start of the first Quarter was lower than it has been in any of the last 3 years, rates have further increased in the third Quarter.
<b>V Relevance to Single Outcome Agreement</b>	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.

<b>VI Resources - (Financial, Staffing and Property)</b>	Sickness absence is managed within service budgets.
<b>VII Consideration at PDSP</b>	Quarterly reports are submitted to the Panel on an ongoing basis.
<b>VIII Other consultations</b>	Regular meetings take place with the trade unions on an ongoing basis to monitor the application of the policy.

## **D. TERMS OF REPORT**

### **D.1 BACKGROUND**

The Council Executive on 26 June 2018 approved a Policy and Procedure for Supporting Attendance at Work that replaced the former Policy and Procedure on Managing Sickness Absence with effect from 1 September 2018.

This report relates to the first three quarters of the 2019/20 year from 1 April 2019 to 31 December 2019.

### **D.2 SICKNESS ABSENCE RATES**

#### Standard Performance Indicator – Council Wide

The sickness absence Standard Performance Indicator (SPI) for the full council for the period 1 April 2019 to 31 December 2019 is set out at **Appendix 1** of this report together with the SPI performance indicators for the full years 2014/15 to 2018/19.

The SPI for December 2019 is 5.63%, which compares with an SPI figure of 5.18% for December 2018. A total of 4,732 employees were absent from work for one or more days for the previous rolling 12 months.

#### Standard Performance Indicators – Services

The sickness absence SPI for each service area (figures for teaching and non-teaching staff shown separately), for the period 1 April 2019 to 31 December 2019 is set out at **Appendix 2**.

Of the seven council service areas, five reported sickness absence rates above the council target of 3.6% (CEO, Finance and Property Services, Education Services, Housing, Customer and Building Services, Operational Services, and Social Policy). While the Education Service is counted as one service, the chart reflects teaching and non-teaching figures separately.

Corporate Services (2.84%) and Planning and Economic Development (3.22%) are reporting below the Council target of 3.6%

#### Long –Term Absence (1 April 2019 – 31 December 2019)

Of the days lost due to sickness absence during this period, a significant proportion of those absences are attributable to long term absence which is defined in the policy as a period of continuous absence *'in excess of 4 weeks.'*

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

- Of the total number of 2,868 days lost in CEO, Finance and Property Services, 1,860 (64.85%) of those days were due to long-term absence and were accounted for by 29 employees.
- Of the total number of 31,385 days lost in Education Services, 21,009 (66.94%) of those days were due to long-term absence and were accounted for by 364 employees
- Of the total number of 14,316 days lost in Housing, Customer and Building Services, 11,000 (76.84%) were due to long-term absence and were accounted for by 159 employees.
- Of the total number of 26,356 days lost in Operational Services, 20,695 (78.52%) were due to long-term absence and were accounted for by 325 employees.
- Of the total number of 22,381 days lost in Social Policy, 17,310 (77.34%) were due to long-term absence and were accounted for by 231 employees.

The average percentage days lost due to long-term absence across the five services was 73.86%. The average percentage of sick days lost due to long-term absence across the council as a whole was 73.63%. The average length of long-term absence during the period was 64 days with the longest absence lasting 261 days.

#### Analysis of Categories of Absence (1 April 2019 – 31 December 2019)

Top four reported reasons for all absences, split by long term are as follows:

<b>Level 1 Reasons</b>	<b>Days</b>	<b>Long Term %</b>	<b>All Absence%</b>
Mental & Behavioural	32,377	28.10%	32.41%
Musculoskeletal	11,438	11.45%	14.05%
Surgery	7,188	7.20%	8.49%
Accidents, Injuries, Poisoning	6,458	6.46%	8.38%

#### Mental & Behavioural Level 2 Category

The main category for absences is Mental and Behavioural. A breakdown of all mental and behavioural absences recorded is set out below:

<b>Mental &amp; Behavioural</b>	<b>Days</b>	<b>Long Term %</b>	<b>All M&amp;B Absences%</b>
M&B-Stress	19,685	52.88%	60.80%
M&B-Anxiety	5,032	13.02%	15.54%
M&B-Depression	4,987	14.33%	15.40%
M&B-Not specified	1,662	4.11%	5.13%
M&B-Other psychiatric ill	458	1.06%	1.41%
M&B-Bipolar disorder	156	0.33%	0.48%
M&B-Eating disorder	98	0.13%	0.30%
M&B-Insomnia	74	0.17%	0.23%
M&B-Alcoholism	69	0.20%	0.21%
M&B-Panic attacks	64	0.16%	0.20%
M&B-Self harm	48	0.15%	0.15%

M&B-OCD	44	0.14%	0.14%
<b>Total</b>	<b>32,377</b>	<b>86.69%</b>	<b>100.00%</b>

Given that 'Mental and behavioural' absences account for 32.41% of all absences, increased promotion of EAP services and other mental health supportive measures will be prioritised. In this regard, a wellbeing programme for education and awareness for all staff is currently being progressed with this objective in mind through the HR Programme Board.

### 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 monitoring and management of sickness. Table 1 below shows the number of employees at each stage of the Policy and Procedure as at 31 December 2019, compared to the previously reported positions.

**Table 1**

	<b>Counselling/ Informal Review Meeting</b>	<b>Stage 1</b>	<b>Stage 2</b>	<b>Total</b>
Total at 31 December 2019	<b>746</b>	<b>393</b>	<b>273</b>	<b>1,412</b>
Total at 31 December 2018	346	438	293	1,077
Total at 31 December 2017	590	515	225	1,330

A breakdown of live cases as at 31 December 2019 is set out in Table 2.

**Table 2**

	<b>Counselling/ Informal Review Meeting</b>	<b>Stage 1</b>	<b>Stage 2</b>	<b>Total</b>
Cases on going from 30 September 2019	265	243	240	748
New cases since 30 September 2019	481	150	33	664
<b>Total</b>	<b>746</b>	<b>393</b>	<b>273</b>	<b>1,412</b>

#### ii) Other Support Initiatives

##### HR Adviser Input – Management Meetings

During Quarter 3 (2019/20), the following functional areas were targeted for input and support from Human Resources Advisers;

- Education (Teaching)
- Education (Non –Teaching)
- Care Homes



- Facilities Management
- Waste Services
- NETS, Lands & Countryside
- Roads & Transportation
- Building Services

Out of all the areas above, three (NETS, Lands & Countryside, Roads & Transportation, and Care Homes) reported reductions in sickness absence levels for Quarter 3. Care Homes have overall reduced their absence rates by 1.90% since April 2019.

Within the level of advisory resource available, Human Resources continue to provide as much ongoing support as possible to a number of Service Managers across those functional areas to develop action plans to address some of the issues and to help line managers manage staff absences in line with policy.

The expectation is that the impact of this support will be reflected in an improved SPI position going forward.

#### Employee Assistance Programme

Since 1 November 2018, a telephone based counselling service (Help EAP) has been in operation. Statistics from Quarter 3 (2019/20) show that 148 calls were handled resulting in 43 employees receiving mental health assessment and one individual being signposted to Voluntary/Private Services. Nineteen employees were referred on for structured telephone counselling sessions with another twenty-three being referred on for 'face to face' counselling. One user was referred for computerised Cognitive Behavioural Therapy (CBT).

HR Advisers will continue to promote the use of this service and the trade unions have been asked to promote these services to their members.

#### **D.4 SUPPORTING ATTENDANCE AT WORK (1 December 2018 – 31 December 2019)**

The Policy and Procedure for Supporting Attendance at Work was approved by the Council Executive on 26 June 2018 and became effective from 1 September 2018.

Since 1 December 2018, managers have consulted Human Resources on 446 occasions, in regard to proposals to suspend application of the corporate trigger level for a limited period to take account of extenuating circumstances in individual cases (this includes extending periods of absence to which discretion has already been applied). Of those 446 requests, 419 (93.11%) have resulted in discretion being applied.

A breakdown of the general categories in respect of which requests for discretion have been considered are as follows:

Main Category	Discretion Applied	Discretion Not Applied
Assault	4	0
Bereavement	99	2
Carer Responsibilities	5	0
Industrial Injury	12	0
Medical Treatment	88	11

Personal Difficulties	13	10
Surgery	195	2
Trauma	3	2
<b>Total</b>	<b>419</b>	<b>27</b>

The policy provides for management decisions not to apply discretion to be reviewed by a more senior manager if requested by the employee concerned. The fact that no such requests have been made to date would infer that individuals largely feel that application of the policy is being applied in a fair and suitably compassionate manner.

## **E. CONCLUSION**

Despite an encouraging performance in the first Quarter, the latest SPI figures indicate that sickness absence rates continue to rise.

Stress continues to be the highest contributor to levels of absence in the authority and in this regard, the focus going forward will be on targeting additional support at those service areas that are reporting high levels of stress – related absence. This is analysed in greater detail as part of the review of the council's Policy and Procedure for Supporting Attendance at Work, the outcome of which will be reported separately to the Panel.

## **F. BACKGROUND REFERENCES**

- Policy & Procedure for Supporting Attendance at Work

Appendices/Attachments: 2

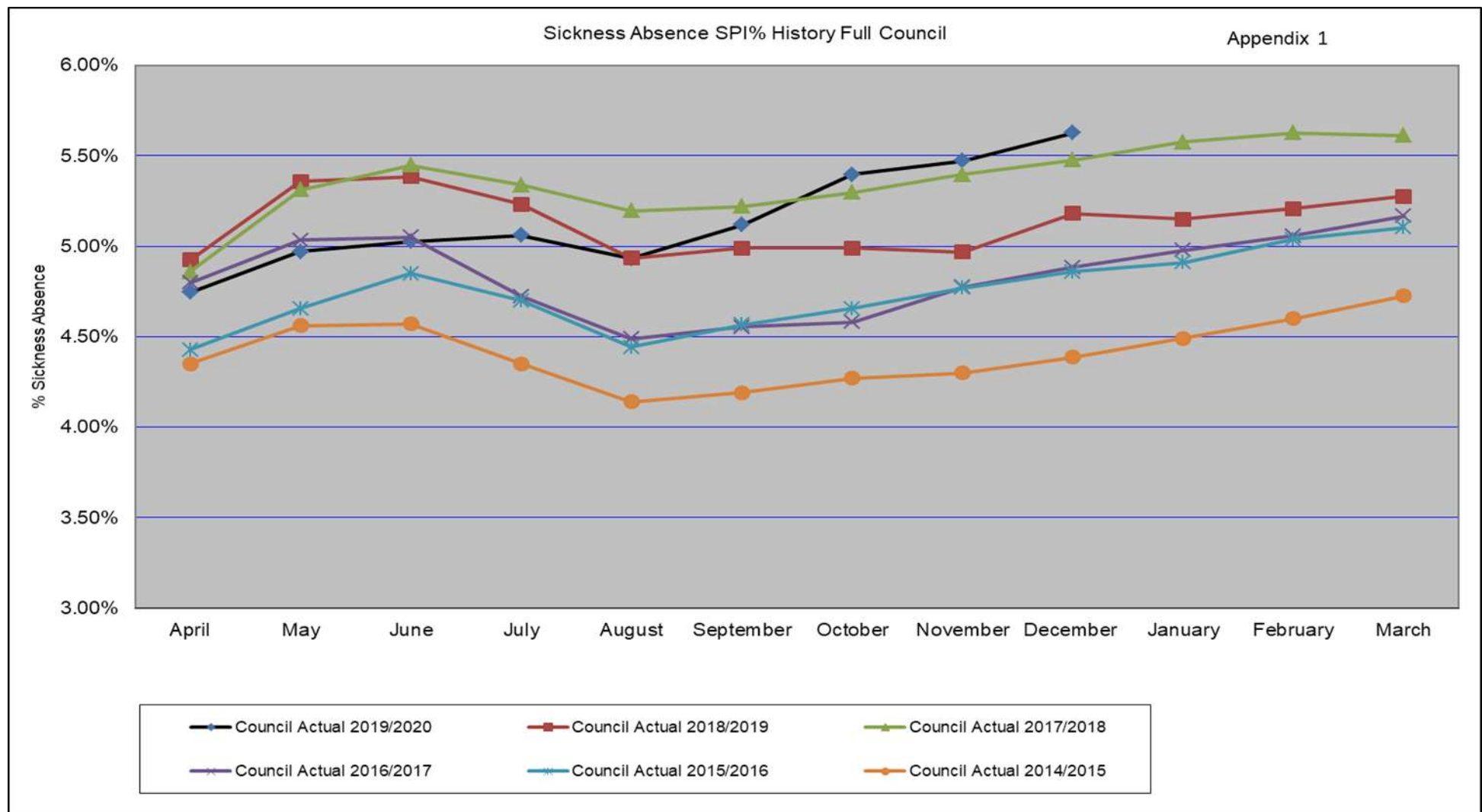
1. Sickness Absence SPI% History – Full Council
2. Sickness Absence SPI% all services – 2019/20

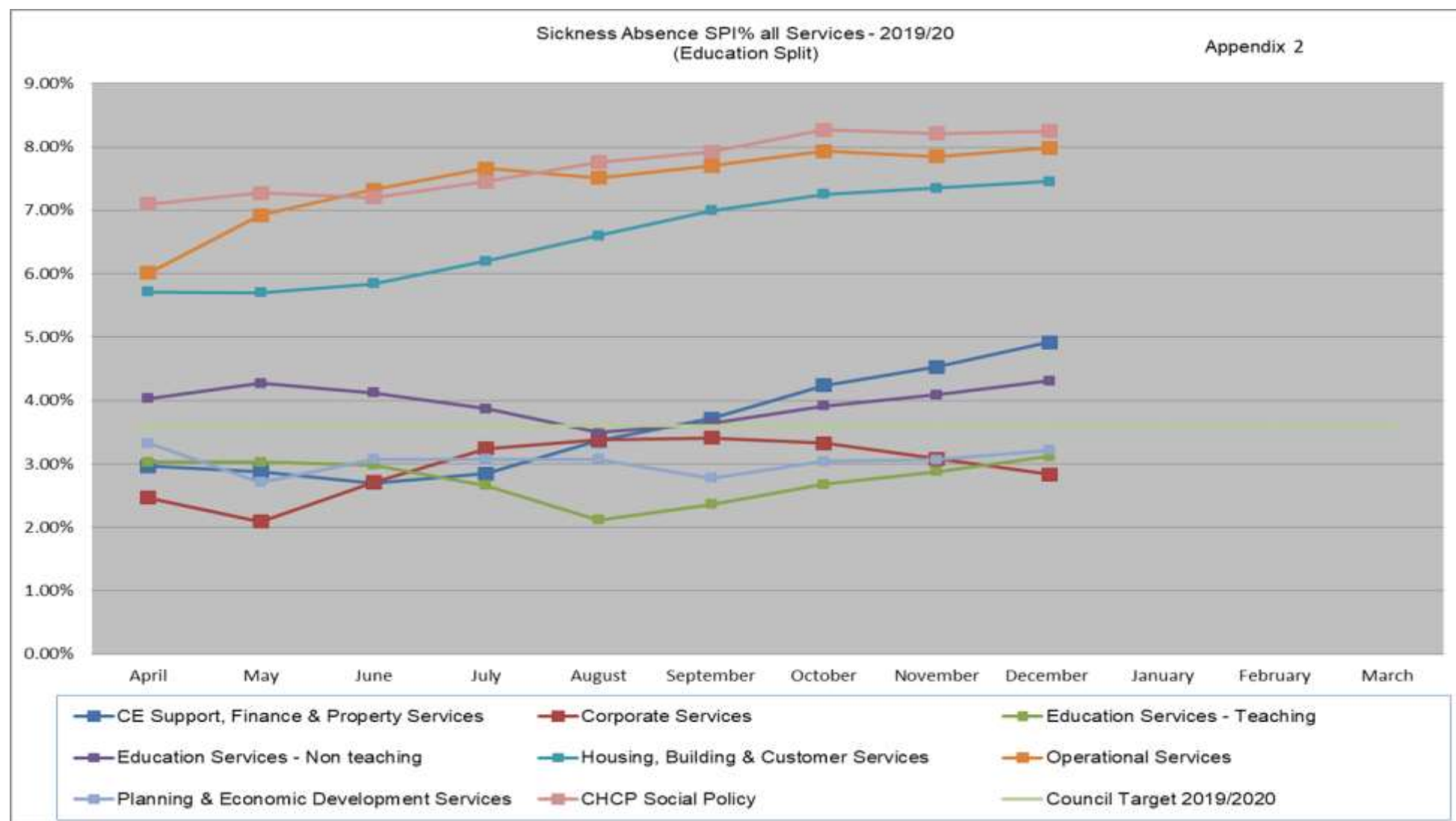
Contact Person: Fraser Mackenzie, HR Manager – Policy & Advice (01506 281422)

**Julie Whitelaw**

**Head of Corporate Services**

**7 February 2020**







**PARTNERSHIP AND RESOURCES POLICY DEVELOPMENT AND SCRUTINY PANEL**

**REVIEW OF POLICY AND PROCEDURE FOR SUPPORTING ATTENDANCE AT WORK**

**REPORT BY HEAD OF CORPORATE SERVICES**

**A. PURPOSE OF REPORT**

To present to the Panel, the outcome of a review of the council's Policy and Procedure for Supporting Attendance at Work together with a Supporting Attendance Action Plan to improve the effectiveness of the policy going forward.

**B. RECOMMENDATION**

It is recommended that the Panel:

1. Notes that sickness absence rates across the council have been rising despite the introduction of the council's Policy and Procedure for Supporting Attendance at Work on 1 September 2018 as reflected in quarterly Statutory Performance Indicator (SPI) figures reported to the Panel;
2. Notes the summary position on absence rates and in particular, the prevalence of stress-related absence as set out in Section D.2 of the report;
3. Notes the proposed adjustments to the policy and its application set out in Section D.3 aimed at improving its effectiveness.
4. Notes the package of measures currently in place to support the management of stress-related absence outlined in Section D.4;
5. Notes the additional support measures proposed in the Supporting Attendance Action Plan at Appendix 1 of the report;
6. Considers the proposal that the policy should continue to be reviewed on an annual basis to ensure that improvement in the council's sickness absence levels are being delivered;
7. Notes that quarterly sickness absence monitoring reports will continue to be submitted to the Panel in the normal manner and that regular update meetings with the recognised Trade Unions will also continue on an ongoing basis.

**C. SUMMARY OF IMPLICATIONS**

**I Council Values**

- Focusing on our customers' needs
- being honest, open and accountable

	<ul style="list-style-type: none"> <li>• providing equality of opportunities</li> <li>• making best use of our resources</li> </ul>
<b>II Policy and Legal (including Strategic Environmental Assessment, Equality Issues, Health or Risk Assessment)</b>	The Policy and Procedure approved by the Council Executive on 26 June 2018 seeks to strike a balance between effective management of sickness absence and the promotion of a healthy workforce that takes account of the council's obligations under equality legislation.
<b>III Implications for Scheme of Delegations to Officers</b>	An amendment to the policy and procedure will involve minor adjustments to service Schemes of Officer delegations enabling Heads of Service to delegate responsibility for Stage 3 meetings and Capability Review meetings to Service and Group Managers as appropriate.
<b>IV Impact on performance and performance Indicators</b>	Since the implementation of the current policy on 1 September 2018, SPI figures for sickness absence has increased from 4.99% to 5.63% as at 31 December 2019.
<b>V Relevance to Single Outcome Agreement</b>	High attendance levels assist the council in providing continuity of quality service delivery to customers.
<b>VI Resources - (Financial, Staffing and Property)</b>	The proposed improvement measures arising from the policy review include the funding of an additional temporary HR Adviser to support the application of the policy together with continued funding of an existing temporary HR Adviser post for a further 12 months.
<b>VII Other consultations</b>	Consultation has taken place with the council's recognised Trade Unions.

## **D. TERMS OF REPORT**

### **D.1 BACKGROUND**

The council's Policy and Procedure for Supporting Attendance at Work was approved by the Council Executive on 26 June 2018 with an implementation date of 1 September 2018. The policy and procedure replaced the former council Policy and Procedure on Managing Sickness Absence which had proved unsuccessful in reversing the upward trend in sickness absence rates as reported in successive quarterly reports to the Partnership & Resources PDSP. Those reports highlighted that long-term sickness absence was a particular issue for the council.

The overall rationale behind the introduction of the revised policy was to try to strike a balance between proactively addressing the council's high levels of sickness absence while doing so in a manner that was supportive and sufficiently flexible to enable discretion to be applied where extenuating circumstances called for a compassionate application of the policy.

In approving the new policy, the Council Executive also instructed that it be reviewed after 12 months to assess its effectiveness particularly in addressing long-term sickness absence. The outcome of that review together with a Supporting Attendance Action Plan for implementing improvements going forward is set out in this report.

## **D.2 SPI PROFILE ANALYSIS**

The Statutory Performance Indicator (SPI) for December 2019 is 5.63%, which compares with an SPI figure of 5.18% for December 2018, which is reflective with the rising trend in absence across the authority.

Mental & behavioural absences have accounted for 31.41 % of all absence over the period 1 April 2019 to 31 December 2019 and since the council's Policy and Procedure for Supporting Attendance at Work was introduced on 1 September 2018, 56% of cases recorded under that category were stress-related. In those cases where the source of the stress was specified, 42% related to personal stress factors while 15% specified work-related factors. A further 4% specified both personal and work-related factors. The remaining 39% was non-specified.

The main factors recorded as accounting for personal stress (non-work related) were bereavement and carer responsibilities. The other cases were wide ranging and included stress arising from health worries, awaiting medical test results and family, domestic issues.

## **D.3 ADJUSTMENTS TO POLICY AND MONITORING ARRANGEMENTS**

### **Extended Management Discretion**

The new policy removed the provision for the automatic disregard of absence relating to *non - elective hospital treatment, industrial injury, and bereavement* and replaced it with additional flexibility for relevant managers to apply discretion in extenuating circumstances.

Under the previous approach periods of absence disregarded for trigger purposes were open-ended and therefore often resulted in lengthy absences. The new policy enables relevant managers to apply temporary relaxation of trigger levels at any point up to Stage 2 of the procedure. The periods of absence in respect of which discretion is exercised, are subject to review which enables greater control to be exercised over the length of absences. The requirement for managers to consult HR Services on each occasion that discretion is being considered also ensures a consistent, corporate approach is maintained.

Following an analysis of cases where discretion has been applied under the new policy, it is considered that the monitoring and control of discretionary decisions would benefit from undertaking a Mandatory Case Review of all discretionary absences that extend to 6 weeks. In addition, the requirement for services to provide further supporting information in support of requests to extend initial periods of discretionary absence before an extension is agreed, will be more robustly enforced.

### **Additional Policy Compliance Monitoring**

Under the new policy, trigger action points now apply to cases of continuous (long-term absence) at 4 weeks, 3 months, 6 months, and 9 months. Instead of long-term

absences of employees becoming open-ended under the former policy and resulting in the tendency for individuals to become disenfranchised from the organisation, the application of trigger action points now ensures earlier and more regular contact and engagement with individuals thus increasing the possibility of a quicker return to work.

In addition to the monitoring information currently issued by HR Services to services, it is proposed that Heads of Service will be provided with additional monitoring reports going forward to assist in tracking ongoing cases. Improved visibility of cases for Heads of Service will ensure that appropriate action is being taken timeously at the relevant stages of the policy by the relevant managers in their services.

### **Extended Management Delegation (Procedural Stages 2 and 3)**

With a view to ensuring a more flexible and effective day to day application of the Policy and Procedure for Supporting Attendance, responsibility for chairing Capability Assessment Review Panels and Stage 3 Capability Assessment meetings (formerly Final Absence meetings) will be delegated to Service and Group Manager level facilitated by the necessary adjustments to service Schemes of Officer Delegations.

In addition, responsibility will be further delegated to Service Managers and Group Managers to exercise discretion at Stage 2 of the procedure in determining whether or not a Capability Review Panel requires to be convened subject to consultation with HR Services.

## **D.4 CURRENT SUPPORT MEASURES – STRESS RELATED ABSENCE**

Given that stress – related absence constitutes the highest contributor to absence in the authority, a number of resources are in place aimed at supporting staff to either remain at work during stressful periods/situations or if absent to assist employees to return to work. Details of these resources are set out below:

### **Employee Assistance Programme (EAP)**

The EAP is a confidential service run independently by Help EAP (a subsidiary of Optima Health) who provide a 24/7/365 telephone helpline service. The telephone helpline provides instant access for employees to a professional service on a range of work-related and personal issues such as stress, anxiety, addiction, bullying & harassment, bereavement, ill health etc. In addition, Help EAP is able to provide legal and financial information such as property issues, personal injury claims, consumer rights, debt management etc.

Although initial contact is by telephone Help EAP is able to provide face to face counselling services where appropriate and also has a free online resource which provides comprehensive information on a range of issues including life stage events such as pregnancy, caring for others as well as stress/anxiety.

### **Employee Financial Support Service**

Employees of the council who are worried about money matters can access free, confidential advice tailored to individual needs through the Advice Shop. The Employee Financial Support Service provides a three-step process, which supports employees to maximise income by looking at ways to reduce outgoing costs and develop practical skills to put them in control of their money.



## **Learning and Development Support**

The Learning and Development Team in HR Services have a number of online eLearning modules and bitesize training courses including mentally healthy workplace, developing resilience, dealing with sensitive conversations and supporting attendance at work, all designed to equip managers with the appropriate skills and tools to manage stress related absences.

## **Workplace Chaplain**

The council currently engages with Work Place Chaplaincy Scotland who offers confidential pastoral support for all employees. The Chaplain is available every Tuesday morning in the Civic Centre. This service is offered on a drop in basis and a room has been made available for confidential discussions away from the general office.

## **Employee Mental Well-Being Policy**

Under the council's Employee Mental Wellbeing Policy recommends that line managers offer to meet with staff as soon as possible at the point that an employee reports a stress related absence. The key objective is to identify the issues that are giving rise to the employee's stress so that an appropriate support plan can be put in place.

In cases where the employee struggles to articulate the cause of work related stress, or where recommended by OH, the line manager can provide the employee with a stress audit. This audit was developed by the Health & Safety Executive based on six management standards (demands, control, support, relationships, role, and change) and is presented in a questionnaire to be completed by the employee.

## **Healthy Working Lives (HWL) Initiatives**

The Healthy Working Lives (HWL) group hold two health weeks per year, one in the summer and one in the winter. During these health weeks there are a number of activities held and at least one activity is based on mental health. For example, the 2019 programme of activities included the Steps in Work challenge, Office yoga classes and Mindfulness classes.

## **Online Resources**

In addition to the above supports, Westspace is West Lothian's partnership online source of mental health and wellbeing information, which is managed by Health in Mind in conjunction with NHS Lothian and Changes CHP. This website provides a database which aims to signpost individuals to appropriate mental health and wellbeing services within West Lothian, enabling them to access services and information which may be of benefit to them or someone they support.

## **D.5 ADDITIONAL SUPPORT MEASURES PROPOSED**

In addition to the proposed minor adjustments to the policy and the increased compliance monitoring arrangements outlined earlier at Section D.3, a range of other supplementary measures are proposed to support the application of the policy as set out below;

### **Recruitment of an additional HR Adviser**

An additional HR Adviser will be recruited to specifically support those services with the highest levels of stress-related absence. The role of the Adviser will be to support managers apply the Employee Mental Wellbeing Policy ensuring that meetings take place timeously and that individual Employee Stress Action Plans are developed. While the line manager and employee will be responsible for driving forward any actions, HR Services will support and record the necessary interventions/actions.

### **Procurement of Specialist Training**

To supplement the training currently delivered through the council's Learning & Development team, additional specialist training will be procured through the Health & Social Care Partnership (HSCP) promotion team to support managers in managing difficult and sensitive issues;

### **Four Pillars of Wellbeing Initiative**

In attempts to draw together the various resources available both online and locally, HR Services in partnership with Healthy Working Lives (HWL) Group, Health, & Safety and Anti-poverty Services have developed the Four Pillars of Wellbeing Programme. This initiative focuses on the four main themes of mental health, physical health, financial wellbeing, and workplace wellbeing. It is designed to provide valuable information and designated pathways to help employees navigate their own wellbeing journey as well as equipping line managers with tools to signpost staff to the various supportive options available.

A website will be available on the Council's intranet accessible to all staff and will provide an extensive source of information to signpost staff to various professional local and nationally provided sources of support as well as providing some self-help tools and guidance including increased promotion of the council's Employee Assistance Programme (EAP).

In addition, a quarterly Wellbeing Employee Briefing Script will be distributed to Line Managers for cascading within their teams, the first of which focusses on work-related and personal stress, how to recognise the signs in themselves and colleagues, and where to access appropriate support.

### **Mental Health First Aiders**

The introduction of Mental Health First Aiders in certain areas of the service will be piloted. A Mental Health First Aider provides a support contact in the workplace for anyone experiencing mental health issues. The first aider will be present to help guide the person in distress to the relevant help they need.

Once trained the person will have the relevant knowledge to be able to identify someone who is developing a mental health issue. Introducing Mental Health First Aiders will ensure employees are involved directly in supporting the council's health and wellbeing strategy.

It is proposed that HR Services will liaise with Heads of Service to agree appropriate areas to pilot this service. This will involve an agreed selection process to ensure suitable individuals are appointed to undertake the training required.

## **Accessing Treatment Interventions in the Community**

A pilot will be conducted to assess the feasibility of council employees accessing community treatment services for mental health/addiction issues through the Health & Social Care Partnership (HSCP).

Access to these services is currently available through a GP or social work referral for all West Lothian residents and is based in Wellbeing Hubs situated in St John's Hospital and Bathgate. The service provides 1:1 support to individuals for low level stress/distress and mental health conditions including but not exclusively bereavement issues.

West Lothian Drug & Alcohol Services (WLDAS) are also able to offer adult counselling and support services for all West Lothian residents and provide a number of drop-in services available throughout the region at various times throughout the week allowing people with an alcohol or drug problem easy access to local services without an appointment.

Initial discussions have taken place with the Director of the HSCP on the potential to create a pathway for all West Lothian Council employees to access these services without the requirement for either a GP referral or West Lothian residency.

## **Champion of Healthy Working Lives (HWL)**

While the HWL group will continue to promote health activities including awareness of mental health issues throughout the year such as the Mental Health Awareness week held annually in May, it is considered that a more visible and high level promotion of HWL issues might help raise greater awareness.

It is proposed that the Depute Chief Executive – Social Policy and HSCP will champion the HWL initiative going forward. The Trade Unions that are already represented on the council's HWL Steering Group will also be asked to input to the programme.

## **Development of Carers Policy**

An analysis of sickness absence cases in the council indicates that a proportion of absences can be attributed to employees who themselves are not sick but take time off to care for other members of their family.

While the council's Policy on Leave for Family Care Purposes does include provision for time off to care for an ill dependent, the policy is not sufficiently flexible in scope to deal with employees with on-going, longer term caring responsibilities.

It is considered that the development of a specific Carers Policy for the council may have the added benefit of reducing employee stress and sickness absence. The peak age for caring is the 45-64 age group which accounts for approximately 52% of the council's workforce and in terms of retention, represents a group of employees with a vast amount of valuable skills and experience.

## **E. CONCLUSION**

The Policy and Procedure for Supporting Attendance at Work has had limited success in impacting sickness absence rates in the authority since its introduction on 1 September 2018 and in overall terms during the period of its application, rates have

marginally increased.

It has become evident that applied in isolation, the policy itself has been an insufficient tool for reducing sickness absence and that further supplementary support measures are required. With that in mind, a Supporting Attendance Action Plan has been developed to address the root causes of sickness absence which includes a package of positive and targeted measures aimed primarily at tackling stress – related absence which to date tends to be the highest contributor to absence in the authority.

Progress on implementation and monitoring of the effectiveness of the planned measures and initiatives will be reported regularly to the Panel. Regular updates meetings with the council's recognised Trade Unions will also continue as part of the consultative process.

It is proposed that the policy and procedure should continue to be reviewed on an annual basis to ensure that sustained improvement in sickness absence levels is delivered subject to appropriate solutions being proposed where this is not the case.

## **F. BACKGROUND REFERENCES**

- Policy and Procedure for Supporting Attendance at Work  
( Approved Council Executive : 26 June 2018)
- 

### **Appendices/Attachments:**

#### **Appendix 1: Supporting Attendance Action Plan**

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**Julie Whitelaw**  
**Head of Corporate Services**  
**7 February 2020**

## SUPPORTING ATTENDANCE AT WORK

### ACTION PLAN – REVIEW OF POLICY AND STRATEGY

AREA OF ACTIVITY	ACTION	ACTION BY	START DATE	TARGET COMPLETION DATE
Review of Policy	<ul style="list-style-type: none"> <li>Report to P&amp;R PDSP</li> </ul>	HR Services	7 Feb 2020	7 Feb 2020
	<ul style="list-style-type: none"> <li>Report to Council Executive</li> </ul>	HR Services	25 Feb 2020	25 Feb 2020
	<ul style="list-style-type: none"> <li>Implement policy amendments (officer delegations/application of discretion )</li> </ul>	HR Services	26 Feb 2020	26 Feb 2020
	<ul style="list-style-type: none"> <li>Managers Briefing/Workshops on review outcome</li> </ul>	HR Services	2 Mar 2020	31 Mar 2020
Supporting Application of Policy	<ul style="list-style-type: none"> <li>Continue funding of Temporary HR Adviser resource</li> </ul>	HR Services	1 April 2020	31 Dec 2020
	<ul style="list-style-type: none"> <li>Recruitment of additional HR Adviser</li> </ul>	HR Services	13 Jan 2020	31 Mar 2020
	<ul style="list-style-type: none"> <li>Develop employee Stress Action Plans</li> </ul>	HR Advisers /Heads Of Service	April 2020	Ongoing
	<ul style="list-style-type: none"> <li>Ongoing monitoring of employee stress action plans</li> </ul>	HR Advisers /Heads Of Service	April 2020	Ongoing
	<ul style="list-style-type: none"> <li>Apply revised policy compliance monitoring – absence management reporting and application of discretion</li> </ul>	HR Advisers /Service & Line Managers	Feb/Mar 2020	Ongoing
Accessing Treatment Interventions in the Community	<ul style="list-style-type: none"> <li>Assess feasibility of providing access to Community Wellbeing Hubs for council employees via HSCP</li> </ul>	HR Services /Depute Chief Executive (HSCP)	1 April 2020	June 2020
	<ul style="list-style-type: none"> <li>Conduct Pilot</li> </ul>	HR Services /Depute Chief Executive (HSCP)	TBC	TBC
Training & Management Support	<ul style="list-style-type: none"> <li>Review content of NHS training module on managing difficult and sensitive conversations/employee engagement</li> </ul>	HR Services	Feb/March 2020	TBC
	<ul style="list-style-type: none"> <li>Procure training as appropriate</li> </ul>	HR Services	April 2020	April 2020
	<ul style="list-style-type: none"> <li>Review options for Mental</li> </ul>		Feb 2020	

AREA OF ACTIVITY	ACTION	ACTION BY	START DATE	TARGET COMPLETION DATE
	Health First Aider Training <ul style="list-style-type: none"> <li>Identify areas to introduce Mental First Aiders in conjunction with Heads of Service</li> </ul>	HR Services  HR Services	March 2020	Feb 2020  March 2020
Promotion of Employee Well-Being Initiatives	<ul style="list-style-type: none"> <li>Launch and promote Four Pillars of Wellbeing initiative through council Intranet and Quarterly Employee Briefing Scripts</li> <li>Promote Workplace Chaplain service through INSIDE NEWS publication</li> <li>Develop Healthy Working Lives programme of activities for remainder of the year.</li> </ul>	HR Services  HR Services  HR Services /Depute Chief Executive	April 2020  Feb 2020  Jan 2020	Ongoing  March 2020  Ongoing
Policy Development	<ul style="list-style-type: none"> <li>Develop Carers Policy</li> </ul>	HR Services	March 2020	June 2020



**PARTNERSHIP AND RESOURCES POLICY DEVELOPMENT AND SCRUTINY PANEL**

**POLICY ON THE MISUSE OF ALCOHOL, DRUGS AND OTHER SUBSTANCES**

**REPORT BY HEAD OF CORPORATE SERVICES**

**A. PURPOSE OF REPORT**

To request that the Panel considers further, the implementation of random testing as part of the council's Policy on the Misuse of Alcohol, Drugs and Other Substances.

**B. RECOMMENDATION**

The Panel is recommended to;

1. Note the representations by the trade unions in relation to the implementation of random testing as part of the council's Policy on the Misuse of Alcohol, Drugs and Other Substances;
2. Consider whether to progress with a review of posts defined as 'safety critical' based on a revision to the definition in the Policy on the Misuse of Alcohol, Drugs and Other Substances;
3. Consider the proposal to develop and deliver a programme of education, training and awareness to further equip managers to fulfil their responsibilities under the policy.

**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 council has a statutory obligation to ensure the health, safety and welfare of all its employees whilst at work, and any other person who may be affected by its acts or omissions.

**III Implications for Scheme of**

None

## Delegations to Officers

<b>IV</b>	<b>Impact on performance and performance Indicators</b>	None
<b>V</b>	<b>Relevance to Single Outcome Agreement</b>	None
<b>VI</b>	<b>Resources - (Financial, Staffing and Property)</b>	Alcohol and drug testing will have financial resource implications.
<b>VII</b>	<b>Other consultations</b>	Consultation has taken place with the council's recognised trade unions.

## D. TERMS OF REPORT

### D.1 Background

The Council Executive on 23 April 2019 approved a revised council Policy on the Misuse of Alcohol, Drugs and Other Substances to be implemented with effect from 1 September 2019.

Along with promoting a zero tolerance approach to the misuse of alcohol, drugs and other substances in the workplace, the revised Policy introduced random and with cause alcohol and drug testing.

The policy made provision for random testing to be carried out amongst staff groups occupying posts designated as safety critical. Safety critical posts were defined as those involving:

- The use of heavy machinery;
- An occupational requirement to drive Heavy Goods Vehicles (HGVs) or Passenger Carrying Vehicles (PCVs); or
- The transportation of council clients.

With cause testing, on the other hand, applies to all employees and can be undertaken at any time where a manager has reasonable cause to suspect that an employee is under the influence of alcohol or drugs at work.

### D.2 Avoidance of Dispute

Prior to implementation of the revised policy on 1 September 2019, UNISON initiated an avoidance of disputes process stating that they considered it unacceptable to treat select groups of staff differently; and that the health, safety and welfare of all employees and the risk to the public could be adequately eliminated by the proper management of employees and by a correct and robust use of with cause testing.

It is UNISON's position that they will '*accept the use of with cause alcohol, drug and other substance testing for ALL staff OR we will accept the use of both with cause and random testing for ALL staff but we will enter dispute should the use of random testing for selected groups of employees commence*'.

Similar representations have been made by other recognised trade unions including GMB and UNITE who have balloted members on industrial action specifically with



reference to random testing of select groups. The EIS position is that they are opposed to random testing and have instructed members to withdraw from arrangements to voluntarily transport pupils if they are subjected to random testing.

As a result of the above, it was agreed at the Avoidance of Disputes Committee on 28 August 2019 that the council would enter into discussions with UNISON on aspects of the policy relating to random testing. It was further agreed that random testing would be suspended pending further dialogue with all recognised trade unions. All other aspects of the policy, including with cause testing, were implemented with effect from 1 September 2019.

A further meeting of the Avoidance of Disputes Committee was held on 29 October 2019 where further dialogue between officers and trade unions was encouraged. It was also agreed at this meeting that a report would be presented to the Partnership and Resources Policy Development and Scrutiny Panel updating on the outcome of these discussions.

### **D.3 Safety Critical Posts**

Discussions have taken place in an attempt to reconcile the council's position on random alcohol and drug testing with that of the recognised trade unions. Central to these discussions has been the definition of 'safety critical' and the list of posts included in this group. The posts defined in the policy as safety critical include those involving the transportation of council clients. Caught up in the safety critical group therefore are staff who undertake transportation of clients on an irregular/infrequent and/or voluntary basis.

It is intended that the safety critical group capture those posts where the greatest risk to health and safety exists. The risks associated with driving while impaired due to alcohol or drugs are not in question, but the infrequency of the requirement to drive in some posts provides mitigation of those risks. With this in mind, the definition of safety critical could be revised to ensure that, with respect to driving, only posts with an occupational requirement to drive a Heavy Goods Vehicle or Passenger Carrying Vehicles are included.

The use of heavy machinery was also included in the definition of safety critical in recognition of the fact that impairment due to alcohol or drugs by some machine operators could pose a significant risk for the individual, colleagues, members of the public and the environment. In the absence of more information from the Health and Safety Executive on the types of heavy machinery posing the greatest risk, officers of the council prepared a list of posts that involved the use of heavy and/or dangerous machinery, including hydraulic lifting equipment, diggers, dumpers, chainsaws and excavators, to be included in the list of safety critical posts.

Following the discussions with the trade unions on changes to the definition of 'safety critical', their position relating to the introduction of random testing of employees' remains as set out in Section D.2 of this report.

### **D.4 Random Testing**

It remains the council's position that random drug testing provides an appropriate deterrent to employees in safety critical posts from presenting for work in a manner that will impair their ability to carry out their roles safely. Amending the definition of 'safety critical' for driving purposes to focus on posts that have an occupational requirement to drive a Heavy Goods Vehicle or Passenger Carrying Vehicles and no longer including those posts that undertake transportation of clients on an irregular/infrequent and/or voluntary basis would limit the use of random alcohol and

drug testing to target those posts where the greatest risk to health and safety exists.

While such proposals do not meet with the resolution sought by the recognised trade unions, when supplemented by a programme of education, training and awareness raising, they are considered to demonstrate a proportionate use of random testing which will protect the council, its employees and members of the public from the potential exposure and severe risk that alcohol and drug misuse presents.

#### **D.5 Education, Training and Awareness**

To ensure that the policy achieves its stated aims and to support managers to meet their responsibilities under the policy, it is proposed that the provisions of the policy are further supplemented by a programme of education, training and awareness. The programme will cover:

- the risk assessment process
- observational issues and spotting the signs of misuse
- having difficult conversations and the use of direct questioning
- the risks and effects of drug and alcohol in the workplace
- the impact of misuse on the health and safety of employees, customers and the public

Discussions with the recognised trade unions on the proposed programme of education, training and awareness have been encouraging with all concerned recognising the value of such a programme.

#### **D.6 With Cause Testing**

Arrangements for with cause testing will remain as stated in the policy as agreed by Council Executive. Any risks associated with a revision of the safety critical definition and reduction in safety critical posts will be mitigated by appropriate use of with cause testing by managers who are suitably trained to recognise and identify the signs of alcohol and drug misuse.

### **E. CONCLUSION**

Discussions have taken place in an attempt to reconcile the council's position on random alcohol and drug testing with that of the recognised trade unions. It is however not considered appropriate to either remove the use of random testing altogether or to extend random testing to all council employees as proposed by the trade union side.

A further examination of the safety critical definition and list of safety critical posts has concluded that the definition could be reviewed and revised to focus on posts that have an occupational requirement to drive Heavy Goods Vehicles and Passenger Carrying Vehicles; excluding posts where driving duties are limited to the transportation of clients on an irregular/infrequent and/or voluntary basis. Such a review and refinement would result in a more limited application of random testing.

Limited use of random alcohol and drug testing would complement the use of with cause testing to provide a robust management process for the detection of alcohol and drug misuse in the workplace. Provision of a further programme of education, training and awareness will ensure the appropriate use of both random and with cause testing and will support the council in delivering a workplace free from the risks associated with alcohol and drug misuse.

## **F. BACKGROUND REFERENCES**

- Policy on the Misuse of Alcohol Drugs and Other Substances (Approved 23 April 2019)

Appendices/Attachments: None

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**Julie Whitelaw**  
**Head of Corporate Services**  
**7 February 2020**





## **PARTNERSHIP AND RESOURCES POLICY DEVELOPMENT AND SCRUTINY PANEL**

### **SUPPORTING PERFORMANCE FRAMEWORK**

#### **REPORT BY HEAD OF CORPORATE SERVICES**

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

To present to the Panel a draft framework to support staff (non – teaching) achieve improved performance.

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

That the Panel:

1. Considers the draft framework set out in Appendix 1 of this report with a view to referral to Council Executive for approval;
2. Notes that it has been requested by the recognised Trade Unions that following implementation the framework is kept under review with the option to make amendments as necessary.

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

- |   |  |
|---|--|
| <b>I Council Values</b>   | <ul style="list-style-type: none"><li>• Focusing on our customers' needs</li><li>• being honest, open and accountable</li><li>• providing equality of opportunities</li><li>• making best use of our resources</li></ul>   |
| <b>II Policy and Legal (including Strategic Environmental Assessment, Equality Issues, Health or Risk Assessment)</b> | <p>The proposed framework reflects ACAS guidance on managing employee performance.</p> <p>The Equality Act 2010 requires the council to take account of the impact of its policies functions, activities and decisions on employees from protected groups. An Integrated Impact Assessment has been conducted on the proposed framework.</p> |
| <b>III Implications for Scheme of Delegations to Officers</b>   | None   |
| <b>IV Impact on performance and performance Indicators</b>  | The proposed framework is designed to manage and support employee performance and maintain service delivery standards.   |

<b>V</b>	<b>Relevance to Single Outcome Agreement</b>	Failure to effectively manage individual performance can impact adversely on the council's ability to meet its strategic service objectives.
<b>VI</b>	<b>Resources - (Financial, Staffing and Property)</b>	None
<b>VII</b>	<b>Consideration at PDSP</b>	None as yet
<b>VIII</b>	<b>Other consultations</b>	Consultation has taken place with the council's recognised trade unions.

## **D. TERMS OF REPORT**

### **D.1 Background**

A key element of the council's People Strategy 2018/23 is to promote a performance culture and encourage individuals to develop themselves, providing support and learning for those whose performance falls below required standards.

The council has in place processes that support staff in achieving improved performance in the form of the Teachers Competency Framework and the Policy and Practice on Supervision of Social Policy staff. However there are currently no equivalent arrangements in place for other non – teaching staff. Whilst used infrequently, the only mechanism available to managers to address under performance in this employee grouping is the council's disciplinary procedure.

In a benchmarking exercise, thirteen other councils confirmed that they had a Capability and Performance framework in place, typically a three stage incremental process which in the majority of cases, applies independently of their disciplinary procedures.

The proposed draft Supporting Performance Framework attached as Appendix 1 to this report will ensure a standard approach to employee performance management across non teaching roles and will ensure individuals receive structured and clear feedback when performance improvement is required. In this regard the framework highlights the need to clearly record what is agreed between the manager and employee and also for a reasonable period of time to be afforded to the employee to demonstrate improved performance.

### **D.2 Difference Between ADR Process and Performance Framework**

It is important to draw a distinction between the purpose and aims of the council's existing ADR process and the proposed Supporting Performance Framework.

The council's Appraisal and Development Review (ADR) process is underpinned by a Competency Framework that sets out core behaviours associated with effective performance for jobs at all levels in the authority. The framework is regarded as a positive and motivational tool which emphasises positive engagement with employees with the following purposes;

- To communicate and agree work outcomes and performance standards
- To give and receive feedback on all aspects of performance

- To identify development needs based on core and job specific competencies
- To implement and monitor performance improvement and development plans

The engagement process involves an annual cycle of performance reviews for all employees across the council directly linked to the councils corporate and service planning process.

While the ADR process by its very nature is likely to touch upon strengths and weaknesses in an individual's performance; it is not the mechanism for addressing fundamental under – performance.

Any corrective management intervention required in the latter circumstances sits more appropriately under a separate performance management process to be invoked on an 'as required' basis where an individual's work performance dips below satisfactory levels. It is proposed that the Supporting Performance Framework would fulfil this purpose and by definition, unlike the cyclical nature of the ADR process, would not require to be frequently invoked.

Although the ADR process and the proposed Supporting Performance Framework are designed to address employee engagement and performance from different perspectives, the overall aim of both is to ensure the delivery of efficient and effective public services.

### **D.3 ACAS Guidance**

ACAS stress the need for regular performance reviews and support to help minimise under-performance. However it is recognised that where an employee's performance consistently fails to reach the required standard despite receiving support, then line managers must be prepared to hold frank and pointed conversations with under-performing individuals and in order to do so they require to be trained accordingly.

ACAS further advise that where informal approaches fail, it may be appropriate to take more formal action which could eventually result in dismissal if employees do not make the necessary improvement. Where this is the case, an employer is advised to follow its disciplinary procedure (or the capability procedure if there is one).

In cases of unsatisfactory performance, the first formal stage should include setting out the following matters in writing;

- The areas of under- performance
- The improvement that is required
- The timescale for achieving the improvement
- A review date
- Any support, including any training, that the employer will provide to assist the employee

The employee should be advised of the action that will be taken if they fail to improve. For example, the next stage in the employer's procedure may be a final written warning and, ultimately dismissal.

Employment tribunals are legally required to take the ACAS Code of Practice on disciplinary and grievance procedures into account when considering relevant cases. Tribunals will also be able to adjust any compensatory awards made in these cases

by up to 25% for unreasonable failure to comply with any provision of the Code.

#### **D.4 Capability & Performance – Key Issues**

A Focus Group was held with managers, a number of whom had first-hand experience of dealing with under-performing staff members. The group discussed some of the practical issues involved in trying to manage such cases with a view to identifying how a uniform process for dealing with performance and capability might assist managers in those circumstances.

It was agreed that there were a number of key factors that required to be considered in developing a Supporting Performance Framework for the council;

- The need to be able to define what constitutes satisfactory performance given that under-performance can only be assessed with reference to that measure.
- That there is no 'one size fits all' approach in terms of individual performance assessment and any improvement plans and timescales agreed with individuals must reflect the nature and complexity of the job and align with any existing standards of professional practice (e.g. supervision arrangements in Social Policy).
- That while each individual case of performance management would be dealt with according to its own merits as indicated above, the same, common process framework should be adopted uniformly across the council to ensure consistency of application.
- Clarification on the interface that the performance and capability process would have with other key council employment policies and procedures including the disciplinary procedure, the ADR process and the Policy on Supporting Attendance at Work.
- That in keeping with ACAS guidance and in common with the approach applied to the introduction of the ADR process, adequate training is provided to managers.

#### **D.5 Raising Awareness, Training and Support for Managers**

It is recognised that the introduction of a Supporting Performance Framework will require to be supported by appropriate awareness raising, training and support for managers and supervisory staff and that training content will require to be targeted to those officers responsible for performance management at the various levels of delegated authority within services. This would be similar to the approach adopted for delivering the training on the Policy on Supporting Attendance at Work.

Raising awareness of the Framework would be undertaken in the usual manner which involves briefings at Service Management Teams and Employee Information Briefing Scripts.

The HR Learning and Development Team currently run Bite-Size sessions on subjects such as Managing Performance Improvement, Discipline and Grievance Handling and Dealing with Sensitive Conversations which can be modified to accommodate the introduction of a Supporting Performance Framework.



The training will provide managers with advice on dealing with staff that are underperforming and in particular how to distinguish between conduct/poor attitude as opposed to genuine lack of capability/ ability and the appropriate procedural route to be taken in each case.

As it is anticipated that the framework will be used infrequently, the HR Policy and Advice team will also provide direct support to managers on its application.

## **D.6 Review**

During consultation with the recognised Trade Unions it was generally agreed that the framework will be helpful in supporting employees to maintain the required standards of performance.

The Performance Review and Record Action Plan requires managers to identify and evidence under performance, to agree with employees what actions and support are required to improve performance and record progress against such actions at interim meetings. A final review meeting will be held to identify and evidence whether the employee has achieved or failed to achieve the necessary performance improvement.

The structure of the Performance Review and Record Action Plan leaves scope for it to be adapted to the circumstances of the case and the extent of the underperformance. The skill of managers in conducting performance review meetings and completing the Performance Review and Record Action Plan will be key to avoiding any vagueness. These matters will be addressed in the training and support provided for managers as part of the roll-out of the framework.

The recognised Trade Unions have agreed to the implementation of the framework with an option to review.

## **E. CONCLUSION**

The draft Supporting Performance Framework has been developed to address an identified gap in the council's current employment policy and procedures and to implement a key action in the council's People Strategy to support underperforming employees and improve their performance.

The proposed framework is intended to provide a uniform and structured process for dealing with unsatisfactory employee work performance and is regarded as a more appropriate mechanism for doing so than the Disciplinary Procedure particularly where unsatisfactory performance cannot be attributed to any conduct related issue.

Unlike the council's ADR process which is a cyclical system of ongoing appraisal and employee development, the Supporting Performance Framework is a tool to be used in cases of individual under-performance and as and when they arise and as such the expectation would be that it is not invoked on a frequent basis.

## **F. BACKGROUND REFERENCES**

- How to Manage Performance – ACAS Guidance
- Benchmarking Information – Other Local Authorities

Appendices/Attachments: Appendix 1 – Draft Supporting Performance Framework

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**Julie Whitelaw**  
**Head of Corporate Services**  
**7 February 2020**

# Supporting Performance Framework



Approved Council Executive:

## WEST LoTHIAN COUNCIL

### SUPPORTING PERFORMANCE FRAMEWORK

(Covering all employees except the Chief Executive and Teachers)

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## WEST LoTHIAN COUNCIL

### SUPPORTING PERFORMANCE FRAMEWORK

(Covering all employees except the Chief Executive and Teachers)

#### 1. PURPOSE

- 1.1 The Supporting Performance Framework aims to promote fairness, equity and consistency in the management of employee performance. The framework is a means of supporting employees to meet and maintain the required standards of performance as outlined in relevant job descriptions, person specifications, professional competencies and council values.
- 1.2 During their induction period, employees should be told what is expected of them and the standards they must meet. This should be reinforced by managers going forward during one-to-one meetings and the Appraisal Development Review (ADR) process.
- 1.3 Continuous development is important in ensuring that employees continue to do their jobs to the standard expected of them. Employees should be encouraged to improve/maintain their performance through formal or informal training including on-the-job training where appropriate.
- 1.4 On occasion there may be situations, when the performance of an employee falls below an acceptable level. Under performance may occur at any time during employment, and may, for example, be the result of:
  - a recently recruited employee not performing to the expected standard;
  - promotion of an employee to a post which subsequently proves to be beyond their level of competence;
  - changes in job demands, advancements in technology, new work methods or legislation.
  - a health condition or disability.
  - difficult personal circumstances.
- 1.5 Under performance may manifest itself in different ways including:
  - failure to meet a specific standard, level of performance or work output;
  - failure to meet agreed targets or deadlines;
  - failure to apply specified core competencies;
  - complaint(s) or criticism(s) of the employee's work.
- 1.6 Under performance can be categorised into four broad areas:
  - the employee does not possess the **fundamental skill(s)** to undertake the post effectively;
  - the employee does not have the **ability/aptitude** needed to undertake the job effectively;
  - the employee is **unwilling** to apply themselves to duties/tasks despite possessing the necessary skills/ability;
  - the employee is **negligent/careless** in undertaking their duties.
- 1.7 Where an employee is failing to meet the required standards for one or both of the first two reasons above, the matter will be dealt with as one of **capability**. In these circumstances, the emphasis should be on providing assistance, training, coaching, setting goals and monitoring progress, rather than applying sanctions.
- 1.8 Where it is established that an employee is wilfully failing to properly apply him/herself to their duties, or is negligent in performing their duties, this will be dealt with as a **conduct** matter under the Council's Disciplinary Policy.

## 2. MEASURING PERFORMANCE

2.1 In assessing an employee's competence, the manager should compare the requirements and demands of the post against the abilities and performance of the employee. The manager should make reference to the following sources of information to ensure that assessment of work performance can be measured as objectively and fairly as possible:

- job description
- person specification - outlining the minimum standards of the post
- work-plans (identifying targets to be met)
- appraisal development review records
- feedback and/or complaints/compliments from customers
- records of any discussions in relation to performance or poor standard of work e.g. frequent mistakes, missed deadlines

2.2 In measuring performance the manager should be careful to:

- measure performance against the requirements of the specific post rather than other fellow employees - one employee should not be compared against another
- avoid any personal prejudices
- ensure the standards expected are reasonable and the minimum required to undertake the job – setting unreasonable standards may make any subsequent dismissal unfair.

## 3. PRINCIPLES OF MANAGING PERFORMANCE

3.1 In general, the procedure to be followed will take account of the following principles:

- **Concerns relating to unsatisfactory performance should be dealt with informally in the first instance** – informally alerting an employee to their failure in performance may be sufficient in motivating the employee to achieve the necessary improvement or in ensuring that the employee is aware of the standards required.
- **Concerns relating to unsatisfactory performance should be dealt with timeously** – early intervention where under performance is identified will provide the employee with the opportunity to address the matter quickly and limit the impact of the under performance
- **A careful and thorough appraisal of the employee's performance should be carried out** – where the employee's performance reaches the accepted standard, no further action will be taken under these procedures. Any future concerns/omissions in performance will however be similarly managed in line with the council's Capability and Performance Framework.
- **Concerns will be discussed constructively with the employee** – a positive and constructive approach should be taken when dealing with capability issues.
- **The employee should be given the opportunity to achieve the required improvement** – reasonable time and necessary support should be provided that takes account of individual circumstances. Given the wide range of factors that may impact on work performance in any given situation, it is not possible to attach timescales to the individual stages. Instead, reasonable time for improvement should be allowed at each stage of the process in order to ensure fairness to the employee while balancing this with the effect on service delivery.
- **Failure to engage in the performance improvement process may result in disciplinary action** – if the employee is unwilling to engage in the process despite all relevant support being offered, the matter will be addressed under the Council's Disciplinary Procedure.

- **The employee will be advised of the consequences of failure to achieve satisfactory improvement** - if it becomes apparent that referral to a capability hearing and subsequent termination of employment may be a potential outcome, it is essential that the employee is informed that this is a possible consequence. However this should not be conveyed as a threat to an employee and should only be discussed with them if it is a genuine, potential outcome of the capability process.

#### **4. INFORMAL DISCUSSION**

- 4.1 The aim at this stage of the procedure is for the line manager to make the employee aware of any instances of underperformance, to discuss how improvements can be made and consider any assistance that could be offered to help achieve those improvements. It should be emphasised to the employee that this is an informal measure at this point.
- 4.2 As the objective at this stage is to try to achieve an informal solution without the need to resort to more formal measures, the discussion will be on a 'one to one' basis in order to maintain the informality of discussions. In common with the approach taken during informal counselling meetings under other council policies, the right to be accompanied will not apply at this early stage.
- 4.3 During the informal meeting, the discussion will typically involve the following;
- the employee should be made aware of the shortfall in their performance using examples of poor workmanship, mistakes, complaints etc. where possible.
  - there should be a two-way discussion to try and identify any underlying causes for the under performance. Consideration should be given to all circumstances potentially affecting performance i.e. difficult personal circumstances; changes in management or supervision; health issues; changes in working procedures or technology;
  - the manager should offer/agree any suitable training to assist the employee in improving his/her skills and abilities;
  - identify any health issues which may be contributing to under performance and arrange referral to Occupational Health if appropriate.
  - the emphasis should be on finding ways for the employee to improve and to agree reasonable measurable targets for performance improvement with the employee;
  - a suitable period should be agreed in which to review the performance. The timescales agreed should allow adequate time for improvement, taking into account the nature of the concerns raised and the support mechanisms which have been agreed;
  - the employee should be made aware that failure to demonstrate an improvement in their performance within this period is likely to result in the situation being dealt with on a formal basis in accordance with the Supporting Performance Framework.
- 4.4 The discussion and action agreed at the meeting along with targets for improvement will be recorded on the Performance Review Record and Action Plan (Appendix 1) and updated as necessary at review meetings.

#### **5. INFORMAL REVIEW**

- 5.1 A review meeting should be held to determine whether the required standards have been met. Depending on the circumstances, it may be appropriate to hold more than one such meeting at appropriate intervals.
- 5.2 If the employee's performance has improved to satisfactory levels, progress will continue to be monitored through regular one-to-one meetings and the ADR process.
- 5.3 If there is insufficient or no improvement, the employee should be informed that it is necessary to move to the formal process and of their right to be accompanied at formal stages of the process.

## **6. FORMAL PERFORMANCE MANAGEMENT - STAGE 1**

- 6.1 Where informal measures have proved unsuccessful and the performance of the employee continues to cause concern, a formal meeting should be arranged between the line manager and the employee. The employee will have the right to be accompanied at formal meetings by a trade union representative or some other person of their choice.
- 6.2 The manager should advise the employee of the meeting in writing, giving 5 working days' notice (Template Letter 1).
- 6.3 At the meeting the manager should:
- confirm previous informal discussions relating to under performance and how/why requirements for improvements discussed at this stage have not been met, making reference to the Performance Review Record and Action Plan completed previously;
  - raise concerns regarding under performance and, in particular, discuss any shortfalls in skills and/or abilities. Where possible, examples of poor workmanship, mistakes, complaints etc. should be produced. The manager should refer to clearly defined standards expected and provide specific examples of how performance has fallen below those standards. Reference to any relevant professional standards should also be made in this regard;
  - discuss any underlying causes contributing to under performance and how they might have changed. Consideration should be given to all circumstances potentially affecting performance i.e. difficult personal circumstances; changes in management or supervision; health issues; changes in working procedures or technology;
  - discuss the impact of the underperformance for example safety issues, legislative compliance, complaints and impact on colleagues and/or service delivery.
  - agree reasonable and measurable targets for performance improvement with the employee;
  - offer/agree any suitable training/coaching to assist the employee in improving his/her skills and abilities;
  - advise the employee that continued under performance may result in further action at Stage 2 of the capability and performance framework;
  - agree the duration of the performance review period with interim review meetings as appropriate.
- 6.4 The discussion and action agreed at the meeting along with targets for improvement will be recorded on the Performance Review Record and Action Plan and updated as necessary at review meetings.

## **7. REVIEW MEETING(S) – STAGE 1**

- 7.1 The purpose of a review meeting is to discuss progress made in meeting the set targets. The number and frequency of review meetings will depend on the circumstances, the tasks or standards to be met and the type and level of support required.
- 7.2 The review meeting(s) provide the opportunity to ensure that appropriate consideration has been given to any mitigating circumstances affecting performance. It also ensures that adequate opportunity is given for improvement.
- 7.3 The review meeting(s) should follow a similar format to the Stage 1 meeting.
- 7.4 A final review meeting will be arranged at the end of the review period to assess performance improvement and consider the outcome of the Stage 1 process.

## **8. OUTCOME OF STAGE 1**

### Satisfactory Improvement in Performance

- 8.1 Where performance has improved to acceptable levels and no further action is considered



necessary, the manager will advise the employee within 5 working days of the meeting (Template Letter 2). The employee will be expected to maintain their performance at a satisfactory level and the line manager will continue to monitor progress through regular one-to-one meetings and the ADR process.

#### Limited Improvement in Performance

- 8.2 Where there has been limited improvement but acceptable levels/standards are still not being consistently met, the reasons for the underperformance should be explored. In these circumstances, it may be appropriate to extend the review period and agree:
- further measurable targets for performance improvement; and
  - the nature of any further support required to assist the employee in improving their performance to the required level.
- 8.3 The action agreed at the meeting will be confirmed in writing to the employee within 5 working days (Template Letter 2). The Performance Review Record and Action Plan will also be updated with targets for improvement and the agreed review period.
- 8.4 There may be occasions where the manager considers that although there has been some improvement, it is has not been sufficient enough to preclude moving to Stage 2 of the procedure. The decision will be confirmed in writing to the employee within 5 working days of the meeting (see Template Letter 2).

#### Failure to Improve Performance

- 8.5 If there has been no improvement in performance, the employee will proceed to Stage 2 of the procedure. The decision will be confirmed to the employee in writing within 5 working days of the meeting together with the potential implications of continued under performance (Template Letter 2).

### **9. FORMAL PERFORMANCE MANAGEMENT – STAGE 2**

- 9.1 Where formal performance management at Stage 1 has proved unsuccessful and the performance of the employee continues to cause concern, a formal Stage 2 meeting should be arranged. The stage 2 meeting will be conducted by a manager more senior to the manager who conducted the stage 1 meeting.
- 9.2 The employee should be advised in writing and given 5 working days' notice of the Stage 2 meeting (Template Letter 3).
- 9.3 The Stage 2 meeting(s) should follow a similar format to the Stage 1 meeting providing the employee with further examples of poor performance and how performance continues to fall below expected standards and the targets set at earlier stages.
- 9.4 Consideration should be given to the further support that can be provided to assist the employee improve their performance or remove any barriers that may be contributing to the underperformance.
- 9.5 If appropriate, modified targets for performance improvement should be agreed with the employee setting out the duration of the performance review period and timescales for interim review meetings as appropriate.
- 9.6 The discussion and action agreed at the meeting along with targets for improvement will be recorded on the Performance Review Record and Action Plan and updated as necessary at review meetings.

### **10. REVIEW MEETING(S) – STAGE 2**

- 10.1 The review meeting(s) should follow a similar format to the Stage 1 review meeting(s).

- 10.2 A final review meeting will be arranged at the end of the review period to assess performance improvement and consider the outcome of the Stage 2 process.

## **11. OUTCOME OF STAGE 2**

### Satisfactory Improvement in Performance

- 11.1 Where performance has improved to acceptable levels and no further action is considered necessary, this will be confirmed in writing to the employee within 5 working days of the meeting (Template Letter 4). The employee will be expected to maintain their performance at a satisfactory level and the line manager will continue to monitor progress during one-to-one meetings and the ADR process.

### Limited Improvement in Performance

- 11.2 Where there is some improvement but acceptable levels/standards are not being consistently met, it may be appropriate to extend the review period. At this stage, the manager should explore the reasons why sufficient improvement has not been made and agree:

- further measurable targets for performance improvement; and
- the nature of any further support required to assist the employee in improving their performance to the required level.

- 11.3 The action agreed at the meeting will be confirmed in writing to the employee within 5 working days of the meeting (Template Letter 4). The Performance Review Record and Action Plan will be updated with targets for improvement and the agreed review period.

- 11.4 There may be occasions where the manager considers that although there has been some improvement, it is has not been sufficient enough to preclude moving to Stage 3 of the procedure. The decision will be confirmed in writing to the employee within 5 working days of the meeting (see Template Letter 4).

### Failure to Improve Performance

- 11.5 If there has been no improvement in performance, the employee will proceed to Stage 3 of the procedure. The decision will be confirmed in writing to the employee within 5 working days of the meeting together with the potential implications of continued under performance (Template Letter 4).

## **12. RECURRING UNDER-PERFORMANCE FOLLOWING INITIAL IMPROVEMENT**

- 12.1 Where an employee achieves the standards required as a result of performance improvement measures, they will return to normal monitoring. If however performance subsequently falls below the agreed standards, the line manager will consider whether to:

- initiate the procedure again at the informal stage;
- re-start the procedure at the stage that was previously reached; or
- re-start the procedure at an escalated stage.

- 12.2 The line manager will consider the extent of the underperformance and the length of time over which the performance improvement had been sustained. For example, if a significant dip in performance recurs after only a matter of weeks, this may result in the formal process being resumed at an escalated stage of the procedure. A minor relapse after a number of months may merit only a return to the informal stage of the process.

### **13. CAPABILITY & PERFORMANCE ASSESSMENT – STAGE 3**

- 13.1 Where the supporting performance interventions at Stage 2 have proved unsuccessful and the performance of the employee continues to cause concern, a Capability and Performance Assessment - Stage 3 meeting should be arranged.
- 13.2 The Capability and Performance Assessment meeting will be chaired by the relevant Head of Service, Depute Chief Executive/Chief Executive as appropriate who will be supported by a Senior Human Resources Adviser.
- 13.3 The manager who has managed the employee through the Supporting Performance process will attend the meeting and will submit a capability report (Performance Review Record and Action Plan – Appendix 1) in advance of the meeting outlining the circumstances for consideration. Where appropriate, an up to date Occupational Health Adviser's report should be obtained for consideration at the Capability Assessment meeting.
- 13.4 The employee will be given at least 5 working days' written notice of the meeting (Template Letter 5) including their right to be accompanied and a copy of the Capability & Performance report. The employee will already have automatically received a copy of the Occupational Health Adviser's report directly from the OH Adviser where appropriate.
- 13.5 At the meeting, the Capability & Performance report and Occupational Health Adviser's report will be discussed with the employee and any representations from the employee or their representative will also be taken into account.
- 13.6 After consideration of all information presented at the meeting, the Head of Service/Depute Chief Executive/Chief Executive will determine which of the following options is appropriate in the circumstances:

#### Redeployment

- 13.7 Consideration will be given as to whether a search for suitable alternative employment should be undertaken. Where this is considered appropriate, the Capability and Performance Assessment meeting will be adjourned to allow a search for suitable alternative employment to be undertaken in accordance with the procedure outlined in Section 15 below.
- 13.8 Where suitable alternative employment cannot be identified, the Capability and Performance Assessment meeting will be reconvened.

#### Further Review

- 13.9 Where it is determined that the facts presented do not warrant dismissal on the grounds of capability, the Head of Service/Depute Chief Executive/Chief Executive may adjourn the Capability Assessment meeting in order to:
- give the employee an additional opportunity to improve their performance in order to meet further reasonable agreed targets within defined timescales; or
  - allow for additional information/clarification to be obtained in respect of points raised at the hearing; or
  - trial and assess the outcome of reasonable adjustments requested and agreed at the hearing.
- 13.10 Following reasonable time to allow for further review as agreed, the Capability Assessment meeting will be reconvened.

#### Dismissal

- 13.11 Where, having considered all the available information, the Head of Service/Depute Chief Executive/Chief Executive concludes that all other options are either inappropriate or have been

fully exhausted the employee will be advised that they are to be dismissed on the grounds of capability.

- 13.12 An employee may make an appeal in writing against their dismissal on the grounds of capability to the Head of Corporate Service within 10 working days of the effective date of dismissal indicating the grounds of the appeal.
- 13.13 The Head of Corporate Services will arrange for the appeal to be considered by the Council's Appeals Committee within 20 working days of receipt of the letter of appeal or as soon as possible thereafter. The appeal will be heard in accordance with the procedure set out in Appendix 3 of the council's Disciplinary Procedure.
- 13.14 The outcome of the Stage 3 Capability and Performance Assessment Meeting will be confirmed in writing to the employee within 10 working days (Template Letters 6, 7 & 8).

#### **14. OCCUPATIONAL HEALTH REFERRAL**

- 14.1 Where an employee attributes under performance to a health condition, it may be appropriate to refer the employee for assessment by the council's Occupational Health Adviser. Referral can be carried out at any stage of the capability and performance process and should be recorded as an action on the Performance Review Record and Action Plan.
- 14.2 The Occupational Health Adviser can provide information on whether an underlying health condition exists, an employee's fitness to carry out their duties, and any reasonable adjustments that might assist the employee to achieve and maintain the required standards of performance.
- 14.3 Where an employee is referred to a Capability and Performance Assessment Stage 3 meeting and the employee's health has previously been a factor discussed in the course of meetings convened under the Supporting Performance Framework (irrespective of whether or not an Occupational Health report has been obtained at an earlier stage), an up to date Occupational Health report should be obtained prior to the Stage 3 meeting.

#### **15. REDEPLOYMENT**

- 15.1 Redeployment may be raised as a possible option by the employee, the manager or Occupational Health at any stage of the formal process. Redeployment may be a suitable option where there is evidence to indicate that there is little prospect of the employee being able to meet and maintain the expected standards of performance within a reasonable timescale. Redeployment will not be an option where an employee is unwilling to engage in the performance improvement process or their underperformance is as a result of negligence/carelessness or failure to apply themselves to the task, despite possessing the necessary skills/ability.
- 15.2 The ability to redeploy an employee will depend on the availability of suitable vacancies at that time within or out with the employing service. The search for alternative employment in these circumstances will normally be undertaken for no longer than 3 months after which the employee may be dismissed on the grounds of capability.
- 15.3 Where a potentially suitable vacancy exists, the employee will be offered a priority interview and in a similar manner to the council's Workforce Management Policy & Procedure, he/she will only be in competition with other employees on the Redeployment List.
- 15.4 Where an employee is successful at priority interview, the employee shall be offered the post on the basis of the terms and conditions that apply to that particular post. No protection of the employee's existing contractual terms will apply. Offers of alternative employment will normally include provision for a trial period in a similar manner to employees offered suitable alternative employment under the terms of the council's Workforce Management Policy & Procedure.
- 15.5 If an employee refuses to accept an offer of alternative employment that is considered to be reasonable in all the circumstances, the reasons for the refusal will be discussed with the employee

and his/her representative if applicable. Where the employing service is satisfied that the offer is reasonable but the employee still refuses to accept it, the employee will be dismissed.

## **16. DISCIPLINARY PROCEDURE**

- 16.1 The council's Disciplinary Procedure may be invoked at any stage during the formal Capability and Performance Process where there is evidence to show that the employee has failed to properly engage and cooperate with the supporting performance process despite all relevant support being offered. The decision to resort to the Disciplinary Procedure in any given case will be subject to consultation with Human Resources in line with Section 18 below of this framework.
- 16.2 Where the Disciplinary Procedure is used in the above circumstances, the information recorded as part of the Supporting Performance Process will form the basis of the disciplinary investigation.
- 16.3 In determining the appropriate level of disciplinary action to be taken, the Nominated Officer will take into account the stage that was reached in the Supporting Performance process and any support that was provided to assist the employee to improve their performance.
- 16.4 Where action short of dismissal is taken, the employee's performance will continue to be monitored under the Supporting Performance Framework. Performance improvement targets and a review period will therefore be set under the appropriate stage of the Framework.

## **17. RECORD KEEPING**

- 17.1 Following the conclusion of the Supporting Performance Process, the completed Performance Review Record and Action Plan will be retained in the employee's personal file for a period of 12 months.
- 17.2 The Review Record and Action Plan will be taken account of where performance subsequently falls below the agreed standards set as outlined in section 12 above.

## **18. RESPONSIBILITIES**

### Line Manager

- 18.1 Line Managers are expected to:
- ensure that performance standards expected of employees are reasonable
  - ensure that employees are aware of and understand the standards expected of them
  - make employees aware of underperformance at the earliest opportunity
  - provide employees with adequate opportunity, training, assistance and resources to improve their performance
  - agree reasonable performance improvement targets and review periods, while balancing employee support with service delivery
  - advise employees of the consequences of failure to achieve and maintain the expected standards of performance
  - fairly and consistently apply the capability and performance framework within their team
  - maintain confidentiality while applying the capability and performance framework

### Employee

- 18.2 Employees are expected to:
- keep up to date with the skills and knowledge required to undertake the duties of their post
  - meet any requirements of relevant professional or regulatory bodies, maintaining records as appropriate
  - discuss with their line manager any concerns they have about their own knowledge/skills/ability to undertake the duties of their post effectively

- discuss with their line manager any external factors that may contribute to any failure to achieve the expected standards of performance
- engage in the performance improvement process and proactively complete any recommended actions to help them achieve and maintain the expected standards of performance

#### Human Resources

#### 18.3 Human Resources will:

- monitor the general application of the supporting performance framework to ensure consistency across services
- provide advice and support to managers in managing individual cases of employee under performance
- liaise with the council's Occupational Health Adviser and advise managers on the preparation of medical referral documentation
- attend Capability and Performance Assessment Stage 3 meetings
- coordinate the council wide search for alternative employment
- advise on the use of the council's disciplinary procedure as appropriate where the supporting performance process has not been successful in remedying the underperformance
- provide advice on equality and discrimination issues as appropriate

#### Head of Service/Depute Chief Executive/Chief Executive

#### 18.4 The Head of Service/Depute Chief Executive/Chief Executive will:

- chair Capability and Performance Assessment Stage 3 meetings
- determine the outcome of Capability and Performance Assessment Stage 3 meetings
- arrange for the council's Appeals Committee to hear appeals against capability dismissals as appropriate.

### **19. REVIEW**

#### 19.1 This procedure will be reviewed in consultation with the recognised trade unions as appropriate at least once every 5 years.

## SUPPORTING PERFORMANCE FRAMEWORK

## PERFORMANCE REVIEW RECORD AND ACTION PLAN – INFORMAL STAGE

Employee Name:		Post Title:	
Line Manager:		Service:	
Start Date with Council:		Start Date in Current Post:	

INFORMAL STAGE – INITIAL MEETING		
Date of Meeting:		
Manager Conducting Meeting:		
PERFORMANCE ISSUES RAISED WITH EMPLOYEE	EVIDENCE PRESENTED TO EMPLOYEE	EMPLOYEE RESPONSE TO PERFORMANCE ISSUES

**INFORMAL STAGE - ACTION PLAN**

<b>SUPPORT/TRAINING TO BE PROVIDED</b>	<b>TARGET COMPLETION DATE</b>	<b>ACTUAL COMPLETION DATE</b>

<b>ACTIONS/TARGETS TO BE ACHIEVED</b>	<b>TARGET COMPLETION DATE</b>	<b>ACTUAL COMPLETION DATE</b>

<b>INFORMAL STAGE REVIEW ARRANGEMENTS PLAN</b>	
Review Period:	
Dates of Interim Review Meetings:	
Date of Final Review Meeting:	



INFORMAL REVIEW MEETING	
Date of Meeting:	
Manager Conducting Meeting:	

PROGRESS TOWARDS ACTIONS/TARGETS	EVIDENCE OF PERFORMANCE IMPROVEMENT	FURTHER ACTION REQUIRED TO ACHIEVE TARGETS	FURTHER SUPPORT TO BE PROVIDED

FINAL INFORMAL REVIEW MEETING		
Date of Meeting:		
Manager Conducting Meeting:		

ACTIONS/TARGETS	OUTCOME	EVIDENCE TO SUPPORT OUTCOME
	Target Achieved <input type="checkbox"/> Target Missed <input type="checkbox"/>	
	Target Achieved <input type="checkbox"/> Target Missed <input type="checkbox"/>	
	Target Achieved <input type="checkbox"/> Target Missed <input type="checkbox"/>	
	Target Achieved <input type="checkbox"/> Target Missed <input type="checkbox"/>	

ACTION TO BE TAKEN FOLLOWING FINAL REVIEW MEETING	REASONS FOR DECISION
<b>Performance Improved to Satisfactory Level</b> <input type="checkbox"/> Return to Normal Monitoring	
<b>Little or No Improvement</b> <input type="checkbox"/> Move to Stage 1 of the Formal Process	

## SUPPORTING PERFORMANCE FRAMEWORK

## PERFORMANCE REVIEW RECORD AND ACTION PLAN - STAGE 1 OR 2

Employee Name:		Post Title:	
Line Manager:		Service:	
Start Date with Council:		Start Date in Current Post:	

STAGE 1/2 – INITIAL MEETING		
Stage and Date of Meeting:		
Manager Conducting Meeting:		
Others in Attendance (Employee Representative):		
PERFORMANCE ISSUES RAISED WITH EMPLOYEE	EVIDENCE PRESENTED TO EMPLOYEE	EMPLOYEE RESPONSE TO PERFORMANCE ISSUES

**STAGE 1 OR 2 - ACTION PLAN**

<b>SUPPORT/TRAINING TO BE PROVIDED</b>	<b>TARGET COMPLETION DATE</b>	<b>ACTUAL COMPLETION DATE</b>

<b>ACTIONS/TARGETS TO BE ACHIEVED</b>	<b>TARGET COMPLETION DATE</b>	<b>ACTUAL COMPLETION DATE</b>

<b>STAGE 1 or 2 REVIEW ARRANGEMENTS PLAN</b>	
Review Period:	
Dates of Interim Review Meetings:	
Date of Final Review Meeting:	

<b>STAGE 1 or 2 REVIEW MEETING</b>	
Stage and Date of Meeting:	
Manager Conducting Meeting:	

PROGRESS TOWARDS ACTIONS/TARGETS	EVIDENCE OF PERFORMANCE IMPROVEMENT	FURTHER ACTION REQUIRED TO ACHIEVE TARGETS	FURTHER SUPPORT TO BE PROVIDED

STAGE 1 OR 2 FINAL REVIEW MEETING		
Stage and Date of Meeting:		
Manager Conducting Meeting:		
ACTIONS/TARGETS	OUTCOME	EVIDENCE TO SUPPORT OUTCOME
	Target Achieved <input type="checkbox"/>	
	Target Missed <input type="checkbox"/>	
	Target Achieved <input type="checkbox"/>	
	Target Missed <input type="checkbox"/>	
	Target Achieved <input type="checkbox"/>	
	Target Missed <input type="checkbox"/>	
	Target Achieved <input type="checkbox"/>	
	Target Missed <input type="checkbox"/>	
ACTION TO BE TAKEN FOLLOWING FINAL REVIEW MEETING		REASONS FOR DECISION
<b>Performance Improved to Satisfactory Level</b> <input type="checkbox"/> Return to Normal Monitoring		
<b>Some improvement</b> <input type="checkbox"/> Extend Review Period		
<b>Little or No Improvement</b> <input type="checkbox"/> Move to Capability Assessment		
<b>Invoke Disciplinary Process</b> <input type="checkbox"/>		
<b>Refer to Redeployment List</b> <input type="checkbox"/>		
<b>The Record and Action Plan Form should be signed by the Line Manager and Employee.</b>		
Line Manager: _____		Date: _____
Employee: _____		Date: _____

**SUPPORTING PERFORMANCE FRAMEWORK**

**PERFORMANCE REVIEW RECORD AND ACTION PLAN - STAGE 3**

STAGE 3 - CAPABILITY ASSESSMENT	
Date of Meeting:	
Manager Conducting Meeting:	
Others in Attendance:	
<b>CAPABILITY REPORT</b> <i>(To be completed by the line manager prior to the capability assessment meeting)</i>	
<p>Provide a summary of the reasons for referral to a Capability Assessment Meeting, the actions taken at earlier stages of the process, the support provided to the employee and evidence of continued failure to achieve satisfactory levels of performance. Include details of any Occupational Health referral where appropriate.</p>	

**OUTCOME OF CAPABILITY ASSESSMENT MEETING**

Record the decision taken by the officer hearing the Capability Meeting along with the reasons for that decision. Any mitigation offered by the employee should also be recorded here.

**ACTION TO BE TAKEN FOLLOWING CAPABILITY ASSESSMENT MEETING**

- Referral to the redeployment list
- Further Review
- Dismissal on the Grounds of Capability

☐☐☐

**The Record and Action Plan Form should be signed by the Line Manager and Employee.**

Line Manager: \_\_\_\_\_

Date: \_\_\_\_\_

Employee: \_\_\_\_\_

Date: \_\_\_\_\_



## **SUPPORTING PERFORMANCE FRAMEWORK**

### **STANDARD TEMPLATE LETTERS**

#### **Standard Template 1**

##### **Instruction to attend a Stage 1 Supporting Performance Meeting**

Ref: [insert employee number]

Date [insert date]

**Strictly Private & Confidential:**  
**To be opened by Addressee only**  
[insert name & address]

Dear [insert name]

##### **STAGE 1 SUPPORTING PERFORMANCE MEETING**

**JOB TITLE: [insert job title for post to which the performance issue relates to]**

I refer to our recent discussions in relation to capability and performance. Your performance levels continue to be a matter of concern and you are required to attend a Stage 1 Performance Review Meeting on [insert date, time, and location] in line with the Supporting Performance Framework.

The purpose of the meeting is to:

- discuss your levels of performance and how they fall below the standard expected;
- explore the reasons for your under performance and what support can be put in place to assist you to achieve the required standard; and
- prepare an action plan outlining performance improvement targets and agree performance review arrangements

You have the right to be accompanied at the meeting by a trade union representative or some other person of your choice. It is important that you are aware that this is not a disciplinary hearing.

If you are unable to attend this meeting or if you have any queries regarding this matter please contact me as soon as possible on [insert contact details]

Yours sincerely

## **SUPPORTING PERFORMANCE FRAMEWORK**

### **STANDARD TEMPLATE LETTERS**

#### **Standard Template 2**

##### **Outcome of Stage 1 Final Review Meeting**

Ref: [insert employee number]

Date [insert date]

**Strictly Private & Confidential:**  
**To be opened by Addressee only**  
[insert name & address]

Dear [insert name]

##### **OUTCOME OF STAGE 1 SUPPORTING PERFORMANCE REVIEW** **JOB TITLE: [insert job title for post to which the performance issue relates to]**

I refer to the Stage 1 Performance Review meeting held on ..... and the subsequent review period as detailed in your Performance Review Record and Action Plan.

Following the final review meeting held on ..... I have concluded that:

- your performance has improved to acceptable levels and no further action is considered necessary. You are expected to maintain your performance at a satisfactory level and your performance will continue to be reviewed at one to one meetings and through the ADR process.
- there has been some improvement in your performance but acceptable levels/standards are not being met. It has therefore been agreed to extend your review period for a further ..... Targets for performance improvement along with future review arrangements are detailed in your Performance Review Record and Action Plan.
- there has been some improvement in your performance but acceptable levels/standards are not being met. You have therefore been referred to Stage 2 of the Supporting Performance Framework. Targets for performance improvement under Stage 2 along with future review arrangements are detailed in your Performance Review Record and Action Plan.
- there has been no improvement in performance. You will now therefore progress to Stage 2 of the Supporting Performance Framework. Targets for performance improvement under Stage 2 along with future review arrangements are detailed in your Performance Review Record and Action Plan.
- your under performance is as a result of your unwillingness to undertake duties, even though you possess the necessary skills/ability; OR your negligence in undertaking duties. You have therefore been referred to the Disciplinary Procedure and will receive notice of a disciplinary hearing.
- you have failed to engage in the performance improvement process and/or have

provided no underlying reasons as to why your performance has not improved. You have therefore been referred to the Disciplinary Procedure and will receive notice of a disciplinary hearing.

- you are unlikely to achieve acceptable levels/standards of performance in your current post and, with your agreement, you will be referred to the council's redeployment list. A search for suitable alternative employment will be undertaken in accordance with Section 13 of the Supporting Performance Framework.

Yours sincerely

DRAFT

## SUPPORTING PERFORMANCE FRAMEWORK

### STANDARD TEMPLATE LETTERS

#### **Standard Template 3**

##### **Instruction to attend a Stage 2 Supporting Performance Meeting**

Ref: [insert employee number]

Date [insert date]

**Strictly Private & Confidential:**  
**To be opened by Addressee only**  
[insert name & address]

Dear [insert name]

##### **STAGE 2 SUPPORTING PERFORMANCE MEETING**

**JOB TITLE:** [insert job title for post to which the performance issue relates to]

Following the outcome of your Stage 1 Performance Review meeting, your performance levels continue to be a matter of concern and you are required to attend a Stage 2 Performance Review Meeting on [insert date, time, and location] in line with the Supporting Performance Framework.

The purpose of the meeting is to:

- discuss your levels of performance and how they continue to fall below the standard expected;
- explore the reasons for your continued under performance and what further support can be put in place to assist you to achieve the required standard; and
- prepare an action plan outlining performance improvement targets and agree performance review arrangements

You have the right to be accompanied at the meeting by a trade union representative or some other person of your choice. It is important that you are aware that this is not a disciplinary hearing.

If you are unable to attend this meeting or if you have any queries regarding this matter please contact me as soon as possible on [insert contact details]

Yours sincerely

## **SUPPORTING PERFORMANCE FRAMEWORK**

### **STANDARD TEMPLATE LETTERS**

#### **Standard Template 4**

##### **Outcome of Stage 2 Final Review Meeting**

Ref: [insert employee number]

Date [insert date]

**Strictly Private & Confidential:**  
**To be opened by Addressee only**  
[insert name & address]

Dear [insert name]

##### **OUTCOME OF STAGE 2 SUPPORTING PERFORMANCE REVIEW** **JOB TITLE: [insert job title for post to which the performance issue relates to]**

I refer to the Stage 2 Performance Review meeting held on ..... and the subsequent review period as detailed in your Performance Review Record and Action Plan.

Following the final review meeting held on ..... I have concluded that:

- your performance has improved to acceptable levels and no further action is considered necessary. You are expected to maintain your performance at a satisfactory level and your performance will continue to be reviewed at one to one meetings and through the ADR process.
- there has been some improvement in your performance but acceptable levels/standards are not being met. It has therefore been agreed to extend your review period for a further ..... Targets for performance improvement along with future review arrangements are detailed in your Performance Review Record and Action Plan.
- there has been some improvement in your performance but acceptable levels/standards are not being met. You have therefore been referred to Stage 3 of the Supporting Performance Framework and will receive notice of a Capability Assessment meeting.
- there has been no improvement in performance. You have therefore been referred to Stage 3 of the Supporting Performance Framework and will receive notice of a Capability Assessment meeting.
- your under performance is as a result of your unwillingness to undertake duties, even though you possess the necessary skills/ability; OR your negligence in undertaking duties. You have therefore been referred to the Disciplinary Procedure and will receive notice of a disciplinary hearing.
- you have failed to engage in the performance improvement process and/or have provided no underlying reasons as to why your performance has not improved. You have therefore been referred to the Disciplinary Procedure and will receive notice of

a disciplinary hearing.

- you are unlikely to achieve acceptable levels/standards of performance in your current post and, with your agreement, you will be referred to the council's redeployment list. A search for suitable alternative employment will be undertaken in accordance with Section 13 of the Supporting Performance Framework.

DRAFT

## **SUPPORTING PERFORMANCE FRAMEWORK**

### **STANDARD TEMPLATE LETTERS**

#### **Standard Template 5**

##### **Instruction to attend a Stage 3 Capability Assessment Meeting**

Ref: [insert employee number]

Date [insert date]

**Strictly Private & Confidential:**  
**To be opened by Addressee only**  
[insert name & address]

Dear [insert name]

##### **STAGE 3 CAPABILITY ASSESSMENT MEETING**

**JOB TITLE: [insert job title for post to which the performance issue relates to]**

Following the outcome of your Stage 2 Performance Review meeting, your performance levels continue to be a matter of concern and you are required to attend a Stage 3 Capability Assessment Meeting on [insert date, time, and location] in line with the Supporting Performance Framework.

The purpose of the meeting is to:

- discuss your levels of performance and how they have continued to fall below the standard expected;
- review the reasons for your continued under performance and the support that has been put in place to assist you to achieve the required standard or to explore other options;
- discuss [if appropriate] the content of the medical report received following your appointment with the council's Occupational Health Adviser;
- consider the continuation of your employment with the council and any evidence you wish to present which is relevant to the consideration of this; and
- consider any further interventions the service may be able to offer to assist you in improving your performance and sustaining your continued employment with the council, subject to the ability of the service to accommodate such interventions.

At this meeting in-depth discussions will be held about all available options; however, it is very important that you are aware that one of the potential outcomes of those deliberations could result in the termination of your employment with the Council, even though this meeting is not a disciplinary hearing.

You have the right to be accompanied at the meeting by a trade union representative or some other person of your choice.

If you are unable to attend this meeting or if you have any queries regarding this matter please contact me as soon as possible on [insert contact details]

Yours sincerely

DRAFT



## SUPPORTING PERFORMANCE FRAMEWORK

### STANDARD TEMPLATE LETTERS

#### **Standard Template 6**

#### **Outcome of Stage 3 Capability Assessment Meeting - Redeployment**

Ref: [insert employee number]

Date [insert date]

**Strictly Private & Confidential:**  
**To be opened by Addressee only**  
[insert name & address]

Dear [insert name]

#### **STAGE 3 CAPABILITY ASSESSMENT MEETING**

**JOB TITLE: [insert job title for post to which the performance issue relates to]**

I refer to the Capability Assessment Meeting you attended on [insert date]. You were accompanied at the meeting by [insert name]/you confirmed that you were happy not to be accompanied at this meeting *(delete as appropriate)*

The meeting was arranged to discuss:

- your levels of performance and how they have continued to fall below the standard expected;
- the reasons for your continued under performance and the support that has been put in place to assist you to achieve the required standard or to explore other options;
- [if appropriate] the content of the medical report received following your appointment with the council's Occupational Health Adviser;
- the continuation of your employment with the council and any evidence you wish to present which is relevant to the consideration of this; and
- any further interventions the service may be able to offer to assist you in improving your performance and sustaining your continued employment with the council, subject to the ability of the service to accommodate such interventions.

At the meeting, we discussed [insert summary of discussion]

[if appropriate] We also discussed the report received from Occupational Health [insert summary of discussion around the report]

Following our discussions, I have concluded that you are unlikely to achieve acceptable levels/standards of performance in your current post and, with your agreement, you will be referred to the council's redeployment list.

I will now arrange for a search to be conducted for alternative employment for you. You should be aware however that this would depend on the availability of suitable vacancies within or out-with your current service. The redeployment team will contact you and arrange for a skills audit to be completed in order to aid their search. It is in your own best interests to complete this form and send it back to the redeployment team as soon as possible.

All posts for the Council are advertised on myjobscotland website <https://www.myjobscotland.gov.uk/councils/west-lothian-council/jobs> where you can register for email alerts to any new posts. Should you discover any post being advertised that you think would be suitable I would ask you to contact the redeployment team who can arrange a review of the essential qualifications against your skills set.

If following 3 months, the search for alternative employment has been unsuccessful I will arrange to meet with you again. At this meeting, you should be aware that all options surrounding your employment will be discussed and one of the potential outcomes could result in the terminating your employment on the grounds of capability.

Yours sincerely

DRAFT

## SUPPORTING PERFORMANCE FRAMEWORK

### STANDARD TEMPLATE LETTERS

#### **Standard Template 7**

#### **Outcome of Stage 3 Capability Assessment Meeting – Further Review**

Ref: [insert employee number]

Date [insert date]

**Strictly Private & Confidential:**  
**To be opened by Addressee only**  
[insert name & address]

Dear [insert name]

#### **STAGE 3 CAPABILITY ASSESSMENT MEETING**

**JOB TITLE:** [insert job title for post to which the performance issue relates to]

I refer to the Capability Assessment Meeting you attended on [insert date]. You were accompanied at the meeting by [insert name]/you confirmed that you were happy not to be accompanied at this meeting *(delete as appropriate)*

The meeting was arranged to discuss:

- your levels of performance and how they have continued to fall below the standard expected;
- the reasons for your continued under performance and the support that has been put in place to assist you to achieve the required standard or to explore other options;
- [if appropriate] the content of the medical report received following your appointment with the council's Occupational Health Adviser;
- the continuation of your employment with the council and any evidence you wish to present which is relevant to the consideration of this; and
- any further interventions the service may be able to offer to assist you in improving your performance and sustaining your continued employment with the council, subject to the ability of the service to accommodate such interventions.

At the meeting, we discussed [insert summary of discussion]

[if appropriate] We also discussed the report received from Occupational Health [insert summary of discussion around the report]

Following our discussions, I have concluded that your period of performance review should be extended by ..... This further review period is intended to ..... and you are expected to .....

I will arrange to meet with you again at the end of the review period. At this meeting, you should be aware that all options surrounding your employment will be discussed and one of the potential outcomes could result in the termination of your employment on the grounds of capability.

Yours sincerely

DRAFT

## SUPPORTING PERFORMANCE FRAMEWORK

### STANDARD TEMPLATE LETTERS

#### **Standard Template 8**

#### **Outcome of Stage 3 Capability Assessment Meeting – Further Review**

Ref: [insert employee number]

Date [insert date]

**Strictly Private & Confidential:**  
**To be opened by Addressee only**  
[insert name & address]

Dear [insert name]

#### **STAGE 3 CAPABILITY ASSESSMENT MEETING**

**JOB TITLE: [insert job title for post to which the performance issue relates to]**

I refer to the Capability Assessment Meeting you attended on [insert date]. You were accompanied at the meeting by [insert name]/you confirmed that you were happy not to be accompanied at this meeting *(delete as appropriate)*

The meeting was arranged to discuss:

- your levels of performance and how they have continued to fall below the standard expected;
- the reasons for your continued under performance and the support that has been put in place to assist you to achieve the required standard or to explore other options;
- [if appropriate] the content of the medical report received following your appointment with the council's Occupational Health Adviser;
- the continuation of your employment with the council and any evidence you wish to present which is relevant to the consideration of this; and
- any further interventions the service may be able to offer to assist you in improving your performance and sustaining your continued employment with the council, subject to the ability of the service to accommodate such interventions.

At the meeting, we discussed [insert summary of discussion]

[if appropriate] We also discussed the report received from Occupational Health [insert summary of discussion around the report]

Following our discussions, I have concluded that there has not been an acceptable improvement in your performance and despite the support that has been put in place, you have continued to fall below the required standards of your post.

Therefore I confirm that your employment with the Council has been terminated on the grounds of capability effective from [insert date of meeting]

You will receive [insert weeks] pay in lieu of notice and will receive payment for any outstanding annual leave.

As discussed you have the right to appeal against your dismissal to the Council's Appeals Committee. Should you wish to exercise this right you should submit your appeal in writing to the Head of Corporate Services, West Lothian Civic Centre, Howden South Road, Livingston, West Lothian, EH54 6FF within 10 working days of this letter.

Yours sincerely

DRAFT



## **PARTNERSHIP AND RESOURCES POLICY DEVELOPMENT AND SCRUTINY PANEL**

### **HORIZON SCAN**

#### **REPORT BY HEAD OF FINANCE AND PROPERTY SERVICES AND HEAD OF PLANNING, ECONOMIC DEVELOPMENT AND REGENERATION**

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

The purpose of this report is to provide the Panel with:

1. A summary of the latest UK economic indicators and announcements, including the potential implications following the referendum vote to leave the European Union (EU);
2. An update on the estimated revenue budget position facing the council as a result of ongoing unavoidable spending pressures and government funding constraints, including highlighting budget model risks and uncertainties.

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

It is recommended that Panel notes:

1. The results of the horizon scan for the UK, Scotland, West Lothian and West Lothian Council;
2. That officers have updated the budget model for 2020/21 to 2022/23 since the update provided to the Panel on 12 September 2019 to reflect updated information and assumptions;
3. A summary of the potential options available to address any remaining budget gap as considered by the Panel on 12 September 2019 including potential savings set out in Appendix 2 and council tax scenarios set out in Appendix 3;
4. That, pending the announcement of the Scottish Budget and local government finance settlement on 6 February 2020, officers have commenced the initial preparation of a draft revenue budget report based on budget model assumptions.

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

- |  |  |
|--|--|
| <b>I. Council Values</b>   | Being honest, open and accountable, focusing on our customers' needs, making the best use of our resources, working in partnership   |
| <b>II. Policy and Legal (including Strategic Environmental Assessment, Equality Issues, Health or Risk Assessment)</b> | <p>The council is required to approve a balanced revenue budget for each financial year. Audit Scotland and CIPFA best practice guidance recommends medium term financial plans are prepared for at least five years.</p> <p>Leaving EU membership could have significant implications for West Lothian, the local economy, communities and the council.</p> |
| <b>III. Implications for Scheme of Delegations to Officers</b>   | No implications at this stage.   |

<b>IV. Impact on performance and performance indicators</b>	The current EU programmes to 2020 support business development, community regeneration and employment projects. Ongoing government restraint has implications for the council's budget and performance.
<b>V. Relevance to Single Outcome Agreement</b>	The revenue budget provides the resources necessary to help deliver the Single Outcome Agreement. Effective prioritisation of resources is essential to achieving key outcomes.
<b>VI. Resources (Financial, Staffing and Property)</b>	Anticipated Scottish Government grant funding is not sufficient to meet increasing costs and demand for services.
<b>VII. Consideration at PDSP</b>	None.
<b>VIII. Other consultations</b>	Heads of Service and Depute Chief Executives.

## **D. TERMS OF REPORT**

### **D.1 BACKGROUND**

It was previously agreed that the Head of Finance and Property Services would provide horizon scan and budget model updates to the Partnership and Resources PDSP on a quarterly basis to provide latest information on the UK, Scottish, West Lothian and council economic position, and the potential impact on the council's medium term financial strategy.

This report provides an update on key developments and potential implications following the UK referendum vote to leave the EU in June 2016. The report includes the latest update on economic factors that could have an influence on the council's financial strategy. The report also provides an update on the council's approved revenue financial plan for the period as well as setting out the budget model risks and uncertainties.

### **D.2 HORIZON SCAN – UK**

#### **EU Implications**

The UK formally triggered Article 50 on 29 March 2017 and the UK had been scheduled to leave the European Union on 29 March 2019. However at a meeting of the European Council on 10 April 2019, the UK and EU27 agreed to extend Article 50 until 31 October 2019.

On 17 October 2019, a Withdrawal Agreement and Political Declaration on the framework for the future relationship between the UK and the EU was agreed, setting out a broad partnership with a free trade agreement at its core. On 22 October, the UK House of Commons approved the second reading of the Bill which is intended to implement the agreement in UK law. On 28 October 2020, the UK's EU membership was extended by up to a further three months to 31 January 2020.

The UK general election was held on 12 December 2019 with the Conservatives securing a majority. On 20 December 2019 members of parliament voted 358 to 234 in favour of the EU (Withdrawal Agreement) Bill, which now goes on to further scrutiny in Parliament. The UK Parliament must first approve the legislation required to implement the deal. Following its departure, the UK will enter a transition period until 31 December 2020.



## **UK Economic Update**

### **Debt and Borrowing**

The most recent forecast from the Office for Budget Responsibility (OBR) on 13 March 2019 provided updated borrowing forecasts. The OBR forecast public sector net borrowing of £41.9 billion for 2017/18, then £22.8 billion in 2018/19, £29.3 billion in 2019/20, £21.2 billion in 2020/21 and £17.6 billion in 2021/22. Public sector net borrowing has fallen over the past decade, from its post-crisis peak of 9.9% of GDP (£153.1 billion) in 2009/10 to 1.1% (£22.8 billion) in 2018/19 on latest forecasts. Public Sector Net Debt is expected to fall from 84.7% of GDP in 2017/18 to 83.3% in 2018/19 before falling further to 74.9% in 2021/22. Updated forecasts for public sector net borrowing and debt will be produced by the OBR in due course.

### **Economic Growth**

The most recent update from the International Monetary Fund (IMF) in October 2019 was the World Economic Outlook. Growth estimates have been revised down for the UK with the IMF expecting growth to slow from 1.4% in 2018 to 1.2% in 2019, and increase to 1.4% in 2020. The projection reflects the combination of a negative impact from weaker global growth and uncertainty around the UK's departure from the EU, and a positive impact from higher public spending announced in the recent Spending Review. The economy contracted in the second quarter, and recent indicators point to weak growth in the third quarter. The forecast assumes an orderly exit from the European Union followed by a gradual transition to a new regime.

The Office for National Statistics (ONS) released economic growth figures on 20 December 2019 with growth estimated to have increased by 0.4% in quarter 3 (July to September) 2019, revised upwards by 0.1% from the first quarterly estimate. When compared with the same quarter a year ago, UK GDP increased by 1.1% to quarter 3 2019; revised upwards by 0.1% from the previous estimate. Services remained the strongest contributor to growth in the output approach to GDP in quarter 3 2019; construction and production also contributed positively to growth.

On November 2019, the Bank of England increased its UK growth forecast from 1.0% in 2019 quarter 4 to 1.6% in 2020, 1.8% in 2021 and 2.1% in 2022. Their forecast for UK growth shows it remains a little below potential in the near term.

### **Exports and Inward Investment**

In the immediate wake of the EU referendum in 2016, sterling fell sharply to a 31 year low versus the dollar, and was down about 6% against the euro. A weak pound makes the goods the UK buys from abroad more expensive, affecting the cost of living, but can also help to support UK exports. The pound has been making a very slow recovery against the dollar and, on 13 January 2020, the pound was \$1.30 against the dollar and €1.17 against the euro.

The British Chamber of Commerce (BCC) published its Quarterly Economic Survey in January 2020. The latest survey found protracted weakness across most indicators of economic health in the final quarter in 2019. The service sector, which accounts for almost 80% of UK economic output, saw all its key indicators worsen compared to quarter 3 2019. These indicators remain well below their historic average. The balance of manufacturers reporting a rise in domestic and export sales improved slightly. However, the balance of manufacturers reporting increased export and domestic orders has now been negative for two consecutive quarters. This is the first this has happened since 2009 and 2011 respectively.

### Inflation

UK inflation, as measured by the Consumer Prices Index (CPI), was 1.3% in the year to December 2019, a reduction of 0.2% from the previous month due to a fall in the price of women's clothes and hotel room costs. Commentators believe that this reduction increases the potential for a cut in the Bank of England base rate.

The Bank of England November 2019 Inflation Report stated that CPI inflation has been close to 2% in recent months, averaging at 1.8% during 2019 quarter 3. Over the past year or so, inflation has fallen, accounted for by weaker goods price inflation, which in turn has been driven partly by the fading impact from sterling's past depreciation. In contrast, core services price inflation has increased. That is consistent with a rise in domestic price pressures, and is likely to reflect the gradual pass-through of the strong pickup in pay growth over the past few years.

### Interest Rates

The Bank of England Monetary Policy Committee (MPC) voted by a majority of seven to two, to maintain Bank Rate at 0.75% on 18 December 2019. At this meeting the MPC sets monetary policy to meet the 2% inflation target, which is intended to assist in sustaining growth and employment. The Committee will, among other factors, continue to monitor closely the responses of companies and households to Brexit developments as well as the prospects for a recovery in global growth. If global growth fails to stabilise or if Brexit uncertainties remain entrenched, monetary policy may need to reinforce the expected recovery in UK GDP growth and inflation. Further ahead, provided these risks do not materialise and the economy recovers broadly in line with the MPC's latest projections, some modest tightening of policy, at a gradual pace and to a limited extent, may be needed to maintain inflation sustainably at the target.

### Unemployment

The latest figures published on 17 December 2019 show the UK unemployment rate was estimated at 3.8% over the period August 2019 to October 2019, this is lower than a year earlier (4.3%) but largely unchanged on the previous quarter. There were an estimated 32.8 million people in employment for August to October 2019, 309,000 more than last year. This annual increase was driven mainly by women (up 235,000 on the year) and full-time workers (up 272,000 on the year).

In March 2019, the OBR updated their Economic and Fiscal Outlook. This shows the 2017 unemployment forecast as 4.4%, with forecasts of 4.1% in 2018, 4.1% in 2019, 4.1% in 2020 and 4.1% in 2021.

### House Prices

The latest ONS House Price Index published on 18 December 2019 showed that in the year to October 2019 average house prices in the UK increased by 0.7%, down from 1.3% in the year to September 2019. Over the past three years, there has been a general slowdown in the south and east of England.

## **D.3 HORIZON SCAN – SCOTLAND**

### EU Implications

The Scottish economy is likely to be affected by the UK's exit from the EU, in a similar way to that of the UK in general terms, however changes to the tax system now means that Scotland's own economic performance will have a more direct impact on the Scottish Budget.

## **Scottish Economic Update**

### **Economic Growth**

The Scottish economy contracted by 0.3% in quarter two of 2019, with annual growth slipping to 0.7%. It is estimated that based upon forecasts prior to the EU referendum, the economy is around 2% smaller (equivalent to £3 billion) than it could potentially have been. Consumer confidence and risk appetite amongst businesses remains weak. Business investment in the UK has now been negative in five of the past six quarters. UK growth is faster than in Scotland, it is also well below trend at 1.2%.

### **Unemployment**

The Scottish Government's latest Labour Market Briefing was published in November 2019. This showed that between August 2019 and October 2019, the unemployment rate was 3.7%, with 100,000 people unemployed. There were 2.648 million people employed, meaning the rate of employment is 74.5%.

### **House Prices**

The ONS publication for House Price Index showed that the average house price in Scotland increased by 1.4% in the year to October 2019 to stand at £154,000.

## **D.4 HORIZON SCAN – WEST LoTHIAN**

### **EU Implications**

In the 2011 Census, the total number of West Lothian residents from other EU countries was 5,112 with 85% of the total EU group of working age. Total West Lothian employment sustained by exports to the EU is between 4,500 and 5,000 jobs. Excluding retail, around 40 companies of scale are European owned with total employment approaching 2,000.

## **West Lothian Economic Update**

### **Unemployment**

Unemployment at local authority level is measured by the proportion of working age people not in work. In West Lothian this is 2.9% for November 2019 which is lower than the Scottish rate (3.2%) and the same as the British rate (2.9%). It is slightly higher than the rate in November 2018 (2.2%). Youth unemployment figures were 690 (4.8%) which remain the same as the September 2019 figures 690 (4.8%).

### **House Completions**

Completions for October to December 2019 were 338 compared to 214 for the same period in 2018/19. Total completions for 2019/20 to December 2019 were 915 compared to 706 for the same period in 2018/19. The latest figures available from Land Registry identify the number of homes sold in West Lothian in August 2019 was 335 compared to 316 in August 2018.

## **D.5 HORIZON SCAN – WEST LoTHIAN COUNCIL**

Economic implications of the decision to leave the EU remain uncertain and could impact on future funding of public services through the performance of the overall economy as public finances, such as tax receipts, are highly sensitive to economic performance.

In addition, despite the additional public spending announced in the Chancellor's spending round announcement in September 2019, public sector funding is likely to remain relatively constrained. The constrained financial outlook in the Scottish Government's medium term financial strategy and the commitments to health funding, all suggest that non protected areas, such as local government, will continue to receive constrained core funding settlements.

As the council has an approved financial plan for the period to 2022/23, it is in as strong as possible a position in the current climate to address ongoing challenges in public sector funding. Economic and budget announcements will continue to be reviewed and taken into consideration to ensure that the approved financial strategy remains reflective of current assumptions. In particular officers will continue to monitor key announcements in relation to public spending, interest rates, CPI forecasts and economic risks, in order to assess the likely impact on the council's budget position for 2020/21 to 2022/23.

## **D.6 BUDGET PLANNING SCENARIO AND CHANGES TO THE BUDGET MODEL**

An update on the council's medium term financial plan was presented to the Partnership and Resources PDSP on 12 September 2019. It included revised budget model and savings assumptions with an updated remaining budget gap of £6.730 million. It was noted that the updated gap was for budget planning assumptions and that, in line with the requirement to report proposals that substantially change or delete approved savings to full council, that the changes would be incorporated into the updated three year detailed budget to be reported to Council in February 2020. In addition it was noted that, reflecting established practice, officers would continue to review the budget model in advance of the annual budget setting process in early 2020 to take account of changes in circumstances and updated forecasts.

### **D.6.1 Updated Budget Model and Budget Savings**

As agreed officers have continued to refine budget model and saving assumptions. The budget model has been recast to incorporate current budgets following the annual budget realignment process and up to date inflation and indexation assumptions. In addition to the changes to approved savings included in the report to the Panel in September 2019, some further unavoidable amendments are proposed to approved measures.

The council's core grant funding is subject to a considerable degree of uncertainty and risk and will be reviewed following the announcement of the Scottish Budget and local government finance settlement on 6 February 2020. The review of grant funding assumptions will also take into account potential spending plans at a UK level. The grant assumptions are the key risk in the overall model with any major shocks or variations from assumptions having a substantial impact on the council's ability to continue to have a balanced revenue budget position. Officers will continue to closely monitor the economic position and all funding announcements to identify the potential impact.

Details of the proposed changes to the model and savings are included in Appendix 1. Taking into account these proposed changes, the remaining budget gap will be considered following an assessment of the local government finance settlement. Officers continue to monitor the deliverability of proposed and approved savings to ensure that current values and phasing assumptions remain deliverable.

### **D.6.2 Potential Options to Address any Remaining Budget Gap for 2020/21 to 2022/23**

On 19 February 2019, Council agreed that officers should consider options to address the remaining budget gap, including potential additional efficiency measures and use of the new council tax flexibility, whilst minimising any adverse impact on service delivery.

There are three potential options available to address the remaining budget gap which could be used over the medium to long term to support development and implementation of a sustainable financial plan. These options are:

- a real terms increase in council tax
- additional recurring budget savings
- utilisation of one off resources (providing a temporary means of balancing the budget)

Officers provided the Partnership and Resources PDSP with further information on each of the options above on 12 September 2019. The potential additional savings options considered by the PDSPs during the course of the autumn are included in Appendix 2 for information. In addition a summary of the detail of the council tax options report considered by the Partnership and Resources PDSP in September 2019 is included in Appendix 3.

Using recurring measures to balance the budget, whether that by council tax increases or recurring budget savings, means that the council will continue to have a robust and sustainable financial plan on a recurring basis. Using one off resources only provides a temporary means of balancing budgets, with structural recurring gaps remaining until recurring solutions are found. To use one off resources for this purpose would not be consistent with best practice and would call into question the sustainability of the approved revenue financial plan. Councils who have used this approach are coming under increasing scrutiny and criticism by external auditors.

Using one off resources for recurring pressures also represents a lost opportunity to use this funding for more proactive and positive interventions which could have a positive impact on services and local communities. It could be considered that use of one off resources for recurring budget gaps does not represent the most efficient and effective use of this money. If one off resources are retained there is the potential for them to be used for positive interventions such as spend to save, investment to tackle underlying issues or investment to develop and improve services. The funding can also be used to support one off or project initiatives both in revenue and capital.

In the current economic climate it is recognised that it is difficult to maintain or improve performance across all areas of the council, however the funding could be used in key priority areas to support maintaining or improving performance. These resources could therefore be used to maintain outcomes for customers in priority areas.

The council currently has retained one off resources available over the four years 2019/20 to 2022/23 of £6.116 million. Council and Council Executive have agreed that, taking into account the high level of uncertainty around the economy, Brexit and the level of public sector funding, these resources should be retained until the outcome of the 2020/21 local government finance settlement is known and a full evaluation is made of the extent of the budget gap and options to address the gap.

## **D.7 HORIZON SCAN BUDGET MODEL RISKS AND UNCERTAINTIES**

There are a number of risks and uncertainties in the long term financial assumptions underlying the budget model. These include the risk that the increase in costs associated with demand led services, such as social care, is greater than assumed and the emergence of policy or legislative changes by the UK or Scottish governments which restrict the council's flexibility to decide how to deliver services locally.

Following the increase in staff related costs following the most recent pay deal, there is a risk that pay costs may be greater than budget assumptions for the two years 2021/22 and 2022/23 for which there is currently no pay deal. In addition there is a risk regarding increases in pension contributions arising from the McCloud judgement from 2021/22 onwards as potential increases are unknown at this stage.

The nature of forecasting means it is challenging to identify with any certainty expenditure pressures and income. In addition, there are more general risks and uncertainties which will continue to be monitored. Some of the more general risks and uncertainties are:

- Economic growth being less than forecast resulting in further public spending reductions due to the impact it could have on Scottish tax receipts.
- Funding not being provided to fully cover the costs of introducing new legislation.
- Policy changes by the UK or Scottish governments which restrict the council's flexibility to decide how to deliver services locally.
- Ring fencing of grant funding, constraining how local authorities allocate resources.
- Changes to local government remits with uncertainty for service provision and funding.
- EU withdrawal having a potential impact on the cost of goods in the short term and having wider economic implications for public finances in the longer term from constrained public finances to reductions in business investment and increased unemployment and poverty.

Until the announcement of the Scottish budget and local government finance settlement, there is uncertainty regarding quantum of 2020/21 grant funding. The settlement for 2020/21 is one of the most important risks facing the council, however continued economic uncertainty and constrained growth could have an ongoing impact on public spending. Officers have commenced work on updating the three year financial plan and detailed budgets for 2020/21 to 2022/23 to allow them to be considered and approved by Council in February 2020.

## **E. CONCLUSION**

The report provides a high level overview of the latest economic indicators and other announcements likely to have a financial impact on the council. The UK, Scottish, West Lothian and council position will continue to be reported on a quarterly basis as part of the horizon scanning of factors that could have an impact on the council's medium term financial strategy. An update is provided on the revised budget model and the options available to address any remaining budget gap.

## **F. BACKGROUND REFERENCES**

Revenue Budget Strategy 2020/21 to 2022/23 – Budget Update and Potential Additional Saving Measures – Report by Head of Finance and Property Services to Partnership and Resources PDSP on 12 September 2019

Council Tax Scenarios 2020/21 to 2022/23 – Report by Head of Finance and Property Services to Partnership and Resources PDSP on 12 September 2019

### Appendices/Attachments:

Appendix 1 – Summary of Changes to Budget Model and Savings Assumptions

Appendix 2 – Potential Additional Saving Options 2020/21 to 2022/23

Appendix 3 – Summary of Council Tax Options

Contact Person: Karen Park, Accountant (01506 283236)  
Alice Mitchell, Economic Development Manager (01506 283079)

**Donald Forrest**  
**Head of Finance and Property Services**

**Craig McCorriston**  
**Head of Planning, Economic Development and Regeneration**

7 February 2020

## **Appendix 1 – Summary of Changes to Budget Model and Savings Assumptions**

Following the detailed review, proposed amendments to the budget model are as follows:

- A £200,000 adjustment to the staffing performance factor to ensure it does not apply to areas within Operational Services where staffing ratios need to be maintained.
- School demographics have been revised to reflect the updated pupil projections agreed by Education Executive in June 2019, resulting in a reduction of just over £700,000.
- Phasing of the revenue consequences of capital has been updated to reflect the most up to date approved capital investment programme.
- Following the revaluation of non domestic rates (NDR) rateable values by the assessor, a recurring reduction in the council's NDR bills of £100,000 has been identified and included.
- The full year effect of income and expenditure for Scottish Government funded school counselling has been incorporated.
- £80,000 to address a recurring budget pressure within mainstream school transport as a result of increased tender costs. No funding has been assumed to address the recurring budget pressures of £192,000 that are a result of journeys not within the scope of council policies.
- Increase in indexation for care contracts to 2.9% per annum and increase in annual food indexation to 1.8%.
- The council tax yield for 2020/21 has been updated to reflect the August 2019 council tax return submitted to the Scottish Government.
- With positive developments in Additional Support Needs transport, the one off funding for 2020/21 is no longer required.
- Due to various factors, including delays in the allocation of Rapid Rehousing Transition Plan (RRTP) funding by the Scottish Government, one off funding of £600,000 is proposed in 2020/21 for homelessness (£550,000) and homeless transport (£50,000).

In addition to the changes outlined to the Panel in September 2019, proposed amendments to approved budget reduction measures are as follows:

- Efficiency measures of £427,000 and increased achievable eligibility and contributions savings of £597,000, as reported to Partnership and Resources PDSP in September 2019.
- A £250,000 reduction in the target for the collaboration, modernisation and working in partnership project to reflect a realistic assessment of opportunities that can be progressed in the remaining period to 2022/23.
- Removal of the Corporate Procurement Unit saving of £173,000 reflecting the unit's continued key role in supporting effective procurement across the council.
- Removal of the library property saving of £11,000 to reflect that the Livingston libraries are no longer closing as was previously anticipated when the property saving was agreed.
- Rephrasing the LED street lighting saving so that savings are consistent with the timing of the implementation of the approved capital investment in replacement LED lighting.
- Additional income from planning and building warrant applications, school milk and instrumental music tuition as outlined in the income and contributions report also being considered by this Panel.

## **Appendix 2 – Potential Additional Saving Options 2020/21 to 2022/23**

As reported to Partnership and Resources PDSP in September 2019 and each relevant PDSP between October and December 2019.

	<b>Total £'000</b>
<b>Housing, Customer &amp; Building Services</b>	
Revised opening hours at Fauldhouse pool	10
Focusing on prevention in housing needs	34
Reduced community facility assistants at partnership centres	14
Extension of revised library opening hours	24
Review of safer neighbourhood team	56
<b>Total</b>	<b>138</b>
<b>Operational Services</b>	
Cease concessionary rail	206
Removal of grit bins	87
Grounds maintenance service standards	326
Review of street cleaning maintenance	274
<b>Total</b>	<b>893</b>
<b>Social Policy – IJB</b>	
Adult services non direct care budget	80
Development of health & social care drop in hubs	75
Assessment & eligibility for services – aids & equipment	218
Assessment & eligibility for services – technology into assessment & care	100
Review of ancillary support in older people care homes	150
Servicing of maintainable equipment	100
Community Equipment Store review	75
Older people non direct care budgets	30
Review of commissioned IJB services	295
Telecare inflationary increase	40
<b>Total</b>	<b>1,163</b>
<b>Social Policy – Non IJB</b>	
Children & Families practice team review	30
Review of SCET	20
Review of criteria for section payments	72
Redesign of residential care for children and young people	75
Review of youth justice service	70
Review of commissioned non-IJB services	50
Early Years Change Fund review	62
<b>Total</b>	<b>379</b>
<b>Planning, Economic Development &amp; Regeneration</b>	
Review and reduction in community grants	75
<b>Total</b>	<b>75</b>
<b>Education</b>	
Removal of twinning budget	23
Refocusing the school day	2,921
<b>Total</b>	<b>2,944</b>
<b>Chief Executive/Finance &amp; Property Services</b>	
Property modernisation	45
Consolidation of soft facilities management	70
Closure of automated public conveniences	338
<b>Total</b>	<b>453</b>



### **Appendix 3 – Summary of Council Tax Options**

The Partnership and Resources PDSP considered council tax scenarios in September 2019. Key points included:

- If council tax had been increased by 3% per annum in each of the nine years of the freeze, band D council tax would have been £1,561.42 which is £343.93 more than the 2019/20 band D rate.
- The Scottish average band D council tax is £1,251 compared with the West Lothian rate of £1,217.49. West Lothian has the tenth lowest band D rate in Scotland.
- In English authorities (including social care and parish precepts) the average band D is £499 higher than the Scottish average and £533 higher than West Lothian.
- In 2019/20 the Scottish average full time salary grew by £16.60 per week. In West Lothian, band D council tax increased by £1.07 per week (6.45% of the average weekly salary increase).
- The TYC consultation responses in 2017 supported a council tax increase of 3% per annum over each of the five years, with a small majority agreeing with the potential of an increase above 3%.
- Following the increase of 4.79% in 2019/20 there has been one formal complaint received by the council. Comments on social media were mixed with some in agreement while others compared their percentage wage increases to the 4.79% council tax increase.

The council tax scenarios PDSP report included a number of key considerations when looking at the potential scenarios for future council tax increases. These included:

- **Requirement for additional savings** – the council will have made nearly £121 million of savings over the period 2007/08 to 2019/20 and it is becoming increasingly challenging to make savings without impacting on the level of service. Additional increases in council tax could significantly reduce the recurring budget gap and the extent of the requirement for further savings.
- **Protecting the most vulnerable** – the Council Tax Reduction Scheme (CTRS) helps those in low incomes pay all or part of their council tax. The scheme is actively promoted to ensure that increases do not negatively impact low income households. Any increase in council tax will be fully offset by an increase in CTRS, as long as the claimant's circumstances remain the same.
- **Local Government Finance Settlement** – revenue grant accounted for 81% of funding to the council in 2019/20. Council tax only provides 19% of total funding. Any changes to the settlement have a significant impact on the funding available and without using council tax flexibility there is limited ability to offset potential reductions.

The current approved financial plan to 2022/23 assumes a 3% annual increase. For a 1% increase above the planning assumption, £830,000 would be generated per annum. If the council tax option was utilised to help offset any remaining gap, it would assist in limiting savings to those that could delivered with minimal or no impact on service delivery. When considering increases, cognisance would be given to the maximum increases permitted by the Scottish Government, which have still to be announced for 2020/21, and keeping West Lothian below the Scottish average.

Excluding additional income of £1.128 million relating to 900 additional council houses, the additional income generated for each percentage increase in council tax for 2020/21 is as follows:

<b>%</b>	<b>£'000</b>
1%	832
2%	1,663
3%	2,495
4%	3,327
5%	4,158

## **Mitigating Actions**

Although council tax is applied to all houses, not all households are eligible to pay the full amount. There are exemptions and discounts to reduce the tax burden for the most vulnerable as well as protecting low income households.

The tables below show the number of properties in receipt of a form of discount or exemption at 31 March 2019. They provide information on the number of households who are not eligible to fully pay council tax and demonstrate the following key considerations:

- 77% of properties in West Lothian are in bands A to D.
- 71% of properties in bands A to D are in receipt of a form of discount or exemption.
- 20% of properties in bands A to C are in receipt of full CTRS, meaning they pay no council tax.
- 19% of all properties have CTRS applied.
- Disabled Person Reduction – council tax charged at the band immediately below the band the property is in. For band A properties this equates to a 1/19<sup>th</sup> reduction.

	<b>A</b>	<b>B</b>	<b>C</b>	<b>D</b>	<b>E</b>	<b>F</b>	<b>G</b>	<b>H</b>	<b>Total</b>
Properties per band	17,700	24,857	10,150	8,542	9,781	6,154	2,784	195	80,163
% of properties	22%	31%	13%	11%	12%	8%	3%	0%	100%

### **Properties in Receipt of an Exemption – No Council Tax/Part Reduction**

	<b>A</b>	<b>B</b>	<b>C</b>	<b>D</b>	<b>E</b>	<b>F</b>	<b>G</b>	<b>H</b>	<b>Total</b>
Exempt Properties	853	745	260	146	88	50	18	12	2,172
Full CTRS	5,179	4,273	1,173	415	200	52	16	0	11,308
Part CTRS	1,192	1,562	443	194	150	57	13	0	3,611

### **Properties in Receipt of a Discount**

	<b>A</b>	<b>B</b>	<b>C</b>	<b>D</b>	<b>E</b>	<b>F</b>	<b>G</b>	<b>H</b>	<b>Total</b>
Disabled person reduction	50	166	96	81	102	76	43	1	615
50% discount (all residents disregarded)	10	12	4	4	3	4	1	0	38
50% discount (empty property)	110	106	61	39	22	15	4	0	357
25% single person discount	9,504	9,380	3,833	2,157	1,642	673	226	10	27,425
Properties with 25% discount (all but one adult disregarded)	533	479	197	137	112	63	17	2	1,540



## **PARTNERSHIP AND RESOURCES POLICY DEVELOPMENT AND SCRUTINY PANEL**

### **AVAILABILITY OF AUTOMATED CASH MACHINES IN WEST LOTHIAN**

#### **REPORT BY HEAD OF FINANCE AND PROPERTY SERVICES**

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

The purpose of this report is to provide the Panel with information on the Automated Teller Machine (ATM) Network, including the availability of ATMs in West Lothian and to set out options for consideration to increase free to use ATMs and promote alternative payment facilities.

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

It is recommended that Panel notes:

1. The information provided on the ATM network, including a reduction in the number of cash withdrawals being made due to other payment methods being utilised;
2. The availability of ATMs in West Lothian and the protected free to use ATMs as set out in section D.5;
3. The intention for the options for consideration to be presented to the Anti-Poverty Task Force to consider an action plan as part of financial inclusion and capability, as provided in section D.6 and D.7.

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

<b>I. Council Values</b>	Being honest, open and accountable, focusing on our customers' needs, making the best use of our resources, working in partnership
<b>II. Policy and Legal (including Strategic Environmental Assessment, Equality Issues, Health or Risk Assessment)</b>	Corporate Plan 2018/19 – 2022/23 and Local Outcome Improvement Plan 2013 – 2023.
<b>III. Implications for Scheme of Delegations to Officers</b>	No implications at this stage.
<b>IV. Impact on performance and performance indicators</b>	None.
<b>V. Relevance to Single Outcome Agreement</b>	Outcome 7 – We have tackled significant inequalities in West Lothian. Outcome 13 – We take a pride in a strong, fair and inclusive society.
<b>VI. Resources (Financial, Staffing and Property)</b>	None.
<b>VII. Consideration at PDSP</b>	None.

## **VIII. Other consultations**

Individual council services have been consulted and contributed to the options for consideration.

## **D. TERMS OF REPORT**

### **D.1 BACKGROUND**

A motion with regard to the availability of free to use Automated Teller Machines (ATM) was presented and discussed at Council meeting on 19 November 2019. It was agreed that officers would prepare a report on actions that the council could take to increase free to use ATMs. It was also agreed that a letter would be issued to LINK, the ATM network and the ATM industry association. Letters were issued and a written response was received from LINK providing information on financial incentives to protect free to use ATMs as well as the scheme for communities to request free to use ATMs in their area. The correspondence was included in the agenda for Council meeting 28 January 2020.

In 2016, cash was the most frequently used method of payment, representing 40% of all payments made in the UK, with 2.7 million consumers (5% of the UK adult population) relying almost entirely on cash. However, the proportion of cash payments is declining indicating that many customers are turning to alternative payment methods.

Between 2012 and 2017 the number of cash withdrawals at Automated Teller Machines (ATM) fell by around 10% from 2.8 billion to 2.5 billion. ATMs across the UK are a mix of free-to-use and pay-to-use.

This report provides information on the UK ATM network, the availability of ATMs in West Lothian and sets out financial inclusion options for consideration.

### **D.2 AUTOMATED CASH MACHINE NETWORK**

#### ATM Network

LINK is the UK's ATM network, with almost every cash machine in the UK being connected to the network. Cash machine operators join LINK in order to offer cash to the LINK-enabled card users in the UK. The LINK network is a fundamental part of the UK payments infrastructure.

LINK is the ATM network provider, the LINK network allows both free and charging (pay-to-use) cash machines. LINK does not itself impose any charges on customers who use cash machines, and does not set the level of any fee charged. The LINK Scheme does require all cash machine owners and card issuers which use the LINK network to follow certain rules on charging, and the transparency of charging. The LINK rules:

- forbid double charging, so an issuer fee and an acquirer charge cannot be made on the same transaction;
- require all pay-to-use ATMs to carry an on-screen message stating that the machine will charge you for cash withdrawals and specifying the amount of the charge;
- require all pay-to-use ATMs to confirm the customer's acceptance of the specific charge and offer the customer the option to cancel the transaction without incurring a penalty;
- require pay-to-use ATMs to carry external signage stating that the machine will charge you for cash withdrawals;
- require that when LINK members provide signage pointing towards pay-to-use ATMs, this should carry a notice saying that the machine will charge.

#### Interchange Fee

Each time a consumer uses their debit card at a free to use ATM that does not belong to the bank that issued their card (issuing bank) a fee is paid by their bank to the ATM operator. This costs around 22.5pence per withdrawal and is called the interchange fee. This means consumers can use any ATM in the UK to access their cash or make transactions. Alternatively, ATM operators may charge consumers to use their ATMs. In these cases, they cannot claim an interchange fee.

If a customer uses their own bank's ATM, then no interchange fee will be charged. Transactions carried out by consumers at their own banks are known as 'on-us' transactions.

A larger UK ATM estate and fewer 'on-us' transactions means banks are paying more in interchange fees. There are approximately £1 billion in interchange moves between LINK members annually. There has been a fall in on-us transactions, mainly due to the growth in the share of ATMs operated by independent ATM operators and a decline in the number of branch ATMs.

The interchange fee is set by LINK and payment was previously 25pence per withdrawal paid by the bank to the ATM provider. This has been reduced to 22.5pence per withdrawal meaning that ATM providers are receiving less funding for operating the ATMs.

### **D.3 CASH MACHINE CHARGES**

#### Pay to Use ATMs

LINK provides monthly statistics on the use of ATMs and state that over 97% of UK cash withdrawals are free of charge and that at the majority of cash machines in the UK there is no charge for cash withdrawals when using a debit card or ATM card.

ATM charges will only be applied if:

- you have a credit card, store card or charge card or your card issuer charges a cash advance fee (this is very unusual), or
- if you use a pay-to-use cash machine which imposes a charge

A pay to use ATM will charge a minimum of 95p per withdrawal, however this charge can be up to £1.99 per withdrawal depending on the ATM provider.

Consumer group WHICH? has reported that a number of free to use cash machines are being converted to pay-to-use cash machines. This is mainly being undertaken by two cash machine operators Cardtronics and NoteMachine. The reasons behind the conversion to pay-to-use are:

- Falling usage of ATMs due to the increased use of contactless payments and a movement to a more cashless society. The adoption of new payment methods reducing the demand for cash and therefore ATM withdrawals.
- Bank branch closures
- The reduced interchange fee, meaning that it is more profitable for the machine operators to convert some of their machines to pay-to-use. There is a commitment by LINK to ensure that coverage of the network is not reduced as a result of the changes made to interchange fee.

Between the January 2018 and October 2019, the number of free-to-use ATMs in the UK reduced from 54,500 to 46,500. This represents an overall 15% reduction in the size of the free network (8,000 ATMs). The overall broad geographic coverage of the ATM network in the UK has been maintained. This is in line with part of the LINK financial inclusion programme where there is a commitment to maintain the coverage of free to use ATMs, with a commitment to protect free-to-use ATMs more than one kilometre away from their next nearest free-to-use ATM. The ATMs identified as protected in West Lothian are set out in section D.5 of this report.

### **D.4 ALTERNATIVE CASH WITHDRAWAL FACILITIES**

#### Post Office

LINK has also committed to ensure that every high street in the UK has free access to cash via an ATM or a Post Office. At the date of this report, all but six of the UK's 6,800 high streets have free access to cash.

The Post Office has over 11,500 branches across the UK and are a key facilitator in ensuring that people have easy access to cash withdrawal services, with 93% of people in the UK living within one mile of a Post Office. All personal banking customers of all major banks and building societies can use Post Office counters to withdraw cash, pay in cash, pay in cheques and to obtain account balances.

#### Cash Back Facilities

A number of shops, both national retailers and convenience stores, offer a cash back facility where a customer can request an amount of cash withdrawal from their bank account when using their card to pay for a purchase. Local SPAR shops offer cash back facilities in all their shops which is promoted on their website including a search facility to find the nearest shop.

## **D.5 AVAILABILITY OF CASH MACHINES IN WEST LOTHIAN**

#### ATM availability in West Lothian

The LINK website provides an ATM locator service which allows users to search for their nearest ATM, and also highlights which ATMs are free to use, which are pay to use the website also provides information on ATMs which issue £5 notes. A detailed list of ATM availability across West Lothian provided from LINK by post code area, in December 2019, is provided in appendix 1, however a summary of the information is set out below:

<b>Area</b>	<b>Number of Free ATMs</b>	<b>Number of Charging ATMs</b>	<b>Total Number of ATMs</b>
EH47 – Whitburn, Fauldhouse, Blackburn, Seafield, Longridge, Stoneyburn	13	12	25
EH48 – Bathgate, Blackridge, Torphichen, Armadale	28	11	39
EH49 – Linlithgow, Bridgend, Philipstoun, Threemiletown	6	4	10
EH52 – Broxburn, Winchburgh, Uphall, Dechmont	16	4	20
EH53 – Mid Calder, East Calder, Pumpherston	4	1	5
EH54 – Livingston, Uphall Station	58	13	71
EH55 – West Calder, Addiewell, Polbeth, Breich, Harburn	5	3	8
<b>Total</b>	<b>130</b>	<b>48</b>	<b>178</b>

It should be noted that this information is for ATMs and does not include cash-back services from shops where a cash withdrawal can be made from the till in conjunction with a purchase and does not include contactless payment points as well as other payment points.

LINK has a financial inclusion programme and part of this programme is the commitment to protect free-to-use ATMs more than one kilometre away from their next nearest free-to-use ATM. There are thirteen protected free to use ATMs in West Lothian, the full list is provided in appendix 2 and a summary of the locations is provided below:

Area	Number of Protected ATMs
EH47 – Whitburn, Fauldhouse, Blackburn, Seafield, Longridge, Stoneyburn	3
EH48 – Bathgate, Blackridge, Torphichen, Armadale	1
EH49 – Linlithgow, Bridgend, Philipstoun, Threemiletown	1
EH52 – Broxburn, Winchburgh, Uphall, Dechmont	3
EH53 – Mid Calder, East Calder, Pumpherston	1
EH54 – Livingston, Uphall Station	2
EH55 – West Calder, Addiewell, Polbeth, Breich, Harburn	2
<b>Total</b>	<b>13</b>

## D.6 FINANCIAL INCLUSION CONSIDERATIONS

### Financial Inclusion

It is acknowledged that a reduction in free to use ATMs could potentially have a negative impact on residents in West Lothian who are already financially excluded and or those who are not budget and digitally confident. Therefore consideration could be given to the following actions:

- Promotion of Credit Union accounts which have the contactless payment facility on the debit card.
- Promotion of other basic bank accounts which have the contactless payment facility.
- Promotion of the LINK and Post Office mobile application which shows where the nearest ATM or Post Office is and allows the user to filter the search results to show the free ATMs.
- Encourage and support communities to apply to the LINK Access Cash initiative where a request can be made for a new free ATM to be installed in a community who lack adequate access to cash.

### Financial Capability

Separate but closely linked to financial inclusion, 'financial capability' means that people have the ability to manage their money well. The definition captures people's ability to use, and maximise their use of, products and services made available by the financial services industry. Financial capability is customer focused and focuses on guidance and advice services that help individuals to manage their finances, financial literacy among young people, and attitudes and motivations concerning budgeting and saving. Increasing financial capability, along with digital literacy, will significantly assist West Lothian residents to improve budgeting skills and allow them to access digital banking and contactless payment facilities. Therefore options for consideration include:

- Engagement and training on budgeting skills, including the use of direct debits and standing orders to reduce the need to access cash regularly.
- Continuing to provide budgeting advice and assistance through the Anti-Poverty Service and partner organisations. Including the promotion of contactless payments to modernise the approach to managing money.
- Adult Learning sessions "Tea and Tablet" with a digital banking focus.

## D.7 NEXT STEPS

There are a number of options, as set out in section D.6, which could assist residents and communities in West Lothian to access free cash withdrawals as well as provide support to improve budgeting skills and support the movement to a more cashless society. It is proposed that the options are presented to the Anti-Poverty Task Force meeting on 7 May 2020, with the intention of incorporating the actions into the 2020/21 Anti-Poverty Action Plan. The draft annual action plan will be presented for approval to the Community Planning Partnership Board in September 2020.

## **E. CONCLUSION**

There is evidence of a reduction in both the number of free to use ATMs and the demand for cash machine withdrawals, with the national ATM network provider having a financial inclusion commitment to retaining a free to use ATM more than one kilometre from their next nearest free-to-use ATM. The reduction in the number of cash withdrawals is attributed to the increase in the use of alternative payment methods. While it is recognised that support needs to be provided to help residents of West Lothian to utilise alternative payment methods there will always be the need for a people to access cash and the availability of cash within communities in West Lothian needs to be an item of action for the Anti-Poverty Task Force as part of financial inclusion and capability considerations.

## **F. BACKGROUND REFERENCES**

West Lothian Council 19 November 2019 - Notice of Motion - Charges for using ATM's - Submitted by Councillor Frank Anderson

Appendices/Attachments: Appendix 1 – West Lothian ATM Locations  
Appendix 2 – West Lothian Protected ATMs

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**Donald Forrest**  
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7 February 2020



# APPENDIX 1 – WEST LOTHIAN ATM LOCATIONS

Free OR Charging	Fee Charged £	Type of Location	Premises of ATM	Street Address	Postcode	Postcode Location
Free	-	Convenience Store	V G SUPERSTORE	71-73 EAST MAIN STREET	EH47 0RF	Whitburn, Fauldhouse, Stoneyburn, Blackburn, Seafield, Longridge
Free	-	Convenience Store	SCOTMID - BLACKBURN 0174	SYCAMORE WALK	EH47 7LQ	Whitburn, Fauldhouse, Stoneyburn, Blackburn, Seafield, Longridge
Free	-	Motoring	EURO GARAGES - POLKEMMET	ARMADALE ROAD	EH47 0ET	Whitburn, Fauldhouse, Stoneyburn, Blackburn, Seafield, Longridge
Free	-	Convenience Store	U SAVE GROCERS	93 MAIN STREET	EH47 8EL	Whitburn, Fauldhouse, Stoneyburn, Blackburn, Seafield, Longridge
Free	-	Convenience Store	RASHID BROTHERS	191 WEST MAIN STREET	EH47 0LP	Whitburn, Fauldhouse, Stoneyburn, Blackburn, Seafield, Longridge
Free	-	Post Office	POST OFFICE	54 EAST MAIN STREET	EH47 0RD	Whitburn, Fauldhouse, Stoneyburn, Blackburn, Seafield, Longridge
Free	-	Post Office	POST OFFICE	SYCAMORE WALK	EH47 7LG	Whitburn, Fauldhouse, Stoneyburn, Blackburn, Seafield, Longridge
Free	-	Convenience Store	THE COOPERATIVE FOOD WHITBURN	WEST MAIN STREET	EH47 0QB	Whitburn, Fauldhouse, Stoneyburn, Blackburn, Seafield, Longridge
Free	-	Convenience Store	MURCO GARAGE	WEST MAIN STREET	EH47 7LX	Whitburn, Fauldhouse, Stoneyburn, Blackburn, Seafield, Longridge
Free	-	Convenience Store	COSTCUTTER FAULDHOUSE	125 MAIN STREET	EH47 9BL	Whitburn, Fauldhouse, Stoneyburn, Blackburn, Seafield, Longridge
Free	-	Convenience Store	SCOTMID - FAULDHOUSE (TTW)	QUARRY ROAD	EH47 9HA	Whitburn, Fauldhouse, Stoneyburn, Blackburn, Seafield, Longridge

# APPENDIX 1 – WEST LOTHIAN ATM LOCATIONS

Free OR Charging	Fee Charged £	Type of Location	Premises of ATM	Street Address	Postcode	Postcode Location
Free	-	Convenience Store	THE GOTHENBURG CONVENIENCE STORE	MAIN STREET	EH47 0JB	Whitburn, Fauldhouse, Stoneyburn, Blackburn, Seafield, Longridge
Free	-	Convenience Store	ZAHEER STORE	54 WEST MAIN STREET	EH47 0QX	Whitburn, Fauldhouse, Stoneyburn, Blackburn, Seafield, Longridge
Charging	1.55	Convenience Store	GLENMORE MINI MARKET	1 GLENMORE	EH47 8NP	Whitburn, Fauldhouse, Stoneyburn, Blackburn, Seafield, Longridge
Charging	1.80	Convenience Store	SCOTIA FOODSTORE	60 NORWOOD AVENUE	EH47 8HF	Whitburn, Fauldhouse, Stoneyburn, Blackburn, Seafield, Longridge
Charging	0.99	Other Retail	SNEDDON MORRISON SOLICITORS	EAST MAIN STREET	EH47 0RB	Whitburn, Fauldhouse, Stoneyburn, Blackburn, Seafield, Longridge
Charging	0.75	Social	GLEN TURNER CO LTD	STARLAW ROAD	EH47 7BW	Whitburn, Fauldhouse, Stoneyburn, Blackburn, Seafield, Longridge
Charging	0.95	Convenience Store	DAY TODAY	48 MAIN STREET	EH47 8EL	Whitburn, Fauldhouse, Stoneyburn, Blackburn, Seafield, Longridge
Charging	1.75	Convenience Store	JACKS CORNER	LANRIGG ROAD	EH47 9JH	Whitburn, Fauldhouse, Stoneyburn, Blackburn, Seafield, Longridge
Charging	0.95	Convenience Store	POST OFFICE	17 PARK VIEW	EH47 8AX	Whitburn, Fauldhouse, Stoneyburn, Blackburn, Seafield, Longridge
Charging	0.99	Convenience Store	A&S CONVENIENCE SCOTLAND LTD	72 SHEEPHOS EHILL	EH47 9EF	Whitburn, Fauldhouse, Stoneyburn, Blackburn, Seafield, Longridge
Charging	0.99	Convenience Store	LONDIS SUPERMARKET	30 EAST MAIN STREET	EH47 7QU	Whitburn, Fauldhouse, Stoneyburn, Blackburn, Seafield, Longridge

# APPENDIX 1 – WEST LOTHIAN ATM LOCATIONS

Free OR Charging	Fee Charged £	Type of Location	Premises of ATM	Street Address	Postcode	Postcode Location
Charging	1.70	Convenience Store	J K S CONVENIENCE STORE	48A ROWAN STREET	EH47 7EA	Whitburn, Fauldhouse, Stoneyburn, Blackburn, Seafield, Longridge
Charging	0.95	Convenience Store	SHOPSMART	47-51 MAIN STREET	EH47 9HY	Whitburn, Fauldhouse, Stoneyburn, Blackburn, Seafield, Longridge
Charging	0.99	Convenience Store	SHARIF SUPERSTORE (TTW)	146 WEST MAIN STREET	EH47 0QR	Whitburn, Fauldhouse, Stoneyburn, Blackburn, Seafield, Longridge
Free	-	Convenience Store	DAY-TODAY	114 SOUTH MID STREET	EH48 1DY	Bathgate, Blackridge, Torphichen, Armadale
Free	-	Convenience Store	SCOT MID	GLASGOW ROAD	EH48 2AG	Bathgate, Blackridge, Torphichen, Armadale
Free	-	Convenience Store	SCOTMID - SEMI CHEM - BATHGATE 3472	GEORGE PLACE	EH48 1NP	Bathgate, Blackridge, Torphichen, Armadale
Free	-	Convenience Store	LONDIS SUPERMARKET	MAIN STREET	EH48 3SH	Bathgate, Blackridge, Torphichen, Armadale
Free	-	Convenience Store	SPAR STORES	76 NORTH BRIDGE STREET	EH48 4PN	Bathgate, Blackridge, Torphichen, Armadale
Free	-	Convenience Store	SCOTMID	22-32 WEST MAIN STREET	EH48 3QA	Bathgate, Blackridge, Torphichen, Armadale
Free	-	Social	PYRAMIDS	<Null>	EH48 2EH	Bathgate, Blackridge, Torphichen, Armadale
Free	-	Branch	LLOYDS TSB SCOTLAND PLC	27-29 WHITBURN ROAD	EH48 1HE	Bathgate, Blackridge, Torphichen, Armadale

# APPENDIX 1 – WEST LOTHIAN ATM LOCATIONS

Free OR Charging	Fee Charged £	Type of Location	Premises of ATM	Street Address	Postcode	Postcode Location
Free	-	Supermarket	WM MORRISON SUPERMARKETS PLC	2 LINKSTON WAY	EH48 2XN	Bathgate, Blackridge, Torphichen, Armadale
Free	-	Supermarket	TESCO STORES LTD	BLACKBURN ROAD	EH48 2ES	Bathgate, Blackridge, Torphichen, Armadale
Free	-	Supermarket	TESCO STORES LTD	BLACKBURN ROAD	EH48 2ES	Bathgate, Blackridge, Torphichen, Armadale
Free	-	Branch	THE ROYAL BANK OF SCOTLAND PLC	8 HOPETOUN STREET	EH48 4EU	Bathgate, Blackridge, Torphichen, Armadale
Free	-	Post Office	POST OFFICE	11 ELIZABETH DRIVE	EH48 1SH	Bathgate, Blackridge, Torphichen, Armadale
Free	-	Convenience Store	POST OFFICE	1 OCHILVIEW SQUARE	EH48 3EP	Bathgate, Blackridge, Torphichen, Armadale
Free	-	Convenience Store	ALDI STORES LTD	GARDNERS LANE	EH48 1TP	Bathgate, Blackridge, Torphichen, Armadale
Free	-	Convenience Store	SCOTMID - BATHGATE	31 ELIZABETH DRIVE	EH48 1SJ	Bathgate, Blackridge, Torphichen, Armadale
Free	-	Convenience Store	LOTHIAN SUPERSTORE	130 WEST MAIN STREET	EH48 3HX	Bathgate, Blackridge, Torphichen, Armadale
Free	-	Convenience Store	GROCERY STORE	176 SOUTH STREET	EH48 3JU	Bathgate, Blackridge, Torphichen, Armadale
Free	-	Supermarket	WM MORRISON SUPERMARKETS PLC	2 LINKSTON WAY	EH48 2XN	Bathgate, Blackridge, Torphichen, Armadale

# APPENDIX 1 – WEST LOTHIAN ATM LOCATIONS

Free OR Charging	Fee Charged £	Type of Location	Premises of ATM	Street Address	Postcode	Postcode Location
Free	-	Supermarket	ARMADALE STATION	STATION WAY	EH48 3LP	Bathgate, Blackridge, Torphichen, Armadale
Free	-	Branch	BANK OF SCOTLAND	50 HOPETOUN STREET	EH48 4EU	Bathgate, Blackridge, Torphichen, Armadale
Free	-	Branch	BANK OF SCOTLAND	50 HOPETOUN STREET	EH48 4EU	Bathgate, Blackridge, Torphichen, Armadale
Free	-	Supermarket	TESCO STORES LTD	BLACKBURN ROAD	EH48 2ES	Bathgate, Blackridge, Torphichen, Armadale
Free	-	Branch	THE ROYAL BANK OF SCOTLAND PLC	8 HOPETOUN STREET	EH48 4EU	Bathgate, Blackridge, Torphichen, Armadale
Free	-	Branch	ROYAL BANK OF SCOTLAND	SOUTH STREET	EH48 3ET	Bathgate, Blackridge, Torphichen, Armadale
Free	-	Branch	ROYAL BANK OF SCOTLAND	SOUTH STREET	EH48 3ET	Bathgate, Blackridge, Torphichen, Armadale
Free	-	Branch	THE ROYAL BANK OF SCOTLAND PLC	8 HOPETOUN STREET	EH48 4EU	Bathgate, Blackridge, Torphichen, Armadale
Free	-	Branch	THE ROYAL BANK OF SCOTLAND PLC	8 HOPETOUN STREET	EH48 4EU	Bathgate, Blackridge, Torphichen, Armadale
Charging	1.75	Convenience Store	RAZA STORE	84 LIVERY STREET	EH48 4HR	Bathgate, Blackridge, Torphichen, Armadale

# APPENDIX 1 – WEST LOTHIAN ATM LOCATIONS

Free OR Charging	Fee Charged £	Type of Location	Premises of ATM	Street Address	Postcode	Postcode Location
Charging	1.75	Convenience Store	JET GARAGE EH48 2PE	8 BATHGATE ROAD	EH48 2PE	Bathgate, Blackridge, Torphichen, Armadale
Charging	1.55	Convenience Store	FAMILY CHOICE	64 CHARLES CRESCENT	EH48 1JG	Bathgate, Blackridge, Torphichen, Armadale
Charging	0.99	Motoring	BP SERVICE STATION	1 EDINBURGH ROAD	EH48 1BA	Bathgate, Blackridge, Torphichen, Armadale
Charging	0.99	Convenience Store	LONDIS ARMADALE	1B BROWN STREET	EH48 3LB	Bathgate, Blackridge, Torphichen, Armadale
Charging	1.75	Convenience Store	LIDDELLS GROCERS EH48 2NZ	106 EAST MAIN STREET	EH48 2NZ	Bathgate, Blackridge, Torphichen, Armadale
Charging	1.80	Convenience Store	MILL SUPERSTORES	1 MILLHAUGH LANE	EH48 4BH	Bathgate, Blackridge, Torphichen, Armadale
Charging	1.95	Convenience Store	FALSIDE STORE	FALSIDE CRESCENT	EH48 2DS	Bathgate, Blackridge, Torphichen, Armadale
Charging	1.50	Convenience Store	A & N STORE	64 PHILIP AVENUE	EH48 1NG	Bathgate, Blackridge, Torphichen, Armadale
Charging	1.75	Convenience Store	SHOP N SAVE	MONKLAND ROAD	EH48 2BQ	Bathgate, Blackridge, Torphichen, Armadale
Charging	1.90	Convenience Store	J DUNBAR & SON GEN STORE	76 LOWER BATHVILLE	EH48 2JS	Bathgate, Blackridge, Torphichen, Armadale
Free	-	Motoring	BP - LINLITHGOW SF CONNECT	FALKIRK ROAD	EH49 7PJ	Linlithgow, Philipstoun, Threemiletown, Bridgend

# APPENDIX 1 – WEST LOTHIAN ATM LOCATIONS

Free OR Charging	Fee Charged £	Type of Location	Premises of ATM	Street Address	Postcode	Postcode Location
Free	-	Supermarket	SAINSBURYS SUPERMARKETS LTD	GALLOWSKN OWE	EH49 7PE	Linlithgow, Philipstoun, Threemiletown, Bridgend
Free	-	Branch	BANK OF SCOTLAND BRANCH	8 REGENT CENTRE	EH49 7HU	Linlithgow, Philipstoun, Threemiletown, Bridgend
Free	-	Convenience Store	C J LANG - LINLITHGOW	1 SPRINGFIELD ROAD	EH49 7JH	Linlithgow, Philipstoun, Threemiletown, Bridgend
Free	-	Branch	BANK OF SCOTLAND BRANCH	8 REGENT CENTRE	EH49 7HU	Linlithgow, Philipstoun, Threemiletown, Bridgend
Free	-	Supermarket	TESCO STORES LTD	REGENT CENTRE	EH49 7HU	Linlithgow, Philipstoun, Threemiletown, Bridgend
Charging	1.75	Convenience Store	COWIES CONVENIENCE STORE	31 DOUGLAS AVENUE	EH49 6DR	Linlithgow, Philipstoun, Threemiletown, Bridgend
Charging	0.99	Services	STAR BARBERS	76 THE VENNEL	EH49 7ET	Linlithgow, Philipstoun, Threemiletown, Bridgend
Charging	1.65	Convenience Store	NANAMIES	32 AULDHILL ROAD	EH49 6NZ	Linlithgow, Philipstoun, Threemiletown, Bridgend
Charging	1.90	Convenience Store	E&G ALEXANDER	18 PRESTON ROAD	EH49 6HE	Linlithgow, Philipstoun, Threemiletown, Bridgend
Free	-	Convenience Store	FAIRFIELD SERVICE STATION	<Null>	EH52 5BQ	Broxburn, Winchburgh, Uphall, Dechmont
Free	-	Convenience Store	SAINSBURYS	WINCHBURGH	EH52 6QU	Broxburn, Winchburgh, Uphall, Dechmont

# APPENDIX 1 – WEST LOTHIAN ATM LOCATIONS

Free OR Charging	Fee Charged £	Type of Location	Premises of ATM	Street Address	Postcode	Postcode Location
Free	-	Services	ROYSTON SERVICE STATION	<Null>	EH52 6LS	Broxburn, Winchburgh, Uphall, Dechmont
Free	-	Convenience Store	SCOTMID CO-OPERATIVE SOCIETY LTD	63-67 EAST MAIN STREET	EH52 5EE	Broxburn, Winchburgh, Uphall, Dechmont
Free	-	Convenience Store	U SAVE	7 WEST MAIN STREET	EH52 5RQ	Broxburn, Winchburgh, Uphall, Dechmont
Free	-	Branch	BANK OF SCOTLAND	57-61 EAST MAIN STREET	EH52 5EE	Broxburn, Winchburgh, Uphall, Dechmont
Free	-	Supermarket	TESCO	144A WEST MAIN STREET	EH52 5LL	Broxburn, Winchburgh, Uphall, Dechmont
Free	-	Branch	RBS	68 EAST MAIN STREET	EH52 5EG	Broxburn, Winchburgh, Uphall, Dechmont
Free	-	Other Retail	ST. NICHOLAS PRIMARY SCHOOL	WEST MAIN STREET	EH52 5LH	Broxburn, Winchburgh, Uphall, Dechmont
Free	-	Convenience Store	SCOTMID CO-OPERATIVE SOCIETY LTD	9 EAST MAIN STREET	EH52 5DZ	Broxburn, Winchburgh, Uphall, Dechmont
Free	-	Convenience Store	SCOTMID - WINCHBURGH (TTW)	34 MAIN STREET	EH52 6RT	Broxburn, Winchburgh, Uphall, Dechmont
Free	-	Convenience Store	S C S (SCOTLAND) LTD	63 EAST MAIN STREET	EH52 5HZ	Broxburn, Winchburgh, Uphall, Dechmont



# APPENDIX 1 – WEST LOTHIAN ATM LOCATIONS

Free OR Charging	Fee Charged £	Type of Location	Premises of ATM	Street Address	Postcode	Postcode Location
Free	-	Motoring	MURCO - NEWTON FILLING STATION FS220	3 MAIN STREET	EH52 6QE	Broxburn, Winchburgh, Uphall, Dechmont
Free	-	Branch	LLOYDS TSB SCOTLAND PLC	75 EAST MAIN STREET	EH52 5EE	Broxburn, Winchburgh, Uphall, Dechmont
Free	-	Post Office	GLASS MINI MARKET	2 GLASS CRESCENT	EH52 6SL	Broxburn, Winchburgh, Uphall, Dechmont
Free	-	Post Office	POST OFFICE	1-3 EAST MAIN STREET	EH52 5AA	Broxburn, Winchburgh, Uphall, Dechmont
Charging	1.75	Convenience Store	SHOPSMART	1A DOUGLAS WYND	EH52 6AY	Broxburn, Winchburgh, Uphall, Dechmont
Charging	1.90	Social	COLEYVILLE	GALMEILEN	EH52 6AE	Broxburn, Winchburgh, Uphall, Dechmont
Charging	0.99	Convenience Store	ASLAMS	26 GOSCHEN PLACE	EH52 5JT	Broxburn, Winchburgh, Uphall, Dechmont
Charging	0.99	Convenience Store	SCOTMID CO-OPERATIVE SOCIETY LTD	9 EAST MAIN STREET	EH52 5DZ	Broxburn, Winchburgh, Uphall, Dechmont
Free	-	Convenience Store	SCOTMID DRUMSHORE LAND	8 DRUMSHORE LAND ROAD	EH53 0LN	Mid Calder, East Calder, Pumpherston
Free	-	Convenience Store	SCOTMID - EAST CALDER MAIN STREET (TTW)	176 MAIN STREET	EH53 0HE	Mid Calder, East Calder, Pumpherston

# APPENDIX 1 – WEST LoTHIAN ATM LOCATIONS

Free OR Charging	Fee Charged £	Type of Location	Premises of ATM	Street Address	Postcode	Postcode Location
Free	-	Supermarket	TESCO	242 MAIN STREET	EH53 0EJ	Mid Calder, East Calder, Pumpherston
Free	-	Convenience Store	S C S (SCOTLAND) LTD	UNIT 3	EH53 0QJ	Mid Calder, East Calder, Pumpherston
Charging	0.99	Social	KHUSHIS RESTAURANT	15 BANK STREET	EH53 0AS	Mid Calder, East Calder, Pumpherston
Free	-	Motoring	BP - DEER PARK SF CONNECT	DEER PARK AVENUE	EH54 8AD	Livingston, Uphall Station
Free	-	Motoring	SHELL SERVICE STATION	HOWDEN WEST	EH54 6AA	Livingston, Uphall Station
Free	-	Motoring	SHELL SERVICE STATION	HOWDEN WEST	EH54 6AA	Livingston, Uphall Station
Free	-	Convenience Store	CO-OPERATIVE RETAIL SERVICES LTD	<Null>	EH54 6AB	Livingston, Uphall Station
Free	-	Convenience Store	CO-OPERATIVE RETAIL SERVICES LTD	BANKTON CENTRE	EH54 9DA	Livingston, Uphall Station
Free	-	Convenience Store	CO-OPERATIVE RETAIL SERVICES LTD	FOLLYBURN PLACE	EH54 6BF	Livingston, Uphall Station

# APPENDIX 1 – WEST LOTHIAN ATM LOCATIONS

Free OR Charging	Fee Charged £	Type of Location	Premises of ATM	Street Address	Postcode	Postcode Location
Free	-	Other Retail	LIVINGSTON DESIGNER OUTLET CENTRE - ATM 2	ALMONDVAL E AVENUE	EH54 6QX	Livingston, Uphall Station
Free	-	Convenience Store	SCOTMID	26A PUMPHERSTON ROAD	EH54 5PT	Livingston, Uphall Station
Free	-	Convenience Store	SCOTMID	9-11 MAIN STREET	EH54 8BE	Livingston, Uphall Station
Free	-	Convenience Store	SCOTMID - DEDRIDGE (TTW)	162 NIGEL RISE	EH54 6LX	Livingston, Uphall Station
Free	-	Supermarket	WM MORRISON SUPERMARKETS PLC	1 RETAIL PARK SOUTH ALMONDVAL E ROAD	EH54 6GH	Livingston, Uphall Station
Free	-	Supermarket	WM MORRISON SUPERMARKETS PLC	1 RETAIL PARK SOUTH ALMONDVAL E ROAD	EH54 6GH	Livingston, Uphall Station
Free	-	Other Retail	LIVINGSTON THE CENTRE ATM 4	ALMONDVAL E CENTRE	EH54 6HR	Livingston, Uphall Station
Free	-	Other Retail	LIVINGSTON, THE CENTRE 2	87 ALMONDVAL E CENTRE	EH54 6HR	Livingston, Uphall Station
Free	-	Other Retail	LIVINGSTON, THE CENTRE 1	87 ALMONDVAL E CENTRE	EH54 6HR	Livingston, Uphall Station

# APPENDIX 1 – WEST LoTHIAN ATM LOCATIONS

Free OR Charging	Fee Charged £	Type of Location	Premises of ATM	Street Address	Postcode	Postcode Location
Free	-	Supermarket	ASDA STORES LTD	ALMONDVALE CENTRE	EH54 6NA	Livingston, Uphall Station
Free	-	Supermarket	ASDA	ALMONDVALE CENTRE	EH54 6NB	Livingston, Uphall Station
Free	-	Branch	CLYDESDALE BANK PLC	CAIRNGORM HOUSE	EH54 6QL	Livingston, Uphall Station
Free	-	Branch	SANTANDER UK PLC	27 ALMONDVALE CENTRE	EH54 6NB	Livingston, Uphall Station
Free	-	Branch	THE CARLTON CLUB	ALMONDVALE CENTRE	EH54 6NB	Livingston, Uphall Station
Free	-	Branch	HALIFAX PLC	54-55 ALMONDVALE CENTRE	EH54 6NB	Livingston, Uphall Station
Free	-	Branch	NATIONWIDE BLDG SOC	106A ALMONDVALE CENTRE	EH54 6HT	Livingston, Uphall Station
Free	-	Workplace	TESCO	CAPUTHALL ROAD	EH54 8AS	Livingston, Uphall Station
Free	-	Branch	THE ROYAL BANK OF SCOTLAND PLC	4 ALMONDVALE CENTRE	EH54 6NB	Livingston, Uphall Station
Free	-	Other Retail	MCARTHUR GLENN	ALMONDVALE BOULEVARD	EH54 6QP	Livingston, Uphall Station
Free	-	Workplace	BSKYB LIVINGSTON	MACINTOSH ROAD	EH54 7BW	Livingston, Uphall Station
Free	-	Convenience Store	TWEED DRIVE CRNRSHOP	1A TWEED DRIVE	EH54 5LJ	Livingston, Uphall Station

# APPENDIX 1 – WEST LoTHIAN ATM LOCATIONS

Free OR Charging	Fee Charged £	Type of Location	Premises of ATM	Street Address	Postcode	Postcode Location
Free	-	Convenience Store	WEST LoTHIAN NHS TRUST	ST. JOHNS HOSPITAL	EH54 6PP	Livingston, Uphall Station
Free	-	Motoring	THE SALTIRE	CARMONDEAN CENTRE	EH54 8PT	Livingston, Uphall Station
Free	-	Convenience Store	WEST LoTHIAN NHS TRUST	ST. JOHNS HOSPITAL	EH54 6PP	Livingston, Uphall Station
Free	-	Other Retail	ST JOHN'S HOSPITAL	HOWDEN WEST	EH54 6PP	Livingston, Uphall Station
Free	-	Convenience Store	POST OFFICE	16 MAIN STREET	EH54 8DF	Livingston, Uphall Station
Free	-	Other Retail	LIVINGSTON DESIGNER OUTLET CENTRE - ATM 1	ALMONDVALE AVENUE	EH54 6QX	Livingston, Uphall Station
Free	-	Workplace	THE DESIGNER RETAIL OUTLET CENTRE - LIVINGSTONE	ALMONDVALE AVENUE	EH54 6QX	Livingston, Uphall Station
Free	-	Supermarket	SAINSBURY SUPERMARKETS LTD	ALMONDVALE RETAIL PARK	EH54 6RQ	Livingston, Uphall Station
Free	-	Supermarket	SAINSBURY SUPERMARKETS LTD	ALMONDVALE RETAIL PARK	EH54 6RQ	Livingston, Uphall Station

# APPENDIX 1 – WEST LOTHIAN ATM LOCATIONS

Free OR Charging	Fee Charged £	Type of Location	Premises of ATM	Street Address	Postcode	Postcode Location
Free	-	Convenience Store	SPAR STORES	17 CROFTHEAD CENTRE	EH54 6DG	Livingston, Uphall Station
Free	-	Supermarket	CARMONDEAN FILLING STATION	CARMONDEAN CENTRE	EH54 8PT	Livingston, Uphall Station
Free	-	Supermarket	MORRISONS CARMONDEAN 2	GLEN CRESCENT	EH54 8BT	Livingston, Uphall Station
Free	-	Workplace	WEST LOTHIAN COLLEGE	ALMONDVALE CRESCENT	EH54 7EP	Livingston, Uphall Station
Free	-	Other Retail	LIVINGSTON THE CENTRE ATM 3	ALMONDVALE CENTRE	EH54 6HR	Livingston, Uphall Station
Free	-	Leisure	THE CARLTON CLUB	ALMONDVALE CENTRE	EH54 6NB	Livingston, Uphall Station
Free	-	Social	CARLTON CLUBS LIVINGSTONE 2	ALMONDVALE CENTRE	EH54 6NB	Livingston, Uphall Station
Free	-	Branch	TSB PLC	75 ALMONDVALE CENTRE	EH54 6HR	Livingston, Uphall Station
Free	-	Post Office	POST OFFICE	22 FERNBANK	EH54 6DT	Livingston, Uphall Station
Free	-	Branch	LIVINGSTON	ALMONDVALE CENTRE	EH54 6HR	Livingston, Uphall Station
Free	-	Branch	CLYDESDALE BANK PLC	CAIRNGORM HOUSE	EH54 6QL	Livingston, Uphall Station

# APPENDIX 1 – WEST LoTHIAN ATM LOCATIONS

Free OR Charging	Fee Charged £	Type of Location	Premises of ATM	Street Address	Postcode	Postcode Location
Free	-	Branch	SANTANDER UK PLC	27 ALMONDVALE CENTRE	EH54 6NB	Livingston, Uphall Station
Free	-	Branch	SANTANDER UK PLC	27 ALMONDVALE CENTRE	EH54 6NB	Livingston, Uphall Station
Free	-	Branch	THE CARLTON CLUB	ALMONDVALE CENTRE	EH54 6NB	Livingston, Uphall Station
Free	-	Branch	HALIFAX PLC	54-55 ALMONDVALE CENTRE	EH54 6NB	Livingston, Uphall Station
Free	-	Branch	HALIFAX PLC	54-55 ALMONDVALE CENTRE	EH54 6NB	Livingston, Uphall Station
Free	-	Branch	NATIONWIDE BLDG SOC	106A ALMONDVALE CENTRE	EH54 6HT	Livingston, Uphall Station
Free	-	Branch	THE ROYAL BANK OF SCOTLAND PLC	4 ALMONDVALE CENTRE	EH54 6NB	Livingston, Uphall Station
Free	-	Branch	THE ROYAL BANK OF SCOTLAND PLC	4 ALMONDVALE CENTRE	EH54 6NB	Livingston, Uphall Station
Free	-	Branch	THE ROYAL BANK OF SCOTLAND PLC	4 ALMONDVALE CENTRE	EH54 6NB	Livingston, Uphall Station

# APPENDIX 1 – WEST LoTHIAN ATM LOCATIONS

Free OR Charging	Fee Charged £	Type of Location	Premises of ATM	Street Address	Postcode	Postcode Location
Free	-	Branch	THE ROYAL BANK OF SCOTLAND PLC	4 ALMONDVALE CENTRE	EH54 6NB	Livingston, Uphall Station
Free	-	Branch	THE ROYAL BANK OF SCOTLAND PLC	4 ALMONDVALE CENTRE	EH54 6NB	Livingston, Uphall Station
Charging	1.69	Convenience Store	COSTCUTTER	46A ONSLOW STREET	EH54 5HR	Livingston, Uphall Station
Charging	1.50	Convenience Store	SUPERFARE	78 CAMERON WAY	EH54 8HF	Livingston, Uphall Station
Charging	1.85	Convenience Store	ELIBURN MINI MARKET	6 JACKSON PLACE	EH54 6RH	Livingston, Uphall Station
Charging	1.80	Convenience Store	A G S FOODSTORES	14 LAMONT WAY	EH54 8LF	Livingston, Uphall Station
Charging	1.55	Convenience Store	HOGARTH MOTOR CO. LTD	CARRON WALK	EH54 5AA	Livingston, Uphall Station
Charging	1.25	Convenience Store	LADYWELL SUPERSTORE	16 THYMEBANK	EH54 6HH	Livingston, Uphall Station
Charging	0.99	Convenience Store	U SAVE	DOUGLAS RISE	EH54 6JH	Livingston, Uphall Station



# APPENDIX 1 – WEST LOTHIAN ATM LOCATIONS

Free OR Charging	Fee Charged £	Type of Location	Premises of ATM	Street Address	Postcode	Postcode Location
Charging	1.75	Social	BRUCEFIELD FARM	RUTHERFORD SQUARE	EH54 9BU	Livingston, Uphall Station
Charging	1.75	Social	DEER PARK	DEER PARK AVENUE	EH54 8AD	Livingston, Uphall Station
Charging	1.75	Convenience Store	LLOYD PHARMACY	NIGEL RISE	EH54 6LX	Livingston, Uphall Station
Charging	1.85	Convenience Store	SUPERWAY	1-2 KINGSFORT AVENUE	EH54 6BA	Livingston, Uphall Station
Charging	1.65	Convenience Store	LITTLE SUPERMARKET	1A BEECH GROVE	EH54 5JL	Livingston, Uphall Station
Charging	1.85	Convenience Store	SUPERFARE	23 FERNBANK	EH54 6DT	Livingston, Uphall Station
Free	-	Convenience Store	LOGANLEA MINERS (FINANCIAL INCLUSION)	ADDIEWELL	EH55 8HN	West Calder, Addiewell, Polbeth, Brieche, Harburn
Free	-	Convenience Store	SCOTMID CO-OPERATIVE SOCIETY LTD	22 MAIN STREET	EH55 8DR	West Calder, Addiewell, Polbeth, Brieche, Harburn
Free	-	Convenience Store	ZAYNA FOOD STORE	17-19 MAIN STREET	EH55 8BY	West Calder, Addiewell, Polbeth, Brieche, Harburn
Free	-	Convenience Store	CO-OPERATIVE RETAIL SERVICES LTD	2A POLBETH ROAD	EH55 8SR	West Calder, Addiewell, Polbeth, Brieche, Harburn

## APPENDIX 1 – WEST LOTHIAN ATM LOCATIONS

Free OR Charging	Fee Charged £	Type of Location	Premises of ATM	Street Address	Postcode	Postcode Location
Free	-	Post Office	POST OFFICE	7-9 EAST END	EH55 8AB	West Calder, Addiewell, Polbeth, Brieche, Harburn
Charging	1.75	Post Office	POST OFFICE	46 LOGANLEA ROAD	EH55 8HS	West Calder, Addiewell, Polbeth, Brieche, Harburn
Charging	0.99	Post Office	POLBETH MINI MARKET	13-15 LIMEFIELD ROAD	EH55 8UD	West Calder, Addiewell, Polbeth, Brieche, Harburn
Charging	0.95	Motoring	POLBETH SERVICE STATION	POLBETH	EH55 8SD	West Calder, Addiewell, Polbeth, Brieche, Harburn

## APPENDIX 1 – WEST LOTHIAN ATM LOCATIONS

### APPENDIX 2 – WEST LOTHIAN PROTECTED ATMs

Free to use protected ATMs across West Lothian

ATM Provider	Address Line 1	Town	Postcode	Postcode Location
NoteMachine	Main Street	Bathgate	EH47 0JB	EH47 – Whitburn, Fauldhouse, Stoneyburn, Seafield, Longridge
Cardtronics UK Ltd	West Main Street	Bathgate	EH47 7LX	EH47 – Whitburn, Fauldhouse, Stoneyburn, Seafield, Longridge
NoteMachine	Main Street	Bathgate	EH47 8EL	EH47 – Whitburn, Fauldhouse, Stoneyburn, Seafield, Longridge
Cardtronics UK Ltd	Main Street	Bathgate	EH48 3SH	EH48 – Bathgate, Blackridge, Torphichen, Armadale
Cardtronics UK Ltd	Station Road	Linlithgow	EH49 6JQ	EH49 – Linlithgow, Bridgend, Philipstoun, Threemiletown
Cardtronics UK Ltd		Broxburn	EH52 5BQ	EH52 – Broxburn, Winchburgh, Uphall, Dechmont
NoteMachine		Broxburn	EH52 6LS	EH52 – Broxburn, Winchburgh, Uphall, Dechmont
NoteMachine	Main Street	Broxburn	EH52 6QE	EH52 – Broxburn, Winchburgh, Uphall, Dechmont
NoteMachine	Drumshoreland Road	Livingston	EH53 0LN	EH53 – Mid Calder, East Calder, Pumpherston
Cardtronics UK Ltd	Pumpherston Road	Livingston	EH54 5PT	EH54 – Livingston, Uphall Station
Cardtronics UK Ltd	Deer Park Avenue	Livingston	EH54 8AD	EH54 – Livingston, Uphall Station
Cardtronics	Addiewell	West Calder	EH55 8HN	EH55 – West Calder, Addiewell, Polbeth, Breich, Harburn
NoteMachine	Polbeth Road	West Calder	EH55 8SR	EH55 – West Calder, Addiewell, Polbeth, Breich, Harburn





## **PARTNERSHIP AND RESOURCES POLICY DEVELOPMENT AND SCRUTINY PANEL**

### **CIPFA FINANCIAL MANAGEMENT CODE**

#### **REPORT BY HEAD OF FINANCE AND PROPERTY SERVICES**

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

To provide the panel with a summary of the Chartered Institute of Public Finance and Accountancy (CIPFA) Financial Management Code (FM Code), this was published by CIPFA in October 2019. The report will also outline officer responses to the financial management standards set out in the code to demonstrate compliance with the code as well as suggested actions to ensure full compliance with the code.

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

The panel is asked to note the following recommendations:

1. Notes the CIPFA Financial Management Code and the requirement for full compliance with the code by financial year 2021/22;
2. Notes the financial management standards and key messages included in the code;
3. Notes that the CIPFA Guidance Notes are yet to be published, with an anticipated publication date of April 2020;
4. Notes the initial officer responses to demonstrate how existing processes in the council meet the standards of the code;
5. Notes that, following the publication of the guidance notes, a full review will be undertaken by officers to ensure compliance with the code by 2021/22 and this will be reported to Partnership and Resources PDSP following the summer recess.

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

- |   |   |
|---|---|
| <b>I Council Values</b>   | Being honest, open and accountable, making the best use of resources, working in partnership.   |
| <b>II Policy and Legal (including Strategic Environmental Assessment, Equality Issues, Health or Risk Assessment)</b> | <p>The council has a statutory duty to ensure good governance and adhere to standards of good financial management to demonstrate financial sustainability.</p> <p>Section 12 of the Local Government in Scotland Act 2003 states that the council must observe proper accounting practices that are signed-off by auditors. The practices to be observed are:</p> <ol style="list-style-type: none"><li>a) those which the local authority is required to observe by virtue of any enactment</li><li>b) those which have been specified in guidance issued for the purposes of this section and that section by the Scottish Ministers</li><li>c) those which, whether by reference to any generally recognised, published code or otherwise, are regarded as proper accounting practices to be observed in the preparation and publication of accounts of local authorities</li></ol> |

<b>III</b>	<b>Implications for Scheme of Delegations to Officers</b>	None.
<b>IV</b>	<b>Impact on performance and performance Indicators</b>	The recommendations within this report will help the council to consider how sound overall financial management is maintained within the context of a constrained financial outlook for local government.
<b>V</b>	<b>Relevance to Single Outcome Agreement</b>	The CIPFA Financial Management code is intended to assist councils in ensuring good financial management and governance is undertaken to make certain that local service provision is sustainable and to achieve local single outcome agreements.
<b>VI</b>	<b>Resources - (Financial, Staffing and Property)</b>	Scottish Government grant funding is not sufficient to meet the increasing costs and demand for services.
<b>VII</b>	<b>Consideration at PDSP</b>	None.
<b>VIII</b>	<b>Other consultations</b>	Governance Manager.

## **D. TERMS OF REPORT**

### **D.1 Introduction**

The CIPFA Financial Management Code, provided in appendix 1, is designed to support good practice in financial management and assist in demonstrating the local authority's financial sustainability. Compliance with the FM Code is the collective responsibility of elected members, the chief finance officer (CFO) and the leadership team. In West Lothian, the CFO and Section 95 Officer is the Head of Finance and Property Services. The leadership team at officer level is the Corporate Management Team. There is also a leadership role for council committees.

The FM Code builds on established CIPFA Prudential and Treasury Management Codes and is based on a series of principles supported by specific standards which are considered necessary to:

- Financially manage short, medium and long term finances
- Manage financial resilience to meet unforeseen service demands
- Manage un-forecast shocks in financial arrangements and circumstances

The FM Code should not be considered in isolation and accompanying tools and standards and should form part of the evidence to demonstrate sound decision making and financial governance.

The council has a statutory duty to meet the requirements set out in Section 12 of Local Government in Scotland Act 2003, whereby the council must comply with proper accounting practices that are confirmed by the external auditors to have been observed and complied with. The CIPFA FM Code would be regarded as a published code with regard to proper accounting practices and, as such, compliance with the code should be demonstrated.

### **D.2 The CIPFA Statement of Principles of Good Financial Management**

The FM Code is a principles based approach and does not prescribe financial management processes that should be adopted. The code requires that local authorities demonstrate how their processes comply with the principles of good financial management. Good financial management should be proportionate to the risks faced by the local authority's financial sustainability given the pressures of reducing financial resources and rising demands for services.

The principles of good financial management have been developed to focus on an approach which will assist in determining whether, in applying the standards of financial management, a local authority is financially sustainable. The principles are as follows:

- Organisational Leadership – demonstrating clear strategic direction based on a vision where financial management is embedded into organisational culture.
- Accountability – medium term financial planning that drives the annual budget process and is supported by effective risk management, quality supporting data and whole life costs.
- Transparency – financial management is undertaken with transparency, using consistent, meaningful and understandable data, reported frequently with evidence of officer action and elected member decision making.
- Standards – adherence to professional standards is promoted by the leadership team and is evidenced.
- Assurance – sources of assurance are recognised as an effective tool for financial management, including political scrutiny and the results of internal and external audit and inspection.
- Sustainability – long term sustainability of services is at the centre of all financial management processes and is evidenced by prudent use of public resources.

### **D.3 The Application and Structure of the FM Code**

It is CIPFA's intention that the FM Code will have the same scope as the CIPFA Prudential Code for Capital Finance in Local Authorities (2017), promoting the financial sustainability of the local authority capital expenditure and associated borrowing. Although the FM Code does not have legislative backing, it applies to all local authorities, which in Scotland are defined in legislation in the Local Government in Scotland Act 2003 and to larger bodies such as integration joint boards.

In addition to the alignment with the CIPFA Prudential Code, the FM Code also has links to the CIPFA Treasury Management in the Public Sector Code of Practice (2017) and the annual Code of Practice on Local Authority Accounting. The FM Code is also supported by the statutory requirement for local authorities to have sound financial management. CIPFA is working towards providing statutory backing to the FM Code and does not see where the absence of statutory backing would provide reason for non-compliance with the FM Code.

CIPFA considers that compliance with the FM Code will help local authorities to demonstrate that they are meeting legislative requirements as well as professional codes of practice and guidance.

#### **D.3.1 FM Code Application Date**

Local authorities are required to apply the requirements of the FM Code with effect from 1 April 2020. CIPFA has considered the ambition of the code in line with the resource challenges facing local authorities and considers that the implementation date of April 2020 is to demonstrate that local authorities are working towards full implementation of the code and the first full year of compliance with the FM Code will be for financial year 2021/22.

#### **D.3.2 The Structure of the FM Code**

To allow local authorities to test their adherence with the principles of financial management the FM Code translates the principles into financial management standards, with the standards having different practical applications.

The CIPFA financial management standards are presented and explained in seven sections of the FM Code. Sections 1 and 2 address important contextual factors, for example responsibilities of the CFO and leadership team and the authority's governance and financial management style. Sections 3 to 7 address the requirements of the financial management cycle:

- The need for a long term approach to evaluate financial sustainability
- Development of a high-quality long term financial strategy
- Stakeholder engagement and business cases
- Performance monitoring arrangements
- How high-quality financial reporting supports the financial management cycle

The financial management standards are to be guided by proportionality and it is the intention that local authorities demonstrate a rigorous approach to the assessment and mitigation of risk with financial management expertise being deployed effectively.

#### **D.4 The CIPFA Financial Management Standards**

The FM Code seeks to promote good financial management of the standard local authority activities as well as promoting good financial management of exceptional or unfamiliar activities, recognising that getting the routine business right is crucial for good financial management.

A diagram of how the standards link in with the principles of good financial management is included in appendix 2.

##### **D.4.1 Section 1 – The Responsibilities of the Chief Finance Officer and Leadership Team**

Financial Management Standard A – The leadership team is able to demonstrate that the services provided by the authority provide value for money.

It is for the leadership team to ensure that the local authority's governance arrangements and financial management style promotes financial sustainability. With an important element of collective decision making is to understand risks and the statutory responsibilities.

As well as the Corporate Management Team, leadership also includes elected members, portfolio holders with delegated powers and other key committees.

The local authority has statutory responsibility for maintaining a system of internal control including the management of risk, an effective internal audit, preparing annual accounts, as well as the CFO providing timely, relevant and reliable financial advice.

Financial Management Standard B – The authority complies with the CIPFA Statement on the Role of the Chief Financial Officer in Local Government.

The requirements of legislation and professional standards should be fulfilled by the CFO.

##### **D.4.2 Section 2 – Governance and Financial Management Style**

Financial Management Standard C – The leadership team demonstrates in its actions and behaviours responsibility for governance and internal control.

Proper governance and financial management arrangements are in place, including a proper scheme of delegation ensuring that frontline responsibility for internal and financial control starts with those who have management roles. Those responsible for the delivery of services are also held responsible for the financial management and associated expenditure and income.

The head of paid service (namely the Chief Executive) is responsible for suitable recruitment and organisation of local authority staff. The monitoring officer has the specific duty to ensure the council, its officers and elected members maintain the highest standards of conduct.

Good governance is evidenced by actions and behaviours as well as formal documentation and processes. A successful leadership team has a culture of constructive challenge built on rigorous examination of goals, underlying assumptions and implementation plans.



Financial Management Standard D – The authority applies the CIPFA/SOLACE Delivering Good Governance in Local Government: Framework 2016.

Encourage sustainable delivery and improved accountability by establishing a benchmark for good governance. The CIPFA/SOLACE Delivering Good Governance in Local Government: Framework supports the development and maintenance of codes of governance and accountability for appropriate conduct of business.

Financial Management Standard E – The financial management style of the authority supports financial sustainability.

CIPFA believes that the strength of financial management within an organisation can be assessed by a hierarchy of three financial management styles:

- Delivering accountability (economy)
- Supporting performance (efficiency)
- Enabling transformation (effectiveness)

These styles are used in the CIPFA Financial Management Model to describe the different standards of financial management. With enabling transformation only being achievable by a financial management style that supports performance and in turn delivers accountability. Authorities need to move up through the hierarchy of financial management styles in response to increasing risk.

#### **D.4.3 Section 3 – Medium to Long-term Financial Management**

CIPFA does not believe that the time horizon of local authority financial planning is determined by the time horizon of government grant settlements, and that to be able to demonstrate financial sustainability a longer-term perspective is essential. The greater the uncertainty over central government policy then the greater the need to demonstrate long-term financial resilience given the risks attached to core funding.

It is the responsibility of the leadership of the authority, including elected members, senior management and the chief finance officer to have a long-term view acknowledging financial pressures. With authorities with a high level of investment and associate external borrowing adopting a corresponding long-term approach.

Financial Management Standard F – The authority has carried out a credible and transparent financial resilience assessment.

Authorities must critically evaluate their financial resilience. Existing strategies may be financial sustainable, but they must still have been tested and demonstrated in a financial resilience assessment.

In the financial resilience assessment the authority must test the sensitivity of its financial sustainability with plausible scenarios and key drivers for costs, service demands and resources. Requiring analysis of future demand and consideration of alternative options for matching demand to resources, focussing on key longer-term revenues and expenses and key risks to which the authority will be exposed.

Financial Management Standard G – The authority understands its prospects for financial sustainability in the longer term and has reported this clearly to members.

The authority will need to demonstrate how the risks identified have informed a long-term strategy. There needs to be an over-arching strategic vision of how it intends to deliver outputs and outcomes, which should include a statement setting out both the vision and the underlying strategy.

CIPFA is not prescriptive about the time period of the long-term financial strategy. However CIPFA would promote ambition and the need for a financial strategy that matches the requirement for a strategic approach to service planning. The underlying key cost drivers, especially those linked to the age profile of a community can be foreseen at least in broad terms for at least decade ahead.

Financial Management Standard H – The authority complies with the CIPFA Prudential Code for Capital Finance in Local Authorities.

One of the requirements of the Prudential Code is a capital strategy, which is seen as a fundamental component of good financial management. Better management of assets and liabilities to support service delivery and capital strategy.

Financial Management Standard I – The authority has a rolling multi-year medium term financial plan consistent with sustainable service plans.

CIPFA does not anticipate that a long-term financial strategy would provide sufficient details to shape the annual budget setting process. Therefore local authorities will need to translate their long-term financial strategies into a medium-term financial plan (MTFP) for budget setting, with the MTFP supporting financially sustainable decision making.

Performance against the MTFP will enable success and/or failures to be taken into account in the annual budget setting process. CIPFA states that a symptom of financial stress in the emergence of unanticipated overspends in recent years from the MTFP. The MTFP needs to be rolled forward annually to ensure that it reflects the latest detailed information, and by undertaking this approach to medium-term financial planning the annual budget is aligned to longer-term goals.

#### **D.4.4 Section 4 - The Annual Budget**

Financial Management Standard J – The authority complies with its statutory obligations in respect of the budget setting process.

The annual budget report is a key document for the authority and the preparation process needs to be undertaken with detailed consideration at a time when the need to make difficult decisions may threaten its integrity.

Local authorities are directed to have regard to the level of reserves with considering their budget requirements and are recognised as an intrinsic part of financial planning and budget setting.

Financial Management Standard K – The budget report includes a statement by the chief finance officer on the robustness of the estimates and a statement on the adequacy of the proposed financial reserves.

CIPFA highlights that a well-managed authority, with a prudent approach to budgeting, should be able to operate with a level of general reserves appropriate to the risks to which it is exposed.

#### **D.4.5 Section 5 – Stakeholder Engagement and Business Cases**

CIPFA set out the role of the leadership team in reviewing priorities to enable resources to be redirected from areas of lesser priority. How services are delivered should be challenged with decisions made with a clear understanding of the statutory requirements and wider legal implications of any decisions.

Financial Management Standard L – The authority has engaged where appropriate with key stakeholders in developing its long-term financial strategy, medium-term financial plan and annual budget.

The FM Code sets out that stakeholder consultation helps to encourage community involvement in the design of services and their ongoing delivery, especially when an authority adopts an enabling approach to service delivery with active involvement of the third sector and could be beneficial in facilitating future service expenditure reductions.

Financial Management Standard M – The authority uses an appropriate documented option appraisal methodology to demonstrate the value for money of its decisions.

Financial sustainability is dependent upon difficult and often complex decisions being made. The authority's decisions must be informed by clear business cases based on appropriate option appraisal techniques. The chief finance officer is responsible for ensuring that all material decisions are supported by an option appraisal.

#### **D.4.6 Section 6 – Performance monitoring**

For an authority to be financially sustainable it must have timely information of its financial and operational performance. Early information about emerging risks to financial sustainability will allow the authority to make a carefully considered and effective response.

Financial Management Standard N – The leadership team takes action using reports enabling it to identify and correct emerging risks to its budget strategy and financial sustainability.

The FM Code notes the importance of translating policy decisions into actions to prevent unplanned overspends and/or preventing the non-delivery of savings. Non-financial performance measures, for example back-logs, can be used as another indication that resources do not match service user expectations. These trends should be used to inform the decisions taken on the medium term and long-term financial planning.

The code also requires authorities to more closely monitor the material elements of the balance sheet as this can give an early indication of required changes to the financial plan.

Financial Management Standard O – The leadership team monitors the elements of the balance sheet which pose significant risk to its financial sustainability.

Contingencies and commitments should be monitored to identify any items where balance sheet provision may have been realised. Key drivers of provisions should be monitored to identify whether an actual or constructive obligation has arisen.

#### **D.4.7 Section 7 – External financial reporting**

The statutory accounts provide a secure basis for financial management and are an integral part of demonstrating how public money has been used. They support accountability and good financial management.

Financial Management Standard P – The chief finance officer has personal and statutory responsibility for ensuring that the statement of accounts produced by the local authority complies with the reporting requirements of the Code of Practice on Local Authority Accounting in the United Kingdom.

The financial statements provide the accountability link between planned performance, resources and outcomes, financial and others, which are achieved.

Financial Management Standard Q – The presentation of the final outturn figures and variations from budget allows the leadership team to make strategic financial decisions.

A monitoring process should explain how material variances from initial and revised budgets to the outturn report in the financial statements have arisen and been managed. The success of these arrangements will be demonstrated by the ability of the leadership team to make decisions from them.

## **D.5 Implications for West Lothian Council**

On 13 February 2018, Council agreed a long term financial plan for five years and detailed revenue budgets for the three years 2018/19 to 2020/21. The financial plan was updated for the period 2019/20 to 2022/23 and agreed by Council on 19 February 2019. The 2018/19 annual audit report from the council's external auditors recognises the council's good practice in future financial planning.

The council's approach is consistent with the recommendations of the Accounts Commission, Audit Scotland and the Chartered Institute of Public Finance and Accountancy (CIPFA) who emphasise the need for public bodies to focus on their medium to long term financial sustainability. They have advised that public bodies should develop strategies that are based on defined priorities, providing a clear road map for service delivery. Constrained financial resources are not a short term problem therefore a strategic approach is essential to meet the medium to long term challenges arising from the fundamental structural changes to public sector funding.

The FM Code sets out a range of statements which the authority must comply with, CIPFA have confirmed that they will be publishing detailed guidance notes in April 2020. Officers have undertaken an initial review of the financial management standards and requirements set out by the code. Included in Appendix 3 is the evidence of the existing processes, procedures and documentation currently used which comply with the FM Code as well as initial identification of action points for consideration to ensure full compliance by financial year 2021/22.

Officers will undertake a full detailed review of compliance once the CIPFA guidance notes have been published and will report to Partnership and Resources PDSP on the outcome of the review following summer recess in 2020.

## **E. CONCLUSION**

The CIPFA Financial Management Code has been introduced due to the exceptional financial circumstances faced by local authorities. The code is intended to support good practice in financial management and assist in demonstrating the local authority's financial sustainability. The code sets out the standards of financial management for local authorities. Compliance with the FM Code is the collective responsibility of elected members, the chief finance officer (CFO) and the leadership team.

The standards and requirements set out in the code allow for a review of existing processes, procedures and documentation as well as the identified actions will assist in ensuring that the council is fully compliant with the code and is well placed to deliver agreed priorities and financial sustainability within constrained financial resources.

## **F. BACKGROUND REFERENCES**

CIPFA Prudential Code for Capital Finance in Local Authorities (2017)  
CIPFA Treasury Management in the Public Sector Code of Practice (2017)  
The annual Code of Practice on Local Authority Accounting  
CIPFA Statement on the Role of the Chief Financial Officer in Local Government CIPFA/SOLACE  
Delivering Good Governance in Local Government: Framework

### Appendices/Attachments:

Appendix 1 – CIPFA Financial Management Code  
Appendix 2 – CIPFA Financial Management Principles and Standards Diagram  
Appendix 3 – Evidence and Actions

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**Donald Forrest**  
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7 February 2020

# financial management code



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# financial management code

Published by:

**CIPFA \ THE CHARTERED INSTITUTE OF PUBLIC FINANCE AND ACCOUNTANCY**

77 Mansell Street, London E1 8AN

020 7543 5600 \ [customerservices@cipfa.org](mailto:customerservices@cipfa.org) \ [www.cipfa.org](http://www.cipfa.org)

© October 2019 CIPFA

ISBN 978 1 84508 524 7

Printed by Rapidity, London.

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# Executive summary

The tightening fiscal landscape has placed the finances of local authorities under intense pressure. Where finance in local government works well there is often a common understanding and ownership of issues supported by good financial management.

While organisations have done much to transform services, shape delivery and streamline costs, for these approaches to be successful it is crucial to have good financial management embedded as part of the organisation. Good financial management is an essential element of good governance and longer-term service planning, which are critical in ensuring that local service provision is sustainable.

The Financial Management Code (FM Code) is designed to support good practice in financial management and to assist local authorities in demonstrating their financial sustainability. For the first time the FM Code sets out the standards of financial management for local authorities.

Local government finance in the UK is governed by primary legislation, regulation and professional standards as supported by statutory provision. The general financial management of a local authority, however, has not until now been supported by a professional code. The FM Code has been introduced because the exceptional financial circumstances faced by local authorities have revealed concerns about fundamental weaknesses in financial management, particularly in relation to organisations that may be unable to maintain services in the future. There is much good practice across the sector, but the failures of a small number threatens stakeholders' confidence in local government as a whole. Most importantly, the financial failure of just one local authority is one too many because it brings with it a risk to the services on which local people rely.

This publication has several components. The first is an introduction explaining how the FM Code applies a principles-based approach and how it relates to other statutory and good practice guidance on the subject. This is a good starting point for those new to the FM Code.

This introduction is followed by the CIPFA Statement of Principles of Good Financial Management. These six principles have been developed by CIPFA in collaboration with senior leaders and practitioners who work within or have a stake in good local authority financial management. These principles are the benchmarks against which all financial management should be judged. CIPFA's view is that all financial management practices should comply with these principles.

To enable authorities to test their conformity with the CIPFA Statement of Principles of Good Financial Management, the FM Code translates these principles into financial management standards. These financial management standards will have different practical applications according to the different circumstances of each authority and their use should therefore reflect this. The principle of proportionality is embedded within this code and reflects a non-prescriptive approach.

The purpose of the FM Code itself is to establish the principles in a format that matches the financial management cycle and supports governance in local authorities. A series of financial management standards set out the professional standards needed if a local authority is to meet the minimal standards of financial management acceptable to meet fiduciary duties to taxpayers, customers and lenders. Since these are minimum standards, CIPFA's judgement is that compliance with them is obligatory if a local authority is to meet its statutory responsibility for sound financial administration. Beyond that, CIPFA members must comply with it as one of their professional obligations.

While the statutory local authority budget setting process continues to be on an annual basis, a longer-term perspective is essential if local authorities are to demonstrate their financial sustainability. Short-termism runs counter to both sound financial management and sound governance.

Reflecting on the importance of longer term financial planning, one of the objectives of the FM Code is to support organisations to demonstrate that they have the leadership, capacity and knowledge to be able to plan effectively. This must be balanced against retaining the integrity of the annual budget preparation process when the need to make difficult decisions may threaten its integrity.

CIPFA recognises that local authorities may need additional practical guidance on some aspects of the FM Code. Such 'hands on' guidance will be produced by CIPFA to meet practitioner demand.

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# Introduction

The Financial Management Code (FM Code) is designed to support good practice in financial management and to assist local authorities in demonstrating their financial sustainability. The FM Code therefore for the first time sets the standards of financial management for local authorities.

One of the strengths of UK local government is its diversity, with authorities having a different organisational culture – even those of the same size and type. It is this that allows a close relationship between local authorities and the communities that they serve. Its style of financial management should reflect, for example, its reliance on local tax income or scope to utilise additional grant or generate trading income. This code is therefore not prescriptive.

The FM Code is based on a series of principles supported by specific standards which are considered necessary to provide the strong foundation to:

- financially manage the short, medium and long-term finances of a local authority
- manage financial resilience to meet unforeseen demands on services
- manage unexpected shocks in their financial circumstances.

The FM Code is consistent with other established CIPFA codes and statements in being based on principles rather than prescription. This code incorporates their existing requirements on local government so as to provide a comprehensive picture of financial management in the authority.

Each local authority (and those bodies designated to apply the FM Code) must demonstrate that the requirements of the code are being satisfied. Demonstrating this compliance with the FM Code is a collective responsibility of elected members, the chief finance officer (CFO) and their professional colleagues in the leadership team. It is for all the senior management team to work with elected members in ensuring compliance with the FM Code and so demonstrate the standard of financial management to be expected of a local authority. In doing this the statutory role of the section 151 officer will not just be recognised but also supported to achieve the combination of leadership roles essential for good financial management.

While CIPFA has provided leadership, the development of the FM Code reflects a recognition that self-regulation by the sector must be the preferred response to the financial management failures that have the potential to damage the reputation of the sector as a whole. The FM Code has sought therefore to rely on the local exercise of professional judgement backed by appropriate reporting. To ensure that self-regulation is successful, compliance with the FM Code cannot rest with the CFO acting alone.

Significantly, the FM Code builds on established CIPFA Prudential and Treasury Management Codes which require local authorities to demonstrate the long-term financial sustainability of their capital expenditure, associated borrowing and investments. The introduction of the Prudential Framework based on the CIPFA codes enabled local authorities to make their own capital finance decisions on matters that had hitherto been subject to central government

control. The FM Code should not be considered in isolation and accompanying tools, including the use of objective quantitative measures of financial resilience, should form part of the suite of evidence to demonstrate sound decision making.

# The CIPFA Statement of Principles of Good Financial Management

The FM Code applies a principle-based approach. It does not prescribe the financial management processes that local authorities should adopt. Instead, this code requires that a local authority demonstrates that its processes satisfy the principles of good financial management for an authority of its size, responsibilities and circumstances. Good financial management is proportionate to the risks to the authority's financial sustainability posed by the twin pressures of scarce resources and the rising demands on services. The FM Code identifies these risks to financial sustainability and introduces an overarching framework of assurance which builds on existing best practice but for the first time sets explicit standards of financial management. These are minimum standards, which for many in the sector are self-evident. Recent experience in some local authorities suggests, however, that they are by no means universally achieved.

The underlying principles that inform the FM Code have been developed in consultation with senior practitioners from local authorities and associated stakeholders. The principles have been designed to focus on an approach that will assist in determining whether, in applying standards of financial management, a local authority is financially sustainable.

- Organisational **leadership** – demonstrating a clear strategic direction based on a vision in which financial management is embedded into organisational culture.
- **Accountability** – based on medium-term financial planning that drives the annual budget process supported by effective risk management, quality supporting data and whole life costs.
- Financial management is undertaken with **transparency** at its core using consistent, meaningful and understandable data, reported frequently with evidence of periodic officer action and elected member decision making.
- Adherence to professional **standards** is promoted by the leadership team and is evidenced.
- Sources of **assurance** are recognised as an effective tool mainstreamed into financial management, including political scrutiny and the results of external audit, internal audit and inspection.
- The long-term **sustainability** of local services is at the heart of all financial management processes and is evidenced by prudent use of public resources.

The FM Code has been developed and tested in partnership with a range of different types of local authorities. However, given the diversity of UK local government, it is not possible (or desirable) for the FM Code to anticipate all eventualities. If any doubt arises as to whether

or how the FM Code should be applied, then reference should be made to these Principles of Good Financial Management to establish whether the proposed financial management practice is acceptable. A financial management practice that conflicts with one or more of these principles will not be acceptable if not explicitly ruled out by the financial management standards contained in the FM Code.



# The applicability and structure of the Financial Management Code

CIPFA's intention is that the Financial Management Code (FM Code) will have the same scope as the *Prudential Code for Capital Finance in Local Authorities* (CIPFA, 2017), which promotes the financial sustainability of local authority capital expenditure and associated borrowing. So, although the FM Code does not have legislative backing, it applies to all local authorities, including police, fire, combined and other authorities, which:

- in England and Wales are defined in legislation for the purposes of Part 1 of the Local Government Act 2003
- in Scotland are defined in legislation for the purposes of Part 7 of the Local Government in Scotland Act 2003, or to the larger bodies (such as integration joint boards) to which Section 10 of this Act applies
- in Northern Ireland are defined in legislation for the purposes of Part 1 of the Local Government Finance Act (Northern Ireland) 2011.

While the FM Code applies to all local authorities, it recognises that some have different structures and legislative frameworks. Where compliance with this code is not possible, adherence to the principles is still considered appropriate.

In addition to its alignment with the *Prudential Code for Capital Finance in Local Authorities* (CIPFA, 2017), the FM Code also has links to the *Treasury Management in the Public Sector Code of Practice and Cross Sectoral Guidance Note* (CIPFA, 2017) and the annual *Code of Practice on Local Authority Accounting in the United Kingdom*. In this way the FM Code supports authorities by re-iterating in one place the key elements of these statutory requirements.

Although it may be expressed differently across the different jurisdictions of the UK, the FM Code is also further supported by statutory requirement, or all local authorities to have sound financial management.

Section 151 of the Local Government Act 1972 requires that every local authority in England and Wales should "... make arrangements for the proper administration of their financial affairs and shall secure that one of their officers has responsibility for the administration of those affairs."

Section 95 of the Local Government (Scotland) Act 1973 substantially repeats these words for Scottish authorities.

In Northern Ireland, Section 54 of the Local Government Act (Northern Ireland) 1972 requires that "a council shall make safe and efficient arrangements for the receipt of money paid to it

and the issue of money payable by it and those arrangements shall be carried out under the supervision of such officer of the council as the council designates as its chief finance officer.”

CIPFA’s judgement is that compliance with the FM Code will assist local authorities to demonstrate that they are meeting these important legislative requirements.

In addition to the requirements of primary legislation and associated CIPFA Codes, an authority’s prudent and proper financial management is informed by a framework of professional codes of practice and guidance, including:

- the CIPFA *Statements of Professional Practice (SOPP) (including ethics)*
- the CIPFA *Statement of the Role of the Chief Financial Officer*
- the CIPFA *Statement on the Role of the Chief Financial Officer in Local Government*
- the CIPFA *Statement on the Role of the Chief Finance Officer of the Police and Crime Commissioner and the Chief Finance Officer of the Chief Constable.*

CIPFA considers the application of the FM Code to be a professional responsibility of all its members, regardless of their role in the financial management process. More specifically, the FM Code clarifies CIPFA’s understanding of how CFOs should satisfy their statutory responsibility for good financial administration. The responsibilities of the CFO are both statutory and professional. Notwithstanding these specific expectations of CIPFA members, the primary purpose of the FM Code is to establish how the CFO – regardless of whether or not they are a CIPFA member – should demonstrate that they are meeting their statutory responsibility for sound financial administration.

The code has clear links to a number of value for money characteristics such as sound governance at a strategic, financial and operational level, sound management of resources and use of review and options appraisal. Where an overriding duty of value for money exists, this serves to give indirect statutory support to important elements of this code.

The manner in which compliance with the FM Code is demonstrated will be proportionate to the circumstances of each local authority. Importantly, however, contextualising the FM Code cannot be done according only to the size of the authority but also according to the complexity and risks in its financial arrangements and service delivery arrangements.

CIPFA considers application of the FM Code to be a collective responsibility of each authority’s organisational leadership team.

CIPFA believes that this FM Code merits the type of statutory backing given to some other CIPFA codes and furthermore there is support for this approach within local government and its stakeholders. Equally, however, CIPFA recognises that such backing demands enabling primary legislation that at present has not been identified. CIPFA will continue to work with the jurisdictions of the different parts of the UK to provide statutory backing to the FM Code. At present it is difficult to envisage circumstances in which the absence of statutory backing for the FM Code would provide a reason for non-compliance.

## APPLICATION DATE

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Local authorities are required to apply the requirements of the FM Code with effect from 1 April 2020. This means that the 2020/21 budget process provides an opportunity for assessment of elements of the FM Code before April 2020 and to provide a platform for good financial management to be demonstrable throughout 2020/21. Local authorities will need to ensure that their governance and financial management style are fit in advance for this purpose. CIPFA has also considered the ambition within this code, the timescale and of course the wider resource challenges facing local authorities. Consequently CIPFA considers that the implementation date of April 2020 should indicate the commencement of a shadow year and that by 31 March 2021, local authorities should be able to demonstrate that they are working towards full implementation of the code. The first full year of compliance with the FM Code will therefore be 2021/22. Earlier adoption is of course encouraged.

It is the duty of each local authority to adhere to the principles of financial management. To enable authorities to test their conformity with the CIPFA Principles of Good Financial Management, the FM Code translates these principles into financial management standards. These financial management standards will have different practical applications according to the different circumstances of each authority.

### The structure of the FM Code

The CIPFA financial management standards are presented and explained in Sections 1 to 7 of the FM Code.

Sections 1 and 2 address important contextual factors which need to be addressed in the first instance if sound financial management is to be possible. The first deals with the responsibilities of the CFO and leadership team, the second with the authority's governance and financial management style. From a professional perspective, these factors are the most challenging to codify as they largely concern 'soft skills' and behaviours. Nonetheless, it will be seen that even for these factors, there are recognised standards of best practice that authorities must adopt if their organisational culture is to be favourable for sound financial management. A 'tick box' compliance with these standards alone, however, will not be sufficient if they do not promote the behaviours necessary for good financial management.

The remaining Sections 3 to 7 address the requirements of the financial management cycle, with Section 3 stating the need for a long-term approach to the evaluation of financial sustainability. To make well informed decisions all these elements of the cycle need to be fit for purpose. The development of a high-quality long-term financial strategy will not itself promote financial sustainability if, for example, the authority's annual budget setting process (Section 4), stakeholder engagement and business cases (Section 5) and performance monitoring arrangements (Section 6) are inadequate. The cycle is completed by Section 7, which shows how high-quality financial reporting supports the financial management cycle by ensuring that it rests on sound financial information.

CIPFA's expectation is that authorities will have to comply with all the financial management standards if they are to demonstrate compliance with the FM Code. It is again most important that practitioners recognise that, while compliance with the CIPFA financial management standards is obligatory, the FM Code is not prescriptive about how this is achieved.

In the accompanying guidance notes CIPFA sets out practices that local authorities can adopt to ensure compliance with the FM Code. These practices are not prescribed by the FM Code, but rather offered as a starting point for local authorities needing to raise their approach to financial management to the minimum standard set out in the FM Code. CIPFA may issue support and clarify application of the FM Code. Authorities can develop their own good practice and are encouraged to do so.

As high-level statements, the overarching CIPFA financial management standards apply to the police service. CIPFA recognises, however, that this type of organisation has in some respects different practices from other local authorities. In addition, the creation of bespoke combined authorities means that some flexibility is required in the application of the FM Code for their circumstances. This may be achieved by applying some standards to each of the component bodies and others directly to the combined authority itself. In all cases, when an authority has unique governance arrangements the CIPFA Principles of Financial Management should be used to resolve any doubt about the application of articular financial management standards.

Financial management standards are to be guided by proportionality. It is appropriate for different financial management approaches to apply to high-value/high-risk items that alone may determine the financial sustainability of the organisation as distinct from low-value/low-risk items. In satisfying the demands of the financial management standards it may be appropriate to apply different standard practices according to the scale and risks of each category of income or expenditure. The intention is that authorities demonstrate a rigorous approach to the assessment and mitigation of risk so that financial management expertise is deployed effectively given the circumstances faced by the authority.

Nonetheless, in acknowledging the need for proportionality in applying some aspects of the FM Code, an authority still needs to recognise that when aggregated, a failure to manage individual low-value/low-risk items may still threaten financial sustainability. The FM Code seeks to promote the good financial management of the standard, typical or familiar local authority activities just as much as it promotes the good financial management of the unusual, exceptional and unfamiliar. Essentially, the FM Code recognises that getting the routine business right is crucial for good financial management.

## The CIPFA financial management standards

### Summary table of CIPFA financial management standards

FM standard reference	CIPFA financial management standards
<b>Section 1: The responsibilities of the chief finance officer and leadership team</b>	
<b>A</b>	The leadership team is able to demonstrate that the services provided by the authority provide value for money.
<b>B</b>	The authority complies with the CIPFA <i>Statement on the Role of the Chief Finance Officer in Local Government</i> .
<b>Section 2: Governance and financial management style</b>	
<b>C</b>	The leadership team demonstrates in its actions and behaviours responsibility for governance and internal control.
<b>D</b>	The authority applies the CIPFA/SOLACE <i>Delivering Good Governance in Local Government: Framework</i> (2016).
<b>E</b>	The financial management style of the authority supports financial sustainability.
<b>Section 3: Long to medium-term financial management</b>	
<b>F</b>	The authority has carried out a credible and transparent financial resilience assessment.
<b>G</b>	The authority understands its prospects for financial sustainability in the longer term and has reported this clearly to members.
<b>H</b>	The authority complies with the CIPFA <i>Prudential Code for Capital Finance in Local Authorities</i> .
<b>I</b>	The authority has a rolling multi-year medium-term financial plan consistent with sustainable service plans.
<b>Section 4: The annual budget</b>	
<b>J</b>	The authority complies with its statutory obligations in respect of the budget setting process.
<b>K</b>	The budget report includes a statement by the chief finance officer on the robustness of the estimates and a statement on the adequacy of the proposed financial reserves.
<b>Section 5: Stakeholder engagement and business plans</b>	
<b>L</b>	The authority has engaged where appropriate with key stakeholders in developing its long-term financial strategy, medium-term financial plan and annual budget.
<b>M</b>	The authority uses an appropriate documented option appraisal methodology to demonstrate the value for money of its decisions.
<b>Section 6: Monitoring financial performance</b>	
<b>N</b>	The leadership team takes action using reports enabling it to identify and correct emerging risks to its budget strategy and financial sustainability.
<b>O</b>	The leadership team monitors the elements of its balance sheet that pose a significant risk to its financial sustainability.
<b>Section 7: External financial reporting</b>	
<b>P</b>	The chief finance officer has personal and statutory responsibility for ensuring that the statement of accounts produced by the local authority complies with the reporting requirements of the <i>Code of Practice on Local Authority Accounting in the United Kingdom</i> .
<b>Q</b>	The presentation of the final outturn figures and variations from budget allows the leadership team to make strategic financial decisions.



# The responsibilities of the chief finance officer and leadership team

Local authorities in the UK use different democratic models. While the committee and the cabinet system are the most common there are also a number of direct elected mayors in England. Regardless of the model, responsibility for corporate financial sustainability rests with those responsible for making executive decisions with the support of their professional advisors. Elected members need to work effectively with officers and other stakeholders to make difficult decisions and to identify and deliver savings when required.

While the legislative context differs across the different jurisdictions of the UK, all local authorities must deliver value for money. This is an overarching requirement that informs the application of the other financial management standards in the FM Code.

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### Financial Management Standard A

The leadership team is able to demonstrate that the services provided by the authority provide value for money.

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### The role of the leadership team

The delivery of value for money will ultimately be dependent on decisions made by elected members. It is for the leadership team to ensure that the authority's governance arrangements and style of financial management promote financial sustainability. It is the elected members who are held to account by local people when a local authority fails, but an important element of collective decision making is to understand the risks and appreciate the different statutory responsibilities of those involved. Good financial management is the responsibility of the whole leadership including the relevant elected members. It is the responsibility of the senior officers within the management team to enact this.

The FM Code follows the practice of the CIPFA *Statement of the Role of the Chief Financial Officer in Local Government* in referring to this collective group of elected member and officers with this collective financial responsibility as the leadership team. In local authorities, therefore, the concept of the 'leadership team' will include executive committees, elected mayors, portfolio holders with delegated powers and other key committees of the authority and senior officers.



In the police service this leadership is provided by police and crime commissioners and chief constables, which operate jointly according to the policing protocol, which requires the maintenance of an efficient force.

### **The role of the chief finance officer**

The statutory of the role of the chief finance officer (CFO) is a distinctive feature of local government in the UK (except in Northern Ireland). This role cannot be performed in isolation and requires the support of the other members of the leadership team.

The leadership team must recognise that while statutory responsibility for the financial management of the authority rests with the CFO, the CFO is reliant on the actions of the leadership team, both collectively and individually as elected members and senior officers. A situation in which the CFO is forced to act in isolation is characteristic of authorities in which financial management has failed and financial sustainability is threatened.

Equally, the CFO must ensure that they fulfil their personal legal and professional responsibilities in the public interest and in recognition of the other statutory service responsibilities of the authority. In the leadership team the CFO must provide timely, relevant and reliable financial advice, in accordance with the law and professional standards.

It is important to appreciate that while the section 151 or similar legislative provisions require the authority to appoint a suitably qualified officer responsible for the proper administration of its affairs, responsibility for proper financial administration still rests ultimately with elected members. The local authority itself has a statutory responsibility for maintaining a system of internal control including the management of risk, an effective internal audit and preparing annual accounts.

CIPFA has issued its *Statement on the Role of the Chief Financial Officer in Local Government*. This statement sets out CIPFA's understanding of the role to support both the CFO and local authorities.

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#### **Financial Management Standard B**

The authority complies with the CIPFA *Statement on the Role of the Chief Financial Officer in Local Government*.

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For the purposes of the FM Code, the CIPFA *Statement on the Role of the Chief Finance Officer of the Police and Crime Commissioner* and the *Chief Finance Officer of the Chief Constable* (2012) should be substituted for references to the CIPFA *Statement on the Role of the Chief Financial Officer in Local Government*.



CIPFA's *Statement on the Role of the Chief Financial Officer in Local Government* describes the roles and responsibilities of the CFO. It sets out how the requirements of legislation and professional standards should be fulfilled by the CFO as they carry out their duties. The statement is designed to assist those carrying out the role to meet its specific responsibilities while at the same time reiterating CIPFA's *Statement of Professional Practice* with which all CIPFA members are required to comply. The statement also requires that if different organisational arrangements are adopted the reasons should be explained publicly in the authority's annual governance statement, together with how they deliver the same impact.



# Governance and financial management style

Without good governance a local authority cannot make the changes necessary for it to remain financially sustainable. As such, financial sustainability must be underpinned by the robust stewardship and accountability to be expected of public bodies. Good governance gains the trust of taxpayers and other funders by giving them confidence that money is being properly spent. Good governance ensures better informed and longer-term decision making and therefore is essential for good financial management.

## Good governance

Responsibility for good governance also rests with the leadership team. The team must ensure that there are proper arrangements in place for governance and financial management, including a proper scheme of delegation that ensures that frontline responsibility for internal and financial control starts with those who have management roles. This delegation ensures that those responsible for the delivery of services are also explicitly held responsible for the financial management of the associated expenditure and income. Nonetheless, it is for the leadership team to demonstrate that the authority always meets exacting standards of probity, accountability and demonstrable efficiency in the use of public resources.

The CFO is not the only officer with specific statutory responsibilities for good governance. The head of paid service (in practice the chief executive) is responsible for the proper recruitment and organisation of a local authority's staff. The monitoring officer has the specific duty to ensure that the council, its officers and its elected members maintain the highest standards of conduct in all they do (the legal basis of the head of paid service's role is found in Section 4 of the Local Government and Housing Act 1989 and that of the monitoring officer in Section 5 of the same act).

All parts of the governance structure of an organisation play an important role, but the audit committee is a key component, providing independent assurance over governance, risk and internal control arrangements. It provides a focus on financial management, financial reporting, audit and assurance that supports the leadership team and those with governance responsibilities.

Good governance is evidenced by actions and behaviours as well as formal documentation and processes. The tone and action at the top are critical in this respect, and rest with the leadership team – both senior officers and elected members, as well as the CFO. A successful leadership team has a culture of constructive challenge that excludes an optimism bias in favour of a realism bias and is built on a rigorous examination of goals, underlying assumptions and implementation plans.

The Committee on Standards in Public Life has set out *Seven Principles of Public Life* which it believes should apply to all in the public services (often referred to as the Nolan Principles). The last of the Nolan Principles – that holders of public office should promote and support these principles by leadership and example – is especially relevant to the leadership team.

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#### **Financial Management Standard C**

The leadership team demonstrates in its actions and behaviours responsibility for governance and internal control.

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By international standards, local government in the UK is distinguished by high standards of governance. Citizens expect financial accountability, press and parliamentary scrutiny, integrity and the absence of corruption. These expectations are largely met, but local authorities should guard against complacency.

The CIPFA/IFAC *International Framework: Good Governance in the Public Sector* (Annex A to this FM Code) is intended to encourage sustainable service delivery and improved accountability by establishing a benchmark for aspects of good governance in the sector. The application of this international framework in the context of UK local government is reinforced by specific regulatory requirements and sector specific guidance. The CIPFA/SOLACE *Delivering Good Governance in Local Government: Framework* (2016 edition) supports local authorities in developing and maintaining their own codes of governance and to discharge their accountability for the proper conduct of business.

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#### **Financial Management Standard D**

The authority applies the CIPFA/SOLACE *Delivering Good Governance in Local Government: Framework* (2016).

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This CIPFA/SOLACE framework recommends that the review of the effectiveness of the system of internal control that local authorities in England, Wales, Scotland and Northern Ireland are required to undertake by their respective accounts and audit regulations should be reported in an annual governance statement.

### **Financial management style**

The financial management challenges faced by many local authorities are unprecedented in recent history and show no signs of easing. This is significant because it means that different styles of financial management are necessary. Financial sustainability will not be achieved by continuing with the behaviours of the past since these do not meet the demands of the present – or the future, which may be even more challenging. To remain financially sustainable authorities need to develop their financial management capabilities.

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#### **Financial Management Standard E**

The financial management style of the authority supports financial sustainability.

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CIPFA believes that the strength of financial management within an organisation can be assessed by a hierarchy of three ‘financial management (FM) styles’:

- delivering accountability
- supporting performance
- enabling transformation.

These different styles are used in the CIPFA Financial Management Model to describe the different standards of financial management which may be found in local authorities. They represent a hierarchy in which enabling transformation is only achieved by a financial management style that supports performance and which in turn delivers accountability. Once these basic foundations have been soundly established, authorities need to move up through a hierarchy of financial management styles in response to increasing risk. This is especially important as risks have increased for many local authorities; on the one hand reduced expenditure leaves less margin for error while on the other hand, in seeking to generate new income, local authorities take on unfamiliar risks.

This hierarchy of financial management styles loosely maps onto the now deeply embedded recognition of the necessity for economy, efficiency and effectiveness to achieve value for money. In delivering accountability the finance team ensures that their authorities spend less and so achieve economy. In supporting performance, the finance team works with the authority to spend well by maximising the output from goods or services and so achieves efficiency. Finally, in enabling transformation the finance team supports the effective use of public money.

CIPFA recognises that while the highest standards of financial management should be the expectation, in practice some local authorities are at different stages of development. In these circumstances, compliance with the FM Code may initially be achieved by credible proposals to raise financial standards beyond the basic delivery of accountability.

The first two sections of this code have addressed the pre-conditions that must be satisfied for sound financial management. The following sections turn to the practical operation of the successive stages of the financial management cycle.



# Medium to long-term financial management

While the statutory local authority budget setting process continues to be on an annual basis (see Section 4) a longer-term perspective is essential if local authorities are to demonstrate their financial sustainability. Short-termism runs counter to both sound financial management and sound governance.

CIPFA does not believe however that the time horizon of local authority financial planning is determined by the time horizon of the financial support from central government. The greater the uncertainty about future central government policy then the greater the need to demonstrate the long-term financial resilience of the authority given the risks attached to its core funding.

An authority must ensure that while the formal publication of the medium-term financial plan (MTFP) may only reflect government settlements, it is the responsibility of the leadership of the organisation, including elected members, senior management and the section 151, to have a long-term financial view acknowledging financial pressures.

Authorities with a high level of capital investment and associated external borrowing should adopt a correspondingly long-term approach. The Prudential Code requires that a local authority capital strategy sets out the long-term context in which capital expenditure and investment decisions are made. For example all authorities with PFI, service contracts and other similar contractual arrangements will need to demonstrate their ability to finance these arrangements over the whole period of the contracts. Housing Revenue Account (HRA) business plans in England and Wales are already based on a 30-year time horizon.

## Financial resilience and long-term financial strategy

If an authority has not tested and demonstrated its long-term financial resilience then its financial sustainability remains an open question. Authorities must critically evaluate their financial resilience. It is possible that the existing strategy is financially sustainable, but this must still have been tested and demonstrated in a financial resilience assessment.

In this financial resilience assessment the authority must test the sensitivity of its financial sustainability given alternative plausible scenarios for the key drivers of costs, service demands and resources. It will require an analysis of future demand for key services and consideration of alternative options for matching demand to resources. Testing will focus on the key longer-term revenues and expenses and the key risks to which the authority will be exposed.

With an awareness that risks will vary, consideration should be given to tools such as the [Financial Resilience Index](#) that may help organisations identify these pressure points. Without such stress testing an authority cannot be regarded as financially sustainable and will be deemed to have failed that test.

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**Financial Management Standard F**

The authority has carried out a credible and transparent financial resilience assessment.

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Having carried out the finance resilience assessment, the authority will need to demonstrate how the risks identified have informed a long-term financial strategy. A local authority needs an over-arching strategic vision of how it intends to deliver outputs and achieve outcomes for which it is responsible. This should include a statement that sets out both the vision and the underlying strategy, together with the mix of interventions that the organisation will adopt in delivering services to achieve the intended outcomes. In many cases a basis for this will already exist in a corporate plan.

A key part of the strategy should be a visioning exercise to understand the potential shape of services in the future. It will need to be sufficiently comprehensive to offer a convincing demonstration that the authority has identified a way of achieving financial sustainability. At the same time it needs to provide a relatively fixed point of reference which is subject to periodic review and to revision and fundamental change only when it is no longer fit for purpose.

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**Financial Management Standard G**

The authority understands its prospects for financial sustainability in the longer term and has reported this clearly to members.

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CIPFA is not at present being prescriptive about the time period of this long-term financial strategy. Different authorities will face different levels of political and financial stability which may have become embedded in different management cultures. However, CIPFA would promote ambition and stress the need for a financial strategy that matches the requirement for a strategic approach to service planning. The underlying key demand cost drivers, especially those linked to the age profile of the community, can be foreseen at least in broad terms for a decade and more ahead.

## **The Prudential Code for Capital Finance in Local Authorities**

The statutory requirements of the Prudential Code underpins elements of the long and medium-term financial management considered in this section of the FM Code. While the minimum requirement is for three-year rolling capital and investment plans, *The Prudential Code for Capital Finance in Local Authorities* (2017 edition) stresses that a longer-term approach is necessary to ensure that capital strategy and asset management plans are sustainable.

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**Financial Management Standard H**

The authority complies with the CIPFA *Prudential Code for Capital Finance in Local Authorities*.

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One of the requirements of the Prudential Code is a capital strategy. This capital strategy is a fundamental component of good financial management. It should set out how the organisation is currently managing its assets and more importantly its future plans linked to available resources. Balance sheet management in local authorities is about the better management of assets and liabilities to support service delivery and capital strategy. A long-term vision is needed for the configuration of service delivery and investment properties because timely asset disposals and/or investments will be dependent on complex interdependencies.

A long-term vision should also be reflected in any commercial investment activity undertaken by the organisation. Guided by the Prudential Code and relevant guidance on borrowing for acquisitions of commercial properties, a local authority should not put public money and services at risk.

### **Practical medium-term financial planning**

CIPFA does not anticipate that a long-term financial strategy would provide sufficient detail to shape the annual budget setting process. Local authorities will need to translate their long-term financial strategies into a medium-term financial plan (MTFP) for budget setting.

The MTFP is the mechanism or framework by which the annual budget process relates directly to the long-term strategy establishing the financial sustainability of the authority. While not prescriptive about time frame, the MTFP should support financially sustainable decision making.

Importantly, performance against the plan will enable recent success and/or failures in delivering financial objectives to be taken into account in the annual budget process. A symptom of financial stress is the emergence of unanticipated overspends in recent years from the MTFP. While the long-term strategy needs to be a stable point of reference, the MTFP needs to be rolled forward annually to ensure that it reflects the latest detailed information. By taking this approach to medium-term financial planning the annual budget is aligned to longer-term goals.

The MTFP should enable the leadership team to have confidence in its long-term strategy for its financial sustainability. Importantly, financial and operational plans must be demonstratively aligned to the strategy at all levels. Without clear service plans it is impossible to place the forecast within the context of currently agreed policies and their implications for future demand and resources.

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#### **Financial Management Standard I**

The authority has a rolling multi-year medium-term financial plan consistent with sustainable service plans.

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# The annual budget

One of the objectives of this FM Code is to end the practice by which the annual budget process has often become the focal point if not the limit of local authority financial planning. However the annual budget preparation process needs to be protected at a time when the need to make difficult decisions may threaten its integrity.

Local authorities need to ensure that they are familiar with the legislative requirements of the budget setting process. In times of routine business compliance this is relatively straightforward, but in times of financial stress there may be pressures for delay or obfuscation in budget setting. These difficulties can be acute when council tax setting is reliant on decisions by independent precepting bodies. In these circumstances it is likely that the CFO will need to work closely with the chief executive, monitoring officer and the leadership team to ensure statutory processes and a timetable necessary to set a legal budget are understood. The monitoring officer is the custodian of the constitution, which acts as a safeguard to prevent councillors and officers from getting into legal difficulties in the exercise of their role and uphold and ensure fairness in decision making.

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## Financial Management Standard J

The authority complies with its statutory obligations in respect of the budget setting process.

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The annual report setting out the proposed budget for the coming year is a key document for the authority. It will also demonstrate compliance with CIPFA's Prudential Code (Financial Management Standard H). The best budget plans are those owned and articulated by the whole leadership team and senior managers, not simply the CFO.

Reserves are acknowledged in statute. Local authorities are directed to have regard to the level of reserves when considering their budget requirement. Consequently, reserves are a recognised and intrinsic part of financial planning and budget setting. The assessment of 'adequate' and 'necessary' levels of reserves is a matter for local authorities to determine. It is the responsibility (with statutory backing in England and Wales) of the CFO to advise the local authority on the appropriate level of reserves and the robustness of the estimates.

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## Financial Management Standard K

The budget report includes a statement by the chief finance officer on the robustness of the estimates and a statement on the adequacy of the proposed financial reserves.

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The budget report should include details of the earmarked reserves held, and explain the purpose of each reserve, together with the estimated opening balances for the year, details of planned additions/withdrawals and the estimated closing balances.

A well-managed authority, with a prudent approach to budgeting, should be able to operate with a level of general reserves appropriate for the risks (both internal and external) to which it is exposed. Compliance with the FM Code will give important reassurance that the authority's financial management processes and procedures are able to manage those risks. These should be maintained at a level appropriate for the profile of the authority's cash flow and the prospect of having to meet unexpected events from within its own resources. Even where, as part of their wider role, auditors have to report on an authority's financial position, it is not their responsibility to prescribe the optimum or minimum level of reserves for individual authorities or authorities in general.

The successful execution of the annual budget will depend on both the good governance and internal controls already codified in Section 2 as well as financial monitoring addressed in Section 6.

# Stakeholder engagement and business cases

Financial sustainability requires citizens to understand that resources are not limitless and that decisions have to be made about both the relative priority of different services and the balance between service provision and taxation levels. The leadership team collectively has an important role in reviewing priorities to enable resources to be redirected from areas of lesser priority; it is not possible to rely principally on pro rata cuts to generate the savings necessary for financial sustainability in an era of austerity.

The leadership team needs to challenge not only how services are delivered, but also what is delivered. These decisions must be made with a clear understanding of the statutory requirements and of wider legal implications of any decisions.

## Stakeholder engagement

Stakeholder consultation can help to set priorities and reduce the possibility of legal or political challenge late in the change process. Stakeholder consultation helps to encourage community involvement not just in the design of services but in their ongoing delivery. This is especially the case when a local authority adopts an enabling approach to public service delivery which, along with the active involvement of the third sector, may facilitate future reductions in service costs.

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### Financial Management Standard L

The authority has engaged where appropriate with key stakeholders in developing its long-term financial strategy, medium-term financial plan and annual budget.

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## Business cases

Financial sustainability will be dependent upon difficult and often complex decisions being made. The authority's decisions must be informed by clear business cases based on the application of appropriation option appraisal techniques. Professional accountants can be expected to comply with the IFAC/PAIB Project and Investment Appraisal for Sustainable Value Creation reproduced in Annex B to this FM Code.

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### Financial Management Standard M

The authority uses an appropriate documented option appraisal methodology to demonstrate the value for money of its decisions.

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It is the responsibility of the CFO to ensure that all material decisions are supported by an option appraisal which in its rigour and sophistication is appropriate for the decision being made. It is likely that the authority's documented option appraisal methodology will include a relatively simplistic approach for decisions of low value and/or low risk.

# Performance monitoring

To remain financially sustainable an authority must have timely information on its financial and operational performance so that policy objectives are delivered within budget. Early information about emerging risks to its financial sustainability will allow it to make a carefully considered and therefore effective response.

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## Financial Management Standard N

The leadership team takes action using reports enabling it to identify and correct emerging risks to its budget strategy and financial sustainability.

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Significant unplanned overspends and/or carrying forward undelivered savings into the following year might be a sign that an authority is not translating its policy decisions into actions. It also creates the conditions for further financial pressures and possible service reductions in subsequent years. However, the warning signs could also be in other non-financial performance measures, such as backlogs and other indications that current resources are not matching the expectations of service users. These trends should inform the decisions taken on the medium and long-term financial planning addressed by Section 3 of this code.

It is a requirement of this code that authorities should more closely monitor the material elements of their balance sheet that may give indications of a departure from financial plans. This is especially important for local authorities with significant commercial asset portfolios. Legislation requires local authorities to maintain adequate accounting records of their assets and liabilities. Regulations also require that the appropriate (chief finance) officer certifies or confirms that the statements of accounts provide a true and fair view of the financial position (ie the amounts in the balance sheet) of the authority at 31 March in the year of account.

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## Financial Management Standard O

The leadership team monitors the elements of its balance sheet which pose a significant risk to its financial sustainability.

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Contingencies and commitments are monitored to identify any items where a balance sheet provision may have crystallised. Key drivers of provisions (eg asset decommissioning decisions, legal claims, reorganisation activities) should be monitored to identify whether an actual or constructive obligation has arisen. Finally, cash flow is managed through application of *Treasury Management in the Public Services: Code of Practice and Cross-Sectoral Guidance Notes* (CIPFA, 2017).





# External financial reporting

Taxpayers and citizens have a legitimate stake in understanding how public money has been used in providing the functions and services of the authority. The audited statements of account, which present the authority's financial position and financial performance, play an integral part in demonstrating this to them. The statutory accounts provide a secure base for financial management. They support accountability and thus good financial management by allowing the users of the financial statements and other stakeholders to do the following:

- Discover how much is spent in a year on services and whether this has increased or decreased from previous years.
- Consider the indebtedness of an organisation and how that might impact on future taxpayers.
- Recognise the value and therefore usefulness of the assets that the organisations hold.
- Assess what the future commitments and liabilities are, for example, for pensions or leases, and again how these are likely to impact on future generations and taxpayers.

CIPFA's *Statement on the Role of the Chief Finance Officer in Local Government* sets out the chief finance officer's statutory responsibilities for producing the accounts and maintaining the financial records for those accounts. The CIPFA Statement requires that the statements of account are published on a timely basis to communicate the authority's activities and achievements, its financial position and performance. It also requires certification of the accounts by the chief finance officer. The confirmation that the accounts present a 'true and fair' view is one of the fundamental roles of the statutory chief finance officer. Across the UK the *Code of Practice on Local Authority Accounting in the United Kingdom* produced by the CIPFA/LASAAC Local Authority Code Board establishes proper (accounting) practices under which that 'true and fair' view will need to be confirmed/certified.

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## Financial Management Standard P

The chief finance officer has personal and statutory responsibility for ensuring that the statement of accounts produced by the local authority complies with the reporting requirements of the *Code of Practice on Local Authority Accounting in the United Kingdom*.

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The statutory and professional frameworks for the production and publication of the accounts underpin their importance and demonstrate that they have a key part to play in accountability to taxpayers and other stakeholders in showing how public money is used. Financial reporting therefore should not take place in a vacuum. The financial statements provide the accountability link between planned performance, resources used and the outcomes – financial and more – that are achieved. The authority, its management and the CFO both in its financial statements and the narrative reports that accompany them must

provide the user with the links between the consumption of resources and the value that has been created.

It is key to ensure that the authority and its leadership understand how effectively its resources have been utilised during the year, including a process which explains how material variances from initial and revised budgets to the outturn reported in the financial statements have arisen and been managed. The success of these arrangements will be demonstrated by the ability of the leadership team to make decisions from them. In some circumstances this will lead to a reappraisal of the achievability of the long-term financial strategy and the financial resilience of the authority (see Section 3).

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#### **Financial Management Standard Q**

The presentation of the final outturn figures and variations from budget allows the leadership team to make strategic financial decisions.

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## IFAC/CIPFA GUIDANCE ON IMPLEMENTING THE PRINCIPLES FOR GOOD GOVERNANCE IN THE PUBLIC SECTOR (EXTRACT)

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### **Principles for good governance in the public sector**

Governance comprises the arrangements put in place to ensure that the intended outcomes for stakeholders are defined and achieved.

The fundamental function of good governance in the public sector is to ensure that entities achieve their intended outcomes while acting in the public interest at all times.

Acting in the public interest requires:

- A. Behaving with integrity, demonstrating strong commitment to ethical values, and respecting the rule of law.
- B. Ensuring openness and comprehensive stakeholder engagement.

In addition to the overarching requirements for acting in the public interest in principles A and B, achieving good governance in the public sector also requires effective arrangements for:

- C. Defining outcomes in terms of sustainable economic, social, and environmental benefits.
- D. Determining the interventions necessary to optimise the achievement of the intended outcomes.
- E. Developing the entity's capacity, including the capability of its leadership and the individuals within it.
- F. Managing risks and performance through robust internal control and strong public financial management.
- G. Implementing good practices in transparency, reporting, and audit to deliver effective accountability.



## IFAC/PAIB PROJECT AND INVESTMENT APPRAISAL FOR SUSTAINABLE VALUE CREATION

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Extract from [IFAC website](#).

### Principles in project and investment appraisal

The key principles underlying widely accepted good practice are:

- A. When appraising multi-period investments, where expected benefits and costs and related cash inflows and outflows arise over time, the time value of money should be taken into account in the respective period.
- B. The time value of money should be represented by the opportunity cost of capital.
- C. The discount rate used to calculate the NPV [net present value] in a DCF [discounted cash flow] analysis, should properly reflect the systematic risk of cash flows attributable to the project being appraised, and not the systematic risk of the organisation undertaking the project.
- D. A good decision relies on an understanding of the business and should be considered and interpreted in relation to an organisation's strategy and its economic, social, environmental, and competitive position as well as market dynamics.
- E. Project cash flows should be estimated incrementally, so that a DCF analysis should only consider expected cash flows that could change if the proposed investment is implemented. The value of an investment depends on all the additional and relevant changes to potential cash inflows and outflows that follow from accepting an investment.
- F. All assumptions used in undertaking DCF analysis, and in evaluating proposed investment projects, should be supported by reasoned judgment, particularly where factors are difficult to predict and estimate. Using techniques such as sensitivity analysis to identify key variables and risks helps to reflect worst, most likely and best case scenarios, and therefore can support a reasoned judgment.
- G. A post-completion review or audit of an investment decision should include an assessment of the decision making process and the results, benefits, and outcomes of the decision.
- H. Capital and revenue reports need to be closely linked so there is an understanding of how each capital scheme is financed, and in particular which require revenue contributions.

Borrowing costs need to be spelt out. Low interest rates are not in themselves a compelling reason to borrow. Capital budgets should be clear about how individual schemes are financed and which ones add pressure to revenue.



# Glossary

<b>Accounting standards</b>	Rules set by the International Accounting Standards Boards that set out how transactions are to be shown in an organisation's accounts.
<b>Annual statement of accounts</b>	<p>The statement of accounts presents the authority's transactions on an annual basis as of 31 March of the relevant year of account. The complete set of financial statements in the annual accounts for local authorities comprises:</p> <ul style="list-style-type: none"> <li>■ comprehensive income and expenditure statement for the period</li> <li>■ movement in reserves statement for the period</li> <li>■ balance sheet as at the end of the period</li> <li>■ cash flow statement for the period, and</li> <li>■ notes, comprising significant accounting policies and other explanatory information.</li> </ul>
<b>Asset management plan</b>	Asset management plans align the asset portfolio with the needs of the organisation.
<b>Audit committee</b>	A special committee of the council that reviews the financial management and accounts of the council.
<b>Balance sheet</b>	A financial statement presenting a summary of the authority's financial position as of 31 March each year. In its top half it contains the assets and liabilities held or accrued. As local authorities do not have equity shares, the bottom half is comprised of reserves that show the location of the authority's net worth between its usable and unusable reserves.
<b>Capital budget</b>	The money a council plans to spend on investing in new buildings, infrastructure and other equipment.
<b>Capital financing charges</b>	The amount a council has to pay to support its borrowing to pay for the purchase of major assets.
<b>Capital receipt</b>	The money a council receives for selling assets that can only be used to repay debt or for new capital expenditure.
<b>Chief financial officer</b>	The most senior finance person in a council responsible for ensuring the proper financial management of the council.
<b>CIPFA FM Model</b>	The CIPFA FM Model is the tool that helps public service organisations apply their financial resources to achieve their goals.
<b>Code of Practice on Local Authority Accounting in the United Kingdom</b>	A code produced by the CIPFA/LASAAC Local Authority Code Board. It specifies the principles and practices of accounting required to give a 'true and fair' view of the financial position, financial performance and cash flows of a local authority, including the group accounts where a local authority has material interests in subsidiaries, associates or joint ventures. The Local Authority Accounting Code is established as a proper practice by the four relevant administrations across the UK.
<b>Earmarked reserve</b>	Money set aside for future use on a specific area of expenditure. It remains a part of the general reserves of the authority.

<b>Financial management</b>	Financial management encompasses all the activities within an organisation that are concerned with the use of resources and that have a financial impact. CIPFA has defined financial management for public bodies as “the system by which the financial aspects of a public body’s business are directed and controlled to support the delivery of the organisation’s goals”.
<b>General fund balance (also council fund or police fund)</b>	The general fund is the statutory fund into which all the receipts of an authority are required to be paid and out of which all liabilities of the authority are to be met, except to the extent that statutory rules might provide otherwise. The general fund balance therefore summarises the resources that the authority is statutorily empowered to spend on its services or on capital investment (or the deficit of resources that the council is required to recover) at the end of the financial year.
<b>Governance</b>	The framework by which a council can gain assurance that it is setting and achieving its objectives and ensuring value for money in the proper way.
<b>Housing Revenue Account (HRA)</b>	An account used to record the income and expenditure related to council housing.
<b>IFAC (International Federation of Accountants)</b>	IFAC is the global organisation for the accountancy profession dedicated to serving the public interest by strengthening the profession and contributing to the development of strong international economies. CIPFA is a member.
<b>Internal audit</b>	An internal review of the organisation’s systems to give assurance that they are appropriate and being complied with.
<b>Leadership team</b>	Executive committees, elected mayors, portfolio holders with delegated powers and other key committees of the authority. In the police service this leadership is provided by police and crime commissioners and chief constables.
<b>Non-domestic rates</b>	A tax paid by local businesses to their council.
<b>Public Sector Internal Audit Standards</b>	These standards, which are based on the mandatory elements of the Institute of Internal Auditors (IIA) International Professional Practices Framework (IPPF), are intended to promote further improvement in the professionalism, quality, consistency and effectiveness of internal audit across the public sector.
<b>Provision</b>	A provision is a present liability whose timing or amount of settlement is uncertain. For example, it may be a charge for liabilities that are known to exist, but have to be estimated.
<b>Prudential Code</b>	A code produced by CIPFA that councils are required to follow when deciding upon their programme for capital expenditure.
<b>Revenue budget</b>	The amount that a council spends on its day-to-day running of services through the financial year.
<b>Ringfencing</b>	A term for the earmarking of money (eg a grant or fund) for one particular purpose, so as to restrict its use to that purpose.
<b>Society of Local Authority Chief Executives (SOLACE)</b>	SOLACE’s purpose is to develop the highest standards of leadership in local government and the wider public sector.
<b>Treasury management</b>	<p>CIPFA has adopted the following as its definition of treasury management activities:</p> <ul style="list-style-type: none"> <li>■ the management of the organisation’s borrowing, investments and cash flows</li> <li>■ its banking</li> <li>■ money market and capital market transactions</li> <li>■ the effective control of the risks associated with those activities</li> <li>■ the pursuit of optimum performance consistent with those risks.</li> </ul>



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<b>Treasury Management Code</b>	A professional and statutory code produced by CIPFA that councils are required to follow in managing their treasury management activity.
<b>Treasury management strategy</b>	An annual document approved by full council that sets out how a council will manage its cash and borrowings.

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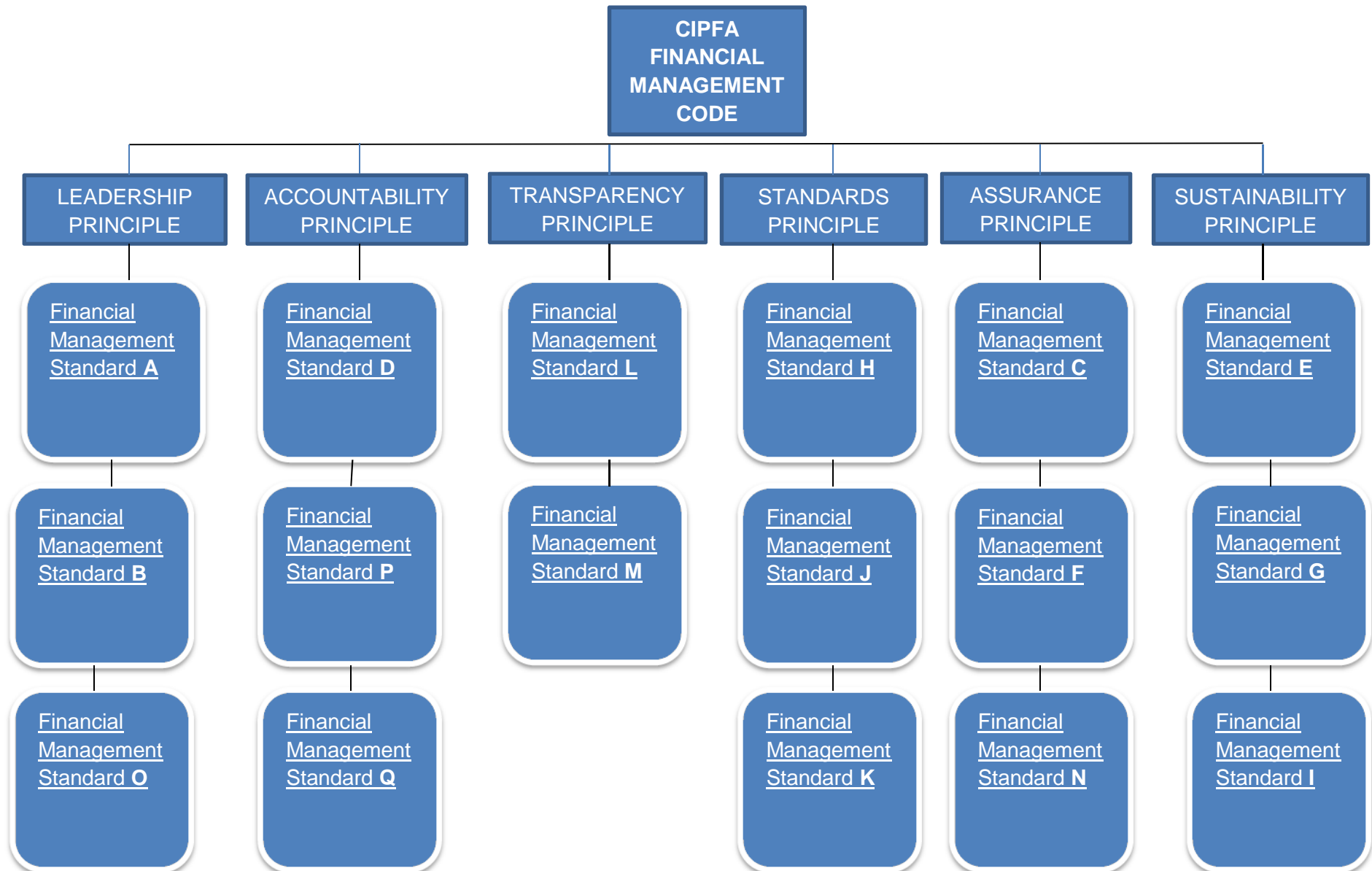
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## **APPENDIX 2 – CIPFA FINANCIAL MANAGEMENT PRINCIPLES AND STANDARDS**

The diagram sets out how the financial management standards link with the six principles of good financial management.



### **APPENDIX 3 – CIPFA FINANCIAL MANAGEMENT CODE EVIDENCE AND ACTIONS**

The CIPFA Financial Management Code is intended to support good practice in financial management and assist in demonstrating the local authority's financial sustainability. The code sets out the standards of financial management for local authorities. The tables below provide an initial assessment of how West Lothian Council complies with the Code.

#### **Section 1 – The responsibilities of the chief finance officer and leadership team**

<b>Financial Management Standard</b>	<b>Evidence of Compliance</b>	<b>Actions for Full Compliance and Timescale</b>
Financial Management Standard A – The leadership team is able to demonstrate that the services provided by the authority provide value for money.	<p>The leadership team of the council utilise a number of frameworks and documents to ensure that the council provides value for money. These include:</p> <ul style="list-style-type: none"> <li>• Ensuring compliance with the council's Best Value Framework</li> <li>• The delivery of the Capital Strategy</li> <li>• Undertaking priority based budget analysis</li> <li>• The delivery of the Asset Management Strategy</li> <li>• Quarterly Financial monitoring reporting and risk based monitoring providing necessary and required scrutiny and feedback.</li> <li>• Financial performance reporting to PDSPs.</li> </ul>	None - Continue with system of internal control and the management of risk.

Financial Management Standard	Evidence of Compliance	Actions for Full Compliance and Timescale
<p><u>Financial Management Standard B</u> – The authority complies with the CIPFA Statement on the Role of the Chief Financial Officer in Local Government.</p>	<p>The Head of Finance and Property Services role complies with the principles set out in the CIPFA statement; this is evidenced by the role, responsibilities and status of activities undertaken by the Head of Service.</p> <p><b>Principle 1</b> – Is a key member of the Leadership Team (at West Lothian this is Executive Management Team and Corporate Management Team)</p> <p><b>Principle 2</b> – Takes lead role in the council's financial strategy</p> <p><b>Principle 3</b> – Leads and promotes good financial management</p> <p><b>Principle 4</b> – Leads and directs the finance function of the council</p> <p><b>Principle 5</b> – Is professionally qualified with suitable experience</p> <p>The Scheme of Delegation also sets out the section 95 officer role and responsibilities, however it does not refer to the CIPFA statement.</p>	<p>Review and update appendix 3 of the Scheme of Delegation, including the section 95 officer role and responsibilities, to demonstrate compliance with the CIPFA statement.</p>

**Section 2 – Governance and financial management style**

<b>Financial Management Standard</b>	<b>Evidence of Compliance</b>	<b>Actions for Full Compliance and Timescale</b>
<u>Financial Management Standard C</u> – The leadership team demonstrates in its actions and behaviours responsibility for governance and internal control.	The governance structure of the council demonstrates the actions and internal controls in place, this includes the council's Financial Regulations, Standing Orders, the Council's Code of Corporate Governance and the Scheme of Delegation.	Review and update the financial regulations to ensure compliance with the CIPFA FM Code and the Capital Asset Management Strategy guidance.
<u>Financial Management Standard D</u> – The authority applies the CIPFA/SOLACE Delivering Good Governance in Local Government: Framework 2016.	The council has a Code of Corporate Governance and a compliance process which is aligned to the CIPFA/SOLACE Delivering Good Governance in Local Government: Framework 2016. The Code of Corporate Governance is reported annually to Council Executive and the Audit Committee along with bi-annual updates to the Risk and Governance Committee on any governance issues identified in the annual governance statement.	None. The council fully applies the CIPFA/SOLACE Delivering Good Governance in Local Government Framework 2016.
<u>Financial Management Standard E</u> – The financial management style of the authority supports financial sustainability.	<p>The financial management style of the council has been recognised by external auditors Ernst and Young as being good practice. This includes the reporting and documentation of the following:</p> <ul style="list-style-type: none"> <li>• The priority based approach to medium-term financial strategy</li> <li>• Detailed three year budgets</li> <li>• Treasury Management Plan</li> <li>• Capital Strategy</li> <li>• Ten year capital programme</li> <li>• Asset Management Strategy</li> <li>• Budget Monitoring Framework and Procedures</li> </ul>	None – Continue with prudent approach utilising innovative approaches to ensure financial sustainability.



**Section 3 – Medium to long-term financial management**

<b>Financial Management Standard</b>	<b>Evidence of Compliance</b>	<b>Actions for Full Compliance and Timescale</b>
<u>Financial Management Standard F</u> – The authority has carried out a credible and transparent financial resilience assessment.	<p>The council presents an annual Treasury Management Plan as well as reporting on prudential indicators to demonstrate financial resilience.</p> <p>A Horizon Scan is also reported quarterly to PDSP reporting on various factors that could have influence over the financial resources and policy decisions of the council, the horizon scan interprets the impact of information from a local, national and global level. This information is used to assess the impact on budget assumptions.</p>	Building on existing activities, it is proposed that from 2020/21 onwards a report will be presented annually to Partnership and Resources PDSP setting out key variables and scenario planning to demonstrate financial resilience and sustainability.
<u>Financial Management Standard G</u> – The authority understands its prospects for financial sustainability in the longer term and has reported this clearly to members.	The council's Corporate Plan and Corporate Strategies set out the vision for the delivery of the councils priorities, the Corporate Plan and associated strategies have gone through the necessary scrutiny and approval processes.	The councils Corporate Plan is currently for the period 2018/19 to 2022/23, although the code is not prescriptive it suggests that a longer strategy and strategic vision should be developed that has at a ten year outlook. Therefore a high level Ten Year strategy will be developed setting out a high level strategy and a range of assumptions on the high level expenditure, grant and council tax based on forecast demographic growth and economic assumptions.
<u>Financial Management Standard H</u> – The authority complies with the CIPFA Prudential Code for Capital Finance in Local Authorities.	The council's Capital Strategy 2019/20 – 2027/28 was approved by Council in March 2019. The nine year capital investment programme to 2020/28 was approved by Council on 18 February 2019 and updated by Council Executive in June 2019. The council also reports on performance against prudential indicators as part of the annual budget setting process.	None. The council complies fully with the Prudential Code.

Financial Management Standard	Evidence of Compliance	Actions for Full Compliance and Timescale
<u>Financial Management Standard I</u> – The authority has a rolling multi-year medium term financial plan consistent with sustainable service plans.	The council has a medium-term financial strategy for the period 2018/19-2022/23 and annual service management plans, which align with the council's Corporate Plan. Quarterly horizon scan reports are also undertaken to ensure delivery of the financial plan is consistent and sustainable.	The financial strategy is currently undertaken over a five year period, 2018/19 to 2022/23. Further consideration will be given to future financial strategy. This will be developed setting out assumptions as well as an overview of the process and timescales for the identification of required future year savings.

#### Section 4 - The annual budget

Financial Management Standard	Evidence of Compliance	Actions for Full Compliance and Timescale
<u>Financial Management Standard J</u> – The authority complies with its statutory obligations in respect of the budget setting process.	The council's annual budget report complies with statutory requirements setting out the assessed and required level of reserves and the service budget requirements, as well as fulfilling Council Tax setting requirements.	None. Statutory obligations are met.
<u>Financial Management Standard K</u> – The budget report includes a statement by the chief finance officer on the robustness of the estimates and a statement on the adequacy of the proposed financial reserves.	The budget report provides information on the robustness of estimates and assumptions for the annual budget and future financial planning there is also a statement on the appropriate level of financial reserves to be held within the section on the General Fund Balance and Reserves.	Currently there is a statement on the financial reserves; however there is no specific statement from the chief finance officer within the report setting out the robustness of estimates and assumptions. Therefore the annual budget report will be updated to include a statement from the chief finance officer on the reliability and robustness of estimates in the budget.

**Section 5 – Stakeholder engagement and business cases**

<b>Financial Management Standard</b>	<b>Evidence of Compliance</b>	<b>Actions for Full Compliance and Timescale</b>
<u>Financial Management Standard L</u> – The authority has engaged where appropriate with key stakeholders in developing its long-term financial strategy, medium-term financial plan and annual budget.	<p>The council has a pro-active history of consultation and engagement with communities and stakeholders, this can be evidenced by the latest budget consultation undertaken in 2017. The consultation sought stakeholder opinions on priorities for the five years to 2022/23 The consultation received 7,026 responses, with over 45,000 comments from all respondents.</p> <p>In addition to this the council will be implementing its approach to Community Choices from 2019/20 which will further enhance community involvement in the design of services and their ongoing delivery.</p>	Continue with the development and implementation of West Lothian Community Choices and give consideration as to future budget consultation.
<u>Financial Management Standard M</u> – The authority uses an appropriate documented option appraisal methodology to demonstrate the value for money of its decisions.	<p>As part of corporate capital investment decision making Strategic outline business cases (SOBCs) in a standard form are developed for the initial stages of investment prioritisation. This approach has been used successfully since 2007.</p> <p>The council also has a well organised and documented priority budget approach which is undertaken as part of the established integrated approach to corporate and financial planning and part of the process includes the option appraisal of potential savings measures.</p>	Further consideration will be given on developing future approaches to options appraisal and demonstrating value for money.

**Section 6 – Performance monitoring**

<b>Financial Management Standard</b>	<b>Evidence of Compliance</b>	<b>Actions for Full Compliance and Timescale</b>
<p><u>Financial Management Standard N</u> – The leadership team takes action using reports enabling it to identify and correct emerging risks to its budget strategy and financial sustainability.</p>	<p>The council has Financial Regulations as well as a developed and approved the Budget Monitoring Framework and Procedures which includes the monitoring and reporting of budgets and the identification of risks which results in mitigating actions being undertaken.</p> <p>This is completed in conjunction with reports being presented on the outcome of UK and Scottish Government budget announcements and economic forecasts as well as Horizon Scan reports.</p>	<p>There are regular reports on the progress on the current year budget and any changes to budget assumptions for future years. These will be reviewed to identify any potential improvements.</p>
<p><u>Financial Management Standard O</u> – The leadership team monitors the elements of the balance sheet which pose significant risk to its financial sustainability.</p>	<p>Provisions within the balance sheet are monitored as per the risk based approach to monitoring with the outcome of the monitoring process included in the budget monitoring update reports to Council Executive.</p> <p>The Governance and Risk Committee also receive regular reports on High Risks and risks relating to the delivery of the financial plan.</p>	<p>A statement on any balance sheet risks will be included in the covering report to the council's final accounts.</p>

**Section 7 – External financial reporting**

<b>Financial Management Standard</b>	<b>Evidence of Compliance</b>	<b>Actions for Full Compliance and Timescale</b>
<p><u>Financial Management Standard P</u> – The chief finance officer has personal and statutory responsibility for ensuring that the statement of accounts produced by the local authority complies with the reporting requirements of the Code of Practice on Local Authority Accounting in the United Kingdom.</p>	<p>The Scheme of Delegation includes the role and responsibility of the chief finance officer for ensuring that the council complies with Code of Practice on Local Authority Accounting.</p> <p>The outturn and final accounts are reported to Council Executive, with the final accounts being audited and signed off by an external auditor with the statement of accounts meeting all statutory requirements. The unaudited accounts, prior to review by external auditors, are reported to the Audit Committee and following sign-off from the external auditors the accounts are presented to full Council.</p>	<p>None. This responsibility is clearly set out.</p>
<p><u>Financial Management Standard Q</u> – The presentation of the final outturn figures and variations from budget allows the leadership team to make strategic financial decisions.</p>	<p>The outturn report is presented to Council Executive annually, with the latest reports being approved in June 2019 for financial year 2018/19. The reports provide information on performance against budget and identify whether any variances were due to recurring or one-off circumstances as well as recommend actions to be undertaken.</p>	<p>There is a robust process in place for reporting final outturn figures, including financial performance reports to PDSPs.</p>





## **PARTNERSHIP AND RESOURCES POLICY DEVELOPMENT AND SCRUTINY PANEL**

### **REVIEW OF INCOME AND CONTRIBUTIONS**

### **REPORT BY HEAD OF FINANCE AND PROPERTY SERVICES**

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

The purpose of the report is to provide the Partnership and Resources Policy Development and Scrutiny Panel (PDSP) with details of proposed changes to the council's approved budget measures relating to income and contributions for 2020/21 to 2022/23, and the council's proposed fees, charges and concessions for 2020/21 to 2022/23.

#### **B. RECOMMENDATION**

It is recommended that Panel:

1. Notes the councils previously agreed principles for managing fees and charges for discretionary charging services;
2. Notes the proposed changes to budgeted income for 2020/21 to 2022/23 from fees and charges as set out in section D.4 of the report;
3. Notes the proposed fees and charges for 2020/21 to 2022/23 as set out in section D.5 of the report;
4. Notes the intention to include the proposals in the Revenue Budget 2020/21 to 2022/23 report to full Council in February 2020;
5. Notes that officers will continue to explore options for generating additional income and will report further on options to the relevant PDSP.

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

<b>I Council Values</b>	Focusing on customers' needs, being honest, open and accountable, making best use of resources, working in partnership.
<b>II Policy and Legal (including Strategic Environmental Assessment, Equality Issues, Health or Risk Assessment)</b>	<p>The council is required to approve a balanced revenue budget for each financial year. Audit Scotland and CIPFA best practice guidance recommends medium term financial plans are prepared for at least five years in duration. The income proposals in this report will form part of the revenue budget report for 2020/21 to 2022/23.</p> <p>The equality impact of the proposals have been assessed in compliance with public sector duty requirements as set out in the Equality Act 2010, the Equality Act 2010 (Specific Duties) (Scotland) Regulations 2012 and Fairer Scotland Duty, Part 1 of the Equality Act 2010.</p>
<b>III Implications for Scheme of Delegations to Officers</b>	None.
<b>IV Impact on performance and performance indicators</b>	None.

<b>V</b>	<b>Relevance to Single Outcome Agreement</b>	Effective prioritisation of resources is essential to achieving key outcomes.
<b>VI</b>	<b>Resources – (Financial, Staffing and Property)</b>	It is estimated that the council could generate additional income of £2.577 million over 2020/21 to 2022/23 from the review of income and contributions, as set out in this report.
<b>VII</b>	<b>Consideration at PDSP</b>	The report is being presented to the Partnership and Resources PDSP prior to full Council.
<b>VIII</b>	<b>Other Consultations</b>	Depute Chief Executive, Heads of Service, Financial Management Unit

## **D. TERMS OF REPORT**

### **D.1 Introduction**

The Transforming Your Council (TYC) consultation set out a proposal that the council would review all opportunities for discretionary charging and would investigate opportunities for additional sources of income.

Subsequently at the revenue budget setting meeting in February 2018 the Council agreed a number of budget proposals relating to increasing income and contributions with measures totalling £4.672 million over 2018/19 to 2022/23 being agreed. A schedule of individual fees and charges was agreed at the same meeting for 2018/19 to 2020/21, along with income targets for 2021/22 and 2022/23.

This report seeks to identify the level of individual fees and charges for 2020/21 to 2022/23 that will deliver the income targets already agreed for these years.

### **D.2 Principles for Managing Charges**

The council established its approach for setting fees and charges in December 2013 following the publication of the Audit Scotland report on 'Charging for Services- are you getting it right?' Taking account of the best practice guidance set out by Audit Scotland, the council adopted the following principles for managing fees, charges and concessions for discretionary charging services:

- A corporate approach to setting charges should continue to be taken into account as part of the council's revenue budget planning;
- The council should continue to apply a standard 3.5% annual increase to fees and charges in line with its long standing approach to reviewing income and contributions;
- The council should continue to consider comparative information from other councils' arm's length bodies and other service providers when setting charges;
- The council aims to set comparative charges at or below the Scottish council average;
- Charging options should continue to be subject to an Integrated Relevance Assessment in line with current budget setting practice;
- In line with best practice, the council should develop its use of cost, uptake, usage and capacity information, as a way of assisting to design charges, providing the information required to be gathered is proportionate to the level of resources required;
- As stated in the council's Corporate Plan, the council will continue to develop a clear and fair pricing strategy and concession scheme to ensure that charges generate income to support council services, in a way that is consistent with the council's Anti-Poverty Strategy

### **D.3 Approved Fees and Charges TYC Measures 2020/21 to 2022/23**

The council agreed budget measures relating to income and contributions of £1.742 million for 2020/21 to 2022/23 at its budget meeting of 13 February 2018.



It was noted in the Revenue Budget Strategy 2020/21 to 2022/23 budget update report to Partnership and Resources PDSP on 12 September 2019 that the value of income anticipated from the approved Contributions Policy for Non Residential Social Care was higher than previously assumed and as a result increased income of £293,000 was incorporated within the updated budget position reported to the PDSP.

In addition, it was agreed at the PDSP to widen the scope of the Operational Services additional staffing efficiencies of £1.060 million planned for 2022/23 to a broader definition of additional service efficiencies, including potential income generation. It was also agreed that officers would continue to review options for general efficiencies within the service, including the scope for additional income and that any changes to charging will be incorporated into this review of income and contributions which is required as part of the update of the detailed three year revenue budget.

The detail of the approved income and contribution measures for 2020/21 to 2022/23 is set out in the table in section D.4 below.

#### D.4 Review of Fees and Charges

A review has been undertaken of discretionary fees and charges using the council's principles for managing charges. Charges for 2020/21 are unchanged from those set out in the Revenue Budget agreed in February 2019, with the exception of cemeteries charges and roads permit charges. For 2021/22 and 2022/23 proposals are to increase the majority of charges by the standard annual increase of 3.5%. More detail on the rationale for setting charges is contained in Section D.5 of the report.

It is estimated that the income proposals will generate income of £2.577 million over the next three years. The table below summarises the list of income proposals.

	2020/21 £'000	2021/22 £'000	2022/23 £'000	Total £'000	Approved £'000	Increase £'000
<b>Annual Increase and Benchmarking</b>						
Hire Car and Civic Licencing charges	8	8	8	24	24	0
Registration Charges	8	8	8	24	24	0
School Meals	82	84	87	253	210	43
School Milk	12	0	9	21	12	9
Primary School Lets	2	2	2	6	6	0
Instrumental Music Service	0	12	13	25	0	25
Burgh Halls	2	2	2	6	6	0
Pest Control	14	5	5	24	24	0
Sales of Cemetery Lairs and Interments	47	70	57	174	51	123
Roads Inspections, Consents and Permits	117	12	12	141	24	117
External Cleaning and Catering	14	15	16	45	33	12
Countryside Charges	8	8	8	24	24	0
Bulky Uplifts	0	23	0	23	0	23
Care Home Accommodation Recoveries	40	40	40	120	120	0
Community Alarms and Telecare	0	20	20	40	0	40
<b>Rent Increases</b>						
Non HRA housing properties	68	69	71	208	208	0
Housing with Care properties	30	30	30	90	90	0
Tenanted Non Residential Properties	80	106	107	293	293	0
<b>Other Income</b>						
Charging for New and Replacement Bins	0	35	35	70	70	0
Advertising	0	35	42	77	77	0
Contributions Policy- Non-Residential Social Care	370	70	299	739	739	0
Planning Applications	75	0	0	75	0	75
Building Warrants	75	0	0	75	0	75
<b>TOTAL</b>	<b>1,052</b>	<b>654</b>	<b>871</b>	<b>2,577</b>	<b>2,035</b>	<b>542</b>

## D.5 Rationale for setting charges for 2020/21 to 2022/23

The rationale for the proposed charges is set out below:

**Licensing Charges** – It is proposed that discretionary charges for hire car licensing and other miscellaneous licensing charges are uplifted by 3.5% each year. A separate review of licensing fees will also be undertaken to ensure that licensing schemes are breaking even.

**Registration Charges** – It is proposed to continue to apply an uplift of 3.5% per year.

**School Meals** – Based on 2019 benchmarking data, the council's current school meal prices are slightly below the Scottish average, and on this basis it is recommended that future price increases are restricted to an uplift of 3.5% per year (rounded to nearest 1p) to ensure the council remains at, or below, the Scottish average.

**School Milk** – It is proposed that charges for school milk (excluding pupils entitled to free school milk) are increased by 1p a carton in 2022/23. School milk prices compare favourably with other councils.

**Primary School Lets** – a continuation of the annual 3.5% per year increase is proposed.

**Instrumental Music Service** – Following the introduction of the IMS tuition fee in 2018, it is proposed to increase the fee by 3.5% per year in 2021/22 and 2022/23.

**Cemeteries Charges (Purchase of lair and interment)** – The council agreed in 2013 to set its charges for the cost of a burial (purchase of a coffin lair and interment) in line with the Scottish average. In subsequent years an inflationary increase has been applied. Latest benchmarking shows that the council again has one of the lowest charges for burials (sixth lowest in Scotland). It is therefore proposed to adjust charges to bring them more in line with the current Scottish average, which would increase the fees for purchasing a lair from £597 to £774 by 2022/23 and interment fees from £570 to £738 by 2022/23. The council charges would still be ranked low by 2022/23 based on this proposal (21<sup>st</sup> based on 2019 charges) and the level of charges would still represent a subsidised service, which is appropriate given issues around funeral poverty. Additional support for low income families is provided through the Funeral Expense Assistance scheme, launched in 2019. This scheme provides financial assistance with the cost of paying for a funeral, based on means testing. For West Lothian, the scheme can provide financial assistance of up to £1,167.42 for a burial and plot, or £570.12 for a burial only to assist with funeral costs for low income families, dependant on individual circumstances.

**Roads Inspections, Consents and Permits** – Permits are currently charged for a range of occupations on the public road network including skips, scaffolding, dropped crossings, material and container occupations, cranes, and section 56 and section 109 traffic permits. Recent road permit benchmarking has indicated that the council could generate additional income of £105,000 per year by bringing road permit prices into line with the Scottish average. This would include introducing permit charges for mobile cafes and temporary traffic lights for the first time.

**Cleaning and Catering** – It is proposed that external cleaning and catering charges continue to be uplifted by 3.5% each year.

**Countryside** – It is proposed that discretionary charges for the hire of facilities at Beecraigs, Almondell and Calderwood Country Parks are uplifted by 3.5% per year. Officers are currently exploring options for increasing commercial income generation in our country parks which could contribute to the additional efficiency target for Operational Services in 2022/23.

**Community Alarms and Telecare** – The council increased its charge for the community alarms and telecare service to £3.02 per week in 2018/19, in line with the Scottish average at that time. As presented to the Social Policy PDSP on 1 November 2019 it is proposed to increase the charge by 3% in 2021/22 and 2022/23 which will result in charges of £3.11 and

£3.20 per week respectively. The 2019 Scottish average Community Alarm and Telecare charge is £3.46 per week hence the service will remain significantly below the Scottish average. The total cost to the council of providing this service, including purchase of equipment and the cost of the Careline service equates to a cost to the council of £7.60 per week per user, hence the proposed charges will continue to represent a subsidised service to all users.

**Care Home Accommodation Income** - Care Home income is based on the level of resident recovery the council receives from clients relating to their assessed contribution towards care home accommodation costs, after the Free Personal Care element is deducted. The maximum a client can contribute is dependent on the level of the total care home fee set each year and the value of the free personal care element that the UK government sets each year. Based on previous year's figures, this is estimated to equate to a 2% increase in resident recovery income per year.

**Pest Control** – It was previously agreed that this service should operate on a full cost recovery basis for pest control charges. The Housing Revenue Account will continue to pay for pest control charges for council house tenants and offer a 50% concession for other householders in receipt of Universal Credit.

**Burgh Halls** – After conducting a detailed benchmarking exercise, a new pricing structure was introduced for Burgh Halls in 2016/17, including new pricing for wedding packages. It is proposed that charges increase by 3.5% per year for 2021/22 and 2022/23 which will keep prices consistent with benchmarking.

**Charging for Bulky uplifts** – West Lothian Council introduced a £25 charge for bulky uplifts in 2018/19 with no increase applied for 2019/20 or 2020/21. Currently 31 of 32 Scottish councils have a charging regime in place for bulky uplifts with the average fee in 2019/20 being £31.31 although differing conditions apply to the number of items that will be collected or charges are based on a time taken to collect items basis. It is proposed that in order to remain in line with the Scottish average, that the council increases its charge to £30 from 2021/22 which would generate estimated additional income of £23,000 per year. The current arrangements for continuing free uplifts for those engaged with the Families Included Service would continue to ensure those most in need are supported.

**Sheltered Housing and Housing with Care rents** – Rents for sheltered housing and housing with care accrue to the general fund but are set in line with the HRA Rent Strategy. In line with HRA rent setting proposals of 3% per annum for council properties and service charges, rents for council housing stock held within the general fund will increase by 3% per annum in 2019/20 to 2022/23.

**Temporary Tenancies** – Rental income from housing temporary tenancies accrue to the general fund and are set in line with the HRA Rent Strategy. In line with HRA rent setting proposals of 3% per annum for council properties and service charges, rents for council housing stock held within the general fund will increase by 3% per annum in 2019/20 to 2022/23.

**Tenanted Non Residential Property portfolio** - The council owns approximately 550 commercial property assets within the tenanted non-residential portfolio which are held to generate revenue income and support economic development together with service delivery. The portfolio has been effectively and efficiently managed for a number of years, and is a Significant Trading Organisation (STO) with its performance regularly reported. To increase Tenanted Non Residential Property (TNRP) net income by £293,000 from 2020/21 to 2022/23 is assessed as being achievable in current market conditions.

**Charges for New and Replacement Bins** – It was previously agreed that the full cost of providing new bins in new housing developments will be recharged to house-builders as part of Section 75 planning agreements with developers. Council Executive also agreed on 4 December 2018 that replacement standard bin containers will be charged for at the current purchase price to the council, unless it has been damaged or taken in the collection process, stolen (with a valid crime incident number) or through fair wear and tear. There are no

proposed changes to these previously agreed measures.

**Advertising** – the council previously agreed proposals to generate income from Bulletin and Website advertising in 2021/22 and 2022/23. It is proposed that the scope of this work is expanded to consider other advertising options such as billboards, bus shelters and roundabouts.

**Planning Applications and Building Warrants** – Following a review of housing completions, it is forecast that income from planning applications and building warrants can be increased by £150,000 in 2020/21. It is also proposed to introduce a 10% surcharge from 2020/21 for planning applications submissions that are not submitted in digital format.

Appendix 1 provides a list of proposed fees and charges for 2020/21 to 2022/23.

## **D.5 Integrated Impact Assessment (IIAs)**

Following the key principles of relevance and proportionality within the Equality Act 2010, an integrated equality impact assessment of policies and decisions of the council is a requirement of the Equality Act 2010 (Specific Duties) (Scotland) Regulations 2012.

Although the income proposals set out in this report remain largely the same as those agreed in February 2019, it is acknowledged that circumstances may change and therefore all assessments have been reviewed and updated where necessary. It was assessed that full integrated impact assessments should be undertaken for the proposals relating to the increase in Cemeteries charges and Community Alarm and Telecare charges. The full detailed assessments for these measures are attached in Appendix 2.

## **D.6 Further Work being undertaken by the Council**

Generating income through fees, charges or trading is a viable way of maintaining vital public services and also of supplying services that the market does not supply, or for local authorities to participate in commercial market places.

Officers continue to explore options for generating income including the following:

- Potential new charges for non-statutory services
- Services where there may be capacity to introduce or expand commercial trading or income through promotion of services
- Areas where improvement to the utilisation of assets could generate income
- Options for sponsorship and advertising
- Options to increase investment or rental income

In particular, as outlined in section D.3 officers will continue to seek additional income generating activities that could contribute to the balance of savings in Operational Services in 2022/23.

Any proposals would be reported to the relevant PDSP for consideration.

## **E. CONCLUSION**

The report sets out proposals that would generate additional income for the council of £2.577 million over the three years 2020/21 to 2022/23. Subject to Council approval of the Revenue Budget for 2020/21 to 2022/23 the report also sets out the full range of fees, charges and concessions to be applied by council services over the next three years.

## **F. BACKGROUND REFERENCES**

None

Appendices/Attachments:

Appendix 1 – List of proposed Council Fees and Charges 2020/21 to 2022/23

Appendix 2 – Integrated Impact Assessments

Contact Person: David Maule, Corporate Transformation Manager 01506 281302

**DONALD FORREST**

**HEAD OF FINANCE AND PROPERTY SERVICES**

**7 FEBRUARY 2020**



## West Lothian Council – Proposed Schedule of Fees and Charges 2020/21 to 2022/23 (2019/20 for information)

Alcohol Licence Fees	2019/20 For Information	2020/21 Proposed	2021/22 Proposed	2022/23 Proposed	Basis of charge	Discretionary/ Non-discretionary
Transfer application	£25.00	£25.00	£25.00	£25.00	Per application	Non-Discretionary
Minor variation - change to premises manager	£31.00	£31.00	£31.00	£31.00	Per application	Non-Discretionary
All other minor variations	£20.00	£20.00	£20.00	£20.00	Per application	Non-Discretionary
Major variation of premises licence	£100.00	£100.00	£100.00	£100.00	Per application	Non-Discretionary
Personal licence	£50.00	£50.00	£50.00	£50.00	Per application	Non-Discretionary
Duplicate personal licence	£25.00	£25.00	£25.00	£25.00	Per application	Non-Discretionary
Duplicate premises licence	£35.00	£35.00	£35.00	£35.00	Per application	Non-Discretionary
Occasional licence	£10.00	£10.00	£10.00	£10.00	Per application	Non-Discretionary
Extended hours application	£10.00	£10.00	£10.00	£10.00	Per application	Non-Discretionary
Provisional grant of premises licence	£200.00	£200.00	£200.00	£200.00	Per application	Non-Discretionary
Premises Licence Category 1 - application fee	£200.00	£200.00	£200.00	£200.00	Per application	Non-Discretionary
Premises Licence Category 1 - annual fee	£180.00	£180.00	£180.00	£180.00	Per year	Non-Discretionary
Premises Licence Category 2 - application fee	£800.00	£800.00	£800.00	£800.00	Per application	Non-Discretionary
Premises Licence Category 2 - annual fee	£220.00	£220.00	£220.00	£220.00	Per year	Non-Discretionary
Premises Licence Category 3 - application fee	£1,100.00	£1,100.00	£1,100.00	£1,100.00	Per application	Non-Discretionary
Premises Licence Category 3 - annual fee	£280.00	£280.00	£280.00	£280.00	Per year	Non-Discretionary
Premises Licence Category 4 - application fee	£1,300.00	£1,300.00	£1,300.00	£1,300.00	Per application	Non-Discretionary
Premises Licence Category 4 - annual fee	£500.00	£500.00	£500.00	£500.00	Per year	Non-Discretionary
Premises Licence Category 5 - application fee	£1,700.00	£1,700.00	£1,700.00	£1,700.00	Per application	Non-Discretionary
Premises Licence Category 5 - annual fee	£700.00	£700.00	£700.00	£700.00	Per year	Non-Discretionary
Premises Licence Category 6 - application fee	£2,000.00	£2,000.00	£2,000.00	£2,000.00	Per application	Non-Discretionary
Premises Licence Category 6 - annual fee	£900.00	£900.00	£900.00	£900.00	Per year	Non-Discretionary

Gambling Premises Fees	2019/20 For Information	2020/21 Proposed	2021/22 Proposed	2022/23 Proposed	Basis of charge	Discretionary/ Non-discretionary
Adult gaming centre - application fee	£1,400.00	£1,400.00	£1,400.00	£1,400.00	Per application	Non-Discretionary
Adult gaming centre - first annual fee	£525.00	£525.00	£525.00	£525.00	Per fee	Non-Discretionary
Adult gaming centre - annual fee	£700.00	£700.00	£700.00	£700.00	Per year	Non-Discretionary
Adult gaming centre - application to vary licence	£700.00	£700.00	£700.00	£700.00	Per application	Non-Discretionary
Adult gaming centre - transfer fee	£840.00	£840.00	£840.00	£840.00	Per application	Non-Discretionary
Adult gaming centre - reinstatement fee	£840.00	£840.00	£840.00	£840.00	Per application	Non-Discretionary
Betting premises - application fee	£2,100.00	£2,100.00	£2,100.00	£2,100.00	Per application	Non-Discretionary
Betting premises - first annual fee	£300.00	£300.00	£300.00	£300.00	Per year	Non-Discretionary
Betting premises - annual fee	£400.00	£400.00	£400.00	£400.00	Per year	Non-Discretionary
Betting premises - application to vary licence	£1,050.00	£1,050.00	£1,050.00	£1,050.00	Per application	Non-Discretionary
Betting premises - transfer fee	£840.00	£840.00	£840.00	£840.00	Per application	Non-Discretionary
Betting premises - reinstatement fee	£840.00	£840.00	£840.00	£840.00	Per application	Non-Discretionary
Bingo club - application fee	£2,450.00	£2,450.00	£2,450.00	£2,450.00	Per application	Non-Discretionary
Bingo club - first annual fee	£525.00	£525.00	£525.00	£525.00	Per fee	Non-Discretionary
Bingo club - annual fee	£700.00	£700.00	£700.00	£700.00	Per year	Non-Discretionary
Bingo club - application to vary licence	£1,200.00	£1,200.00	£1,200.00	£1,200.00	Per year	Non-Discretionary
Bingo club - transfer fee	£840.00	£840.00	£840.00	£840.00	Per application	Non-Discretionary
Bingo club - reinstatement fee	£840.00	£840.00	£840.00	£840.00	Per application	Non-Discretionary
Family entertainment centre - application fee	£1,400.00	£1,400.00	£1,400.00	£1,400.00	Per application	Non-Discretionary
Family entertainment centre - first annual fee	£375.00	£375.00	£375.00	£375.00	Per fee	Non-Discretionary
Family entertainment centre - annual fee	£500.00	£500.00	£500.00	£500.00	Per year	Non-Discretionary

Family entertainment centre - application to vary licence	£700.00	£700.00	£700.00	£700.00	Per application	Non-Discretionary
Family entertainment centre - transfer fee	£660.00	£660.00	£660.00	£660.00	Per application	Non-Discretionary
Family entertainment centre - reinstatement fee	£660.00	£660.00	£660.00	£660.00	Per application	Non-Discretionary
Large casino - application fee	£7,500.00	£7,500.00	£7,500.00	£7,500.00	Per application	Non-Discretionary
Large casino - first annual fee	£5,620.00	£5,620.00	£5,620.00	£5,620.00	Per fee	Non-Discretionary
Large casino - annual fee	£7,500.00	£7,500.00	£7,500.00	£7,500.00	Per year	Non-Discretionary
Large casino - application to vary licence	£3,750.00	£3,750.00	£3,750.00	£3,750.00	Per application	Non-Discretionary
Large casino - transfer fee	£1,600.00	£1,600.00	£1,600.00	£1,600.00	Per application	Non-Discretionary
Large casino - reinstatement fee	£1,600.00	£1,600.00	£1,600.00	£1,600.00	Per application	Non-Discretionary
Race tracks - application fee	£1,750.00	£1,750.00	£1,750.00	£1,750.00	Per application	Non-Discretionary
Race tracks - first annual fee	£750.00	£750.00	£750.00	£750.00	Per fee	Non-Discretionary
Race tracks - annual fee	£1,000.00	£1,000.00	£1,000.00	£1,000.00	Per year	Non-Discretionary
Race tracks - variation	£870.00	£870.00	£870.00	£870.00	Per application	Non-Discretionary
Race tracks - transfer	£660.00	£660.00	£660.00	£660.00	Per application	Non-Discretionary
Race tracks - reinstatement	£660.00	£660.00	£660.00	£660.00	Per application	Non-Discretionary
Small casino - application fee	£6,000.00	£6,000.00	£6,000.00	£6,000.00	Per application	Non-Discretionary
Small casino - first annual fee	£2,810.00	£2,810.00	£2,810.00	£2,810.00	Per fee	Non-Discretionary
Small casino - annual fee	£3,750.00	£3,750.00	£3,750.00	£3,750.00	Per year	Non-Discretionary
Small casino - application to vary licence	£3,000.00	£3,000.00	£3,000.00	£3,000.00	Per application	Non-Discretionary
Small casino - transfer fee	£1,350.00	£1,350.00	£1,350.00	£1,350.00	Per application	Non-Discretionary
Small casino - reinstatement fee	£1,350.00	£1,350.00	£1,350.00	£1,350.00	Per application	Non-Discretionary
Gambling premises - request a copy of a licence	£25.00	£25.00	£25.00	£25.00	Per copy	Non-Discretionary
Gambling premises - notification of change of circumstances	£50.00	£50.00	£50.00	£50.00	Per notification	Non-Discretionary

<b>Gambling Permits Fees</b>	<b>2019/20 For Information</b>	<b>2020/21 Proposed</b>	<b>2021/22 Proposed</b>	<b>2022/23 Proposed</b>	<b>Basis of charge</b>	<b>Discretionary/ Non-discretionary</b>
Family entertainment centre gaming machine - new application fee	£300.00	£300.00	£300.00	£300.00	Per application	Non-Discretionary
Family entertainment centre gaming machine - renewal	£300.00	£300.00	£300.00	£300.00	Per renewal	Non-Discretionary
Small society lottery - new application fee	£40.00	£40.00	£40.00	£40.00	Per application	Non-Discretionary
Small society lottery - annual fee	£20.00	£20.00	£20.00	£20.00	Per year	Non-Discretionary
Club gaming - new application fee	£200.00	£200.00	£200.00	£200.00	Per application	Non-Discretionary
Club gaming - annual fee	£50.00	£50.00	£50.00	£50.00	Per year	Non-Discretionary
Club gaming - renewal	£200.00	£200.00	£200.00	£200.00	Per renewal	Non-Discretionary
Club gaming - permit variation fee	£100.00	£100.00	£100.00	£100.00	Per variation	Non-Discretionary
Club gaming machine - new application fee	£200.00	£200.00	£200.00	£200.00	Per application	Non-Discretionary
Club gaming machine - annual fee	£50.00	£50.00	£50.00	£50.00	Per year	Non-Discretionary
Club gaming machine - renewal	£200.00	£200.00	£200.00	£200.00	Per renewal	Non-Discretionary
Club gaming machine - permit variation fee	£100.00	£100.00	£100.00	£100.00	Per variation	Non-Discretionary
Licensed premises (2 machines or less) - new application fee	£50.00	£50.00	£50.00	£50.00	Per application	Non-Discretionary
Licensed premises (3 machines or more) - new application fee	£150.00	£150.00	£150.00	£150.00	Per application	Non-Discretionary
Licensed premises (3 machines or more) - annual fee	£50.00	£50.00	£50.00	£50.00	Per year	Non-Discretionary
Licensed premises gaming machine permits - variation	£100.00	£100.00	£100.00	£100.00	Per variation	Non-Discretionary
Licensed premises gaming machine permits - transfer	£25.00	£25.00	£25.00	£25.00	Per transfer	Non-Discretionary
Prize gaming permits - new application fee	£300.00	£300.00	£300.00	£300.00	Per application	Non-Discretionary
Prize gaming permits - renewal fee	£300.00	£300.00	£300.00	£300.00	Per renewal	Non-Discretionary
Gambling permit - change of name	£25.00	£25.00	£25.00	£25.00	Per change	Non-Discretionary
Request a copy of a permit	£15.00	£15.00	£15.00	£15.00	Per copy	Non-Discretionary



Hire Car Licensing	2019/20 For Information	2020/21 Proposed	2021/22 Proposed	2022/23 Proposed	Basis of charge	Discretionary/ Non-discretionary
Taxi - initial grant	£422.21	£436.99	£452.28	£468.11	Per application	Discretionary
Taxi - renewal fee	£382.75	£396.15	£410.02	£424.37	Per year	Discretionary
Private hire car - initial grant	£401.17	£415.21	£429.74	£444.78	Per application	Discretionary
Private hire car - renewal fee	£382.75	£396.15	£410.02	£424.37	Per year	Discretionary
Taxi driver - initial grant	£195.98	£202.84	£209.94	£217.29	Per application	Discretionary
Taxi driver - renewal fee	£165.73	£171.53	£177.53	£183.75	Per year	Discretionary
Taxi driver (within first year of PHC driver)	£36.83	£38.12	£39.45	£40.84	Per year	Discretionary
Private hire car driver - initial grant	£195.98	£202.84	£209.94	£217.29	Per application	Discretionary
Private hire car driver - renewal fee	£165.73	£171.53	£177.53	£183.75	Per year	Discretionary
Duplicate licence	£7.89	£8.17	£8.46	£8.75	Per replacement	Discretionary
Replacement ID card	£7.89	£8.17	£8.46	£8.75	Per replacement	Discretionary
Replacement vehicle	£65.77	£68.07	£70.45	£72.92	Per amendment	Discretionary
Amendment to licence (apart from address)	£36.83	£38.12	£39.45	£40.84	Per amendment	Discretionary
Application for change of address	Nil	Nil	Nil	Nil	Per amendment	Discretionary
Missed medical fee	£64.66	£66.92	£69.26	£71.69	Per appointment	Discretionary
Application to install CCTV	£39.46	£40.84	£42.27	£43.75	Per application	Discretionary
Vehicle test cancellation fee	£39.46	£40.84	£42.27	£43.75	Per appointment	Discretionary
Replacement plates - front	£13.15	£13.61	£14.09	£14.58	Per replacement	Discretionary
Replacement plates - rear	£26.31	£27.23	£28.18	£29.17	Per replacement	Discretionary
Replacement plate bracket - front	£13.15	£13.61	£14.09	£14.58	Per replacement	Discretionary
Replacement plate bracket - rear	£19.73	£20.42	£21.13	£21.87	Per replacement	Discretionary
Private hire car replacement door signs	£14.25	£14.75	£15.27	£15.80	Per year	Discretionary
Advertising on taxis - full livery	£98.65	£102.10	£105.67	£109.37	Per year	Discretionary
Advertising on taxis - sides only	£46.04	£47.65	£49.32	£51.04	Per year	Discretionary
Advertising on type 2 private hire cars	£39.46	£40.84	£42.27	£43.75	Per year	Discretionary
Administration fee - first year	£36.83	£38.12	£39.45	£40.84	Per year	Discretionary

Civic Licence Fees	2019/20 For Information	2020/21 Proposed	2021/22 Proposed	2022/23 Proposed	Basis of charge	Discretionary/ Non-discretionary
Public entertainment - initial grant (1 year)	£149.94	£155.19	£160.62	£166.24	Per application	Discretionary
Public entertainment - renewal fee (1 year)	£111.80	£115.71	£119.76	£123.95	Per year	Discretionary
Public entertainment - temporary fee	£103.91	£107.55	£111.31	£115.21	Per event	Discretionary
Public entertainment fee - gala/marches/Newlands committees, voluntary & community groups	£0.00	£0.00	£0.00	£0.00	Per event	Discretionary
Public fireworks display - temporary fee	£36.83	£38.12	£39.45	£40.84	Per event	Discretionary
Indoor sports entertainment - initial grant	£149.94	£155.19	£160.62	£166.24	Per application	Discretionary
Indoor sports entertainment - renewal fee	£111.80	£115.71	£119.76	£123.95	Per year	Discretionary
Indoor sports entertainment - temporary fee	£103.91	£107.55	£111.31	£115.21	Per event	Discretionary
Second hand dealer - initial grant	£149.94	£155.19	£160.62	£166.24	Per application	Discretionary
Second hand dealer - renewal fee	£111.80	£115.71	£119.76	£123.95	Per year	Discretionary
Second hand dealer - temporary fee	£103.91	£107.55	£111.31	£115.21	Per event	Discretionary
Second hand dealer - exemption fee	£36.83	£38.12	£39.45	£40.84	Per event	Discretionary
Market operator - initial grant	£220.97	£228.70	£236.70	£244.99	Per application	Discretionary
Market operator - renewal fee	£185.46	£191.95	£198.67	£205.62	Per year	Discretionary
Market operator - temporary fee	£103.91	£107.55	£111.31	£115.21	Per event	Discretionary
Window cleaner - initial grant	£51.30	£53.09	£54.95	£56.87	Per application	Discretionary
Window cleaner - renewal fee	£36.83	£38.12	£39.45	£40.84	Per year	Discretionary
Late hours catering - initial grant	£103.91	£107.55	£111.31	£115.21	Per application	Discretionary
Late hours catering - renewal fee	£78.92	£81.68	£84.54	£87.50	Per year	Discretionary
Late hours catering - exemption fee	£36.83	£38.12	£39.45	£40.84	Per year	Discretionary
Metal dealer - initial grant	£103.91	£107.55	£111.31	£115.21	Per application	Discretionary
Metal dealer - renewal fee	£78.92	£81.68	£84.54	£87.50	Per year	Discretionary
Itinerant metal dealer - initial grant	£88.13	£91.21	£94.40	£97.71	Per application	Discretionary
Itinerant metal dealer - renewal fee	£67.08	£69.43	£71.86	£74.38	Per year	Discretionary
Street trader food - initial grant	£103.91	£107.55	£111.31	£115.21	Per application	Discretionary

Street trader food - renewal fee	£78.92	£81.68	£84.54	£87.50	Per year	Discretionary
Street trader food - temporary fee	£73.66	£76.23	£78.90	£81.66	Per event	Discretionary
Street trader non-food - initial fee	£88.13	£91.21	£94.40	£97.71	Per application	Discretionary
Street trader non-food - renewal fee	£67.08	£69.43	£71.86	£74.38	Per year	Discretionary
Street trader non-food - temporary fee	£73.66	£76.23	£78.90	£81.66	Per event	Discretionary
Street trader wheeled bin - initial fee	£103.91	£107.55	£111.31	£115.21	Per application	Discretionary
Street trader wheeled bin - renewal fee	£78.92	£81.68	£84.54	£87.50	Per year	Discretionary
Street trader wheeled bin - temporary fee	£73.66	£76.23	£78.90	£81.66	Per event	Discretionary
Street trader replacement vehicle	£36.83	£38.12	£39.45	£40.84	Per replacement	Discretionary
Street trader employee - initial grant	£51.30	£53.09	£54.95	£56.87	Per application	Discretionary
Street trader employee - renewal fee	£36.83	£38.12	£39.45	£40.84	Per year	Discretionary
Street trader employee - temporary fee	£36.83	£38.12	£39.45	£40.84	Per event	Discretionary
Cinema (one year)	£465.62	£481.91	£498.78	£516.23	Per year	Discretionary
Cinema (one month)	£153.89	£159.28	£164.85	£170.62	Per month	Discretionary
Cinema (transfer)	£182.83	£189.23	£195.85	£202.71	Per transfer	Discretionary
Theatre (one year)	£465.62	£481.91	£498.78	£516.23	Per year	Discretionary
Theatre (one month)	£153.89	£159.28	£164.85	£170.62	Per month	Discretionary
Theatre (occasional)	£77.60	£80.32	£83.13	£86.04	Per occasion	Discretionary
Theatre (transfer)	£182.83	£189.23	£195.85	£202.71	Per transfer	Discretionary
Hypnotist	£44.72	£46.29	£47.91	£49.59	Per year	Discretionary
Sex shops	£766.82	£793.66	£821.44	£850.19	Per year	Discretionary
Venison dealer (3 year)	£67.08	£69.43	£71.86	£74.38	Per 3 years	Discretionary
Amendment to licence	£36.83	£38.12	£39.45	£40.84	Per amendment	Discretionary
Houses in multiple occupation (3 to 50 residents)	£648.44	£671.14	£694.63	£718.94	Per application	Discretionary
Houses in multiple occupation (51 to 100 residents)	£653.10	£675.96	£699.62	£724.10	Per application	Discretionary
Houses in multiple occupation (101 to 150 residents)	£680.49	£704.31	£728.96	£754.47	Per application	Discretionary
Houses in multiple occupation (151 to 200 residents)	£737.85	£763.67	£790.40	£818.07	Per application	Discretionary
Houses in multiple occupation (200+ residents)	£795.24	£823.07	£851.88	£881.70	Per application	Discretionary
Knife dealer	£197.30	£204.20	£211.35	£218.74	Per year	Discretionary
Skin piercing - initial grant	£149.94	£155.19	£160.62	£166.24	Per application	Discretionary
Skin piercing - renewal fee	£111.80	£115.71	£119.76	£123.95	Per year	Discretionary
Booking office licence - application fee	£131.53	£136.13	£140.89	£145.83	Per application	Discretionary
Booking office licence - licence fee	£131.53	£136.13	£140.89	£145.83	Per year	Discretionary
Administration fee	£36.83	£38.12	£39.45	£40.84	Per amendment	Discretionary

Road Occupation Permits	2019/20 For Information	2020/21 Proposed	2021/22 Proposed	2022/23 Proposed	Basis of charge	Discretionary/ Non-discretionary
Permits and licences - skip hire	£21.00	£82.89	£86.00	£89.00	Per permit	Discretionary
Permits and licences - drop crossing	£40.72	£82.95	£86.00	£89.00	Per permit up to 3 months	Discretionary
Road Openings, Crossings and Excavations Application (Section 56)	£57.89	£160.84	£166.00	£172.00	Per permit	Discretionary
Section 109 permit	£126.60	£289.68	£300.00	£310.00	Per permit	Discretionary
Scaffolding permit – category A (traffic sensitive road)	£96.69	£188.57	£195.00	£202.00	Per permit	Discretionary
Scaffolding permit – category B	£73.79	£188.57	£195.00	£202.00	Per permit	Discretionary
Storage Containers / Cabins permit	£73.79	£188.57	£195.00	£202.00	Per permit	Discretionary
Materials Occupation	£39.34	£188.57	£195.00	£202.00	Per permit	Discretionary
Crane and cherry picker permit	£40.72	£188.57	£195.00	£202.00	Per permit	Discretionary
Hoists and towers permit	£20.35	£188.57	£195.00	£202.00	Per permit	Discretionary
Cafe	£0.00	£203.68	£211.00	£218.00	Per permit	Discretionary
Temporary Traffic Lights (3way,13 days)	£0.00	£63.71	£66.00	£68.00	Per permit	Discretionary
Temporary Traffic Regulations Order	£225.00	£668.45	£692.00	£716.00	Per permit	Discretionary

Road Construction Consents	2019/20 For Information	2020/21 Proposed	2021/22 Proposed	2022/23 Proposed	Basis of charge	Discretionary/ Non-discretionary
Road construction consents - inspector rate	£60.43	£62.55	£64.74	£67.01	Per hour	Discretionary
Road construction consents - technician rate	£63.37	£65.59	£67.89	£70.26	Per hour	Discretionary
Road construction consents - engineer	£86.99	£90.03	£93.18	£96.44	Per hour	Discretionary

Road construction consents - senior engineer	£103.58	£107.20	£110.95	£114.84	Per hour	Discretionary
Road safety audits - team member rate	£473.29	£489.85	£506.99	£524.74	Per day	Discretionary
Road safety audits - team leader rate	£534.36	£553.06	£572.42	£592.45	Per day	Discretionary

Fleet and Community Transport	2019/20 For Information	2020/21 Proposed	2021/22 Proposed	2022/23 Proposed	Basis of charge	Discretionary/ Non-discretionary
MOT class 4	£54.85	£54.85	£54.85	£54.85	Per MoT	Non-Discretionary
MOT class 5	£59.55	£59.55	£59.55	£59.55	Per MoT	Non-Discretionary
MOT class 7	£58.60	£58.60	£58.60	£58.60	Per MoT	Non-Discretionary
Hire of bus and driver	Price on request	Price on request	Price on request	Price on request	Per hour	Discretionary
Supply of fuel	Price on request	Price on request	Price on request	Price on request	Per litre	Discretionary
Repairs to vehicles	Price on request	Price on request	Price on request	Price on request	Per job	Discretionary
Provision of vehicle management service	Price on request	Price on request	Price on request	Price on request	Per vehicle	Discretionary
Mini bus permits (authorisation to drive council mini buses)	£25.00	£25.00	£25.00	£25.00	Per permit	Discretionary

Cemetery and Burial Grounds	2019/20 For Information	2020/21 Proposed	2021/22 Proposed	2022/23 Proposed	Basis of charge	Discretionary/ Non-discretionary
Sale of lairs - all cemeteries	£597.30	£651.06	£709.65	£773.52	Per lair	Discretionary
Interment fees - adult	£570.12	£621.43	£677.36	£738.32	Per interment	Discretionary
Interment fees - 6 to 18 years	Nil	Nil	Nil	Nil	Per interment	Discretionary
Interment fees - stillborn and up to 5 years (including cremated remains)	Nil	Nil	Nil	Nil	Per interment	Discretionary
Interment fees - cremated remains	£123.00	£134.07	£146.14	£159.29	Per interment	Discretionary
Sale of cremation lair - other cemeteries (4 sets of ashes)	£238.20	£259.64	£283.01	£308.48	Per lair	Discretionary
Other charges - duplicate or transfer certificate	£23.34	£24.16	£25.01	£25.88	Per certificate	Discretionary
Headstone applications (under 3 feet) - Adambrae, Kingscavil, Fauldhouse (new extension), Hermand Park, Woodbank (new extension) - strip foundation	£96.80	£100.18	£103.69	£107.32	Per headstone	Discretionary
Headstone applications (over 3 feet) - Adambrae, Kingscavil, Fauldhouse (new extension), Hermand Park, Woodbank (new extension) - strip foundation	£140.04	£144.94	£150.01	£155.26	Per headstone	Discretionary
Headstone applications (under 3 feet) - other cemeteries	£58.08	£60.11	£62.21	£64.39	Per headstone	Discretionary
Headstone applications (over 3 feet) - other cemeteries	£95.51	£98.85	£102.31	£105.89	Per headstone	Discretionary
Memorial planter - Adambrae Cemetery - 10 year lease	£393.02	£406.78	£421.02	£435.75	Per planter	Discretionary
Memorial planter - Adambrae Cemetery - 20 year lease	£468.92	£485.33	£502.32	£519.90	Per planter	Discretionary
<i>Note: services out with normal hours will be increased by 50% and Sundays and Public Holidays by 100%</i>						

Public Transport - School Bus Passes	2019/20 For Information	2020/21 Proposed	2021/22 Proposed	2022/23 Proposed	Basis of charge	Discretionary/ Non-discretionary
School bus passes - Primary single	£0.75	£0.78	£0.81	£0.84	Per pass - single	Discretionary
School bus passes - Primary return	£1.28	£1.32	£1.37	£1.41	Per pass - return	Discretionary
School bus passes - Primary - book of 10	£5.68	£5.88	£6.09	£6.30	Per pass - 10 journey	Discretionary
School bus passes - Primary - term 1	£94.80	£98.12	£101.55	£105.11	Per pass - term 1	Discretionary
School bus passes - Primary - term 2	£67.49	£69.85	£72.29	£74.83	Per pass - term 2	Discretionary
School bus passes - Primary - term 3	£52.49	£54.33	£56.23	£58.20	Per pass - term 3	Discretionary
School bus passes - Primary - all terms	£214.78	£222.30	£230.08	£238.13	Per pass - all terms	Discretionary
School bus passes - Secondary School single	£0.89	£0.92	£0.95	£0.99	Per pass - single	Discretionary
School bus passes - Secondary School return	£1.53	£1.58	£1.64	£1.69	Per pass - return	Discretionary
School bus passes - Secondary School - book of 10	£6.96	£7.21	£7.46	£7.72	Per pass - 10 journey	Discretionary
School bus passes - Secondary School - term 1	£114.09	£118.08	£122.21	£126.49	Per pass - term 1	Discretionary
School bus passes - Secondary School - term 2	£80.88	£83.71	£86.64	£89.67	Per pass - term 2	Discretionary
School bus passes - Secondary School - term 3	£63.20	£65.41	£67.70	£70.07	Per pass - term 3	Discretionary
School bus passes - Secondary School - all terms	£258.17	£267.20	£276.55	£286.23	Per pass - all terms	Discretionary

School Catering	2019/20 For Information	2020/21 Proposed	2021/22 Proposed	2022/23 Proposed	Basis of charge	Discretionary/ Non-discretionary
Primary school meals	£2.11	£2.18	£2.26	£2.33	Per meal	Discretionary
Primary school meals - all primary one to primary three pupils	Nil	Nil	Nil	Nil	Per meal	Non Discretionary
Primary school meals concession - parents/guardians in receipt of means tested benefits	Nil	Nil	Nil	Nil	Per meal	Non Discretionary
Primary school meals concession - all special school pupils	Nil	Nil	Nil	Nil	Per meal	Discretionary
Secondary school catering - full meal	£2.27	£2.35	£2.43	£2.52	Per meal	Discretionary
Secondary school meals concession - parents/guardians in receipt of means tested benefits	Nil	Nil	Nil	Nil	Per meal	Non Discretionary
School catering - teachers paid (full meal)	£3.85	£4.00	£4.14	£4.28	Per meal	Discretionary
Breakfast clubs - all primary, special school & secondary pupils entitled to free school meal	Nil	Nil	Nil	Nil	Per meal	Discretionary
Breakfast clubs - all other secondary pupils	£0.59	£0.61	£0.63	£0.65	Per meal	Discretionary
School milk - per 200ml carton	£0.20	£0.21	£0.21	£0.22	Per carton	Discretionary
School milk concession - all nursery/special school pupils and primary parents/guardians in receipt of means tested benefits	Nil	Nil	Nil	Nil	Per carton	Discretionary

Civic Centre Café / Sandwich Run	2019/20 For Information	2020/21 Proposed	2021/22 Proposed	2022/23 Proposed	Basis of charge	Discretionary/ Non-discretionary
Soup, hot drinks, baguettes, cakes etc	3.5% increase	3.5% increase	3.5% increase	3.5% increase	Per unit	Discretionary
Fruit	£0.40	£0.40	£0.40	£0.40	Per unit	Discretionary
Fruit salad	£1.25	£1.25	£1.25	£1.25	Per unit	Discretionary
Water 330ml	£1.00	£1.00	£1.00	£1.00	Per unit	Discretionary
Water 500ml	£1.05	£1.05	£1.05	£1.05	Per unit	Discretionary
Orange juice	£0.85	£0.85	£0.85	£0.85	Per unit	Discretionary

Showground Leases - Circus / Gala Day	2019/20 For Information	2020/21 Proposed	2021/22 Proposed	2022/23 Proposed	Basis of charge	Discretionary/ Non-discretionary
King George V, Whitburn	£1,085.60	£1,123.59	£1,162.92	£1,203.62	Per lease	Discretionary
Limefield, Polbeth	£813.57	£842.05	£871.52	£902.03	Per lease	Discretionary
Meadow Park, Bathgate	£809.83	£838.17	£867.51	£897.87	Per lease	Discretionary
Niddry Park, Bathgate	£648.86	£671.57	£695.07	£719.40	Per lease	Discretionary
Stewartfield Park, Broxburn	£1,091.84	£1,130.05	£1,169.60	£1,210.54	Per lease	Discretionary
Watson Park, Armadale	£1,083.10	£1,121.01	£1,160.25	£1,200.85	Per lease	Discretionary

Environmental Wardens - Fixed Penalties	2019/20 For Information	2020/21 Proposed	2021/22 Proposed	2022/23 Proposed	Basis of charge	Discretionary/ Non-discretionary
Environmental Wardens - fixed penalties - littering	£80.00	£80.00	£80.00	£80.00	Per penalty	Non-discretionary
Environmental Wardens - fixed penalties - fly tipping	£200.00	£200.00	£200.00	£200.00	Per penalty	Non-discretionary
Environmental Wardens - fixed penalties - dog fouling	£80.00	£80.00	£80.00	£80.00	Per penalty	Non-discretionary
Environmental Wardens - fixed penalties - dog fouling - if not paid within 28 days	£100.00	£100.00	£100.00	£100.00	Per penalty	Non-discretionary

Countryside - Caravan and Camping	2019/20 For Information	2020/21 Proposed	2021/22 Proposed	2022/23 Proposed	Basis of charge	Discretionary/ Non-discretionary
Caravan site fees - high season caravan/motorhome/trailer tent (2 people plus one vehicle)	£26.80	£27.75	£28.70	£29.70	Per night	Discretionary
Caravan site fees - low season caravan/motorhome/trailer tent (2 people plus one vehicle)	£21.40	£22.15	£22.95	£23.75	Per night	Discretionary
Caravan site fees - backpacker/cyclist with no car, one person tent	£11.50	£11.90	£12.30	£12.75	Per night	Discretionary
Caravan site fees - one person tent with car	£15.35	£15.90	£16.45	£17.05	Per night	Discretionary
Caravan site fees - tent less than 16m2	£17.70	£18.30	£18.95	£19.60	Per night	Discretionary
Caravan site fees - tent between 16m2 - 24m2	£26.80	£27.75	£28.70	£29.70	Per night	Discretionary
Caravan site fees - group hire of grass camping area (min 2 nights, max 10 tents)	£209.95	£217.30	£224.90	£232.75	Per night	Discretionary
Caravan site fees - extra person aged 5 or above	£4.50	£4.65	£4.80	£4.95	Per night	Discretionary
Caravan site fees - extra car	£5.00	£5.00	£5.20	£5.40	Per night	Discretionary
Caravan Club and Camping & Caravanning Club concession - 10% discount on 7+ consecutive nights stay	-	-	-	-	Per night	Discretionary
Little Lodges 6 berth - high season (based on 2 people, minimum 2 night stay)	£58.95	£61.00	£63.15	£65.35	Per night	Discretionary
Little Lodges 6 berth - low season (based on 2 people, minimum 2 night stay)	£53.55	£55.45	£57.40	£59.40	Per night	Discretionary

Little Lodges 4 berth - high season (based on 2 people, minimum 2 night stay)	£48.20	£49.90	£51.65	£53.45	Per night	Discretionary
Little Lodges 4 berth - low season (based on 2 people, minimum 2 night stay)	£42.20	£44.35	£45.90	£47.50	Per night	Discretionary
Little Lodges - children under 3 years of age	Nil	Nil	Nil	Nil	Per night	Discretionary
Little Lodges - extra person aged 3+	£5.00	£5.00	£5.00	£5.00	Per night	Discretionary
Little Lodges - dog	£5.00	£5.00	£5.00	£5.00	Per night	Discretionary
Little Lodges - extra car	£5.00	£5.00	£5.00	£5.00	Per night	Discretionary

Countryside - Miscellaneous Park Hire Charges	2019/20 For Information	2020/21 Proposed	2021/22 Proposed	2022/23 Proposed	Basis of charge	Discretionary/ Non-discretionary
Visitor Centre - Almondell & Calderwood Country Park (first hour)	£13.15	£13.60	£14.05	£14.55	Per hour	Discretionary
Visitor Centre - Almondell & Calderwood Country Park (each subsequent hour)	£11.80	£12.20	£12.65	£13.10	Per hour	Discretionary
Sutherland Building Classroom Hire - Beecraigs Country Park (first hour)	£13.15	£13.60	£14.05	£14.55	Per hour	Discretionary
Sutherland Building Classroom Hire - Beecraigs Country Park (each subsequent hour)	£11.80	£12.20	£12.65	£13.10	Per hour	Discretionary
Group hire of target/field for archery course	£15.90	£16.45	£17.05	£17.65	Per hour	Discretionary
Individual hire of target/field for archery course	£7.15	£7.40	£7.65	£7.90	Per hour	Discretionary
Secure Dog Area - commercial clubs/groups (max 6 dogs)	£15.90	£16.45	£17.05	£17.65	Per hour	Discretionary
Secure Dog Area - public use, up to 2 dogs (extra dogs £2 per head per hour)	£7.15	£7.40	£7.65	£7.90	Per hour	Discretionary
Hire of pioneering course	£15.90	£16.45	£17.05	£17.65	Per hour	Discretionary
Barbecue booking fee	£26.25	£27.15	£28.10	£29.10	Per session	Discretionary
Barbecue - mid week rate for 15 or less persons	£19.65	£20.35	£21.05	£21.80	Per session	Discretionary
Countryside Ranger Service - adult (1.5 hours maximum)	£4.05	£4.20	£4.35	£4.50	Per event / activity	Discretionary
Countryside Ranger Service - child (1.5 hours maximum)	£2.80	£2.90	£3.00	£3.10	Per event / activity	Discretionary
Countryside Ranger Service - classroom based presentation	£27.85	£28.80	£29.80	£30.85	Per event	Discretionary
Countryside Ranger Service - activity based at school	£2.80	£2.90	£3.00	£3.10	Per child	Discretionary
Polkemmet Bowling green fees - adult	£3.75	£3.90	£4.05	£4.20	Per hour	Discretionary
Polkemmet Bowling green fees - concession	£3.40	£3.50	£3.60	£3.75	Per hour	Discretionary
Polkemmet Bowling green fees - over 60's resident in West Lothian	Nil	Nil	Nil	Nil	Per hour	Discretionary
Polkemmet hire of bowls	£1.50	£1.55	£1.60	£1.65	Per hour	Discretionary

School Lets (Prices Exclude VAT which will be added if applicable)	2019/20 For Information	2020/21 Proposed	2021/22 Proposed	2022/23 Proposed	Basis of charge	Discretionary/ Non-discretionary
Category 1 - free of charge	Nil	Nil	Nil	Nil	Per hour	Discretionary
Category 2 - youth organisations - classroom	£5.36	£5.54	£5.73	£5.93	Per hour	Discretionary
Category 2 - youth organisations - gym/small hall	£8.89	£9.20	£9.52	£9.85	Per hour	Discretionary
Category 3 - other recognised community organisations - classroom	£9.48	£9.81	£10.15	£10.51	Per hour	Discretionary
Category 3 - other recognised community organisations - gym/small hall	£15.43	£15.97	£16.53	£17.11	Per hour	Discretionary
Category 4 - instructional classes - classroom	£23.14	£23.95	£24.79	£25.66	Per hour	Discretionary
Category 4 - instructional classes - gym/small hall	£39.21	£40.58	£42.00	£43.47	Per hour	Discretionary
Category 5 - commercial use - classroom	£24.37	£25.22	£26.10	£27.01	Per hour	Discretionary
Category 5 - commercial use - gym/small hall	£42.15	£43.63	£45.16	£46.74	Per hour	Discretionary
Category 6 - summer schools	By quote	By quote	By quote	By quote	Per quoted rate	Discretionary
Category 7 - youth group camps in educational premises	£8.89	£9.20	£9.52	£9.85	Per person per day	Discretionary
Category 8 - use of playgrounds for car parking when undertaking commercial or fundraising activities	£30.32	£31.38	£32.48	£33.62	Per hour	Discretionary
Category 10 - gym halls, badminton or volleyball courts - adult groups	£22.50	£23.28	£24.09	£24.93	Per hour per court	Discretionary
Category 10 - gym halls, badminton or volleyball courts - registered youth groups	£9.21	£9.53	£9.86	£10.21	Per hour per court	Discretionary
Category 10 - gym halls, badminton or volleyball courts - adults	£4.39	£4.55	£4.71	£4.87	Per hour per person	Discretionary
Category 10 - gym halls, badminton or volleyball courts - registered youths	£2.95	£3.05	£3.16	£3.27	Per hour per person	Discretionary
Category 13 - football, rugby, hockey or training - synthetic pitch - adult groups	£34.71	£35.92	£37.18	£38.48	Per hour	Discretionary
Category 13 - football, rugby, hockey or training - synthetic pitch - youth groups	£16.87	£17.46	£18.07	£18.70	Per hour	Discretionary
Category 13 - football, rugby, hockey or training - grass pitch - adult groups	£33.21	£34.37	£35.57	£36.81	Per hour	Discretionary
Category 13 - football, rugby, hockey or training - grass - adult groups	£16.07	£16.63	£17.21	£17.81	Per hour	Discretionary
Category 16 - floodlighting - adult groups	£9.64	£9.98	£10.33	£10.69	Per hour	Discretionary
Category 16 - floodlighting - registered youth groups	£7.34	£7.59	£7.85	£8.12	Per hour	Discretionary
Category 17 - meetings in premises out with designated openings - weekdays or Saturdays - additional charge	£27.58	£28.55	£29.55	£30.58	Per hour	Discretionary
Category 17 - meetings in premises out with designated openings - Sundays - additional charge	£37.49	£38.81	£40.17	£41.58	Per hour	Discretionary

<b>Fauldhouse Partnership Centre</b>	<b>2019/20 For Information</b>	<b>2020/21 Proposed</b>	<b>2021/22 Proposed</b>	<b>2022/23 Proposed</b>	<b>Basis of charge</b>	<b>Discretionary/ Non-discretionary</b>
Swimming - adult	£2.70	£2.80	£2.90	£3.00	Per adult	Discretionary
Swimming - juvenile/adult concession	£1.35	£1.40	£1.45	£1.50	Per concession	Discretionary
Swimming concession - under 5's and over 60's	£0.00	£0.00	£0.00	£0.00	Per person	Discretionary
Swim and sauna/steam room - adults	£4.45	£4.60	£4.76	£4.93	Per adult	Discretionary
Swim and sauna/steam room - over 60's concession	£2.25	£2.33	£2.41	£2.50	Per adult	Discretionary
10 visit swim ticket (16+ Monday to Friday 8am to 4pm)	£17.50	£18.00	£18.63	£19.28	Per 10 visits	Discretionary
Monthly pass (16+ unlimited pool/sauna/steam room use)	£26.75	£27.50	£28.46	£29.46	Per pass	Discretionary
Monthly pass plus - 2 x (16+ unlimited pool/sauna/steam room use)	£48.00	£49.50	£51.23	£53.03	Per pass	Discretionary

<b>Linlithgow Burgh Halls - Room Hire Charges</b>	<b>2019/20 For Information</b>	<b>2020/21 Proposed</b>	<b>2021/22 Proposed</b>	<b>2022/23 Proposed</b>	<b>Basis of charge</b>	<b>Discretionary/ Non-discretionary</b>
Education Room/Garden Room - community groups non-income generating	£12.30	£12.75	£13.20	£13.65	Per hour	Discretionary
Education Room/Garden Room - community groups income generating	£19.25	£19.90	£20.60	£21.30	Per hour	Discretionary
Education Room/Garden Room - commercial organisations	£37.50	£38.80	£40.15	£41.55	Per hour	Discretionary
Education Room/Garden Room - commercial organisations half day (4 hours)	£136.00	£140.75	£145.65	£150.75	Per half day	Discretionary
Education Room/Garden Room - commercial organisations full day (8 hours)	£273.00	£283.00	£292.90	£303.15	Per full day	Discretionary
Education Room/Garden Room - day delegate rate	£22.50	£23.30	£24.10	£24.95	Per delegate	Discretionary
Provost Lawrie/Baillie Hardie Hall weekdays - community groups non-income generating	£20.30	£21.00	£21.75	£22.50	Per hour	Discretionary
Provost Lawrie/Baillie Hardie Hall weekdays - community groups income generating	£28.40	£29.40	£30.45	£31.50	Per hour	Discretionary
Provost Lawrie/Baillie Hardie Hall weekdays - commercial organisations	£60.00	£62.00	£64.15	£66.40	Per hour	Discretionary
Provost Lawrie/Baillie Hardie Hall weekends - community groups non-income generating	£31.00	£32.00	£33.10	£34.25	Per hour	Discretionary
Provost Lawrie/Baillie Hardie Hall weekends - community groups income generating	£45.00	£46.50	£48.15	£49.80	Per hour	Discretionary
Provost Lawrie/Baillie Hardie Hall weekends - commercial organisations	£77.00	£79.50	£82.25	£85.15	Per hour	Discretionary
Provost Lawrie/Baillie Hardie Hall weekdays - commercial organisations half day (4 hours)	£218.00	£226.00	£233.90	£242.10	Per half day	Discretionary
Provost Lawrie/Baillie Hardie Hall weekdays - commercial organisations half day (8 hours)	£438.00	£453.00	£468.85	£485.25	Per full day	Discretionary
Provost Lawrie/Baillie Hardie Hall weekends - commercial organisations half day (4 hours)	£276.00	£285.50	£295.50	£305.85	Per half day	Discretionary
Provost Lawrie/Baillie Hardie Hall weekends - commercial organisations full day (8 hours)	£552.50	£572.00	£592.00	£612.75	Per full day	Discretionary
Provost Lawrie/Baillie Hardie Hall weekends - day delegate rate	£22.50	£23.30	£24.10	£24.95	Per Delegate	Discretionary

<b>Linlithgow Burgh Halls - General Equipment Hire and Services</b>	<b>2019/20 For Information</b>	<b>2020/21 Proposed</b>	<b>2021/22 Proposed</b>	<b>2022/23 Proposed</b>	<b>Basis of charge</b>	<b>Discretionary/ Non-discretionary</b>
Portable induction loop	Nil	Nil	Nil	Nil	Per item	Discretionary
Lectern	Nil	Nil	Nil	Nil	Per item	Discretionary
Top table	Nil	Nil	Nil	Nil	Per item	Discretionary
Trestle tables	Nil	Nil	Nil	Nil	Per item	Discretionary
Small square tables	Nil	Nil	Nil	Nil	Per item	Discretionary
200 conference chairs	Nil	Nil	Nil	Nil	Per item	Discretionary
Card tables	Nil	Nil	Nil	Nil	Per item	Discretionary
Flip chart stand with pad and pens	£8.00	£8.00	£8.00	£8.00	Per item	Discretionary
TV/DVD player	£32.00	£32.00	£32.00	£32.00	Per item	Discretionary
Digital projector	£26.50	£26.50	£26.50	£26.50	Per item	Discretionary
Digital projector & screen	£48.00	£48.00	£48.00	£48.00	Per item	Discretionary
Laptop computer	£32.00	£32.00	£32.00	£32.00	Per item	Discretionary
Sound system	£42.00	£42.00	£42.00	£42.00	Per item	Discretionary
Wired microphone	£16.00	£16.00	£16.00	£16.00	Per item	Discretionary
Wired microphone - technician per hour	£34.00	£35.00	£36.00	£37.00	Per hour	Discretionary
Radio microphone	£32.00	£32.00	£32.00	£32.00	Per item	Discretionary
Radio microphone - technician per hour	£34.00	£35.00	£36.00	£37.00	Per hour	Discretionary
140 chair covers	£1.00	£1.00	£1.00	£1.00	Per item	Discretionary
5 portable staging pieces	£32.00	£32.00	£32.00	£32.00	Per item	Discretionary
Additional cleaning	£32.00	£32.00	£32.00	£32.00	Per item	Discretionary
Photocopying A4	£0.10	£0.10	£0.10	£0.10	Per item	Discretionary
Photocopying A3	£0.20	£0.20	£0.20	£0.20	Per item	Discretionary



Laminating A4	£0.80	£0.80	£0.80	£0.80	Per item	Discretionary
Laminating A3	£1.60	£1.60	£1.60	£1.60	Per item	Discretionary
Phone calls - local only	£0.50	£0.50	£0.50	£0.50	Per minute	Discretionary
Technician	£34.00	£35.00	£36.00	£37.00	Per hour	Discretionary
Steward	£13.50	£14.00	£14.50	£15.00	Per hour	Discretionary
Linen table cloth hire	£6.50	£6.50	£6.50	£6.50	Per item	Discretionary

Linlithgow Burgh Halls - Wedding Packages	2019/20 For Information	2020/21 Proposed	2021/22 Proposed	2022/23 Proposed	Basis of charge	Discretionary/ Non-discretionary
Standard package - Friday and Saturday - Jan/Feb/Nov/Dec	£1,070.00	£1,100.00	£1,135.00	£1,175.00	Per package	Discretionary
Standard package - Friday and Saturday - Mar/Apr/Sep/Oct	£1,600.00	£1,650.00	£1,705.00	£1,765.00	Per package	Discretionary
Standard package - Friday and Saturday - May to Aug	£2,140.00	£2,215.00	£2,290.00	£2,370.00	Per package	Discretionary
Standard package - Sunday to Thursday - Jan/Feb/Nov/Dec	£850.00	£880.00	£910.00	£940.00	Per package	Discretionary
Standard package - Sunday to Thursday - Mar/Apr/Sep/Oct	£1,280.00	£1,325.00	£1,370.00	£1,415.00	Per package	Discretionary
Standard package - Sunday to Thursday - May to Aug	£1,710.00	£1,775.00	£1,835.00	£1,900.00	Per package	Discretionary
Standard package & ceremony supplement - Friday and Saturday - Jan/Feb/Nov/Dec	£1,600.00	£1,650.00	£1,705.00	£1,765.00	Per package	Discretionary
Standard package & ceremony supplement - Friday and Saturday - Mar/Apr/Sep/Oct	£2,140.00	£2,215.00	£2,290.00	£2,370.00	Per package	Discretionary
Standard package & ceremony supplement - Friday and Saturday - May to Aug	£2,670.00	£2,770.00	£2,865.00	£2,965.00	Per package	Discretionary
Standard package & ceremony supplement - Sunday to Thursday - Jan/Feb/Nov/Dec	£1,280.00	£1,325.00	£1,370.00	£1,415.00	Per package	Discretionary
Standard package & ceremony supplement - Sunday to Thursday - Mar/Apr/Sep/Oct	£1,710.00	£1,775.00	£1,835.00	£1,900.00	Per package	Discretionary
Standard package & ceremony supplement - Sunday to Thursday - May to Aug	£2,140.00	£2,215.00	£2,290.00	£2,370.00	Per package	Discretionary
Deluxe package - Friday and Saturday - Jan/Feb/Nov/Dec	£2,140.00	£2,215.00	£2,290.00	£2,370.00	Per package	Discretionary
Deluxe package - Friday and Saturday - Mar/Apr/Sep/Oct	£2,670.00	£2,770.00	£2,865.00	£2,965.00	Per package	Discretionary
Deluxe package - Friday and Saturday - May to Aug	£3,210.00	£3,320.00	£3,435.00	£3,555.00	Per package	Discretionary
Deluxe package - Sunday to Thursday - Jan/Feb/Nov/Dec	£1,710.00	£1,775.00	£1,835.00	£1,900.00	Per package	Discretionary
Deluxe package - Sunday to Thursday - Mar/Apr/Sep/Oct	£2,140.00	£2,215.00	£2,290.00	£2,370.00	Per package	Discretionary
Deluxe package - Sunday to Thursday - May to Aug	£2,570.00	£2,660.00	£2,755.00	£2,850.00	Per package	Discretionary
Deluxe package & ceremony supplement - Friday and Saturday - Jan/Feb/Nov/Dec	£2,670.00	£2,770.00	£2,865.00	£2,965.00	Per package	Discretionary
Deluxe package & ceremony supplement - Friday and Saturday - Mar/Apr/Sep/Oct	£3,210.00	£3,320.00	£3,435.00	£3,555.00	Per package	Discretionary
Deluxe package & ceremony supplement - Friday and Saturday - May to Aug	£3,750.00	£3,880.00	£4,015.00	£4,155.00	Per package	Discretionary
Deluxe package & ceremony supplement - Sunday to Thursday - Jan/Feb/Nov/Dec	£2,140.00	£2,215.00	£2,290.00	£2,370.00	Per package	Discretionary
Deluxe package & ceremony supplement - Sunday to Thursday - Mar/Apr/Sep/Oct	£2,570.00	£2,660.00	£2,755.00	£2,850.00	Per package	Discretionary
Deluxe package & ceremony supplement - Sunday to Thursday - May to Aug	£3,000.00	£3,100.00	£3,205.00	£3,320.00	Per package	Discretionary
Exclusive Use - Friday and Saturday - Jan/Feb/Nov/Dec	£4,280.00	£4,430.00	£4,585.00	£4,745.00	Per package	Discretionary
Exclusive Use - Friday and Saturday - Mar/Apr/Sep/Oct	£4,820.00	£4,990.00	£5,165.00	£5,345.00	Per package	Discretionary
Exclusive Use - Friday and Saturday - May to Aug	£5,350.00	£5,540.00	£5,735.00	£5,935.00	Per package	Discretionary
Exclusive Use - Sunday to Thursday - Jan/Feb/Nov/Dec	£3,425.00	£3,545.00	£3,670.00	£3,795.00	Per package	Discretionary
Exclusive Use - Sunday to Thursday - Mar/Apr/Sep/Oct	£3,855.00	£3,990.00	£4,130.00	£4,275.00	Per package	Discretionary
Exclusive Use - Sunday to Thursday - May to Aug	£4,280.00	£4,430.00	£4,585.00	£4,745.00	Per package	Discretionary
Catering company deposit	£500.00	£500.00	£500.00	£500.00	Per package	Discretionary
Catering company charge	10% of contract	10% of contract	10% of contract	10% of contract	Per package	Discretionary

Planning Services - Building Warrants Fees	2019/20 For Information	2020/21 Proposed	2021/22 Proposed	2022/23 Proposed	Basis of charge	Discretionary/ Non-discretionary
Value of works (£0,000 - £5,000)	£150.00	£150.00	£150.00	£150.00	Per application	Non-discretionary
Value of works (£5,001 - £5,500)	£169.00	£169.00	£169.00	£169.00	Per application	Non-discretionary
Value of works (£5,501 - £6,000)	£188.00	£188.00	£188.00	£188.00	Per application	Non-discretionary
Value of works (£6,001 - £6,500)	£207.00	£207.00	£207.00	£207.00	Per application	Non-discretionary
Value of works (£6,501 - £7,000)	£226.00	£226.00	£226.00	£226.00	Per application	Non-discretionary
Value of works (£7,001 - £7,500)	£245.00	£245.00	£245.00	£245.00	Per application	Non-discretionary
Value of works (£7,501 - £8,000)	£264.00	£264.00	£264.00	£264.00	Per application	Non-discretionary
Value of works (£8,001 - £8,500)	£283.00	£283.00	£283.00	£283.00	Per application	Non-discretionary
Value of works (£8,501 - £9,000)	£302.00	£302.00	£302.00	£302.00	Per application	Non-discretionary
Value of works (£9,001 - £9,500)	£321.00	£321.00	£321.00	£321.00	Per application	Non-discretionary

Value of works (£9,501 - £10,000)	£340.00	£340.00	£340.00	£340.00	Per application	Non-discretionary
Value of works (£10,001 - £11,000)	£359.00	£359.00	£359.00	£359.00	Per application	Non-discretionary
Value of works (£11,001 - £12,000)	£378.00	£378.00	£378.00	£378.00	Per application	Non-discretionary
Value of works (£12,001 - £13,000)	£397.00	£397.00	£397.00	£397.00	Per application	Non-discretionary
Value of works (£13,001 - £14,000)	£416.00	£416.00	£416.00	£416.00	Per application	Non-discretionary
Value of works (£14,001 - £15,000)	£435.00	£435.00	£435.00	£435.00	Per application	Non-discretionary
Value of works (£15,001 - £16,000)	£454.00	£454.00	£454.00	£454.00	Per application	Non-discretionary
Value of works (£16,001 - £17,000)	£473.00	£473.00	£473.00	£473.00	Per application	Non-discretionary
Value of works (£17,001 - £18,000)	£492.00	£492.00	£492.00	£492.00	Per application	Non-discretionary
Value of works (£18,001 - £19,000)	£511.00	£511.00	£511.00	£511.00	Per application	Non-discretionary
Value of works (£19,001 - £20,000)	£530.00	£530.00	£530.00	£530.00	Per application	Non-discretionary
Value of works (£20,001 - £30,000)	£593.00	£593.00	£593.00	£593.00	Per application	Non-discretionary
Value of works (£30,001 - £40,000)	£656.00	£656.00	£656.00	£656.00	Per application	Non-discretionary
Value of works (£40,001 - £50,000)	£719.00	£719.00	£719.00	£719.00	Per application	Non-discretionary
Value of works (£50,001 - £60,000)	£782.00	£782.00	£782.00	£782.00	Per application	Non-discretionary
Value of works (£60,001 - £70,000)	£845.00	£845.00	£845.00	£845.00	Per application	Non-discretionary
Value of works (£70,001 - £80,000)	£908.00	£908.00	£908.00	£908.00	Per application	Non-discretionary
Value of works (£80,001 - £90,000)	£971.00	£971.00	£971.00	£971.00	Per application	Non-discretionary
Value of works (£90,001 - £100,000)	£1,034.00	£1,034.00	£1,034.00	£1,034.00	Per application	Non-discretionary
Value of works (£100,001 - £120,000)	£1,137.00	£1,137.00	£1,137.00	£1,137.00	Per application	Non-discretionary
Value of works (£120,001 - £140,000)	£1,240.00	£1,240.00	£1,240.00	£1,240.00	Per application	Non-discretionary
Value of works (£140,001 - £160,000)	£1,343.00	£1,343.00	£1,343.00	£1,343.00	Per application	Non-discretionary
Value of works (£160,001 - £180,000)	£1,446.00	£1,446.00	£1,446.00	£1,446.00	Per application	Non-discretionary
Value of works (£180,001 - £200,000)	£1,549.00	£1,549.00	£1,549.00	£1,549.00	Per application	Non-discretionary
Value of works (£200,001 - £220,000)	£1,652.00	£1,652.00	£1,652.00	£1,652.00	Per application	Non-discretionary
Value of works (£220,001 - £240,000)	£1,755.00	£1,755.00	£1,755.00	£1,755.00	Per application	Non-discretionary
Value of works (£240,001 - £260,000)	£1,858.00	£1,858.00	£1,858.00	£1,858.00	Per application	Non-discretionary
Value of works (£260,001 - £280,000)	£1,961.00	£1,961.00	£1,961.00	£1,961.00	Per application	Non-discretionary
Value of works (£280,001 - £300,000)	£2,064.00	£2,064.00	£2,064.00	£2,064.00	Per application	Non-discretionary
Value of works (£300,001 - £320,000)	£2,167.00	£2,167.00	£2,167.00	£2,167.00	Per application	Non-discretionary
Value of works (£320,001 - £340,000)	£2,270.00	£2,270.00	£2,270.00	£2,270.00	Per application	Non-discretionary
Value of works (£340,001 - £360,000)	£2,373.00	£2,373.00	£2,373.00	£2,373.00	Per application	Non-discretionary
Value of works (£360,001 - £380,000)	£2,476.00	£2,476.00	£2,476.00	£2,476.00	Per application	Non-discretionary
Value of works (£380,001 - £400,000)	£2,579.00	£2,579.00	£2,579.00	£2,579.00	Per application	Non-discretionary
Value of works (£400,001 - £420,000)	£2,682.00	£2,682.00	£2,682.00	£2,682.00	Per application	Non-discretionary
Value of works (£420,001 - £440,000)	£2,785.00	£2,785.00	£2,785.00	£2,785.00	Per application	Non-discretionary
Value of works (£440,001 - £460,000)	£2,888.00	£2,888.00	£2,888.00	£2,888.00	Per application	Non-discretionary
Value of works (£460,001 - £480,000)	£2,991.00	£2,991.00	£2,991.00	£2,991.00	Per application	Non-discretionary
Value of works (£480,001 - £500,000)	£3,094.00	£3,094.00	£3,094.00	£3,094.00	Per application	Non-discretionary
Value of works (£500,001 - £550,000)	£3,272.00	£3,272.00	£3,272.00	£3,272.00	Per application	Non-discretionary
Value of works (£550,001 - £600,000)	£3,450.00	£3,450.00	£3,450.00	£3,450.00	Per application	Non-discretionary
Value of works (£600,001 - £650,000)	£3,628.00	£3,628.00	£3,628.00	£3,628.00	Per application	Non-discretionary
Value of works (£650,001 - £700,000)	£3,806.00	£3,806.00	£3,806.00	£3,806.00	Per application	Non-discretionary
Value of works (£700,001 - £750,000)	£3,984.00	£3,984.00	£3,984.00	£3,984.00	Per application	Non-discretionary
Value of works (£750,001 - £800,000)	£4,162.00	£4,162.00	£4,162.00	£4,162.00	Per application	Non-discretionary
Value of works (£800,001 - £850,000)	£4,340.00	£4,340.00	£4,340.00	£4,340.00	Per application	Non-discretionary
Value of works (£850,001 - £900,000)	£4,518.00	£4,518.00	£4,518.00	£4,518.00	Per application	Non-discretionary
Value of works (£900,001 - £950,000)	£4,696.00	£4,696.00	£4,696.00	£4,696.00	Per application	Non-discretionary
Value of works (£950,001 - £1,000,000)	£4,874.00	£4,874.00	£4,874.00	£4,874.00	Per application	Non-discretionary
Value of works greater than £1,000,000 - additional fee per £100,000	£253.00	£253.00	£253.00	£253.00	Per application	Non-discretionary

Planning Services - Building Warrants - Work Not Started prior to the Application	2019/20 For Information	2020/21 Proposed	2021/22 Proposed	2022/23 Proposed	Basis of charge	Discretionary/ Non-discretionary
Application for conversion only - that is without any building work	£150.00	£150.00	£150.00	£150.00	Per application	Non-discretionary
Application for demolition only - that is where there are no immediate plans for rebuilding	£150.00	£150.00	£150.00	£150.00	Per application	Non-discretionary
Amendment to warrant application (value increased by £5,000 or under)	£100.00	£100.00	£100.00	£100.00	Per application	Non-discretionary



Amendment to warrant application - increase of more than £5,000 (take from fee table above)	per BW fee table	per BW fee table	per BW fee table	per BW fee table	Per application	Non-discretionary
Amendment for further stage of staged building warrants	£100.00	£100.00	£100.00	£100.00	Per application	Non-discretionary
Extend period of validity of building warrant	£100.00	£100.00	£100.00	£100.00	Per application	Non-discretionary
Application to provide facilities solely for use of disabled persons within a dwelling	Nil	Nil	Nil	Nil	Per application	Non-discretionary

Planning Services - Building Warrants - Work Started prior to the Application	2019/20 For Information	2020/21 Proposed	2021/22 Proposed	2022/23 Proposed	Basis of charge	Discretionary/ Non-discretionary
Building warrant application - based on value of work	200% of BW fee	200% of BW fee	200% of BW fee	200% of BW fee	Per application	Non-discretionary
Application for conversion only - that is without any building work	£200.00	£200.00	£200.00	£200.00	Per application	Non-discretionary
Application for demolition only - that is where there are no immediate plans for rebuilding	£200.00	£200.00	£200.00	£200.00	Per application	Non-discretionary

Planning Services - Building Warrants - Work Completed and No Building Warrant Submitted	2019/20 For Information	2020/21 Proposed	2021/22 Proposed	2022/23 Proposed	Basis of charge	Discretionary/ Non-discretionary
Building warrant application - based on value of work	300% of BW fee	300% of BW fee	300% of BW fee	300% of BW fee	Per application	Non-discretionary
Application for conversion only - that is without any building work	£300.00	£300.00	£300.00	£300.00	Per application	Non-discretionary
Application for demolition only - that is where there are no immediate plans for rebuilding	£300.00	£300.00	£300.00	£300.00	Per application	Non-discretionary

Planning Services - Discounts for Building Warrant Fees	2019/20 For Information	2020/21 Proposed	2021/22 Proposed	2022/23 Proposed	Basis of charge	Discretionary/ Non-discretionary
Discounts for using Certifier of Design						
Value of works (£0,000 - £5,000)	£30.00	£30.00	£30.00	£30.00	Per Application	Non-discretionary
Value of works (£5,001 - £10,000)	£40.00	£40.00	£40.00	£40.00	Per Application	Non-discretionary
Value of works (£10,001 - £15,000)	£50.00	£50.00	£50.00	£50.00	Per Application	Non-discretionary
Value of works (£15,001 - £20,000)	£60.00	£60.00	£60.00	£60.00	Per Application	Non-discretionary
Value of works (£20,001 - £50,000)	£80.00	£80.00	£80.00	£80.00	Per Application	Non-discretionary
Value of works (£50,001 - £100,000)	£100.00	£100.00	£100.00	£100.00	Per Application	Non-discretionary
Value of works (£100,000 or Greater)	10% of Fee	10% of Fee	10% of Fee	10% of Fee	Per Application	Non-discretionary
Discounts for using Certifier of Construction						
Value of works (£0,000 - £5,000)	£15.00	£15.00	£15.00	£15.00	Per Application	Non-discretionary
Value of works (£5,001 - £10,000)	£15.00	£15.00	£15.00	£15.00	Per Application	Non-discretionary
Value of works (£10,001 - £15,000)	£20.00	£20.00	£20.00	£20.00	Per Application	Non-discretionary
Value of works (£15,001 - £20,000)	£25.00	£25.00	£25.00	£25.00	Per Application	Non-discretionary
Value of works (£20,001 - £50,000)	£30.00	£30.00	£30.00	£30.00	Per Application	Non-discretionary
Value of works (£50,001 - £100,000)	£35.00	£35.00	£35.00	£35.00	Per Application	Non-discretionary
Value of works (£100,000 or Greater)	3% of Fee	3% of Fee	3% of Fee	3% of Fee	Per Application	Non-discretionary

Planning Services - Letters of Comfort	2019/20 For Information	2020/21 Proposed	2021/22 Proposed	2022/23 Proposed	Basis of charge	Discretionary/ Non-discretionary
Letter of comfort for exempt works completed before 1 May 2005 - domestic properties	£150.00	£150.00	£150.00	£150.00	Per letter	Discretionary
Letter of comfort for exempt works completed before 1 May 2005 - non domestic properties	£250.00	£250.00	£250.00	£250.00	Per letter	Discretionary
Letter of comfort for unauthorised works completed before 1 May 2005 - domestic properties	£278.00	£278.00	£278.00	£278.00	Per letter	Discretionary
Letter of comfort for unauthorised works completed before 1 May 2005 - non domestic properties (value of works up to £3,000)	£294.00	£294.00	£294.00	£294.00	Per letter	Discretionary
Letter of comfort for unauthorised works completed before 1 May 2005 - non domestic properties (value of works over £3,000)	£535.00	£535.00	£535.00	£535.00	Per letter	Discretionary
Replacement window survey (work completed by 30 April 2005)	£128.00	£128.00	£128.00	£128.00	Per letter	Discretionary
Letter of comfort for works completed in line with expired building warrant - domestic	£160.00	£160.00	£160.00	£160.00	Per letter	Discretionary
Letter of comfort for works completed in line with expired building warrant - non domestic	£294.00	£294.00	£294.00	£294.00	Per letter	Discretionary
Copy documents & approved plans - building warrant reference number supplied pre 1986	£75.00	£75.00	£75.00	£75.00	Per copy	Discretionary
Copy documents & approved plans - building warrant reference number supplied 1986 onwards	£31.00	£31.00	£31.00	£31.00	Per copy	Discretionary
Copy documents & approved plans - building warrant reference number supplied fast track 1986 onwards	£75.00	£75.00	£75.00	£75.00	Per copy	Discretionary

Copy documents & approved plans - building warrant reference number not supplied pre 1986	£100.00	£100.00	£100.00	£100.00	Per copy	Discretionary
Copy documents & approved plans - building warrant reference number not supplied 1986 onwards	£52.00	£52.00	£52.00	£52.00	Per copy	Discretionary
Copy documents & approved plans - building warrant reference number not supplied fast track 1986 onwards	£100.00	£100.00	£100.00	£100.00	Per copy	Discretionary

Planning Services - Planning Application Fees	2019/20 For Information	2020/21 Proposed	2021/22 Proposed	2022/23 Proposed	Basis of charge	Discretionary/ Non-discretionary
<b>1. Construction of buildings, structures or erections for use as residential accommodation</b>						
a) Planning permission in principle						
• One house or where the site area does not exceed 2.5 hectares	£401.00	£401.00	£401.00	£401.00	Per 0.1 hectare of site area	Non-discretionary
• Site area exceeds 2.5 hectares (max Charge £62,500)	£401.00	£401.00	£401.00	£401.00	Per 0.1 hectare of site area	Non-discretionary
b) Other than planning permission in principle						Non-discretionary
• Up to 50 dwelling/houses	£401.00	£401.00	£401.00	£401.00	Per dwelling/ house	Non-discretionary
• More than 50 dwelling/houses (max charge £124,850)	£20,050 to £124,850	£20,050 to £124,850	£20,050 to £124,850	£20,050 to £124,850	Per application	Non-discretionary
<b>2. The erection of buildings (other than categories 1,3,4,6)</b>						
a) Planning permission in principle						
• site does not exceed 2.5 hectares	£401.00	£401.00	£401.00	£401.00	Per 0.1 hectare of site area	Non-discretionary
• site exceeds 2.5 hectares	£10,028 to £62,500	£10,028 to £62,500	£10,028 to £62,500	£10,028 to £62,500	Per application	Non-discretionary
b) Other than planning permission in principle						Non-discretionary
• Area of gross floor space less than 40 square metres	£202.00	£202.00	£202.00	£202.00	Per application	Non-discretionary
• Area of gross floor space greater than 40 square metres but less than 75 square metres	£401.00	£401.00	£401.00	£401.00	Per application	Non-discretionary
• Area of gross floor space greater than 75 square metres but less than 3750 square metres	£401.00	£401.00	£401.00	£401.00	Per every 75 m2	Non-discretionary
• Area of gross floor space greater than 3750 square metres but less than 3750 square metres	£20,050 to £125,000	£20,050 to £125,000	£20,050 to £125,000	£20,050 to £125,000	Per application	Non-discretionary
<b>3. Erection on land used for the purposes of agriculture (other than category 4)</b>						
a) Planning permission in principle	£401.00	£401.00	£401.00	£401.00	Per 0.1 hectare of site area	Non-discretionary
b) Ground area to be covered exceeds 465 m2 but does not exceed 540m2	£401.00	£401.00	£401.00	£401.00	Per application	Non-discretionary
c) Ground area to be covered exceeds (max Charge £20,055)	£401.00	£401.00	£401.00	£401.00	Per every 75 m2	Non-discretionary
<b>4. Erection of glasshouses on land used for agriculture - where ground exceeds 465 m2</b>	£2,321.00	£2,321.00	£2,321.00	£2,321.00	Per application	Non-discretionary
<b>5. Erection, alteration or replacement of plant &amp; machinery</b>						
a) site does not exceed 5 hectares	£401.00	£401.00	£401.00	£401.00	Per 0.1 hectare of site area	Non-discretionary
b) site exceeds 5 hectares	£20,050 to £125,000	£20,050 to £125,000	£20,050 to £125,000	£20,050 to £125,000	Per application	Non-discretionary
<b>6. Enlargement, Improvement or other alteration of existing dwelling/houses</b>						
a) one dwelling/house	£202.00	£202.00	£202.00	£202.00	Per application	Non-discretionary
b) two or more dwelling/houses	£401.00	£401.00	£401.00	£401.00	Per application	Non-discretionary
<b>7a) Operations including erection of a building within curtilage of an existing dwelling/house</b>	£202.00	£202.00	£202.00	£202.00	Per application	Non-discretionary
<b>7b) Erection or construction of gates, fences, walls or other means of enclosure along a boundary of the curtilage of an existing dwelling house</b>	£202.00	£202.00	£202.00	£202.00	Per application	Non-discretionary
<b>7c) Construction of car parks, service roads and other means of access on land used for the purposes of a single undertaking, where the development is required for a purpose incidental to the existing use of the land</b>	£202.00	£202.00	£202.00	£202.00	Per application	Non-discretionary
<b>8. Operations connected with the exploratory drilling for oil or natural gas</b>						
a) site area does not exceed 7.6 hectares	£401.00	£401.00	£401.00	£401.00	Per 0.1 hectare of site area	Non-discretionary
b) site exceeds 7.6 hectares	£30,240 to £125,000	£30,240 to £125,000	£30,240 to £125,000	£30,240 to £125,000	Per application	Non-discretionary
<b>9. Placing or assembly of equipment in any part of marine waters for purposes of fish farming</b>						
a) surface area of marine waters to be used	£183.00	£183.00	£183.00	£183.00	Per 0.1 hectare of site area	Non-discretionary
b) area of sea bed to be used	£63.00	£63.00	£63.00	£63.00	Per 0.1 hectare of site area	Non-discretionary
<b>10. Any operations not within the above categories</b>						
a) Winning and working of minerals where the site does not exceed 15 hectares	£202.00	£202.00	£202.00	£202.00	Per 0.1 hectare of site area	Non-discretionary
b) Winning and working of minerals where the site exceeds 15 hectares	£30,240 to £125,000	£30,240 to £125,000	£30,240 to £125,000	£30,240 to £125,000	Per application	Non-discretionary
c) Winning and working of peat (max charge £3,024)	£202.00	£202.00	£202.00	£202.00	Per hectare	Non-discretionary

d) Any other purpose (max charge £2,016)	£202.00	£202.00	£202.00	£202.00	Per hectare	Non-discretionary
<b>11. Change of use of a building to use as one or more dwelling/houses</b>						
a) development exceeds 50 dwelling/houses	£20,050 to £124,850	£20,050 to £124,850	£20,050 to £124,850	£20,050 to £124,850	Per application	Non-discretionary
<b>12a) Use of land for the disposal of refuse or waste materials or deposit of material remaining after minerals extracted</b>						
• does not exceed 15 hectares	£202.00	£202.00	£202.00	£202.00	Per 0.1 hectare of site area	Non-discretionary
• exceeds 15 hectares	£30,240 to £125,000	£30,240 to £125,000	£30,240 to £125,000	£30,240 to £125,000	Per application	Non-discretionary
<b>12b) Use of land for the storage of minerals in the open</b>						
• does not exceed 15 hectares	£202.00	£202.00	£202.00	£202.00	Per 0.1 hectare of site area	Non-discretionary
• exceeds 15 hectares	£30,240 to £125,000	£30,240 to £125,000	£30,240 to £125,000	£30,240 to £125,000	Per application	Non-discretionary
<b>13. Making of a material change in the use of a building or land, other than a material change of use within category 11 or 12 or in the use of equipment placed or assembled in marine waters for fish farming</b>	£401.00	£401.00	£401.00	£401.00	<b>Per application</b>	<b>Non-discretionary</b>

Planning Services - Pre Planning Advice, Non Material Variations and Certificates of Compliance with conditions	2019/20 For Information	2020/21 Proposed	2021/22 Proposed	2022/23 Proposed	Basis of charge	Discretionary/ Non-discretionary
Pre-application advice - householder	£50.00	£50.00	£50.00	£50.00	Per request	Discretionary
Pre-application advice - householder request for meeting or visit	£50.00	£50.00	£50.00	£50.00	Per request	Discretionary
Pre-application advice - local development	50% of cost of planning application. Max of £500	50% of cost of planning application. Max of £500	50% of cost of planning application. Max of £500	50% of cost of planning application. Max of £500	Per request	Discretionary
Pre-application advice - local development - applicant requests a meeting or site visit	£200.00	£200.00	£200.00	£200.00	Per request	Discretionary
Pre-application advice - major development	50% of cost of planning application. Max of £800	50% of cost of planning application. Max of £800	50% of cost of planning application. Max of £800	50% of cost of planning application. Max of £800	Per request	Discretionary
Pre-application advice - major development - applicant requests a meeting or site visit	£200.00	£200.00	£200.00	£200.00	Per request	Discretionary
Non Material Variation - first request made within 12 months of the date of decision of the application	Nil	Nil	Nil	Nil	Per request	Discretionary
Non Material Variation - householder	£50.00	£50.00	£50.00	£50.00	Per request	Discretionary
Non Material Variation - local development	£100.00	£100.00	£100.00	£100.00	Per request	Discretionary
Non Material Variation - major development	£150.00	£150.00	£150.00	£150.00	Per request	Discretionary
Compliance with plans / conditions - householder	£150.00	£150.00	£150.00	£150.00	Per request	Discretionary
Compliance with plans / conditions - all other developments	£300.00	£300.00	£300.00	£300.00	Per request	Discretionary
Submission of paper applications	n/a	10% of application fee	10% of application fee	10% of application fee	Per request	Discretionary

Environmental Health & Trading Standards - Licensing Charges	2019/20 For Information	2020/21 Proposed	2021/22 Proposed	2022/23 Proposed	Basis of charge	Discretionary/ Non-discretionary
Food Export Health Certificates	£86.51	£89.54	£92.67	£95.92	Per application	Discretionary
Duplicate Food Export Certificates - requested with original	£7.63	£7.90	£8.18	£8.46	Per certificate	Discretionary
Duplicate Food Export Certificates - requested after original issued	£15.27	£15.80	£16.35	£16.93	Per certificate	Discretionary
Section 50 certificates licence fees - new premises - planning permission	£77.66	£80.38	£83.19	£86.11	Per premises	Discretionary
Section 50 certificates licence fees - new premises - building warrant	£211.57	£218.97	£226.63	£234.57	Per premises	Discretionary
Section 50 certificates licence fees - new premises - hygiene certificate	£0.00	£0.00	£0.00	£0.00	Per premises	Discretionary
Weights & measures certificates	£111.00	£115.00	£119.00	£123.00	Per hour	Discretionary
Petroleum Licences (less than 2,500 litres)	£44.00	£44.00	£44.00	£44.00	Per licence	Non-discretionary

Petroleum Licences (2,500 to 50,000 litres)	£60.00	£60.00	£60.00	£60.00	Per licence	Non-discretionary
Petroleum Licences (more than 50,000 litres)	£125.00	£125.00	£125.00	£125.00	Per licence	Non-discretionary
Immigration letter (housing inspections)	£92.88	£96.13	£99.49	£102.98	Per application	Discretionary
New licence to store explosives - minimum separation distance of greater than 0 metres is required	£185.00	£185.00	£185.00	£185.00	Per new licence	Non-discretionary
New licence to store explosives - no minimum separation distance required	£109.00	£109.00	£109.00	£109.00	Per new licence	Non-discretionary
Renewal of licence to store explosives - minimum separation distance of greater than 0 metres is required	£86.00	£86.00	£86.00	£86.00	Per year - renewal	Non-discretionary
Renewal of licence to store explosives - no minimum separation distance required	£54.00	£54.00	£54.00	£54.00	Per year - renewal	Non-discretionary
Variation of name or address/transfer/replacement of explosives licence	£36.00	£36.00	£36.00	£36.00	Per application	Non-discretionary
Firework extended sale period licence	£500.00	£500.00	£500.00	£500.00	Per year	Non-discretionary
Trusted Trader Membership fee (VAT registered businesses)	£214.00	£221.00	£229.00	£237.00	Per year	Discretionary
Trusted Trader Membership fee (non VAT registered businesses)	£107.00	£110.50	£114.00	£118.00	Per year	Discretionary
Stray dog charges – initial charge	£25.00	£25.00	£25.00	£25.00	Per animal	Non-discretionary
Stray Dog charges – kennelling	£12.50	£12.50	£12.50	£12.50	Per day	Non-discretionary

Environmental Health & Trading Standards - Private Water Sampling- Regulated Supplies	2019/20 For Information	2020/21 Proposed	2021/22 Proposed	2022/23 Proposed	Basis of charge	Discretionary/ Non-discretionary
Analysis of samples (recharge of analyst fees)	per analysts fee	per analysts fee	per analysts fee	per analysts fee	Per visit	Non-discretionary
Risk assessment preparation and site visit if required	£127.72	£131.55	£131.55	£131.55	Per visit	Non-discretionary
Sampling visit	£74.62	£76.85	£76.85	£76.85	Per visit	Non-discretionary
Review of risk assessment	£53.30	£54.89	£54.89	£54.89	Per review	Non-discretionary

Environmental Health & Trading Standards - Private Water Sampling- Exempt Supplies	2019/20 For Information	2020/21 Proposed	2021/22 Proposed	2022/23 Proposed	Basis of charge	Discretionary/ Non-discretionary
Analysis of samples (recharge statutory maximum)	£48.00	£48.00	£48.00	£48.00	Per visit	Statutory Maximum
Risk assessment preparation and site visit if required	£120.00	£120.00	£120.00	£120.00	Per visit	Statutory Maximum
Sampling visit	£70.00	£70.00	£70.00	£70.00	Per visit	Statutory Maximum
Review of risk assessment	£50.00	£50.00	£50.00	£50.00	Per review	Statutory Maximum

Animal Premises / Business Licence Fees	2019/20 For Information	2020/21 Proposed	2021/22 Proposed	2022/23 Proposed	Basis of charge	Discretionary/ Non-discretionary
Animal Boarding Establishment Licence - new licence application	£265.91	£275.21	£284.84	£294.81	Per year - new licence	Discretionary
Animal Boarding Establishment Licence - renewal	£119.59	£123.78	£128.11	£132.60	Per year - renewal	Discretionary
Homeboarding Licence - new licence	£190.84	£197.52	£204.43	£211.59	Per year - new licence	Discretionary
Homeboarding Licence - renewal	£119.59	£123.78	£128.11	£132.60	Per year - renewal	Discretionary
Dog Day Care Licence - new licence application	£265.91	£275.21	£284.84	£294.81	Per year - new licence	Discretionary
Dog Day Care Licence - renewal	£119.59	£123.78	£128.11	£132.60	Per year - renewal	Discretionary
Dog Breeding Establishment Licence - new licence application	£265.91	£275.21	£284.84	£294.81	Per year - new licence	Discretionary
Dog Breeding Establishment Licence - renewal	£119.59	£123.78	£128.11	£132.60	Per year - renewal	Discretionary
Dangerous Wild Animals Licence - new licence application	£265.91	£275.21	£284.84	£294.81	Per year - new licence	Discretionary
Dangerous Wild Animals Licence - renewal	£119.59	£123.78	£128.11	£132.60	Per year - renewal	Discretionary
Pet Shop Licence - new licence application	£265.91	£275.21	£284.84	£294.81	Per year - new licence	Discretionary
Pet Shop Licence - renewal	£119.59	£123.78	£128.11	£132.60	Per year - renewal	Discretionary
Riding School Licence - new licence application	£265.91	£275.21	£284.84	£294.81	Per year - new licence	Discretionary
Riding School Licence - renewal	£190.84	£197.52	£204.43	£211.59	Per year - renewal	Discretionary
Performing Animals Registration - new licence application	£90.33	£93.49	£96.76	£100.15	Per registration	Discretionary
Zoo Licence - new licence application	£846.07	£875.68	£906.33	£938.05	Per year - new licence	Discretionary
Zoo Licence - renewal (6 years)	£502.40	£519.99	£538.19	£557.03	Per 6 years - renewal	Discretionary
Vet cancellation fee - if less than 48 hours notice (exc VAT)	£121.00	£125.24	£129.62	£134.16	Per cancellation	Discretionary

Pest Control	2019/20 For Information	2020/21 Proposed	2021/22 Proposed	2022/23 Proposed	Basis of charge	Discretionary/ Non-discretionary
Rats and Mice - inclusive of VAT	£85.80	£74.00	£77.00	£79.00	Per treatment	Discretionary
Fleas - inclusive of VAT	£85.80	£74.00	£77.00	£79.00	Per treatment	Discretionary
Wasps - inclusive of VAT	£59.40	£51.00	£53.00	£55.00	Per treatment	Discretionary

Squirrels - inclusive of VAT	£177.60	£153.00	£158.00	£164.00	Per Week	Discretionary
Moles - inclusive of VAT	£177.60	£153.00	£158.00	£164.00	Per Week	Discretionary
Bed Bugs survey - inclusive of VAT	£67.80	£58.50	£61.00	£63.00	Per survey	Discretionary
Other Insects - inclusive of VAT	£67.80	£58.50	£61.00	£63.00	Per treatment	Discretionary
Council House Tenants - charged to Housing Revenue Account	Nil	Nil	Nil	Nil	Per treatment	Discretionary
Other Householders in receipt of Univeral Credit	50% concession	50% concession	50% concession	50% concession	Per treatment	Discretionary
Non Domestic premises - subsequent visit (excluding VAT)	£59.23	£61.30	£63.45	£65.67	per Visit	Discretionary

Property Management Fees (all fees inclusive of VAT)	2019/20 For Information	2020/21 Proposed	2021/22 Proposed	2022/23 Proposed	Basis of charge	Discretionary/ Non-discretionary
Wayleaves for utilities	£236.00	£244.00	£253.00	£262.00	Per transaction	Discretionary
Servitudes	£386.00	£400.00	£414.00	£429.00	Per transaction	Discretionary
Minutes of waiver	£386.00	£400.00	£414.00	£429.00	Per transaction	Discretionary
Land sales (transactions up to £10,000)	£386.00	£400.00	£414.00	£429.00	Per transaction	Discretionary
Land sales (transactions over £10,000)	£771.00	£798.00	£826.00	£855.00	Per transaction	Discretionary
Garden ground administration fee	£214.00	£221.00	£229.00	£237.00	Per transaction	Discretionary
Preparation of deed plans (guide)	£236.00	£244.00	£253.00	£262.00	Per transaction	Discretionary
Planning permission (guide)	£471.00	£487.00	£504.00	£522.00	Per transaction	Discretionary
Commercial property advertising boards - administration fee	£236.00	£244.00	£253.00	£262.00	Per transaction	Discretionary
Landlord reference (within West Lothian Council area)	£160.00	£166.00	£172.00	£178.00	Per transaction	Discretionary
Landlord reference (out with West Lothian Council area)	£311.00	£322.00	£333.00	£345.00	Per transaction	Discretionary
New leases, lease renewals (transactions up to £10,000)	£386.00	£400.00	£414.00	£428.00	Per transaction	Discretionary
New leases, lease renewals (transactions over £10,000)	£771.00	£798.00	£826.00	£855.00	Per transaction	Discretionary
Landlords consent (transactions up to £10,000)	£386.00	£400.00	£414.00	£429.00	Per transaction	Discretionary
Landlords consent (transactions over £10,000)	£771.00	£798.00	£826.00	£855.00	Per transaction	Discretionary
Roundabout sponsorship	£140.00	£145.00	£150.00	£155.00	Per sign, per month	Discretionary

Library Charges	2019/20 For Information	2020/21 Proposed	2021/22 Proposed	2022/23 Proposed	Basis of charge	Discretionary/ Non-discretionary
Replacement membership card	£1.10	£1.10	£1.10	£1.10	Per card	Discretionary
Photocopying/Printing A4 Black and White	£0.10	£0.10	£0.10	£0.10	Per copy	Discretionary
Photocopying/Printing A4 Colour	£0.20	£0.20	£0.20	£0.20	Per copy	Discretionary
Photocopying/Printing A3 Black and White	£0.20	£0.20	£0.20	£0.20	Per copy	Discretionary
Photocopying/Printing A3 Colour	£0.40	£0.40	£0.40	£0.40	Per copy	Discretionary
Unreturned Items	replacement cost	replacement cost	replacement cost	replacement cost	Per item	Discretionary

Registration Services - Births and Deaths	2019/20 For Information	2020/21 Proposed	2021/22 Proposed	2022/23 Proposed	Basis of charge	Discretionary/ Non-discretionary
Full birth certificate - at the time of registration or within one month of registration	£10.00	£10.00	£10.00	£10.00	Per certificate	Non-discretionary
Full birth certificate - purchased out with one month of registration	£15.00	£15.00	£15.00	£15.00	Per certificate	Non-discretionary
Death certificate	Nil	Nil	Nil	Nil	Per certificate	Non-discretionary
Abbreviated extract of the death entry	Nil	Nil	Nil	Nil	Per extract	Non-discretionary
Full death extract - at the time of registration or within one month of registration	£10.00	£10.00	£10.00	£10.00	Per extract	Non-discretionary
Full death extract - purchased out with one month of registration	£15.00	£15.00	£15.00	£15.00	Per extract	Non-discretionary

Registration Services - Marriages and Civil Ceremonies	2019/20 For Information	2020/21 Proposed	2021/22 Proposed	2022/23 Proposed	Basis of charge	Discretionary/ Non-discretionary
Registry Office weddings - Monday to Friday - private ceremony	£125.00	£125.00	£125.00	£125.00	Per ceremony	Non Discretionary
Registry Office weddings - Monday to Fri - guest supplement (over and above 2 witnesses)	£54.00	£56.00	£58.00	£60.00	Per ceremony	Discretionary
Registry Office weddings - Saturday - private ceremony	£200.00	£200.00	£200.00	£200.00	Per ceremony	Non Discretionary
Registry Office weddings - Saturday - guest supplement (over and above 2 witnesses)	£54.00	£56.00	£58.00	£60.00	Per ceremony	Discretionary
External venue agreed with the Registrar - Monday to Friday	£315.00	£320.00	£323.00	£326.00	Per ceremony	Discretionary supplement
External venue agreed with the Registrar - Saturday 12-4 and Mon-Fri 4-5	£360.00	£365.00	£370.00	£375.00	Per ceremony	Discretionary supplement

Out with Registry Office weddings - Sunday and Public Holidays	£440.00	£445.00	£450.00	£455.00	Per ceremony	Discretionary supplement
Marriage Ceremony - conducted by person other than a registrar - marriage notice (2)	£60.00	£60.00	£60.00	£60.00	Per ceremony	Non Discretionary
Marriage Ceremony - conducted by person other than a registrar - marriage certificate	£10.00	£10.00	£10.00	£10.00	Per ceremony	Non Discretionary

Registration Services - Naming Ceremonies and Renewal of Vows	2019/20 For Information	2020/21 Proposed	2021/22 Proposed	2022/23 Proposed	Basis of charge	Discretionary/ Non-discretionary
Office ceremony - Monday to Thursday	£69.00	£71.00	£73.00	£76.00	Per event	Discretionary
Office ceremony - Friday	£228.00	£236.00	£244.00	£253.00	Per event	Discretionary
Office ceremony - Sunday and Public Holidays	£349.00	£361.00	£374.00	£387.00	Per event	Discretionary
Approved venues - Monday to Thursday & Friday before 4pm	£190.00	£197.00	£204.00	£211.00	Per event	Discretionary
Approved venues - Friday after 4pm & Saturday	£254.00	£263.00	£272.00	£282.00	Per event	Discretionary
Approved venues - Sunday and Public Holidays	£349.00	£361.00	£374.00	£387.00	Per event	Discretionary

Landlord Registrations	2019/20 For Information	2020/21 Proposed	2021/22 Proposed	2022/23 Proposed	Basis of charge	Discretionary/ Non-discretionary
Landlord/agent initial fee	£65.00	£65.00	£65.00	£65.00	Per 3 years	Non-discretionary
Additional fee per property	£15.00	£15.00	£15.00	£15.00	Per 3years	Non-discretionary

Neighbourhood Response Teams	2019/20 For Information	2020/21 Proposed	2021/22 Proposed	2022/23 Proposed	Basis of charge	Discretionary/ Non-discretionary
Fixed penalty notices	£100.00	£100.00	£100.00	£100.00	Per penalty	Non-discretionary

Community Alarms and Telecare	2019/20 For Information	2020/21 Proposed	2021/22 Proposed	2022/23 Proposed	Basis of charge	Discretionary/ Non-discretionary
Community Alarms & Telecare equipment	£3.02	£3.02	£3.11	£3.20	Per week	Discretionary

Instrumental Music Service	2019/20 For Information	2020/21 Proposed	2021/22 Proposed	2022/23 Proposed	Basis of charge	Discretionary/ Non-discretionary
Instrumental Music Tuition fee	£354.00	£354.00	£366.00	£379.00	Per academic year	Discretionary
Instrumental Music Tuition fee - child in receipt of free school meals and/or school clothing grant	Nil	Nil	Nil	Nil	Per academic year	Discretionary
Instrumental Music Tuition fee – studying a relevant SQA exam (S4-S6)	Nil	Nil	Nil	Nil	Per academic year	Discretionary
Instrumental Music Tuition fee - Siblings	£177.00	£177.00	£183.00	£189.00	Per academic year	Discretionary

Bulky Uplifts	2019/20 For Information	2020/21 Proposed	2021/22 Proposed	2022/23 Proposed	Basis of charge	Discretionary/ Non-discretionary
Bulky Uplift – charge for up to 5 items	£25.00	£25.00	£30.00	£30.00	Per uplift	Discretionary



## Integrated Relevance Assessment Form

1. Details of proposal			
<b>Policy Title</b> (include budget reference number if applicable)	O8b – Cemetery Charges		
<b>Service Area</b>	NETS, Land and Countryside		
<b>Lead Officer</b>	Andy Johnston		
<b>Other Officers/Partners Involved</b>	Open Space and Cemeteries Manager		
<b>Date relevance assessed</b>	15/01/2020		

2. Does the council have control over how this policy will be implemented?			
YES	X	NO	

<p><b>3. The General Duty of the Equality Act 2010 requires public authorities, in the exercise of their functions, to have due regard to the need to:</b></p> <ul style="list-style-type: none"> <li>• Eliminate unlawful discrimination, harassment and victimisation and other prohibited conduct</li> <li>• Advance equality of opportunity between those who share a protected characteristic and those who do not; and</li> <li>• Foster good relations between those who share a protected characteristic and those who do not</li> </ul> <p>NB: In this section you must also consider the Human Rights Act and the key PANEL (Participation, Accountability, Non Discrimination, Empowerment and Legality) principles of Human Rights</p> <p>Which groups of people do you think will be, or potentially could be, impacted upon by the implementation of this policy? You should consider employees, clients, customers and service users (please tick below as appropriate).</p>	
Age – older people, young people and children	X
Disability – people with disabilities/long standing conditions	
Gender reassignment – trans/transgender identity – anybody who's gender identity or gender expression is different to the sex assigned to them at birth	
Marriage or civil partnership – people who are married or in a civil partnership	
Pregnancy and maternity – woman who are pregnant and/or on maternity leave	
Race – people from black, Asian and minority ethnic communities and different racial backgrounds	
Religion or belief – people with different religions and beliefs including those with no beliefs	
Sex – Gender Identify – women and men (boys and girls) and those who self-identify their gender	
Sexual Orientation – lesbian, gay, bisexual, heterosexual/straight	

**4. Do you have evidence or reason to believe that this policy will or may impact on socio-economic inequalities?**

Consideration must be given particularly to children and families

<b>Socio-economic Disadvantage</b>	<b>Impact (Please Tick as Appropriate)</b>
Low Income/Income Poverty – cannot afford to maintain regular payments such as bills, food, clothing	X
Low and/or No Wealth – enough money to meet basic living costs and pay bills but have no savings to deal with any unexpected spends and no provision for the future	X
Material Deprivation – being unable to access basic goods and services i.e. financial products like life insurance, repair/replace broken electrical goods, warm home, leisure and hobbies	X
Area Deprivation – where you live (rural areas), where you work (accessibility of transport)	
Socio-economic Background – social class i.e. parents education, employment and income	

**5. Integrated impact assessment required?**

(Two ticks above = full assessment necessary)

YES	X	NO	
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**6. Decision rationale**

If you have ticked no above, use this section to evidence why a full IIA is not required

Based on the potential impact, a full integrated impact assessment is required.

<b>Signed by Lead Officer</b>	David Cullen
<b>Designation</b>	Open Space and Cemeteries Officer
<b>Date</b>	16/01/2020
<b>Counter Signature</b> (Head of Service or Depute Chief Executive responsible for the policy)	Jim Jack
<b>Date</b>	16/01/2020





## Full Integrated Impact Assessment Form

1. Details of proposal	
<b>Policy Title</b> (include budget reference number if applicable)	O8b – Cemetery Charges
<b>Details of Others Involved</b>	
<b>Date Assessment Conducted</b>	16/01/2020

2. Set out a clear understanding of the purpose of the policy being developed or reviewed (what are the aims, objectives and intended outcomes including the context within which it will operate)
<p>The purpose of the policy is to provide income for the cemeteries service. At present there is a funding gap between the cost of service and the costs to residents of purchasing a lair and burial related services.</p> <p>The current gap between the income received and the cost of the service is about 40%.</p> <p>The aim of the proposal is to increase the charges related to burial services to:</p> <ol style="list-style-type: none"> <li>1. Increase income levels</li> <li>2. Close the subsidy gap</li> <li>3. Track average, lowest and highest costs across the country</li> </ol> <p>Current charges are dependent on the services provided, however when developing cemetery charges they are normally gauged and benchmarked against the costs of interment and the cost of purchase of a lair. West Lothian charges for 2019/20 are £1167.42 for these services, compared to the Scottish average of £1,620.28.</p> <p>The proposal is to increase charges for interments and the purchase of a lair to bring them more into line with other local authorities. The proposal would increase the cost of an adult interment from £570.12 in 2019/20 to £621.43 in 2020/21, £677.36 in 2021/22 and £738.32 in 2022/23. The proposal is to also increase the cost of a lair purchase from £597.30 in 2019/20 to £651.06 in 2020/21, £709.65 in 2021/22 and £773.52 in 2022/23.</p> <p>The combined cost of a lair and interment would therefore increase to £1,511.84 in 2022/23, which would still be £108.44 below the current Scottish average and would rank West Lothian as being 21<sup>st</sup> out of 32 Scottish local authorities in terms of charging levels – although anticipated future cemeteries increases by other Scottish councils is likely to mean that West Lothian will drop to lower than 21<sup>st</sup> in future years.</p>

<b>3. Please outline any needs and/or barriers which equality groups (people with protected characteristics) may have in relation to this policy</b>	
Age	<b>What effect/difference will the policy have on people?</b>  Please note that the comments placed in the protected group relevant to age are generic comments that can be read / replicated across all protected groups as the proposed increase in burial charges will impact on those suffering from financial constraints rather than a protected characteristic.  The effect of the policy will be an increased cost in burial services which may impact on people's ability to pay for burial services.  This will be especially true for people in any of the protected group who do not qualify for the Funeral Expense Assistance Scheme which is a scheme launched in 2019 which provides financial assistance with the cost of paying for a funeral, based on means testing.
	<b>How do you know that?</b> It is an increase in charges which is above the rate of inflation.
Disability	<b>What effect/difference will the policy have on people?</b> As above.
	<b>How do you know that?</b> As above.
Gender Reassignment – Trans/Transgender Identity	<b>What effect/difference will the policy have on people?</b> As above.
	<b>How do you know that?</b> As above.
Marriage or Civil Partnership	<b>What effect/difference will the policy have on people?</b> As above.
	<b>How do you know that?</b> As above.
Pregnancy and Maternity	<b>What effect/difference will the policy have on people?</b> As above.
	<b>How do you know that?</b> As above.
Race	<b>What effect/difference will the policy have on people?</b> As above.
	<b>How do you know that?</b> As above.
Religion or Belief	<b>What effect/difference will the policy have on people?</b> As above.
	<b>How do you know that?</b> As above.
Sex – Gender Identity	<b>What effect/difference will the policy have on people?</b> As above.
	<b>How do you know that?</b> As above.
Sexual Orientation	<b>What effect/difference will the policy have on people?</b> As above.
	<b>How do you know that?</b> As above.

#### 4. Please outline any needs and/or barriers which may affect vulnerable groups falling into poverty and disadvantage in relation to this policy.

Vulnerable groups may include the following:

- Unemployed
- Single parents and vulnerable families
- People on benefits
- Those involved in the criminal justice system
- People in the most deprived communities (bottom 20 SIMD areas)
- People who live in rural areas
- Pensioners
- Looked After Children
- Carers including young carers
- People misusing services
- Others e.g. veterans, students
- Single adult households
- People who have experienced the asylum system
- Those leaving the care setting including children and young people and those with illness
- Homeless people
- People with low literacy/ numeracy
- People with lower educational qualifications
- People in low paid work
- People with one or more protected characteristics

#### What effect/difference will the policy have on people?

Funeral poverty is a prevailing societal issue in the UK. Within West Lothian a number of initiatives have been developed to support families struggling with funeral expenses. This includes the Funeral Expense Assistance scheme which is a Scottish Welfare grant that provides funding to qualifying families to help to cover the cost of a burial. The scheme provides financial assistance with the cost of paying for a funeral, based on means testing. For West Lothian, the scheme can provide financial assistance of up to £1,167.42 for a burial and plot, or £570.12 for a burial only to assist with funeral costs for low income families, dependant on individual circumstances.

In addition, the council has negotiated a "West Lothian Respectful Funeral" with local funeral directors. This ensures that for a cost of £1550, all local funeral directors will undertake a specified and respectful funeral. Whilst the cost of burial has been mitigated by these initiatives, there remains a pressure on low income families, particularly families who are working and are not in receipt of access to the FEA scheme grant. Whilst the West Lothian Respectful funeral substantially reduced the cost of a burial against the average, it remains a significant burden on families.

#### How do you know that?

Information was compiled during the development of the Respectful Funeral model.

#### 5. Action Plan

What action/s will be taken, by whom and what is the timescale for completion?

**Actioner Name:** David Cullen

**Action Date:** Continuous

#### What is the issue?

Ongoing impact of funeral poverty.

#### What action will be taken?

Dialogue and consultation with the Anti-Poverty team in relation to funeral poverty and how to support those in need, including promotion of the Funeral Expense Assistance Scheme and the West Lothian Respectful Funeral.

#### Progress against action

Mitigating factors as indicated in the assessment.

#### 6. Details of consultation and involvement

Who will be or has been involved in the consultation process?

a) State which groups are involved in this process and describe their involvement.

- b) Describe any planned involvement saying when this will take place and who is responsible for managing the involvement process.
- c) Describe the results of the involvement and how you have taken this into account.

Consultation took place with a panel of customers with experience of poverty, convened by the council's Anti-Poverty team in the development of the Respectful Funeral.

Further consultation with the council Anti-Poverty team is ongoing and the proposal re increasing cemetery fees will be discussed. If deemed necessary this may include discussion at the customer panel.

## 7. Data and Information

What equality data, poverty data, research, information or other evidence has been used to inform this assessment?

- a) What information or other evidence has been used in the development of the policy?
- b) What does research, consultation and other data or information tell you about the impact of the policy? (describe the information and conclusions, and state where the information can be found)
  - i. Quantitative (numbers, percentages, statistical analysis)
  - ii. Qualitative (written/spoken words, opinions, surveys)
- c) Describe any gaps in the available information, and record within section five (Action Plan), action you are taking in relation to this (e.g. new research, further analysis) and when this is planned.
- d) Give details of any existing local or national evidence which has been used to inform the development of your policy.

Anti-poverty team focus group

Scottish government guidance on funeral poverty

Uptake data on the demand / use of the Respectful funeral model from local Funeral. At this stage there is no profile available of customers accessing the service, however demand for it is low.

Cemetery service data on Social Interments. Uptake. In the last 12 months the service have carried out 7 social interments, 3 of which would be associated with lack of funds available within families to make the arrangements or families refusing to make arrangements.

## 8. Mitigating Actions

If the policy has a negative/adverse impact on a particular group/s, but is still to be implemented, please provide justification for this.

Note: If the policy is unlawfully discriminatory under the Equality Act 2010 and/or is having a negative impact on poverty and socioeconomic disadvantage under the Fairer Scotland Duty, you MUST identify, how the policy can be amended or justified so the Council acts lawfully.

- a) How could you modify the policy to eliminate discrimination or to reduce any identified negative impacts? If necessary, consider other ways in which you could meet the aims and objectives.
- b) How could you modify the policy to create or maximise the positive aspects of the proposals and to increase equality and reduce poverty and socioeconomic disadvantage.
- c) Describe any modifications which you can make without further delay (for example, easy, few resource implications).
- d) If you propose to make any of the modifications shown above, describe any potential new negative impacts on other groups in society or on the ability to achieve the aims and how you will minimise these.
- e) Please describe the resource implications of any proposed modifications taking into account financial, people and property issues.

In terms of the policy, the proposed charges are in excess of the rate of inflation but this will still maintain a substantial subsidy offset by the council revenue budget within cemeteries and be significantly below the Scottish average for interment and plot charges.

The council has been active in seeking ways to mitigate poverty and this is evidenced through the development of the Respectful Funeral model. Mitigation is also provided by the recent introduction of the removal of burial fees for child burials (under 18 years of age) and the introduction of the Funeral Expense Assistance Scheme Grant by the Scottish Social Security Service.

## 9. Monitoring and Review

- a) How will the implementation and impact of the policy be monitored, including implementation of any amendments? For example, what type of monitoring will there be? How frequent?
- b) What are the practical arrangements for monitoring? For example, who will put this in place? When will it start?
- c) How will results of monitoring be used to develop future policies?
- d) When is the policy due to be reviewed?
- e) Who is responsible for ensuring this happens? Please detail below

Burial fees are an annual review requirement. In order to support future decision making on the issue, there will be continued monitoring of the uptake of both social interments and the Respectful Funeral. In addition, there will be continued dialogue and consultation with the Anti-Poverty team to ensure that those in difficulty are offered the best advice in relation to available support, including promotion of the Funeral Expenses Assistance scheme.

Efforts in relation to this will be led by the Cemeteries service and the Anti-poverty team.

## 10. Recommendation and Reasoning

✓ Implement proposal taking account of mitigating actions (as outlined above)

### Reason for Recommendation

Mitigating factors will assist in supporting those residents who do find themselves in financial difficulty.

<b>Signed by Lead Officer</b>	David Cullen
<b>Designation</b>	Open Space and Cemeteries Manager
<b>Date</b>	23/01/2020
<b>Counter Signature</b> (Head of Service or Depute Chief Executive responsible for the policy)	
<b>Date</b>	



## Integrated Relevance Assessment Form

1. Details of proposal	
<b>Policy Title</b> (include budget reference number if applicable)	Telecare charge inflationary increase of 3% (SJ3c)
<b>Service Area</b>	Social Policy IJB
<b>Lead Officer</b>	Jo MacPherson, Head of Social Policy
<b>Other Officers/Partners Involved</b>	Social Policy Senior Management Team, FMU
<b>Date relevance assessed</b>	15 December 2019

2. Does the council have control over how this policy will be implemented?			
YES	X	NO	

<p><b>3. The General Duty of the Equality Act 2010 requires public authorities, in the exercise of their functions, to have due regard to the need to:</b></p> <ul style="list-style-type: none"> <li>• Eliminate unlawful discrimination, harassment and victimisation and other prohibited conduct</li> <li>• Advance equality of opportunity between those who share a protected characteristic and those who do not; and</li> <li>• Foster good relations between those who share a protected characteristic and those who do not</li> </ul> <p>NB: In this section you must also consider the Human Rights Act and the key PANEL (Participation, Accountability, Non Discrimination, Empowerment and Legality) principles of Human Rights</p> <p>Which groups of people do you think will be, or potentially could be, impacted upon by the implementation of this policy? You should consider employees, clients, customers and service users (please tick below as appropriate).</p>	
Age – older people, young people and children	X
Disability – people with disabilities/long standing conditions	X
Gender reassignment – trans/transgender identity – anybody who's gender identity or gender expression is different to the sex assigned to them at birth	
Marriage or civil partnership – people who are married or in a civil partnership	
Pregnancy and maternity – woman who are pregnant and/or on maternity leave	
Race – people from black, Asian and minority ethnic communities and different racial backgrounds	
Religion or belief – people with different religions and beliefs including those with no beliefs	
Sex – Gender Identify – women and men (boys and girls) and those who self-identify their gender	
Sexual Orientation – lesbian, gay, bisexual, heterosexual/straight	

<b>4. Do you have evidence or reason to believe that this policy will or may impact on socio-economic inequalities?</b> Consideration must be given particularly to children and families	
<b>Socio-economic Disadvantage</b>	<b>Impact (Please Tick as Appropriate)</b>
Low Income/Income Poverty – cannot afford to maintain regular payments such as bills, food, clothing	
Low and/or No Wealth – enough money to meet basic living costs and pay bills but have no savings to deal with any unexpected spends and no provision for the future	
Material Deprivation – being unable to access basic goods and services i.e. financial products like life insurance, repair/replace broken electrical goods, warm home, leisure and hobbies	
Area Deprivation – where you live (rural areas), where you work (accessibility of transport)	
Socio-economic Background – social class i.e. parents education, employment and income	

<b>5. Integrated impact assessment required?</b> (Two ticks above = full assessment necessary)			
YES	X	NO	

<b>6. Decision rationale</b> If you have ticked no above, use this section to evidence why a full IIA is not required
Based on the potential impact, a full integrated impact assessment is required.

<b>Signed by Lead Officer</b>	Jo MacPherson
<b>Designation</b>	Head of Social Policy
<b>Date</b>	15 December 2019
<b>Counter Signature</b> (Head of Service or Depute Chief Executive responsible for the policy)	
<b>Date</b>	



## Full Integrated Impact Assessment Form

1. Details of proposal	
<b>Policy Title</b> (include budget reference number if applicable)	Community Alarms and Telecare charge increase of 3% (SJ3c)
<b>Details of Others Involved</b>	Social Policy Senior Management Team, FMU
<b>Date Assessment Conducted</b>	15 December 2019

2. Set out a clear understanding of the purpose of the policy being developed or reviewed (what are the aims, objectives and intended outcomes including the context within which it will operate)	
<p>The current Telecare charge of £3.02 per week was set from April 2018 with a commitment to maintain the charge at the same level for a period of 3 years. The proposal is for the Telecare charge to be increased by 3% per year with effect from April 2021.</p> <p>The inflationary increase would result in a new charge of £3.11 in 2021 and £3.20 in 2022.</p> <p>The current Scottish average charge is £3.49.</p>	

3. Please outline any needs and/or barriers which equality groups (people with protected characteristics) may have in relation to this policy	
Age	<p><b>What effect/difference will the policy have on people?</b> The Telecare service is mainly used by older adults or people with disabilities.</p> <p>The service can play an integral part in supporting health and wellbeing outcomes for people in their own home and help manage the risks associated with independent living through the provision of a 24 hour telephone link to a key holder or the emergency services.</p> <p><b>How do you know that?</b> The Telecare service is currently used by 3,500 people in West Lothian the majority of who are older people.</p>
Disability	<p><b>What effect/difference will the policy have on people?</b> The Telecare service is mainly used by older adults or people with disabilities.</p> <p>The service can play an integral part in supporting health and wellbeing outcomes for people in their own home and help manage the risks associated with independent living through the provision of a 24 hour telephone link to a key holder or the emergency services.</p> <p><b>How do you know that?</b> The Telecare service is currently used by 3,500 people in West Lothian the majority of who are older people.</p>
Gender Reassignment – Trans/Transgender Identity	<p><b>What effect/difference will the policy have on people?</b> None identified.</p> <p><b>How do you know that?</b> No evidence was found through research or local consultation, that there may be hidden needs relating to this protected characteristic.</p>



Marriage or Civil Partnership	<b>What effect/difference will the policy have on people?</b> None identified.
	<b>How do you know that?</b> No evidence was found through research or local consultation, that there may be hidden needs relating to this protected characteristic.
Pregnancy and Maternity	<b>What effect/difference will the policy have on people?</b> None identified.
	<b>How do you know that?</b> No evidence was found through research or local consultation, that there may be hidden needs relating to this protected characteristic.
Race	<b>What effect/difference will the policy have on people?</b> None identified.
	<b>How do you know that?</b> No evidence was found through research or local consultation, that there may be hidden needs relating to this protected characteristic.
Religion or Belief	<b>What effect/difference will the policy have on people?</b> None identified.
	<b>How do you know that?</b> No evidence was found through research or local consultation, that there may be hidden needs relating to this protected characteristic.
Sex – Gender Identity	<b>What effect/difference will the policy have on people?</b> None identified.
	<b>How do you know that?</b> No evidence was found through research or local consultation, that there may be hidden needs relating to this protected characteristic.
Sexual Orientation	<b>What effect/difference will the policy have on people?</b> None identified.
	<b>How do you know that?</b> No evidence was found through research or local consultation, that there may be hidden needs relating to this protected characteristic.

#### 4. Please outline any needs and/or barriers which may affect vulnerable groups falling into poverty and disadvantage in relation to this policy.

Vulnerable groups may include the following:

- Unemployed
- Single parents and vulnerable families
- People on benefits
- Those involved in the criminal justice system
- People in the most deprived communities (bottom 20 SIMD areas)
- People who live in rural areas
- Pensioners
- Looked After Children
- Carers including young carers
- People misusing services
- Others e.g. veterans, students
- Single adult households
- People who have experienced the asylum system
- Those leaving the care setting including children and young people and those with illness
- Homeless people
- People with low literacy/ numeracy
- People with lower educational qualifications
- People in low paid work
- People with one or more protected characteristics

#### **What effect/difference will the policy have on people?**

People who elect to apply for Community Alarms and Telecare or who are referred to the service could be from any of the vulnerable groups listed.

It is noted that people will be required to pay an additional 9p per week for the service and although there is no initial financial assessment process attached to the provision of the Telecare service systems are in place in line with the Council's anti-poverty strategy to assist people who are unable to pay the charge. This includes referral to the advice shop for a personal income check.

**How do you know that?**

The process to support people with payment of the Telecare charge has been in place since the charge was introduced.

**5. Action Plan**

What action/s will be taken, by whom and what is the timescale for completion?

**Actioner Name:** Jo Macpherson

**Action Date:** June 2021

**What is the issue?**

The impact of the increase will be carefully monitored through analysis of any unpaid invoices or requests for cancellation of the service, noting that alternative options to Telecare are now readily available for families and carers and a shift to other systems like Amazon Alexa is already being experienced.

In cases of non-payment, the Telecare service would only be removed after a full risk assessment. The Chief Social Work Officer has the delegated authority to waive the charge in the event of non-payment where the risk of removing the system is considered to be too high.

**What action will be taken?**

Monitoring of requests for cancellation and non-payment of invoices.

**Progress against action**

TBC from 1 April 2021.

**6. Details of consultation and involvement**

Who will be or has been involved in the consultation process?

- a) State which groups are involved in this process and describe their involvement.
- b) Describe any planned involvement saying when this will take place and who is responsible for managing the involvement process.
- c) Describe the results of the involvement and how you have taken this into account.

The service charge in place across other local authorities has been reviewed and the proposed increase will mean that the West Lothian Charge remains one of the lowest in Scotland. West Lothian Currently has the 10<sup>th</sup> lowest charge in Scotland and this will remain the case even after the application of the proposed increase.

**7. Data and Information**

What equality data, poverty data, research, information or other evidence has been used to inform this assessment?

- a) What information or other evidence has been used in the development of the policy?
- b) What does research, consultation and other data or information tell you about the impact of the policy? (describe the information and conclusions, and state where the information can be found)
  - i. Quantitative (numbers, percentages, statistical analysis)
  - ii. Qualitative (written/spoken words, opinions, surveys)
- c) Describe any gaps in the available information, and record within section five (Action Plan), action you are taking in relation to this (e.g. new research, further analysis) and when this is planned.
- d) Give details of any existing local or national evidence which has been used to inform the development of your policy.

The service charge in place across other local authorities has been reviewed and the proposed inflationary increase will mean that the West Lothian Charge remains one of the lowest in Scotland. West Lothian Currently has the 10<sup>th</sup> lowest charge in Scotland and this will remain the case even after the application of the proposed increase.

The 2019 Scottish average Community Alarm and Telecare charge is £3.46 per week hence the service will remain significantly below the Scottish average. The total cost to the council of providing this service, including purchase of equipment and the cost of the Careline service equates to a cost to the council of £7.60 per week per user, hence the proposed charges will continue to represent a subsidised service to all users.

## 8. Mitigating Actions

If the policy has a negative/adverse impact on a particular group/s, but is still to be implemented, please provide justification for this.

Note: If the policy is unlawfully discriminatory under the Equality Act 2010 and/or is having a negative impact on poverty and socioeconomic disadvantage under the Fairer Scotland Duty, you MUST identify, how the policy can be amended or justified so the Council acts lawfully.

- a) How could you modify the policy to eliminate discrimination or to reduce any identified negative impacts? If necessary, consider other ways in which you could meet the aims and objectives.
- b) How could you modify the policy to create or maximise the positive aspects of the proposals and to increase equality and reduce poverty and socioeconomic disadvantage.
- c) Describe any modifications which you can make without further delay (for example, easy, few resource implications).
- d) If you propose to make any of the modifications shown above, describe any potential new negative impacts on other groups in society or on the ability to achieve the aims and how you will minimise these.
- e) Please describe the resource implications of any proposed modifications taking into account financial, people and property issues.

Refer to action plan. The increase charge will be monitored on implementation and established processes will be used to risk assess any request for removal of equipment as a result of the increase in the charge.

## 9. Monitoring and Review

- a) How will the implementation and impact of the policy be monitored, including implementation of any amendments? For example, what type of monitoring will there be? How frequent?
- b) What are the practical arrangements for monitoring? For example, who will put this in place? When will it start?
- c) How will results of monitoring be used to develop future policies?
- d) When is the policy due to be reviewed?
- e) Who is responsible for ensuring this happens? Please detail below

Refer to action plan. The increase charge will be monitored on implementation.

## 10. Recommendation and Reasoning

✓ Implement proposal taking account of mitigating actions (as outlined above)

### Reason for Recommendation

Implement proposal with no amendments.

<b>Signed by Lead Officer</b>	Jo MacPherson
<b>Designation</b>	Head of Social Policy
<b>Date</b>	15 December 2019
<b>Counter Signature</b> (Head of Service or Depute Chief Executive responsible for the policy)	
<b>Date</b>	



**PARTNERSHIP AND RESOURCES POLICY DEVELOPMENT AND SCRUTINY PANEL**

**RISK MANAGEMENT POLICY**

**REPORT BY HEAD OF FINANCE AND PROPERTY SERVICES**

**A. PURPOSE OF REPORT**

To present the revised Risk Management Policy to the Partnership and Resources Policy Development and Scrutiny Panel for consideration.

**B. RECOMMENDATION**

It is recommended that the Panel notes the following recommendation which is intended to be submitted to Council Executive for approval: that Council Executive approves the Risk Management Policy.

**C. SUMMARY OF IMPLICATIONS**

<b>I Council Values</b>	Being honest, open and accountable, making best use of our resources.
<b>II Policy and Legal (including Strategic Environmental Assessment, Equality Issues, Health or Risk Assessment)</b>	The Risk Management Strategy 2018-23 requires the Risk Management Policy to be reviewed during its lifetime.
<b>III Implications for Scheme of Delegations to Officers</b>	None. The risk management policy is consistent with the current Scheme of Delegations.
<b>IV Impact on performance and performance Indicators</b>	Failure to effectively mitigate risks may have an adverse impact on performance.
<b>V Relevance to Single Outcome Agreement</b>	Our public services are high quality, continually improving, efficient and responsive to local people's needs.
<b>VI Resources - (Financial, Staffing and Property)</b>	None.
<b>VII Consideration at PDSP</b>	Both the Panel and the Governance and Risk Committee are being consulted prior to approval of the Policy by Council Executive.
<b>VIII Other consultations</b>	Governance and Risk Board.

#### **D. TERMS OF REPORT**

The council's Risk Management Strategy 2018-23 requires that the council's Risk Management Policy be reviewed. This has been done, and the revised Policy is appended to this report. The Policy was last reviewed and updated in November 2015.

The council's policy on risk has not changed, which is to mitigate threats to the achievement of its objectives by implementing robust risk management strategies, procedures and guidance, which enable managers and staff to effectively identify, assess, and mitigate risk.

The appendix to the Policy sets out elected member and officer responsibilities in relation to risk management. The revised Policy now makes reference to the role of the Governance and Risk Committee, which was formed after the May 2017 council election. It is intended to consult with the Governance and Risk Committee prior to approval by Council Executive.

#### **E. CONCLUSION**

The Risk Management Policy provides a sound basis for the effective management of risks to the achievement of the council's objectives.

#### **F. BACKGROUND REFERENCES**

Report to the Council Executive 12 June 2018: Risk Management Strategy 2018/19 to 2022/23

Appendices/Attachments: Risk Management Policy

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**Donald Forrest**  
**Head of Finance and Property Services**

Date of meeting: 7 February 2020



# **WEST LOTHIAN COUNCIL RISK MANAGEMENT POLICY**

7 February 2020

## **RISK MANAGEMENT POLICY**

- 1.1 Risk can be defined as the effect of uncertainty on an organisation's objectives. Risk can be considered to be either positive, in relation to opportunities, or negative, in relation to threats.
- 1.2 West Lothian Council recognises that effective risk management is a key component of the council's governance processes. The council's risk management processes focus on those threats or unexpected events that may affect the council's ability to achieve its corporate objectives. The council's policy is to mitigate threats to the achievement of its objectives by implementing robust risk management strategies, procedures and guidance, which enable managers and staff to effectively identify, assess, and mitigate risk.
- 1.3 Risk management is embedded within the council's management processes. Managers are required to continuously review risks and to manage them in a systematic and structured manner in accordance with corporate guidance.
- 1.4 The council maintains a corporate risk register which documents and describes council wide risks and service risks, describes controls and risk actions designed to reduce risks to an acceptable level, and identifies the officers responsible for managing risks.
- 1.5 Risks are assessed using a combination of the likelihood of an event and the impact should it occur. In consultation with senior managers, the Audit Risk and Counter Fraud Manager identifies risks requiring consideration at a higher management level. These may be high risks, or risks that have the potential for a high impact should they occur, or risks that have organisation-wide implications. These risks are brought to the attention of the Governance and Risk Board and Executive Management Team.
- 1.6 In all circumstances the council will seek to manage risk down to what it assesses as an acceptable level. In relation to the management of residual risk, the Head of Finance and Property Services is responsible for ensuring that adequate insurance arrangements are in place.
- 1.7 The council's Governance and Risk Committee is responsible for reviewing and scrutinising the council's risk management arrangements, and plays an important role in ensuring that effective risk management arrangements are in place.



## **APPENDIX**

### **RESPONSIBILITIES IN RELATION TO RISK MANAGEMENT**

#### Council Executive

- approving the risk management policy and risk management strategy.

#### Partnership and Resources Policy Development and Scrutiny Panel

- reviewing and scrutinising the risk management policy and risk management strategy, prior to presentation to Council Executive.

#### Governance and Risk Committee

- approving the annual risk management plan;
- reviewing and scrutinising the council's risk management arrangements;
- considering reports which identify issues in relation to risk management, scrutinising action plans, and ensuring that such action plans are implemented by management;
- considering the external auditor's annual report in relation matters to relevant to risk management;
- considering the Audit, Risk and Counter Fraud Manager's annual risk management report;
- reviewing progress in relation to the approved risk management strategy.

#### Audit Committee

- approving the annual risk based internal audit plan;
- receiving reports from internal audit on the audit of key risks;
- considering recommendations for improvement in control and management action to implement them;
- considering the Audit, Risk and Counter Fraud Manager's annual internal audit report.

#### Executive Management Team

- reviewing the council's high and strategic risks.

#### Corporate Management Team

- approving the corporate business continuity plan.

#### Depute Chief Executive, Corporate, Operational and Housing Services

- chairing the Governance and Risk Board.

#### Governance and Risk Board

- reviewing the annual risk management plan and monitoring progress;
- reviewing the council's high and strategic risks;
- identifying, considering and reviewing areas of risk as considered appropriate;
- reviewing the council's insurance arrangements;

- reviewing the council's corporate business continuity plan and approving activities for business continuity planning purposes;
- reviewing the arrangements for maintaining effective service business continuity plans;
- considering the Audit, Risk and Counter Fraud Manager's annual internal audit report and risk management report.

#### Head of Finance and Property Services

- ensuring that effective corporate risk management arrangements are in place;
- ensuring that professional advice on insurance, risk management and business continuity planning is available to the council and its officers;
- ensuring that appropriate insurance for council is in place; and that the insurance fund meets the cost of buying insurance and paying for self-insured losses.

#### Heads of Service

- ensuring that significant risks to service objectives are identified and recorded in the corporate risk register;
- ensuring that such risks are effectively managed;
- ensuring that effective service business continuity plans are in place to support the delivery of critical services within their remit.

#### Audit, Risk and Counter Fraud Manager

- preparing corporate procedures on risk management and business continuity planning;
- providing advice and support to managers on risk management and business continuity planning;
- preparing and maintaining, in consultation with managers, the corporate business continuity plan;
- chairing the Risk Management Working Group.

#### Corporate Finance Manager

- maintaining the council's insurance fund and insurance arrangements.

#### Service Managers

- effectively managing risks within their area of responsibility;
- updating risks and risk actions in the corporate risk register, as required and in accordance with corporate procedures.

#### Risk Management Working Group

- acting as a forum for the dissemination of advice and information to services, and for the discussion of risk management and business continuity planning issues;
- proactively raising issues in relation to any aspects of the council's risk management processes.

**PARTNERSHIP AND RESOURCES POLICY DEVELOPMENT AND SCRUTINY PANEL  
WORKPLAN TO 3 APRIL 2020**

	<b>Agenda Item</b>	<b>Lead Officer</b>	<b>P&amp;R PDSP Date / Month</b>
1.	Code of Conduct Annual Report	Chief Executive	Annually December 2020
2.	Lothian Valuation Joint Board Annual Report	Chief Executive	Annually 3 April 2020
3.	West Lothian Development Trust Annual Report	Head of Planning, Economic Development & Regeneration	Annually 3 April 2020
4.	Annual Complaints Report	Depute Chief Executive, Corporate, Operational and Housing Services	Annually August 2020
5.	Social Security, Benefits and Welfare Reform update	Head of Finance and Property Services	Bi-annually 5 June 2020 December 2020
6.	Quarterly Performance Report	Depute Chief Executive, Corporate, Operational and Housing Services	Quarterly 5 June 2020 August 2020 December 2020 February 2021
7.	Horizon Scan Report	Head of Finance and Property Services	Quarterly 5 June 2020 August 2020 December 2020 February 2021
8.	Quarterly Sickness Absence Update	Head of Corporate Services	Quarterly 5 June 2020 August 2020 December 2020 February 2021
9.	Review of Decision Making Arrangements	Chief Executive	3 April 2020
10.	Draft funding conditions for the award of capital grants to community groups	Head of Finance and Property Services	3 April 2020
11.	Review of the Community Council Scheme	Head of Corporate Services	5 June 2020

**DATA LABEL: PUBLIC**

	<b>Agenda Item</b>	<b>Lead Officer</b>	<b>P&amp;R PDSP Date / Month</b>
12.	Review of the Community Council Scheme	Head of Corporate Services	September / October 2020
13.	Review of the Community Council Scheme	Head of Corporate Services	January / February 2021
14.	Lothian Valuation Joint Board minutes	Chief Executive	As available

Graham Hope  
Chief Executive

**DATA LABEL: PUBLIC**