

# BUDGET REPORT

## 2019 – 2020



4<sup>th</sup> February 2019

### 1 INTRODUCTION

- 1.1 This report provides information that aligns budget provision with service delivery during 2019/2020.
- 1.2 Additional information on service activities is provided in the 2019/20 Corporate and Service Plans at Appendix 1.
- 1.3 Existing risks and pressures on service delivery are identified, with associated impact on 2019/20 budget provision detailed.

### 2.0 PRINCIPAL SERVICE DELIVERY ACTIVITIES FOR 2019/2020

#### 2.1 Valuation Roll

- 2.1.1. In respect of the Valuation Roll focus shall continue to be on the disposal of 2017 Revaluation appeals. Currently some 7,330 appeals have been dealt with or are under citation by the Valuation Appeal Committee. This leaves 5,686 appeals to be dealt with from the original 13,016. All revaluation appeals require to be disposed of by 31<sup>st</sup> December 2020.
- 2.1.2 Maintenance of the Roll is another key service delivery area. Ensuring inserts, amendments and deletions are made timeously involves the appropriate identification and deployment of resources while balancing this against other service delivery demands. Throughout the year we shall continue to review, innovate, and improve processes so that we can better meet the challenge of competing demands.
- 2.1.3 Work shall continue during 2019/20 in respect of the successful implementation of the changes to NDR following the Barclay Review. This can be categorised as follows, development of ICT systems, further development of the Barclay Roadmap, progressing key change projects, continuing review of existing processes, recruitment of additional resource (subject to award of additional funding), and consideration of resource re-structuring.

## **2.2 Council Tax**

2.2.1 Council Tax activity continues to focus on the insert of new domestic dwellings to the List. The volumes added to the List increase year on year with every expectation that this trend shall continue beyond 2019/20. Throughout the year we shall continue to seek changes to processes creating efficiencies and system improvement.

## **2.3 Electoral Registration**

2.3.1 At this stage without notification of an election or referendum during 2019/20, activity shall centre on both monthly update requirements to the Electoral Register and the 2019 annual household canvass. Electoral engagement activities shall continue to be developed and undertaken in accordance with the overall strategy, maintaining a high profile on the need for registration.

2.3.2 Planning for a major electoral event during 2019/20 is already underway with key activities and process that are expected to come under pressure being identified. This shall lead to a review of current process and procedures with changes and mitigation action initiated.

2.3.3 Throughout 2019/20 investigations shall continue in respect of the proposed new household canvass scheduled for introduction in 2020/21. This shall provide greater clarity on the financial implications as well as the required adoption of new processes.

## **3.0 PROPOSED 2019/2020 BUDGET**

3.1 The proposed budget settlement for 2019/20 is £5.847m which represents no change to the 2018/19 budget.

3.2 The 2019/20 budget faces pressure from inescapable growth, mainly annual pay award and salary increments, amounting to £163k which is not reflected in the settlement.

3.3 The 2018/19 budget reflected the impact of the Transformation Programme by reducing the budget settlement by 4.4% from the 2017/18 allocation. This reduction was achieved following organisational restructuring.

3.4 Due to the service delivery pressures facing the Board during 2019/20 and beyond it has not been possible to give consideration during 2018/19 to further organisational changes in order to alleviate the additional pressures identified at paragraph 3.2.

3.5 As a result a performance factor of 2.79% (£163k) has been identified as a targeted budget outcome for 2019/20.

- 3.6 Every effort shall be made during 2019/20 to meet the necessary savings target through employee and non-employee efficiencies.
- 3.7 In the event that the savings target cannot be met Board consideration shall be required in respect of the mitigation mechanisms to adopt including a draw down from the Reserve Fund.
- 3.8 Throughout 2019/20 projected year end budget forecasts shall be provided to the Board allowing an ongoing assessment of budget performance and the earliest opportunity to consider mitigation options.

#### **4.0 BARCLAY REVIEW OF NDR**

- 4.1 The 2019/20 budget settlement does not reflect any additional funding awarded in respect of the Barclay Review of NDR. While an indicative allocation at a national level of £3.3m was provided by Scottish Government during December 2018 as part of the Local Government Settlement, discussions remain ongoing in respect of the amount to be dispersed to local Assessors.
- 4.2 The Board was previously advised that the annual cost impact arising from the implementation of the Barclay recommendations would be in the region of £350k - £400k per annum. While this remains an accurate estimate it is likely that during the lead-in year, 2019/20, the funding requirement shall be lower.
- 4.3 Following discussions of the Local Government Settlement and Distribution Group it is anticipated that the identified funding shall be provided through existing constituent council allocation mechanisms.
- 4.4 Further update information on the implementation of recommendations arising from the Barclay Review of NDR is contained within a separate report on this agenda.

#### **5.0 BUDGET & SERVICE DELIVERY RISKS 2019/20**

- 5.1 Many of the ongoing risks have been well rehearsed in previous reports to the Board and the Treasurer's 2019/20 Budget report provides an excellent summary of the current position. Noted below are those risks most pertinent to the 2019/20 fiscal year.
- 5.1.1 As already indicated the 2019/20 budget settlement remains unchanged from 2018/19. Costs arising from unavoidable inescapable budgetary growth are unfunded. While attempts shall be made during 2019/20 to mitigate these costs a risk remains at 2019/20 year end that budget expenditure exceeds allocation.

- 5.1.2 The implementation of recommendations arising from the Barclay Review of NDR gives rise to an additional funding requirement. Failure to receive this funding shall seriously jeopardise the Board's ability to meet the essential Barclay requirement of moving to a 3 yearly revaluation cycle and accordingly place the required service delivery at risk.
- 5.1.3 The possibility of a major, or multiple major, electoral events during 2019/20 must be considered. The workload pressures arising from such events is difficult to estimate as it is dependent on the demand created by the electorate. While early planning has already commenced and internal process alteration underway, previous major electoral events have given rise to budget pressures mainly by way of required overtime.
- 5.1.4 Additional ring-fenced funding from the Cabinet Office in respect of Individual Electoral Registration is scheduled to be received for 2019/20. Beyond this period funding is expected to cease due to the introduction of amended annual household canvass procedures resulting in reduced electoral registration expenditure. Further reports shall be provided to the Board during 2019/20 indicating the projected financial impact of the proposed changes.
- 5.1.5 During 2019/20 there remains a strong focus on service delivery and preparation for implementing the Barclay recommendations. However the Transformation Programme which was initiated during 2017/18 is ongoing with the focus on improvement and efficiency. During 2019/20 the identification of opportunities to create further budget savings shall be one of the major objectives. In 2017/18 the Transformation Programme provided a structural re-organisation resulting in staffing reductions. The costs arising from this were facilitated via access to the General Reserve in order to fund severance costs. Any further restructuring opportunities shall also require this facilitation.

## **6.0 FINANCIAL & SERVICE DELIVERY PLANNING**

- 6.1 As indicated in the Treasurer's report a longer term financial sustainability plan is being developed to cover the 2019/20 - 2024/25 period. This plan shall be supported with an indication of service delivery objectives with associated risks for the same period.
- 6.2 The first iteration of this plan shall be provided to the Board at its next meeting.

## **7.0 GENERAL RESERVE FUND**

- 7.1 The Board currently holds a General Reserve Fund of £798k with a commitment of £197k over the next three years.
- 7.2 The projected 2018/19 budget underspend of £80k, if allocated to the reserve would increase the fund level to £681k.

7.3 Taking account of the risks indicated in this report and the potential budget pressures that may arise during 2019/20 and beyond it is the firm recommendation that the fund be maintained at the highest level until such time that a position of greater fiscal stability is established and that key service deliverable risks are either fully mitigated or capable of providing appropriate granularity. In this way the fund shall provide the necessary support to the 2019/20 budget outcome.

## **8.0 RECOMMENDATIONS**

8.1 The Board is asked to note the content of this report.

8.2 While a final decision is not currently required, the Board is asked to agree in principle that the General Reserve Fund may provide the necessary mitigation to support the required 2019/20 budget outturn.

**Graeme Strachan**  
**ASSESSOR & ERO**

## SERVICE MISSION & VISION

Lothian Valuation Joint Board's **mission** is to ensure best value and provide equitable, customer focussed, quality, professional valuation and electoral registration services for all its stakeholders.

Our **vision** is to provide valuation and electoral registration services in accordance with statute at levels of excellence which meet expectations.

### AIMS & OBJECTIVES

**In order that we fulfil our Mission and achieve our Vision we will:-**

- Ensure that our services are delivered in accordance with all statutory requirements.
- Plan service development and delivery in accordance with the principles of Best Value.
- Take individual and collective responsibility for the services provided by LVJB.
- Monitor and report performance levels to stakeholders.
- Integrate Equalities issues into all aspects of our service provision.
- Ensure good governance in all aspects of our service provision.
- Build on our achievements to date.

## Key goals of the service

1. To ensure timeous publication and maintenance of the **Valuation Roll**.
2. To ensure timeous publication and maintenance of the **Council Tax List**.
3. To ensure timeous publication and maintenance of the **Electoral Register** and registration services at elections.
4. To develop, prepare and publish reports to improve customer knowledge and ensure attainment of good **Community Focus**.
5. To set standards and undertake corporate improvement in **Service Delivery Arrangements** and review the performance management and planning framework to ensure continuous improvement.
6. To deliver changes and improvements identified under the Transformation Programme and through the ongoing process of **Structure and Process** review.
7. To review, monitor and maintain organisational **Risk Management and Internal Controls** to ensure efficient and effective delivery of service.
8. To develop, adopt and review formal documentation and systems to ensure **Standards of Conduct** are adhered to.
9. To plan and deliver an **organisational development strategy** considering corporate initiatives to ensure efficiency and quality of service delivery.
10. To engage in **key partnership working** to ensure the integrated delivery of efficient government.
11. To review and develop the necessary policies to support the **Health, Safety and Welfare** of all LVJB employees.

### EXECUTIVE RESPONSIBILITIES

No	Task/Project	Responsibility	Performance Measures
1	To ensure statutory duties are carried out for maintenance of the <b>Valuation Roll</b> .	Executive	<ol style="list-style-type: none"> <li>1. Maintain Valuation Roll in line with statutory requirements.</li> <li>2. Continue the programme of 2017 Revaluation and Running Roll appeal disposal.</li> <li>3. Monitor appeal disposal progress against statutory requirement and programme timetable.</li> <li>4. Dispose of LTS and LVAC appeals as appropriate.</li> <li>5. Audit processes, procedures and values.</li> <li>6. Further develop IT systems, applications and communications.</li> <li>7. Continue with project planning/implementation in respect of changes required under the Barclay Review of NDR. (PB)</li> <li>8. Continue to develop opportunities for stakeholder engagement. (PB)</li> <li>9. Review and seek improved annual running roll performance.</li> </ol>
2	To ensure statutory maintenance of the <b>Council Tax List</b> .	Executive	<ol style="list-style-type: none"> <li>1. Maintain CT List in line with statutory requirements.</li> <li>2. Dispose of proposals &amp; appeals.</li> <li>3. Audit processes, procedures and Bands.</li> <li>4. Further develop IT systems, applications and communications.</li> <li>5. Continue with development of improved processes for new house inserts to CT List.</li> <li>6. Continue to develop opportunities for stakeholder engagement.</li> <li>7. Review &amp; maintain performance.</li> </ol>



3	To ensure timeous publication and maintenance of the <b>Electoral Register</b> and registration services at elections.	Executive	<ol style="list-style-type: none"> <li>1. Prepare and publish the Electoral Register by 1<sup>st</sup> December 2019.</li> <li>2. Maintain ER for update statutory date each month.</li> <li>3. Undertake the annual household canvass seeking process improvements.</li> <li>4. Dispose of any registration appeals.</li> <li>5. Prepare and ensure refresh of AV personal identifiers in January 2020.</li> <li>6. Prepare for and ensure effective management of registration duties for any elections or referendums called during the year.</li> <li>7. Audit processes, procedures and accuracy to ensure quality registration delivery.</li> <li>8. Further develop IT systems, applications and communications.</li> <li>9. Continue to undertake engagement activities.</li> <li>10. Further develop the EDM and implement its publication on the LVJB website.</li> <li>11. Maintain performance.</li> </ol>
4	To develop, prepare and publish reports to improve customer knowledge and ensure attainment of good <b>Community Focus</b> .	Executive	<ol style="list-style-type: none"> <li>1. Prepare and publish statutory reports.</li> <li>2. Prepare and present reports to LVJB.</li> <li>3. Maintain customer targeted policies.</li> <li>4. Maintain and develop appropriate public engagement schemes.</li> <li>5. Maintain LVJB website.</li> </ol>
5	To set standards and undertake corporate improvement in <b>Service Delivery Arrangements</b> and review the performance management and planning framework to ensure continuous improvement.	Executive	<ol style="list-style-type: none"> <li>1. Maintain VR key and internal performance indicators.</li> <li>2. Maintain CT key and internal performance indicators.</li> <li>3. Maintain new Electoral performance indicators set by the Electoral Commission.</li> <li>4. Prepare, implement, monitor and review of Corporate and Service Plans.</li> <li>5. Prepare, maintain and review Area and Divisional Work Plans.</li> </ol>
6	To review roles, responsibilities, <b>Structures and Processes</b> to ensure effective balance of responsibility and authority.	Executive	<ol style="list-style-type: none"> <li>1. Review Standing Orders, Scheme of Delegation and Financial Regulations; 5 yearly.</li> <li>2. Adhere to Standing Orders, Scheme of Delegation and Financial Regulations; 5 yearly.</li> <li>3. Implement and progress the objectives of the Transformation Programme.</li> </ol>
7	To review, monitor and maintain organisational <b>Risk Management and Internal Controls</b> to ensure efficient and effective delivery of service.	Executive	<ol style="list-style-type: none"> <li>1. Review the activities of the Governance, Best Value and Risk Group</li> <li>2. Identify, mitigate and monitor risks.</li> <li>3. Maintain Quality Assurance audit activity and undertake joint working with external audit.</li> <li>4. Review all audit recommendations and implement recommendations as appropriate.</li> <li>5. Maintain task specific, strategic and rolling risk registers.</li> <li>6. Report risks to LVJB and review risk strategy framework as required.</li> </ol>

8	To develop, adopt and review formal documentation and put in place appropriate systems to ensure <b>Standards of Conduct</b> are adhered to.	Executive	<ol style="list-style-type: none"> <li>1. Continue to develop and implement a Performance Framework.</li> <li>2. Monitor and review compliance to the General Data Protection Requirements, Records Management, FOI, and Equalities.</li> <li>3. Report on any Public Interest Disclosures.</li> <li>4. Provide management, guidance and support timeously.</li> </ol>
9	To plan and deliver an <b>organisational development strategy</b> considering corporate initiatives to ensure efficiency and quality of service delivery.	Executive	<ol style="list-style-type: none"> <li>1. Implement and develop the Transformation Programme objectives.</li> <li>2. Implement, monitor and review Corporate Plans.</li> <li>3. Implement, monitor and review Service Plans.</li> <li>4. Develop and implement a LVJB Training Strategy.</li> <li>5. Develop a 2/3 Year Strategic Organisational Plan.</li> </ol>
10	To engage in <b>key partnership working</b> to ensure the integrated delivery of efficient government.	Executive	<ol style="list-style-type: none"> <li>1. Encourage partnership working with constituent authorities.</li> <li>2. Encourage partnership working with public and civil servants e.g. VOA, SAA, Scottish Government, Electoral Commission, Cabinet Office, EMB etc.</li> <li>3. Maintain partnership working with external professional bodies e.g. RICS, IRRV, AEA etc.</li> </ol>
11	To review and develop the necessary policies to support the <b>Health, Safety, and Wellbeing</b> of all LVJB employees.	Executive	<ol style="list-style-type: none"> <li>1. To review HR Policies in accordance with established timetable.</li> <li>2. To review and develop the Lone Working Policy.</li> <li>3. To review the remit of the Health &amp; Safety Committee.</li> <li>4. To consider Mental Health initiatives.</li> </ol>

### Strategic Aims & Operational Objectives 1

To ensure statutory duties are carried out for maintenance of the **Valuation Roll**.

No	Performance Measures	Strategic Aims / Operational Objectives	Key Task Owner(s)
1.1	Maintain Valuation Roll in line with statutory requirements.	Maintain and update survey records in line with relevant guidance and practice.	Assistant Assessor
		Consider planning and building warrants and take appropriate action to maintain records	Assistant Assessor
		Prepare valuations in line with practice notes and 'tone' evidence.	Assistant Assessor
		Update VR daily, issue Valuation Notices daily; provide update to constituent authorities Finance weekly. Continue to develop processes to support the introduction of the BGA.	Assistant Assessor
		Commence a rolling programme to update rental, cost and turnover analysis to ensure accuracy of the Roll and support the move to 3 yearly revaluations.	Assistant Assessor
1.2	Dispose of Revaluation 2017 and running roll appeals within statutory time frame including LTS & LVAC appeals.	Correspond with appellants in line with legal requirements and LVJB standards.	Principal Surveyor/Assistant Assessor
		Create, maintain and review an appeal disposal timetable and ensure appeals are allocated to appropriate number of court dates.	Principal Surveyor/Assistant Assessor
		Monitor disposal progress, reduction levels and reasons for reduction.	Principal Surveyor/Assistant Assessor

1.2		Monitor and ensure amendments are processed timeously.	Principal Surveyor/Assistant Assessor
		Ensure compliance with LTS and quality preparation of cases.	Principal Surveyor/Assistant Assessor
1.3	Audit processes, procedures and values.	Audit valuation processes procedures and issued values.	Head of Governance
		Audit appeal processes, procedures and outcomes.	Head of Governance
		Consider presented audit reports.	CLT
1.4	Further develop IT systems, applications and communications	Review and further develop valuation applications with particular attention to the successful delivery of 3 yearly revaluations.	Assistant Assessor/ ICT
		Consider new classes of subjects for summary valuation purposes.	Assistant Assessor/ICT
1.5	Maintain performance.	Maintain efficiency in survey procedures.	Assistant Assessor
		Maintain fairness and accuracy of valuations.	Assistant Assessor
		Review and improve performance in terms of KPIs and internal indicators.	Assistant Assessor

### Strategic Aims & Operational Objectives 2

To ensure statutory maintenance of the **Council Tax List**.

No	Performance Measures	Strategic Aims / Operational Objectives	Key Task Owner(s)
2.1	Maintain CT List in line with statutory requirements	Ingather and analyse sales evidence.	Assistant Assessor
		Maintain and update survey records as necessary.	Assistant Assessor
		Prepare reviewed bandings and amend for sold houses.	Assistant Assessor
		Ensure accuracy of all amended and new bands.	Assistant Assessor
		Update CT daily, issue band change notices daily and notify councils weekly.	Assistant Assessor
2.2	Dispose of proposals & appeals	Correspond with appellants in line with legal requirements and LVJB standards.	Assistant Assessor
		Administer properly all proposals and appeals and commence the process of timetabled disposal in association with the Valuation Appeal Committee.	Assistant Assessor
		Monitor band reductions.	Assistant Assessor
		Ensure amendments are processed timeously.	Assistant Assessor
2.3	Audit processes, procedures and Bands	Audit banding processes, procedures and issued bands	Head of Governance
		Audit appeal processes, procedures and outcomes.	Head of Governance
		Consider presented audit reports.	CLT
2.4	Further develop IT systems, applications and communications	Continue changes to the processes associated with new houses entering the CT List.	Assistant Assessor/ICT
		Ensure all new and altered records are saved in electronic format	Assistant Assessor/ICT

2.5	Maintain performance	Maintain efficiency in survey procedures.	Assistant Assessor
		Maintain quality of bandings by reference to band reductions on appeal.	Assistant Assessor
		Maintain performance in terms of KPIs and internal indicators.	Assistant Assessor

### Strategic Aims & Operational Objectives 3

To ensure timeous publication and maintenance of the *Electoral Register*.

No	Performance Measures	Strategic Aims / Operational Objectives	Key Task Owner(s)
3.1	Prepare and publish ER by 1 <sup>st</sup> December 2019 and annually thereafter	Publish Electoral Register in paper format and electronic format by 1 <sup>st</sup> December 2019 and each year thereafter.	Assessor
		Carry out postal and door to door canvass in line with legislation and to maximise registration.	Head of Administration
		Ensure appropriate advertising/publicity initiatives are in place in conjunction with EC public engagement strategy.	Head of Administration
		Action all postal vote applications received during and outside the canvass period.	Head of Administration
		Distribute register in requested format to persons as defined by statute	Head of Administration
		Actively encourage recipients to accept the register in electronic format to reduce costs	Head of Administration
		Liaise with external contractors and manage/mitigate risks	Head of Administration
3.2	Maintain ER for statutory updates each month.	Update ER monthly updates per legislative requirements	Head of Administration
		Issue Notices in line with statutory requirement	Head of Administration
		Improve contact with hard to reach groups through partnership working initiatives.	Head of Administration
		Identify and improve appropriate advertising/publicity channels re registration.	Head of Administration
		Refresh AVPIs as required in January 2020.	Head of Administration

3.3	Dispose of any registration appeals	Correspond with appellants in line with statutory requirements.	Head of Administration
		Ensure hearings are set up and conducted timeously.	Assessor/Head of Administration
3.4	Prepare for refresh of AV personal identifiers in January 2020	Identify quantities and additional required expenditure.	Head of Administration
		Establish required processes, timetable for collection and processing.	Head of Administration
		Provide reports as required to Executive and Board.	Head of Administration
3.5	Prepare for and ensure effective management of registration duties for any election or referendum called during 2019/20.	Ensure all applications for registration are processed accurately and timeously.	Head of Administration
		Ensure all AVPI applications for registration are processed accurately and timeously.	Head of Administration
		Prepare and maintain all necessary timetables including the identification of all key risks and related mitigation associated with election preparation requirements.	Head of Administration
		Undertake engagement activities and ensure staff are trained and available to answer all telephone and email enquiries.	Head of Administration
		Ensure staffing resource in place at all peak periods and as required during polling hours.	Head of Administration
3.6	Audit processes, procedures and accuracy to ensure quality registration delivery.	Develop and monitor audit reports for ER updates.	Quality Assurance Team
		Audit personal identifiers with canvass signatures.	Quality Assurance Team
		Audit name changes to ensure accuracy.	Quality Assurance Team
		Consider all audit reports for appropriate actions.	CLT



3.7	Further develop IT systems, applications and communications.	Assess and implement altered scanning processes for receipted paper applications.	Head of Administration
		Deliver electorate statistics to NROs. (RPF 29)	Head of Administration
		Review and continue to maximise UPRN matching process to electoral address data base.	Head of Administration/ICT
3.8	Maintain performance	Improve efficiency in the delivery of the canvass processes and procedures.	Head of Administration
		Review performance reports and consider new targets.	Head of Administration
		Deliver performance standards self-assessment and data returns to Electoral Commission.	Head of Administration

### Strategic Aims & Operational Objectives 4

To systematically develop, prepare and publish reports to improve customer knowledge & ensure attainment of improved **Community Focus**

No	Performance Measures	Strategic Aims / Operational Objectives	Key Task Owner(s)
4.1	Prepare and publish statutory reports	Annual Assessor's report to LVJB and staff re service planning, performance & target setting.	Assessor
		Annual Treasurer's un-audited accounts.	Treasurer
		Annual Audit reports to LVJB.	External Audit/Head of Governance
		Report on equalities April 2018 and two yearly thereafter.	Head of Governance
		Annual proposed Revenue Report to LVJB.	Treasurer
4.2	Prepare and present reports to LVJB	Quarterly progress report to LVJB.	Assessor
		2019/20 – 2021/22 LVJB Strategic Report	Assessor
		Annual Governance Report	Head of Governance
		Reports as required.	CLT
4.3	Develop and improve customer targeted policies	Oversee development of performance statistical analysis and monitoring.	CLT
		Monitor adherence to equality principles.	Head of Governance
		Quarterly progress report to LVJB.	Assessor

4.3		Ensure a robust public engagement strategy is in place for general registration and focused electoral events.	Head of Administration
4.4	Maintain appropriate public participation schemes	Liaise with universities, further education establishments and schools to maximise student registration	Head of Administration
		Liaise with care homes to maximise registration for residents	Head of Administration
		Maintain and update the internet site to ensure currency and accuracy especially at key events.	CLT/ICT
		Continue to identify, implement and evaluate stakeholder engagement activities in respect of VR and CT.	Assistant Assessor
4.5	Maintain, update and improve websites	Maintain and update the intranet site to ensure current and accurate	CLT/ICT
		Maintain and update the internet site to ensure current and accurate	CLT/ICT
		Continue to Integrate Sharepoint to improve records management	CLT/ICT

### Strategic Aims & Operational Objectives 5

To set standards and undertake corporate improvement in **Service Delivery Arrangements** and review the performance management and planning framework to ensure continuous improvement

No	Performance Measures	Strategic Aims / Operational Objectives	Key Task Owner(s)
5.1	Maintain VR key and internal performance indicators	Agree and set KPIs for VR.	Assessor/ Assistant Assessor
		Agree and set a suite of internal indicators for VR performance.	Assessor/ Assistant Assessor
		Monitor, analyse and report on VR performance quarterly.	Assessor/ Assistant Assessor
5.2	Maintain CT key and internal performance indicators	Agree and set KPIs for CT.	Assessor/ Assistant Assessor
		Agree and set a suite of internal indicators for CT performance.	Assessor/ Assistant Assessor
		Monitor, analyse and report on CT performance quarterly.	Assessor/ Assistant Assessor
5.3	Meet new ER key and internal performance indicators	Agree and set Internal PIs for ER.	ERO/Head of Admin
		Produce and submit targets for ER performance to Electoral Commission.	ERO/Head of Admin

5.3		Produce and submit statistical monitoring & indicators for ER performance to Electoral commission.	ERO/Head of Admin
		Monitor, analyse and report on ER performance monthly.	ERO/Head of Admin
5.4	Prepare, monitor and review service plan	Monitor Corporate and Service Plans.	CLT
		Ensure adherence to Service Plan and Performance Indicators.	CLT
		Review Performance & Development Review procedure to meet organisational requirements.	CLT

### Strategic Aims & Operational Objectives 6

To review roles, responsibilities, **Structures and Processes** to ensure effective balance of responsibility and authority.

No	Performance Measures	Strategic Aims / Operational Objectives	Key Task Owner(s)
6.1	Review Standing Orders, Scheme of Delegation and Financial Regulations 5 yearly	Review contents of Standing Orders 5 yearly; Reviewed Feb 2016.	Assessor/LVJB
		Review contents of Scheme of Delegation 5 yearly; Reviewed Feb 2016.	Assessor/LVJB
		Review contents of Financial Regs 5 yearly; Reviewed Feb 2016.	Assessor/Treasurer/LVJB
6.2	Adhere to Standing Orders, Scheme of Delegation and Financial Regulations	Report to LVJB re review of contents of Standing Orders 5 yearly.	Assessor
		Report to LVJB re review of contents of Scheme of Delegation 5 yearly.	Assessor
		Report to LVJB re review of contents of Financial Regs 5 yearly.	Assessor/Treasurer
6.3	Continue ongoing change process under the Transformation Programme.	Review process and procedures seeking efficiencies and improvements.	CLT
		Continue to develop and implement a strategic training policy and continue with cultural change identified under the Transformation programme.	CLT/Principal Surveyor
		Continue to develop and implement a Performance Framework across the organisation, seeking efficiencies and effective delivery of services.	CLT/Assistant Assessor

### Strategic Aims & Operational Objectives 7

To review, monitor and maintain organisational **Risk Management and Internal Controls** to ensure efficient and effective delivery of service.

No	Performance Measures	Strategic Aims / Operational Objectives	Key Task Owner(s)
7.1	Identify risks	Consider new risks for addition to risk registers at all corporate leadership team meetings.	CLT
		Review presentational aspects of risks registers including effectiveness of providing accurate information of “progress on mitigation and status of risk”	Head of Governance
		Consider new risks to be added to the strategic business risk register on a 6 monthly basis at corporate leadership team meetings.	CLT
		Consider risks within each service delivery planning timetable on an ongoing basis.	CLT
		Consider risks as legislative changes are considered.	CLT
7.2	Mitigate risks	Ensure mitigation strategies are considered timeously.	CLT
		Plan, implement and review mitigation decisions effectively.	CLT
7.3	Monitor & review risks	Monitor budget spend and variances quarterly at corporate leadership team meetings.	Assessor
		Monitor budget spend and variances and include in quarterly progress report.	Assessor

7.3		Monitor actions resulting from audit reports at all corporate leadership team meetings.	CLT
		Liaise with the Treasurer to the Board to ensure appropriate monitoring and accounting.	Assessor
		Review strategic risk register at corporate leadership team meetings	CLT
7.4	Maintain task specific and strategic risk registers.	Maintain work timetables with corresponding risk management monitoring regularly at all relevant meetings.	CLT
		Consider new risks to be added to timetables/risk registers on an ongoing basis	CLT
		Mitigate all risks on timetables/risk registers on an ongoing basis	CLT
7.5	Report risks to LVJB and review risk strategy framework as required	Report to Board on identified key risks on quarterly basis as part of progress report.	Assessor
		Report to Board on budget variances, past and proposed, on quarterly basis as part of progress report.	Assessor/Treasurer
		Provide Board with Annual Governance Report	Head of Governance
		Submit external & internal auditors' reports and actions carried out resulting from recommendations to the Board.	Assessor



### Strategic Aims & Operational Objectives 8

To develop, adopt and review formal documentation and put in place appropriate systems to ensure **Standards of Conduct** are adhered to.

No	Performance Measures	Strategic Aims / Operational Objectives	Key Task Owner(s)
8.1	Maintain internal processes to monitor compliance to legislation and LVJB policies and procedures.	Review processes to monitor compliance with LVJB standards.	CLT
		Ensure compliance with LVJB employment legal requirements on a day to day basis.	CLT
		Ensure compliance with LVJB policies on a day to day basis.	CLT
8.2	Monitor and review compliance to Records Management, FOI, Data Protection and, Equalities.	Ensure compliance with legal requirements e.g. Records management, FOI, Data Protection, Equal Opportunities etc. on a day to day basis and assess at monthly corporate leadership team meetings.	Head of Governance
		Ensure Complaints policy and procedure meet required standards	Head of Governance
		Ensure Records management policy and procedures meet required standards	Head of Governance
8.3	Report on any Public Interest Disclosures	Ensure the policy and procedures are reviewed as appropriate to ensure staff concerns are addressed.	Assessor/Head of Governance
		Report on items raised as appropriate.	Assessor/Head of Governance

8.4	Provide management, guidance and support timeously	Ensure that policies are reviewed regularly, advised to the Board and staff briefed	Assessor
		Monitor adherence to Policy review timetable and encourage Unison input and agreement	CLT
		Ensure that appropriate guidance is developed and training given for new tasks introduced	CLT
		Ensure that policies are available, preferably on the LVJB intranet	CLT
		Ensure an appropriate support structure is in place for all employees	Assessor

### Strategic Aims & Operational Objectives 9

To plan and deliver an **organisational development strategy** considering corporate initiatives to ensure efficiency and quality of service delivery

No	Performance Measures	Strategic Aims / Operational Objectives	Key Task Owner(s)
9.1	Maintain annual service plan	Prepare annual service plan and present to LVJB.	Assessor
		Ensure staff awareness of service plans and their role.	CLT
		Monitor compliance with the service plan on a day to day basis and assess at corporate leadership team meeting.	CLT
9.2	Deliver corporate improvement.	Develop & review a suite of internal performance indicators and update KPIs to ensure improvement.	CLT
		Monitor performance improvement and report at corporate leadership team meetings & LVJB.	CLT
		Monitor and report absence levels to measure improvement.	Head of Governance
		Prepare and deliver a 2019/20 to 2021/22 LVJB Strategic Plan	Assessor
		Discuss & develop corporate improvement strategies at corporate leadership team meetings.	CLT
9.3	Comply with corporate goal, LVJB Mission, vision, aims & objectives	Review corporate goals at corporate leadership team meeting.	CLT
		Ensure that corporate goal is communicated to all staff and included in PRD process.	CLT

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9.3	Communicate and monitor adherence to Mission, vision, aims & objectives.	CLT
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### Strategic Aims & Operational Objectives 10

To engage in **key partnership working** to ensure the delivery of efficient government.

No	Performance Measures	Strategic Aims / Operational Objectives	Key Task Owner(s)
10.1	Encourage partnership working with constituent authorities	Continue partnership working with Finance departments of the 4 authorities.	CLT
		Continue partnership working with the Returning Officer staff of the 4 authorities.	CLT
		Continue partnership working with the Treasurer to LVJB.	CLT
		Improve partnership working with Planning and Building departments of the 4 authorities.	Assistant Assessors
10.2	Encourage partnership working with public and civil servants e.g. VOA, SAA, Scottish Executive, Electoral Commission etc.	Continue partnership working with the SAA.	CLT
		Continue partnership working with the VOA.	CLT
		Continue partnership working with the National Register of Scotland.	CLT
10.3	Maintain partnership working with external professional bodies e.g. RICS, IRRV, AEA, etc.	Continue partnership working with the RICS, IRRV & AEA professional bodies.	CLT