

# Governance, Risk and Best Value Committee

10.00am, Tuesday, 28 August 2018

## Planning and Building Standards Improvement Plans - referral from the Planning Committee

Item number 7.12

Report number

Executive/routine

Wards

Council Commitments

### Executive Summary

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On the 22 August 2018 the Planning Committee considered a report on the progress made on the Planning and Building Standards Improvement Plans. The report has been referred to the Governance, Risk and Best Value Committee for its information.

# Terms of Referral

## Planning and Building Standards Improvement Plans – referral from the Planning Committee

### Terms of Referral

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- 1.1 At its meeting on the 30 May 2018 the Planning Committee considered a report by the Executive Director of Place on Planning and Building Standards Service Improvement Plans for 2018/19 and the Review of Customer Service Charter. Action Plans had been prepared for both Planning and Building Standards Improvement and the Customer Service Charter was updated.
- 1.2 The Planning Committee approved the Planning Services Improvement Action Plan and the changes to the Charter. The Committee also noted the Building Standards Improvement Plan and that a further report would be prepared on broader three year improvement plans for Planning and Building Standards.
- 1.3 The Scottish Government required, as a condition of the Council's appointment as Local Authority Verifier of Building Standards in the City of Edinburgh Council's area, that the Council prepared an improvement plan and submitted it to Government. This was done on 31 May 2018 with the submission of the Building Standards Improvement Plan 2018-2021.
- 1.4 The improvement objectives set out in the Plan were structured around improvement themes established by the Scottish Government. The topics covered were strategy, governance and oversight, risk, customer and compliance that were reported the Planning Committee in May 2018.
- 1.5 The Planning Committee agreed:
  - 1.5.1 To note the Building Standards Service Improvement Plan 2018/21.
  - 1.5.2 To note that a further report would be brought to Committee on the Planning Improvement Plan.
  - 1.5.3 To refer the report to the Governance, Risk and Best Value Committee for information.

## For Decision/Action

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2.1 The Governance, Risk and Best Value Committee is asked to consider the report.

## Background reading/external references

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Planning Committee, 22 August 2018

### Laurence Rockey

Head of Strategy and Insight

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## Appendices

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Appendix 1 – Planning and Building Standards Improvement Plans – report by the Executive Director of Place

2.00pm, Wednesday, 22 August 2018

## Planning and Building Standards Improvement Plans

Item number	
Report number	
Executive/routine	
Wards	All
Council Commitments	<a href="#">1</a> , <a href="#">4</a> , <a href="#">10-15</a>

### Executive Summary

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The purpose of this report is to present the progress made on the Planning and Building Standards Improvement Plans.

## Planning and Building Standards Improvement Plans

### 1. Recommendations

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- 1.1 It is recommended that the Committee:
  - 1.1.1 Notes the Building Standards Service Improvement Plan 2018/21;
  - 1.1.2 Notes that a further report will be reported to Committee on the Planning Improvement Plan;
  - 1.1.3 Refers this report to the Governance Risk and Best Value Committee for information.

### 2. Background

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- 2.1 At its meeting on 30 May 2018 Committee considered a report by the Executive Director of Place on Planning and Building Standards Service Improvement Action Plans for 2018/19 and Review of Customer Service Charter. Action plans had been prepared for both Planning and Building Standards Improvement and the Customer Service Charter updated. That report provides a context for the changes being made in Planning and Building Standards.
- 2.2 Committee approved the Planning Service Improvement Action Plan and the changes to the Charter. It also noted the Building Standards Improvement Action Plan and that a further report would be prepared on broader three year improvement plans for both Planning and Building Standards.
- 2.3 The Scottish Government required, as a condition of the Council's appointment as Local Authority Verifier of Building Standards in this Council's area, that the Council prepare an improvement plan and submit it to Government. This was done on 31 May 18 with the submission of the Building Standards Improvement Plan 2018-2021 (Appendix One). This Plan builds on the Building Standards Service Improvement Action Plan that was presented to Committee on 29 May 18.
- 2.4 The improvement objectives set out in it are structured around improvement themes established by the Scottish Government. It covers the topics of strategy, governance and oversight, risk, customer and compliance that were reported to Planning Committee in May.
- 2.5 Quarterly updates are being provided to Scottish Government on progress with the plan. These updates provide a commentary on the quarterly submission to Scottish

Government on statistics on performance. The July report is contained in Appendix Two.

- 2.6 Building Standards has been subject to an internal audit. This was reported to the Governance, Risk and Best Value Committee on 8 May 2018. That Committee noted that a copy of the audit report would be shared with Scottish Government. This was done in May. It asked that an internal briefing be held with the Improvement Team to updated members on the current position. That is being arranged for September. The Committee asked that training on Building Standards be provided for members of the Planning Committee. That training was held on 21 June 2018. It also asked that a reporting framework to Planning Committee be set up. It has been agreed by Planning Committee that reports or business bulletins to update it on progress will be provided to each of it at each of its meetings, throughout the year. The GRBV Committee also noted a further update would be provided to it in August. It is recommended this report is referred to the GRBV Committee to fulfil that requirement and to ensure that both Committees have sight of the same information.
- 2.7 Work is underway on an equivalent Planning Improvement Plan for 2018-2021 and this will be presented to Committee at a future meeting.
- 2.8 In advance of work being completed on the Planning Improvement Plan, the actions set out in the report to Committee of 29 May are being progressed.

### 3. Main report

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#### **Building Standards**

- 3.1 The Building Standards Improvement Plan was submitted to Scottish Government on 31 May 18. In preparing it, the service worked closely with both the Building Standards Improvement Team and Scottish Government to ensure that it reflected the areas for improvement that had been identified. Accordingly, the improvement objectives set out in the plan are structured around the following headings.
  - Leadership and Management
  - Culture of Continuous Improvement;
  - Performance; and
  - Customer
- 3.2 The Plan sets out an overarching vision for the service. It states that:

*Within the next three years, our aspiration is for the service to be one of the top performing Building Standards Verifiers in Scotland. We will Build on a reputation as a great organisation to do business with and to work for.*
- 3.3 This overarching vision, therefore sets out the ambition for performance of the service as well as how the service should be seen by customers and as a place to work.
- 3.4 Accompanying this vision are sections on:

- *Where we are now*, which sets out the current context for the service;
  - *Strategy for improvement*, which includes the one and three year vision;
  - *Improvement Approach*, which sets out the tools and techniques to be used as well as governance and oversight arrangements; and,
  - *Measures of Success*, which explains how success will be measured.
- 3.5 The objectives set out in the Strategy for Improvement section are split into objectives for this year (2018/19) and for the two following years. Detail is provided on the objectives for this year and it is anticipated that as these are delivered, objectives for the following two years will be developed further.
- 3.6 The Improvement Approach section shows out how continuous improvement will be achieved through a cyclical process, of planning, doing, checking and acting. It explains the governance arrangements including those for the Building Standards Improvement Plan Board and how the project will be reported.
- 3.7 The Building Standards Improvement Plan 2018-19 Update on Progress – July 18 report is included in Appendix Two. This shows progress made so far on the improvement plan. Generally, actions have either been delivered or are on target to be delivered within the timescales set in the action plan.
- 3.8 The activates completed or underway include:
- A people plan put place focussing on recruitment, managing attendance, performance and team manager’s development;
  - The appointment of a programme manager to ensure the delivery of the improvement plan;
  - New ways of working for site inspection and plan reporting during the summer period. These changes are designed to reduce the backlog that has built up for some surveyors. Lessons learned will be used to inform permanent changes to the way that applications and site inspections are progressed;
  - Investment in a new IT system which is being developed at present and will be delivered for December 2018; and
  - Continued engagement with Customer.

### **Planning**

- 3.9 The Planning Service Improvement Plan is being developed at present. It will reflect the approach taken with the Building Standards Improvement Plan, through structuring objectives thematically over a three year period and will set out governance arrangements. As set out in the Training and Awareness Raising Programme report to this Committee, a workshop will be held on Improvements to Planning Practice. This will enable members to input into the Planning Service Improvement Plan before it is finalised.
- 3.10 This Plan will be reported to Committee on 12 December 18.

- 3.11 In advance of work being completed on the Planning Improvement Plan, the actions set out in the report to Committee of 29 May are being progressed.

#### **4. Measures of success**

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- 4.1 A Planning and Building Standards Service which embeds a culture of continuous improvement and makes service improvements to allow best value to be realised and high standards of customer care.

#### **5. Financial impact**

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- 5.1 The costs associated with implementing most of the proposed improvements will be met from the Planning and Building Standards Service budget for 2018/19.
- 5.2 Once the costs are clarified and the implications for service areas are known, these will be picked up within the regular budget monitoring activities for Place.

#### **6. Risk, policy, compliance and governance impact**

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- 6.1 There are no risks to the Council associated with this report. Service improvements that lead to increased performance will reduce the risk of the Council being placed in remedial measures by the Scottish Government.

#### **7. Equalities impact**

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- 7.1 The Service Improvement Actions Plans and Customer Service Charter will benefit all customers of the Planning and Building Standards Service and improve the wellbeing of staff. However, they will not have a significant impact on equality, the economy or the environment and therefore an Integrated Impact Assessment has not been carried out.

#### **8. Sustainability impact**

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- 8.1 The impacts of this report in relation to the three elements of the Climate Change (Scotland) Act 2009 Public Bodies Duties have been considered, and the outcomes are as follows:
- 8.1.1 The proposals in this report will reduce carbon emissions because an efficient digital Planning and Building Standards service will reduce the need to travel and use paper;
  - 8.1.2 The need to build resilience to climate change impacts is not relevant to the proposals in this report because they focus on improving performance and customer service; and
  - 8.1.3 The proposals in this report will help achieve a sustainable Edinburgh because they will improve the well-being of staff, enhance



## 9. Consultation and engagement

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- 9.1 The Service Improvement Action Plans already include actions recommended by the Customer Forum in June 2017. A further meeting of the Forum was held in June this year. This supported the need for further improvements in the Planning and Building Standards Service.

## 10. Background reading/external references

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- 10.1 [Planning and Building Standards Service Improvement Action Plans for 2018/19 and Review of Customer Service Charter](#)

### **Paul Lawrence**

Executive Director of Place

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## 11. Appendices

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- 11.1 Appendix 1 – The Building Standards Improvement Plan – 2018-21
- 11.2 Appendix 2 – The Building Standards Improvement Plan – Update on Progress July 2018



**Building Standards Improvement  
Plan  
2018-2021**

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## Version Control Information

Version	Date approved	Comments	Date for next review
V1.0	7 May 18	Draft document created	
V2.0	31 May 18	Document finalised and issued to BSD	31 July 18

# 1 Introduction

## **Vision**

Within the next three years, our aspiration is for the service to be one of the top performing Building Standards verifiers in Scotland. We will build a reputation as a great organisation to do business with and to work for.

This Improvement Plan sets out how we will achieve our vision for the service over the next three years. It sets out where we are now, our strategy for getting there, improvement approach and measures of success:

## **Where we are now**

We set out our current state and the changes that we need to take into consideration in shaping our future service.



## **Strategy for improvement**

This section sets out our overall strategy for the next three years, including our one year and three year objectives. It shows how these relate to wider Council objectives and priorities. It includes our one-year action plan.



## **Improvement Approach**

This section sets out how we manage the process of continuous improvement including tools and techniques and governance arrangements.



## **Measures of Success**

This section explains how we will measure our success in relation to delivering our overall objectives.



## 2 Where we are now

The building standards system is based upon the application of the building regulations which set out minimum standards of design and construction. They protect the health, safety, welfare and convenience of people in and around buildings, and for the conservation of energy, and sustainable development.

### **City Growth**

The City is experiencing an unprecedented period of growth with significant current and planned development across strategic areas of growth in West Edinburgh, the City Centre, South East and Waterfront.

Edinburgh's population expected to grow by over 100,000 over the next 19 years (a projected 24% increase between 2015 and 2037). To support this growth in population, a wide range of new buildings will be needed, including new workplaces, education buildings for schools, nurseries and universities, a range of leisure and commercial buildings as well as large numbers of new housing. In relation to housing, the Council is committed to a programme which will deliver least 10,000 social and affordable homes over the next 5 years, with a plan to build 20,000 by 2027. It is essential that the building standards service can support this growth.

### **Scottish Government Audit**

As a result of Ministerial concern about the performance of the service, the Scottish Government's Building Standards Division (BSD) visited the service in February 2017. It made recommendations which resulted in a one year appointment as local authority verifier of building warrants in this council's area from May 2017 to April 2018. Part of this recommendation was the development on an improvement plan.

In November 2017, the BSD carried out an audit of the service which examined progress made on the improvement plan since the last visit. This results of the audit were finalised and reported to the Council in March 2018. The audit found that insufficient progress had been made on service improvements. The report made a series of recommendations which included:

- To review and implement processes to meet the Scottish Government's Operating Framework requirements and to mitigate fraud risk;
- To review and implement processes to meet legislative requirements;
- To continue to implement processes to meet requirements in relation to performance;
- To identify and programme actions to improve customer satisfaction results;
- To identify and programme actions for service improvements ;
- To identify and programme a review of procedural documentation and put version control in place; and,
- To review strategies for business planning and resourcing.

### **Appointment as Local Authority Verifier**

Following this, in April 2018 The Minister for Local Government and Housing appointed the Council as Building Standards Verifier for the geographical area of the Council for a period of one year (up to 30 April 2019). This appointment was

conditional on the Council setting out how it will address the audit report and providing quarterly reports on actions, outcomes and performance. This improvement plan is a key component of this quarterly reporting. In addition, the Council, in conjunction with Scottish Government has appointed an improvement team to assist with the delivery of this improvement plan.

### **Internal Audit**

In the run up to the Scottish Government's November 2017 Audit, the Council's independent Internal Audit Team were appointed to conduct an audit on the service. They made similar findings to the Scottish Government. Internal Audit's reported these to the Council's Governance, Risk and Best Value Committee in May 2018. The internal audit findings were consistent with those of the BSD.

### **Service not meeting our expectation or customer expectations**

Our service has not been meeting the expectations of our customers. Our analysis shows that there is a lot of concern about our performance and the time it takes us to progress building warrants and completion certificates. Our objective is to turn the service around so that it fully meets the expectations of our customers.

Our current performance is below the expectations of Scottish Government which sets key performance indicators of:

- 95% of first reports on building warrants shall be issued within 20 working days of an application being made and;
- 90% of warrants shall be granted within 10 days of receipt of satisfactory information.

For quarter 4 of 2017/18 our performance was 71% in relation to the 20 day target and 56% in relation to the 10 day target.

The national customer survey found that many people were not satisfied with the service. Our score was 5.6/10 for the question on overall satisfaction levels.

### **Employees**

Employees recognise that they are key to the delivery of the improvement plan. Their involvement in its implementation is essential to its success.

### 3 Strategy for Improvement

#### **Vision**

Within the next three years, our aspiration is for the service to be one of the top performing Building Standards verifiers in Scotland. We will build a reputation as a great organisation to do business with and to work for.

Our strategy for improvement is based upon the four themes identified by the Scottish Government as areas for improvement. These are: leadership and management; strategic planning and continuous improvement; response times for building warrants; and, customer experience.

Our ambition is for the service to be fully able to support City growth by delivering a high performing service which fully meets the needs of all our customers.

We will improve our performance significantly in relation to both quality and timescale, reframe our relationship with our customers and ensure that employees are fully engaged and motivated in driving forward the changes needed.

Beyond the three year vision, our ambition is for the service to continue to improve so that our performance and reputation move to the top over a five year period.

This section sets out our one and three year objectives, Council business plan and commitments. The more detailed action plan which accompanies this is contained in Appendix One. It covers key actions this year and sets out our priorities and timescales for this year.

#### **The Council Business Plan**

The Council's Business Plan 2017 - 2022 sets out that it is committed to improving our services and our amenities in ways that meet the needs of our citizens and communities. This improvement plan has been designed to be aligned to the aims, outcomes and commitments of the Council's Business Plan.

The strategic aims of the left hand column in the table below are accompanied by 20 outcomes in on the right hand columns. An efficient building standards service will:

- assist economic growth;
- support the housing programme;
- help ensure our built environment is protected and enhanced;
- ensure value for money while meeting the needs of our citizens; and,
- deliver excellent customer service.

City Council	<b>A Vibrant City</b>	Citizens lead healthy and active lives with improved wellbeing	Every citizen and community can participate in the cultural life of our city	Our places and localities make Edinburgh a great and unique place to visit and study	Our economy thrives with excellent and equal opportunities for business, employment and innovation
	<b>A City of Opportunity</b>	Everyone, regardless of wealth and background can fulfil their potential and benefit from the city's success	All children and young people have the best start in life and are able to reach their full potential	Citizens are socially connected and able to participate and develop throughout their lifetime	Everyone has access to suitable housing, facilities and amenities
	<b>A Resilient City</b>	Communities are safe, strong and able to cope with change	Our built and natural environment is protected and enhanced	Edinburgh is a low carbon, connected city with transport and infrastructure that is fit for the future	Edinburgh is clean, attractive and well looked after
	<b>A Forward Looking Council</b>	We deliver value for money services through optimising our use of resources and building on the capabilities of our talented workforce	We provide services that are focused on prevention and early intervention	We plan our services to ensure we can continue to meet the needs of citizens and communities into the future	Our organisation is flexible and adaptable and embraces change
	<b>An Empowering Council</b>	A leading Council in community engagement and empowerment, giving citizens confidence to make decisions and act on issues	We place our customers at the heart of all that we do, we are responsive, accessible and fair to all	We work with our partners and communities to deliver services locally	We are an open, honest, inclusive and transparent organisation

### Council Commitments

The improvement plan will support the following [Council Commitments](#) which are relevant to Building Standards:

- 1 Deliver a programme to build at least 10,000 social and affordable homes over the next 5 years, with a plan to build 20,000 by 2027
- 4 Direct development to growth corridors as the best way to accommodate the extra housing needed for Edinburgh's growth and allowing the city to manage and protect green belt
- 10 Prioritise the use of brownfield sites and work with public sector and private landowners to develop and for affordable housing
- 28 Create a first-class education estate – building two new secondary schools and 10 new primaries by 2021. Ensure safe standards are met by rigorous inspections of new and existing school buildings
- 41 Review the application process and increase the budget for housing adaptations with a view to supporting more disabled tenants and owners to remain in their own homes. Help older and disabled homeowners to move to more suitable housing should they wish to do so.



## One and Three Year Strategic Objectives

We have divided our objectives into one and 3 year periods as follows:

Improvement Themes	By April 2019	By 2021
<p><b>Improve Leadership And Management:</b></p> <p><b>Leadership</b></p> <p><b>Management</b></p>	<p>We will value our employees as the people who know what works, what needs to be improved and who have the ability to suggest, implement and sustain improvements.</p> <p><b>We will prioritise our improvements for leadership to achieve the following this year:</b></p> <ul style="list-style-type: none"> <li>• A shared vision for Building Standards Services.</li> <li>• People Plan that enables and motivates managers and employees to meet the needs of Building Standards Services and the Council within the context of a growing city.</li> <li>• A Framework for Governance that includes approving resources to deliver improvements, and that is overseen by the Council’s Corporate Leadership Team and has the support of elected representatives</li> <li>• A Communication plan for informing and consulting with employees and key stakeholders every step of the way.</li> <li>• Embedding a leadership culture that supports management to deliver the service improvements</li> </ul> <p><b>We will prioritise our improvements in management to achieve the following this year:</b></p> <ul style="list-style-type: none"> <li>• Ensure all managers are clear about service priorities and are accountable for their delivery.</li> <li>• Embed agreed ways of working to ensure better consistency for our customers and employees and ensure that decisions are made efficiently and proportionate to the level of risk</li> <li>• Ensure management information is used to improve performance.</li> <li>• Ensure that employees are empowered to realise their maximum potential and that they are enabled to have the autonomy to do so.</li> <li>• Ensure vacant posts are filled and employees are recruited / resource put in place to deliver the improvement programme</li> </ul>	<p>We will continue to empower and invest in our employees to ensure they are fully engaged and involved in the process of continuous improvement. We will transform our service to put embed a culture of risk management that ensure the failures of the past are not repeated.</p>

Improvement Themes	By April 2019	By 2021
<p><b>Improve Strategic Planning and create a culture of continuous Improvement:</b></p>	<p>We will ensure full compliance with the Scottish Government's Operating Framework for Building Standards Verifiers which sets out how the Council must operate the service.</p> <p>We will prioritise our plans this year to achieve the following:</p> <ul style="list-style-type: none"> <li>• Provide a structured approach to project management and delivery of the Action Plan (Appendix 1).</li> <li>• Prepare business cases for the board for improvement projects that are specific, measurable, achievable, realistic and time bound.</li> <li>• A process for monitoring and reporting the effectiveness of this Improvement Plan and general performance, including the development of a "dashboard"</li> <li>• Form a cross service employee group that champions the continuous improvement model of planning, doing, checking and acting.</li> </ul>	<p>Have the business intelligence tools in place to ensure the evidence is available to ensure continued improvement is sustained and developed.</p>
<p><b>Improve response times to Building Warrant Applications:</b></p>	<p>Our aim is to improve turn-around times for the issuing of first reports on building warrant applications and improve the timescales for granting building warrants, meeting both national and Council targets for performance.</p> <p>We will prioritise our plans this year to:</p> <ul style="list-style-type: none"> <li>• Evaluate effectiveness of 'Virtual' team to improve performance.</li> <li>• Complete process review for site inspections</li> <li>• Evaluate effectiveness of the revised the Construction Compliance Notification Plan (CCNP) list to reduce the number of low risk site inspections currently undertaken.</li> <li>• Implement a new Quality Assurance Framework to meet BSD standards and further reduce variation in our processes and procedures</li> </ul>	<p>Fully and consistently meet national performance targets for the processing of building warrant applications.</p> <p>Help our customers to get more applications right first time.</p> <p>Reduce the number of paper applications.</p>

Improvement Themes	By April 2019	By 2021
<p><b>Improve Customer Engagement:</b></p>	<p>We aim to transform our reputation with our customers by delivering a step change of improvement in the relationship between the service and our customers.</p> <p>We will prioritise our plans this year to:</p> <ul style="list-style-type: none"> <li>• Set up an stakeholder panel to advise the board on the improvement plan and its implementation.</li> <li>• improve customer engagement</li> <li>• use complaints and feedback to inform service improvements.</li> <li>• Improve our website</li> </ul> <p>We will identify and work with key stakeholders, other council service areas and employees to develop a 3year Customer Strategy.</p>	<p>Aim to have CSE accreditation.</p> <p>Deliver a customer experience that matches other leading organisations.</p> <p>Continue to invest in technology that ensures the service meets the rising expectations of customers.</p>

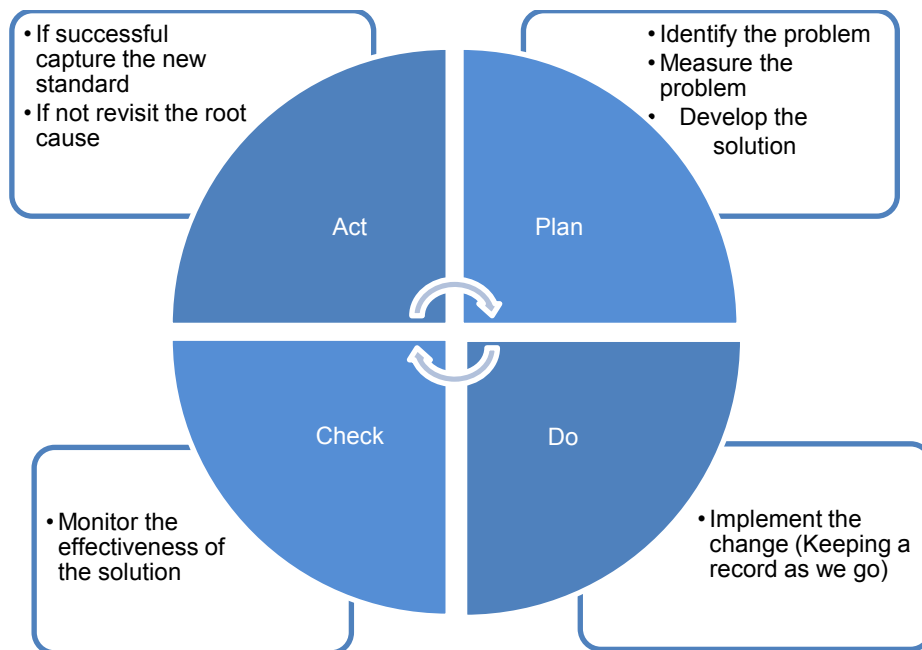
## 4 Improvement Approach

### Our Improvement Model

Our aim to deliver improvements that ensure the right service is delivered at the right place, at the right quality and in the right amount to meet our customer's needs.

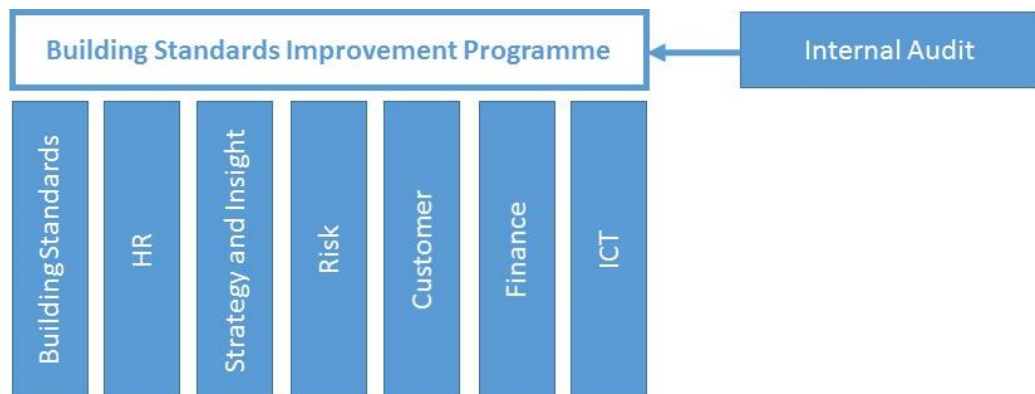
We will review and evaluate our business processes for efficiency, effectiveness and flexibility.

We will embed a culture that continuously strives to improve and follow a structured method for delivering continuous improvement. The diagram shows our improvement model.



### Dependencies

The measures set out in this improvement plan are significant and complex. Delivery is dependent upon the expertise and insight provided across the Council. Therefore staff from HR, Strategy and Insight, Risk and Governance, Customer, Finance and ICT will work along with the service to support and ensure the delivery of the programme. Independent advice will be provided by the Council's Internal Audit Team.



## Programme Management Tools and Techniques

Our approach to programme management uses a range of tools and techniques to ensure that our objectives for the service are delivered. This section explains these.

### The process of project delivery

For each project within the overall programme we will follow these steps:

Step	What	Outcome
<b>1 Request</b>	An area of improvement work is identified	Board agreement to proceed
<b>2 Scoping</b>	Clear goals and timeframe are established, the project team are identified and the required resources are arranged	In Scope Out of Scope defined Draft Goals agreed Project Team agreed Resourcing and deadline confirmed Board agreement to proceed
<b>3 Training</b>	Tools and Techniques workshop Coaching	Project team are familiarised with project principles, approach Roles and responsibilities defined
<b>4 Planning</b>	The project goal confirmed, approach, timetable and data requirements are agreed by the project team	Agreed goals/approach Stakeholder consultation Timetable of activity Data collection plan
<b>5 Re-design</b>	The project team meet regularly to identify opportunities, solutions, blockers and complete the required actions.	New Process mapped New Process approved Action Plan Communication Plan Employee Training
<b>6 Implement</b>	Tasks on the action plan are completed by the project team members	Follow action plans Gather data Monitor progress Provide regular updates
<b>7 Review</b>	The project team meet regularly to ensure tasks in the action plan have been completed, raise issues, contribute to problem solving	Barriers to success removed Data Analysed Benefits Captured

### Project Management

The process will be project managed within a disciplined framework that includes guidance and best practice based on Prince 2 and Lean and Agile to successfully implement this improvement plan.

### Problem Solving Techniques

We will use a wide range of techniques throughout the process to define, analyse and problem solve including:

**SIPOC** (Supplier/Inputs/High Process/Output/Customer)

We use the SIPOC template in the initial analysis and goal setting stage to capture and agree the high-level process, identify key stake holders and understand data requirements.

### **Process Mapping**

We use process mapping for planning and re-designing:

- To capture the current state and to understand who does what, where decisions are made and to identify waste.
- as a way of building a shared understanding of new processes
- to identify work that does not meet our customer's needs and are not necessary.

### **Root Cause Analysis**

Two of the methods we use identifying the real cause of a problem:

- 5 why's - asking 'why', getting an answer, asking why again, until the root cause is identified
- Kipling Checklist (5 Ws 1 H)– who? what? when? where? why? And how?

### **Solve problems and generate ideas**

Using these outputs we will hold problem solving workshops with the employee team to find solutions and unlock the blockers .

The project manager together with the SRO and programme manager will set up task groups to take forward the specific actions arising from the problem solving workshops.

## Governance and Resources

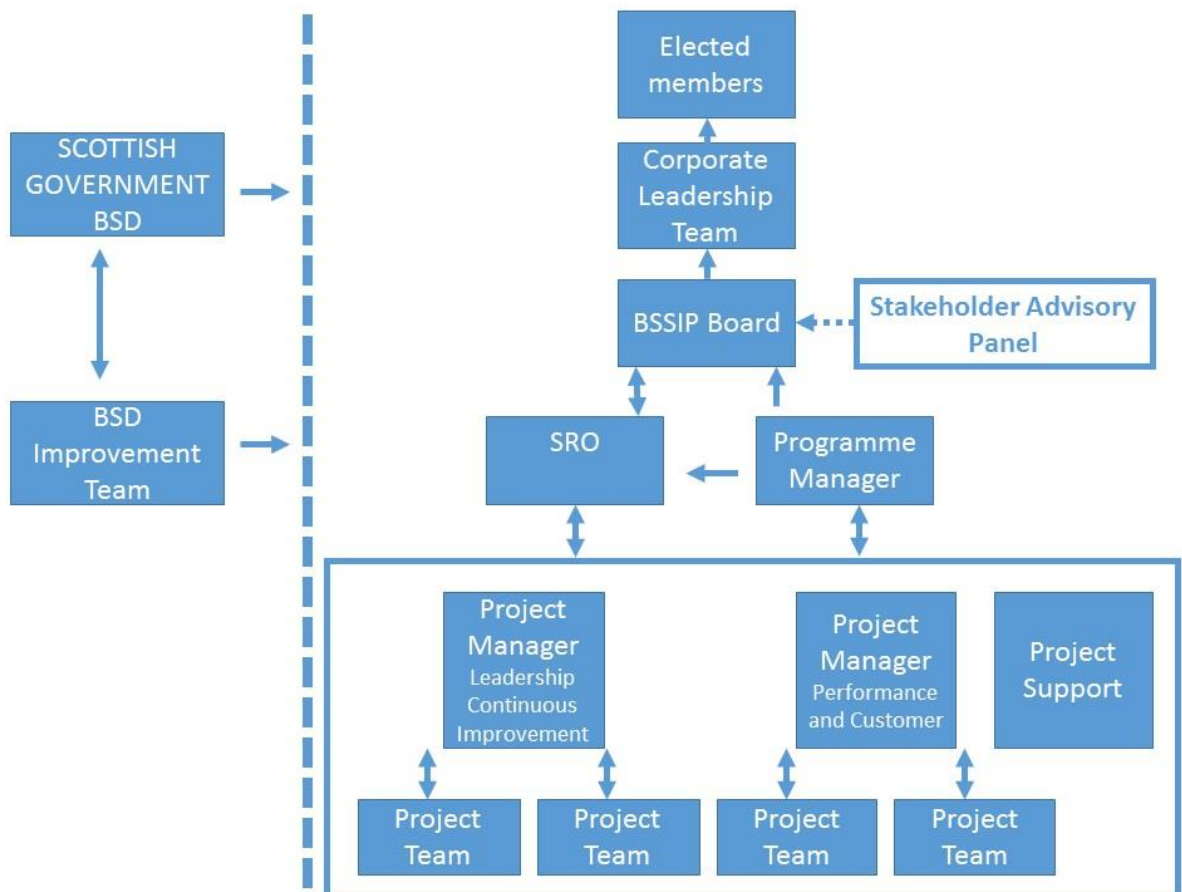
This section sets out how the Building Standards Improvement Plan for 2018/2021 will be managed and communicated to ensure accountability and transparency. It adopts a whole Council approach integrating the full range of services.

It outlines the roles and responsibilities of those involved and timescales for reporting and monitoring progress. It shows how the project will be communicated within the Council, to Scottish Government and to customers and the wider public.

We will review the governance arrangements to ensure that delivery objectives are met effectively, efficiently, and transparently. We will review the framework annually to reflect changes to our strategic priorities, operational alignment, legal obligations, and BSD best practice.

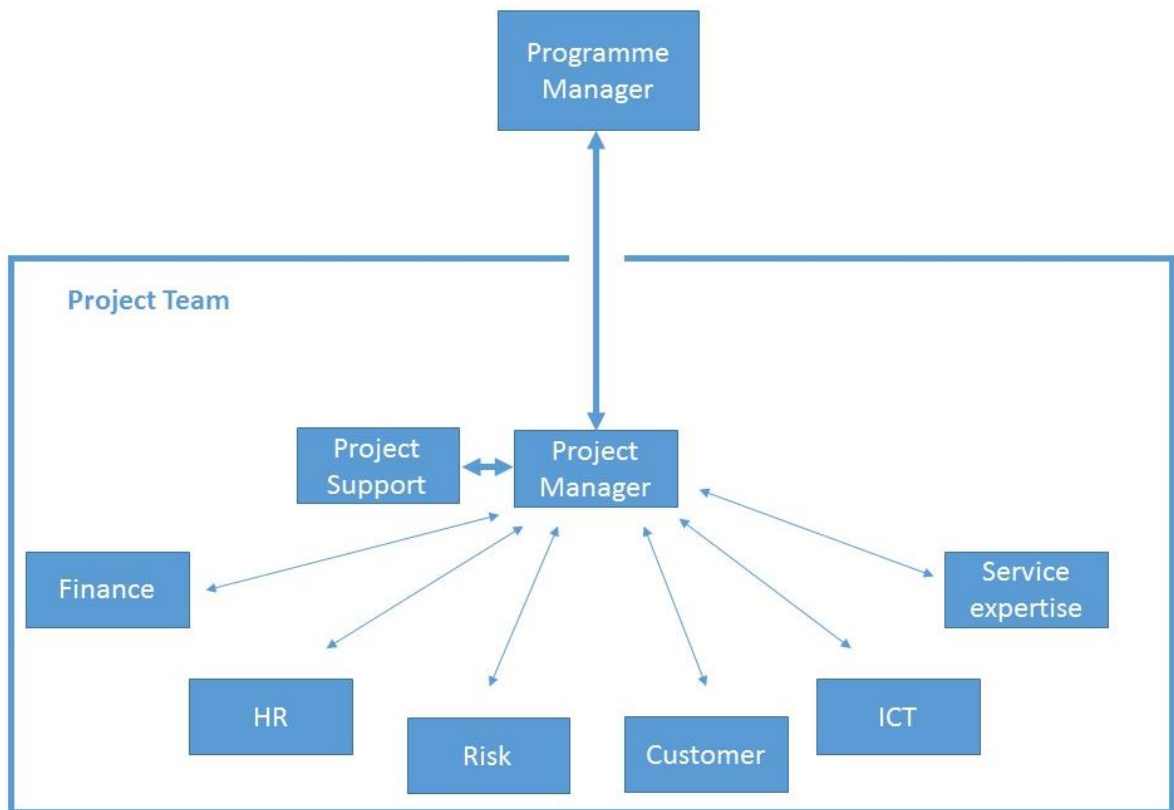
This framework has been designed to continually improve so that our stakeholders have confidence in our commitment to deliver the objectives outlined in Section 2 and the Building Standards Action Plan 2018/2019 presented in Section 8.

### Governance Structure



## Integrated Project Team Structure

Each project will require different skills, knowledge and experience which will be drawn from within the service and across the Council.



## Project Resources

The delivery of the improvement plan requires additional resources:

The Project Board has been formed and is chaired by the Head of Place Development. It includes Heads of Human Resources, Legal and Risk, Finance, Communications, Property and Facilities Management, Customer and ICT, and Internal Audit as well as a Programme Manager from Delivery and Change.

The Planning and Building Standards Service Managers have been restructured to create the Senior Responsible Officer post. This service manager will have responsibility for the programme and for the operation of the Building Standards service.

A programme manager has been appointed from outwith the Building Standards service and is working full time on the delivery of the Improvement Plan.

Two dedicated project managers will be appointed by end June 2018 from within the service to ensure that actions are delivered. These will be supported by project support.

Posts will be backfilled with additional employees brought in to ensure sufficient resource is in place for the day to day delivery of the service. These posts will be retained for the duration of the programme delivery.



## Roles and responsibilities

Role	Responsibility
<p><b>Corporate Leadership Team</b></p> <ul style="list-style-type: none"> <li>• Chief Executive (Chair)</li> <li>• Executive Director of Place</li> <li>• Executive Director of Health and Social Care</li> <li>• Executive Director of Resources</li> <li>• Executive Director of Communities and Families</li> </ul>	<p>Monthly status reports are considered by the Chief Executive and the Executive Director of Place</p> <p>The corporate leadership team will consider reports of the Building Standards Improvement Board and make decisions upon these.</p> <p>It will monitor corporate risk in relation to Building Standards</p> <p>The Heads of Human Resources, Legal and Risk, Head of Finance, and Communications attend CLT on an advisory basis and are members of the Programme Board.</p>
<p><b>The Building Standards Services Improvement Board</b></p> <ul style="list-style-type: none"> <li>• Head of Place Development (Chair)</li> <li>• Head of Human Resources</li> <li>• Head of Legal and Risk</li> <li>• Head of Finance</li> <li>• Head of Communications</li> <li>• Head of Property &amp; Facilities Management</li> <li>• Head of Customer and ICT</li> <li>• Head of Internal Audit</li> <li>• Programme Manager – Delivery and Change</li> </ul>	<p>The Programme Board is directly accountable to the Corporate Leadership Team (chaired by the Chief Executive).</p> <p>The Programme Board remit is to oversee the activities and make decisions in order to:</p> <ul style="list-style-type: none"> <li>• make decisions that will apply across the Building Standards Service and identify what decisions are within local building standards responsibility</li> <li>• consider recommendations forwarded by the senior responsible officer</li> <li>• provide assurance to Scottish Government that the programme for improvement is on target to meet the agreed performance and operational frameworks</li> <li>• ensure the performance of the service is maintained and improved during the delivery of the improvement programme.</li> </ul> <p>To ensure independence, the Head of Internal Audit will provide advice but will not take part in board decisions.</p>

Role	Responsibility
<p><b>Senior Responsible Officer</b> The lead responsibility for this programme lies with the Building Standards Service Manager.</p>	<p><b>SRO will be responsible for:</b></p> <ul style="list-style-type: none"> <li>• ensuring that elected members are kept fully appraised of progress and to highlight any key areas of concern which may impact on the work/reputation of CEC.</li> <li>• ensuring all CEC stakeholders work proactively in partnership and with agreed objectives, participating fully in the change process and in future service development;</li> <li>• overseeing the work of the Programme and project managers providing advice, guidance and direction as required;</li> <li>• addressing queries/concerns of senior stakeholders such as Chairmen/Chief Executives/board members</li> </ul>

Role	Responsibility
<p>Programme Manager Directed by the Building Standards Service Manager, the Programme will be supported by a dedicated programme manager.</p>	<p>The programme manager will be responsible to the programme board and will:</p> <ul style="list-style-type: none"> <li>• develop, maintain and update the programme work-plan, ensuring timescales are adhered to influence, enable and facilitate the work of project level activities and work-streams;</li> <li>• provide direction and guidance to local project leads as they develop specific project plans, and address any queries/concerns/issues as appropriate; and,</li> <li>• ensure the programme Board, Improvement Team, as well as other stakeholders, are provided with all relevant information with regards to the progressing the projects and overall programme of improvement.</li> </ul>
<p><b>The Scottish Government Improvement Team</b></p>	<p>The Scottish Government improvement team is responsible for providing advice and guidance to the Programme Board, SRO, Programme Manager and individual project leads on a range of issues as appropriate during the development and implementation of the improvement plan.</p>
<p><b>Project Managers</b> Four Project Managers have been identified to lead on each improvement theme.</p>	<p>Project managers meet on a regular basis with the Programme manager. The purpose of these meetings is to:</p> <ul style="list-style-type: none"> <li>• determining and agreeing collective approaches, where appropriate, to the implementation of the changes required; ;</li> <li>• discuss progress to date – across all projects</li> <li>• highlight any key areas of concern / potential “showstoppers”;</li> <li>• share information and best practice;</li> <li>• promoting a culture of partnership working across CEC BS and the wider organisation;</li> <li>• provide assurance in conjunction with SRO to all stakeholders that the local operational requirements to enable the implementation of the required changes can take place are being addressed as per project plan timescales; and,</li> <li>• enable collective approaches/decisions to be agreed for priority issues and to ensure the project work plan consider the wider picture in relation to the overarching improvement plan.</li> </ul>

<b>Role</b>	<b>Responsibility</b>
<b>Stakeholder Advisory Panel</b> Includes customers who are significantly affected by the performance of the Building Standards Service.	This Panel will meet quarterly and advise the Board on the Building Standards Improvement Plan and its implementation, providing insight from a customer perspective.

### Planned Communication and Engagement

<b>WHO</b>	<b>Communicating/Engagement</b>	<b>Known Dates</b>
<b>Scottish Government</b>	Status reports	Monthly
<b>BSD Improvement Team</b>	Employee engagement	Ongoing
<b>BSS Improvement Programme Board</b>	Board Meetings	23/05/2018 19/06/2018 19/07/2018 08/08/2018 06/09/2018 03/10/2018 08/11/2018 19/12/2018 10/01/2019 07/02/2019 06/03/2019
<b>Planning Convener and Vice Convener</b>	Meetings	Monthly
<b>Corporate Leadership Team</b>	Status Reports	Monthly
<b>Employees</b>	Fortnightly Engagement Sessions Visual presentation of projects displayed in the office Team meetings Workshops	Ongoing
<b>Direct Customers</b>	Web Annual Customer Forum Customer journey map Stakeholder Panel	Ongoing June 2018 Series of regular meeting with Stakeholder Panel (quarterly) Additional meetings with customer focus groups.

## Managing our Risk

Risk is addressed at each level of the Council: within individual council services, at directorate level and at the corporate leadership team. As such Building Standards risks are addressed by the Planning and Building Standards Leadership Team, at bi-monthly meetings of the Place Development service managers and head of service, at the Place Senior Management Team meeting and at the Corporate Leadership Team.

The process is for risks to be identified, for impacts and likelihood to be scored and multiplied together to give risk level. Key controls

are highlighted as well as further actions which are designed to reduce risk. Each overall risk has an owner and each action has an owner.

The specific risk of the Council losing Building Standards verification appointment is reported to Place Senior Management Team and the Corporate Leadership Team.

The following table sets out key risks associated with the delivery of the improvement plan:

	<b>Risk</b>	<b>Level</b>	<b>Owner</b>	<b>Current controls</b>	<b>Additional controls</b>
1	Risk of losing appointment as local authority verifier of building warrant applications for this Council's geographic area - resulting in the closure of the service, possible redundancies, disruption to construction programmes, reputational damage.	Very High	DG	<ul style="list-style-type: none"> <li>Argyll and Bute supporting service (shared services).</li> <li>Use of overtime/agency staff/</li> <li>Process improvements ("Virtual" plan reporting team).</li> <li>KPIs monitored monthly by management team.</li> <li>Complaints monitored on a regular basis.</li> <li>Improvement Team appointed.</li> </ul>	The implementation and monitoring of this Building Standards Improvement Plan
2	Risk of new case and document management systems not being implemented	High	JDI	<ul style="list-style-type: none"> <li>Project board established which involves service, ICT and CGI representatives.</li> </ul>	Potential for extend temporary recruitment arrangements to ensure workarounds remain in place if systems upgrade is not delivered on time.

	<b>Risk</b>	<b>Level</b>	<b>Owner</b>	<b>Current controls</b>	<b>Additional controls</b>
3	High levels of stress within the team's due to lack of employee resources/ workload leading to employee absenteeism/ adverse effect on productivity/ service delivery	High	DG	<ul style="list-style-type: none"> <li>Place Health &amp; Safety Forums</li> <li>Health &amp; Safety policy (Council wide)</li> <li>Health &amp; Safety training</li> <li>Regular "Team Talks"</li> <li>Redeploying resources</li> <li>One to one support for team members</li> <li>Temporary agency employees</li> </ul>	Developing new ways of working will over the long term, assist in reducing stress levels ensuring better allocation of workload and consistency of working.
4	The potential for employees to leave the service either through retirement or to other job. This is a significant risk given the age profile of the employee group.	Medium	DG	<ul style="list-style-type: none"> <li>Additional employees being brought in are being developed with training sessions and "on the job" training.</li> <li>Knowledge of existing employees is being passed on via in work training.</li> </ul>	An action of the Improvement Plan is to develop a people plan. This will address issues of succession and job retention.
5	Loss of key controls due of changes being made to the service which arise as a result of the improvement programme.	Medium	DG	<ul style="list-style-type: none"> <li>Current controls are in place for monitoring performance.</li> </ul>	
6	Employees are not sufficiently supported during the change process, leading to the changes not being fully delivered.	High	CW / CN / RG / GW	<ul style="list-style-type: none"> <li>Staff briefings and emails to communicate change</li> </ul>	A structured communications plan is put in place to explain the changes being made. Employees are supported with workshops, training and evidence based approach to change.

## Supporting our employees

We need to develop a culture whereby our employees are empowered and enabled to be the best they can be.

This will be underpinned with a comprehensive **People Plan** delivering across three strategic themes:

### 1) **Building an agile and flexible workforce**

- We attract talented people with the right skills and mindset
- We are the right size and shape
- We are flexible in how we work
- Our organisational design and what we deliver is aligned to our strategic commitments
- We are a diverse workforce
- We are an organisation that people want to join and stay with

### 2) **Developing our People's skills and strengths**

- We have the capability we need for today and tomorrow
- Our learning positively impacts performance and culture
- We maximise the potential of all, not just the few
- Our managers are confident to lead
- Our people are equipped to face new challenges

### 3) **Creating a great environment for delivery**

- Our people are empowered and show leadership
- Partnership is the norm within the Council and the City
- Our people have a voice and are listened to
- We have a strong focus on wellbeing
- Our people are clear on what is expected of them and how they are performing
- Our people feel engaged and valued

The nature of this work seeks to address both the shorter term challenges and opportunities but recognises that what is also needed is transformational and reforming in its nature.

We will consult with our employees in developing further and embedding our People Plan.

In relation to actions that will sit within and result from the People Plan – these are as follows:

**Actions within and resulting from people plan**

<p><b>Building an agile and flexible workforce</b></p>	<ul style="list-style-type: none"> <li>• Team design - we will ensure that the team are the right size and profile to deliver our commitments</li> <li>• Recruitment - We will build a recruitment plan to maximise our ability to attract talented people with the right skills and mindset to deliver the best service for our customers</li> <li>• Succession Plans – we will ensure that a detailed succession plan is developed for the team (which is reflective in the team’s development plans)</li> </ul>
<p><b>Developing our people’s skills and strengths</b></p>	<ul style="list-style-type: none"> <li>• Performance management – we have an organisational wide performance management framework which we will ensure is embedded within the team – including 1:1 and team check in’s, Looking Forward Conversations and Looking Back Conversations</li> <li>• Development plans – we will ensure team members have a personal development plan which details their qualifications, professional membership and individual development goals</li> <li>• Team development – we will put in place quarterly sessions which will focus on team development – both the ‘what’ and the ‘how’ of delivery</li> <li>• Leadership roles – we will work with the leaders in the team to support them with their development ensuring they are equipped with the skills, knowledge and experience to meet our ambitions</li> </ul>
<p><b>Creating a great environment for delivery</b></p>	<ul style="list-style-type: none"> <li>• Vision and purpose – we will align individual and team delivery to meeting our vision for Building Standards Services.</li> <li>• We will use key insight to inform the ongoing cultural change needed (within the team but equally across the organisation) to ensure we have a team who are engaged and enables and we continue to develop a mindset of continuous improvement and</li> <li>• Looking Forward Conversations - all team members will have clear performance goals and measures agreed through Looking Forward Conversations</li> <li>• Looking Back Conversations – this will happen for all team members with agreement on a performance zone (the ‘what’ and the ‘how’ of delivery).</li> <li>• Reward - we will undertake a salary benchmarking exercise to ensure we are in line with market rates</li> <li>• Feedback and engagement – we will put in place quick and simple tools to enable real-time and regular feedback from team members, stakeholders and customers</li> <li>• We will explore ways to work more effectively with other Council services to challenge ways of working to seek improvements for our customers</li> </ul>



## Serving our Customer

We will develop a customer strategy that puts our customers at the heart of everything we do and identifies the improvement that will transform our reputation. Our relationship with customers has to improve significantly. This means having a meaningful dialogue where customer insight helps drive service improvements.

We will involve our customers and employees in working towards a recognised gold standard framework such as Customer Service Excellence.

Some of our immediate actions will include:

- Consulting with our employees to understand the relationship between the service and it's customers
- Undertaking customer engagement workshops to better understand our customer's needs and journey
- Aligning Customer and Employee engagement to ensure a balanced approach to the customer strategy
- Analysing recent complaints and customer feedback
- Putting in place a formal process to ensure lessons learned are shared and mistakes are not repeated.

Our plan will include a customer analysis exercise to segment and define our current and potential customer groups that will provide us with insight for:

- Creating and communicating targeted messages
- Understanding best communication channels
- getting it right first time.

## **5 Measures of Success**

This sets out the key measures of success that our performance in relation to this improvement plan will be assessed against.

### **Compliance with Scottish Government Requirements**

The requirements of the Scottish Government's Operating Framework must be met fully and consistently.

The requirements of the Scottish Government's Performance Framework must be met fully and consistently.

We will develop a KPO that allows us to monitor and set targets to reduce rework.

### **Long term appointment as verifier of Building Standards**

By delivering the objectives of this improvement plan we will ensure the maximum period of appointment possible.

### **Improved Customer Satisfaction**

Improve our scores in relation the national customer survey, so that by year three score for the question on overall levels of satisfaction with the service is 8/10. Rising as follows: 6/10 for 2018/19, 7/10 for 2019/20 and 8/10 for 2020/21.

### **Improve Employee Satisfaction**

To address this, an employee satisfaction survey will be developed and conducted. The results will be used to track the progress of the employee satisfaction over time.



**Building Standards Improvement Plan 2018-2021  
Update on Progress – 31 July 18**

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Front cover image: New hotel on Market Street, Edinburgh, under construction

### Version Control Information

Version	Date approved	Comments	Date for next review
V1.0	23 July 18	Draft document created	
V1.1	30 July 18	Draft issued for review	
V1.2	31 July 18	Final version	Mid October 18 for end October submission.
V.13	15 August 18	Colours of risk amended to Red and Amber to make clearer status for Planning Committee	Mid October 18 for end October submission.

# 1 Introduction

This is the first quarterly report on progress made on the Council's Building Standards Improvement Plan 2018-2021. It sets out the progress on actions and outcomes, and commentary on Performance Framework data returns.

The Building Standards Improvement Plan sets out objectives for this year (2018/19) and for the two years to 2021. These objectives are structured around the Improvement Plan's themes which are to:

- Improve Leadership and Management
- Improve Strategic Planning and create a culture of continuous Improvement
- Improve response times to Building Warrant Applications
- Improve Customer Engagement

A summary of activity that has taken place in relation to these themes is included in section 3 of this report.

To ensure that these objectives are delivered, an Action Plan has been put in place. This sets out the actions, who is responsible for them as well as timescales for delivery. The Action Plan is reported to the Council's Building Standards Improvement Plan Board each month. Section 4 of this report provides a detailed update on these actions and shows the progress that has been made.

The report also includes a commentary on progress on performance data returns. A review of the current risk plan will take place in August 2018.

This report will be followed by update reports for 31 October 18, 31 January 19 and 30 April 19.

## 2 Highlights – April to July 2018

Significant progress has been made on Improvements to the Building Standards Service since April. These include:

- The Building Standards Improvement Team began working with Council team April 2018 and has been providing insight and advice which is being acted upon. A coaching programme for team managers led by the improvement team members is being introduced.
- Building Standards Improvement Plan approved by Council and Scottish Government 1 June 18.
- Building Standards Improvement Plan Board established with senior managers responsible for HR, Communications, Finance, Legal and Risk, Customer and ICT and Programme Management. Monitoring and escalation of risks to Chief Executive and Executive Directors. Two full meetings of the Board have now been held on 19 June 18 and 19 July 18. Meetings are programmed monthly.
- Customer and stakeholder consultation meeting was held in June 2018.
- Action Plan to clear backlogs and improve processing performance agreed with Building Standards team in June 2018 and now implemented for a three month trial period. This project involved focus on plan-reporting for staff. The objective at the end of this is to establish improved methods of processing applications permanently.
- A site inspection team of surveyors has been put in place. This is using a risk based approach to assessment. It is freeing time for plan reporting and this is further helping to improve performance.
- Dedicated Building Standards Programme Manager has been appointed and will start with the Council on 1 August 18.
- The delivery of the upgrade of the case management and document management systems is underway and is on course for delivery by December 18. This is a major investment with associated software and hardware being upgraded.



### **3 Summary of Activity – April to July 18**

#### **Leadership and Management**

##### **People Plan**

A people plan has been drafted which is structured around the themes of Recruitment, Managing Attendance, Performance and Team Managers' Development

Five permanent assistant building standards surveyors have been recruited. Four started in July and one is due to start work for the service in August. Vacancies create a challenge of the service in part due to the specialised nature of the work. This means there is not an extensive pool of experienced candidates for new jobs. To overcome this, a recruitment campaign is being developed which uses social media to attract new staff to the service. Testimonials and photographs of staff at work will be used on Twitter, Facebook and other social media sites and links provided to a new micro-website. This is a new way of recruiting for the Council and it will help attract a greater pool of candidates as jobs emerge. The recruitment campaign will go live in August.

Managing attendance training has been provided to managers to help support them in ensuring that absence is managed.

Performance is a major focus for the service. Objectives have been more clearly set for managers and staff. One to ones and annual conversations will be structured around these objectives.

Team managers are being developed. The improvement team is providing mentoring and coaching. It has held a workshop in July and has a programme of weekly workshops with managers set out for August. Additional manager meetings have been put in place and support is being provided by the project support officer.

Existing employees are key to the success of the service. There is now a strong management focus on developing staff by providing opportunities. In addition to their surveying work staff are taking forward additional tasks such as developing the procedures and the quality assurance around these, preparing the communications plan and providing in service support to the IT upgrade that is underway.

##### **Building Standards Improvement Plan Board**

A Building Standards Improvement Plan Board has been put in place. Its purpose is to scrutinise the delivery of the service improvement plan, ensure resources are available and identify and remove obstacles to implementation of the plan and the operation of the service. It is made up of heads of service including those of Place Development, Human Resources, Legal and risk, Finance, Communications and Customer / ICT as well as a programme manager. The Board makes decisions on issues and risks arising as well as recommendations of the SRO.

#### **Strategic Planning and create a culture of continuous Improvement Governance arrangements**

To ensure the Building Standards Improvement Plan Board can work effectively, arrangements have been put in place for governance and reporting. These were agreed

at a meeting of the Chief Executive and the Scottish Government's Head of Building Standards in June 18.

### **Programme Manager Appointment**

Project Management has been provided in house with additional support from within the service. However it was recognised that project / programme management was an area of risk for the delivery of the improvement plan. Therefore, to augment the programme management approach within the service, a programme manager is in the process of being appointed and will start work on 1 August 18.

## **Improve response times to Building Warrant Applications**

### **Changing Processes**

Performance continues to be a major focus for the service.

Performance improved in the last two quarters of year 2017/18. This was largely a result of the new way of working for smaller applications where a team was put in place to progress these at plan reporting stage. It is known as the Virtual Team. It proved effective in dealing with around 60% of the Council's applications within target timescales. The remaining teams continued to be divided on an area basis with individual surveyors taking applications from receipt to completion on site. A review of the operations of the virtual team was carried out in June 18. It found that the team was very effective in progressing applications but was sensitive to being sufficiently resourced.

During spring 2018, new processes were developed in conjunction with staff across the service for reasonable inquiry / site inspection and construction compliance notification plans (CCNP).

The new approach to CCNP reduced the 32 different stages that a surveyor may request to see construction work, to a more streamlined system based on 6 application types. This makes it quicker to put the CCNP together, achieves greater consistency and ensures resources are better targeted to greater risk.

A site inspecting team of 4 surveyors was put in place on 16 July 18. This team is progressing completion certificates on all application types. Interim inspections are being carried out for a 3 month period taking a much more robust approach to risk. At the same time, the Virtual Team approach to plan reporting has been rolled out across the service. The efficiencies gained from these systems is allowing the backlog of applications that have built up for some surveyors to be reduced.

The effects of these new approaches are being assessed and at the end of the three month trial period the lessons learned will be used to inform permanent changes to the way that the service progresses applications and site inspections.



## **IT**

The Council has invested in a major upgrade of its computer systems with the commissioning of up-to-date versions of IT case management system (Uniform) and its document management system (Idox) as well as associated software systems and hardware. Work is well underway on this with user acceptance testing due to start in September. The project will be delivered by end December 18. To ensure this timescale, a project board has been established. This meets monthly to review progress and make decisions on issues and risks that have arisen.

## **Customer Engagement**

### **Customer**

Customer engagement has continued in 2018. In April the service provided training to the Edinburgh Chartered Architects Network on validation processes for Building Standards and Planning. In May, a focus group was organised for the Building Standards Improvement Team to enable discussion with customers on issues faced by them. In June, a Planning and Building Standards Customer Engagement event was held. Insight from this is being analysed at present. Themes of communications and response times to building warrants continue to be important to our customers however.

A customer strategy is being put in place with a project manager appointed and developing initial work on the strategy. The project initiation document for this will be reported to the Board in early September. This will provide strategic direction to the individual projects of the communications plan, the redevelopment of the website and the improvements to the work of the Council's Contact Centre.

## 4 Progress on actions

The following table details the progress made on actions:

Objective	Action	Owner	Timescale	Status	Progress made
<b>Leadership and Management</b>					
We will prioritise our improvements for leadership to achieve the following this year:					
A shared vision for Building Standards Services.					The vision for Building Standards Improvement is set out in the Building Standards Improvement Plan 2018-19.
People Plan that enables and motivates managers and employees to meet the needs of Building Standards Services and the Council within the context of a growing city.	To develop a Project Initiation Document (PID) to present to the Board by 3 October 18 and then implement thereafter.	DG / AmcA	27 July 18 to 30 April 19	Ahead of Schedule	A draft people plan has been prepared which is structured around themes of Recruitment; Managing Attendance; Performance; and, Team Managers' Development. It sets out activities and actions for the months ahead.
A Framework for Governance that includes approving resources to deliver improvements, and that is overseen by the Council's Corporate Leadership Team and has the support of elected representatives	Agree board members.	MT	1 May 18 to 15 June 18	Complete	Board members agreed with board now in place and 2 monthly meetings held.
	Develop a framework for governance and improvement approach.	DG / JD	1 May 18 to 15 June 18	Complete	Framework for governance of the project established (as set out in Improvement Plan).

Objective	Action	Owner	Timescale	Status	Progress made
	Appoint project managers.	DG	1 May 18 to 15 June 18	Underway	Project Management is being provided in house with additional support from within the service.  To augment the programme management approach within the service, a programme manager has been appointed and will start work on 1 August 18.
A Communication plan for informing and consulting with employees and key stakeholders every step of the way.	Prepare interim communications plan for keeping staff up to date on improvement programme. Develop a PID for stakeholder consultation, communication and engagement and update improvement plan milestones to reflect that.	CF	15 June 18 to 19 July 18	Ahead of Schedule	A communications plan has been developed that includes communications to staff, and stakeholders such as customers and councillors. A PID has been approved by the Board on 19 July 2018 to take this plan forward while ensuring it responds to emerging work on the Customer Strategy (see below).
Embedding a leadership culture that supports management to deliver the service improvements	Introduce staff to Improvement Team		6 Jul 18		Staff all introduced to Improvement Team and Improvement Team working with staff across the service and in partner services.
	Improvement Team to deliver change and project manager workshops to project managers and team leaders.	JD	6 Jul 18	Continuing	Workshop session held with Team Managers in July. Improvement Team now delivering programme of workshops with Managers (1 per week) from 24 July 18 through August.

Objective	Action	Owner	Timescale	Status	Progress made
We will prioritise our improvements in management to achieve the following this year:					
Ensure all managers are clear about service priorities and are accountable for their delivery.	Establish a programme of manager meetings for year ahead.	DG	By 29 June 18	Complete	These are now diarised - one per week.
	Set objectives for the year ahead which reflect improvement plan.	DG	By 29 June 18	Complete	Smart objectives were set around the themes of leadership and management, continuous improvement, performance and customer.
Embed agreed ways of working to ensure better consistency for our customers and employees and ensure that decisions are made efficiently and proportionate to the level of risk	Embed agreed ways of working to quality assure and reduce variation in our processes with a PID to be presented to the Board on 19 July and the project implemented thereafter.	DH	18 June 18 to 14 September 18	Underway	A PID has been agreed by the board. This will be implemented in August 18 with training provided to staff and a first phase of quality assurance checks taking place in September. A second phase will take place in December and report back to the Board on the way forward for February 19.
Ensure management information is used to improve performance.	A PID is to be developed for presentation to the board by 14 September 18. It is to consider the human and systems aspects of performance.	GW / JD	23 July 18 to 16 November 18	Underway	A project lead is in place. Management Information has been developed to allow performance on first reports and backlog to be better monitored. Training provided by HR partner on performance manager for staff.

Objective	Action	Owner	Timescale	Status	Progress made
Ensure that employees are empowered to realise their maximum potential and that they are enabled to have the autonomy to do so.	Start regular one-to-ones with staff. Schedule regular team meetings.	DG	By 15 June 18	Complete	These actions form part of a wider change in approach to developing staff. Managers are now involving staff in tasks and activities beyond processing building warrants - for example by taking leading roles in delivery of quality assurance process, communication plan and recruitment campaign.
Ensure vacant posts are filled and employees are recruited / resource put in place to deliver the improvement programme	Ensure Vacant GR6 posts are filled.	DG	By 13 July 18	Complete	Recruitment to GR6 posts has taken place. 4 new members of staff have started. 1 additional employee has been offered job.
	Recruit GR8 post and GR9 post	DG	By 5 October 18	Underway	A recruitment campaign is being developed that will use social media and a micro website to attract suitable candidates. This is a radically new way of recruiting to the service. This will help attract a wide range of suitable candidates. Job adverts prepared and going through internal approvals process. GR8 recruitment to be internal first followed by external.
	Appoint project manager and backfill posts as required.	DG	by 29 June 18	Underway	Project Management is being provided in house with additional support from within the service.  To augment the programme management approach within the service, a programme manager has been appointed and will start work on 1 August 18.

Objective	Action	Owner	Timescale	Status	Progress made
<b>Create a culture of continuous improvement</b>					
<p>We will ensure full compliance with the Scottish Government's Operating Framework for Building Standards Verifiers which sets out how the Council must operate the service.</p> <p>We will prioritise our plans this year to achieve the following:</p>					
Provide a structured approach to project management and delivery of the Action Plan	Ensure plans for board, governance arrangements and reporting are approved by Board, Chief Executive and Scottish Government.	DG	by 31 May 18	Complete	The arrangements for governance and reporting are set out in the Building Standards Improvement Plan 2018-2021 and were agreed by board and approved at meeting with Chief Executive and Scottish Government of 1 July 18.
	Present Governance pack to board.	JD	by 19 June 18	Complete	A pack was presented to the Board which showed how future meetings would be reported. Subject to refinements, the approach was agreed.
Prepare business cases for the board for improvement projects that are specific, measurable, achievable, realistic and time bound.		DG		Ongoing	Project Initiation documents are being presented to the Board, with the first 3 of these presented and approved at the 19 July 18 Board meeting.

<b>Objective</b>	<b>Action</b>	<b>Owner</b>	<b>Timescale</b>	<b>Status</b>	<b>Progress made</b>
A process for monitoring and reporting the effectiveness of this Improvement Plan and general performance, including the development of a “dashboard“		DG		Complete	The improvement plan is being reported to the Board at its monthly meetings. A dashboard has been created, which shows: performance in relation to applications received, 20 day target for 1st reports, 10 day turn around for revised plans, sickness, progress on improvement actions, and risk. This is augmented by more detailed information on these topics.
Form a cross service employee group that champions the continuous improvement model of planning, doing, checking and acting.		DG		Not started.	Action to be added to Improvement Action Plan.
<b>Response times to Building Warrant Applications</b>					
Our aim is to improve turn-around times for the issuing of first reports on building warrant applications and improve the timescales for granting building warrants, meeting both national and Council targets for performance.  We will prioritise our plans this year to:					

Objective	Action	Owner	Timescale	Status	Progress made
Evaluate effectiveness of 'Virtual' team to improve performance.	Review the effectiveness of the Virtual Team, its potential and impacts and prepare a PID for approval by the Board and implement thereafter.	GG / DG	11 June 18 to 19 July 18	Complete	The effectiveness of the Virtual Team was reviewed and it was confirmed that the plan reporting methods it uses are highly effective. It is noted that the team's success is sensitive to being adequately resourced. As a result of this insight and in conjunction with the project on site inspection (see below) a new plan reporting way of working is being trialed across the other teams. A PID was presented to the Board on 19 July to seek approval to monitor this trial and to return to the Board with proposals for how work should be progressed on a permanent basis.
Complete process review for site inspections	Pilot site inspection team for sub £50K applications and multi-plot sites.	RG	2 July 18 to 28 September 18	Underway	A site inspection team of 4 surveyors has been put in place. This is progressing completion certificates for all cases and therefore goes beyond the scope of the action.
Evaluate effectiveness of the revised Construction Compliance Notification Plan (CCNP) list to reduce the number of low risk site inspections currently undertaken.	Training to be provided on new approach and a trial period is to be held to check effectiveness and allow adjustments to be made.	RG	2 July 18 to 28 September 18	Underway	The new CCNP has been implemented and is now being evaluated. This is a simplified risk based approach.
Implement a new Quality Assurance Framework to meet BSD standards and further reduce variation in our processes and procedures	Prepare and present PID for Board approved on embedding agreed ways of working to achieve quality assurance and reduce variation in Building Standards Processes.	DH	18 June 18 to 19 July 18	Complete	A PID was presented to the Board which was approved subject to developing an accompanying proposal for preemptive checks for subsequent Board approval. The quality assurance process will check the effectiveness of each of the documented procedures on a yearly basis with 25% of the procedures checked each quarter. Feedback and insight from this will drive training and updating of the procedures.



Objective	Action	Owner	Timescale	Status	Progress made
	Implement quality assurance processes thereafter with training for staff and roll out of working methods.	DH	13 August 18 to 14 September 18	Not started	Training and first phase of quality assurance checks to be carried during August. As set out in PID, review to be carried out of effectiveness of approach and this is to be reported to Board in February 19.
	Deliver case management and document management systems	KG / GW	9 April 18 to 14 December 18	Underway	A separate project board has been established for this with the Council's ICT provider, Council ICT specialists and representatives of other services who will also be using the new software. This is a significant investment and requires the upgrade of associated software and hardware systems. The project remains on course for December completion with user acceptance testing diarised for September and first two weeks of October 18.
	Deliver mobile devices to allow transition to paperless working	GW / KG	9 July 18 - 16 November 18	Underway	All surveying staff have been provided smart phones to enable better out of office working with access to emails and diaries etc. Building Standards in first phase of Council's programme for replacement computers. Testing of Microsoft Surface computer underway for site surveying team. Initial feedback is positive. This project is being taken forward in tandem with software update to ensure new computers work with new software.

Objective	Action	Owner	Timescale	Status	Progress made
Customer Improvements					
<p>We aim to transform our reputation with our customers by delivering a step change of improvement in the relationship between the service and our customers.</p> <p>We will prioritise our plans this year to:</p>					
Set up a stakeholder panel to advise the board on the improvement plan and its implementation.	Identify panel members to represent customers. Put a Panel in place and agree its scope.		16 July 18 to 10 August 18	Underway	Initial names being gathered. Invites to be issued w/c 6 August 18
Improve customer engagement	This relates to the communications plan and the customer strategy.			Ongoing	The communications plan sets out engagement with customers.
Use complaints and feedback to inform service improvements.	An action is to be developed around this objective.			Ongoing	Complaints are being used to help inform changes and improvements to the service.

<b>Objective</b>	<b>Action</b>	<b>Owner</b>	<b>Timescale</b>	<b>Status</b>	<b>Progress made</b>
Improve our website	Identify names of web authors within service and provide training for them.		9 July 18 to 24 August 18	Underway	Web authors have been identified with training planned for August 18.
	Develop a PID for webpage overhaul and present this for Board approval.		27 August 18 to 5 October 18	Not started	
	Prepare a project plan for implementation thereafter		8 October to 26 October 18	Not started	
We will identify and work with key stakeholders, other council service areas and employees to develop a 3 year Customer Strategy.	Develop and present a PID on customer strategy for Board approval		6 August 18 to 6 September 18	Ahead of schedule	PM appointed for this role. Initial work in developing the customer strategy underway with engagement with staff within service as well as other services within Council.
	Update the action plan with milestones and implement the project thereafter.		10 September 18 to 26 April 19	Not started	

## 5 Performance Data Returns

The following table sets out the commentary on the quarterly data returns that the Council provides to the Scottish Government.

<b>KPO1 Targets - Minimise time taken to issue a first report or issue a building warrant or amendment to building warrant</b>		
1.1	<b>Quarter of year 2017/18</b>	<b>% of 1<sup>st</sup> reports and grants of warrant with no 1<sup>st</sup> report within 20 day target</b>
	1	66%
	2	
	3	
	4	
<p>The Council is working towards achieving the target of 95%. The figure of 66% requires to be improved upon. As a result, new ways of working have been put in place for site inspection and plan reporting from July 2018 and will be trialed for a 3 month period. Initial indications are that these methods will help drive down backlogs of work and allow the 20 day target to be better met.</p> <p>The new ways of working result from a review of the “Virtual” plan reporting team. The team progresses smaller value (below £50,000) applications. The review identified that it is very effective in achieving target timescales. It was therefore decided to roll out this plan reporting approach more widely within the service. This is a major change to the way the service operates. As well as being more efficient it creates greater resilience as the progress of an individual application is much less dependent on a particular surveyor progressing it from beginning to end.</p> <p>This change accompanies a new approach to site inspection, whereby there is now a dedicated team of surveyors in place. This team is taking a risk based approach to assessment of compliance on site. Greater efficiency is achieved by this approach with less time spent on travelling from site to site as well as reduced disruption to plan assessment.</p> <p>The new approach to plan reporting and site inspection are being monitored closely to ensure that the benefits realised so far, continue to be achieved.</p>		

1.2	<table border="0"> <tr> <td data-bbox="379 226 715 259"><b>Quarter of year 2017/18</b></td> <td data-bbox="831 226 1406 293"><b>% of building warrants and amendments issued within 10 days</b></td> </tr> <tr> <td data-bbox="379 293 400 327">1</td> <td data-bbox="831 293 903 327">58%</td> </tr> <tr> <td data-bbox="379 327 400 360">2</td> <td></td> </tr> <tr> <td data-bbox="379 360 400 394">3</td> <td></td> </tr> <tr> <td data-bbox="379 394 400 427">4</td> <td></td> </tr> </table> <p data-bbox="379 461 1350 696">The Council is working towards the target of 90% of building warrants and amendments issued within 10 days from receipt of all satisfactory information. The 58% figure above is above that for each quarter of last year. A focus for this coming year is to improve performance. The service change outlined in 1.1 above will help ensure that this performance in relation to turn around times once satisfactory information is received are improved.</p>	<b>Quarter of year 2017/18</b>	<b>% of building warrants and amendments issued within 10 days</b>	1	58%	2		3		4	
<b>Quarter of year 2017/18</b>	<b>% of building warrants and amendments issued within 10 days</b>										
1	58%										
2											
3											
4											
<b>KPO3 Targets – Commit to the Building Standards Customer Charter</b>											
3.1	The National Customer Charter is displayed prominently on the website. This document was updated in May 2018 to ensure it reflects current targets etc.										
3.2	95% of BSD requests for information on a BSD ‘Verifier Performance Reporting Service for Customers’ case responded to by verifier within 5 days.										
<b>KPO4 Targets - Understand and respond to the customer experience</b>											
4.1	<p data-bbox="379 1167 1422 1301">The performance of the service has resulted in an overall satisfaction rating of 5.6 / 10. This was recorded via the national survey conducted by the Building Standards Division in Q3 2017/18. Customer satisfaction levels remain low with turn-around times and communications being a key concern of customers.</p> <p data-bbox="379 1335 1414 1503">As set out in Section 6, it is a priority to improve customer satisfaction with the service. This is expected to improve as a result of better turn-around times for processing building warrant applications and completion certificates. Measures such as surveys and engagement events are also being held throughout the course of the year.</p>										

<b>KPO5 Targets - Maintain financial governance</b>					
5.1		<b>Quarter 1</b>	<b>Q2</b>	<b>Q3</b>	<b>Q4</b>
	<b>Fee income</b>	£973,462			
	<b>Expenditure</b>	£544,599			
	Staffing costs:	£501,031			
	Non staff costs:	£33,126			
	Other investment:	£53,508			
	<p>Building standards verification fee income is to cover indicative verification service costs (staff costs plus 30%). The figures for expenditure plus 30% are currently below the income level. This is due to income having exceeded projected levels for the first quarter. This is being monitored closely.</p> <p>While overall, staff costs plus 30% are below the annual income, other non-staff costs includes sums for shared services whereby plans are assessed by partner local authorities. Expenditure on other investment will rise later this year due to the implementation of the new computer system.</p>				
<b>KPO6 Targets - Commit to eBuilding Standards</b>					
	<p>Full details of the Building Standards Service in Edinburgh is available on the Council website at <a href="http://www.edinburgh.gov.uk/buildingstandards">www.edinburgh.gov.uk/buildingstandards</a></p> <p>This includes a link to the e.Building Standards website.</p>				
6.2	<p>Plan checking of both building warrants and amendments are in excess of the 75% target and over 90% of cases are processed electronically for the period 2016/17.</p> <p>A comprehensive update of the case management and document management systems is underway and will be delivered for December 2018. This is a major investment involving the upgrade of associated software and hardware.</p> <p>Mobile technology is being piloted for on-site work including inspections with Microsoft Surface computers currently being trialled.</p> <p>A monitoring report is being arranged to provide the details required to show compliance with the CCNP requirements.</p> <p>Completion certificates are submitted online and processed electronically in many cases.</p>				
<b>KPO7 Targets - Commit to objectives outlined in the annual performance report</b>					
7.1	<p>The annual verification performance report for 2018-19 is on the Council website at:  <a href="http://www.edinburgh.gov.uk/info/20212/property_planning_and_housing/587/building_standards_customer_service_charter">http://www.edinburgh.gov.uk/info/20212/property_planning_and_housing/587/building_standards_customer_service_charter</a></p>				
7.2	<p>The annual verification performance report for 2019/19 includes performance data.</p>				

## 6 Risk

Levels of risk have not changed significantly since May 2018. However one additional risk has been identified. This is risk no 7 in relation to the resilience within partner services upon which Building Standards is dependent. Additional controls have been put in place following the 19 July 18 Board meeting to recruit to vacant posts. A review of the risk plan will take place in August with the Improvement team and the recommendations resulting from this review will be reported to the Board in September.

	Risk	I	L	Level	Owner	Current controls	Additional controls
1	Risk of losing appointment as local authority verifier of building warrant applications for this Council's geographic area - resulting in the closure of the service, possible redundancies, disruption to construction programmes, reputational damage.	5	5	25	DG	<ul style="list-style-type: none"> <li>· Argyll and Bute supporting service (shared services).</li> <li>· Use of overtime/agency staff/</li> <li>· Process improvements ("Virtual" plan reporting team).</li> <li>· KPIs monitored monthly by management team.</li> <li>· Complaints monitored on a regular basis.</li> <li>· Improvement Team appointed.</li> </ul>	The implementation and monitoring of this Building Standards Improvement Plan
2	Risk of new case and document management systems not being implemented	5	4	20	JDI	<ul style="list-style-type: none"> <li>· Project board established which involves service, ICT and CGI representatives.</li> </ul>	Potential to extend temporary recruitment arrangements to ensure workarounds remain in place if systems upgrade is not delivered on time.
3	High levels of stress within the team's due to lack of employee resources/ workload leading to employee absenteeism/ adverse effect on productivity/ service delivery	4	5	20	DG	<ul style="list-style-type: none"> <li>· Place Health &amp; Safety Forums</li> <li>· Health &amp; Safety policy (Council wide)</li> <li>· Health &amp; Safety training</li> <li>· Regular "Team Talks"</li> <li>· Redeploying resources</li> <li>· One to one support for team members</li> <li>· Temporary agency employees</li> </ul>	Developing new ways of working will over the long term, assist in reducing stress levels ensuring better allocation of workload and consistency of working.

	<b>Risk</b>	<b>I</b>	<b>L</b>	<b>Level</b>	<b>Owner</b>	<b>Current controls</b>	<b>Additional controls</b>
4	The potential for employees to leave the service either through retirement or to other job. This is a significant risk given the age profile of the employee group.	5	3	15	DG	<ul style="list-style-type: none"> <li>Additional employees being brought in are being developed with training sessions and “on the job” training.</li> <li>Knowledge of existing employees is being passed on via in work training.</li> </ul>	An action of the Improvement Plan is to develop a people plan. This will address issues of succession and job retention.
5	Loss of key controls due of changes being made to the service which arise as a result of the improvement programme.	4	3	12	DG	<ul style="list-style-type: none"> <li>Current controls are in place for monitoring performance.</li> </ul>	Recruitment underway for vacant post in ICT.
6	Employees are not sufficiently supported during the change process, leading to the changes not being fully delivered.	4	3	12	CW / CN / RG / GW	<ul style="list-style-type: none"> <li>Staff briefings and emails to communicate change</li> </ul>	<p>A structured communications plan is put in place to explain the changes being made.</p> <p>Employees are supported with workshops, training and evidence based approach to change.</p>
7	Risk of losing key personnel in wider Council which service is dependent on. Issue most acute in ICT, and Transactions.	4	4	16	DG	Management within service areas aware of issues.	



