



## **Building Standards Verification Service**

### **BALANCED SCORECARD**

**2016 - 2017**



**16/17 (V3.0)  
6/5/2016**

## DOCUMENT HISTORY

<b>Version Number</b>	<b>Date Approved</b>	<b>Approved By</b>	<b>Description</b>
<b>1.0</b>	<b>19.5.16</b>	<b>Planning Committee CEC</b>	<b>The approval process went through council officers and was then approved by Council members</b>

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# 1. INTRODUCTION TO THE LOCAL AUTHORITY

## The Balanced Scorecard Approach

The balanced scorecard is a strategic planning and management tool that is used in business organisations to align business activities to the vision and strategy of the organisation, improve internal and external communications, and monitor performance against strategic goals.

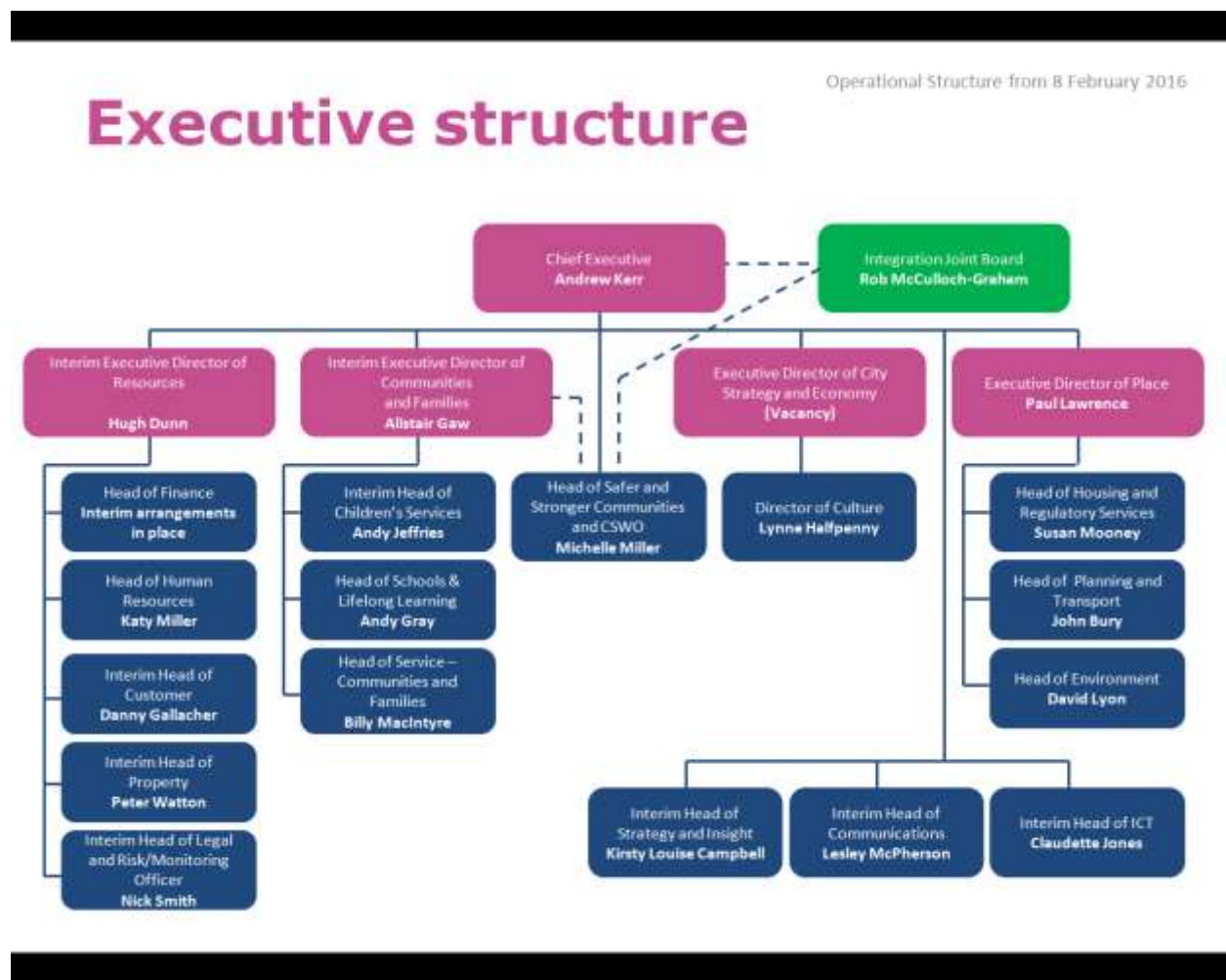
Building Standards verifiers in Scotland are required to utilise the balanced scorecard as a means of managing, monitoring, reviewing and developing strategies for their businesses with a focus on the three core perspectives listed below and the public interest and continuous improvement cross-cutting themes:

- Professional Expertise and Technical Processes
- Quality Customer Experience
- Operational and Financial Efficiency

## Council Information

The City of Edinburgh Council area currently has a population of 487,500 people and covers a landward area of 262 square kilometres. See the map in section 2 which includes the Building Standards team areas.

The Council department structure as of 8 February 2016 is as follows:-



The physical environment of Edinburgh is a mixture of Urban and Rural with concentrations of population in the urban areas.

The major employers and main employment sectors can be seen in the following table:

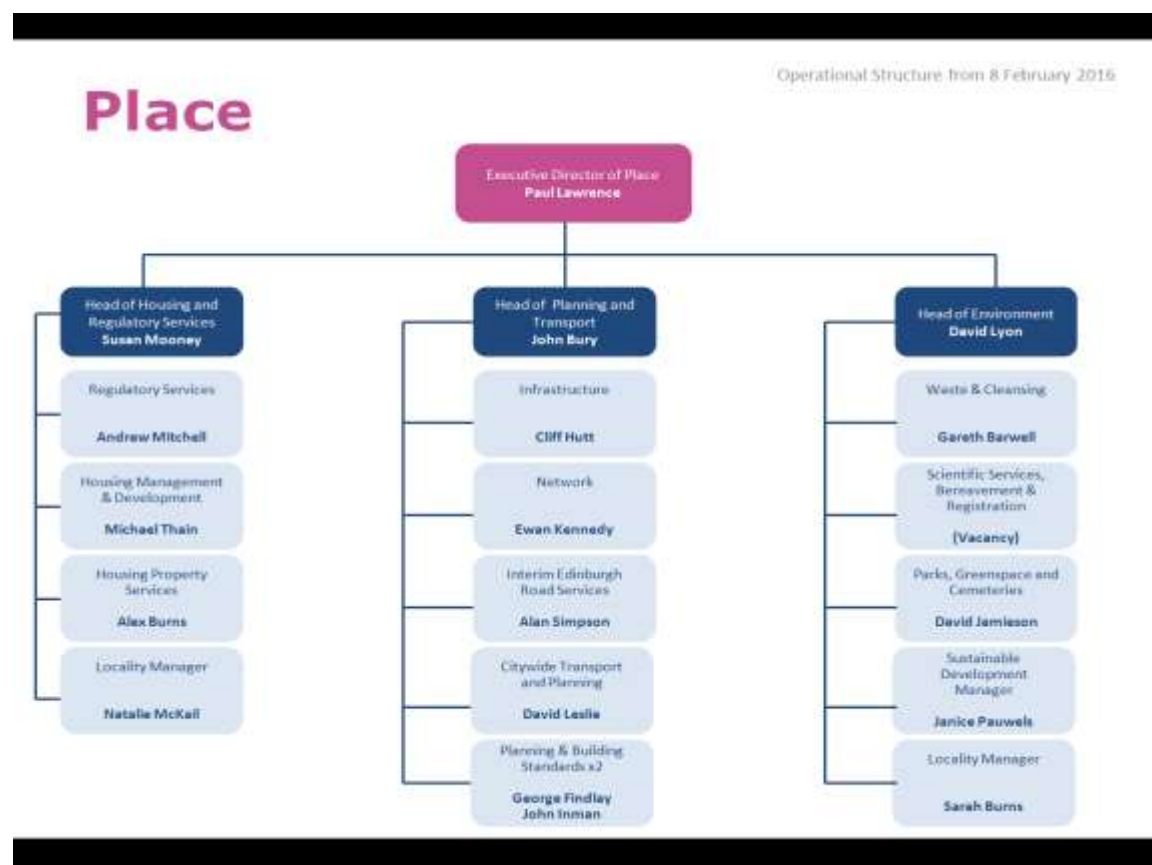
EDINBURGH'S LARGEST EMPLOYERS BY HEADCOUNT (2014)				
Rank	Employers	Sector	Headquarters	Employees
1	NHS Lothian	Public Sector	Edinburgh	19,500
2	The City of Edinburgh Council	Public Sector	Edinburgh	19,260
3	University of Edinburgh	Higher Education	Edinburgh	12,650
4	Lloyds Banking Group	Banking	London	9,000
5	Royal Bank of Scotland	Banking	Edinburgh	8,000
6	Standard Life	Insurance and pensions	Edinburgh	5,000

*Source: The City of Edinburgh Council, Edinburgh Employers Survey*

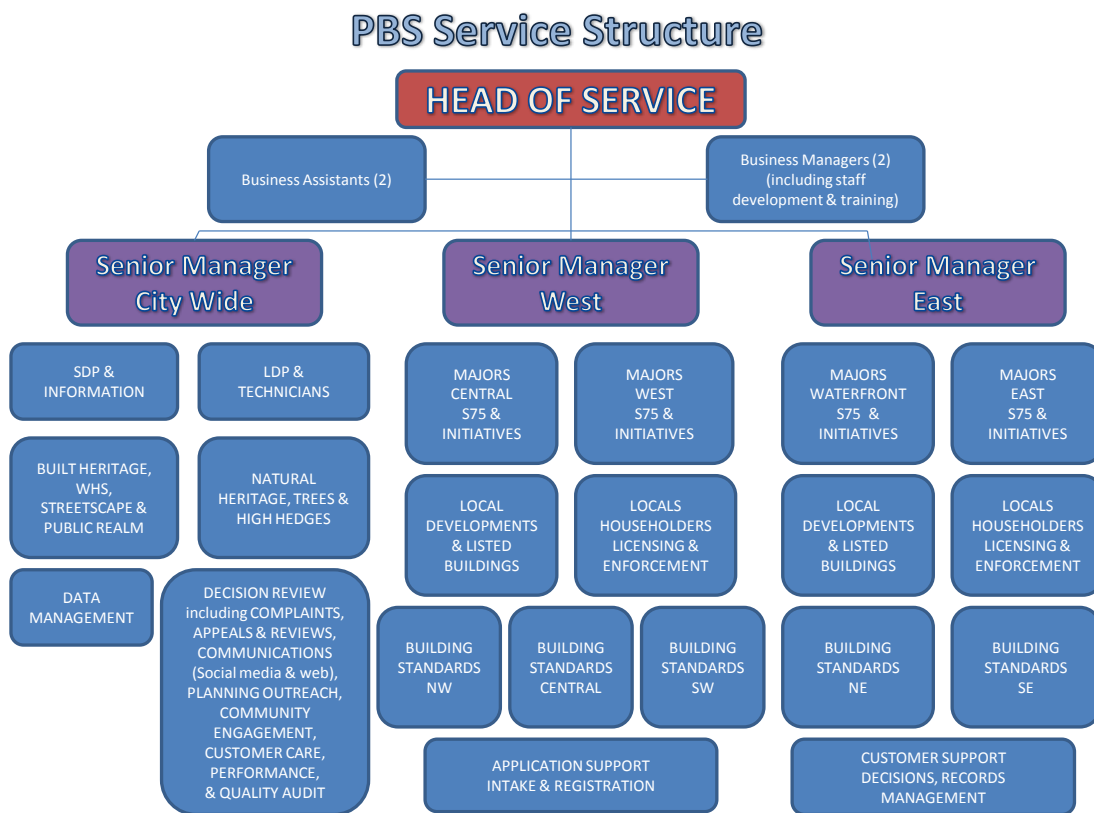
### The Building Standards Section

The Building Standards section is located within the Planning and Transport division of the Directorate of Place.

The Directorate of Place has three divisions - Planning and Transport, Environment and Housing and Regulatory Services.

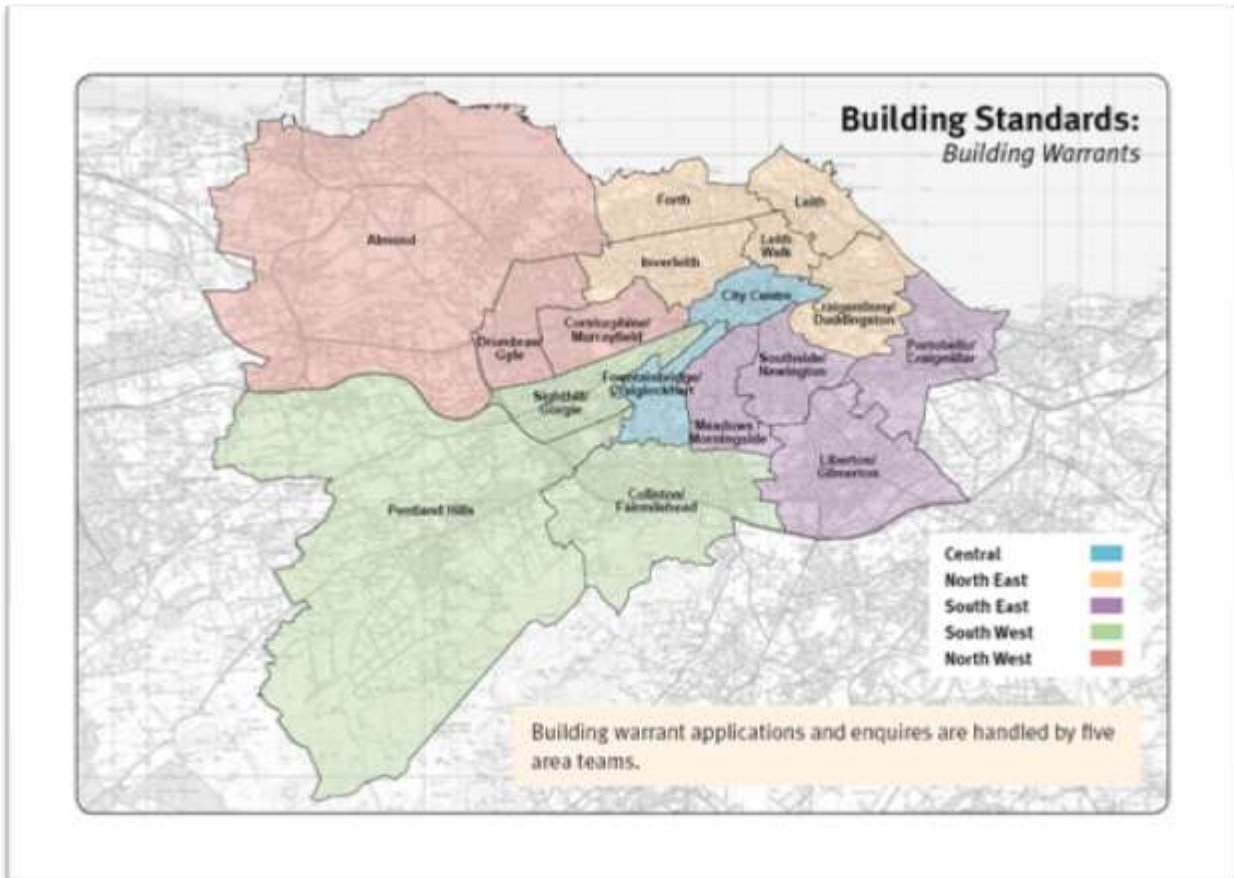


Building Standards sits within Planning and Transport. Currently the reporting structure for Building Standards is illustrated in the following chart:



This structure dates from 27 October 2014.

The verification service for The City of Edinburgh Council is operated on an area basis and is illustrated in the map on the following page. The only non verification functions which Building Standards deal with is to report on Liquor License applications to the Edinburgh Licensing Board and carry out a small amount of property inspection work under the Council's 'Property Services for Homeowners' scheme. (ie Letters of Comfort) for which the Council charges a separate fee. Other licensing activities are dealt with by the Public Safety section of the Council which is located in the Corporate Governance Department.



**The City of Edinburgh Council Area Map with Building Standards Teams**

## 2. BUILDING STANDARDS VERIFICATION SERVICE INFORMATION

### Service Description

The service operates mainly from the City of Edinburgh Council's Headquarters building located at 4 East Market Street, in the centre of the City. A mobile working scheme for staff is also operated by the section whereby approximately 40% of the technical staff for 2 days each week operate from one of the satellite offices located in different areas of the City when carrying out their site inspection work. In addition, home working has been added to the current work style options available for staff.

The Building Standards service in the City is one of the largest Building Control operations in the UK in relation to both the number of building warrant applications processed each year and the fee income received. During the financial year 2015/2016, the service received 5117 building warrant applications, covering building construction work with an estimated value of just over £1.2 billion which generated approximately £4.2 million in fees. 5303 completion certificates were submitted and 17524 site inspections carried out.

The verification services and functions carried out include:

- Assessment and processing of building warrant applications, including amendment to warrant applications, staged applications, extension to warrant applications and approval of other building operations in the Council area;
- Consulting with other building industry professionals to ensure that the construction of the built environment meets statutory requirements;
- Consulting, advising and negotiating with applicants and agents and arranging for proposed building operations in respective building warrant applications to be amended as required. Granting and arranging the issue of building warrants when the proposals are in compliance with the statutory requirements of the building regulations;
- Provide preliminary advice on the procedures to be followed to obtain building warrant approval, in advance of a formal application;
- Advising on the design of a building in terms of the requirements of the building regulations and the impact of the performance standards required;
- Inspecting approved building operations during construction and on completion;
- Recording progress during construction and corresponding with other parties on unacceptable building practice or consulting with other professional bodies, if required, on amendments;
- Arranging for the acceptance of completion certificates or temporary occupation or use, where building operations have been satisfactorily completed;
- Maintaining a public records register of building warrants, completion certificates and energy performance certificates. Recording and maintaining appropriate data in the building standards computerised management system; and
- Work with the Scottish Government's Building Standards Division, to meet the fundamental overarching principles of driving forward the future of building standards throughout Scotland.

### **Public Interest Statement**

The purpose of the building standards system is to protect the public interest. The system sets out the essential standards that are required to be met when building work or conversion of a building takes place in order to meet building regulations.

The building standards system checks that proposed building work or conversion of a building meets standards; inspections are limited to the minimum necessary to ensure that legislation is not avoided. The control of work on site is not part of the system; rather it is a matter to be considered within building contracts and the arrangements that are in place between a builder and client.



Verifiers, appointed by Scottish Ministers are responsible for the independent checking of applications for building warrants to construct or demolish buildings, to provide services, fittings or equipment in buildings, or for conversions.

## Organisation Chart

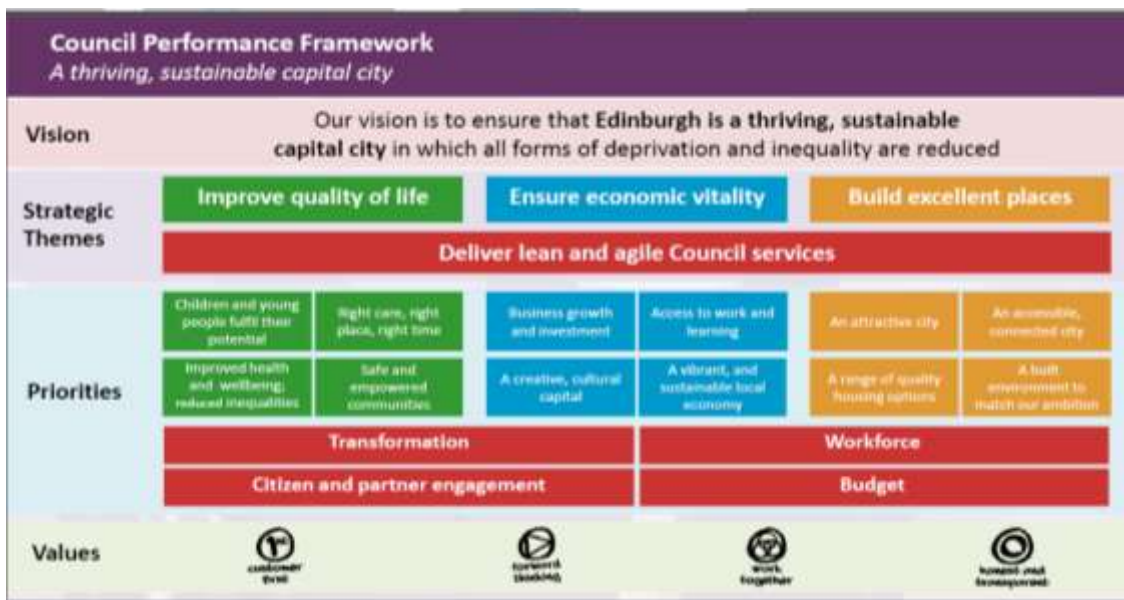
The organisation chart for Building Standards can be found on page 6. There are now five Building Standard teams, each with a team manager. This is an area based structure with teams in either the east or the west area. The links with Planning officers and support staff are shown in the chart. The boxes below show the individual teams and numbers of officers.



### 3. STRATEGIC OBJECTIVES

#### The Over-arching Goal/Vision Of The Service

The vision for the Council is set out in its Performance Framework as shown below.



In addition to delivering this strategy, the overarching goal of the Council’s Building Standards Service is to:-

- Deliver an efficient, cost effective and customer focused Building Standards Service for the citizens of Edinburgh that will ensure, through the Building Warrant process, that in the public interest all new, altered, extended or converted buildings within the City of Edinburgh Council area are constructed to meet the minimum standards set by national Building Regulations.

**Departmental Issues To Be Addressed In The Coming Year**

**Transformational Change proposals in the Council**

The Building Standards service became part of the Planning and Transport Service on 30 November 2015. The aim of the Transformational Change programme is to create a lean and agile council and this is reflected in the final structure of the service which has slimmed down the number of building standards team managers from 5 to 4 and work is ongoing to align the team boundaries with the boundaries of the new Council locality areas.

Preparing for the introduction of e-Building Standards and focusing on Key Performance Outcomes is a priority. The main issue for the Building Standards Service is to improve performance by reducing the amount of time to produce the “First Report” and thereby reduce the time taken to grant a building warrant. Currently targets are not being met and so a new Customer Engagement Strategy was implemented on 14 December 2014 which focuses on supporting our customers in the move to online channels including our website, eDevelopment and social media.

## The Key Strategic Objectives For The Coming Year (16/17)

These are based on the Planning and Transport Service Plan for 2016/17 and statutory requirements.

1. The service will produce a Building Standards scorecard using the relevant Scottish Government template to show how we have performed against the quarterly performance targets, verifier standards and address key themes as part of Building Standards National Framework. The perspectives and themes are:
  - Professional expertise and technical processes;
  - Quality customer experience; and
  - Operational & financial efficiency.
2. The service will promote our place-making role to put Planning and Building Standards at the heart of place-making in the City.
3. The service will update the National Customer Charter to ensure it is compatible with the Planning and Building Standards Customer Engagement Strategy.
4. The service will allocate responsibility to members of the verification team for monitoring and reporting progress against the targets outlined in the Continuous Improvement Plan.
5. The service will continue to update progress against the Continuous Improvement Plan on a quarterly basis.
6. The service will deliver the e-Building Standards Project in line with Scottish Government milestones.
7. The service will implement the outcomes from the Building Standards Lean Review of Statutory Processes to improve service delivery

### 4. KEY PERFORMANCE OUTCOMES

Professional Expertise and Technical Processes	Relevant KPO	Target completion date
<b>Protocols for dealing with work.</b> The Council has in place risk management protocols for dealing with the management of work on building warrants and completion certificates.	<b>1, 2, 3 and 9</b>	31 March 2017

<p>The protocols form part of the council's quality assurance procedures which apply to all building standards work. Key actions are:</p> <ul style="list-style-type: none"> <li>• Embed risk management procedures to ensure applications are allocated to staff who are suitably qualified and experienced to deal with them. Review on an annual basis;</li> <li>• Implement guidance covering processes such as drain testing and site inspections to improve efficiency;</li> <li>• Implement the lean review outcomes of building standards processes to improve ways of working.</li> </ul>		
<p><b>Performance Management Systems</b></p> <p>The Council has a detailed performance reporting system based on Microsoft Access. Monthly reports are circulated to all managers and individual team managers assess team performance in relation to targets set in the National Customer Charter. Targets are also set through Performance and Review systems. Regular meetings are held between team managers and senior managers to discuss performance and an action plan is in place to remedy current problems. Key actions in 2016/17 are as follows:</p> <ul style="list-style-type: none"> <li>• Post BSD returns via web platform;</li> <li>• Put in place efficiencies in the BS process to improve performance;</li> <li>• Change our customer contact channels to allow a greater focus on warrant and completion certificate processing;</li> <li>• Embed risk assessment methodology into normal working practices for reasonable inquiry; and</li> <li>• Produce a Continuous Improvement Plan based on the template, outlining plans in place to meet the KPO targets.</li> </ul>	<p><b>1 and 2</b></p>	<p>ongoing</p>
<p><b>Training and Development</b></p> <p>Training in the main is derived from the staff performance and development interviews carried out once a year. During this process the training needs of each member of staff are identified and tasked. The service aims to provide 36 hours of training per year per member of staff. In addition to this, other centralised training will be given which concentrates on health and safety requirements and changes to legislation.</p> <p>A staff development group which has 2 building standard representatives on the group also assists in providing training for Building Standards staff. Key actions for training in 2016/17 are proposed as follows:</p> <ul style="list-style-type: none"> <li>• Support building surveyors in attending courses to aid their CPD;</li> <li>• Provide training aimed at ensuring consistency in the preparation of CCNPs; and</li> <li>• Provide appropriate training to further engage staff in enhanced e-Building Standards processes.</li> </ul>	<p><b>1, 2 and 9</b></p>	<p>Ongoing</p>

<p><b>Benchmarking/shared services/Partnership Work</b></p> <p>Benchmarking of the service is carried on a regular basis with other partner councils. This is achieved primarily through the Council's active participation groups and by contributing to benchmarking survey's carried out by the groups. In terms of shared services, currently CEC Building Standards provides structural engineering and fire engineering expertise to other local authority councils. It is intended to continue providing these services. Key actions for 2016/17 include:</p> <ul style="list-style-type: none"> <li>• Benchmarking with SESBC – The South East Scotland Building Standards Consortium Group; Local Authority Building Standards Scotland (LABSS) and the UK Core Cities Group;</li> <li>• Giving Structural Engineering Support – To Midlothian Council and Fire Engineering Support to East Lothian, Midlothian, Scottish Borders, Fife and Orkney Islands Councils; and</li> <li>• Take a lead role on the national e-Building Standards project.</li> </ul>	7	Ongoing
<p><b>Commitment to Work Together on Technical Issues</b></p> <p>Team managers work together to resolve any technical interpretation issues. Key actions are:</p> <ul style="list-style-type: none"> <li>• BS team managers to meet regularly as a technical forum to resolve technical questions.</li> </ul>	7	Ongoing.
<p><b>Succession Planning</b></p> <p>The Building Standards service in Edinburgh has a high proportion of surveyors in the 50+ age bracket. This is recognised and trainee surveyors were employed in 2015 to offset future potential problems. Key actions:</p> <ul style="list-style-type: none"> <li>• Consider succession planning as part of further service restructuring.</li> </ul>	1	31 March 2017

Quality Customer Experience	Relevant KPO	Target completion date:
<p><b>Customer Communication Strategies</b></p> <p>The Planning and Building Standards (PBS) Customer Engagement Strategy was approved in December 2015 and this sets out how we will communicate and engage with our customers. It has now been largely implemented. Key actions for 2016/17 are:</p> <ul style="list-style-type: none"> <li>• Analysis of benefits realisation in relation to the</li> </ul>	3 and 4	Ongoing.

<p>implementation of the strategy;</p> <ul style="list-style-type: none"> <li>• Publish data on performance against national KPOs within the National Customer Charter on an annual basis; and</li> <li>• Maintain Customer Service Excellence accreditation.</li> </ul>		
<p><b>Charter</b> The national charter is still relevant but a PBS Customer Service Charter was finalised and implemented in December 2015. This covers the building standards service as well as planning. Key actions are:</p> <ul style="list-style-type: none"> <li>• Review the National charter to ensure it is up-to-date;</li> <li>• Ensure the national customer charter is published on CEC website and is clearly accessible for customers online and in printed form.</li> </ul>	<b>3 and 4</b>	Ongoing.
<p><b>Engagement</b> The Customer Engagement Strategy was subject to consultation including focus groups and was implemented following final approval. A meeting was also held with Edinburgh Chartered Architects Network to discuss their concerns. Key actions include:</p> <ul style="list-style-type: none"> <li>• Form a customer focus group to meet every 6 months to get customer feedback; and</li> <li>• Take forward actions from meeting with ECAN.</li> </ul>	<b>3 and 4</b>	Ongoing.
<p><b>Customer Feedback</b> The service is fully involved in national surveys and is also committed to local surveys to get customer feedback. Key actions are:</p> <ul style="list-style-type: none"> <li>• Provide BSD with information required for national surveys;</li> <li>• Create a system of customer surveys to get feedback on customer satisfaction; and</li> <li>• Create customer focus groups for feedback.</li> </ul>	<b>3 and 4</b>	Ongoing.
<p><b>Accessibility of service</b> The service operates a part day phone, email and enquiry counter service. This allows BS surveyors to concentrate on warrant processing and improve performance. Key action:</p> <ul style="list-style-type: none"> <li>• Assess the success of the revised help desk service with more focus on customer using online systems to self serve in line with the customer engagement strategy.</li> </ul>	<b>3 and 4</b>	31 March 2017
<p><b>Escape Route</b> The format of a customer review process will be agreed following ongoing discussions between the BSD and LABSS. Key actions include</p> <ul style="list-style-type: none"> <li>• Ensure the requirements of the customer 'escape route' are detailed in the customer charter.</li> </ul>	<b>4</b>	31 March 2017

<p><b>External Accreditations -</b> Continue to be accredited and audited under the following quality management systems :</p> <p>(a) BS ISO 9001: 2008 , (Auditor – SGS UK LTD.);</p> <p>(b) Customer Services Excellence; and</p> <p>(c) Investors in People (Auditors – IIP Scotland)</p>	<p><b>4 and 5</b></p>	<p>Ongoing.</p>
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<p><b>Operational and Financial Efficiency</b></p>	<p><b>Relevant to KPO (6-9):</b></p>	<p><b>Target completion date:</b></p>
<p><b>Team Structures</b> The merging of the service with transport means a new structure is in place. Key action:</p> <ul style="list-style-type: none"> <li>• Ensure new team structures deliver the operational and financial efficiencies required under transformational change.</li> </ul>	<p><b>6</b></p>	<p>May 2016</p>
<p><b>Time recording system.</b> Systems are in place for the collation of this information. Key action proposed:</p> <ul style="list-style-type: none"> <li>• Ensure that time recording systems identify the percentage of time spent on verification activity, and thus enable direct staff costs required to run the verification system to be calculated.</li> </ul>	<p><b>6</b></p>	<p>Ongoing.</p>
<p><b>Financial Monitoring/Guidance</b> Monthly monitoring of fee income is undertaken and verification costs are reported on a quarterly basis to the BSD and verification income reported on a quarterly basis to the BSD:</p> <ul style="list-style-type: none"> <li>• Continue to report verification income to BSD.</li> </ul>	<p><b>6</b></p>	<p>Ongoing.</p>
<p><b>IT Systems</b> The BS service uses the Uniform, IDOX GMS and workflow systems plus AutoVue Professional. Preparation is being made for e-Building Standards. The key action is:</p> <ul style="list-style-type: none"> <li>• Prepare for e-Building Standards including an assessment of technical requirements.</li> </ul>	<p><b>7</b></p>	<p>September 2016</p>
<p><b>Finance Systems</b> The building standards service adheres to the corporate financial policies of the City of Edinburgh Council. Budgets are monitored and reassessed on an ongoing basis relative to expenditure and anticipated revenue income. Key action:</p> <ul style="list-style-type: none"> <li>• Keep the budget under revenue.</li> </ul>	<p><b>7</b></p>	<p>Ongoing.</p>
<p><b>Internal Communication Strategies</b> 2 building standards surveyors are on the staff engagement group. Staff briefings are held yearly</p>	<p><b>7</b></p>	<p>Ongoing.</p>

and a number of initiatives including a staff newsletter and head of service monthly talks have improved engagement. Key actions:		
<ul style="list-style-type: none"> <li>Continue to embed the staff engagement strategy.</li> </ul>		

## 5. Building Standards – Additional Data (Local Authority Annual Return. Period 01.04.2015 – 31.03.2016)

### Building Standards – Additional Data (Local Authority Annual Return) 2015-16

1	Building Warrant (BW)	Number
1.1	No. of BW Applications (including "late" applications)	4135
1.2	No. of "late" BW applications (as included above)	100
1.3	No. of BW approved	3542
1.4	No. of BW refused	0
1.5	No. of amendment to BW applications	982
1.6	No. of amendment to BW applications approved	895
1.7	No. of amendment to BW applications refused	1
<b>Comments:</b>		
2	Completion Certificates (CC)	Number
2.1	No. of CC submissions (including those where no warrant was obtained)	5303
2.2	No. of CC submissions where no warrant was obtained ("late" CCs as included above)	150
2.3	No. of CC submissions accepted	6007
2.4	No. of CC submissions rejected	3
<b>Comments:</b>		
3	Fees	Number
3.1	Total value of works for BW applications (including "late" applications)	£1050185924
3.2	Total value of works for amendment to warrant applications	£54876895
3.3	Total value of works for CC submissions where no warrant was obtained	£55996649
	<b>Total Value of Work</b>	<b>£1161059468</b>
3.4	Total building warrant fee income (including 'late' BW)	£3946613
3.5	Total amendment to warrant fee income	£210268
3.6	Total CC fee income where no warrant was obtained	£30775
	<b>Total Fee Income</b>	<b>£4187656</b>
<b>Comments:</b>		
4	Costs	Number



4.1	Total expenditure on verification	£2111287
<b>Comments:</b>		
<b>5</b>	<b>Certification</b>	<b>Number</b>
5.1	No of certificates of design (building structures) provided	2937
5.2	No of certificates of design (energy) domestic provided	37
5.3	No of certificates of design (energy) non-domestic provided	1
5.4	No of certificates of construction (electrical) provided	2367
5.5	No of certificates of construction (drainage, heating and plumbing) provided	66
<b>Comments:</b>		
<b>6</b>	<b>EPCs</b>	<b>Number</b>
6.1	No of copy EPCs received for domestic buildings under Standard 6.9	655
6.2	No of copy EPCs received for non-domestic buildings under Standard 6.9	6
<b>Comments:</b>		
<b>7</b>	<b>Statements of Sustainability</b>	<b>Number</b>
7.1	No of copy Statements of Sustainability for domestic buildings under Standard 7.1 "Bronze"	320
7.2	No of copy Statements of Sustainability for domestic buildings under Standard 7.1 "Bronze +"	72
7.3	No of copy Statements of Sustainability for domestic buildings under Standard 7.1 "Silver"	0
7.4	No of copy Statements of Sustainability for domestic buildings under Standard 7.1 "Gold"	80
7.5	No of copy Statements of Sustainability for domestic buildings under Standard 7.1 "Platinum"	0
7.6	No of copy Statements of Sustainability for non-domestic buildings under Standard 7.1 "Bronze"	0
7.7	No of copy Statements of Sustainability for non-domestic buildings under Standard 7.1 "Bronze +"	2
7.8	No of copy Statements of Sustainability for non-domestic buildings under Standard 7.1 "Silver"	2
7.9*	No of copy Statements of Sustainability for non-domestic buildings under Standard 7.1 "Gold"	0
7.10*	No of copy Statements of Sustainability for non-domestic buildings under Standard 7.1 "Platinum"	0
	<i>*7.8 to 7.10: Higher levels for Silver, Gold and Platinum are not currently possible for non-domestic.</i>	0
<b>Comments:</b>		
<b>8</b>	<b>Enforcement</b>	<b>Number</b>
8.1	No of section 25 notices issued	0
8.2	No of section 26 notices issued	0
8.3	No of section 27 notices issued	11
8.4	No of section 28 notices issued	0
8.5	No of instances where the local authority has taken action under Section 29	0
8.6	No of section 30 notices issued	0
8.7	No of enforcement cases reported to the Procurator Fiscal	0
8.8	No of cases from above where the local authority carried out work	0
<b>Comments:</b>		

