

# Building Standards

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## Performance Framework for Verifiers

April 2017



Scottish Government  
Riaghaltas na h-Alba  
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### Version record

<b>Version</b>	<b>Amendments Made</b>	<b>Date</b>
2.0	Updated for April 2017 implementation	April 2017

# 1. Introduction

**The building standards system in Scotland was established by the Building (Scotland) Act 2003. The system is intended to protect the public interest by setting out the standards to be met when building work or a conversion takes place, to the extent necessary to meet the building regulations. The public interest is a critical success factor in terms of ensuring compliance with regulations and, above all, keeping the public safe. The objectives contained in the 2003 Act are:**

- To secure the health, safety, welfare and convenience of persons in and about buildings and others who may be affected by buildings or matters connected with buildings
- Furthering the conservation of fuel and power, and
- Furthering the achievement of sustainable development.

Scottish Ministers appoint verifiers and considerations for their appointment include qualifications, competence, accountability to the public and impartiality. At present the 32 Scottish local authorities (LAs) are appointed for their own geographical area.

Verifiers provide independent checking of building work at design and construction stages. Their main functions are granting building warrants and accepting completion certificates.

## Appointment of verifiers 2005

The verification system was launched on 1 May 2005 and Scottish Ministers appointed verifiers up to 2011. Verifiers were required to submit an annual 'balanced scorecard' to the Building Standards Division (BSD) of the Scottish Government. This resulted in positive progress and a stronger focus on customer service but did not provide a consistent approach to monitoring and measuring performance.

## Appointment of verifiers 2011

LAs were reappointed as verifiers on 1 May 2011 for a further six year period. This was on the understanding that a new performance framework be put in place to improve the quality, compliance, consistency and predictability of verification activities.

The performance framework built on previous achievements and aimed to improve levels of customer engagement and compliance with the building regulations, particularly during construction. The framework was supported by a revised balanced scorecard, continuous improvement plans and a range of new Key Performance Outcomes (KPOs) (nine in total).

# 1. Introduction

The performance framework was introduced from May 2012. It has been measurable since October 2012 and applies to those applications for building warrants and amendments to building warrants received on or after that date. It was developed by BSD and supported by Local Authority Building Standards Scotland (LABSS). It sought to address a wide range of actions and behaviours which, between them, demonstrate a strong customer-focused service. It allowed the assessment of building standards performance outcomes over a range of key national objectives.

## Appointment of verifiers 2017

BSD commissioned Pye Tait Consulting to undertake [research](#) in 2015 to evaluate the performance of LAs in their role as verifiers. The aim was to inform Scottish Ministers in the lead-up to the next appointment of verifiers from May 2017. The research identified various considerations including the scope for further improvement of the framework. This view was shared by BSD and LABSS.

The framework has been reviewed by BSD in partnership with LABSS and Pye Tait for introduction with the appointment of verifiers from May 2017.

The structure of the framework remains based on the three core perspectives:

1. Professional Expertise and Technical Processes
2. Quality Customer Experience, and
3. Operational and Financial Efficiency.

The two cross-cutting themes 'Public Interest' and 'Continuous Improvement' remain and are supported by a third theme 'Partnership Working' (previously covered under KPO7). This reflects the importance of working collaboratively for example through industry engagement, benchmarking, peer review and sharing of best practice.

**Figure 1:**  
Summary of the National Performance Framework:



## 2. Perspectives and Themes

The main principles of the three perspectives of the national performance framework are set out below.

### 1. Professional Expertise and Technical Processes

- Verifiers should have the necessary professional expertise to efficiently and effectively undertake all technical aspects of building standards verification, and have contingencies for when they are not available in-house;
- Verification services should understand customer needs, be compliant at all times with relevant legislation and be underpinned by risk-based protocols and quality assurance procedures.

### 2. Quality Customer Experience

- Verifiers should provide services to customers of the highest quality and standard, underpinned by clear and transparent communications and an understanding of different customer and stakeholder types and their differing needs;
- Insights and actions taken in response to customer feedback should bring about continuous improvement of the customer experience, which will be regularly measured and assessed.

### 3. Operational and Financial Efficiency

- Verifiers should manage the building standards verification operations and finances in the most efficient and effective way possible;
- Verification services should be underpinned by efficient utilisation of funds and resources, high levels of productivity and fit-for-purpose infrastructure such as IT systems.

## 2. Perspectives and Themes

The perspectives are supplemented by three cross-cutting themes. These cover all aspects of building standards verification including strategy, operational delivery, internal and external relationships:

### 1. **Public Interest**

- Verifier actions in alignment with the performance framework are in the best interest of the general public; building standards verification is undertaken in a consistent way regardless of verifier organisation or region; and building standards verification will always seek to protect the public interest through compliance with building regulations.

### 2. **Continuous Improvement**

- Verifiers are committed to 'raising the bar' and ensuring a consistent effort to improve building standards verification across the performance framework.

### 3. **Partnership Working**

- Verifiers are committed to collaborative working to underpin greater consistency and seek solutions to issues in the public interest.

### 3. Outcomes and Targets

Key Performance Outcomes (KPOs) are designed to support the building standards system and be adopted by verifiers. They have been developed to embed a culture of continuous improvement underpinned by a greater focus on peer review, benchmarking and sharing of best practice.

#### Professional Expertise and Technical Processes

KPO1	Minimise time taken to issue a first report or to issue a building warrant or amendment to building warrant
KPO2	Increase quality of compliance assessment during the construction processes

#### Quality Customer Experience

KPO3	Commit to the building standards customer charter
KPO4	Understand and respond to the customer experience

#### Operational and Financial Efficiency

KPO5	Maintain financial governance
KPO6	Commit to eBuilding Standards
KPO7	Commit to objectives outlined in the annual performance report

KPOs should be reviewed every three years to ensure they remain fit for purpose. Changes to KPOs, targets and/or timescales should be implemented in order to maintain continuous improvement.

Performance should be assessed against targets for the relevant KPOs. Issues should be identified and actioned on an ongoing basis, and may trigger targeted interventions such as audit or peer review. Poor performance will be expected to be improved.

Verifiers should have systems in place to support the accurate and timely collection of performance data. They should report accurate and evidence based information on performance against KPOs to the Scottish Government as detailed in the KPO. All data returns to the Scottish Government are made via the [ScotXed web platform](#).

### 3. Outcomes and Targets

The frequency of reporting is detailed in each KPO which provides a means to assess individual and ongoing cumulative performance. Reporting is segmented by “building types” and “value of work” to allow further analysis into specific aspects of performance. Mixed building types, demolitions and conversions should be reported in the most appropriate segment.

It is recognised that verifiers may not be at the same starting position (in performance terms) when changes to the performance framework are introduced. As a result, there may be differing timescales for local adoption. However, all verifiers are expected to identify clear actions and timescales for updates to systems and KPOs to meet the agreed implementation dates.

#### Continuous Improvement

Continuous improvement refers to the dynamic and ongoing effort to improve services and processes, respond better to customer needs and adapt in a changing business environment. Services should embed a culture of learning and improvement to evolve, become more effective and ensure business outcomes continue to be achieved.

Continuous improvement is a critical success factor in raising the bar for compliance and consistency and may look towards:

- Delivery (customer valued) processes which are constantly evaluated and improved in the light of their efficiency, effectiveness and flexibility;
- Changes to and demands from the business environment for example in the delivery of online services;
- Incremental or breakthrough improvements, focusing on the changing business environment;
- Peer review, benchmarking and sharing best practice.

#### Digital services

The framework also recognises the move towards digital verification services. Customers can submit applications for building warrant electronically to all LAs applicants through the Scottish Government eBuilding Standards online system. Verifiers should therefore look to fully digitise their end-to-end verification services to cover the whole customer journey.



### 3. Outcomes and Targets

#### Performance measures and reporting

The framework links performance assessment to improvement actions through the verifiers' annual performance reports, customer views, continuous improvement plans, and national KPO returns. It allows the assessment of performance outcomes over key national objectives which include:

- Certainty of timescales in respect of decision making;
- Reasonable inquiry of compliance during construction;
- Management and assessment of building warrants and completion certificates;
- Sharing of best practice;
- Clear communication, provision of advice and open engagement;
- Understanding of customer needs and 'open for business' attitude.

Reporting against the framework has clear aims and values and should not place unnecessary burdens on verifiers. It should demonstrate levels of performance by verifiers individually and nationally, and provide comparisons over time between verifiers.

The framework has common aims which are provided for each outcome which might include one or more of:

- Information to inform the public to meet the impartiality and accountability needs of a verifier;
- Information for Scottish Government in relation to the appointment of verifiers, performance levels and national trends; and
- Information for verifiers in relation to the day to day operation of their building standards service.

The framework includes reporting criteria and performance targets. These measure service delivery and can be used to highlight 'good verification' service. The framework should also be used to inform customers on performance levels, identify areas for improvement and prioritise actions. Reporting frequencies vary between the KPOs and are either three monthly or annually.

Reporting under some KPOs since 2012 has been broken down into 'work' categories and 'value of work' categories. These categories have been helpful in providing a better understanding of activity and performance across all types of building warrant projects. They have been consolidated from 2017 onwards to:

Work Categories	Value of Work
Domestic	0 - £10,000
Non-Domestic	£10,001 - £50,000
	£50,001 - £250,000
	£250,001 - £1,000,000
	£1,000,001 and above

## 4. Key Performance Outcomes

### 4.1 Professional Expertise and Technical Processes

<b>KPO1</b>	<b>Minimise time taken to issue a first report or to issue a building warrant or amendment to building warrant.</b>
<b>Purpose</b>	<p><b>The aim of this KPO is to minimise the time taken for customers to obtain a building warrant, or amendment to building warrant, whilst maintaining the appropriate levels of competent plan assessment.</b></p> <p>Turnaround time is important for the majority of customers seeking a building warrant, or an amendment to building warrant, as this allows them to start work.</p> <p>Turnaround times are influenced by the verifier and the customer (applicants and agents). In addition to the verifier assessment, other influencing factors include the complexity of the project, customer actions, and the quality and number of submissions.</p> <p>An important aspect of overall performance is the time it takes for the verifier to issue the first full technical assessment (first report) to the customer.</p>
<b>Requirements of verifiers</b>	<ol style="list-style-type: none"> <li>1. Maintain records of applications for building warrant and amendment to building warrant with breakdowns for reporting work categories and value of work categories.</li> <li>2. Maintain records of the time taken from receipt of a valid<sup>1</sup> application to issue a 'first report'.<sup>2</sup></li> <li>3. Maintain records of the time taken from receipt of all satisfactory information to issue a building warrant, or amendment to building warrant.</li> <li>4. Maintain records of the overall time taken from receipt of a valid application to the time to issue a building warrant, or amendment to building warrant.</li> <li>5. Seek to minimise the time taken to issue a building warrant whilst maintaining high standards of verification.</li> <li>6. Maintain records of applications for building warrant that utilised customer agreements.<sup>3</sup></li> </ol>

## 4. Key Performance Outcomes

<p><b>Reporting</b></p>	<p>The triggers for KPO1 are:</p> <ul style="list-style-type: none"> <li>• the <b>issue of a first report</b> to an application for building warrant, or amendment to building warrant, within the reporting period.</li> <li>• the <b>issue of a building warrant, or amendment to building warrant</b>, within the reporting period.</li> </ul> <p><b>Data reporting:</b></p> <p><b>1.1.</b> Number of first reports issued.</p> <p><b>1.2.</b> Number of first reports issued (and building warrants and amendments issued without a first report):</p> <ul style="list-style-type: none"> <li>• within 15 days</li> <li>• in more than 15 days and within 20 days</li> <li>• in more than 20 days and within 35 days</li> <li>• in more than 35 days.</li> </ul> <p><b>1.3.</b> Number of building warrants and amendments to building warrant issued.</p> <p><b>1.4.</b> Number of building warrants and amendments to building warrant issued (following a first or subsequent report) within the following days of the verifier receiving all satisfactory information:</p> <ul style="list-style-type: none"> <li>• within 6 days</li> <li>• in more than 6 days and within 10 days</li> <li>• in more than 10 days and within 15 days</li> <li>• in more than 15 days.</li> </ul> <p><b>1.5.</b> Number of days taken from receipt of a valid application for building warrant or amendment to building warrant to issue the building warrant or amendment to building warrant (i.e. the overall time taken by verifier and applicant).</p> <p><b>1.6.</b> Number of building warrants that utilised customer agreements.</p>
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## 4. Key Performance Outcomes

<b>Reporting</b>	<p><b>Context reporting (if necessary):</b></p> <p><b>1.7.</b> Commentary on any significant changes from previous reporting period(s).</p> <p>The number of days in 1.2 and 1.5 are working days measured from receipt of a valid application for building warrant or amendment to building warrant.</p> <p>The number of days in 1.4 are working days measured from when the verifier receives the final piece of information allowing them to issue the building warrant or amendment to building warrant.</p> <p>When a first report is not issued because the building warrant or amendment is issued immediately, the case should be reported under 1.2 (i.e. the date of issue of the warrant or amendment should be treated as the date of first report). The case should not be reported under 1.4.</p> <p>Three monthly reporting to the Scottish Government should commence from 1 May 2017 using the standard form on the ScotXed web platform. Reporting is to inform the verifier, Scottish Government and the public.</p>
<b>Performance targets</b>	<p><b>1.1.</b> 95% of first reports (for building warrants and amendments) issued within 20 days – all first reports (including BWs and amendments issued without a first report).</p> <p><b>1.2.</b> 90% of building warrants and amendments issued within 10 days from receipt of all satisfactory information – all building warrants and amendments (not including BWs and amendments issued without a first report).</p>
<b>Implementation date</b>	<p>For all first reports, building warrants and amendment to building warrants issued on or after 1 April 2017.</p>
<b>Notes</b>	<p><sup>1</sup> For the purpose of this KPO, a valid application is one that has sufficient information for the verifier to undertake a substantive technical check and be able to issue a first report if one is necessary.</p> <p><sup>2</sup> If the verifier, following a full technical assessment of the application, cannot issue the warrant, they will issue the “first report”. This report indicates any failures to comply or areas requiring further clarification and should provide a level of detail sufficient to identify clearly which standards must be addressed or what further information is required.</p> <p><sup>3</sup> A Customer Agreement for a project is likely to cover a range of aspects from pre-application through to completion on site. It should include the anticipated time to issue the first report.</p>

## 4. Key Performance Outcomes

<b>KPO2</b>	<b>Increase quality of compliance assessment during the construction processes</b>
<b>Purpose</b>	<p><b>The aim of this KPO is to promote quality and consistency of compliance assessment by undertaking timed and proportionate reasonable inquiries using a risk-based approach to inspection and other forms of assessment e.g. photographic evidence.</b></p> <p>The development of safe and compliant buildings is of paramount importance to building standards verification. This means protecting the public interest by minimising the occurrence of non-compliance with building regulations.</p> <p>The “relevant person” (usually the building owner or the developer) is responsible for complying with building regulations. The person carrying out work must notify the verifier when work commences, and at other stages determined by the verifier. The verifier will carry out site visits or other means of inquiry to assess compliance during the construction.</p> <p>When the work is finished, the relevant person must sign the completion certificate confirming compliance with building regulations. The verifier is responsible for accepting or rejecting the completion certificate submission but only after they have made reasonable inquiry.</p> <p>The verifier issues a Construction Compliance and Notification Plan (CCNP) with the building warrant. This details their risk based inspection regime and the stages when the relevant person should notify the verifier.</p> <p>The CCNP will enhance the likelihood of compliance by assisting the verifier to carry out their inspections as work progresses. This approach seeks to promote partnership working on the project between the relevant person and the verifier. It should also give the relevant person a better understanding on both their and the verifiers roles and responsibilities.</p>
<b>Requirements of verifiers</b>	<ol style="list-style-type: none"> <li>1. Embed risk assessment methodology into normal working practices for undertaking reasonable inquiry before accepting a completion certificate.</li> <li>2. Issue Construction Compliance and Notification Plans (CCNP) with all building warrants issued.<sup>1</sup></li> <li>3. Maintain records of CCNPs for “accepted” completion certificates<sup>2</sup> with breakdown into reporting work categories and value of work categories.</li> <li>4. Maintain records of numbers of CCNPs that were fully achieved<sup>3</sup> in terms of: <ul style="list-style-type: none"> <li>• notification by the relevant person</li> <li>• inspection by the verifier.</li> </ul> </li> <li>5. Maintain records of construction non-compliance<sup>4</sup> locally and report trends and issues with a national impact to drive forward improvements in verification. Escalate national issues through LABSS for further discussion.</li> </ol>

## 4. Key Performance Outcomes

<b>Reporting</b>	<p>The trigger for KPO2 is the <b>acceptance of a completion certificate</b> within the reporting period.</p> <p><b>Data reporting:</b></p> <p><b>2.1.</b> Number of CCNPs for ‘accepted’ completion certificates.</p> <p><b>2.2.</b> Number of CCNPs for ‘accepted’ completion certificates fully achieved by the relevant person and the verifier.</p> <p><b>2.3.</b> Number of CCNPs for ‘accepted’ completion certificates fully achieved by the relevant person (i.e. the relevant person’s performance only).</p> <p><b>2.4.</b> Number of CCNPs for ‘accepted’ completion certificates fully achieved by the verifier (i.e. the verifier’s performance only).</p> <p><b>Context reporting (if necessary):</b></p> <p><b>2.5.</b> The main reasons why CCNPs were not fully achieved (prioritised).</p> <p><b>2.6.</b> The main aspects of construction non-compliance found through reasonable inquiry (prioritised).</p> <p>Three monthly reporting to the Scottish Government should commence from 1 May 2017 using the standard form on the ScotXed web platform. Reporting is to inform the verifier, Scottish Government and the public.</p>
<b>Performance targets</b>	Targets to be developed as part of future review of KPO2.
<b>Implementation date</b>	For all completion certificates accepted on or after 1 April 2017.
<b>Notes</b>	<p><sup>1</sup> Amendments to building warrant or staged warrants may require review of the CCNP at each stage as the design progresses.</p> <p><sup>2</sup> Building warrants covering multiple dwellings need a completion certificate for each dwelling. Therefore, CCNP achievement should be reported for each completion certificate, not for the building warrant.</p> <p><sup>3</sup> Reporting from April 2014 has included the number of CCNPs fully achieved by the relevant person and the number of CCNPs fully achieved by the verifier for use by verifiers who can provide further breakdown.</p> <p><sup>4</sup> “Construction non-compliance” in this context is a reference to the failure of a building to meet a minimum building standard.</p>

## 4. Key Performance Outcomes

### 4.2 Quality Customer Experience

<b>KPO3</b>	<b>Commit to the building standards customer charter</b>
<b>Purpose</b>	<p><b>The aim of this KPO is for verifiers to publish and adhere to the commitments in the building standards customer charter, which contains all required national and local information.</b></p> <p>The building standards customer charter has been embedded in all verification services since 2012. It will demonstrate the shared commitment to service levels and a consistent standard of quality across all verifiers.</p> <p>The customer and the verifier may sometimes have differing opinions over a technical or procedural matter, or consistency of approach with another verifier.</p> <p>These are often resolved by escalating the query to senior staff in the verifier. Where these queries cannot be resolved within the verification service, the verifier can work in partnership with other verifiers to resolve it or determine a national interpretation.</p> <p>The customer may have concerns about the performance of the verifier, for example around delays in turnaround times or communication. The customer may report their performance concerns to SG Building Standards Division for investigation.</p> <p>Notwithstanding the above, a customer dissatisfied with their local authority can use its formal complaints procedure. If they are still not content they can register a complaint with the <a href="#">Scottish Public Services Ombudsmen</a> (SPSO).</p>
<b>Requirements of verifiers</b>	<ol style="list-style-type: none"> <li>1. Maintain their customer charter and incorporate national performance targets and national and local information into the template.</li> <li>2. Publish their customer charter prominently on the verifier website.</li> <li>3. Ensure the facility for online applications through the Scottish Government eBuilding Standards system is detailed in the customer charter.</li> <li>4. Ensure the customer charter includes details of customer dispute resolution, complaints and performance procedures (e.g LABSS Dispute Resolution Process, LA Complaints procedures, SG Verifier Performance Reporting Service for Customers).</li> <li>5. Review the national customer charter regularly (at least quarterly) maintaining localised information to ensure contact details and appropriate website links are kept up-to-date.</li> <li>6. Apply national building standards verification policies and interpretations.</li> <li>7. Adhere to the commitments in the national customer charter.</li> </ol>

## 4. Key Performance Outcomes

<b>Reporting</b>	<p><b>3.1.</b> Verifier publishes the national customer charter prominently on their website and incorporates version control detailing reviews (review frequency at least quarterly).</p> <p><b>3.2.</b> The number of cases referred to:</p> <ul style="list-style-type: none"> <li>• LABSS Dispute Resolution Process</li> <li>• LA Complaints formal procedure</li> <li>• SG Verifier Performance Reporting Service for Customers<sup>1</sup></li> </ul> <p><b>3.3.</b> Verifier to demonstrate adherence to the national customer charter through the annual performance report under KPO7.</p> <p>Reporting is to inform the verifier, Scottish Government and the public.</p>
<b>Performance targets</b>	<p><b>3.1.</b> National customer charter is published prominently on the website and incorporates version control detailing reviews (frequency of reviews to be at least quarterly).</p> <p><b>3.2.</b> 95% of BSD requests for information on a BSD 'Verifier Performance Reporting Service for Customers' case responded to by verifier within 5 days.</p>
<b>Implementation date</b>	Verifier to have national customer charter reviewed and published by 1 April 2017.
<b>Notes</b>	<p><sup>1</sup> The SG Verifier Performance Reporting Service for Customers allows building standards customers to report concerns on verifier performance directly to SG Building Standards Division.</p>



## 4. Key Performance Outcomes

<b>KPO4</b>	<b>Understand and respond to the customer experience</b>
<b>Purpose</b>	<p><b>The aim of this KPO is to monitor customer satisfaction with the building standards service, ensuring the service meets or exceeds customer expectations.</b></p> <p>Customer satisfaction is an essential part of building standards verification. Meeting this KPO will enable verifiers to gain a more detailed and comparable understanding of their different customer groups and to be able to respond most appropriately to their needs.</p> <p>Verifiers should undertake their own local customer engagement through focus groups and other interaction.</p>
<b>Requirements of verifiers</b>	<ol style="list-style-type: none"> <li>1. To assist the Scottish Government Building Standards Division to supply customer data for research purposes.</li> <li>2. Promote the national customer survey and inform customers that they may be contacted for research purposes.</li> <li>3. Use findings from the national customer survey for the purpose of customer segmentation.</li> <li>4. Use findings from the national customer survey and local engagement to identify and make improvements to the customer experience.</li> <li>5. Incorporate actions to improve the customer experience into the continuous improvement plan and monitor progress.</li> </ol>
<b>Reporting</b>	<ol style="list-style-type: none"> <li>4.1. Performance to be measured against 'Overall satisfaction' rating.</li> <li>4.2. Verifier to report on any accredited customer service awards such as 'Customer Service Excellence'.</li> <li>4.3. Verifier to incorporate improvements to the customer experience into their continuous improvement plan and report changes in their annual performance report.</li> <li>4.4. Verifier to demonstrate progress on improvements in 'annual performance reporting' in their annual performance report.</li> </ol> <p>Reporting is to inform the verifier, Scottish Government and the public.</p>

## 4. Key Performance Outcomes

<b>Performance targets</b>	<b>4.1.</b> Minimum overall average satisfaction rating of 7.5 out of 10.
<b>Implementation date</b>	<p>Third national customer survey carried out by the Scottish Government in November 2016.</p> <p>Survey and future frequency to be reviewed for 2017 onwards to consider the following factors:</p> <ul style="list-style-type: none"> <li>• Delivery mechanism e.g. using verifier-provided emails or through eBuilding Standards portal registered users.</li> <li>• Timing e.g. users over last 12 months (as currently) or surveying users at building warrant granting and completion certificate acceptance through the portal.</li> <li>• Recognition of accredited customer service awards such as 'Customer Service Excellence'.</li> <li>• Long term ownership of national survey.</li> </ul>
<b>Notes</b>	Verifiers will be advised by the BSD of any changes to the measures and targets in this KPO where they depend on the national survey process and frequency.

## 4. Key Performance Outcomes

### 4.3 Operational and Financial Efficiency

<b>KPO5</b>	<b>Maintain financial governance</b>
<b>Purpose</b>	<p>The aim of this KPO is to monitor verification fee income and the costs of running the verification service, in order to:</p> <ul style="list-style-type: none"> <li>a) identify the relationships between fee income and verification costs, and performance levels</li> <li>b) identify where efficiencies can be improved</li> </ul> <p>Building standards verification is intended to be financed by the building warrant and associated fees. Underpinning this KPO is the need to ensure that resources including funds, employees, IT and other infrastructure are fully harnessed to ensure efficiencies are maximised.</p>
<b>Requirements of verifiers</b>	<ol style="list-style-type: none"> <li>1. Maintain records of the income received from building warrant and related statutory fees and the expenditure incurred (staff costs<sup>1</sup>, non-staff costs and other verification-related investments<sup>2</sup>) to run building standards verification services.</li> <li>2. Maintain records of the value of work for building warrant and amendment applications and completion certificate submissions where no building warrant granted.</li> <li>3. Have systems in place to identify time spent on verification activity, and thus enable direct staff costs required to run the verification system to be calculated.</li> <li>4. Undertake regular reviews of income and cost streams in order to inform and embed efficiency savings where possible.</li> <li>5. Adhere to the national approach for identifying staff costs.</li> </ol>

## 4. Key Performance Outcomes

<b>Measurement and reporting</b>	<p>The trigger for KPO6 is a <b>building warrant related fee received</b> or a <b>verification related expenditure</b> occurring within the reporting period.</p> <p><b>Data reporting:</b></p> <p>Value of work:</p> <p><b>5.1.</b> Value of works for building warrant related applications and submissions.</p> <p>Verification costs:</p> <p><b>5.2.</b> Staff costs for verification – overall and separate breakdowns for ‘plan checking’ and ‘inspection’.</p> <p><b>5.3.</b> Non-staff costs associated with verification.</p> <p><b>5.4.</b> Other verification-related investment (not included in 5.2 or 5.3).</p> <p>Fee income:</p> <p><b>5.5.</b> Building warrant related fee income.</p> <p><b>Context reporting (if necessary):</b></p> <p><b>5.6.</b> The main reasons for significant changes to value or work, expenditure or fee income.</p> <p><b>5.7.</b> The main reasons for significant variations in the relationship between verification fee income and costs.</p> <p><b>5.8.</b> Verifier to demonstrate financial performance in the annual performance report under KPO7.</p> <p>Three monthly reporting to the Scottish Government should commence from 1 May 2017 using the standard form on the ScotXed web platform. Reporting is to inform the verifier, Scottish Government and the public.</p>
<b>Performance targets</b>	<p><b>5.1.</b> Building standards verification fee income to cover indicative verification service costs (staff costs plus 30%).</p>
<b>Implementation date</b>	<p>Verifiers to record all financial data from 1 April 2017.</p>
<b>Notes</b>	<p><sup>1</sup> Staff costs are the costs for technical and support staff directly involved in the verification service. They include wages and salaries, social security costs, pension costs and temporary staff costs. They should include any costs for specialist services outsourced due to verifier not having appropriate resources available in-house e.g. structural, fire engineering or energy design checking.</p> <p><sup>2</sup> An example of other types of investment might be new or upgraded hardware and software for eBuilding Standards enablement.</p>

## 4. Key Performance Outcomes

<b>KPO6</b>	<b>Commit to eBuilding Standards</b>
<b>Purpose</b>	<p><b>The aim of this KPO is to promote the digitisation of verification services to improve customer interaction and maximise efficiencies.</b></p> <p>Customers have been able to submit building warrant and related applications electronically to verifiers through the Scottish Government eBuilding Standards system since August 2016. Verifiers have been undertaking substantial improvements to digitise their services and invest in new technology.</p> <p>The application is the formal start of the verification journey for customer. It is important that digitisation is continued through the other verification activities that lead to the successful sign-off of the completed building.</p>
<b>Requirements of verifiers</b>	<ol style="list-style-type: none"> <li><b>1.</b> eBuilding Standards details are published prominently on the website.</li> <li><b>2.</b> Maintain records of building warrant related applications and submissions through the eBuilding Standards portal.</li> <li><b>3.</b> Maintain records of the extent of digital processing of verification activities i.e. the key activities from receipt of a building warrant application or amendment through to acceptance of a completion certificate.</li> </ol>

## 4. Key Performance Outcomes

<b>Reporting</b>	<p>The triggers for KPO6 are when an application reaches each key processing stage as it passes through the building standards system.</p> <p><b>Data reporting:</b></p> <p><b>6.1.</b> Numbers of applications for building warrant, amendments to building warrant, completion certificates and other forms submitted through the eBuilding Standards system.</p> <p><b>6.2.</b> Extent of digitisation of building warrant related processes:</p> <ul style="list-style-type: none"> <li>• Plan checking being done electronically</li> <li>• Building warrant or amendments (and plans) being issued electronically</li> <li>• Verification during construction being done electronically</li> <li>• Completion certificates being accepted electronically</li> </ul> <p><b>Context reporting (if necessary):</b></p> <p><b>6.3.</b> The main reasons for significant changes.</p> <p><b>6.4.</b> Verifier to demonstrate commitment to digital services in the annual performance report under KPO7.</p> <p>Reporting under 6.2 is for all applications i.e. those submitted electronically, by paper or a combination of both. It is not limited to applications submitted through the SG online portal.</p> <p>Three monthly reporting to the Scottish Government should commence from 1 May 2017 using the standard form on the ScotXed web platform. Reporting is to inform the verifier, Scottish Government and the public.</p>
<b>Performance targets</b>	<p><b>6.1.</b> Details of eBuilding Standards are published prominently on the verifier's website.</p> <p><b>6.2.</b> 75% of each key building warrant related process being done electronically</p> <ul style="list-style-type: none"> <li>• Plan checking</li> <li>• Building warrant or amendments (and plans) being issued</li> <li>• Verification during construction</li> <li>• Completion certificates being accepted</li> </ul>
<b>Implementation date</b>	For each key verification processing stage done on or after 1 April 2017.
<b>Notes</b>	None

## 4. Key Performance Outcomes

<b>KPO7</b>	<b>Commit to objectives outlined in the annual performance report</b>
<b>Purpose</b>	<p>The aim of this KPO is for verifiers to demonstrate their commitment to:</p> <ul style="list-style-type: none"> <li>• <b>building standards verification and services</b></li> <li>• <b>meeting strategic objectives and outcomes</b></li> <li>• <b>business planning</b></li> <li>• <b>customers</b></li> <li>• <b>partnership working</b></li> <li>• <b>continuous improvement</b></li> <li>• <b>verification performance</b></li> </ul> <p><b>Progress should be demonstrated in each verifier’s building standards verification annual performance report.</b></p> <p>Verifiers have used a balanced scorecard approach since 2005 to report performance across key areas to Scottish Ministers. Since 2012 the performance framework has focussed on three core perspectives with two cross-cutting themes underpinning them. An additional cross-cutting perspective has been introduced from 2017 to recognise the value of partnership working.</p> <p>Continuous improvement refers to the dynamic and ongoing effort to improve services and processes, respond better to customer needs and adapt in a changing business environment. Services should embed a culture of learning and improvement to evolve, become more effective and ensure business outcomes continue to be achieved.</p> <p>From 2017, the balanced scorecard and continuous improvement plan templates have been refined to allow the verifier to report performance across the framework and KPOs. The annual performance report template will enable a consistent approach to structure and content and contribute towards transparency and accountability to the public.</p>

## 4. Key Performance Outcomes

<b>Requirements of verifiers</b>	<ol style="list-style-type: none"> <li>1. Maintain the annual performance report using the relevant template and set out performance in relation to the following: <ul style="list-style-type: none"> <li>Core perspectives: <ul style="list-style-type: none"> <li>• Professional expertise and technical processes</li> <li>• Quality customer experience</li> <li>• Operational and financial efficiency</li> </ul> </li> <li>Cross cutting themes: <ul style="list-style-type: none"> <li>• Public interest</li> <li>• Continuous improvement</li> <li>• Partnership working</li> </ul> </li> </ul> </li> <li>2. Publish and promote the performance report prominently on the verifier website.</li> <li>3. Review the performance report regularly (at least three monthly) and update any service or corporate changes.</li> <li>4. Provide annual update to performance report on progress against the performance framework.</li> </ol>
<b>Reporting</b>	<ol style="list-style-type: none"> <li>7.1. Verifier publishes their annual performance report prominently on their website and incorporates version control detailing reviews (review frequency quarterly at time of updates).</li> <li>7.2. Verifier to include annual performance data for the previous year including demonstration of adherence to the performance outcomes.</li> </ol> <p>Three monthly reporting to the Scottish Government should commence from 1 May 2017 using the standard form on the ScotXed web platform. Reporting is to inform the verifier, Scottish Government and the public.</p>
<b>Performance targets</b>	<ol style="list-style-type: none"> <li>7.1. Annual performance report published prominently on website with version control (reviewed at least quarterly).</li> <li>7.2. Annual performance report to include performance data in line with KPOs and associated targets (annually covering previous year e.g. April 2016 – March 2017).</li> </ol> <p>The report is to include:</p> <ul style="list-style-type: none"> <li>• Adherence to the national customer charter (KPO3)</li> <li>• Appropriate actions to respond to customer feedback (KPO4)</li> <li>• Financial performance (KPO5)</li> <li>• Commitment to digital services (KPO6)</li> </ul>
<b>Implementation date</b>	Verifiers to have the annual performance report reviewed and published by 1 May 2018.
<b>Notes</b>	None.



## 5. Annex A KEY PERFORMANCE OUTCOME 3 – Building Standards Customer Charter Template

### **Purpose of the Building Standards Customer Charter:**

The Building Standards Customer Charter provides information about the standards of service that all verifiers should meet. This gives customers the reassurance that a consistent, high quality service will be delivered no matter which verifier provides the service.

It is divided into two parts: 1) National Charter; and 2) Local Charter.

### **PART 1: National Charter**

#### **Our Aims:**

To grant building warrants and accept completion certificates:

- To secure the health, safety, welfare and convenience of persons in and about buildings and others who may be affected by buildings or matters connected with buildings
- Furthering the conservation of fuel and power, and
- Furthering the achievement of sustainable development.

#### **Our vision/values:**

To provide a professional and informative service to all our customers.

## 5. Annex A KEY PERFORMANCE OUTCOME 3 – Building Standards Customer Charter Template

### Our Commitments:

Nationally all verifiers will:

1. Seek to minimise the time it takes for customers to obtain a building warrant or amendment to a building warrant.
2. Ensure continuous improvement around the robustness of verification assessments to ensure compliance.
3. Meet and seek to exceed customer expectations.
4. Carry out local customer satisfaction research, such as surveys, focus groups etc.
5. Address feedback obtained through local and national customer satisfaction research (including a National Customer Satisfaction Survey) to improve the customer experience.
6. Provide information on local formal complaints procedures, the LABSS Dispute Resolution Process, and the BSD Customer Performance Reporting Service, and refer customers as appropriate.
7. Provide accurate financial data that is evidence-based.
8. Engage and participate in partnership working at local and national level to identify and embed service improvements at a national level.
9. Adhere to a national annual performance report outlining our objectives, targets and performance.
10. Fully adhere to the commitments outlined in this Charter (including information on customer dissatisfaction in relation to building warrant processing timescales, processes and technical interpretation.
11. Use a consistent format for continuous improvement plans.

### Our targets:

[Verifier to include the national targets]

### Information:

National information on the verification performance framework can be found at the Scottish Government website [www.scotland.gov.uk/bsd](http://www.scotland.gov.uk/bsd)

## 5. Annex A KEY PERFORMANCE OUTCOME 3 – Building Standards Customer Charter Template

### **PART 2: Local Charter**

[Verifier to add their own local customer charter]

## 6. Annex B KEY PERFORMANCE OUTCOME 7 – Annual Verification Performance Report Template

Verifier name and logo to be inserted here

**Building Standards Verification**

**Annual Performance Report Template**  
**2017-2018**

## Table of Contents

1. Introduction to the verifier
2. Building Standards Verification Service Information
3. Strategic Objectives
4. Key Performance Outcomes and Targets
5. Performance Data
6. Service Improvement and Partnership Working
7. Building Standards – Additional Data

[Verifier to insert page numbers].

# 1. Introduction to the verifier

As part of the new performance framework, it has been agreed that all verifiers must produce an annual performance report on the agreed template. It should be forwarded to Scottish Government and placed on the verifier website. The following sections detail the minimum information and standard paragraphs that should be included throughout the performance report.

The information on each of the bullets listed below should also be included in the introduction section.

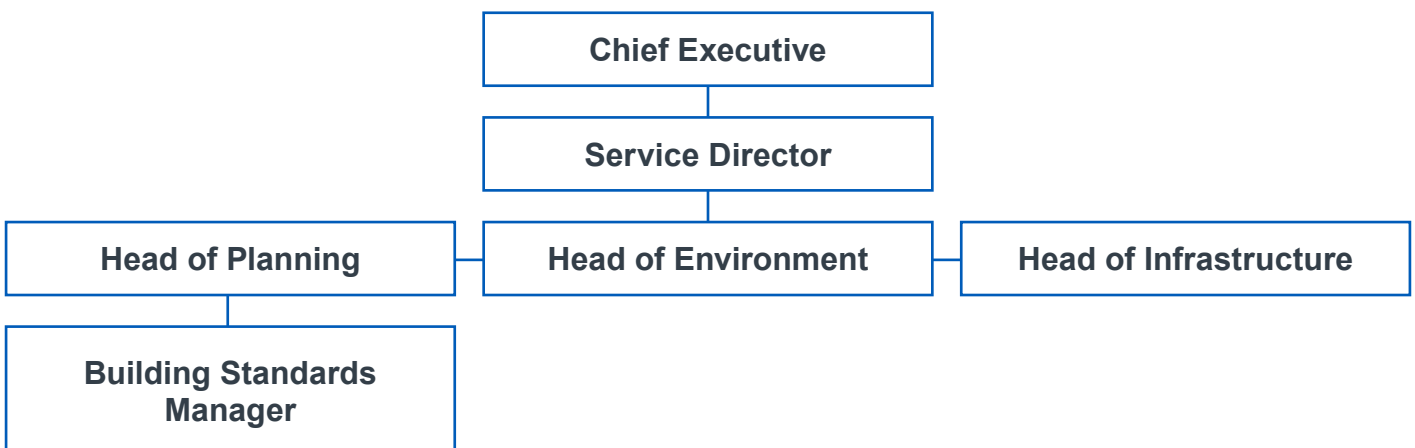
- Standard statement (see below for wording)
- Size of the local authority by population and geographical size
- Map of the area
- Description of the physical environment – mainly rural, urban, mixture of both and concentration of population in urban vs. rural areas
- The major employers and main employment sectors
- The full range of responsibilities the local authority building standards service delivers
- Organisational chart of the verifier (CEO to BSM level see example below)

### Standard statement:

The report should contain the following paragraph in the introduction section:

The verification performance report is a strategic planning and management tool that provides information about the local authority building standards service, communicates the vision and strategy, and sets out performance against strategic goals and targets.

Building standards verifiers in Scotland are required to utilise the performance report to manage, monitor, review and develop strategies for their business, and should focus on the performance framework’s core perspectives and cross-cutting themes.



## 2. Building Standards Verification Service Information

This section should include the following information:

1. Location of office (if the department is located in one office or across separate offices, if so a description of allocation of provision is required here);
2. Verification services and functions delivered;
3. Public interest statement (listed below);
4. Organisation chart (BSM and below) which should include vacant and occupied positions and job titles. Chart should include links into other departments that work closely with building standards verification e.g. planning (see example below).

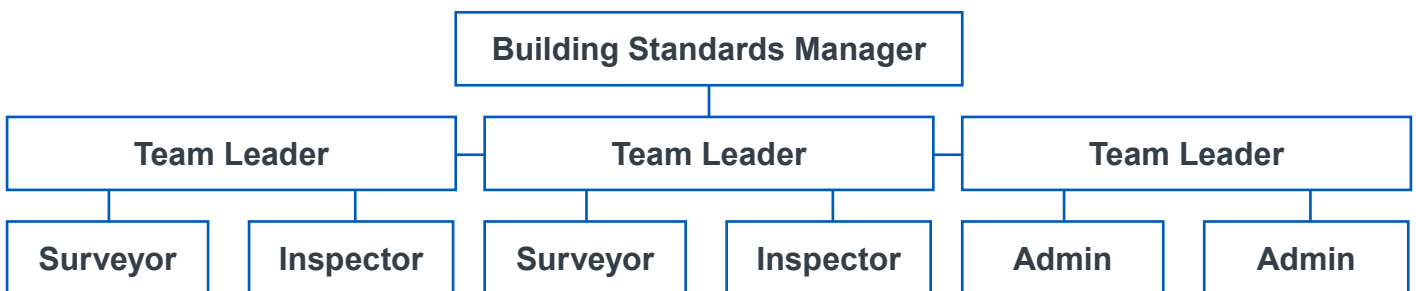
### Public Interest Statement:

All performance reports should contain the following 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 a minimal necessary to ensure that legislation is not avoided. The control of work on site is not down to the system but is a matter for contracts and arrangements 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.



## 2. Building Standards Verification Service Information

All reports should include a snapshot of the staffing position on 31 March (posts are full time equivalents).

	Tier 1	Tier 2	Tier 3	Tier 4
<b>Head of Building Standards Verification Service</b>				

Note: Tier 1 = Chief Executive; Tier 2 = Directors; Tier 3 = Heads of Service; Tier 4 = Managers

		Building Standards Verification Service	Other
<b>Managers</b>	No. posts		
	Vacant		
<b>Main grade posts (surveyors)</b>	No. posts		
	Vacant		
<b>Technician</b>	No. posts		
	Vacant		
<b>Office support/ clerical</b>	No. posts		
	Vacant		
<b>TOTAL</b>			

Note: Managers are those staff responsible for the operational management of a team/division. They are not necessarily line managers.

Staff age profile	Number
Under 30	
30-39	
40-49	
50 and over	



### 3. Strategic Objectives

**This section should include a short narrative covering the following bullets under each of the headings**

1. The overarching goal/vision of the service;
2. Departmental issues to be addressed in the coming year;
3. The key strategic objectives for the coming year (should align with continuous improvement plan).

## 4. Key Performance Outcomes and Targets

The national verification performance framework is based on three core perspectives:

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

There are also three cross-cutting themes, comprising:

- Public Interest;
- Continuous Improvement; and
- Partnership Working.

### Summary of Key Performance Outcomes (KPOs)

<b>Professional Expertise and Technical Processes</b>	
KPO1	Minimise time taken to issue a first report or issue a building warrant or amendment to building warrant.
KPO2	Increase quality of compliance assessment during the construction processes
<b>Quality Customer Experience</b>	
KPO3	Commit to the building standards customer charter
KPO4	Understand and respond to the customer experience
<b>Operational and Financial Efficiency</b>	
KPO5	Maintain financial governance
KPO6	Commit to eBuilding Standards
KPO7	Commit to objectives outlined in the annual performance report

## 4. Key Performance Outcomes and Targets

### Summary of Key Performance Targets

<b>KPO1 Targets</b>	
1.1	95% of first reports (for building warrants and amendments) issued within 20 days – all first reports (including BWs and amendments issued without a first report).
1.2	90% of building warrants and amendments issued within 10 days from receipt of all satisfactory information – all building warrants and amendments (not including BWs and amendments issued without a first report).
<b>KOP2 Targets</b>	
	Targets to be developed as part of future review of KPO2.
<b>KPO3 Targets</b>	
3.1	National customer charter is published prominently on the website and incorporates version control detailing reviews (reviewed at least quarterly).
3.2	95% of BSD requests for information on a BSD 'Verifier Performance Reporting Service for Customers' case responded to by verifier within 5 days.
<b>KPO4 Targets</b>	
4.1	Minimum overall average satisfaction rating of 7.5 out of 10.
<b>KPO5 Targets</b>	
5.1	Building standards verification fee income to cover indicative verification service costs (staff costs plus 30%).
<b>KPO6 Targets</b>	
6.1	Details of eBuilding Standards to be published prominently on the verifier's website.
6.2	75% of each key building warrant related process being done electronically <ul style="list-style-type: none"> <li>• Plan checking</li> <li>• Building warrant or amendments (and plans) being issued</li> <li>• Verification during construction</li> <li>• Completion certificates being accepted</li> </ul>
<b>KPO7 Targets</b>	
7.1	Annual performance report published prominently on website with version control (reviewed at least quarterly).
7.2	Annual performance report to include performance data in line with KPOs and associated targets (annually covering previous year e.g. April 2016 – March 2017).

## 5. Performance Data

This section should include a summary of performance against all KPOs and performance targets, as well as an accompanying narrative.

### Professional Expertise and Technical Processes

[Performance under this perspective might consider:

- Protocols for dealing with work
- Performance management systems
- Training and development/CPD
- Benchmarking/shared services
- Succession planning]

### Quality Customer Experience

[Performance under this perspective might consider:

- Customer communication strategies
- Customer Charter
- Customer feedback (national/local)/analysing and changes to systems
- Accessibility of service
- Pre-application advice
- Customer agreements
- Customer dissatisfaction (procedural or technical)
- Recognised external customer service accreditations]

### Operational and Financial Efficiency

[Performance under this perspective might consider:

- Team structures e.g. (area splits/specialist teams)
- Time recording system
- Financial monitoring/governance
- IT systems
- Digital services
- Finance systems
- Internal communication strategies]

## 6. Service Improvements and Partnership Working

This section should include a summary of service improvements and examples of partnership working performance against all KPOs and performance targets.

In the previous 12 months (year/year) we did –

Number	Continuous improvement action	Status
		Complete
		Ongoing
		Not started
	etc.	

In the next 12 months (year/year) we will do –

Number	Continuous improvement action	Timescale
	etc.	

In the previous 12 months (year/year) we worked with –

[Include examples of partnership working.]

In the next 12 months (year/year) we will –

[Include examples of partnership working e.g.

- Engagement with other local authorities and groups, e.g. Local Authority Building Standards Scotland (LABSS)
- Engagement with external stakeholder organisations and groups
- External support for local training and development/CPD
- Commitment to work together on technical issues]

## 7. Building Standards – Additional Data

Verifiers provide returns to Scottish Government on their verification performance and workload. The performance data relates to the building standards verification performance framework and the workload data relates to the numbers of building warrant applications; completion certificates; fees; costs; certificates (certification, energy performance; sustainability); enforcement cases.

Building warrants and amendments to building warrant	<ul style="list-style-type: none"> <li>• Applications</li> <li>• Decisions</li> </ul>
Completion certificates	<ul style="list-style-type: none"> <li>• Submissions</li> <li>• Decisions</li> </ul>
Certification	<ul style="list-style-type: none"> <li>• Certificates of design submitted</li> <li>• Certificates of construction submitted</li> </ul>
Energy Performance Certificates (EPCs)	<ul style="list-style-type: none"> <li>• Copy certificates received (domestic)</li> <li>• Copy certificates received (non-domestic)</li> </ul>
Statements of Sustainability	<ul style="list-style-type: none"> <li>• Copy certificates received (domestic)</li> <li>• Copy certificates received (non-domestic)</li> </ul>
Enforcement	<ul style="list-style-type: none"> <li>• Notices served under sections 25 to 30</li> <li>• Cases referred to procurator fiscal</li> <li>• Cases where LA has undertaken work</li> </ul>



This electronic document will be published on the Scottish Government website and will be reviewed and updated as necessary. It includes the templates for:

- Building Standards Customer Charter
- Annual Performance Report