

Notice of Meeting and Agenda

9.30am, Monday, 5th September, 2022

Virtual Meeting - via Microsoft Teams

1. Order of Business

- 1.1** Including any notices of motion and any other items of business submitted as urgent for consideration at the meeting.

2. Declaration of Interests

- 2.1** Members should declare any financial and non-financial interests they have in the items of business for consideration, identifying the relevant agenda item and the nature of their interest.

3. Minutes

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| 3.1 | Minute of the Lothian Valuation Joint Board of 13 June 2022 – submitted for approval as a correct record | 3 - 6 |
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4. Reports

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| 4.1 | Assessor's Progress Report to the Lothian Valuation Joint Board – report by the Assessor and Electoral Registration Officer | 7 - 48 |
| 4.2 | Period 4 Financial Statement 2022/23 – report by the Treasurer | 49 - 54 |
| 4.3 | Recruitment of a New Assessor and Electoral Registration Officer – report by the Treasurer | 55 - 58 |
| 4.4 | Appointments to Committees and the Joint Consultative Group – report by the Chief Executive and Clerk | 59 - 68 |
| 4.5 | Discussion on arrangements for future LVJB meetings | Verbal Report |

Andrew Kerr

Chief Executive

Membership

The City of Edinburgh Council (9)

Councillor Alan Beal (Vice-Convener)

Councillor Jack Caldwell

Councillor James Dalgleish

Councillor Denis Dixon

Councillor Fiona Glasgow

Councillor Joan Griffiths

Councillor Finlay McFarlane

Councillor Max Mitchell

Councillor Alex Staniforth

East Lothian Council (2)

Councillor Carol McFarlane

Councillor John McMillan

Midlothian Council (2)

Councillor Douglas Bowen

Councillor Margot Russell

West Lothian Council (3)

Councillor Alison Adamson

Councillor Tom Conn (Convener)

Councillor Andrew McGuire

Notes:

- (1) If you have any questions about the agenda or meeting arrangements, please contact Rachel Gentleman | Committee Services | Legal and Assurance | City of Edinburgh Council | Business Centre 2:1 | Waverley Court | 4 East Market Street | Edinburgh | EH8 8BG | tel 0131 529 4107 | email rachel.gentleman@edinburgh.gov.uk
- (2) The agenda, minutes and public reports for this meeting can be viewed online by going to www.edinburgh.gov.uk/meetings .

Lothian Valuation Joint Board

Edinburgh, 13 June 2022

Meeting held Virtually by Teams

Present:

City of Edinburgh Council – Councillors Beal, Caldwell, Dalgleish, Dixon, Glasgow, Griffiths, Finlay McFarlane, Mitchell and Staniforth (substituting for Councillor Booth).

East Lothian Council – Councillors Carol McFarlane and McMillan.

Midlothian Council – Councillors Bowen and Russell.

West Lothian Council – Councillors Adamson, Conn and Paul (substituting for Councillor McGuire).

1 Appointment of Convener

The Board was required to appoint a Convener for the duration of the term of the current political administration to May 2027.

Decision

To appoint Councillor Conn (West Lothian Council) as Convener of the Lothian Valuation Joint Board.

2 Appointment of Vice-Convener

The Board was required to appoint a Vice-Convener for the duration of the term of the current political administration to May 2027.

Motion

To appoint Councillor Russell (Midlothian Council) as Vice-Convener of the Lothian Valuation Joint Board.

- moved by Councillor Bowen, seconded by Councillor Paul

Amendment

To appoint Councillor Beal (City of Edinburgh Council) as Vice-Convener of the Lothian Valuation Joint Board.

- moved by Councillor Caldwell, seconded by Councillor Dalgleish

Lothian Valuation Joint Board
13 June 2022

Voting

For the motion - 4 votes

For the amendment - 11 votes

(For the motion – Councillors Adamson, Bowen, McMillan and Russell.

For the amendment – Councillors Beal, Caldwell, Conn, Dalgleish, Dixon, Glasgow, Griffiths, Carol McFarlane, Finlay McFarlane, Mitchell and Paul.

Abstention – Councillor Staniforth.)

Decision

To appoint Councillor Beal (City of Edinburgh Council) as Vice-Convener of the Lothian Valuation Joint Board.

3 Minute**Decision**

To approve the minute of the Lothian Valuation Joint Board of 4 April 2022 as a correct record.

4 Assessor's Progress Report to the Lothian Valuation Joint Board

A progress update by the Assessor and Electoral Registration Officer was presented to the Board. The report provided an overview of current service delivery, priorities, risks and future direction.

Members noted that the majority of staff remained working at home or on a hybrid basis, part time home-based and part time office-based. In this regard, the Assessor and ERO presented a proposed hybrid working policy for consideration.

- Key service priorities over the forthcoming year included:
- Continuation of voter engagement work with various groups
- Maintenance of the Valuation Roll
- Valuation Roll appeals
- Council tax appeals
- Governance and risk
- Budget 2022/23 and planning

Lothian Valuation Joint Board
13 June 2022

Decision

- 1) To note the report.
- 2) To continue consideration of the Hybrid Working Policy to the next meeting of the Board scheduled to be held on 5 September 2022 to allow members time to consider the detail of the proposed policy.

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

5 Unaudited Accounts for the Year Ended 31 March 2022

The unaudited annual accounts for the year ended 31 March 2022 were presented to the Board in accordance with the Local Authority Accounts (Scotland) Regulations 2014, as extended by Regulation 5 of the Local Authority (Capital Finance and Accounting) (Scotland) (Coronavirus) Amendment Regulations 2021.

Members noted that the Board had achieved outturn expenditure within budget for 2021/22. The Management Commentary provided further details and the principal reasons for this.

The usable reserve balance at 31 March 2022 was £1.450m. £0.148m was earmarked for future costs of Non-Domestic Rates Reform and £0.080m for Individual Electoral Registration. The non-earmarked usable reserve balance was £1.222m.

Decision

- 1) To note the unaudited annual accounts for the year ended 31 March 2022.
- 2) To note that the audited annual accounts for 2021/22 would be presented to the Board on completion of the external audit.

(Reference – report by the Treasurer, submitted)

6 Treasury Management Annual Report 2021/2022

The Treasury Management Annual Report for the financial year 2021/22 was submitted.

Decision

To note the Treasury Management Annual Report for 2021/22.

(Reference – report by the Treasurer, submitted)

7 Appointments to Committees and the Joint Consultative Group

The Joint Board had previously established an Appointment Committee to undertake recruitment and appointment of senior staff and an Appeal Committee to deal with disciplinary and grievance issues. The Board had also set up a Joint Consultative Group to provide a means of regular consultation between the Board and employees' representatives on a range of issues.

The Board was invited to re-establish its Committees and Groups, approve their remits and appoint memberships and Conveners.

Decision

To continue consideration of the report to the next meeting of the Board scheduled to be held on 5 September 2022 to allow members time to consider nominations.

(Reference – report by the Chief Executive and Clerk, submitted)

8 Future Meeting Dates

- 1) To note the previously agreed meeting dates for the period to June 2023 as follows:
 - Monday 5 September 2022
 - Monday 24 October 2022
 - Monday 30 January 2023
 - Monday 24 April 2023
 - Monday 12 June 2023
- 2) To include an item on the format of future meetings to the agenda for the next meeting of the Board scheduled to be held on 5 September 2022 for discussion.



ASSESSOR'S PROGRESS REPORT TO THE LOTHIAN VALUATION JOINT BOARD

5th September 2022

1.0 PURPOSE

- 1.1 To provide members with an overview of current service delivery, priorities, risks and future direction.
- 1.2 It should be noted that most staff remain working at home at the current time or on a hybrid basis, part home based, part office based.

2.0 ELECTORAL REGISTRATION – MAINTENANCE

- 2.1 Since the last progress report to the Board in June 2022 all maintenance tasks supporting the registration process have continued.
- 2.2 Key processing volumes reflecting the period June to September inclusive are shown below.

	Edinburgh	Midlothian	West Lothian	East Lothian	Totals
Additions	11,626	1,426	1,823	1,572	16,447
Deletions	12,839	1,313	1,497	1,575	17,224
Amendments	453	41	138	79	711

3.0 ELECTORAL REGISTRATION – HOUSEHOLD CANVASS 2022

- 3.1 The annual household canvass has begun. Phone canvass started on the 23rd August and door to door canvass started on the 28th July. Door to door canvass will be adhere to strict procedures to mitigate as far as possible any risk from Covid-19.
- 3.2 The data matching process has already taken place and the statistics are shown below alongside the 2020 & 2021 figures for comparative purposes.

Property Matching Scores

	2020	2021	2022
National Data Matching	58%	58%	58%
Data Matching Post-Local Data	67%	72%	73.80%

Elector Matching Scores

Electors Matched	75.50%	75.60%	76.40%
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Property Matching Routes

Number of properties in Route 1	293,652	319,564	333,529
Number of properties in Route 2	129,863	108,923	100,459
Number of properties in Route 3	17,787	17,931	17,945
Response to E-Comms	40%	36%	44.90%

Current Absent Voter Numbers

	<u>Postal Voters</u>	<u>Proxy Voters</u>	<u>Postal Proxy Voters</u>
<i>City of Edinburgh Council</i>	107,418	1,298	267
<i>East Lothian Council</i>	24,087	202	19
<i>Midlothian Council</i>	19,433	102	20
<i>West Lothian Council</i>	33,330	182	19

4.0 ELECTORAL LEGISLATION – ELECTIONS

4.1 There are currently no by-elections scheduled at the moment.

5.0 ELECTORAL REGISTRATION ENGAGEMENT

5.1 The annual electoral registration household canvass, starting in July, allows a unique engagement opportunity with each residential household across the four constituent council areas. To maximise response rates different communication channels continue to be utilised including eCanvass (email), phone calls, house visits conducted by canvassers and traditional paper canvass communications.

This year, as part of the eCanvass, an additional reminder email was issued to non-responding properties. This resulted in an increased response rate of 45% prior to the issue of paper Canvass Communication A forms. During the 2021 canvass, where no reminder was issued, the eCanvass response rate at this stage was approximately 36%.

The annual household canvass has been further promoted online through social media channels and the LVJB website. Messaging has been focussed on key issue dates, working in partnership with communications departments from the four constituent councils to amplify messaging.

Whilst the focus of engagement in recent months has been the annual household canvass, other engagement activities have taken place including the following: -

- Attendance at citizenship ceremonies to ensure new citizens are given the opportunity to register to vote or update their registration details.
- Registration stalls organised at each of the 4 Universities' Freshers Fairs to promote voter registration in the student population.
- Advertisements taken out in various university publications aimed at Freshers.
- Care homes to be contacted with a bespoke household canvass communication to encourage registration of residents.

6.0 VALUATION ROLL – MAINTENANCE

- 6.1 For the period 1st April 2022 to 25th August 2022, 624 changes have been made to the valuation roll with respect to running roll activities. These changes comprised 129 amendments to existing entries, 267 deletions and 228 inserts. There has also been an additional 1,316 name changes.

	Edinburgh	Midlothian	W. Lothian	E. Lothian	Total
Inserts	160	23	29	16	288
Deletions	188	15	45	19	267
Amendments	84	19	15	11	129

7.0 VALUATION ROLL – APPEALS

- 7.1 As previously reported LVJB have c.17,000 outstanding appeals that have been lodged on the basis of Covid 19. The disposal date for these appeals is 31st December 2023.
- 7.2 It is still unknown how these appeals will eventually be resolved, either by hearing a test case, the withdrawal of appeals by appellants or by settlement. Though legislation covering these appeals has not as yet been passed it is likely that Covid appeals will be valid for a short period of time, potentially 14 days or so.
- 7.3 It should perhaps be noted that the headline figure of 17,000 will include more than one appeal for the same property. The number of properties appealed will be nearer to 10,000.

8.0 COUNCIL TAX – MAINTENANCE

- 8.1 Over the period 1st April 2022 to 25th August 2022, 2,275 new houses have been added to the list. The numbers for each constituent council and the number of properties within each band are shown in the table below.

Band					
	Edinburgh	Midlothian	West Lothian	East Lothian	Total
A	18	7	2	3	30
B	49	2	45	11	107
C	220	13	91	6	330
D	269	23	91	67	450
E	290	75	76	61	502
F	143	110	111	101	465
G	175	43	74	69	361
H	27	2	0	1	30
Total	1,191	275	490	319	

- 8.2 There are currently c.200 outstanding Council Tax appeals. Council tax appeals are scheduled to be cited for the next diet of hearings in October/November. Resolution of appeals continues on an uncited basis where possible.

9.0 Governance Strategy Group

- 9.1 A meeting of the Governance Strategy Group has not been held since the recent Local Government Elections. Due to my impending retirement at the end of September it may be that the next meeting should be scheduled after a new Interim Assessor is appointed. However I would be more than happy to attend a Governance Strategy Group meeting before I retire should board members wish to do so.

10.0 Budgetary Matters

- 10.1 The rent for the Board's premises at South Gyle has been under discussion for a number of months. An independent surveyor has been negotiating on the Boards behalf with our landlord the City of Edinburgh Council. The rent payable up to 31st December 2021 was £340,000 per annum. The initial rent review proposed by CEC was £462,000 per annum from the 1st January 2022.
- 10.2 After negotiations the reviewed rent offered is now £387,000 per annum. I am willing to agree this figure but have intimated my wish to present this to the board for their consideration before any formal agreement is reached.
- 10.3 I would ask the board for their agreement to this adjusted rent review. The next review is due on 1st January 2027.
- 10.4 It is also prudent to point out that the Boards non-domestic rates liability is likely to rise from 1st April 2023 when the 2023 revaluation comes into effect. I would estimate that any additional liability would potentially be in the region of £50,000 to £60,000 per annum. I should point out that the rate in the pound is unknown at this time and the above figures assumes a rate of 50p in the pound.

11.0 2022 Staff Pay Award

- 11.1 The boards budget for 2022/23 was based on a likely pay award of 3% for all staff. In recent days Unison have been offered a 5% increase which may potentially go higher. Additional funding has been provided by the Scottish Government to facilitate this increased award. I would request that any award over the budgeted 3% is provided to the board as additional requisition and for that funding to be retained in the Board's budget in subsequent years.

12.0 Period 4 Financial Statement

- 12.1 I note the content of the Treasurer's Period 4 Financial Statement.

13.0 HR Policy Updates

- 13.1 I have attached at appendix 1, two new policies, one updated policy and a policies cover note for the Board's approval.
- 13.2 The two new policies have regard to our Caution Premises Register Procedure and a Probation Policy for new employees. The updated policy is in relation to Annual Leave.

14.0 Handover Process and Future Budget Strategy

- 14.1 I have started the handover process with potential candidates for the position of interim assessor. These discussions have included current budget position, potential longer term budget strategy and tentative discussions regarding the next stage of transformation.

15.0 RECOMMENDATION

- 15.1 The Board is asked to note the content of this report, agree the rent increase for 17A South Gyle Crescent and approve the HR policy updates, including the Hybrid Working Policy presented at the previous Board meeting in June.

Gary Elliott
ASSESSOR & ERO



LVJB – HR Policy Updates – 5th September 2022

Policy Name	New/Updated	Summary
Annual Leave Policy	Updated	<ul style="list-style-type: none"> Existing policy very limited on information, concentrates on calculation of annual leave entitlement. Updated policy provides more comprehensive information on managing annual leave. Proposed automatic carry forward up to 5 days annual leave, borrowing annual leave from the following year in exceptional circumstances and being reimbursed for annual leave if a sickness absence procedure is followed and self-certificate is provided.
Caution Premises Register Procedure	New	<ul style="list-style-type: none"> “Caution Premises Register” exists, however, no written procedure in relation to how we validate new additions or how we periodically review the existing records.
Probation Policy	New	<ul style="list-style-type: none"> No existing provision for probation periods. Focus on new employees, up to first 12 months in post. Emphasis on supporting employees, ensuring we are providing appropriate skills, training and guidance early on in order to reach and maintain our required standards. A follow on from induction. Provides employees with more opportunities to have dedicated protected time with the line manager to discuss how things are going and seek focussed support if required. Equally should provide the opportunity to confirm what is going well and commend achievements so far. Supports managers to shape/mould new employees to required realistic standards, so that substandard performance is not condoned or becomes the norm.

Annual Leave Policy

ANNUAL LEAVE POLICY	
Approved By	Lothian Valuation Joint Board
Date of Approval	TBC
Owner	Hannah Carruthers, HR Manager
Issue	1
Identity	Annual Leave Policy
Location of electronic copy	SharePoint
Location of paper copy	Human Resources
Change Authority	Human Resources, Corporate Leadership Team and Trade Unions
Review Frequency	Annual or as required by legislation
Next Review Date	June 2023

Issue	Author	Date	Details of Change
1	Hannah Carruthers	June 2022	New Policy incorporating “Annual Leave, Broken Periods of Service and Floating Days” document.

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1.0 Aims and Objectives

- 1.1 The aim of this policy is to provide managers and employees with guidance on annual leave to ensure that this is applied fairly and consistently across LVJB in accordance with equality and diversity principles.

2.0 Scope of the Policy

- 2.1 This policy relates to all employees of LVJB.

3.0 Monitor and Review

- 3.1 HR is responsible for monitoring the effectiveness of this policy and supporting procedures and will conduct reviews at appropriate intervals.
- 3.2 Anyone who feels they have been unfairly treated or discriminated against should notify the HR Manager.

4.0 Equal Opportunities

- 4.1 LVJB is committed to equality of opportunity for all its employees and the terms of this policy and its supporting procedures and guidance notes are designed to ensure the fair and transparent treatment for all staff irrespective of age, race, disability, gender reassignment, marriage and civil partnership, pregnancy and maternity, sexual orientation, religion or belief, gender or contractual status. An Equality Impact Assessment is undertaken on this policy each time it is reviewed and updated.

5.0 Responsibility for this Policy

- 5.1 Human Resources. Any changes to this policy and supporting procedures will be made in consultation with appropriate bodies.
- 5.2 LVJB reserves the right to update HR Policies in line with new or updated Employment Legislation.

6.0 Principles of Annual Leave

- 6.1 Annual leave is vital to enable employees to maintain an appropriate work/life balance allowing employees to rest and recuperate effectively.
- 6.2 LVJB provides employees with holiday provision which exceeds the minimum statutory requirement.

7.0 Annual Leave Year Dates

- 7.1 The holiday year at LVJB starts on 1st January and finishes on 31st December each year.

8.0 Annual Leave Entitlements and Accrual

Annual Leave Entitlement				Public Holidays
Category of Staff	Service is less than 5 years	Service is more than 5 years but less than 10 years ★	Service is 10 years or more, continuous with LVJB, or its predecessor authorities ★★	
LVJB Employees	26 days	31 days	34 days	All employee groups are entitled to 12 general or public holidays per leave year.
Chief Officers	33 days	33 days	34 days	6 of the 12 days are taken on fixed dates. The remaining 6 days are treated as “floating days” and included in annual leave entitlements.

- ★ For the purpose of assessing such service, all previous service with any local authority or public body as defined in the Redundancy Payments (Continuity of Employment in Local Government, etc) (Modification) Order 1999, as amended will be reckoned irrespective of the length of any intervening breaks in service.
- ★★ For the purpose of assessing such service, all previous service with Lothian Valuation Joint Board (or its predecessor authorities) will be reckoned, provided there has been no break in service.

- 8.1 Annual leave entitlement can be viewed on [Imperago](#).

- 8.2 Annual leave entitlement is pro-rated for part-time employees in accordance with the number of hours they work per week.
- 8.3 If an employee changes their working hours or pattern then their annual leave entitlement will be re-calculated to take account of the change.
- 8.4 Where an employee's length of service reaches five or ten years, their new increased annual leave entitlement will be effective from the 1st January of the following year.
- 8.5 Where an employee starts employment at LVJB part way through the leave year, they will receive a pro-rata entitlement to annual leave. See Appendix 1 – Broken Periods of Service.
- 8.6 Where an employee leaves employment at LVJB part way through the leave year, HR will calculate their entitlement from the start of the leave year to their leaving date. See Appendix 1 – Broken Periods of Service.
- 8.7 In exceptional circumstances, for operational reasons, if an employee who is leaving LVJB is unable to take their remaining annual leave entitlement before their leaving date, then this annual leave will be paid to the employee, via the payroll, in their final pay.
- 8.8 If an employee has taken more leave than the entitlement due to them from the start of the leave year to their termination date, a deduction will be made from the employee's final pay to reconcile this.
- 8.9 Employees continue to accrue annual leave at their normal rate if they are on a period of sick leave, maternity leave, paternity leave, adoption leave or parental leave.
- 8.10 In cases of maternity leave, adoption leave and additional paternity leave, where employees are prevented from taking their full leave entitlement in the appropriate leave year, the leave may be carried forward. This leave can be taken at any point during the leave year subject to the normal arrangements for authorising annual leave.

9.0 Public Holidays

- 9.1 In addition to annual leave entitlement, LVJB recognises designated non-working days over Christmas (2 days), New Year (2 days), Good Friday and Easter Monday.
- 9.2 The Christmas holidays are determined each year in accordance with when Christmas Day and New Year's Day falls.

10.0 Booking Annual Leave

10.1 Notice of Annual Leave

- 10.1.1 Employees should make requests for annual leave as early as they possibly can to ensure that annual leave will not clash with their workload or that their work can be covered by other team members.

- 10.1.2 As a minimum, employees should provide notice which is twice as long as the period of annual leave they are requesting. For example, if an employee wished to request one week of annual leave, then they should request this two weeks prior to the annual leave start date.
- 10.1.3 It is recognised that, occasionally, employees require to request annual leave at short notice. Line managers should endeavour to accommodate such requests, based on operational needs at the time.
- 10.1.4 Employees should not request to take more than three weeks of annual leave in one continuous block. Where an employee is requesting a period of annual leave which is for longer than three weeks, the decision to approve the annual leave will rest with the line manager and their view on whether or not the employee's workload and service can be maintained for the duration of the leave.

10.2 Requesting Annual Leave

- 10.2.1 Annual leave should be requested through [Imperago](#).
- 10.2.2 Line managers should be made aware of any short notice or exceptional requests prior to submission on Imperago.
- 10.2.3 Line managers will approve or decline annual leave requests via their manager login on Imperago. Line Managers should respond to requests as soon as possible.
- 10.2.4 Line managers will decide to approve or decline annual leave based on the business and operational needs of the organisation. Annual Leave requests should be initially dealt with by the line manager on a "first come first served" basis.
- 10.2.5 Where it is necessary for a line manager to decline a request for annual leave, the manager and the employee should discuss alternative dates which may be possible.
- 10.2.6 Whilst there will not normally be a "closed" period for leave (i.e. there will not be imposed a total ban on leave taken by any group of staff during a particular period of the year), the Assessor reserves the right to alter or restrict leave at peak times or in emergency situations should the exigencies of the service require it.

11.0 Carry Forward of Annual Leave into following Annual Leave Year

- 11.1 Employees are strongly encouraged to use all of their annual leave within the current annual leave year.
- 11.2 Line managers should regularly review each employee's annual leave balance throughout the year to ensure that employees are consistently using their leave and that they do not

build up an amount that will be impossible to use or unacceptable to carry forward into the next annual leave year.

- 11.3 Employees will normally be permitted to carry over up to five days (pro rata for part time employees) of annual leave into the next annual leave year without authorisation. Employees with less than five years' service will be permitted to carry over up to four days of annual leave, to ensure compliance with the Working Time Directive. Annual leave which is carried forward should normally be used within the first three months of the new annual leave year. Up to five days (pro rata for part time employees and employees with less than five years' service) of outstanding leave entitlement on Imperago will automatically be carried over at the start of the new leave year.
- 11.4 In line with the Working Time Directive, all employees must use 28 days of holiday (or pro rata equivalent) each year. Therefore, when requesting to carry forward annual leave, employees must ensure they have taken this minimum amount over the last year. Line managers must not allow carry forward of annual leave which would be in breach of the Working Time Directive.

12.0 Using Annual Leave from the following leave year

- 12.1 In exceptional circumstances, employees, with the permission of their line manager, are permitted to bring forward up to five days of annual leave from the following year. It must be ensured that the minimum amount of annual leave, as stipulated by the Working Time Directive, is still available to the employee in the following year.
- 12.2 It is recognised that new entrants to LVJB may have an insufficient leave entitlement to cover pre-booked holidays. Annual leave may be authorised by the line manager to take a reasonable period of unpaid leave to cover these arrangements.
- 12.2 Where such arrangements have been made your line manager should inform HR so that Imperago can be updated accordingly.

13.0 Cancellation of Annual Leave

13.1 Cancellation by the Employee

- 13.1.1 Where an employee requests to cancel a period of arranged annual leave, this is normally unproblematic. However, a line manager may choose to refuse such a request if there is no other time in the annual leave year that the employee could be on holiday without seriously affecting the service provision or operational needs.
- 13.1.2 A line manager may also need to refuse a request to cancel a period of annual leave if, for any reason, LVJB would incur costs if the employee did not take their annual leave at the agreed time, for example, if the line manager had already bought in contracted cover for the employee.

13.2 Cancellation by the Line Manager

- 13.2.1 Occasionally, in exceptional circumstances, it may be necessary for the line manager to ask an employee to cancel a period of arranged annual leave, for example, where this is a shortage of staff due to sickness absence or where there is pressure to meet an unprecedented deadline.
- 13.2.2 Where a line manager feels it is necessary to ask an employee to cancel a period of annual leave, they will discuss all possible options and alternatives with the employee.

14.0 Annual Leave and periods of Sickness Absence

- 14.1 Where an employee becomes unwell during a period of annual leave, they may be able to reclaim their annual leave. The employee should follow the normal reporting and documenting procedure as detailed in the LVJB Sickness Absence Management policy and procedure, reporting to their line manager on day one of their sickness absence. The days on which the employee is unwell will be classified as sickness absence, not as annual leave. The normal Sickness Absence Certificate (or GP Fit Note for absences in excess of 7 days) must be provided. The employee and line manager should discuss arrangements for the employee to take the missed annual leave at a later date.
- 14.2 For the duration of the period of sickness absence, the employee will be paid appropriately, in accordance with their entitlement to occupational sick pay.
- 14.3 Where an employee is unwell on a public holiday, they will not be able to claim this day of leave back into their personal entitlement.
- 14.4 Where an employee is on sickness absence leave, they continue to accrue annual leave at the normal rate. This can lead to a build-up of annual leave which may need to be carried forward into the following annual leave year. The maximum amount of leave that is permitted to be carried over to the next leave year will be subject to the statutory level (currently 20 days per leave year).
- 14.5 In cases of sickness absence over 3 months, an employee's annual leave will be abated, to an amount pro-rated to the period of actual service given during the year, however this should not fall below the statutory minimum figure (currently 28 days, including public holidays).
- 14.6 In the case of significant periods of long-term sickness absence, the outstanding leave can be taken at any point during the leave year subject to the normal arrangements for authorising annual leave.
- 14.7 Where an employee is on annual leave and requires to self-isolate for health reasons under Government legislation, they will not be able to claim the annual leave back, except where

the leave is converted to sickness absence leave. If the employee does not have grounds to certify as on sickness absence, they may discuss with their line manager the possibility of converting the days into working from home and using their annual leave another time. This discussion must take place before the employee commences working from home.

15.0 Annual Leave and periods of Special Leave

- 15.1 Where an employee requires to use Special Leave during a period of annual leave, they may be able to reclaim their annual leave. The employee should follow the normal reporting and documenting procedure as detailed in the Special Leave Policy, reporting to their line manager as early as possible. The relevant days will be recorded as special leave, not as annual leave. The employee and line manager should discuss arrangements for the employee to take the missed annual leave at a later date.

16.0 Related Policies

- [Sickness Absence Policy and Procedure](#)
- [Special Leave Policy](#)
- [Working Time Directive](#)

17.0 Local Agreement

- 17.1 This document is a local collective agreement between the Board and the recognised Trade Unions. Every effort will be made by both parties to ensure that this document will be maintained as a local collective agreement and adjusted by agreement to meet changing future needs. In the event of failure to reach agreement, both parties reserve the right to terminate this local agreement by giving four months' notice in writing. In such circumstances the terms of the local agreement will cease to apply to existing and future employees.

Appendix 1 – Table for Broken Periods of Service

The table below should be to calculate annual leave entitlement for:

- (i) new entrants with less than 1 year's service;
- (ii) employees leaving LVJB part way through a holiday year.

Completed Months of Continuous Service in Current Leave Year **	Annual Leave – Whole Year Entitlement		
	26 days	31 days	34 days
1	2	3	3
2	4	5	6
3	6	8	8
4	8	10	11
5	11	13	14
6	13	15	17
7	15	18	20
8	17	21	23
9	19	23	25
10	21	26	28
11	24	28	31

** A “complete month” means the period between a date in one month and the immediately preceding date in the following month (for example, 15 February to 14 March inclusive).

Cautious Premises Register Procedure

CAUTION PREMISES REGISTER PROCEDURE	
Approved By	Lothian Valuation Joint Board
Date of Approval	TBC
Owner	Hannah Carruthers, HR Manager
Issue	1
Identity	Caution Premises Register Procedure
Location of electronic copy	SharePoint
Location of paper copy	Human Resources
Change Authority	Human Resources, Corporate Leadership Team and Trade Unions
Review Frequency	Annual or as required by legislation
Next Review Date	August 2023

Issue	Author	Date	Details of Change
1	Hannah Carruthers	June 2022	New Policy.

Caution Premises Register Procedure

At LVJB the Health and Safety of our employees is paramount. Minimising exposure to unnecessary risks and hazards is key to our values and operational effectiveness.

There are a number of premises, within our geographical boundaries of responsibility, where there is potential for either physical or mental harm to LVJB staff who require to approach or visit the property.

To minimise the opportunity for our staff to be exposed to hazards or unwelcome behaviour in the course of their duties, LVJB has developed a “Caution Premises Register” which records the details of any properties which should not be visited by LVJB employees.

The Caution Premises Register can be viewed [here](#). Premises on the register are also flagged on our DVS system and EROS system.

Adding a property to the register must be done via completion of the Caution Premises Register – Registration Form. Details of the property, alongside justification for the registration, must be provided.

LVJB takes a zero-tolerance approach to work-related violence. Any employee who is the victim of assault whilst in the course of their duties or as a result of work must report the violent incident as soon as possible to their line manager. Please contact Hannah Carruthers, HR Manager, if you require any guidance or support.

Reasons for Registration on the Caution Premises Register:

Generally, a premises should be registered where there is a potential opportunity for any LVJB staff approaching the property to be exposed to risks or hazards. The table below provides some guidance on typical risks; however, this should not be considered to be an exhaustive list:

Known behaviour of occupant:	<p>Occupant is known to display aggressive or violent behaviour towards visitors.</p> <p>Occupant may have personal needs which require that visitors do not approach their property.</p>
Known behaviour of animals:	Premises is known to occupy pets which behave aggressively or dangerously towards visitors.

Known hazards at property:	Property is known to be hazardous. Examples may include: <ul style="list-style-type: none"> • Presence of unacceptable and potentially harmful levels of dirt/rubbish; • Presence of potentially harmful items such as used syringes; • Presence of faeces; • Presence of slippery or hazardous ground to access premises; • Inadequate lighting
Location:	Local environment is known to be dangerous for visitors.

Annual Review of Registered Premises:

The reasons for a premises being added to the register should be reviewed every 12 months. The review should consider if any circumstances related to registration on the register have changed. For example, checking if the occupant has changed, or any other relevant information known to us.

When the annual review has been undertaken, the form must be completed and submitted to HR.

Related Signposting:

- [Violence to Employees at Work Policy](#)
- Training is available on related subjects such as Conflict Management, Dealing with Difficult Situations and Communicating Effectively. Log into [My PaTH](#) to book onto the waiting list.

**Lothian Valuation Joint Board
Caution Premises Register – Registration Form**

Please complete the following form providing accurate and factual information and forward it to:
[Hannah Carruthers](#), HR Manager.

Details of Premises to be added to Caution Premises Register:	
Property Address (inc postcode):	
Reason/s property should be added to register:	Known behaviour of occupant: <input type="checkbox"/> Known behaviour of animals: <input type="checkbox"/> Known hazards at property: <input type="checkbox"/> Location: <input type="checkbox"/> Other (please specify): <input type="checkbox"/>
Please provide further details to substantiate why the property should be added to the Caution Premises Register:	
Could the property be approached with control measures in place, for example (not exhaustive): <ul style="list-style-type: none"> • Canvass only? • Two person visit? • Advance phone call or email? 	

Authorisation:	
Line Manager Name:	
Line Manager Comments:	
Date of Completion:	

HR Use Only:	
Property added to Caution Premises Register:	Yes: <input type="checkbox"/> No: <input type="checkbox"/>
Date property added to Caution Premises Register (if applicable):	
Date ICT Informed (add to DVS system):	
Review Due Date (12 months from submission):	

Review of Premises – (To be completed by original submitter)	
Date of Review:	
Are the reasons for inclusion on the Caution Premises Register still relevant? E.g., does the same occupant still live at the property? Have any of the circumstances changed?	
Should the property remain on the Caution Premises Register:	Yes: <input type="checkbox"/> No: <input type="checkbox"/>
If yes, please state reason/s property should remain on Caution Premises Register:	Known behaviour of occupant: <input type="checkbox"/> Known behaviour of animals: <input type="checkbox"/> Known hazards at property: <input type="checkbox"/> Location: <input type="checkbox"/> Other (please specify): <input type="checkbox"/>
Please provide further details to substantiate why the property should remain on the Caution Premises Register:	
If not, please provide further details to validate why the property should be removed from the Caution Premises Register:	

Declaration:	
Line Manager Name:	
Line Manager Comments:	
Date of Completion:	

HR Use Only:	
Property retained on Caution Premises Register:	Yes: <input type="checkbox"/> No: <input type="checkbox"/>
ICT Informed as appropriate:	
Review Due Date (12 months):	

GDPR: The information provided on this form will be processed in accordance with GDPR regulations and will only be disclosed within LVJB to members of staff who need to know it in order to carry out their duties. Relevant information will be disclosed outside LVJB where it is required by law to do so.

Probation Policy

PROBATION POLICY	
Approved By	Lothian Valuation Joint Board
Date of Approval	TBC
Owner	Hannah Carruthers, HR Manager
Issue	1
Identity	Probation Policy and Procedure
Location of electronic copy	SharePoint
Location of paper copy	Human Resources
Change Authority	Human Resources, Corporate Leadership Team and Trade Unions
Review Frequency	Annual or as required by legislation
Next Review Date	TBC

Issue	Author	Date	Details of Change
1	Hannah Carruthers	June 2022	New Policy

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1.0 Aims and Objectives

- 1.1 Subsequent and supplementary to Induction, the purpose of the Probation Policy is to support new employees to integrate successfully into their new role and LVJB as an organisation.
- 1.2 The probation process provides clarity to new employees in relation to understanding LVJB as an organisation, our culture and ways of working, alongside standards expected of employees in their roles.
- 1.3 The aim of this policy is to provide managers and employees with guidance on probationary periods and to ensure that this process is undertaken fairly and consistently across LVJB in accordance with equality and diversity principles.
- 1.4 LVJB recognises that a supportive and developmental probation process is vital in providing the appropriate level of support and training for new members of staff on commencement of their employment.

2.0 Scope of the Policy

- 2.1 This policy relates to all newly appointed employees, whose terms and conditions of employment state that their appointment is subject to a probationary period. Add to future Statements of Particular.
- 2.2 Performance issues which arise beyond the probation period should be raised with the HR Manager.

3.0 Monitor and Review

- 3.1 HR is responsible for monitoring the effectiveness of this policy and supporting procedures and will conduct reviews at appropriate intervals.
- 3.2 Anyone who feels they have been unfairly treated or discriminated against as part of probationary period process should notify the HR Manager.

- 3.3 All documentation relating to staff as part of probation will be treated with the utmost confidentiality and related documentation will be subject to the provisions of the General Data Protection Regulation (GDPR) as appropriate.

4.0 Equal Opportunities

- 4.1 LVJB is committed to equality of opportunity for all its employees and the terms of this policy and its supporting procedures and guidance notes are designed to ensure the fair and transparent treatment for all staff irrespective of age, race, disability, gender reassignment, marriage and civil partnership, pregnancy and maternity, sexual orientation, religion or belief, gender or contractual status. An Equality Impact Assessment is undertaken on this policy each time it is reviewed and updated.

5.0 Responsibility for this Policy

- 5.1 Human Resources. Any changes to this policy and supporting procedures will be made in consultation with appropriate bodies.
- 5.2 LVJB reserves the right to update HR Policies in line with new or updated Employment Legislation.

6.0 What is a “Probationary Period”?

- 6.1 The probationary period provides LVJB with an opportunity for communication and dialogue with the new employee around induction, orientation and performance during the early stages of employment and allows capacity to assess the performance, skills, capability and conduct of a new member of staff during the probation period.
- 6.2 The purpose of the probationary period is to maximise the support provided to new employees in order to ensure they have the required knowledge, skills and ability to efficiently undertake the role to which they have been appointed. It also gives new employees the opportunity to familiarise themselves with their new role and to assess their suitability to the post and to LVJB.
- 6.3 The length of the probation period will be stated in the terms and conditions of employment. **Add to future Statements of Particular.**

- 6.4 The probation period maximises opportunity to discuss the new employee's performance and development by utilising structured meetings alongside informal discussion as required. The length of probation and associated meetings will normally be:

Grade	Probation Period	First Review Meeting	Second Review Meeting	Final Review Meeting
GS1 – AP4	6 months	2 months	4 months	6 months
AP5 – PO3	9 months	2 months	6 months	9 months
PO4 – PO7	12 months	2 months	6 months	12 months
Temporary Posts	Dependant on exact contract length and grade. Seek advice from HR Manager.			

- 6.5 When an employee moves jobs within LVJB, and there is a subsequent problem of underperformance, support should be sought from the HR Manager, along with guidance in the Management of Performance procedure.

7.0 Procedure

- 7.1 All new employees should be fully supported to integrate into LVJB, their team, their working environment and their new role. The probation process should work alongside induction and My PaTH to help create a positive and supportive working environment.

7.2 My PaTH

- 7.2.1 Line Managers should ensure that new employees are fully aware of the expectations of them in their new role. As part of induction, new employees will liaise with their line managers to outline clear and measurable objectives and performance standards pertaining to the job description. Further guidance on objective setting can be found [here](#).
- 7.2.2 New employees should be encouraged to record their objectives and development requirements in My PaTH as early as is realistic to do so. It may be appropriate to record objectives up to the end of the scheduled probation period, or to the end of the current annual My PaTH cycle, depending on the employee start date. The objectives set out in My PaTH will ensure that the line manager and the new employee are clear about the key elements and expectations of the role.
- 7.2.3 The line manager and employee should reflect upon the objectives set at subsequent probation review meetings and routine meetings. Line Managers will regularly provide feedback to the employee to ensure the correct standards are achieved.

7.3 Routine Meetings

- 7.3.1 Day-to-day discussions are a quick, effective, and informal tool for managers to gauge a new employee's performance whilst offering the opportunity for the new employee to raise any concerns or request any support they might need. Day-to-day discussions should therefore take place as often as required, normally at agreed intervals, to ensure that an appropriate level of support is available.

7.4 Early Training and Development

- 7.4.1 Support, training and development needs must be identified and fulfilled for all new employees in order to ensure they receive all the relevant training required to support them in carrying out their role.

7.4.2 Mandatory Training Requirements

New employees are required to undertake any training identified as essential to their role, as part of their induction.

Additionally, all new employees are required to successfully complete the e-learning modules listed below within the probationary period, completion of the e-learning modules will be taken into account during probationary reviews.

- GDPR
- Security Awareness
- LVJB Complaints Handling Procedure

7.5 Probation Review Meetings

7.5.1 Line managers are responsible for setting review meetings with the employee and providing feedback on performance to date. The line manager and the employee should discuss elements of the role that are being achieved satisfactorily and also those areas where further support, guidance or training may be required.

7.5.2 Accurate records of review meetings must be kept. The job description and person specification are key documents and, together with the objectives set out in My PaTH, should be referred to during the probationary assessment process.

7.5.3 Employees should be informed that they will be assessed against role specific key objectives and training requirements during their probationary period.

7.5.4 Detailed advice and guidance on dealing with poor performance can be found in the Management of Performance Procedure.

7.6 First Review Meeting

7.6.1 A first review meeting should be scheduled to allow for a discussion to ensure that the employee's understanding of their role has matched their expectations, is settling in and for

feedback on performance so far to be provided. This check in should allow the opportunity for any concerns to be raised by either the employee or line manager and agreement reached on how to address them.

- 7.6.2 Good practice strongly recommends that any form of performance that does not meet an expected level should be addressed early on. This aims to prevent the issue from worsening and also to avoid condoning the level of unacceptable performance. A manager's awareness of a performance issue should be based on solid and objective information.
- 7.6.3 Where concerns are identified at this stage of the probation period, these should be discussed to identify areas where improvement is required, and the expected level of performance should be clearly outlined. Timescales for improvement must be agreed and any supportive measures or adjustments should be recorded and implemented. It may be appropriate to increase the frequency of day-to-day discussions between the line manager and the employee. It may also be appropriate for line managers to outline the risks of the employee's employment not being confirmed after probation, should their performance not improve.
- 7.6.4 In some circumstances, consideration may be given to redeployment within LVJB. Please refer to Appendix 3 – Redeployment Guidelines for further information.
- 7.6.5 Where the line manager and employee identify a medical condition or disability which is affecting performance, advice should be sought from the HR Manager.
- 7.6.6 Following the First Review Meeting, line managers should continue to use day to day discussions to support a high level of performance, or to support the employee to improve their performance if appropriate.

7.7 Second Review Meeting

- 7.7.1 A second review meeting should be arranged, in order to review the employee's performance to date and progress against objectives set.
- 7.7.2 This meeting provides the manager with an opportunity to offer praise and commendation for good or high performance to date.
- 7.7.3 The second review also provides a further opportunity to discuss any concerns which may have arisen and to reflect on any training, development or support requirements. Reviewing

the effectiveness of any support which has been put in place to date should also be undertaken at this stage.

- 7.7.4 Mandatory training, such as “on the job” training, along with GDPR and Security Awareness e-learning modules, should be reviewed at this stage, to ensure that it is completed ahead of the six months review.
- 7.7.5 As before, where concerns are identified at this stage of the probation period, these should be discussed to identify areas where improvement is required, and the expected level of performance should be clearly outlined. Timescales for improvement must be agreed and any supportive measures or adjustments should be recorded and implemented. Where improvement is required at this stage, it may be appropriate to increase the frequency of day-to-day discussions between the line manager and employee or to hold more structured review meetings on a regular basis.
- 7.7.6 It may also be appropriate for line managers to remind the employee of the risk of the employee’s employment not being confirmed after probation, should their performance not improve. Where it is deemed at this stage that dismissal may be a potential outcome of the final review, advice and support should be sought from the HR Manager.
- 7.7.7 In some circumstances, consideration may be given to redeployment within LVJB. Please refer to Appendix 3 – Redeployment Guidelines for further information.
- 7.7.8 Following the Second Review Meeting, line managers should continue to use day to day discussions to support a high level of performance, or to support the employee to improve their performance if appropriate.

7.8 Final Review Meeting

7.8.1 Satisfactory Probationary Performance

- 7.8.1.1 Where satisfactory performance has been demonstrated throughout the probation period, the line manager should review with the employee what has gone well during the first six months and ensure objectives for the remainder of the My PaTH annual cycle are clearly outline and agreed by the employee. The line manager should continue to support the employee and review their performance on an ongoing basis as appropriate.

7.8.1.2 The line manager should record the outcome on the Probation Checklist and forward this to the HR Manager. Consider adding checklist to My PaTH in future.

7.8.1.3 The HR Manager will confirm the successful probation to the employee in writing.

7.8.2 Extending the Probationary Period

7.8.2.1 In exceptional circumstances the probationary period may be extended for a further specified period, normally a minimum of three months and not more than six months.

7.8.2.2 When a line manager is considering extending a probation period, they must seek advice and guidance from the HR Manager. The justifiable reasons for extending a probationary period include:

- i. Where there is a good reason why it has not been possible to assess an employee's performance during the initial probation period of 6 months, for example the employee has been absent for a significant proportion of this period, or
- ii. Where the required improvement has not been made, but where further time, for example to attend appropriate training courses, will allow such improvement to happen.

7.8.2.3 Where a probationary period is to be extended, the employee should be informed of this at the final review meeting. During this meeting the employee must be informed of the reasons for the extension and the period of extension should be specified. This must then be confirmed in writing and a copy placed on the employee's personal file.

7.8.2.4 Managers must ensure that any extension to the probationary period is for reasonable and justified reasons.

7.8.2.5 Where a probation period is extended the manager will hold regular, for example weekly or fortnightly, review meetings with the employee to continue to assess their performance. Notes must be made of discussions had at these meetings and retained on the employee's personal file.

7.8.3 Unsatisfactory Probationary Performance

7.8.3.1 Where continued poor performance does not improve, despite additional support, within agreed timescales, managers should seek advice from the HR Manager.

7.8.3.2 The employee should be asked to attend a meeting in relation to their performance. This must be in writing and set out the grounds for the meeting. At least five days' notice of the meeting should be provided. The staff member should be informed that a colleague or trade union representative may accompany them to the meeting. The HR Manager should attend the meeting. The meeting should take place in a private and confidential space.

7.8.3.3 At the meeting, the manager should clearly set out:

- The reason for the meeting taking place;
- The performance issues which have been identified and discussed throughout the probation period (including specific examples);
- Where the performance falls short of the required standard;

- When the performance issues were first identified and the period of time over which the performance has been assessed;
- The level of consultation which has taken place with the employee throughout their probation period;
- Support measures which were identified, recorded and implemented to aid the employee to improve their performance to a satisfactory standard.
- Any mitigating factors, such as reasons provided by the employee, or required adjustments or advice provided by Occupational Health.
- Dismissal is a possible outcome.

7.8.3.4 The employee should then be given the opportunity to respond.

7.8.3.5 The manager should confirm the timescale required to consider all the available information. This should be no longer than five working days.

7.8.3.6 Consideration may be given to redeployment within LVJB. Please refer to Appendix 3 – Redeployment Guidelines for further information.

8.0 Procedure for Dismissal

- 8.1 If the employee is not able to give a reasonable explanation for their continued poor performance, the manager may consider that dismissal is the most appropriate decision. In such circumstances, the manager and HR Manager should refer the case to the Assessor.
- 8.2 The employee should be informed of the decision in writing, including full reasons for the outcome.
- 8.3 Where the employee is dismissed, LVJB standard notice periods apply.

9.0 Early Dismissal

- 9.1 Where it is established at an early stage that an employee is unsuitable for the role (and where there is documented evidence that the need for improvement has been discussed) it may be appropriate for the Assessor to consider ending the probation process early (i.e. dismissing the employee), without having to wait until the 6 month point. HR advice must always be sought in these circumstances.
- 9.2 In order to determine how the performance/conduct issue should be dealt with, the following questions need to be considered:
 - what indications are there that the member of staff is not measuring up to the expectations required by the job?
 - are there objective grounds to indicate performance/behaviour/conduct does not meet the expected level?
 - have there been complaints about, or criticisms of, the member of staff's work from stakeholders or staff?
 - does the manager's own observations identify a dissatisfaction with the member of staff's performance?

10.0 Appeals Procedure

- 10.1 If an employee wishes to appeal the outcome of the decision taken at their final probation meeting, they should outline the full grounds for appeal and submit this to the HR Manager within five working days of receipt of LVJB's decision.
- 10.2 The appeals procedure should be utilised where the employee regards the outcome as unreasonable and should be reviewed by the Assessor. It is not intended to re-assess the entire case. Grounds for appeal should typically fall within one of the following:
- Procedural error or irregularity.
 - The outcome and recommendations are unreasonable.
 - New information is now available which could not have been reasonably provided within the timeframe of the original outcome being reached. If the employee raises any new matters in their appeal, these may need to be investigated appropriately.
- 10.3 Appeals will be heard by the Assessor. The Assessor will treat all information strictly confidentially.
- 10.4 The employee will be invited to attend an appeal hearing within 10 working days of receiving the written request to appeal and will normally be given at least five working days' notice. The employee has the right to be accompanied by a work colleague or by a trade union representative to the appeal hearing.
- 10.5 The appeal hearing will be a review of the original decision, considering any new information.
- 10.6 The outcome of the appeal hearing will be given in writing within 5 working days of the date of the appeal.
- 10.7 Where an appeal is upheld and an appellant is reappointed, it may be appropriate for them to return to their role subject to an ongoing probation period if this is appropriate in the circumstances.
- 10.8 If the appeal is not upheld, there is no further right of appeal and dismissal of the employee will stand.

11.0 Absence During the Probation Period

- 11.1 Sickness absence during the probationary period will be dealt with in line LVJB's Sickness Absence Management policy and procedures.
- 11.2 Where an employee has a substantial amount of absence due to sickness during the probationary period, the manager may extend the duration of the probation period.
- 11.3 Where a probationary employee takes maternity, adoption or shared parental leave then their probation period will be extended accordingly on their return from leave. HR advice should be sought in such cases to ensure all appropriate steps are taken to support the employee during their probation period.

12.0 Related Policies:

- Management of Performance Procedure (link TBC)
- [Recruitment and Selection Policy](#)
- [Sickness Absence Management Policy](#)
- [My PaTH information.](#)
- [Disciplinary Procedure](#)

Appendix 1 - Probation Checklist

This form is intended to support managers and employees in line with the Probation Policy. The form should be used to both guide and record a series of probationary meetings as summarised in the table below. Full details on the process can be found in the Probationary Policy.

Name of Employee:	
Position Title:	
Department:	
Start Date:	
Manager Name:	

Probation Meeting Tracker				
Meeting	Timescale	Date Due	Complete Y/N	Notes
Induction Meeting	First Week			
First Review Meeting				
Second Review Meeting				
Final Review Meeting				

Probation Training Tracker	
E-Learning:	Date Complete:
GDPR	
Security Awareness	
Training Identified as part of induction:	Date Complete:

Appendix 2 - Template Performance Improvement Plan

Employee Name:				
Line Manager:				
Objective	Performance Level Required	Performance Shortfall or Gap	Development Plan: To achieve the required standard	Progress Update Such as performance progress update and notes of any interim reviews and dates
Date of Review:				
Employee Signature:				
Date:				
Line Manager Signature:				
Date:				

Appendix 3 - Redeployment Guidelines

General Principles

The opportunity for redeployment is dependent on a suitable vacancy being available. A role cannot be created to achieve redeployment for an individual.

Redeployment is made in agreement and will not be imposed on an employee. However, should the employee refuse an opportunity of redeployment the employee will be fully advised of the potential consequences (i.e. potential dismissal).

Employees who wish to pursue redeployment will need to apply for the vacant role in line with the normal recruitment process. Redeployment will be an open recruitment and selection process alongside other candidates who wish to apply.

Consultation

Working in partnership with the HR Manager, it is the responsibility of the manager to highlight the options available to the employee. This conversation should also include retraining and development needs as well as potential secondment opportunities. Consideration must be given to the individual employee's needs and abilities and managers may wish to consider some of the following areas:

- Gaining a clearer understanding of the employees skills, abilities and strengths. This may be by the use of various assessment tools such as practical exercises or psychometric developmental assessment tools.
- Areas in which the employee is currently effective.
- Skills that have been used in the past and are retained by the employee, even if not currently used.
- Specific areas of interest to the employee.
- Areas of interest outside of work that requires skills and abilities that are not currently in use in the work context.
- Employee personal circumstances, such as those that might affect working hours.
- Training and development requirements and availability.

Training and Development

In some cases, the employee will require an element of retraining to the new role, and this may require a specific training plan. Retraining should be relevant, appropriate to ability of the individual and their circumstances and focused on the needs of the redeployment role. Ideally any arrangement should be accompanied by coaching or mentoring as well as potentially on the job training.

Offer of Redeployment

Any offer of alternative employment, or change in terms of employment, will be detailed in writing in a formal offer. This will include a probationary period in the new role. To ensure the employee gets the best start in their new role, a tailored induction plan should be created by the manager.

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9.30am, Monday 5th September 2022

Period 4 Financial Statement 2022/23

1. Recommendations

The Board is recommended to note:

- 1.1 the projected outturn position for 2022/23;
- 1.2 note that a further update of the 2022/23 projected outturn and financial risks will be reported to the Board on 24th October 2022.

Hugh Dunn,

Treasurer

Contact: Iain Shaw, Principal Accountant,

Finance and Procurement, Corporate Services Directorate, City of Edinburgh Council

E-mail: iain.shaw@edinburgh.gov.uk | Tel: 0131 469 3117

Period 4 Financial Statement 2022/23

2. Executive Summary

- 2.1 The forecast is for net expenditure to be £35,000 greater than the approved revenue budget of the Board, based on the position at 31st July 2022. This will require to be funded from the Board's unallocated General Reserve, if this position is maintained until the end of 2022/23 financial year.

3. Background

- 3.1 The Board's Financial Regulations require presentation of quarterly expenditure monitoring statements. This report summarises the projected outturn at 31st March 2023, based on the position at 31st July 2022. The report has been prepared in consultation with the Assessor and ERO.

4. Main Report

- 4.1 The table below compares projected expenditure for 2022/23 with the approved budget. The forecast is for net expenditure to be £35,000 greater than budget.

	Core Budget and Individual Electoral Registration			Non-Domestic Rates Reform Budget			Total		
	Budget £'000	Forecast £'000	Variance £'000	Budget £'000	Forecast £'000	Variance £'000	Budget £'000	Forecast £'000	Variance £'000
<u>Expenditure</u>									
Employee costs	4,408	4,533	125	353	244	(109)	4,761	4,777	16
Premises costs	611	533	(78)	0	0	0	611	533	(78)
Transport costs	51	51	0	0	1	1	51	52	1
Supplies & Services	704	692	(12)	21	129	108	725	821	96
Third Party Payments	140	140	0	0	0	0	140	140	0
Support Services	67	67	0	0	0	0	67	67	0
Gross Expenditure	5,981	6,016	35	374	374	0	6,355	6,390	35
<u>Income</u>									
Sales, Fees & Charges	(42)	(42)	0	0	0	0	(42)	(42)	0
Interest	(3)	(3)	0	0	0	0	(3)	(3)	0
Total income	(45)	(45)	0	0	0	0	(45)	(45)	0
Net Expenditure	5,936	5,971	35	374	374	0	6,310	6,345	35

- 4.2 The forecast variance reflects a budget pressure on the employee budget. The approved budget includes an assumption of employee turnover savings of

£0.130m in 2022/23. There were savings of £0.248m in employee costs in 2021/22. At this stage of the financial year, limited turnover has occurred. This forecast will be subject to ongoing review throughout the year.

- 4.3 Following confirmation of the 2021/22 outturn, a realignment of budget heads has been undertaken to reflect the current operating costs of the Board. The realignment has taken account of an additional annual budget pressure of £47,000 occurring as a consequence of the first upward rent review of the Board's office accommodation at 17 South Gyle Crescent, Edinburgh, since taking occupancy in January 2007. The revised annual rental value has been independently assessed.
- 4.4 Constituent councils have funded £374,000 towards the Board's costs of implementing Non-Domestic Rates Reform (NDR) in 2022/23. This funding reflects the NDR reform funding included in the Scottish Government Local Government Finance Settlement 2022/23. It is forecast all this funding will be fully spent in 2022/23, with employee and ICT expenditure being incurred.
- 4.5 The Board's approved budget for 2022/23 includes £89,000 for delivery of Individual Electoral Registration (IER), with £80,000 to be met from an earmarked usable reserve and £9,000 from the core budget. No Cabinet Office funding has been advised for 2022/23.
- 4.6 In February 2018 the Board approved a formal reserves policy based on holding a general reserve with a minimum value of 3% of annual requisition (£0.180m). Balances held in excess of 3% require to be reviewed annually in-line with risk and identified commitments.
- 4.7 The Board's unaudited general reserve balance at 1st April 2022 is £1.450m. £0.148m is earmarked for future costs of NDR Reform and £0.080m is earmarked for Individual Electoral Registration. The non-earmarked usable reserve balance is £1.222m. The audited general reserve balance will be reported to the Board at its meeting on 24th October 2022, when the audited annual accounts are presented for approval.
- 4.8 An update on the financial risks identified in the report to Lothian Valuation Joint Board's meeting of 7th February 2022 - [Revenue Budget 2022/23 and Indicative Financial Plan 2023/24 - 2026/27](#) - is included at Appendix 1.
- 4.9 Two additional financial risks have been added to the Risk Register to reflect:
 - 4.9.1 the current uncertainty as to the final value of the 2022/23 Local Government pay award. Following confirmation of the agreed pay award, liaison with constituent councils and a review of the Board's unallocated General Reserve will be undertaken, as required;
 - 4.9.2 potential additional energy costs, in view of the current increases in energy costs. The Board's office energy is procured as part of the City of Edinburgh Council's energy contracts. The City of Edinburgh Council is seeking to mitigate price increases in 2022/23 as far as possible.

5. Background reading/external references

- 5.1 [Revenue Budget 2022/23 and Indicative Financial Plan 2023/24 - 2026/27](#) – report to Lothian Valuation Joint Board 7th February 2022

6. Appendices

- 6.1 Appendix 1 – Financial Risk Analysis

Appendix 1 – 2022/23 Financial Risk Analysis

Risk	Detail	Mitigation
Pay Award	The 2022/23 revenue budget makes provision for a pay award of 3%. Each additional 1% is estimated to cost £45,000.	Liaison with constituent councils and review of the Board's unallocated General Reserve.
Office Energy costs	Energy budgets are based on full office occupancy and include an uplift for anticipated price increases. Given the current volatility in energy costs, there is a risk of additional cost.	Ongoing tracking of cost throughout 2022/23. Liaison with City of Edinburgh Council Energy and Sustainability Team.
Funding for additional costs of Non-Domestic Rates Reform	The estimate provided to the Scottish Government for additional cost for the Board is £0.374m for 2022/23. Failure to receive Scottish Government funding will impact on delivery of the required changes.	Fully mitigated - constituent councils have paid the funding of £0.374m, which was included in the Local Government Settlement 2022/23 to the Board.
Cost of Individual Electoral Registration (IER)	Following process change, the Assessor and ERO anticipates the additional cost incurred on IER will require to be met from the core budget from 2023/24. A risk remains that additional costs shall continue to be incurred following the introduction of the annual canvass procedure.	Use of Cabinet Office IER grant funding carried forward from previous years to meet IER costs in 2022/23. Ongoing tracking of cost throughout 2022/23.
Additional costs to deliver services during Coronavirus Pandemic.	The Board will continue to track all expenditure incurred during the COVID-19 Pandemic.	Ongoing tracking of cost throughout 2022/23. Liaison with Scottish Assessor's Association.
Elections/Referendums – budget risk £0.050m	The possibility of either elections or referendums being called within short timetables, or dual electoral events occurring within a year is a financial risk in terms of staff overtime or the use of short-term temporary staff to meet the demand placed on the electoral registration process.	Ongoing tracking of cost throughout 2022/23.
Transformation Change costs	The cost of the Transformation Programme exceeds estimates.	Ongoing tracking and review of cost estimates.
Economic Changes	An increase in the number of rateable value appeals would have a significant impact on staff resources to achieve disposal by the statutory date of 31 December 2023.	Legislative changes being progressed by the Scottish Government may mitigate this risk.
Council Tax Reform	Any major legislative change to Council Tax that impacts on the Board is unlikely to be managed within current budgetary provision.	Ongoing liaison with Scottish Assessor's Association and Scottish Government.

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9.30am, Monday 5th September 2022

Recruitment of a new Assessor and Electoral Registration Officer

1. Recommendations

- 1.1 The Board is recommended to note the proposed recruitment timetable detailed at Appendix 1.

Hugh Dunn,

Treasurer

Contact: Steven Wright, Lead Consultant (Strategy),

Human Resources Division, Corporate Services Directorate, City of Edinburgh Council

E-mail: steven.wright@edinburgh.gov.uk | Tel: 0131 469 3177

Recruitment of a new Assessor and Electoral Registration Officer

2. Executive Summary

- 2.1 The current Assessor and Electoral Registration Officer has indicated the intention to retire. This report identifies a timetable for appointment of a new Assessor and Electoral Registration Officer and notes that the Board is recommended to set up an Appointment Committee elsewhere on his agenda.

3. Background

- 3.1 The current Assessor and Electoral Registration Officer has indicated an intention to retire on 30th September 2022. This report identifies a timetable for appointment of a new Assessor and Electoral Registration Officer and notes that, in a report elsewhere on this agenda, Lothian Valuation Joint Board ('The Board') is recommended to set up an Appointment Committee.

4. Main Report

- 4.1 On 23rd June 2022 the Assessor and Electoral Registration Officer – Gary Elliott - formally advised the Chief Executive and Clerk to the Board of his intention to retire on 30th September 2022.
- 4.2 In view of timescales and to ensure service continuity, Members of the Board were advised by email on 4 August 2022 of a preference to commence the recruitment process in advance of the next meeting of the Board on 5th September.
- 4.3 Following the process previously adopted by the Board in similar circumstances in 2020, an interim appointment is planned, with a permanent recruitment process to be undertaken in the first quarter of 2023.
- 4.4 The interim recruitment process will be supported by the Treasurer to the Board and the City of Edinburgh Council's HR Service.
- 4.5 A timetable for the recruitment process is included at Appendix 1.

- 4.6 In a report “Appointments to Committees and the Joint Consultative Group” elsewhere on this agenda, the Board is recommended to set up an Appointment Committee.
- 4.7 The membership of the Appointment Committee should be made as follows:
- City of Edinburgh Council - 2 Members;
 - East Lothian Council - 1 Member;
 - Midlothian Council - 1 Member; and
 - West Lothian Council - 1 Member.
- 4.8 Members nominated to the Appointment Committee should have attended their own authority’s induction/training for Senior Officer appointments.

5. Financial Implications

- 5.1 Recruitment costs will be contained within the Board’s 2022-23 revenue budget..

6. Background reading/external references

- 6.1 [Lothian Valuation Joint Board Standing Orders](#)

7. Appendices

- 7.1 Appendix 1 – Proposed Recruitment Timetable

Appendix 1 – Proposed Recruitment Timetable

Key Activity / Milestones	Proposed Timescales
Email invitation issued for applications to a nine-month Interim role.	Monday 22 nd August
Closing date for applications.	Friday 2 nd September
Lothian Valuation Joint Board agree nominations for an Appointment Committee.	Monday 5 th September
Interviews	Tuesday 13 th September (subject to availability)
Interim role commences	Monday 3 rd October



Appointments to Committees and the Joint Consultative Group

5 September 2022

Purpose of report

- 1 To invite the Board to re-establish its Committees and Groups, approve their remits and appoint membership and Conveners.
- 2 The Board on 13 June 2022 agreed that the establishment and appointments be continued to this meeting to allow members time to consider their nominations.

Main report

- 3 The Board had previously established an Appointment Committee to undertake the recruitment and appointment of senior staff, an Appeal Committee to deal with disciplinary and grievance issues and a Joint Consultative Group (JCG) to provide a means of regular consultation between it and employees' representatives on a range of issues.
- 4 Each group has comprised five members from among each of the constituent Councils as follows:
 - City of Edinburgh - 2
 - East Lothian - 1
 - Midlothian - 1
 - West Lothian - 1
- 5 The remits of the Committees and the JCG are detailed in the appendices to this report. The Board is required to appoint Conveners and members of these Committees and the JCG.
- 6 In November 2020, the LVJB agreed to establish a Governance and Strategy

Group, the remit of which is set out at Appendix 4. The Convener of the LVJB is the Chair of the Group with one member from each of the other three constituent authorities. The Board is also asked to appoint members to this group.

Recommendations

7 The Joint Board is asked:

- 7.1 To re-establish the Appointment and Appeal Committees, the Joint Consultative Group and the Governance and Strategy Group.
- 7.2 To approve the remits detailed in Appendices 1 to 4 to this report.
- 7.3 To appoint the membership and the Conveners of the Appointment and Appeal Committees and of the Joint Consultative Group.
- 7.4 To appoint the membership of the Governance and Strategy Group.

Andrew Kerr

Chief Executive and Clerk

Appendices	1	Remit of the Appointment Committee
	2	Remit of the Appeal Committee
	3	Remit of the Joint Consultative Group
	4	Remit of the Governance and Strategy Group
Contact/tel	Rachel Gentleman, Office of the Chief Executive and Clerk rachel.gentleman@edinburgh.gov.uk	
Background Papers	None	

LOTHIAN VALUATION JOINT BOARD

APPOINTMENT COMMITTEE

REMIT

- 1** The Appointment Committee shall be authorised to act on behalf of the Board on all matters of selection and appointment of the Assessor and Electoral Registration Officer of the Lothian Valuation Joint Board.
- 2** Membership of the Committee shall comprise: -

Members:

The City of Edinburgh Council	-	2 Councillors
East Lothian Council	-	1 Councillor
Midlothian Council	-	1 Councillor
West Lothian Council	-	1 Councillor

Total 5

Advisers (non-voting):

Chief Executive and Clerk to the Valuation Board

Personnel Adviser to the Valuation Board

- 3** The quorum for meetings of the Committee shall be 3 members.
- 4** The Convener of the Committee shall be appointed by the Valuation Board. In the absence of the Convener at any meeting, the Committee will elect a Chair from its members.
- 5** Members will be permitted to appoint a substitute to attend in their place, in accordance with the requirements of the Board's Standing Orders.
- 6** All members (and any substitute member) will require to have attended an approved training course for the purpose of selection of Chief Officers.
- 7** All members (and any substitute members) will be subject to the general requirement to have attended all the stages of the selection process i.e. any short-leeting (or long-leeting) and interviews of all candidates when participating

in the selection process.

- 8** The Chief Executive and Clerk to the Valuation Board, in consultation with the Convener of the Committee, will be responsible for calling meetings of the Committee.
- 9** The Chief Executive and Clerk shall report on any appointment made to a meeting of the Valuation Board.

LOTHIAN VALUATION JOINT BOARD

APPEAL COMMITTEE

REMIT

To decide appeals by staff in regard to disciplinary action, gradings, grievances and disputes or in other appropriate circumstances, in terms of the Joint Board's policies in these matters.

LOTHIAN VALUATION JOINT BOARD

JOINT CONSULTATIVE GROUP

REMIT

- 1 To provide a means of regular consultation between the Board and employees' representatives, on matters affecting the employment and conditions of service of Board employees, always provided that no question of an individual's pay, wage, grading, discipline, promotion or efficiency shall be within the scope of the Joint Group.
- 2 To consider and offer observations on any proposals made by the Board involving substantial administrative reorganisation to the extent to which it affects the pay and conditions of employment of the employees of the Board.
- 3 To consider and report on any matter which may be referred to the Joint Group by the Board or by any of the employee organisations.

LVJB GOVERNANCE AND STRATEGY GROUP

TERMS OF REFERENCE

Purpose

Ensure consistency in respect of governance and service assurance matters

Overseeing compliance with corporate governance reflecting the principles of the Delivering Good Governance in Local Government framework

Participate in open discussion to help define direction/resolution on current & future organisational objectives and challenges

Membership

- The Governance & Strategy Group (GSG) shall comprise of sole Councillor representation from each Constituent Authority, The Assessor and the Head of Governance.
- Only members of the GSG have the right to attend GSG meetings.
- The Board Convenor will be the GSG chair. In the absence of the GSG chair and/or an appointed deputy at a GSG meeting, the remaining members present shall elect one of themselves to chair the meeting.

Role	Name & Position
Chair of GSG	Convener of the LVJB
GSG members	1 Councillor from each constituent authority (except the authority which is represented by the Chair)
GSG member	Assessor and ERO
GSG member	Head of Governance, LVJB
Support	Committee Services, CEC

Quorum

The quorum necessary for the transaction of business shall be either the Chair or Councillor representation and the Head of Governance

Frequency of meetings

- The GSG shall convene not less than twice a year and at such other times as required
- The Chair of the GSG, Councillor representation, The Assessor and the Head of Governance may request a meeting if they consider one is necessary
- Meetings may be held using video conferencing facilities

Notice of meetings

Unless otherwise agreed by the GSG, notice of each meeting confirming the venue, communication method, time and date shall be notified 4 weeks in advance. All supporting papers, shall be issued to each member of the Group no later than one week before the date of the meeting.

Record of meetings

Committee Services, or their nominee, shall be the secretary of the Group.

Responsibilities

The GSG will provide oversight to the Board on LVJB Governance matters. The GSG shall also play an active role in formulating future strategic programmes and the overarching vision of the LVJB.

In particular, the GSG shall:

- monitor overall compliance with the core LVJB Corporate Governance principles of accountability, transparency and effectiveness & efficiency
- be aware of, and play an active role in, the development of the organisations strategic direction
- review and appraise LVJB governance assurance and activity reports
- provide a focal point for the discussion of LVJB operational and organisational issues
- monitor LVJB performance with regard to Corporate and Service plan targets and objectives
- be aware of future LVJB Governance goals and assess their progress

- review and assess the status of the Business Strategy 2020-2023 to ensure transparency into the status of the phased approach and its associated financial implications.
- ensure that the organisation implements internal and external audit management actions within their identified timescale
- offer, support, advice and guidance to longer term visionary objectives of LVJB
- monitor the progress of the ongoing LVJB transformation programme with particular focus on the key software development projects that underpin organisational and legislative change

Other matters

The GSG shall:

- have access to sufficient resources in order to carry out its duties
- arrange for periodic reviews of its own performance and, at least annually, review its constitution and terms of reference to ensure it is operating at maximum effectiveness and recommend any changes it considers necessary to the Board.

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